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How to Use the Baldrige Criteria and HSAS to Assess Your Organization

The alignment of the Baldrige Criteria with the color-coded Homeland Security Advisory System (HSAS) provides a unique assessment methodology for an organization to gauge its homeland security vulnerabilities and readiness in case of a major terrorist attack. Both the Baldrige Criteria and HSAS have been recognized as “best practice” initiatives for organizations to use to assess and to ensure that their performance excellence and security is competitive in the global marketplace.

An organization would want to assess itself using the Baldrige Criteria because thousands of U.S. organizations stay abreast of ever-increasing competition and improve performance excellence using this internationally recognized quality standard. The criteria help an organization align resources and approaches and improve corporate-wide communications, productivity, and effectiveness.

The Baldrige assessment scoring system is based on two evaluation dimensions: (1) process and (2) results. Each dimension should be considered before assigning a percentage score. All process evaluation dimension categories are linked to results, as well as being linked to each other. In addition, each of the categories assessed will have Homeland Security Scoring Profiles based on the Homeland Security Advisory System to help facilitate the scoring process.

Process Evaluation Dimension (Baldrige Categories 1–6)

“Process” refers to the methods your organization uses and improves to address the item requirements in Categories 1–6. The four factors used to evaluate process are approach, deployment, learning, and integration (A-D-L-I).

“Approach” (A) refers to:

- The methods used to accomplish the process.
- The appropriateness of the methods to the item requirements.
- The effectiveness of use of the methods.
- The degree to which the approach is repeatable and based on reliable data and information (i.e., systematic).

“Deployment” (D) refers to the extent to which:

- Your approach is applied in addressing item requirements relevant and important to your organization.
- Your approach is applied consistently.
- Your approach is used by all appropriate work units.

“Learning” (L) refers to:

- Refining your approach through cycles of evaluation and improvement.
- Encouraging breakthrough change to your approach through innovation.
- Sharing of refinements and innovation with other relevant work units and processes in your organization.

“Integration” (I) refers to the extent to which:

- Your approach is aligned with your organizational needs identified in other criteria item requirements.
- Your measures, information, and improvement systems are complementary across processes and work units.
- Your plans, processes, results, analysis, learning, and actions are harmonized across processes and work units to support organization-wide goals.

Results Evaluation Dimension (Baldrige Category 7)

“Results” refers to your organization’s outputs and outcomes in achieving the requirements in items 7.1–7.6. The five factors used to evaluate results are performance levels, trends, comparisons, linkage, and gap (Le-T-C-Li-G).

“Performance Levels” (Le) refers to:

- Performance position of data
- Rank of data performance
- Current data performance
- Numerical information that places or positions the organization’s results and performance on a meaningful measurement scale

“Trends” (T) refers to:

- Ratio (i.e., slope of trend data)
- Breadth (i.e., how widely deployed and shared)

“Comparisons” (C) refers to:

- Performance relative to appropriate comparisons
- Comparisons against exemplary results

“Linkage” (Li) refers to:

- Alignment of data to important customer product and service, process, and action plan performance requirements
- Complementary measures and results that are aligned throughout many parts of the organization
- Connective measures throughout the organization that drive key organizational strategies and goals

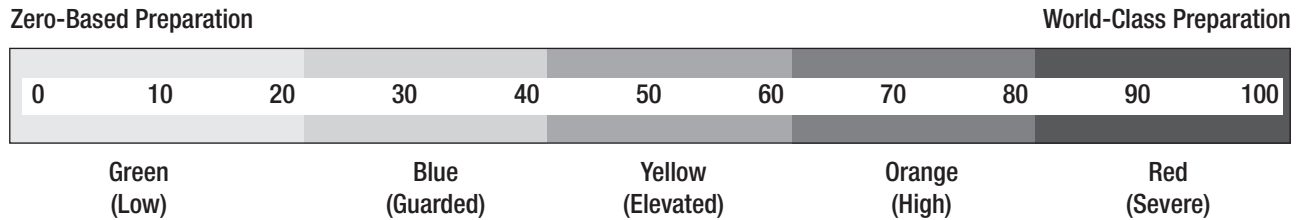
“Gap” (G) refers to:

- An interval in results data
- Missing segments of data

“Importance” as a Scoring Consideration

The two evaluation dimensions, described in the previous section, are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the importance of your reported process and results to your organization’s key business factors (i.e., key customer requirements, competitive environment, key strategic objectives, and action plans).

The percent scores range from a low of 0% for zero-based preparation to a high of 100% for world-class preparation. An organization can be 0% (zero-based) in some areas and 100% (world-class) in others. The anchor point is 50%, which is middle range. Many organizations fall below the 50% anchor point regarding homeland security preparation. The 50% anchor point is considered to be good, but certainly below what an organization that is striving to be the “best-in-class” in homeland security preparation among leading organizations would score.



(Circle Appropriate Percentile)

Organizations that score 0% have an anecdotal approach, lack deployment, and have no meaningful results. Organizations that score 100% reflect a refined, very mature approach that is deployed and well adapted with sustainable results in all relevant areas of the organization.

S M I T H P A U L A 1 0 0 8 T S

BALDRIGE SCORING GUIDELINES**For use with Categories 1–6**

Score	Process
0–5%	<ul style="list-style-type: none"> • No systematic approach is evident; information is anecdotal. (A) • Little or no deployment of an approach is evident. (D) • No evidence of an improvement orientation; improvement is achieved through reacting to problems.(L) • No organizational alignment is evident; individual areas or work units operate independently. (I)
10–25%	<ul style="list-style-type: none"> • The beginning of a systematic approach to the basic requirements of 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 requirements of 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)
30–45%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the basic requirements of 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 early stages of alignment with your basic organizational needs identified in response to the other criteria categories. (I)
50–65%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the overall requirements of the item, is evident. (A) • The approach is well deployed, although deployment may vary in some areas or work units. (D) • A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes. (L) • The approach is aligned with your organizational needs identified in response to the other criteria categories. (I)
70–85%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the multiple requirements of the item, is evident. (A) • The approach is well deployed, with no significant gaps. (D) • Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing.(L) • The approach is integrated with your organizational needs identified in response to the other criteria items. (I)
90–100%	<ul style="list-style-type: none"> • An effective, systematic approach, fully responsive to the multiple requirements of 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 and organizational learning are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L) • The approach is well integrated with your organizational needs identified in response to the other criteria items. (I)

Process Evaluation Factors

A = Approach D = Deployment L = Learning I = Integration

BALDRIGE SCORING GUIDELINES**For use with Category 7**

Score	Process
0–5%	<ul style="list-style-type: none"> • There are no business results or poor results in areas reported. (Le) • Trend data are either not reported or show mainly adverse trends. (T) • Comparative information is not reported. (C) • Results are not reported for any areas of importance to your organization's key business requirements. (Li) • No results are reported for most key organizational initiatives. (G)
10–25%	<ul style="list-style-type: none"> • A few business results are reported; there are some improvements and/or early good performance levels in a few areas. (Le) • Little or no trend data are reported. (T) • Little or no comparative information is reported. (C) • Results are reported for a few areas of importance to your organization's key business requirements. (Li) • Limited results are reported for many organizational initiatives. (G)
30–45%	<ul style="list-style-type: none"> • Improvements and/or good performance levels are reported in many areas addressed in the item requirements. (Le) • Early stages of developing trends are evident. (T) • Early stages of obtaining comparative information are evident. (C) • Results are reported for many areas of importance to your organization's key business requirements. (Li) • Several results are reported with some missing segments. (G)
50–65%	<ul style="list-style-type: none"> • Improvement trends and/or good performance levels are reported for most areas addressed in the item requirements. (Le) • No pattern of adverse trends and no poor performance levels are evident in areas of importance to your organization's key business requirements. (T) • Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of good to very good relative performance. (C) • Business results address most key customer, market, and process requirements. (Li) • Some results are missing in key areas. (G)
70–85%	<ul style="list-style-type: none"> • Current performance is good to excellent in most areas of importance to the item requirements. (Le) • Most improvement trends and/or current performance levels are sustained. (T) • Many to most reported trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance. (C) • Business results address most key customer, market, process, and action plan requirements. (Li) • A few results have missing segments. (G)
90–100%	<ul style="list-style-type: none"> • Current performance is excellent in most areas of importance to the item requirements. (Le) • Excellent improvement trends and/or sustained excellent performance levels are reported in most areas. (T) • Evidence of industry and benchmark leadership is demonstrated in many areas. (C) • Business results fully address key customer, market, process, and action plan requirements. (Li) • Most results are in place with few missing segments. (G)

Results Evaluation Factors

Le = Performance Levels T = Trends C = Comparisons Li =Linkage G = Gap

Scoring Profiles Based on Risk of Attack Levels

Scoring of the 19 Baldrige items can be difficult for an assessment team to complete. Scoring profiles based on the Homeland Security Advisory System are provided in the manual to aid the team's scoring process. The teams should first consider the two dimensions (Process and Results) and review the Baldrige Scoring Guidelines before using the Homeland Security Advisory System Risk of Attack Levels Scoring Profiles section. The scoring profiles will aid the team in further profiling and fine-tuning the percentile range in which the scores should fall.

Presidential Directives for Homeland Security

A presidential directive established the Homeland Security Advisory System to provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to federal, state, and local authorities, to the American public, and to both public and private organizations.

The system creates a common vocabulary, context, and structure for organizations to gauge various levels of protection that are either in place or need to be installed to reduce an organization's vulnerability to various terrorist attacks.

The following threat conditions each represent an increasing risk of terrorist attacks. The Department of Homeland Security has suggested various protective measures for organizations to follow and has provided the following risk of attack level color codes:

Homeland Security Advisory System (HSAS) Risk of Attack Levels

1. **Low Condition (Green).** This condition is declared when there is a low risk of terrorist attacks. Organizations should consider the following general measures in addition to the specific protective measures they develop and implement:
 - Refining and exercising as appropriate preplanned protective measures
 - Ensuring personnel receive proper training on the Homeland Security Advisory System and specific preplanned protective measures
 - Institutionalizing a process to ensure that all facilities are regularly assessed for vulnerabilities to terrorist attacks and all reasonable measures are taken to mitigate these vulnerabilities
2. **Guarded Condition (Blue).** This condition is declared when there is a general risk of terrorist attacks. In addition to the protective measures taken in the low threat condition, organizations should consider the following general measures in addition to specific protective measures that they will develop and implement:
 - Checking communications with designated emergency response or command locations
 - Reviewing and updating emergency response procedures
 - Providing the stakeholders with any information that would strengthen their ability to act appropriately
3. **Elevated Condition (Yellow).** An elevated condition is declared when there is a significant risk of terrorist attacks. In addition to the protective measures taken in previous threat conditions, organizations should consider the following general measures in addition to the protective measures that they will develop and implement:
 - Increasing surveillance of critical locations
 - Coordinating emergency plans as appropriate
 - Assessing whether the precise characteristics of the threat require the further refinement of preplanned protective measures
 - Implementing, as appropriate, contingency and emergency response plans
4. **High Condition (Orange).** A high condition is declared when there is a high risk of terrorist attacks. In addition to the protective measures taken in the previous three conditions, organizations should consider the following general measures in addition to protective measures that they will develop and implement:

- Coordinating necessary security efforts with federal, state, and local law enforcement agencies or any National Guard or other appropriate armed forces organizations
 - Taking additional precautions at public events and possibly considering alternative venues or even cancellation
 - Preparing to execute contingency procedures, such as moving to an alternate site or dispersing the workforce
 - Restricting threatened facility access to essential personnel only
5. **Severe Condition (Red).** A Severe Condition reflects a severe risk of terrorist attacks. Under most circumstances, the protective measures for a severe condition are not intended to be sustained for substantial periods of time. In addition to the protective measures in the previous threat conditions, organizations should consider the following general measures in addition to specific protective measures that they will develop and implement:
- Increasing or redirecting personnel to address critical emergency needs
 - Assigning emergency response personnel and repositioning and mobilizing specially trained teams or resources
 - Monitoring, redirecting, or constraining transportation systems
 - Closing public facilities

Assessment Scores Based on Risk of Attack Levels

Homeland Security Scoring Profiles based on the Homeland Security Advisory System have been developed for the assessment team to use to better gauge their organization's level of preparedness for a major terrorist attack. The higher the score for each question reflects the organization's level of preparation for homeland security.

