



## Organizational Culture of Quality **Self-Assessment Tool (SAT)** for Local Health Departments

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## **BACKGROUND**

Local health departments (LHDs) operate in a dynamic, continually changing environment with new public health challenges emerging every day. In recent years, quality improvement (QI) has been introduced to, and embraced by, LHDs as a means to achieve efficiencies and improve quality of programs and services. Beyond discrete process improvements, achieving and sustaining an organization-wide culture of quality is necessary to continually develop and sustain improvements, demonstrate return on investment, and ultimately impact health outcomes. The culture of an organization is the embodiment of the core values, guiding principles, behaviors, and attitudes that collectively contribute to its daily operations. Organizational culture is the very essence of how work is accomplished; it matures over several years, during which norms are passed on from one “generation” of staff to the next. Because culture is ingrained in an organization, transforming culture to embrace QI when minimal knowledge or experience with QI exists requires strong commitment and deliberate management of change over time.

While a culture of quality is commonly recognized as an ultimate goal, what a culture of quality looks like and how to achieve it remains ambiguous. Transforming an organization’s culture may take several years, and absent an objective framework it is difficult to assess progress. To bridge this gap, this self-assessment tool (SAT) allows LHDs to assess the degree to which QI has been integrated into the organizational systems, identify concrete steps to advance a culture of quality, and gauge progress in the transformation. This SAT is designed for all LHDs, regardless of organization size or current state of organizational culture and is aligned with the Public Health Accreditation Board (PHAB) requirements and other national initiatives.

## **WHAT IS THE ORGANIZATIONAL CULTURE OF QUALITY SELF-ASSESSMENT TOOL?**

The SAT enables LHDs to measure organizational maturity within critical aspects or elements of a culture of quality and identify next steps for transformational change. This tool benefits beginner, intermediate, and advanced LHDs by providing a baseline assessment of QI maturity, revealing opportunities for improvement, and informing a trajectory for next steps to reaching a culture of quality.

The SAT has three main components:

- 1) ***Diagnostic Statements*** to assess the current organizational culture of quality and identify priority gaps.
- 2) Corresponding ***Transition Strategies*** that provide suggested actions to close priority gaps.
- 3) ***Scoring Summary*** to document results.

The SAT is based on [NACCHO’s Roadmap to a Culture of Quality](#) (The Roadmap). The Roadmap provides high level guidance on progressing through six phases toward a quality culture, presenting common organizational characteristics and strategies for transitioning to the next phase. Each phase is built around six foundational elements critical to building a culture of quality. The SAT is also organized by these six foundational elements and then further sub-divided into 20 sub-elements. These foundational elements and sub-elements address all the people, systems and structures — throughout all areas of an organization— that are foundational to developing a culture that values, models, and promotes continuous quality improvement. Both tools were developed and pilot tested, respectively, with LHDs and subject matter experts. **Table 1** below lists the six foundational elements and the 20 sub-elements in the SAT.

**TABLE 1: Organizational Culture of Quality SAT: Elements and Sub-Elements**

FOUNDATIONAL ELEMENT	SUB-ELEMENT
1. Employee Empowerment	1.1 Enabling Performance
	1.2 Knowledge, Skills and Abilities
2. Teamwork and Collaboration	2.1 Team Performance
	2.2 Learning Communities
3. Leadership	3.1 Culture
	3.2 Resourcing and Structure
4. Customer Focus	4.1 Understanding the Customer
	4.2 Satisfying the Customer through the Value Stream
	4.3 Reprioritizing and Creating Programs and Services
5. Quality Improvement Infrastructure	5.1 Strategic Planning
	5.2 Performance Measurement
	5.3 Annual Quality Improvement Planning
	5.4 Administrative and Functional Processes and Systems
6. Continual Process Improvement	6.1 Selecting and Applying Methods
	6.2 Planning for Process Improvements
	6.3 Testing Potential Solutions
	6.4 Extracting Lessons Learned
	6.5 Sharing of Best Practices
	6.6 Effectively Installing Standardized Work
	6.7 Process Management, Results, & Continual Improvement

### **Related National Performance Improvement Tools: Selecting the Right Tool for You**

Similar to this SAT, there are other existing resources for assessing various aspects of organizational culture. This section describes some of these tools and compares and contrasts each tool with the NACCHO SAT.

- [The Roadmap to a Culture of Quality](#) – As mentioned above, the NACCHO SAT is based on six foundational elements of a culture of quality outlined in the Roadmap. The Roadmap provides a high level assessment against each of these elements, providing a basic understanding of the organization’s maturity along six phases toward a culture of quality. Each of the six phases offers high level transition strategies and resources to progress to the next phase. The SAT provides a more in-depth assessment of organizational culture based on the 20 sub-elements presented in **TABLE 1** above. Both tools assess the breadth of the components of a culture of quality; however those that lack the time and resources to complete the in-depth SAT would benefit from the Roadmap to provide a high level, but comprehensive assessment.
- [The Turning Point Self-Assessment Tool](#) – This tool is a part of the Turning Point Performance Management Collaborative materials and is designed specifically for public health organizations

to assess the extent to which the following components of a performance management system (PM system) are in place: 1) Visible Leadership; 2) Performance Standards; 3) Performance Measures; 4) Reporting Progress; and 5) Quality Improvement. While the Turning Point tool focuses on just the organization's PM system, the NACCHO SAT assesses overall agency culture, of which a PM system is a part. Some of the content in *Element 5: QI Infrastructure* of this SAT overlaps with the content in the Turning Point tool, as performance management is essential to building a data driven infrastructure that supports a culture of quality. The Turning Point tool is ideal for those interested in focusing on assessing the organization's PM system only.

