

KyCPE Level 1 Examiner Workbook

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# Introduction

This workbook was created by the Examiner and Applicant Committees of the Kentucky Center for Performance Excellence (KyCPE) Board as a guide to assist examiners in conducting an on-site interview for Level 1 Applicants and serve as a template for the final Feedback Report.

The workbook is broken down into sections as it is related to the Abbreviated Organizational Profile, and Baldrige Excellence Builder. There is a brief glossary of key terms, and then goes through each section of the criteria: Leadership, Strategy, Customers, Measurement, Workforce, and Operations. The associated results section is included with each of the process categories for ease of completion.

Process Coach Initial Client Call

The process coach will contact the client to begin the Level 1 process. The purpose of the meeting is to introduce themselves, and to discuss timeframe of events (Date for on-site visit, when they should expect the feedback report), and begin to gather data for the Abbreviated Organization Profile. The call should be scheduled for a one-hour timeframe. The below Abbreviated Organization Profile questions should be a goal to complete, this may not occur, as time permits. It is advised to send these questions to the client prior to the conference call.

Site Visit Process for Level 1 Applicants

Beginning with the Organization Profile going through Category 1 – 7 the items **in bold** will need to be asked during site visit, while the items not bolded are optional to cover during site visit.

You will notice that the numbering of questions asked skip (i.e. you may go from question 1 to question 3) this is deliberate to help the applicant in moving through the process of going from a Level 1 Applicant to a Level 2 Applicant.

The on – site examination team is comprised of a minimum of two experienced examiners. In addition, a process coach (customer relationship manager) will accompany the team. The role of the process coach is to work with the client to aid in understanding the KyCPE Application Process, NOT to consult or aid in writing of the Application.

The process coach will deliver the final report from the examiner team and walk through the report with the Applicant.

The Level 1 Report is different from other KyCPE Applicant reports. It is broken down into documentation of the client process (ADLI), and Opportunities for Improvement (OFIs).

Items the Applicant should have available for the site visit

Electronic or hard copy of organization Mission, Vision, Values

Electronic or hard copy of organization structure

A summary of the organizations metrics, measurement systems and key results

**Abbreviated Organizational Profile Questions:**

a. Organizational Environment

**(1) Product Offerings**

**What are you main product offerings?**

**What is the relative importance of each to your success?**

**(2) Mission, Vision, and Values**

**What are your stated mission, vision, and values?**

**(3) Workforce Profile**

**What is your workforce profile?**

**(4) Assets**

**What are your major facilities, technologies, and equipment?**

b. Organizational Relationships

(1) Organizational Structure

**What are your organizational structure and governance system?**

**(2) Customers and Stakeholders**

**What are your key market segments, customer groups, and stakeholder groups, as appropriate?**

# Key Terms

Categories 1–6 (pages 7–12) each consist of two items (e.g., 1.1, 1.2), with many of the questions beginning with “how.” In answering these questions, give information on your key processes:

• **Approach**: How do you accomplish the work of your organization? How systematic (repeatable, using data and information – enabling learning) are the key processes you use?

• **Deployment**: How consistently (broadly and deeply) are your key processes used (applied in relevant work units) throughout your organization?

• **Learning**: Have you (acquired new knowledge and skills,) evaluated, innovated, and improved your key processes? This applies to both organizational and individual learning. Have improvements been shared within other appropriate units of your organization?

• **Integration**: How do you demonstrate alignment and harmonization among processes, plans, measures, actions, and results? How do your processes address current and future needs?

For the five items in category 7 (page 13), report on the results that are the most important to your organization’s success:

• **Levels**: What is your current performance using meaningful/relevant measurement scales?

• **Trends**: Are the results improving, staying the same, or getting worse? How does this meaningful historic and current performance data show direction and rate of change? At least 3 data points needed.

• **Comparisons**: How does your performance compare with that of other relevant, appropriately selected organizations and competitors, or benchmarks? Could be process or organizational measures.

• **Integration**: Integration is alignment and harmonization among processes, plans, measures, actions, and results. Are you tracking results that are important to your organization? Are you harmonizing and collaborating unit performance measures that help using the results in organizational decision making?

