

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

SCORE	DESCRIPTION
<b>0% or 5%</b>	<ul style="list-style-type: none"> <li>• No <b>SYSTEMATIC APPROACH</b> to item questions is evident; information is <b>ANECDOTAL</b>. (A)</li> <li>• Little or no <b>DEPLOYMENT</b> of any <b>SYSTEMATIC APPROACH</b> is evident. (D)</li> <li>• An improvement orientation is not evident; improvement is achieved by reacting to problems. (L)</li> <li>• No organizational <b>ALIGNMENT</b> is evident; individual areas or work units operate independently. (I)</li> </ul>
<b>10%, 15%, 20%, or 25%</b>	<ul style="list-style-type: none"> <li>• The beginning of a <b>SYSTEMATIC APPROACH</b> to the <b>BASIC QUESTION</b> in the item is evident. (A)</li> <li>• The <b>APPROACH</b> is in the early stages of <b>DEPLOYMENT</b> in most areas or work units, inhibiting progress in achieving the <b>BASIC QUESTION</b> in the item. (D)</li> <li>• Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)</li> <li>• The <b>APPROACH</b> is <b>ALIGNED</b> with other areas or work units largely through joint problem solving. (I)</li> </ul>
<b>30%, 35%, 40%, or 45%</b>	<ul style="list-style-type: none"> <li>• An <b>EFFECTIVE, SYSTEMATIC APPROACH</b>, responsive to the <b>BASIC QUESTION</b> in the item, is evident. (A)</li> <li>• The <b>APPROACH</b> is <b>DEPLOYED</b>, although some areas or work units are in early stages of <b>DEPLOYMENT</b>. (D)</li> <li>• The beginning of a <b>SYSTEMATIC APPROACH</b> to evaluation and improvement of <b>KEY PROCESSES</b> is evident. (L)</li> <li>• The <b>APPROACH</b> is in the early stages of <b>ALIGNMENT</b> with the basic organizational needs identified in response to the <b>Organizational Profile</b> and other process items. (I)</li> </ul>
<b>50%, 55%, 60%, or 65%</b>	<ul style="list-style-type: none"> <li>• An <b>EFFECTIVE, SYSTEMATIC APPROACH</b>, responsive to the <b>OVERALL QUESTIONS</b> in the item, is evident. (A)</li> <li>• The <b>APPROACH</b> is well <b>DEPLOYED</b>, although <b>DEPLOYMENT</b> may vary in some areas or work units. (D)</li> <li>• A fact-based, <b>SYSTEMATIC</b> evaluation and improvement <b>PROCESS</b> and some organizational <b>LEARNING</b>, including some <b>INNOVATION</b>, are in place for improving the efficiency and <b>EFFECTIVENESS</b> of <b>KEY PROCESSES</b>. (L)</li> <li>• The <b>APPROACH</b> is <b>ALIGNED</b> with your overall organizational needs as identified in response to the <b>Organizational Profile</b> and other process items. (I)</li> </ul>
<b>70%, 75%, 80%, or 85%</b>	<ul style="list-style-type: none"> <li>• An <b>EFFECTIVE, SYSTEMATIC APPROACH</b>, responsive to <b>MULTIPLE QUESTIONS</b> in the item, is evident. (A)</li> <li>• The <b>APPROACH</b> is well <b>DEPLOYED</b>, with no significant gaps. (D)</li> <li>• Fact-based, <b>SYSTEMATIC</b> evaluation and improvement and organizational <b>LEARNING</b>, including <b>INNOVATION</b>, are <b>KEY</b> management tools; there is clear evidence of refinement as a result of organizational-level <b>ANALYSIS</b> and sharing. (L)</li> <li>• The <b>APPROACH</b> is <b>INTEGRATED</b> with your current and future organizational needs as identified in response to the <b>Organizational Profile</b> and other process items. (I)</li> </ul>
<b>90%, 95%, or 100%</b>	<ul style="list-style-type: none"> <li>• An <b>EFFECTIVE, SYSTEMATIC APPROACH</b>, fully responsive to the <b>MULTIPLE QUESTIONS</b> in the item, is evident. (A)</li> <li>• The <b>APPROACH</b> is fully <b>DEPLOYED</b> without significant weaknesses or gaps in any areas or work units. (D)</li> <li>• Fact-based, <b>SYSTEMATIC</b> evaluation and improvement and organizational <b>LEARNING</b> through <b>INNOVATION</b> are <b>KEY</b> organization-wide tools; refinement and <b>INNOVATION</b>, backed by <b>ANALYSIS</b> and sharing, are evident throughout the organization. (L)</li> <li>• The <b>APPROACH</b> is well <b>INTEGRATED</b> with your current and future organizational needs as identified in response to the <b>Organizational Profile</b> and other process items. (I)</li> </ul>

*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 questions in categories 1-6. Approach includes the appropriateness of the methods to the item questions.

- 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 questions 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 questions 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, workforce capability and capacity, 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, workforce capability and capacity, 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.