- [The QI Maturity Tool](#) – This is a validated 29-item assessment instrument covering three overarching domains: 1) QI Culture; 2) Capacity & Competency; and 3) Alignment and has a series of underlying dimensions that correspond to factors in the literature where there is a strong consensus about their relationship to the adoption and spread of change, and the cultivation of a QI culture. The tool was designed to identify features of an organization that may enhance or impede QI approaches; to monitor the impact of efforts to create a more favorable environment for to succeed; and to define potential cohorts of public health agencies with respect to their level of QI sophistication.

The NACCHO SAT was intentionally designed to provide public health organizations with an in-depth assessment of the organizational culture of quality, along with corresponding strategies for improvement. It is important to note that although more comprehensive, it does require more time and resources to complete. Organizations should carefully consider their goals and available resources for the completion of a self-assessment prior to selecting a particular framework or tool.

### **The Importance of an Organizational Culture Assessment**

Regular and systematic use of the SAT by LHDs is intended to accelerate the development of a culture of quality by providing an understanding of what such a culture looks like and key actions that enable its creation. Such advancement of a quality culture should enable LHDs to serve their communities more effectively and efficiently. The discussion generated by completing the SAT provides significant insights into organizational performance and alignment of organization-wide initiatives. Communicating the results can help clarify organizational direction and provide a common basis and language for collective sharing and learning. Additionally, by accelerating the development of a culture of quality, the SAT can be an important tool in helping an LHD achieve and maintain PHAB accreditation status.

### **When Should the SAT be Utilized?**

The SAT can be used anytime an LHD wishes to analyze their organization's culture for gaps in quality and build plans for addressing those gaps. This is generally best done in conjunction with an annual QI planning cycle where selected strategies for developing the culture of quality can be prioritized along with other inputs such as customer satisfaction feedback and organizational performance data. Separately, specific aspects of the SAT content can be used for guidance on implementing QI projects (e.g. *Foundational Element 6: Continuous Process Improvement* describes the components of an effective Plan-Do-Study-Act (PDSA) problem solving cycle).

### **Who Should be Involved in the Assessment?**

The SAT is primarily a planning tool, therefore completion of the SAT should be driven and supported by the organization's leadership (e.g., Health Director, Executive Team) and the QI Leadership Team (e.g. QI Council, QI Leader/Coordinator), and completed with input from staff. While the accountability for completion and use is with leadership, portions of the SAT can be delegated to appropriate individuals within the organization whose knowledge and experience enable them to effectively complete those

portions. A few suggested options to organize leadership and staff around completing the SAT are presented below:

1. **All participants complete the SAT together.** This involves scheduling one or more meetings where the Health Director, QI Leader(s), and/or QI Leadership Team engage appropriate staff, ideally with broad representation from all divisions and levels of the agency. This method is the most participatory and generally allows for greater discussion and buy-in, however may take longer than other approaches.
2. **Sub-Elements are completed separately and then results are combined and reviewed.** The Health Director, QI Leader(s), or QI Leadership Team may assign appropriate individuals or teams to complete portions of the SAT, and then bring all those pieces together. The benefit of this approach is that sub-elements can be completed by the most appropriate individuals without the constraints of scheduling a mutual time. A downside is that discussion is typically more difficult because individual results may not be readily understood by those combining, reviewing, and drawing conclusions.
3. **An individual (Health Director or QI Leader) completes the SAT and others review.** This approach tends to be the fastest but also the least participatory. To be effective, it requires that the individual completing the SAT has effective knowledge of all relevant aspects of the organization to make valid and accurate assessments. With this approach it is recommended that the results be reviewed and commented on by the QI Leadership Team and representatives from key areas of the organization, as appropriate.

Leaders at all levels of the organization should be actively engaged in communicating and driving improvement efforts that result from completing the SAT, and incorporate results into agency planning efforts (e.g. QI Plan, strategic plan). Anyone in the organization can and should use content within the SAT for learning and guidance, especially QI project leaders and teams.

### What Is Needed to Complete the Assessment?

Access to the following will assist in the completion of the SAT:

- Previous year's completed SAT Scoring Summary (if available)
- QI Plan
- Optionally printed:
  - SAT Diagnostic Statements
  - Transition Strategies
  - Blank Scoring Summary
  - Glossary of Terms

### Instructions for Completing the SAT

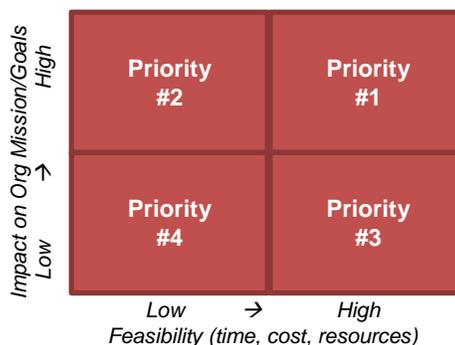
1. **Assess.** Read the *Diagnostic Statements* and select a score of 1-6 for each statement in the 20 sub-elements.
2. **Score.** Average all scores in each sub-element and record it in the *Scoring Summary Sheet*, along with the evidence for selecting the score. Once sub-elements scores are inputted into the scoring summary, an overall score for each foundational element will self-populate. Once all foundational elements are scored, a total score will populate at the bottom of the scoring summary sheet. This total score corresponds to the appropriate phase on the NACCHO Roadmap.