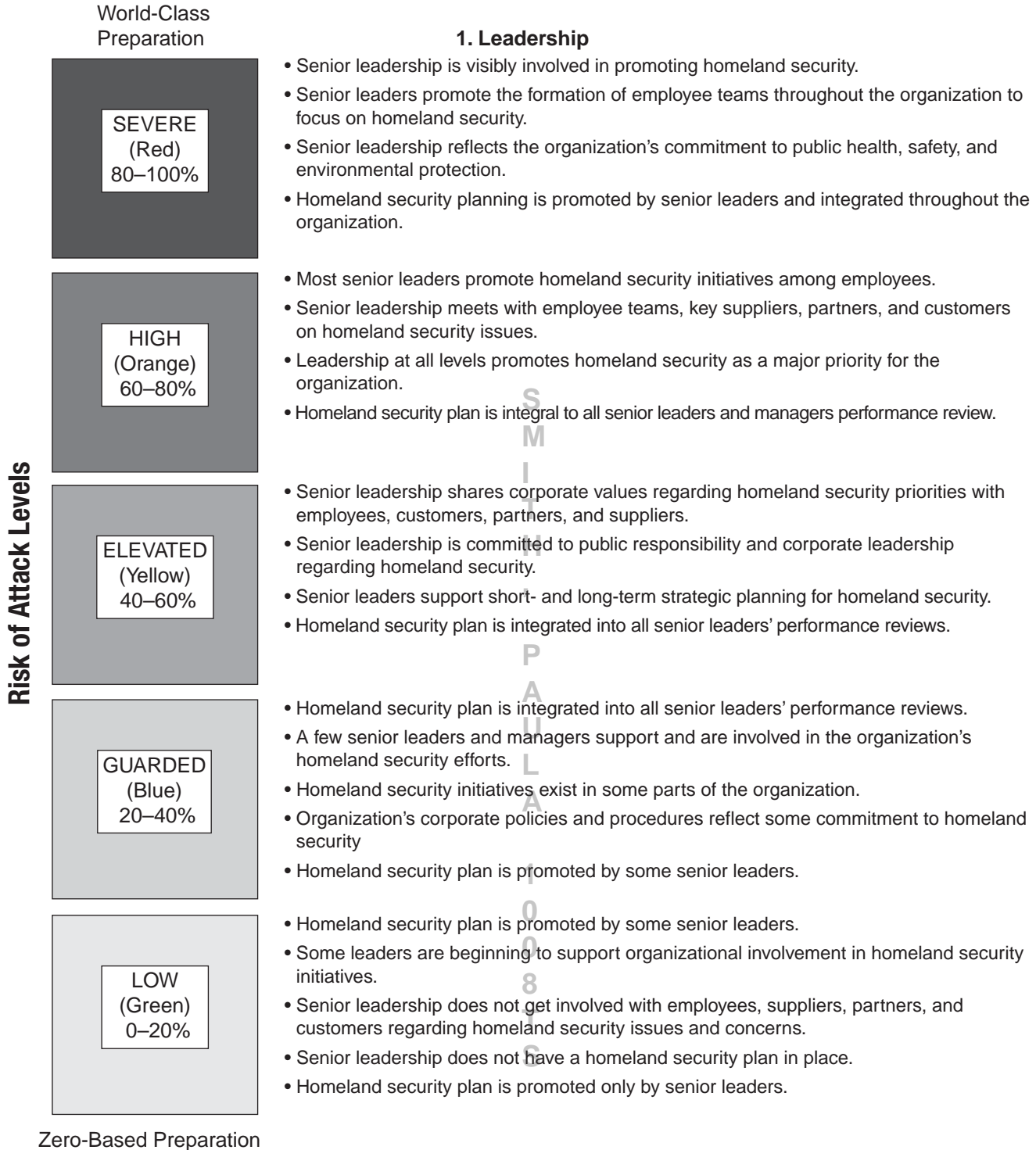
An organization may score in lower percentile color levels within some areas of the assessment. All scores should be aligned with the organization's strategic and business needs that are related to homeland security.

Based on the organization's homeland security needs, it may not be appropriate or cost effective for an organization to consistently score in the upper levels for each question within the assessment. The assessment teams should always refer to their **organizational overview** before assigning a percentile score. After referring to the **organizational overview**, the assessment team(s) should first review the **Baldrige Scoring Guidelines** before reviewing the **Homeland Security Scoring Profiles** listed in this chapter.

The Baldrige Scoring Guidelines should always be considered first by the teams when scoring and then the team(s) should validate their score against the Homeland Security Scoring Profiles to ensure that together both the Baldrige Scoring Guidelines and the Homeland Security Scoring Profiles adequately describe the organization's homeland security preparedness level that each question addresses throughout the assessment.

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)



Process Dimension (Categories 1–6)

Evaluation Factors

- Approach** (methods used to accomplish the process)
- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class Preparation	<div style="border: 1px solid white; padding: 5px; width: fit-content; margin: 0 auto;"> SEVERE (Red) 80–100% </div>	<h3 style="text-align: center;">2. Strategic Planning</h3> <ul style="list-style-type: none"> Organization's strategic planning process includes homeland security initiatives. Organization seeks and receives homeland security input from employees, suppliers, partners, and customers before developing a strategic plan. The strategic planning process for homeland security includes short- and longer-term plans based on key security data, customer, supplier, partner, and employee survey data, and benchmark data deployed throughout the organization. Homeland security is a critical component of the organization's strategic plans and goals.
	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> HIGH (Orange) 60–80% </div>	<ul style="list-style-type: none"> Senior management provides homeland security input and approves the strategic plan. Operational homeland security plans linked to the master strategic plan are developed throughout the organization. Managers are held accountable for meeting strategic homeland security goals and objectives. Homeland security initiatives are aligned throughout the strategic planning process.
	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> ELEVATED (Yellow) 40–60% </div>	<ul style="list-style-type: none"> Operational homeland security plans developed at departmental levels link with master plan. Organization involves employees, suppliers, partners, and customers in homeland security planning process. Managers at all levels are held accountable for meeting homeland security goals and objectives. Homeland security strategic goals and plans initiatives are beginning to be better aligned throughout the organization.
	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> GUARDED (Blue) 20–40% </div>	<ul style="list-style-type: none"> Strategic homeland security goals are established for key functional areas of the organization. Some employees, suppliers, partners, and customers are involved in the homeland security strategic planning. Some senior managers are involved in homeland security planning. Some strategic alignment of homeland security initiatives within the organization is evident.
	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> LOW (Green) 0–20% </div>	<ul style="list-style-type: none"> None to very few employees, suppliers, partners, and customers are involved in planning for homeland security. Homeland security planning is not included in the organization's strategic planning process. Employees beyond senior managers are not involved in planning for homeland security. No organizational alignment is evident for homeland security strategic initiatives.
Zero-Based Preparation		

Process Dimension (Categories 1–6)

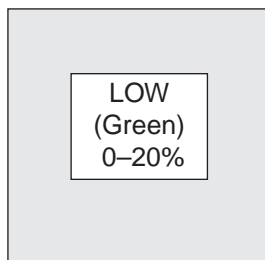
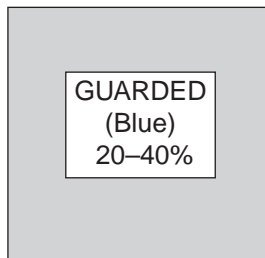
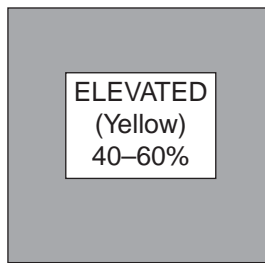
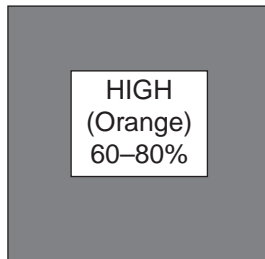
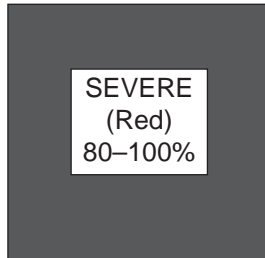
Evaluation Factors

- Approach** (methods used to accomplish the process)
- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation



Risk of Attack Levels

Zero-Based Preparation

3. Customer and Market Focus

- Organization conducts surveys, focus groups, and exit interviews to determine customer requirements for homeland security.
- Organization promotes trust and confidence in its products/services to customers regarding homeland security.
- Organization is continuously gauging customer and market requirements and expectations regarding homeland security issues.
- Homeland security is totally integrated with customer service initiatives.
- Effective feedback systems are in place to obtain critical customer and market data regarding homeland security.
- Customer-contact employees are given homeland security training.
- Logistical support is in place for customers to provide homeland security support.
- Homeland security issues are aligned with customer service initiatives.
- Effective customer support regarding homeland security is in place.
- A complaint management process for customer concerns regarding homeland security is in place.
- Customer-contact employees are trained on homeland security issues.
- Homeland security issues are partially aligned with customer service initiatives.
- Most customer groups and markets are segmented regarding homeland security requirements.
- Customer follow-up system is in place to address homeland security issues.
- Future homeland security expectations and requirements are determined and considered for future implementation among many customers.
- Homeland security is beginning to be aligned with customer initiatives.
- Organization does not consistently promote trust and confidence with customers regarding homeland security issues.
- Organization does not survey its customers/markets regarding homeland security issues.
- Organization does not consider homeland security a customer service issue.
- Homeland security is not integrated into customer service initiatives.