# Organization Profile

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

**a. Organizational Environment**

**(1) Product Offerings**

**What are your main product offerings?**

**What is the relative importance of each to your success?**

What mechanisms do you use to deliver your products?

**(2) Mission, Vision, and Values**

**What are your ~~stated~~ mission, vision, and values?**

What are your organization’s core competencies, (areas of greatest expertise, strategically important, and frequently challenging for competitors to imitate) and what is their relationship to your mission?

**(3) Workforce Profile**

**What is your workforce profile?** Describe key segments bytype of employment or contract-reporting relationship, location (including telework), tour of duty, work environment, use of certain family-friendly policies, or other factors. Organizations that also rely on volunteers and interns to accomplish their work should include these groups as part of their workforce.

What recent changes have you experienced in workforce composition or your needs with regard to your workforce?

**What are your workforce or employee groups and segments?**

|  |  |
| --- | --- |
| Key Workforce Groups | Key educational/skill Requirements |
|  |  |
|  |  |

**What are the key drivers (or motivators) that engage them in achieving your mission and vision?**

What are your organizations bargaining units (union representation)?

What are your organization’s special health and safety requirements?

**(4) Assets**

**What are your major facilities, technologies, equipment and Knowledge assets?**

(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 product regulations?

b. Organizational Relationships

(1) Organizational Structure

**What are your organizational leadership structure and governance system?**

What are the reporting relationships among your governance board, senior leaders, and parent organization, as appropriate?

**(2) Customers and Stakeholders**

**What are your key market segments, customer groups, and stakeholder groups, as appropriate?**

**What are their key requirements and expectations for your products, customer support services, and operations?**

|  |  |
| --- | --- |
| Key Customer Groups | Key Requirements |
|  |  |
|  |  |

What are the differences in these requirements and expectations among market segments, customer groups, and stakeholder groups?

(3) Suppliers and Partners

What are your key types of suppliers, partners, and collaborators?

What role do they play in your work systems, especially in producing and delivering your key products and customer support services; and

What role do they play in enhancing your competitiveness?

What are your key mechanisms for two-way communication with suppliers, partners, and collaborators?

What role, if any, do these organizations play in contributing and implementing innovations in your organization?

What are your key supply-chain requirements?

P.2 Organizational Situation: What is your organization’s strategic situation?

a. Competitive Environment

(1) Competitive Position

**What is your competitive position?**

**What are your relative size and growth in your industry or the markets you serve?**

**How many and what types of competitors do you have? (who are your key, or perhaps top 2-3 competitors)**

(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 (- L3-4) are available from within your industry?

What key sources of comparative data are available from outside your 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 business, 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?**

# Segments

SEGMENT: One part of your organization’s customer, market, product offering, or workforce base. Segments typically have common characteristics that allow logical groupings. In Criteria results items, segmentation refers to disaggregating results data in a way that allows for meaningful analysis of your organization’s performance. It is up to each organization to determine the factors that it uses to segment its customers, markets, products, and workforce.

Understanding segments is critical to identifying the distinct needs and expectations of different customer, market, and workforce groups and to tailoring product offerings to meet their needs and expectations. For example, you might segment your market based on distribution channels, business volume, geography, or technologies employed. You might segment your workforce based on geography, skills, needs, work assignments, or job classifications.

The following segments are taken from the Organizational Profile

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Customer Segments | Workforce  Segments | Market Segments | Product Offerings | Others as Identified in Organizational Profile | Others as Identified in Organizational Profile |
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# Leadership