3. **Identify Strategies.** Click the link at the bottom of the diagnostic questions for each sub-element to identify the **Transition Strategies** not already implemented in the agency and record them on the **Scoring Summary Sheet**. Most transition strategies will likely come from the phase that corresponds to your score for that sub-element, however, ensure that all strategies from preceding phases have been implemented.
4. **Prioritize Gaps.** Prioritize the foundational element(s) and sub-element(s) to improve upon by either selecting the lowest scoring sub-element(s), or by prioritizing the sub-element(s) based on factors such as existing resources, feasibility, and impact, etc.
5. **Prioritize Strategies.** Prioritize transition strategies to implement for the selected sub-element(s) using a formal or informal prioritization technique. See below for additional guidance on prioritization.
6. **Select Strategies.** As appropriate, record the high priority strategies in the **Scoring Summary Sheet** and select the highest priority strategies for implementation. Select as many transition strategies as deemed appropriate, per organizational strategic and QI planning efforts. **Note:** *This resource does not provide a comprehensive list of strategies and should serve as a general guide to building a quality culture.*
7. **Develop an Action Plan.** Draft an action plan to describe how the selected strategies will be implemented. The action plan for each strategy should include the steps to implement the strategy, when they will be complete, responsible staff, and a measure of success, if applicable (e.g., % of trained employees). See **Table 2** below for an example action plan. **Note:** *This should be aligned with and incorporated into agency strategic and QI planning efforts.*

### **Prioritization Matrix**

Detailed steps for using a Prioritization Matrix are below.

1. **Select Criteria.** Choose *two* broad criteria that are currently most relevant to the agency (e.g. importance, urgency, cost, impact, need, feasibility). Strategies will be evaluated against how well these criteria are met. The example matrix uses ‘Impact’ and ‘Feasibility’ as the criteria.
2. **Create a Matrix.** Set up a grid with four quadrants and assign one broad criteria to each axis. Create arrows on the axes to indicate ‘high’ or ‘low.’
3. **Label Quadrants.** Based on the axes, label each quadrant as either ‘High Impact/High Feasibility,’ ‘High Impact/Low Feasibility,’ ‘Low Impact/High Feasibility,’ ‘Low Impact/Low Feasibility.’
4. **Categorize & Prioritize.** Place all transition strategies in the appropriate quadrant based on the quadrant labels. Prioritize implementation of the strategies in the Priority #1 quadrant.



For additional prioritization techniques, see NACCHO’s [Guide to Prioritization Techniques](#).

Table 2: Example Action Plan

ACTION PLAN			
Sub-Element: <b>1.2 Knowledge, Skills, and Abilities</b>			
Strategy: <b>Become familiar with principles of reliable adult education; be able to assess training materials and delivery methods for effectiveness</b>			
What	Who	When	Deliverable or Measure
1. Identify sources of knowledge for adult education principles and methods	Mary P.	Jan 30	List of selected AE resources
2. Review sources of knowledge for adult education principles and methods	Mary P.	Feb 28	Outline summary of conclusions from AE research
3. Identify who in the organization needs to learn about adult education	Joe S.	Jan 30	List of AE trainees
4. Make decision on whether to create training package internally or hire external expert	Mary P., Joe S., Gail F.	Mar 15	Documented decision and reasoning
5. Establish adult education training package (if develop internally)	Mary P.	Apr 30	Training package completed
6. Schedule training	Joe S.	Apr 15	Trainees scheduled and committed; manager approval
7. Train selected individuals on adult education principles and methods	Mary P. or external expert	May 31	All trainees attend 100% of scheduled training

### Guidance for SAT Use

Consider the following when completing the SAT:

- Completing the SAT will take approximately 3-8 hours depending on the size, complexity, and QI history of the organization. Subsequent assessments will likely take less time.
- Use the evidence column in the [Scoring Summary Sheet](#) to clearly record why a phase was selected. It is useful to understand the reasoning for a specific score, especially when reviewing it in the future such as during the next QI planning cycle.
- The Foundational Elements and Sub-Elements do not build on one another (e.g., Element 1 does not need to be completed before Element 2; and Sub-Element 1.1 does not need to be completed before Sub-Element 1.2).
- Transition strategies within sub-elements build upon each other, i.e., strategies in lower phases are foundational for implementing those in higher phases. When identifying strategies to transition to the next phase (e.g., Phase 3→4), be sure to also look at the previous phase transition strategies (Phase 2→3) to ensure that appropriate strategies have been implemented.
- It is common for organizations to be stronger in some Foundational Elements over others. Organizations may select one element to focus improvement efforts, or to work toward improvement in more than one element at a time. For example, if Leadership Commitment is greatly lacking to the point where resources are not appropriately allocated to working on QI, an organization may choose to focus most efforts on gaining leadership commitment prior to addressing the other elements.
- For organizations new to QI, focus initially on the transition strategies in the following sub-elements: 1.2: *Employee Knowledge, Skills, and Abilities*; 3.1: *Culture*; and 3.2: *Resourcing and Structure*.