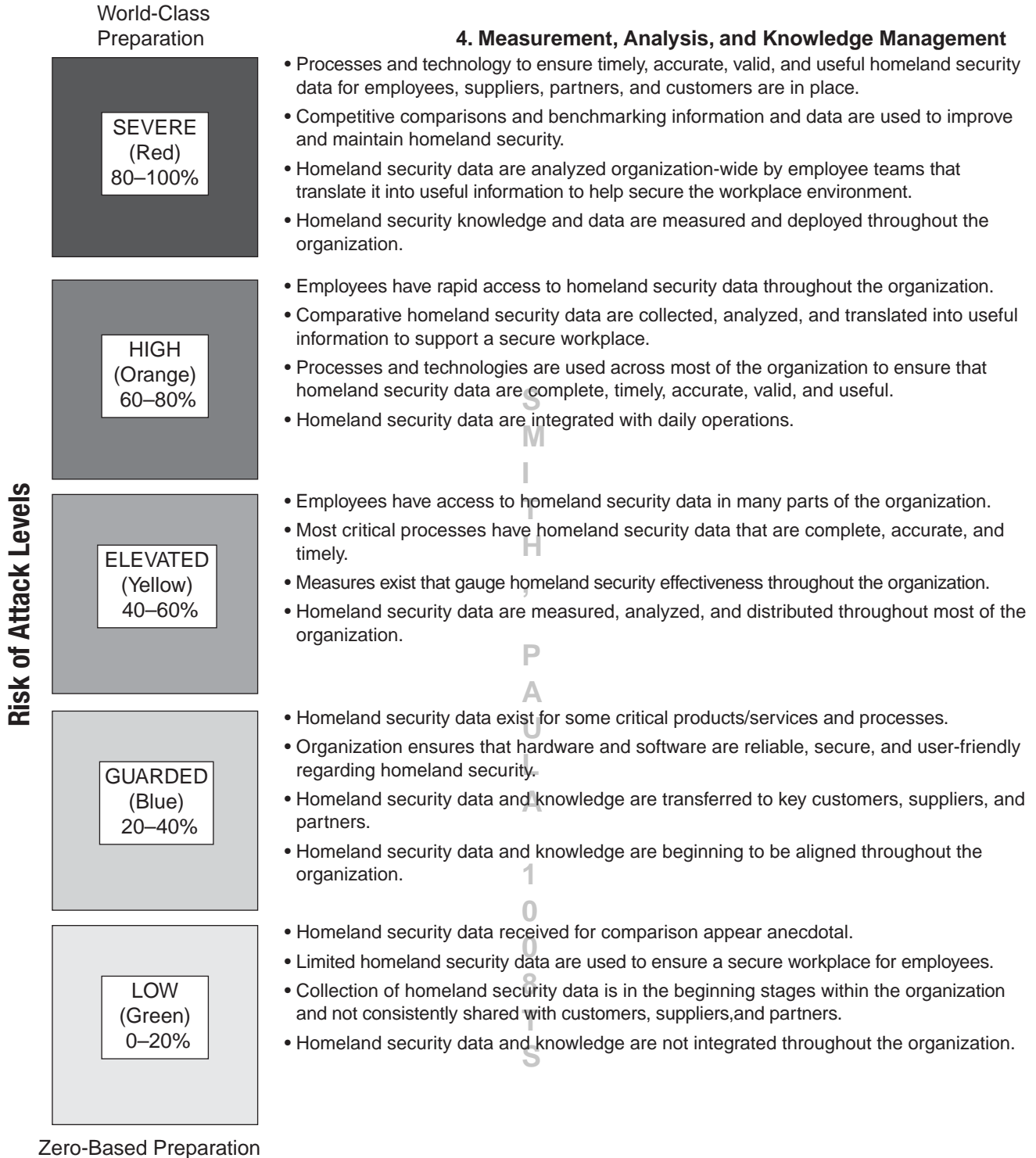
Process Dimension (Categories 1-6)

Evaluation Factors

- Approach** (methods used to accomplish the process)
- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)



Process Dimension (Categories 1–6)

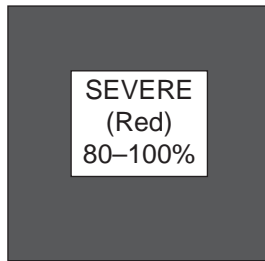
Evaluation Factors

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- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

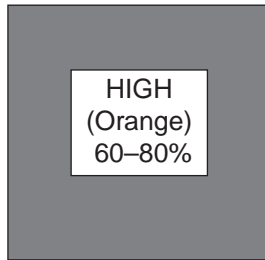
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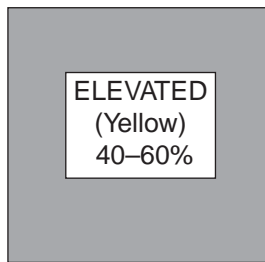
World-Class
Preparation



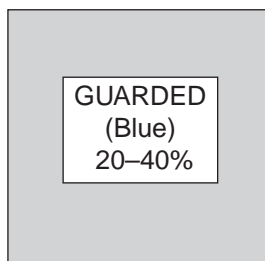
- Organization is highly sensitive to employee well-being and satisfaction regarding homeland security.
- Organization supports homeland security plans and goals through employee education, training, and development initiatives.
- Organization supports workplace preparedness for emergencies and homeland security by promoting cross-functional teams to address and to be recognized for innovative problem-solving approaches in identifying and resolving homeland security issues.
- Homeland security issues are totally integrated within the organization's workforce initiatives.



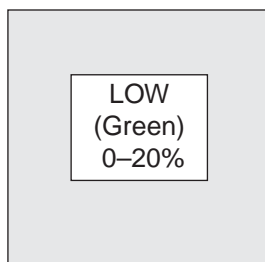
- Senior and middle management support and recognize employee involvement, contributions, and teamwork in resolving homeland security issues.
- Employee idea sharing and innovation is encouraged regarding homeland security.
- Employees are empowered and rewarded when they identify and address homeland security issues.
- Homeland security is integrated with most of the organization's workforce initiatives.



- Homeland security awareness is promoted within many parts of the organization.
- Employees are given homeland security training on an annual basis.
- Management supports cross-functional teams to identify homeland security opportunities for the organization.
- Homeland security issues are partially integrated with the organization's workforce initiatives.



- Managers in some parts of the organization support employee involvement in homeland security.
- Organization does not consistently keep employees informed regarding homeland security issues.
- Employee training initiatives do not consistently address homeland security issues.
- Homeland security is integrated with some workforce training and safety issues.



- Few employees within the organization are empowered to work on homeland security issues.
- Workforce is rarely surveyed regarding its well-being and satisfaction with the organization's homeland security initiatives.
- Employees involved with improving homeland security are seldom recognized by the organization.
- Homeland security is not aligned with workforce issues and a safe work environment.

Risk of Attack Levels

Zero-Based Preparation

5. Human Resource Focus

Process Dimension (Categories 1–6)

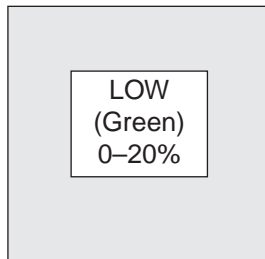
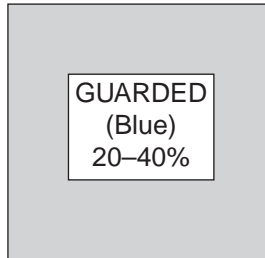
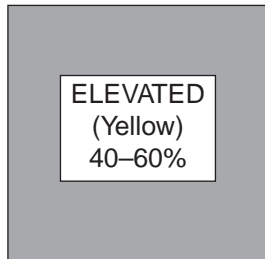
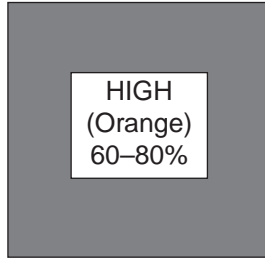
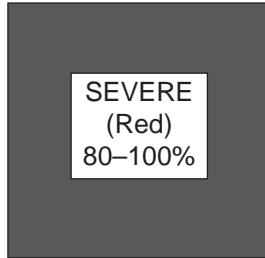
Evaluation Factors

- Approach** (methods used to accomplish the process)
- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation



Risk of Attack Levels

Zero-Based Preparation

6. Process Management

- Key homeland security processes have been identified and documented across the organization.
 - Systematic approaches are used to document key homeland security processes to ensure shortened cycle time and consistent procedures.
 - Critical homeland security processes are reviewed on an ongoing basis to reduce variability and to keep the processes current with homeland security needs and directions.
 - Homeland security initiatives are aligned with key customer, supplier, and partner process initiatives.
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- Key homeland security processes are documented and controlled across the organization.
 - Comprehensive homeland security assessments are conducted throughout the organization on an annual basis.
 - Analytic problem-solving tools are used within the organization to identify and solve homeland security problems.
 - Homeland security issues are aligned with the organization's key business processes.
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- Process assessments are conducted in many parts of the organization to ensure a safe work environment.
 - Customer, supplier, partner, and employee survey results are used to gauge homeland security readiness.
 - Organization identifies and documents key processes that support homeland security.
 - Homeland security issues are mostly aligned with the organization's key business processes.
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- Homeland security assessments are conducted only when a breach of security has occurred.
 - Not all critical homeland security issues have been identified and addressed.
 - Limited customer, supplier, and partner input is incorporated into documentation of homeland security process designs.
 - Homeland security issues are partially integrated with the organization's operations and key business and support processes.
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- Organization is in an appraisal mode rather than a prevention mode regarding its assessment of homeland security issues.
 - Limited homeland security assessments are conducted.
 - Homeland security issues to ensure a safe work environment are seldom addressed and documented.
 - Homeland security issues are not integrated with the organization's operations and key processes.

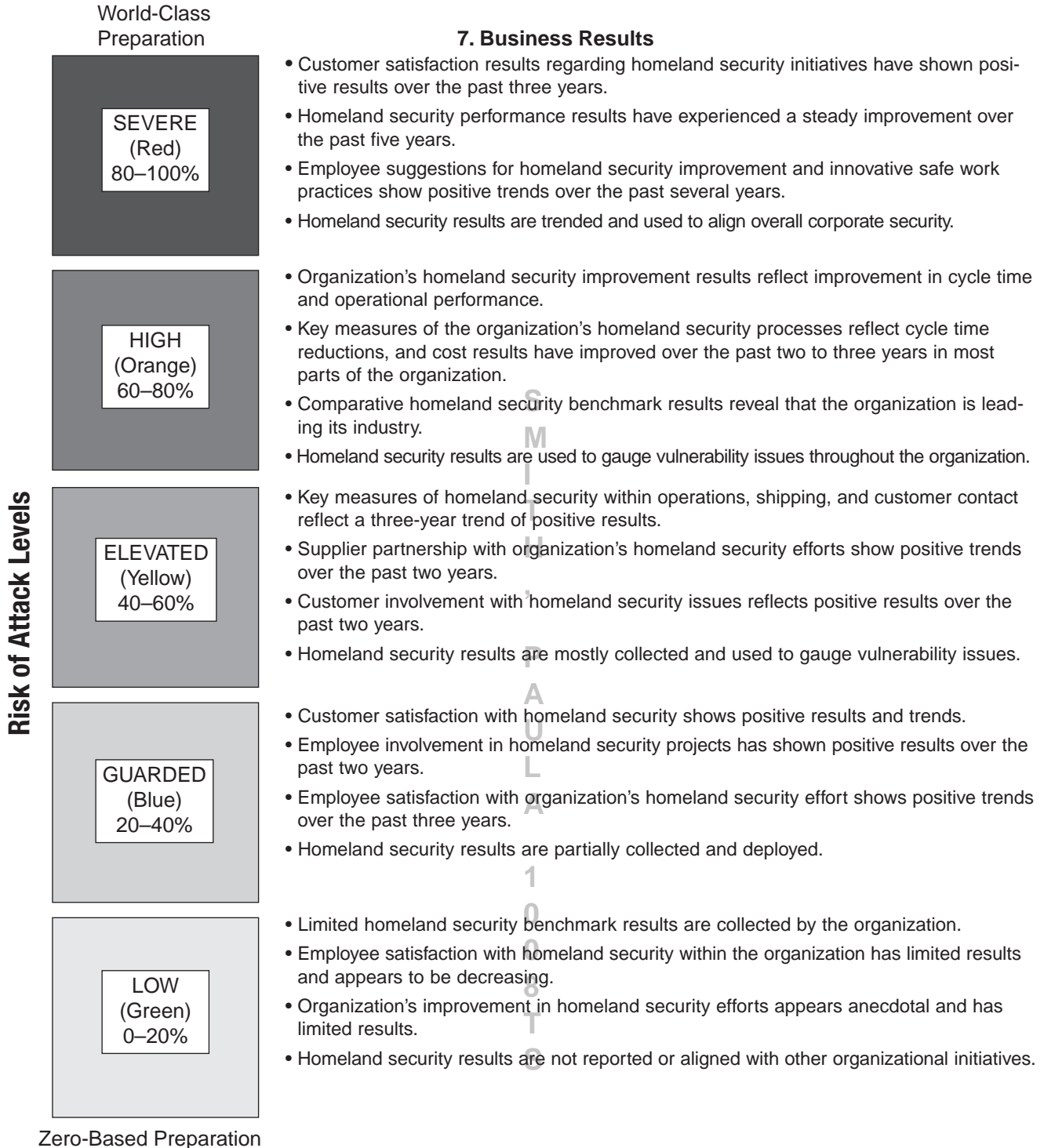
Process Dimension (Categories 1–6)

Evaluation Factors

- Approach** (methods used to accomplish the process)
- Deployment** (application of the approach throughout the organization)
- Learning** (refinement of the approach through cycles of evaluation)
- Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)



Results Dimension (Category 7)

Evaluation Factors

- Performance Levels** (position of data performance)
- Trends** (rate and breadth of data)
- Comparisons** (results relative to appropriate benchmarks)
- Linkage** (alignment of data with key organizational initiatives)
- Gap** (missing segments of data)

9 Category 7 Business Results

7 Business Results (450 pts.)¹⁶

The Business Results Category examines your organization's performance and improvement in key homeland security areas—customer satisfaction, product and service performance, financial and marketplace performance, human resource results, operational performance, and governance and social responsibility. Also examined are performance levels of homeland security initiatives relative to those of competitors.