1.1 Senior Leadership: **How do your senior leaders lead the organization?**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **(1) How do senior leaders set your organization’s vision and values?** How do you develop and update/review your mission, vision, and values? | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
| **(3) How do senior leaders communicate with and engage the entire workforce and key customers?** Describe how senior leaders communicate with your workforce and with key customers? | |  |  |  |  |
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|  | |  |  |  |  |
| (4) How do senior leaders’ actions build an organization that is successful now and in the future? | |  |  |  |  |
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1.2 Governance and Societal Responsibilities: **How do you govern your organization and fulfill your societal responsibilities?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| (1) How does your organization ensure responsible governance? |  |  |  |  |
|  |  |  |  |  |
| **(2) How do you evaluate the performance of your senior leaders, including the chief executive, and your governance board?** |  |  |  |  |
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| (5) How do you consider societal well-being and benefit as part of your strategy and daily operations? Describe how your organization contributes to the community as a corporate citizen? |  |  |  |  |
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7.4 Leadership and Governance Results**: What are your senior leadership and governance results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **(1) What are your results for senior leaders’ communication and engagement with the workforce and customers?** |  |  |  |  |
|  |  |  |  |  |
| (2) What are your results for governance accountability? Summarize your key senior leadership and governance results, including those for fiscal accountability, legal compliance, and ethical behavior? |  |  |  |  |
|  |  |  |  |  |
| (3) What are your legal and regulatory results? |  |  |  |  |
|  |  |  |  |  |
| (4) What are your results for ethical behavior? |  |  |  |  |
|  |  |  |  |  |
| (5) What are your results for societal responsibilities and support of your key communities? |  |  |  |  |
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# Strategy

2.1 Strategy Development**: How do you develop your strategy?**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **(1) How do you conduct your strategic planning?** What is your role in strategic planning? Can you describe your strategic planning process? | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
| **(3) How do you collect and analyze relevant data and develop information for your strategic planning process?** How do you maximize your strategic advantages? How do you minimize risk from strategic challenges? | |  |  |  |  |
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| (5) What are your organization’s key strategic objectives and timetable for achieving them? | |  |  |  |  |
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2.2 Strategy Implementation**: How do you implement your strategy?**

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| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
|  |  |  |  |  |
|  |  |  |  |  |
| **(2) How do you deploy your action plans?** |  |  |  |  |
|  |  |  |  |  |
| (3) How do you ensure that financial and other resources are available to support the achievement of your action plans while you meet current obligations? |  |  |  |  |
|  |  |  |  |  |
| (4) What are your key workforce plans to support your short- and longer-term strategic objectives and action plans? |  |  |  |  |
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| (7) How do you establish and implement modified action plans if circumstances require a shift in plans and rapid execution of new plans? |  |  |  |  |
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# Customers

3.1 Voice of the Customer**:** How do you obtain information from your customers?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **(1) How do you listen to, interact with, and observe customers to obtain actionable information?** How do your customers communicate with you? | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
| (4) How do you determine product offerings? How do you decide what services to offer your customers? | |  |  |  |  |
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3.2 Customer Engagement**:** How do you engage customers by serving their needs and building relationships?

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| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **(1) How do you build and manage customer relationships?** |  |  |  |  |
|  |  |  |  |  |
| **(2) How do you enable customers to seek information and support?** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| (3) How do you manage customer complaints? |  |  |  |  |
|  |  |  |  |  |
| **(4) How do you determine customer satisfaction, dissatisfaction, and engagement?** |  |  |  |  |
|  |  |  |  |  |
| (6) How do you use voice-of-the-customer and market data and information? |  |  |  |  |

7.2 Customer-Focused Results**: What are your customer-focused performance results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **(1) What are your customer satisfaction and dissatisfaction results?** |  |  |  |  |
|  |  |  |  |  |
| (2) What are your customer engagement results? |  |  |  |  |
|  |  |  |  |  |

# Measurement, Analysis, and Knowledge Management

4.1 Measurement, Analysis, and Improvement of Organizational Performance**: How do you measure, analyze, and then improve organizational performance?**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **(1) How do you track data and information on daily operations and overall organizational performance?** | |  |  |  |  |
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| **(4) How do you review your organization’s performance and capabilities?** Describe how you measure, analyze, review, and improve organizational performance? | |  |  |  |  |
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| (6) How do you use findings from performance reviews to develop priorities for continuous improvement and opportunities for innovation? | |  |  |  |  |
|  | |  |  |  |  |

