

KyCPE Level 3 Application Workbook

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# Introduction

This workbook was created by the Examiner Committee of the Kentucky Center for Performance Excellence (KyCPE) Board as a guide to assist organizations in applying for the Level 3 recognition award administered through KyCPE. This document should be used in combination with the KyCPE Level 3 – 4 Application instructions which can be found at: [https://www.kycpe.org/award-application](about:blank) .

The workbook is broken down into sections as it is related to the Baldrige Excellence Builder, and starts with a brief glossary of key terms, has a section for the applicant to place the various segments that were identified in the Organizational Profile, 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.

About the Application

The Organizational Profile is limited to five pages and must be formatted for standard 8.5 x 11 inch paper using 10 point minimum Arial font and a two column, portrait orientation.

The Criteria Response Report must:

* be typed on standard, 8-1/2 x 11 inch paper in a Arial font of 10 point minimum; and
* use a two-column, portrait orientation format Pages may be printed on both sides. Type on pages (including pictures, graphs, figures, data tables, and appendices) must also meet these requirements for size and spacing. Use MS Word or equivalent.

Page Limits

The length of the Application Report should fall within the following ranges (Organizational Profile pages are not counted in these limits):

* Level 3 Application – 35 page maximum and addresses each question that is included in this document.

Filling out the Application Workbook

It is recommended that for a Level 3 Applicant 9 months be scheduled for writing the application. Shorter time periods are helpful to make the examiner feedback more current to the applicant but most applicants find that answering the questions in the criteria framework is a learning experience and takes time.

For each question below begin by placing the Team Leader and Team Members into the appropriate Category team, and then answer each question to the best of your ability and place the response underneath the original question. If you do not have the answer to a particular question, this may represent an area that the organization does not have a defined process for addressing and may represent an opportunity for improvement. The questions follow the sequence of first identifying what your processes are, and then what measurements or results you have obtained for the given process. Leave the right hand columns blank (A, D, L, I) (Le, T, C, I). It can be used as a reminder that process question answers should address the Approach, Deployment and Integration of the process throughout the organization and should include examples of Learning, where applicable.

When all the questions have been answered it is best to have one editor that can work with all the teams to meld their individual team responses into an application that feels like it is written in one voice.

Example Section:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: *Enter Name of Team Leader* | Team Members: *Enter Names of all team members* | | | | |
|  | |  |  |  |  |
|  | |  |  |  |  |
| **(1) How do you determine key product\* and work process requirements?** | |  |  |  |  |
| *Place the answer to question (1) in this area* | |  |  |  |  |

If you have a question related to filling out this workbook feel free to contact the Examination Team at: [Examteam@kycpe.org](about:blank) .

# Key Terms

Categories 1–6 (pages 7–12 Baldrige Excellence Builder) 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 your organization’s work? How effective are your key approaches?

• **Deployment**: How consistently are your key approaches used in relevant parts of your organization?

• **Learning**: How well have you evaluated and improved your key approaches? Have improvements been shared within your organization? Has new knowledge led to innovation?

• **Integration**: How do your approaches align to your current and future organizational needs? For the five items in category 7 (page 13 Baldrige Excellence Builder), report on the results that are the most important to your organization’s success:

• **Levels**: What is your current performance?

• **Trends**: Are the results improving, staying the same, or getting worse?

• **Comparisons**: How does your performance compare with that of other organizations and competitors, or with benchmarks?

• **Integration**: Are you tracking results that are important to your organization? Are you using the results in decision making?

Note: See the 2019-2020 Baldrige Excellence Builder or Baldrige Framework Booklet for additional definitions if needed.

# 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 |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

# Leadership

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **a(1) How do senior leaders set your organization’s vision and values?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) How do senior leaders’ personal actions demonstrate their commitment to legal and ethical behavior?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) How do senior leaders communicate with and engage the entire workforce, key partners and key customers?** | |  |  |  |  |
|  | |  |  |  |  |
| **c(1) How do senior leaders create an environment for success now and in the future?** | |  |  |  |  |
|  | |  |  |  |  |
| **c(2) How do senior leaders create a focus on action that will achieve the organization’s mission?** | |  |  |  |  |
|  | |  |  |  |  |