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Forms can be downloaded from the CD-ROM located inside the back cover of this book.

7.1 Customer-Focused Results (75 pts.)

Results

Summarize your organization's key customer-focused results, including customer satisfaction and customer-perceived value. Segment your results by customer groups and market segments, as appropriate. Include appropriate comparative data.

AREAS TO ADDRESS	
a. Customer-Focused Results	<p>(1) What are your current levels and trends in key measures or indicators of customer satisfaction and dissatisfaction? How do these compare with competitors' levels of customer satisfaction?</p> <p>(2) What are your current levels and trends in key measures or indicators of customer-perceived value, including customer loyalty and retention, positive referral, and other aspects of building relationships with customers, as appropriate?</p>

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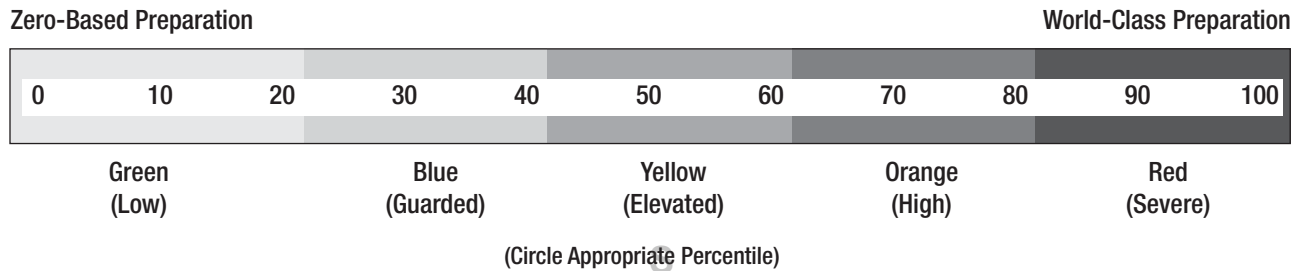
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7.1 Percent Score

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.1a(1) What are your organization’s current levels and trends in customer satisfaction and dissatisfaction with your organization’s homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not trend customer satisfaction and dissatisfaction data to gauge customer concerns regarding the organization’s homeland security initiatives.
- Organization does not collect satisfaction/dissatisfaction data from customers regarding homeland security issues.

World-Class Organization

- Organization collects and trends satisfaction and dissatisfaction data to gauge its customers’ ongoing satisfaction with homeland security initiatives that involve customers and customer groups.
- Organization uses customer satisfaction/dissatisfaction trend data to improve its homeland security initiatives that involve customers.

- Performance Levels Trends Comparisons Linkage Gap

7.1a(1) Organization’s current levels and trends of customer satisfaction and dissatisfaction with its homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

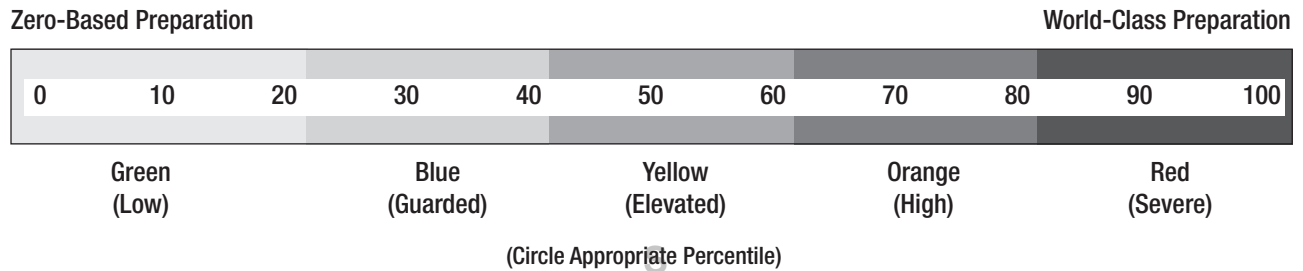
Long Term (2 years or more)

- 1.
- 2.

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7.1a(2) What are your organization’s current levels and trends of customer-perceived value with organization’s homeland security initiatives (i.e., customer loyalty and retention, positive referral, and other aspects of building relationships with customers)?

Interview notes:



Zero-Based Organization

- Organization does not collect data to gauge its customers’ perceived value of homeland security initiatives.
- Organization has no concern for gauging customer-perceived value regarding homeland security initiatives that are mandated for security.

World-Class Organization

- Organization aggregates trend data of customer perception of the effectiveness of homeland security initiatives that are incorporated into its product/service delivery.
- Organization collects current levels and trend data of customer satisfaction/dissatisfaction with homeland security initiatives, based on customer loyalty and retention, and positive referrals.

- Performance Levels Trends Comparisons Linkage Gap

7.1a(2) Organization’s current levels and trends of customer-perceived value with its homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.2 Product and Service Results (75 pts.)

Results

Summarize your organization’s key product and service performance results. Segment your results by product groups, customer groups, and market segments, as appropriate. Include appropriate comparative data.

AREA TO ADDRESS

a. Product and Service Results

What are your current levels and trends in key measures or indicators of product and service performance that are important to your customers? How do these results compare with your competitors’ performance?

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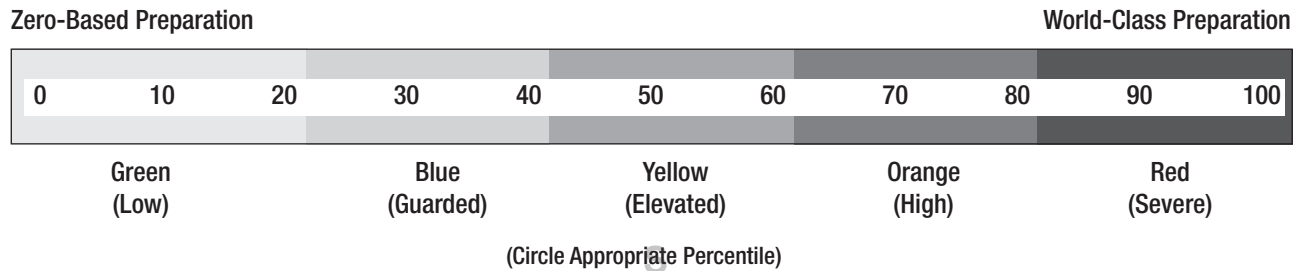


7.2 Percent Score

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.2a What are your organization’s current levels and trends of product and service performance safeguarded by the organization’s homeland security initiatives that are considered important to customers?

Interview notes:



Zero-Based Organization

- Organization collects trend data for customer product/service delivery only during times of high and severe security alerts.
- Organization does not consistently collect current level and trend data on product/service performance that is safeguarded by its homeland security initiatives.

World-Class Organization

- Organization has positive two-year trends for customer product and service performance delivery that are safeguarded by its homeland security initiatives.
- Organization has a three-year positive trend in reducing cycle time for customer product/service checks, based on its homeland security initiatives.

- Performance Levels
 Trends
 Comparisons
 Linkage
 Gap

7.2a Organization’s current levels and trends of product and service performance safeguarded by its homeland security initiatives that are considered important to customers.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.3 Financial and Market Results (75 pts.)

Results

Summarize your organization’s key financial and marketplace performance results by market segments, as appropriate. Include appropriate comparative data.

AREAS TO ADDRESS

a. Financial and Market Results

- (1) What are your current levels and trends in key measures or indicators of financial performance, including aggregate measures of financial return and economic value, as appropriate?
- (2) What are your current levels and trends in key measures or indicators of marketplace performance, including market share or position, business growth, and new markets entered, as appropriate?

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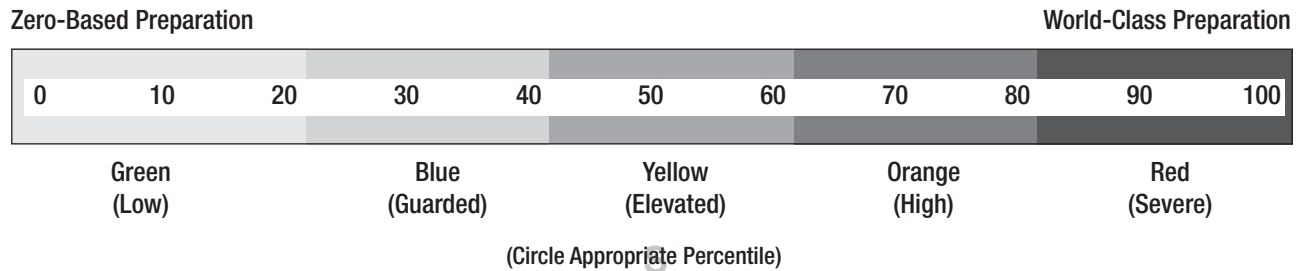
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7.3 Percent Score

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.3a(1) What are your organization’s current levels and trends of financial performance that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization has not identified a set of key budgetary and financial measures to gauge overall impact of homeland security initiatives. Many of the measures are inconsistent and anecdotal.
- Organization does not collect trend data on financial performance regarding homeland security initiatives.

World-Class Organization

- Organization tracks current levels and trends of financial and market performance to gauge overall effectiveness and impact of homeland security initiatives.
- Organization tracks and trends homeland security expenditures per employee, partner, supplier, and customer. The measures are used to gauge their economic impact against the organization’s strategic plans and goals.