## NACCHO Culture of Quality Self-Assessment Tool Diagnostic Statements

## FOUNDATIONAL ELEMENT 1: EMPLOYEE EMPOWERMENT AND COMMITMENT

### Overview

To achieve a culture of quality, all employees, from senior leadership to frontline staff, have infused QI into the way they do business. Employees continuously consider how processes can be improved, and innovation is the norm. QI is no longer seen as an additional task but a frame of mind in which the application of QI is second nature. To achieve this state, employees must be enabled by providing access to the following:

- Information about the organization and its work processes that enable understanding and use in QI
- Clear expectations around organizational goals, work units and individuals including the need for involvement in QI; feedback systems that allow everyone to understand and acknowledge the progress of the organization, work units, and individuals
- Reliable work processes and resources that enable an individual to perform
- Support in developing the QI and work related knowledge, skills, and abilities to succeed
- Delegated authority to make decisions and take action to improve their performance

### Sub-Elements

Employee Empowerment and Commitment includes two sub-elements:

- 1.1 Enabling Performance** – Enabling the success of all employees by creating reliable work processes, a supportive work setting, and resources.
- 1.2 Knowledge, Skills and Abilities** – Developing the knowledge, skills, and abilities needed for a high performing organization.

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Core competencies:** The key knowledge, skills and abilities required to succeed in performing a role
- **Standardized Work:** Documented methods which define how work is done and reflect the current best-known way to do something. Standardized work is documented in a way that enables employees to perform tasks, resulting in decreased variation and a basis for continual process improvement.
- **Work Team:** A team formed around a work process or function, and is typically in place over a sustained period of time.
- **QI Project Team:** A team formed to execute a project using a QI process, and typically in place over a relatively short period of time sufficient to complete the QI project.

**FOUNDATIONAL ELEMENT 1: EMPLOYEE EMPOWERMENT AND COMMITMENT**

**Sub-Element 1.1: Enabling Performance**

Rate the following statements regarding enabling employees for success in the organization.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Creating Expectations and Getting Feedback</b>						
Defined job and QI related roles and expectations are understood by employees.	<input type="checkbox"/>					
Employees use performance measures and targets for problem solving and improvement in their work.	<input type="checkbox"/>					
Employees receive effective feedback on job performance on a regular basis.	<input type="checkbox"/>					
QI related goals are incorporated into the performance appraisal process.	<input type="checkbox"/>					
Employees are acknowledged and/or rewarded for their contributions and successes.	<input type="checkbox"/>					
<b>Providing Resources</b>						
Employees have the necessary resources (information and materials, supplies, IT infrastructure) to successfully perform their role.	<input type="checkbox"/>					
All employees have access to a skilled practitioner (e.g., supervisor, mentor) to get help on required work.	<input type="checkbox"/>					
<b>Empowering Individuals and Teams</b>						
Leadership provides employees the authority to make decisions and take action to improve their own work processes.	<input type="checkbox"/>					
Defined processes are used for addressing problems related to quality.	<input type="checkbox"/>					
All employees have the opportunity to identify and nominate improvement activities and formal QI projects.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 1.1: Enabling Performance.](#)

**FOUNDATIONAL ELEMENT 1: EMPLOYEE EMPOWERMENT AND COMMITMENT**

**Sub-Element 1.2: Knowledge, Skills, and Abilities**

Rate the following statements regarding the development of the knowledge, skills, and abilities needed for developing employees' capacity.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Assessment and Identification of Gaps</b>						
The organization has identified a core set of QI related knowledge, skills and abilities (KSAs) in which each employee will become competent.	<input type="checkbox"/>					
The organization has identified a core set of public health and other job related competencies or KSAs in which each employee will become competent.	<input type="checkbox"/>					
The organization assesses employees' QI, public health, and other job related KSAs to identify gaps.	<input type="checkbox"/>					
<b>Development and Execution of Plans to Close Gaps</b>						
Gaps identified during assessment of job specific and QI specific KSAs are incorporated into workforce development and QI plans.	<input type="checkbox"/>					
Individual employee development plans are established and tracked for progress to improve KSAs.	<input type="checkbox"/>					
Employees are provided training and resources in areas identified in individual development plans.	<input type="checkbox"/>					
A standard process of orienting and training new employees to job specific and QI specific KSAs is in use.	<input type="checkbox"/>					
<b>Materials and Methods to Develop KSAs</b>						
A variety of training methods and resources are used to develop the KSAs (e.g. training, mentoring, seminars, new assignments and responsibilities).	<input type="checkbox"/>					
Employees have the opportunity to practice implementation of skills after trainings.	<input type="checkbox"/>					
An inventory of training materials and methods is available for use.	<input type="checkbox"/>					
Training materials used have demonstrated effectiveness in increasing KSAs.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 1.2: Knowledge, Skills, and Abilities.](#)

## FOUNDATIONAL ELEMENT 2: TEAMWORK AND COLLABORATION

### Overview

Transforming organizational culture is an organization-wide effort that cannot be accomplished without teamwork and collaboration. Teams should routinely be formed to brainstorm, solve problems, implement QI projects, and share lessons learned. Organizations should be skilled at quickly forming up teams that have clear goals, alignment among the members, clear roles and responsibilities, efficient team processes (e.g. action planning), effective decision making, conflict resolution, and that use the skills and knowledge of all team members. Collaboration and use of learning communities among divisions and programs must also exist to share knowledge, standardize processes and ultimately break down silos that may exist throughout the organization.