4.2 Knowledge Management, Information, and Information Technology: How do you manage your organizational knowledge assets, information, and information technology infrastructure?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **(1) How do you verify and ensure the quality of organizational data and information?** |  |  |  |  |
|  |  |  |  |  |
| **(2) How do you ensure the availability of organizational data and information?** |  |  |  |  |
|  |  |  |  |  |
| (3) How do you build and manage organizational knowledge? How do you manage and expand on your knowledge assets and learn? |  |  |  |  |
|  |  |  |  |  |
| (4) How do you share best practices in your organization? |  |  |  |  |
|  |  |  |  |  |
| **(5) How do you use your knowledge and resources to embed learning in the way your organization operates? Embedding learning in the way your organization operates means that learning (1) is a part of everyday work; (2) results in solving problems at their source** |  |  |  |  |
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7.5 Financial and Market Results**: What are your financial and marketplace performance results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **(1) What are your financial performance results? What financial performance do you monitor and why? How do these results differ by segments?** |  |  |  |  |
|  |  |  |  |  |
| (2) What are your marketplace performance results? |  |  |  |  |
|  |  |  |  |  |

# Workforce

5.1 Workforce Environment**: How do you build an effective and supportive workforce environment?**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| (1) How do you assess your workforce capability and capacity needs? How do you keep track of your workforce capacity (staffing levels) and capability (knowledge and skills)? | |  |  |  |  |
|  | |  |  |  |  |
| **(2) How do you recruit, hire, place, and retain new workforce members?** How do you go about recruiting and hiring new staff? | |  |  |  |  |
|  | |  |  |  |  |
| (4) How do you organize and manage your workforce? | |  |  |  |  |
|  | |  |  |  |  |
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|  | |  |  |  |  |
| **(5) How do you ensure workplace health, security, and accessibility for the workforce?** | |  |  |  |  |
|  | |  |  |  |  |
| (6) How do you support your workforce via services, benefits, and policies? | |  |  |  |  |
|  | |  |  |  |  |

5.2 Workforce Engagement**: How do you engage your workforce to achieve a high-performance work environment?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **(1) How do you determine the key drivers of workforce engagement?** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| (2) How do you assess workforce engagement? |  |  |  |  |
|  |  |  |  |  |
| (3) How do you foster an organizational culture that is characterized by open communication, high performance, and an engaged workforce? |  |  |  |  |
|  |  |  |  |  |
| (4) How does your workforce performance management system support high performance and workforce engagement? |  |  |  |  |
|  |  |  |  |  |
| (5) How does your learning and development system support the organization’s needs and the personal development of your workforce members, managers, and leaders? |  |  |  |  |
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7.3 Workforce-Focused Results**:** What are your workforce-focused performance results?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| (1) What are your workforce capability and capacity results? |  |  |  |  |
|  |  |  |  |  |
| (2) What are your workforce climate results? |  |  |  |  |
|  |  |  |  |  |
| **(3) What are your workforce engagement results?** |  |  |  |  |
|  |  |  |  |  |
| (4) What are your workforce and leader development results? |  |  |  |  |
|  |  |  |  |  |

# Operations

6.1 Work Processes**:** How do you design, manage, and improve your key products and work processes?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **(3)** **How do you design your products and work processes to meet requirements**? How do you develop your key processes to ensure value to your customers? | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
| **(4) How does your day-to-day operation of work processes ensure that they meet key process requirements?** Describe how you design services that achieve organizational success and sustainability? | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
|  | |  |  |  |  |
| **(6) How do you improve your work processes to improve products and performance, enhance your core competencies, and reduce variability?** | |  |  |  |  |
|  | |  |  |  |  |
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6.2 Operational Effectiveness**: How do you ensure effective management of your operations?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| (1) How do you control the costs, (efficiency and effectiveness) of your operations? |  |  |  |  |
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7.1 Product and Process Results**: What are your product performance and process effectiveness results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| (1) What are your results for your products and your customer service processes? |  |  |  |  |
|  |  |  |  |  |
| **(2) What are your process effectiveness and efficiency results?** Summarize your operational results and process effectiveness and efficiency results? |  |  |  |  |
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