- Performance Levels Trends Comparisons Linkage Gap

7.3a(1) Organization’s current levels and trends of financial performance that involve homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

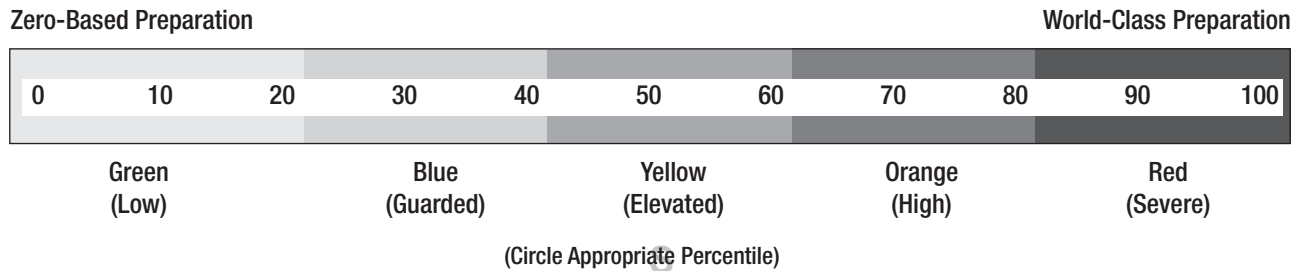
Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.3a(2) What are your organization’s current levels and trends of marketplace performance that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization has not collected data to gauge its marketplace performance involving homeland security initiatives that have been implemented for its key customers over the past two years.
- Organization has not holistically reviewed or collected marketplace performance data that involves its homeland security initiatives.

World-Class Organization

- Organization has a positive three-year trend regarding marketplace performance that involves homeland security initiatives.
- Organization has had positive trends in the market based on its homeland security initiatives with both key customers and suppliers.

- Performance Levels Trends Comparisons Linkage Gap

7.3a(2) Organization’s current levels and trends of marketplace performance that involve homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U L A

7.4 Human Resource Results (75 pts.)

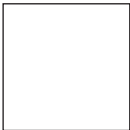
Results

Summarize your organization’s key human resource results, including work system performance and employee learning, development, well-being, and satisfaction. Segment your results to address the diversity of your workforce and the different types and categories of employees, as appropriate. Include appropriate comparative data.

AREAS TO ADDRESS	
a. Human Resource Results	<p>(1) What are your current levels and trends in key measures or indicators of work system performance and effectiveness?</p> <p>(2) What are your current levels and trends in key measures of employee learning and development?</p> <p>(3) What are your current levels and trends in key measures or indicators of employee well-being, satisfaction, and dissatisfaction?</p>

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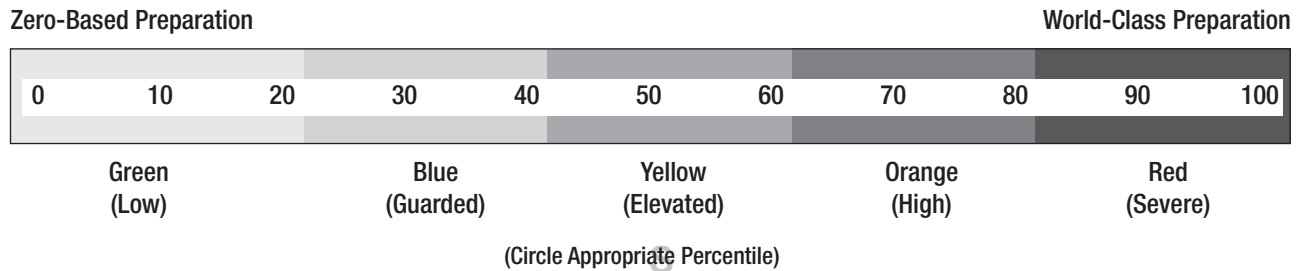


7.4 Percent Score

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.4a(1) What are your organization’s current levels and trends of work system performance and effectiveness that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not measure and trend results of work system performance that involve homeland security initiatives.
- Organization uses only limited measures to gauge work system performance that involves homeland security initiatives.

World-Class Organization

- Organization measures and trends data that gauge its work system performance and effectiveness that are impacted by homeland security initiatives.
- Organization tracks and trends work layout improvement and job rotation in areas that involve homeland security initiatives.

- Performance Levels Trends Comparisons Linkage Gap

7.4a(1) Organization’s current levels and trends of work system performance and effectiveness that involve homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

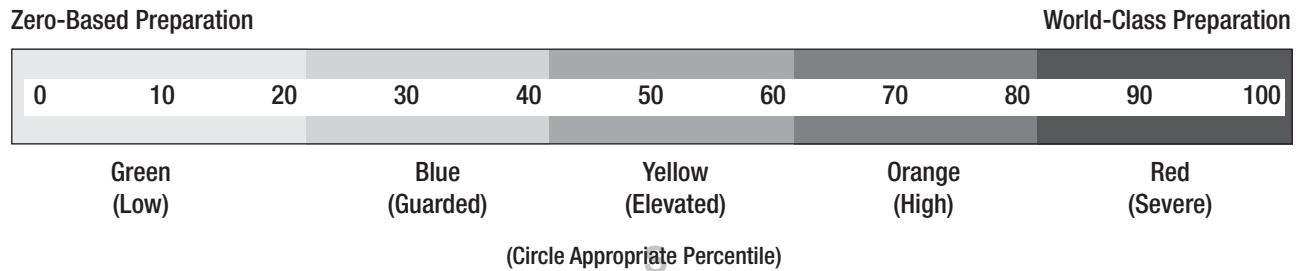
Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.4a(2) What are your organization’s current levels and trends of employee learning and development that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization collects limited data on employee learning and development that involves homeland security initiatives.
- Organization collects data on training that involves homeland security issues, but never uses trend results to gauge progress.

World-Class Organization

- Organization has a three-year positive trend of employee learning and development that involves homeland security initiatives.
- Organization has experienced a 40% increase over three years in the number of employees who have been trained on homeland security issues.

- Performance Levels
 Trends
 Comparisons
 Linkage
 Gap

7.4a(2) Organization’s current levels and trends of employee learning and development involving homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
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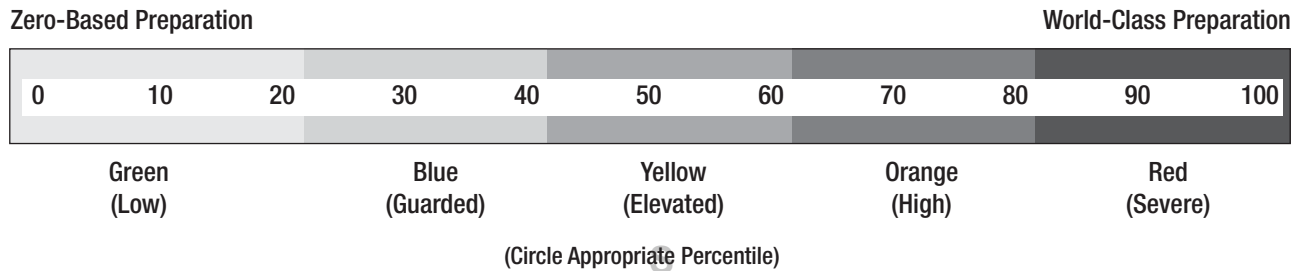
Long Term (2 years or more)

- 1.
- 2.

M I T H ' P A U T A

7.4a(3) What are your organization’s current levels and trends of employee well-being, satisfaction, and dissatisfaction that involve the organization’s homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not gauge employee well-being, satisfaction, and dissatisfaction with its homeland security initiatives.
- Organization collects employee satisfaction data but does not collect satisfaction data related to employee satisfaction with homeland security initiatives.

World-Class Organization

- Organization collects and trends data on employee well-being, satisfaction, and dissatisfaction with homeland security initiatives.
- Organization has collected and trended over three years of employee satisfaction results that involve homeland security issues and initiatives.

- Performance Levels Trends Comparisons Linkage Gap

7.4a(3) Organization’s current levels and trends of employee well-being, satisfaction, and dissatisfaction involving homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

M I T H ' P A U T A

7.5 Organizational Effectiveness Results (75 pts.)

Results

Summarize your organization's key operational performance results that contribute to the achievement of organizational effectiveness. Segment your results by product groups and market segments, as appropriate. Include appropriate comparative data.

AREAS TO ADDRESS

a. Organizational Effectiveness Results

- (1) What are your current levels and trends in key measures or indicators of the operational performance of your key value creation processes? Include productivity, cycle time, supplier and partner performance, and other appropriate measures of effectiveness and efficiency.
- (2) What are your current levels and trends in key measures or indicators of the operational performance of your key support processes? Include productivity, cycle time, supplier and partner performance, and other appropriate measures of effectiveness and efficiency.
- (3) What are your results for key measures or indicators of accomplishment of organizational strategy and action plans?

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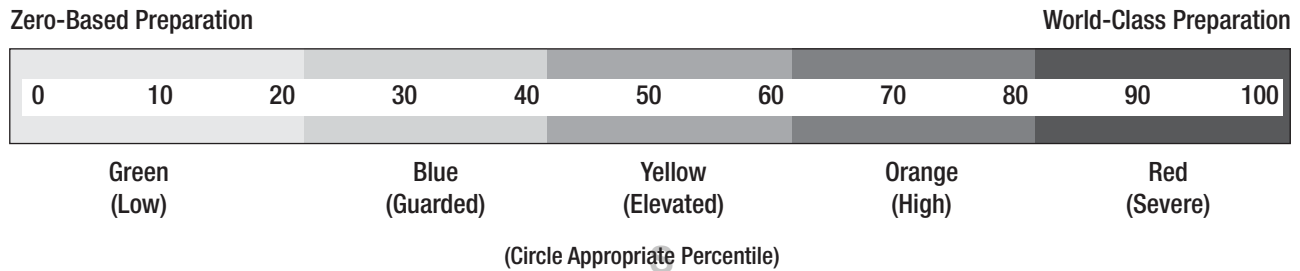
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7.5 Percent Score

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.5a(1) What are your organization’s current levels and trends of the operational performance of your key value creation processes for homeland security?

Interview notes:



Zero-Based Organization

- Organization does not consistently collect key performance results for operational performance of key value creation processes for homeland security.
- Organization’s measures for key operational results of homeland security processes appear limited.

World-Class Organization

- Organization shows positive levels and trends regarding key value creation processes for homeland security by using a productivity index known as Service Quality Indicators (SQIs).
- Organization’s value creation processes for homeland security are identified, tracked, and trended to support workplace safety.

- Performance Levels Trends Comparisons Linkage Gap

7.5a(1) Organization’s current levels and trends of the operational performance of key value creation processes for homeland security.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

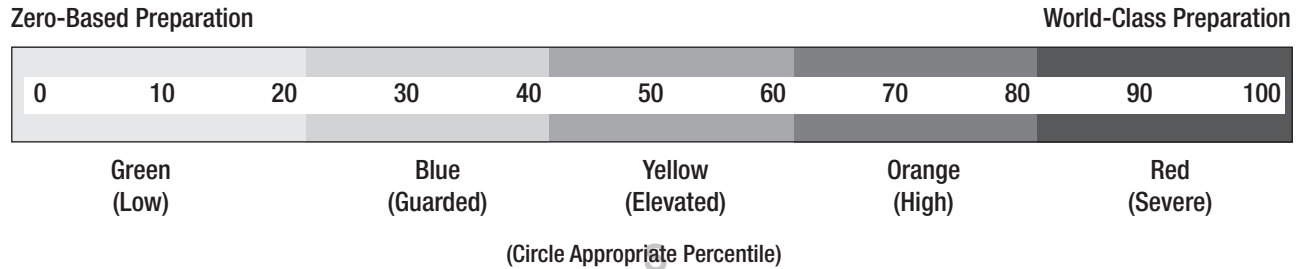
Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.5a(2) What are your organization's current levels and trends of operational performance of key support processes for homeland security?

Interview notes:



Zero-Based Organization

- Organization does not collect trend data on operational performance of key support processes for homeland security.
- Organization's trend data collected for operational performance of key support processes for homeland security has had a steady decrease of 50% over three years.