### Sub-Elements

Teamwork and Collaboration include the following components:

- 2.1 Team Performance** – The ability of the organization to create high performing teams
- 2.2 Learning Communities** – Sharing of knowledge between individuals, teams, and organizations.

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **QI Project Team:** A team formed to execute a project using a QI process. Typically in place over a relatively short period of time sufficient to complete the QI project.
- **Work Team:** A team formed around a work process, function or area. Typically in place over a sustained period of time.
- **Team:** Any team formed to carry out a specific function, task, or work process – including both QI project teams and work teams.
- **SMART Objectives:** A strategic planning method used to evaluate the Strengths, Weaknesses, Opportunities, and Threats and determine strategic objectives. Strengths: Characteristics of the business or project that give it an advantage over others; Weaknesses: are characteristics that place the team at a disadvantage relative to others; Opportunities: elements that the project could exploit to its advantage; Threats: elements in the environment that could cause trouble for the business or project. This analysis associates the internal and external data to develop strategies.
- **Learning Community:** A group formed to advance the collective knowledge around a particular topic area in a way that supports the growth of knowledge among individual members of the group. Learning communities often include members that exhibit a diversity of skills, experience, and expertise; have an objective of continually advancing collective knowledge, skills, and abilities; and support mechanisms for sharing what is learned.

FOUNDATIONAL ELEMENT 2: TEAMWORK AND COLLABORATION

## Sub-Element 2.1: Team Performance

Rate the following statements regarding the ability of the organization to create high performing teams.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Vision, Values and Goals</b>						
Team goals are defined, understood, and agreed upon by all team members.	<input type="checkbox"/>					
Key milestones of the team are clearly defined and understood by members.	<input type="checkbox"/>					
Expectations for team performance are established, including SMART objectives, and measures and targets for success.	<input type="checkbox"/>					
Team members conduct themselves consistent with a set of core team values.	<input type="checkbox"/>					
Team members effectively resolve conflict and differences in opinion.	<input type="checkbox"/>					
<b>Roles and Relationships</b>						
Team members are selected based on the KSAs needed to accomplish the team’s goals and objectives.	<input type="checkbox"/>					
Roles and requirements in the teams are clearly understood.	<input type="checkbox"/>					
Team members’ KSAs are fully used by teams.	<input type="checkbox"/>					
Team members demonstrate respect for each other regardless of position.	<input type="checkbox"/>					
<b>Procedures and Performance</b>						
Teams use data to solve problems and overcome barriers.	<input type="checkbox"/>					
Team performance is regularly tracked for progress and accomplishments.	<input type="checkbox"/>					
Teams meet (in-person or virtually) on a regular basis.	<input type="checkbox"/>					
Team members have effective methods for communicating.	<input type="checkbox"/>					
Teams complete tasks and meet commitments.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 2.1: Team Performance.](#)

**FOUNDATIONAL ELEMENT 2: TEAMWORK AND COLLABORATION**

**Sub-Element 2.2: Learning Communities**

Rate the following statements regarding the sharing of knowledge between individuals, teams, and organizations.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Awareness and Use of Learning Communities</b>						
Employees seek out opportunities to participate in QI related external learning communities (local, state or national level).	<input type="checkbox"/>					
Opportunities to participate in internal learning communities to build QI knowledge and skills exist.	<input type="checkbox"/>					
Opportunities to participate in topical learning communities to build other job related knowledge and skills exist (e.g. meeting facilitation, partnership development)	<input type="checkbox"/>					
Employees apply knowledge acquired from learning communities within the organization’s improvement efforts.	<input type="checkbox"/>					
<b>Sharing and Collaboration</b>						
The sharing of information, improvements, ideas, problems and experiences is encouraged and expected.	<input type="checkbox"/>					
A variety of methods for sharing and collaboration (e.g. QI project storyboards, visual displays of work processes, topical “lunch and learn” sessions) are used among employees.	<input type="checkbox"/>					
Available technology is used to facilitate sharing and collaboration (e.g. instant messaging, net meeting, e-mail groups, share sites and social media groups).	<input type="checkbox"/>					
Findings and lessons learned from various venues (e.g., conferences, trainings, literature, state and national resources, non-public health, learning communities) are routinely shared among employees.	<input type="checkbox"/>					
A central location for housing information, lessons learned, improvements, and ideas related to quality is consistently utilized.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 2.2: Learning Communities.](#)

## FOUNDATIONAL ELEMENT 3: LEADERSHIP

### Overview

Leadership's commitment is vital for the success and sustainability of a QI culture. The Health Official and senior leaders should initiate and lead the process for transformational change, dedicate financial and human resources to QI, communicate progress, and exhibit lasting support for QI. All leaders, anyone who directs the work of others, are critical to executing the QI directions and actions. Without leadership commitment, progress will diminish and likely result in relapse to the previous state.