1.2 Governance and Societal Responsibilities: **How do you govern your organization and make societal contributions?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a(1) How does your organization ensure responsible governance?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) How do you evaluate the performance of your senior leaders and your governance board?** |  |  |  |  |
|  |  |  |  |  |
| **b(1) How do you address current and anticipate future legal, regulatory, and community concerns with your products and operations?** |  |  |  |  |
|  |  |  |  |  |
| **b(2) How do you promote and ensure ethical behavior in all interactions?** |  |  |  |  |
|  |  |  |  |  |
| **c(1) How do you consider societal well-being and benefit as part of your strategy and daily operations?** |  |  |  |  |
|  |  |  |  |  |
| **c(2) How do you actively support and strengthen your key communities?** |  |  |  |  |
|  |  |  |  |  |

7.4 Leadership and Governance Results**: What are your senior leadership and governance results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **a(1) What are your results for senior leaders’ communication and engagement with the workforce, partners, and customers?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) What are your results for governance accountability?** |  |  |  |  |
|  |  |  |  |  |
| **a(3) What are your legal and regulatory results?** |  |  |  |  |
|  |  |  |  |  |
| **a(4) What are your results for ethical behavior?** |  |  |  |  |
|  |  |  |  |  |
| **a(5) What are your results for societal well-being and support of your key communities?** |  |  |  |  |
|  |  |  |  |  |

# Strategy

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **a(1) How do you conduct your strategic planning?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) How does your strategy development process stimulate and incorporate innovation?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(3) How do you collect and analyze relevant data and develop information for use in your strategic planning process?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(4) How do you decide which key processes will be accomplished by your workforce and which by external suppliers, partners and collaborators?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) What are your organization’s key strategic objectives and timetable for achieving them?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(2) How do your strategic objectives achieve appropriate balance among varying and potentially competing organizational needs?** | |  |  |  |  |
|  | |  |  |  |  |

2.2 Strategy Implementation**: How do you implement your strategy?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a(1) What are your key short- and longer-term action plans?** |  |  |  |  |
|  |  |  |  |  |
| **a(2 ) How do you deploy your action plans?** |  |  |  |  |
|  |  |  |  |  |
| **a(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?** |  |  |  |  |
|  |  |  |  |  |
| **a(4) What are your key workforce plans to support your short- and longer-term strategic objectives and action plans?** |  |  |  |  |
|  |  |  |  |  |
| **a(5) What key performance measures or indicators do you use to track the achievement and effectiveness of your action plans?** |  |  |  |  |
|  |  |  |  |  |
| **a(6) For these key performance measures or indicators, what are your performance projections for your short- and longer-term planning horizons?** |  |  |  |  |
|  |  |  |  |  |
| **(b)** **How do you recognize and respond when circumstances require a shift in action plans and rapid execution of new plans?** |  |  |  |  |
|  |  |  |  |  |

# Customers

3.1 Voice of the Customer**: How do you listen to your customers and determine products and services to meet their needs?**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **a(1) How do you listen to, interact with, and observe customers to obtain actionable information?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) How do you listen to potential customers to obtain actionable information?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) How do you determine your customer groups and market segments?** | |  |  |  |  |
|  | |  |  |  |  |
| b(2**) How do you determine your product offerings**? | |  |  |  |  |
|  | |  |  |  |  |

3.2 Customer Engagement**: How do you build relationships with customers and determine satisfaction and engagement?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a(1) How do you build and manage customer relationships?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) How do you enable customers to seek information and support?** |  |  |  |  |
|  |  |  |  |  |
| **a(3) How do you manage customer complaints?** |  |  |  |  |
|  |  |  |  |  |
| **b(1) How do you determine customer satisfaction, dissatisfaction, and engagement?** |  |  |  |  |
|  |  |  |  |  |
| **b(2) How do you obtain information on customers’ satisfaction with your organization relative to other organizations?** |  |  |  |  |
|  |  |  |  |  |
| **c(1) 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 |
| **a(1) What are your customer satisfaction and dissatisfaction results?** |  |  |  |  |
|  |  |  |  |  |
| **a(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: | | | | |
| **a(1) How do you track data and information on daily operations and overall organizational performance?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) How do you select e comparative data and information to support fact-based decision making ?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(3) How do you ensure that your performance measurement system can respond to rapid or unexpected organizational or external changes and provide timely data?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) How do you review your organization’s performance and capabilities?** | |  |  |  |  |
|  | |  |  |  |  |
| **c(1) How do you project your organization’s future performance?** | |  |  |  |  |
|  | |  |  |  |  |
| **c(2) 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 information and your organizational knowledge assets?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a(1) How do you verify and ensure the quality of organizational data and information?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) How do you ensure the availability of organizational data and information?** |  |  |  |  |
|  |  |  |  |  |
| **b(1) How do you build and manage organizational knowledge?** |  |  |  |  |
|  |  |  |  |  |
| **b(2) How do you share best practices in your organization?** |  |  |  |  |
|  |  |  |  |  |
| **b(3) How do you use your knowledge and resources to embed learning in the way your organization operates?** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