World-Class Organization

- Organization's levels and trends of operational performance of key support processes for homeland security have four-year positive trends.
- Organization's key measures of key support processes for homeland security support the organization's goals and objectives for workplace safety with three-year positive trends.

- Performance Levels Trends Comparisons Linkage Gap

7.5a(2) Organization's current levels and trends of operational performance of key support processes for homeland security.

+ Strengths

- 1.
- 2.
- 3.

- Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
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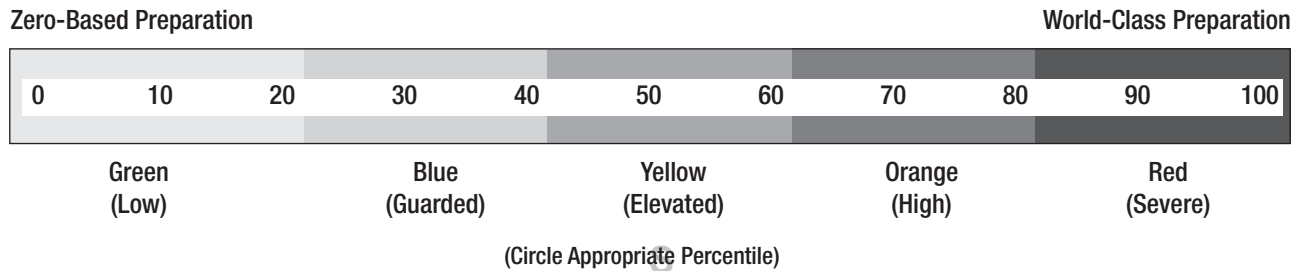
Long Term (2 years or more)

- 1.
- 2.

M I T H ' P A U T A

7.5a(3) What are your organization’s results for accomplishment of organizational strategy and action plans that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not collect results data for accomplishment of its strategies and action plans for homeland security initiatives.
- Organization has no consistent method for collecting data and measuring results for accomplishment of strategies and action plans that involve homeland security initiatives.

World-Class Organization

- Organization has accomplished 92% of the strategies and action plans that involve homeland security initiatives.
- Organization collects results data on completion of strategies and action plans that involve homeland security initiatives. The organization has experienced a 98% accomplishment rate.

- Performance Levels
- Trends
- Comparisons
- Linkage
- Gap

7.5a(3) Organization’s results for accomplishment of organizational strategy and action plans that involve homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

M I T H ' P A U T A

7.6 Governance and Social Responsibility Results (75 pts.)

Results

Summarize your organization’s key governance and social responsibility results, including evidence of fiscal accountability, ethical behavior, legal compliance, and organizational citizenship. Segment your results by business units, as appropriate. Include appropriate comparative data.

AREAS TO ADDRESS

a. Governance and Social Responsibility Results

- (1) What are your key current findings and trends in key measures of indicators of fiscal accountability, both internal and external, as appropriate?
- (2) What are your results for key measures or indicators of ethical behavior and of stakeholder trust in the governance of your organization?
- (3) What are your results for key measures or indicators of regulatory and legal compliance?
- (4) What are your results for key measures or indicators of organizational citizenship in support of your key communities?

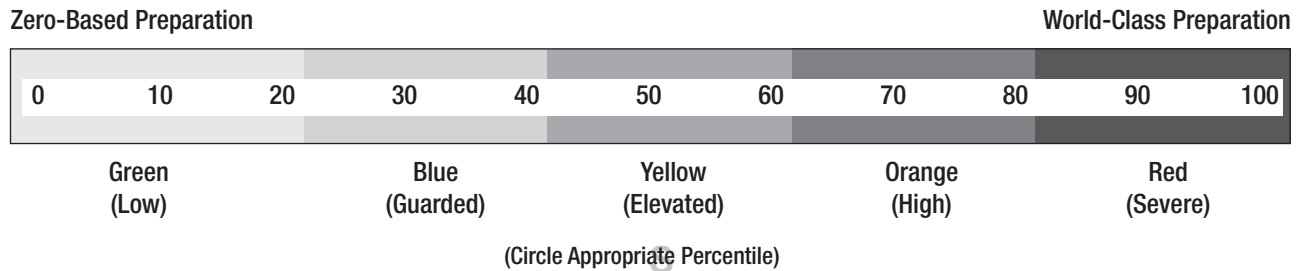
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7.6 Percent Score

7.6a(1) What are your organization’s key current findings and trends of fiscal accountability for homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not collect consistent data regarding fiscal accountability for homeland security initiatives.
- Organization collects limited data and trends for fiscal accountability for homeland security initiatives.

World-Class Organization

- Organization’s findings and trends for fiscal accountability for homeland security initiatives show a positive three-year trend.
- Organization shows a positive four-year trend regarding fiscal accountability for homeland security initiatives. Data are used to identify additional risk factors and to address auditor recommendations.

- Performance Levels Trends Comparisons Linkage Gap

7.6a(1) Organization’s key current findings and trends of fiscal accountability for homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
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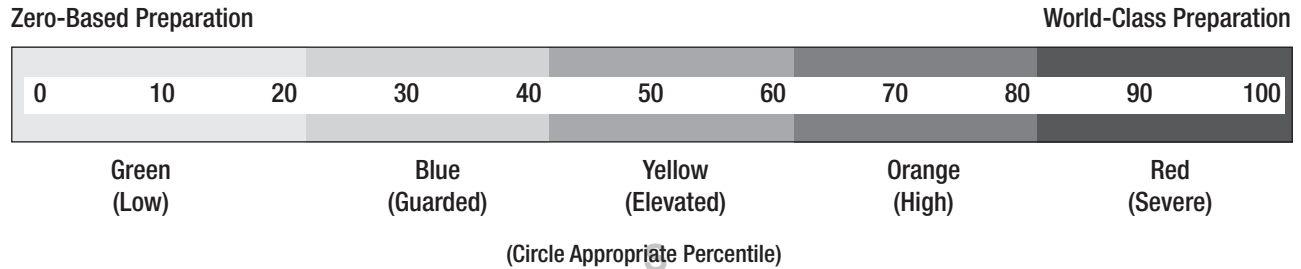
Long Term (2 years or more)

- 1.
- 2.

M I T H ' P A U I A

7.6a(2) What are your organization’s key measures of ethical behavior and stakeholder trust regarding homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not have measures in place to gauge ethical behavior and stakeholder trust regarding homeland security policies and procedures.
- Organization collects no data on ethical behavior and stakeholder trust regarding homeland security issues and initiatives.

World-Class Organization

- Organization measures employees, customers, partners, and suppliers against a documented ethical code of standards for homeland security.
- Organization ensures that all employees, partners, suppliers, and customers go through a periodic ethics audit regarding adherence to the organization’s homeland security policies and procedures.

- Performance Levels
 Trends
 Comparisons
 Linkage
 Gap

7.6a(2) Organization’s key measures of ethical behavior and stakeholder trust regarding homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
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Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
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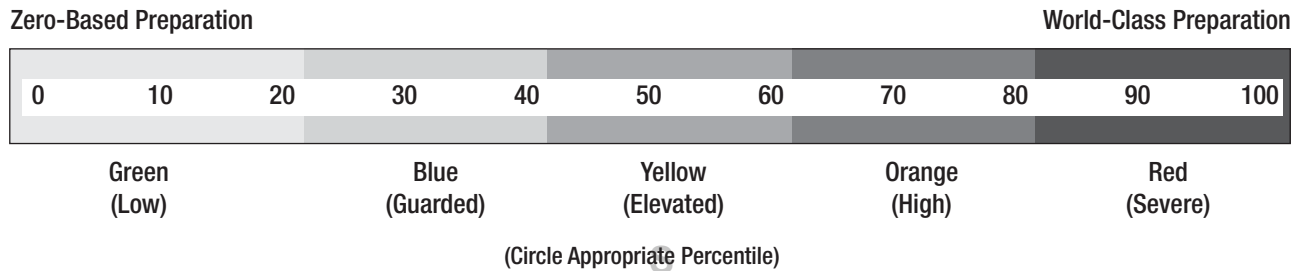
Long Term (2 years or more)

- 1.
- 2.

M I T H , P A U T A

7.6a(3) What are your organization’s results for regulatory and legal compliance that involve homeland security initiatives?

Interview notes:



Zero-Based Organization

- Organization does not consistently collect regulatory and legal compliance data for homeland security issues.
- Organization collects limited regulatory and legal homeland security compliance results outside of what is mandated by state and federal agencies.

World-Class Organization

- Organization collects data and trends results over three years for regulatory and legal compliance issues that involve homeland security issues.
- Organization collects and trends data on homeland security regulatory and legal compliance issues and uses results to improve compliance throughout the organization.

- Performance Levels
 Trends
 Comparisons
 Linkage
 Gap

7.6a(3) Organization’s results for regulatory and legal compliance that involve homeland security initiatives.

+ Strengths

- 1.
- 2.
- 3.

– Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

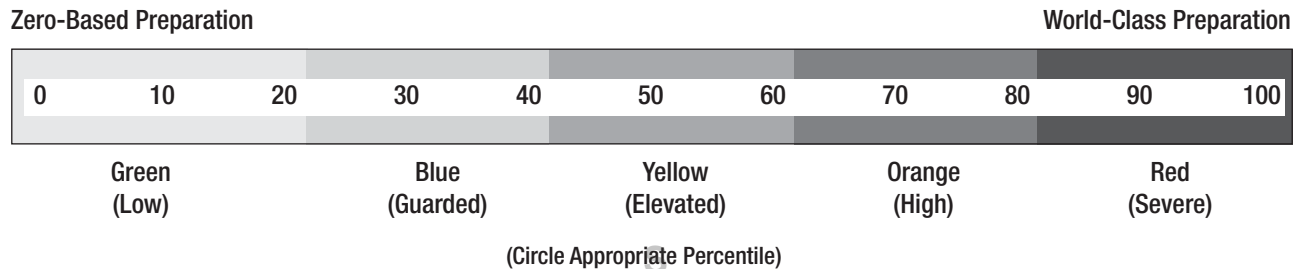
Long Term (2 years or more)

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7.6a(4) What are your organization's results for support of its key communities homeland security efforts?

Interview notes:



Zero-Based Organization

- Organization does not collect and trend homeland security results that support communities in which the organization is located.
- Organization never considers collecting and trending key indicators that support a community's homeland security efforts and initiatives.

World-Class Organization

- Organization collects and trends homeland security results that support communities where the organization is located.
- Organization aligns and compares its homeland security trends and results with community results to support an integrated effort that supports homeland security community-wide.

- Performance Levels Trends Comparisons Linkage Gap

7.6a(4) Organization's results for support of its key communities homeland security efforts.

+ Strengths

- 1.
- 2.
- 3.

- Opportunities for Improvement

- 1.
- 2.
- 3.

Homeland Security Planning Issues:

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

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**Summary of Assessment Items for Homeland Security
(Based on Baldrige Criteria)**

Transfer all assessment item percent scores from the category worksheets.

