Process Scoring Guidelines (For Use with Categories 1–6)

SCORE	DESCRIPTION
0% or 5%	• No SYSTEMATIC APPROACH to item questions is evident; information is ANECDOTAL. (A) • Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D) • An improvement orientation is not evident; improvement is achieved by reacting to problems. (L) • No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)
10%, 15%, 20%, or 25%	• The beginning of a SYSTEMATIC APPROACH to the BASIC QUESTION in the item is evident. (A) • The APPROACH is in the early stages of DEPLOYMENT in most areas or work units, inhibiting progress in achieving the BASIC QUESTION in the item. (D) • Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) • The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)
30%, 35%, 40%, or 45%	• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC QUESTION in the item, is evident. (A) • The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D) • The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L) • The APPROACH is in the early stages of ALIGNMENT with the basic organizational needs identified in response to the Organizational Profile and other process items. (I)
50%, 55%, 60%, or 65%	• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL QUESTIONS in the item, is evident. (A) • The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some areas or work units. (D) • Fact-based, SYSTEMATIC evaluation and improvement, and some examples of use of best practices, instances of INNOVATION, or sharing of refinements, are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) • The APPROACH is ALIGNED with your overall organizational needs as identified in response to the Organizational Profile and other process items. (I)
70%, 75%, 80%, or 85%	• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to MULTIPLE QUESTIONS in the item, is evident. (A) • The APPROACH is well DEPLOYED, with no significant gaps. (D) • Fact-based, SYSTEMATIC evaluation and improvement, adoption of best practices, managing for INNOVATION, and sharing of refinements are KEY tools for improving organizational efficiency and EFFECTIVENESS. (L) • The APPROACH is INTEGRATED with your current and future organizational needs as identified in response to the Organizational Profile and other process items. (I)
90%, 95%, or 100%	• An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE QUESTIONS in the item, is evident. (A) • The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D) • Fact-based, SYSTEMATIC evaluation and improvement, development of best practices, achievement of INNOVATION, and sharing of refinements are KEY organization-wide tools for improving efficiency and EFFECTIVENESS. (L) • The APPROACH is well INTEGRATED with your current and future organizational needs as identified in response to the Organizational Profile and other process items. (I)

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 46–53)

Process Item Evaluation Factors

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

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

- Is the approach systematic (i.e. with repeatable steps, inputs, outputs, and time frames)?

- Is there evidence that the approach is effective in accomplishing the process?

- Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance?

- Are any of the item requirements that are not addressed important to the applicant? (These are known as "gaps" and are recorded as OFIs).

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

- Is deployment addressed?

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

- Is the approach applied consistently?

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

- Has the approach been evaluated and improved? If it has, was the evaluation and improvement conducted in a fact-based, systematic manner (e.g., was it regular, recurring, data driven)?

- Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)?

- Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence that the learning is actually used to drive innovation and refinement)?

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

- How well is the approach aligned with the organizational needs the applicant has identified in the other Criteria items and the Organizational Profile?

- Does the applicant indicate complementary measures and information used for planning, tracking, analysis, and improvement on three levels: the organizational level, the key process level, and the department or work-unit level?

- How well is the approach integrated with organizational needs? Examples of needs are generally listed as key factors – strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements.

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