7.5 Financial and Market Results**: What are your results for financial viability and strategy implementation?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **a(1) What are your financial performance results?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) What are your marketplace performance results?** |  |  |  |  |
|  |  |  |  |  |
| **b What are your results for the achievement of your organizational strategy and action plans?** |  |  |  |  |
|  |  |  |  |  |

# Workforce

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Criteria | | A | D | L | I |
| Team Lead: | Team Members: | | | | |
| **a(1) How do you assess your workforce capability and capacity needs?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) How do you recruit, hire, place, and onboard new workforce members?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(3) How do you prepare your workforce for changing capability and capacity needs?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(4) How do you organize and manage your workforce?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) How do you ensure workplace health, security, and accessibility for the workforce?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(2) How do you support your workforce via services, benefits, and policies?** | |  |  |  |  |
|  | |  |  |  |  |

5.2 Workforce Engagement**: How do you engage your workforce for retention and high performance?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a(1) How do you determine the key drivers of workforce engagement?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) How do you assess workforce engagement?** |  |  |  |  |
|  |  |  |  |  |
| **B How do you foster an organizational culture that is characterized by open communication, high performance, and an engaged workforce?** |  |  |  |  |
|  |  |  |  |  |
| **c(1) How does your workforce performance management system support high performance?** |  |  |  |  |
|  |  |  |  |  |
| **c(2) How does your learning and development system support the personal development of your workforce members and your organization’s needs?** |  |  |  |  |
|  |  |  |  |  |
| **c(3) How do you evaluate the effectiveness and efficiency of your learning and development system?** |  |  |  |  |
|  |  |  |  |  |
| **c(4) How do you manage career progression for your workforce and your future leaders?** |  |  |  |  |
|  |  |  |  |  |

7.3 Workforce-Focused Results**: What are your workforce-focused performance results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **a(1) What are your workforce capability and capacity results?** |  |  |  |  |
|  |  |  |  |  |
| **a(2) What are your workforce climate results?** |  |  |  |  |
|  |  |  |  |  |
| **a(3) What are your workforce engagement results?** |  |  |  |  |
|  |  |  |  |  |
| **a(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: | | | | |
| **a(1) How do you determine key product and work process requirements?** | |  |  |  |  |
|  | |  |  |  |  |
| **a(2) What are your key work processes?** | |  |  |  |  |
|  | |  |  |  |  |
| a(3) **How do you design your products and work processes to meet requirements**? | |  |  |  |  |
|  | |  |  |  |  |
| **b(1) How does your day-to-day operation of work processes ensure that they meet key process requirements?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(2) How do you determine your key support processes?** | |  |  |  |  |
|  | |  |  |  |  |
| **b(3) How do you improve your work processes and support processes to improve products and performance, enhance your core competencies, and reduce variability?** | |  |  |  |  |
| **c How do you manage your supply network?** | |  |  |  |  |
|  | |  |  |  |  |
| **d How do you pursue your opportunities for innovation?** | |  |  |  |  |
|  | |  |  |  |  |

6.2 Operational Effectiveness**: How do you ensure effective management of your operations?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | A | D | L | I |
| **a How do you manage the cost, efficiency, and effectiveness of your operations?** |  |  |  |  |
|  |  |  |  |  |
| **b How do you ensure the security and cybersecurity of sensitive or privileged data and of key assets?** |  |  |  |  |
|  |  |  |  |  |
| **c(1) How do you provide a safe operating environment?** |  |  |  |  |
|  |  |  |  |  |
| **c(2) How do you ensure that your organization is prepared for disasters or emergencies?** |  |  |  |  |
|  |  |  |  |  |

7.1 Product and Process Results**: What are your product performance and process effectiveness results?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria | Le | T | C | I |
| **a What are your results for your products and your customer service processes?** |  |  |  |  |
|  |  |  |  |  |
| **b(1) What are your process effectiveness and efficiency results?** |  |  |  |  |
|  |  |  |  |  |
| **b(2) What are your safety and emergency preparedness results?** |  |  |  |  |
|  |  |  |  |  |
| **c What are your supply-network management results?** |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **(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?** |  |  |  |  |
|  |  |  |  |  |