SUMMARY OF ASSESSMENT ITEMS	A	Total	Percent	Score
		Points Possible	0–100% (10%units)	(A + B) C
1 Leadership				
1.1 Organizational Leadership	70		_____%	
1.2 Social Responsibility	50		_____%	
CATEGORY TOTAL	120			_____ (Sum C)
2 Strategic Planning				
2.1 Strategy Development	40		_____%	_____
2.2 Strategy Deployment	45		_____%	_____
CATEGORY TOTAL	85			_____ (Sum C)
3 Customer and Market Focus				
3.1 Customer and Market Knowledge	40		_____%	_____
3.2 Customer Relationships and Satisfaction	45		_____%	_____
CATEGORY TOTAL	85			_____ (Sum C)
4 Measurement, Analysis, and Knowledge Management				
4.1 Measurement and Analysis of Organizational Performance	45		_____%	_____
4.2 Information and Knowledge Management	45		_____%	_____
CATEGORY TOTAL	90			_____ (Sum C)

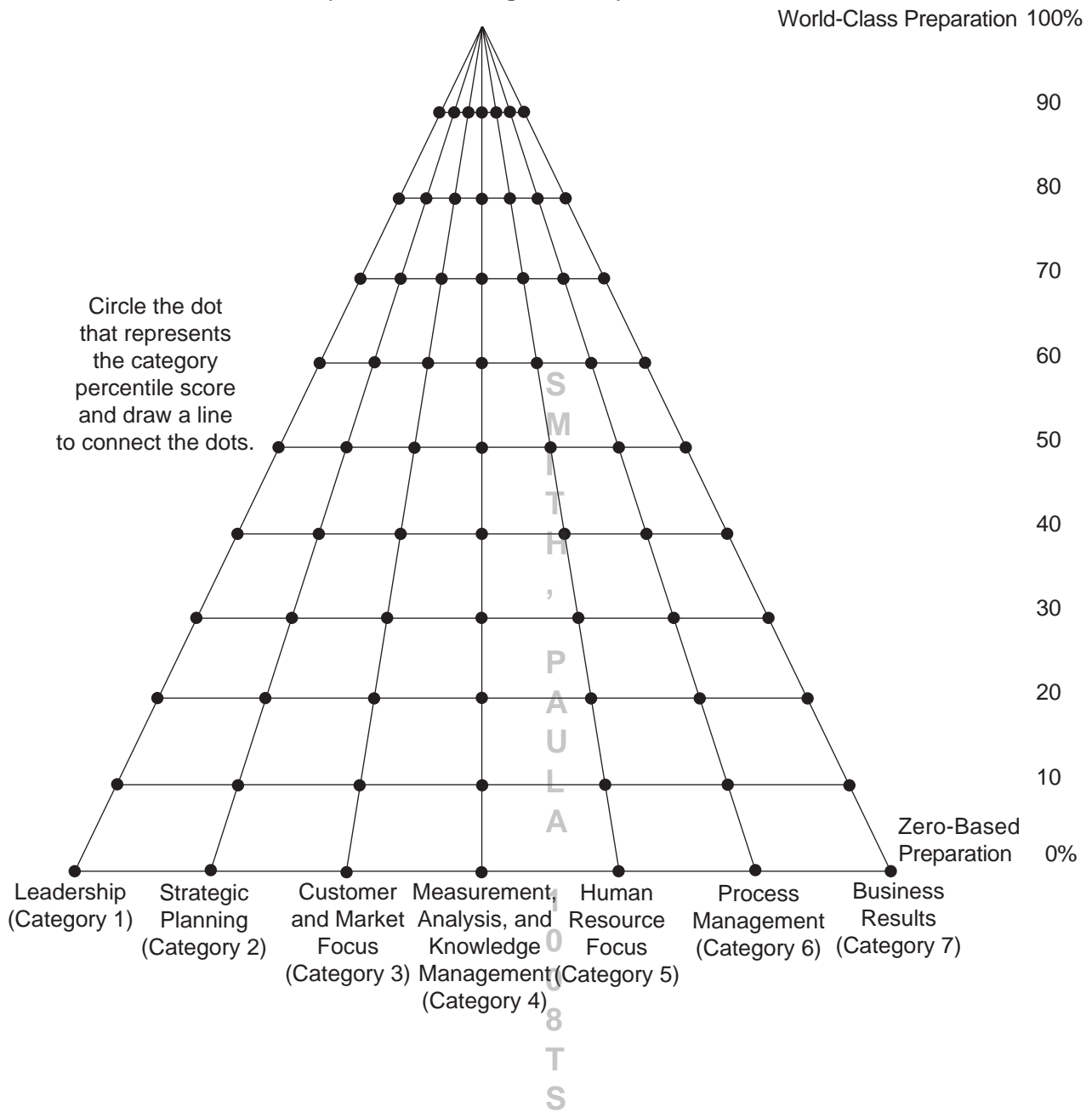
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SUMMARY OF ASSESSMENT ITEMS	Total Points Possible	Score 0–100% (10%units)	Score (A + B)	
			A	B
5 Human Resource Focus				
5.1 Work Systems	35	____%		
5.2 Employee Learning and Motivation	25	____%		
5.3 Employee Well-Being and Satisfaction	25	____%		
CATEGORY TOTAL	85			____ (Sum C)
6 Process Management				
6.1 Value Creation Processes	50	____%		____
6.2 Support Processes	35	____%		____
CATEGORY TOTAL	85			____ (Sum C)
7 Business Results				
7.1 Customer-Focused Results	75	____%		____
7.2 Product and Service Results	75	____%		____
7.3 Financial and Market Results	75	____%		____
7.4 Human Resource Results	75	____%		____
7.5 Organizational Effectiveness Results	75	____%		____
7.6 Governance and Social Responsibility Results	75	____%		____
CATEGORY TOTAL	450			____ (Sum C)
TOTAL POINTS	1000			____

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Hierarchy of Homeland Security Assessment Needs (Based on Baldrige Criteria)



10 Transforming Assessment Findings into Actionable Strategies for a Homeland Security Plan

The assessment of the organization is complete. Now the next step is to transform the assessment results into actionable short- and long-term strategies for a homeland security plan.

The assessment team should begin this process by reviewing strengths and opportunities for improvement within the areas assessed. The assessment team members will need to reach a consensus on short- and long-term strategic issues for each area. After this process is complete, the team should go back through the assessment manual and collect item percentage scores. The assessment percentages should be shaded within each appropriate item bar graph. Illustrations are given to help the team complete both the assessment bar graphs and strategic planning worksheets.

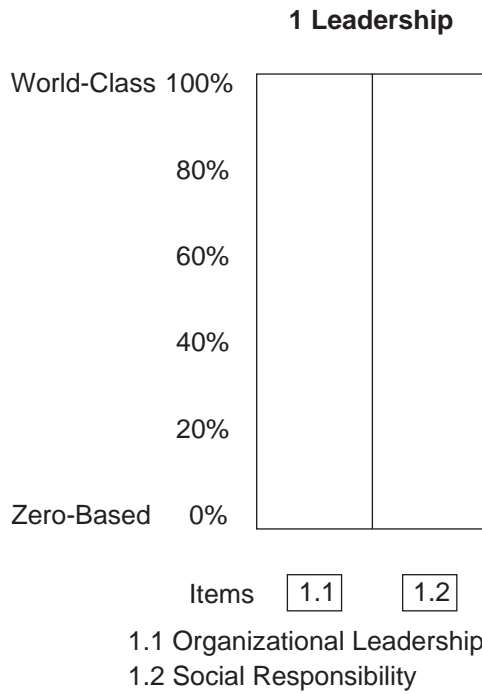
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Forms can be downloaded from the CD-ROM located inside the back cover of this book.

ORGANIZATIONAL ASSESSMENT BAR GRAPH

(Shade in assessment percentages on bar graphs from item score boxes located throughout workbook.)



Note: Based on bar graphs, select and prioritize within each category short- and long-term strategic issues identified in the assessment and list below.

1 Leadership Category

Priority 1 _____ Short term
_____ Long term

Priority 2 _____ Short term
_____ Long term

Priority 3 _____ Short term
_____ Long term

2 Strategic Planning Category

Priority 1 _____ Short term
_____ Long term

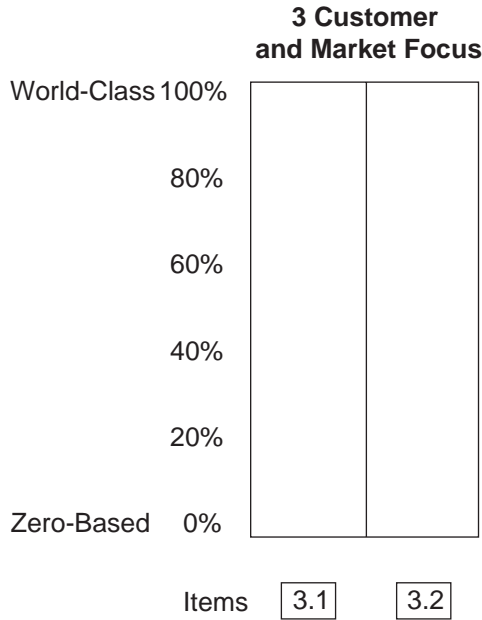
Priority 2 _____ Short term
_____ Long term

Priority 3 _____ Short term
_____ Long term

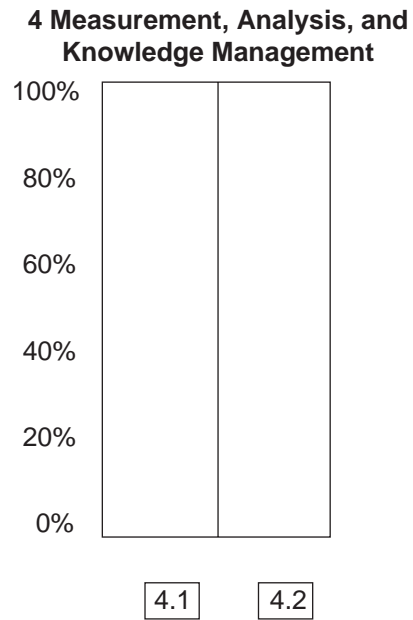
SMITH PAOLA 1008TS

ORGANIZATIONAL ASSESSMENT BAR GRAPH

(Shade in assessment percentages on bar graphs from item score boxes located throughout workbook.)



3.1 Customer and Market Knowledge
3.2 Customer Relationships and Satisfaction



4.1 Measurement and Analysis of Organizational Performance
4.2 Information and Knowledge Management

Note: Based on bar graphs, select and prioritize within each category short- and long-term strategic issues identified in the assessment and list below.

3 Customer and Market Focus Category

Priority 1 _____ Short term
_____ Long term

Priority 2 _____ Short term
_____ Long term

Priority 3 _____ Short term
_____ Long term

4 Measurement, Analysis, and Knowledge Management Category

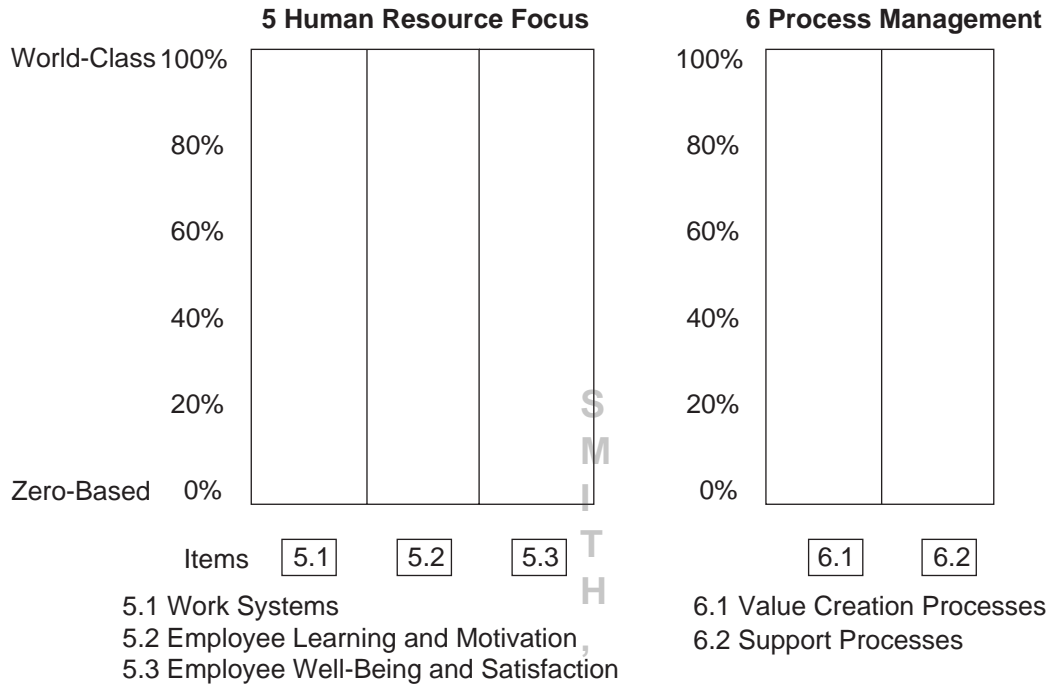
Priority 1 _____ Short term
_____ Long term

Priority 2 _____ Short term
_____ Long term

Priority 3 _____ Short term
_____ Long term

SMITH PAOLA 108TS

ORGANIZATIONAL ASSESSMENT BAR GRAPH
 (Shade in assessment percentages on bar graphs from item score boxes located throughout workbook.)

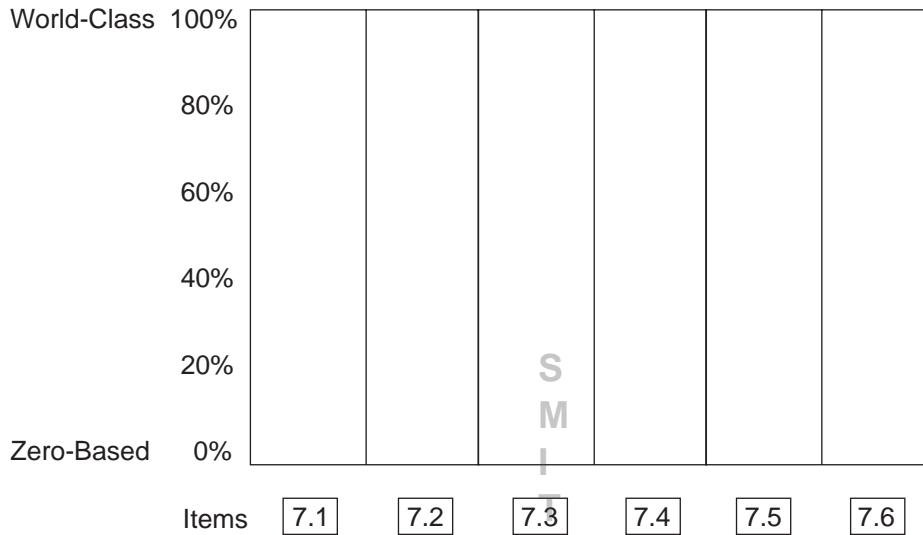


Note: Based on bar graphs, select and prioritize within each category short- and long-term strategic issues identified in the assessment and list below.

5 Human Resource Focus Category	6 Process Management Category
Priority 1 _____ Short term _____ Long term	Priority 1 _____ Short term _____ Long term
Priority 2 _____ Short term _____ Long term	Priority 2 _____ Short term _____ Long term
Priority 3 _____ Short term _____ Long term	Priority 3 _____ Short term _____ Long term

ORGANIZATIONAL ASSESSMENT BAR GRAPH
 (Shade in assessment percentages on bar graphs from item score boxes located throughout workbook.)

7 Business Results



- 7.1 Customer-Focused Results
- 7.2 Product and Service Results
- 7.3 Financial and Market Results
- 7.4 Human Resource Results
- 7.5 Organizational Effectiveness Results
- 7.6 Governance and Social Responsibility Results

Note: Based on bar graphs, select and prioritize within each category short- and long-term strategic issues identified in the assessment and list below.

7 Business Results Category

Priority 1	_____	Short term
	_____	Long term
Priority 2	_____	Short term
	_____	Long term
Priority 3	_____	Short term
	_____	Long term

The shaded bar graphs will help the assessment team identify specific items within each category of the organization that need improvement as homeland security issues.

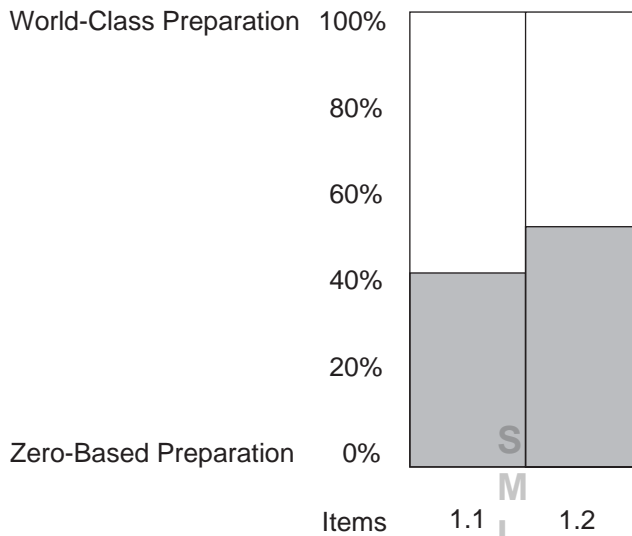
The next step for the team after all scores have been shaded in on the bar graphs is to select and prioritize short- and long-term strategic planning issues within each category that were previously identified through the assessment process by the team. The team will go through the process of prioritizing the strategic short- and long-term planning issues within each category that need to be developed into actionable improvement strategies for the organization.

After identifying and prioritizing strategic planning issues within all seven Baldrige Categories, the team should select the top three short- and long-term priorities offering the greatest opportunities for homeland security improvement within each category. These identified issues transform into actionable strategic initiatives (see Illustration #1).

A master strategic planning worksheet for homeland security is included for the teams to download from the accompanying CD-ROM and use to list their prioritized short- and long-term initiatives. The appropriate category, term, and priority should be circled, detailing the specific initiative. Action item(s) should be listed in respective order to accomplish the identified strategies. In addition, individual responsibilities and review and completion dates should be documented to transform the organization's strategic initiatives into actionable improvement. Illustration #2 details how to complete a strategic planning worksheet for homeland security.

The strategic planning worksheet for homeland security should be completed by the assessment team (see Illustration #2). The results of both the assessment and the identified strategic issues for homeland security should be reported back to the organization's senior leadership and ultimately integrated into the organization's annual short- and long-term strategic planning process for homeland security. See homeland security plan and budget forms on the accompanying CD-ROM to develop a complete homeland security plan based on assessment findings.

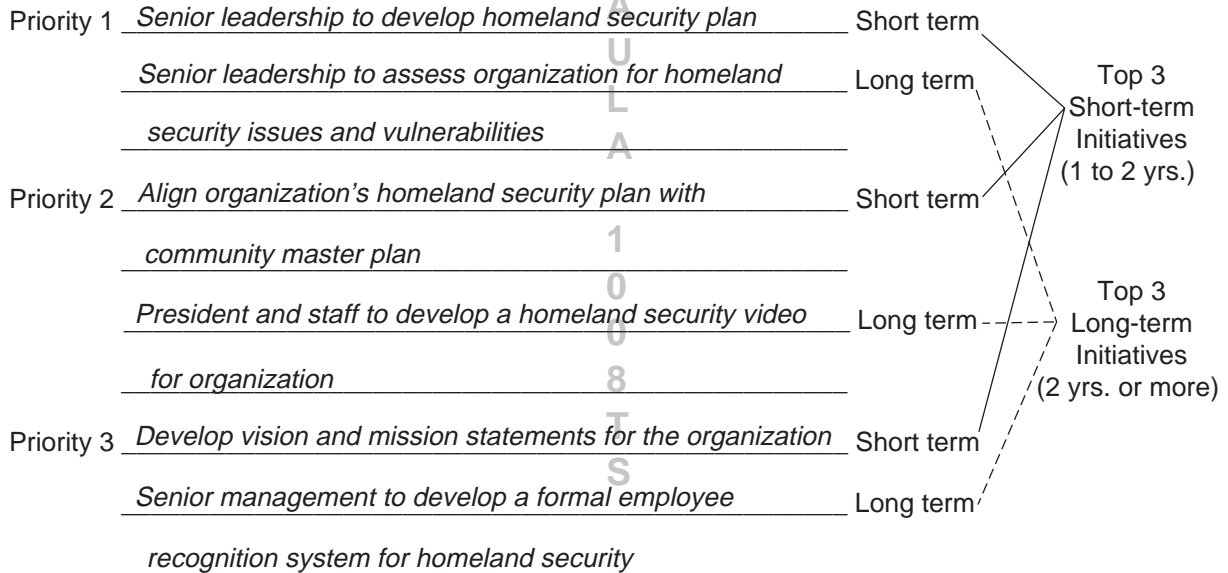
ILLUSTRATION #1
1 Leadership



- 1.1 Organizational Leadership
- 1.2 Social Responsibility

Note: Based on bar graphs, select and prioritize within each category short- and long-term strategic issues identified in the assessment and list below.

1 Leadership Category



**ILLUSTRATION #2
STRATEGIC PLANNING WORKSHEET FOR A HOMELAND SECURITY PLAN**

Category (circle one)

- 1 Leadership
- 2 Strategic Planning
- 3 Customer and Market Focus
- 4 Measurement, Analysis, and Knowledge Management
- 5 Human Resource Focus
- 6 Process Management
- 7 Business Results

Term (circle one)

- Short term: one to two years
- Long term: more than two years

Priority (circle one) 1 2 3 Senior leadership to develop homeland security plan

ACTION ITEM(S) (Steps to accomplish strategy)	WHO IS RESPONSIBLE	REVIEW DATE	COMPLETION DATE
1. <u>Define homeland security issues and vulnerabilities</u>	President	January 10	February 28
2. <u>Form a senior management team to review homeland security issues</u>	Vice president	February 5	March 15
3. <u>Cross-functional employee team to develop plan</u>	Director	March 30	April 10
4. <u>Senior staff finalizes homeland security plan</u>	President and vice presidents	April 15	May 15
5. <u>Distribute plan to employees, suppliers, customers, and partners</u>	Managers	May 29	June 29
6. _____			
7. _____			
8. _____			
9. _____			
10. _____			

List action items in respective order

List individual responsibilities by names or position

List review dates

List completion dates

STRATEGIC PLANNING WORKSHEET FOR A HOMELAND SECURITY PLAN

Category (circle one)

- 1 Leadership
- 2 Strategic Planning
- 3 Customer and Market Focus
- 4 Measurement, Analysis, and Knowledge Management
- 5 Human Resource Focus
- 6 Process Management
- 7 Business Results

Term (circle one)

- Short term:** one to two years
- Long term:** more than two years

Priority (circle one) 1 2 3 _____

ACTION ITEM(S) (Steps to accomplish strategy)	WHO IS RESPONSIBLE	REVIEW DATE	COMPLETION DATE
1. _____ _____	S M I T H , P A U L A 1 0 0 8 T S		
2. _____ _____			
3. _____ _____			
4. _____ _____			
5. _____ _____			
6. _____ _____			
7. _____ _____			
8. _____ _____			
9. _____ _____			
10. _____ _____			