One vital role for leaders is change management. Defined as a structured approach to transitioning an organization from a current state to a future desired state, change management must be deliberately used to address challenges throughout the change process. When integrating quality into the culture, leaders can use change management concepts and strategies to address both the resourcing and structure side of change (e.g., building the infrastructure, processes, and systems needed for effective QI) and the cultural side of change (e.g., alleviating resistance, maintaining transparency, meeting training needs, attaining team support).

### Sub-Elements

The following are components of strong leadership:

- 3.1 Culture** – Leaders actively establish the environment, personally model the behaviors, and lead the transformation to a culture of quality.
- 3.2 Resourcing & Structure** – Leaders providing the resources and team structure to drive quality throughout the organization.

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Leadership Training:** Leadership training provided to supervisors and managers. The training is focused on improving leaders in 4 areas: Managing Performance, Developing People, Improving Processes, and QI skills (goal setting, value and waste detection, measurement, extracting lessons learned, working with others, communication, action planning, information based problem solving, decision making, and teaching/coaching others).
- **Executive leaders** – The most senior leaders in the organization such as the Local Health Official, Administrator, Deputy Directors, etc.
- **Managers and Supervisors** - Anyone in the organization who directs the work of others, including directors, senior managers, middle managers, etc.
- **QI Leader:** The employee(s) responsible for ensuring the effective coordination or all QI initiatives in the organization. Example responsibilities often include developing expertise in QI, coordinating and/or facilitating QI trainings, planning QI leadership and project team meetings, facilitating QI team meetings. This employee often has FTEs dedicated to QI work (e.g., Performance Improvement Manager, QI coordinator).
- **QI Leadership Team:** A cross-cutting group of employees responsible for overseeing all QI initiatives. Responsibilities often include establishing QI goals, objectives, and measures; monitoring achievement of QI goals; approving and overseeing specific QI projects; and addressing barriers to QI implementation (e.g., QI Council).
- **Local Governing Entity** – The local health department's designated governing entity whose members are appointed or elected to provide advisory functions and/or oversight of public health activities.

FOUNDATIONAL ELEMENT 3: LEADERSHIP

## Sub-Element 3.1: Culture

Rate the following statements regarding the degree to which organization leadership actively establish the environment, personally model the behaviors, and lead the transformation to a culture of quality.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Establishing the Environment</b>						
All leaders routinely communicate the organization’s QI goals, employee expectations, and successes achieved.	<input type="checkbox"/>					
A QI policy specifying QI expectations and structuring is adopted and adhered to.	<input type="checkbox"/>					
Leaders and QI leadership team ensure that QI strategies are included in strategic and operational plans.	<input type="checkbox"/>					
Leaders view maximizing the full capacity or potential of employees as essential to the success of QI.	<input type="checkbox"/>					
Executive leadership routinely communicates about QI to the local governing entity (LGE), emphasizing QI importance and successes at the organization.	<input type="checkbox"/>					
<b>Modeling Behavior</b>						
All leaders display QI support by actively participating in improvement activities.	<input type="checkbox"/>					
All leaders routinely engage with their employees in their work area to understand issues, concerns, and improvement ideas.	<input type="checkbox"/>					
All leaders encourage QI participation, involvement and creativity of their employees.	<input type="checkbox"/>					
All leaders demonstrate the use of data in problem solving in a non-judgmental manner.	<input type="checkbox"/>					
All leaders use data to drive decision making at all levels of the organization.	<input type="checkbox"/>					
<b>Coaching the Organization</b>						
Leaders are adequately trained in QI concepts and methods to drive QI planning, participate in improvement initiatives, and effectively provide feedback.	<input type="checkbox"/>					
All leaders routinely review QI progress in team meetings, organization wide meetings, etc.	<input type="checkbox"/>					
All leaders address barriers and engage employees that are resistant to QI (e.g. eliminate fear or placing blame).	<input type="checkbox"/>					
Organization leaders set the expectation that QI is a part of everyone’s job.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 3.1: Culture.](#)

**FOUNDATIONAL ELEMENT 3: LEADERSHIP**

**Sub-Element 3.2: Resourcing and Structure**

Rate the following statements regarding leadership provision of resources and structuring that drive QI throughout the organization.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Providing Resources</b>						
Organization leaders and/or the LGE budget for organizational QI initiatives.	<input type="checkbox"/>					
An appropriate number of FTEs are dedicated to support and sustain QI initiatives.	<input type="checkbox"/>					
QI leaders and/or the QI leadership team are trusted and provided authority by executive leaders.	<input type="checkbox"/>					
All leaders allow for employees to dedicate time to support QI initiatives.	<input type="checkbox"/>					
Necessary materials and resources are made available for improvement initiatives.	<input type="checkbox"/>					
<b>Providing Structure</b>						
A QI governance structure exists, including reporting relationships, defined roles and responsibilities, etc.	<input type="checkbox"/>					
Necessary materials and logistics are provided for all improvement activities and projects.	<input type="checkbox"/>					
If feasible, successful QI leaders are incentivized with career opportunities, raises, and/or bonuses.	<input type="checkbox"/>					
<b>QI Training &amp; Development</b>						
QI leaders and/or the QI leadership team are provided the training, skill development, and mentoring opportunities required to effectively lead the QI transformation, including improvement activities and projects.	<input type="checkbox"/>					
Supervisors & managers are provided the training and skill development opportunities to effectively support improvement activities.	<input type="checkbox"/>					
Leaders actively seek out and make available QI training opportunities and resources for employees.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 3.2: Resourcing and Structure.](#)

## FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

### Overview

External customers are the most important part of why organizations exist and service to them is a core tenet of quality. High performing organizations use a deep understanding of customer values to drive decision making. Services offered should be customer driven and continuous assessment of customer values should drive improvement efforts to meet and exceed customer expectations and prevent dissatisfaction. The improvement efforts for the service can be helped by examining the overall process (value stream) used to provide the service and by understanding how each step can impact the Customer. Development of new services should begin by understanding customer values and by building processes that deliver quality services.

### Sub-Elements

Customer Focus includes the following components:

- 4.1 Understanding the Customer** – Organization’s demonstrated use of customer values to drive decision-making and continuous improvement.
- 4.2 Satisfying the Customer through the Value Stream** – Use of value streams, i.e., the detailed end-to-end processes necessary to deliver a program or service, to increase customer satisfaction
- 4.3 Reprioritizing and Creating Programs and Services** – Use of customer values in reprioritizing and/or creating new programs and services.

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Customer Perspective Measures:** Measures that represent how the customer would judge the product/service and their experience in using it
- **External Customer:** Those people that receive the LHD service (e.g., flu shots) or offering and whose success you are trying to immediately enable.
- **Internal Customer:** LHD members collaborating within a work process or with other partner organizations in order to deliver the service to the external customer.
- **Value Stream:** The high level (“40,000 ft. view”) of the flow of information and materials required to produce a product or service for a customer (typically within a single work unit or organization). Value Stream mapping and analysis is a fundamental method to identify opportunities for improvement. Value stream maps include the major process steps, informative data, how information flows and a timeline for delivering products or services.

**FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS**

**Sub-Element 4.1: Understanding the Customer**

Rate the following statements regarding the organization’s demonstrated use of customer values to drive decision-making and continuous improvement.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Customer Data Collection and Analysis</b>						
The organization regularly and systematically collects and analyzes data around customer values and needs.	<input type="checkbox"/>					
The organization identifies, defines, tracks and uses measures of customer satisfaction.	<input type="checkbox"/>					
<b>Use of Customer Data</b>						
The organization uses customer satisfaction data as part of its performance management and improvement planning processes.	<input type="checkbox"/>					
The organization uses the data and measures of customer requirements and satisfaction to identify and implement work process improvements on existing offerings.	<input type="checkbox"/>					
There are effective systems for receiving, resolving and identifying root causes to customer problems.	<input type="checkbox"/>					
Customer satisfaction is a central part of the organizations quality policies and quality system.	<input type="checkbox"/>					
<b>Culture</b>						
Organizational leaders engage frequently with customers in the pursuit of feedback and insight.	<input type="checkbox"/>					
Employees are empowered to take appropriate corrective action on customer issues.	<input type="checkbox"/>					
The organization involves customers in improvement activities and new offerings.	<input type="checkbox"/>					
Information about customer values is understood and communicated throughout the organization.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 4.1: Understanding the Customer.](#)

FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

## Sub-Element 4.2: Customer Satisfaction through Value Streams

Rate the following statements regarding the use of value streams, i.e., the detailed end-to-end processes necessary to deliver a program or service, to increase customer satisfaction.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Understanding the Value Stream</b>						
The organization understands the set of value streams or high level processes leading to a program or service for a customer (i.e. identifies how activities fit into the value stream).	<input type="checkbox"/>					
The value streams are defined to include inputs, outputs, individual processes and customer perspective measures of satisfaction.	<input type="checkbox"/>					
There is employee ownership of the value streams and the steps that are accountable for meeting customer expectations and continual improvement.	<input type="checkbox"/>					
The employees of the organization, and suppliers, understand the “big picture” of how customer value is created by the organizations’ processes.	<input type="checkbox"/>					
The organization identifies, defines, tracks and uses measures of customer satisfaction for each value stream.	<input type="checkbox"/>					
<b>Adding Value for Customers by Improving Value Streams</b>						
The organization assesses the value streams to identify overall needs for improvement in customer satisfaction as part of its improvement planning processes.	<input type="checkbox"/>					
Value streams are analyzed to see which steps have the most significant influence on customer satisfaction.	<input type="checkbox"/>					
Improvement projects to increase customer satisfaction are executed in the key steps of the value stream.	<input type="checkbox"/>					
Customer measures are understood by employees.	<input type="checkbox"/>					
<b>External Use</b>						
In conjunction with partners, the organization maps the <i>extended</i> value stream (the value stream including community partners and suppliers) and looks for gaps or overlaps.	<input type="checkbox"/>					
The organization has identified improvements in the targeted areas of the extended value stream as part of its improvement plans.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 4.2: Satisfying the Customer through the Value Stream.](#)

FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

## Sub-Element 4.3: Reprioritizing and Creating Programs and Services

Rate the following statements regarding the organization’s use of customer values to reprioritize and/or create programs and services.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Understanding Customers’ Future Needs</b>						
The organization understands the future trends that will impact customers’ needs (e.g. customer demographics, funding constraints, health status, changes in the community).	<input type="checkbox"/>					
The organization has identified and considered future customer needs to identify what new programs or services are needed, or which existing ones should be re-prioritized.	<input type="checkbox"/>					
Potential new programs or services are consistent with the mission of the organization.	<input type="checkbox"/>					
Potential new programs or services are considered against those of its partners.	<input type="checkbox"/>					
The organization understands the factors impacting its ability to support new customer needs (e.g. available resources).	<input type="checkbox"/>					
<b>Reprioritizing Existing, and Developing New, Programs and Services</b>						
Reprioritization of programs and services takes into consideration internal and external factors (e.g. formal and informal mandates, funding restrictions).	<input type="checkbox"/>					
Customer values, measures, and targets for potential programs and services have been identified.	<input type="checkbox"/>					
Pending resource availability, effective and efficient processes are created for developing the new programs or services.	<input type="checkbox"/>					
Ownership of the new programs and services are consistently established.	<input type="checkbox"/>					
New services are integrated with partners.	<input type="checkbox"/>					
The organization’s capabilities – knowledge, skills, abilities, and infrastructure (e.g., IT) –have been reviewed to understand needs for delivering the new programs or services.	<input type="checkbox"/>					
Strategies and plans have been developed to address gaps in capabilities (e.g. internal development of capabilities, securing them from the outside, or partnering with others).	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 4.3: Creating New Programs and Services.](#)

## FOUNDATIONAL ELEMENT 5: QUALITY IMPROVEMENT INFRASTRUCTURE

### Overview

To build a culture of QI, infrastructure must be in place to ensure that QI efforts are aligned with every aspect of the organization including its mission, vision, and strategic direction and that QI is linked to organizational performance. Some assessment items in Sub-element 5.1 are based on the Turning Point Performance Management Self-Assessment, while others are similar in idea or concept.

### Sub-Elements

The following are components of a strong QI infrastructure:

- 5.1 Strategic Planning** – The development and use of a resourced and actionable strategic plan.
- 5.2 Performance Measurement and Use of Data**– The use of process, project, and organizational performance data & resulting measures to continually improve.
- 5.3 Annual Quality Improvement Planning** – The development & use of a resourced and actionable annual quality improvement plan.
- 5.4 Administrative and Functional Processes and Systems** – The organizational systems and processes that support and drive improvement (i.e.; HR, Finance, Legal, IT)

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Administrative and Functional Processes:** The work processes and systems that support the daily operations of the organization such as HR, Finance, Legal, IT.
- **Leaders:** Anyone who directs the work of others, including senior managers, chiefs, directors, middle managers, and supervisors.
- **Performance Management System:** A fully integrated system for managing performance at all levels of an organization which includes: 1) setting organizational objectives across all levels of the department; 2) identifying indicators and metrics to measure progress toward achieving objectives on a regular basis; 3) identifying responsibility for monitoring progress and reporting; and 4) identifying areas where achieving objectives requires focused QI processes.
- **Performance Measures:** A quantitative tool to help understand, manage, and improve performance by providing insight into whether processes are in statistical control; whether goals are being achieved; where improvements are necessary; and if customers are satisfied. Performance measures are always tied to a goal or an objective and are composed of a number which gives a magnitude (how much), and a unit of measure which give the number a meaning (what).
- **QI Leader:** The QI Leader will lead, facilitate, and drive QI to success in the organization by providing focus and leadership. The responsibilities include QI education, adoption, planning, project execution, communication and change management, the sharing of learnings, and measuring QI results. (e.g., PIM,, QI coordinator)
- **QI Leadership Team:** The organization leaders who are accountable for the success of the organization and QI. Their responsibilities include modeling the organization's values, establish the strategic and QI goals, objectives, and measures, and the achievement of those goals, and lastly the elimination of barriers. (e.g., PM Council)
- **SWOT Analysis:** A strategic planning method used to evaluate the Strengths, Weaknesses, Opportunities, and Threats and determine strategic objectives. Strengths: Characteristics of the business or project that give it an advantage over others; Weaknesses: are characteristics that place the team at a disadvantage relative to others; Opportunities: elements that the project could exploit to its advantage; Threats: elements in the environment that could cause trouble for the business or project. This analysis associates the internal and external data to develop strategies.
- **Value Stream:** The high level ("40,000 ft. view") of the flow of information and materials required to produce a product or service for a customer (typically within a single work unit or organization). Value Stream mapping and analysis is a fundamental method to identify opportunities for improvement. Value stream maps include the major process steps, informative data, how information flows and a timeline for delivering products or services.
- **Statistical Control:** The state of a stabilized process in which the process performances within the expect tolerances and only common causes of variation remain (all special causes of variation having been removed), as evidenced on a control chart by the absence of (1) data points beyond the control limits, and (2) non-random patterns of variation.

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

## Sub-Element 5.1: Strategic Planning

Rate the following statements regarding the development and use of an actionable strategic plan.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Strategic Planning Process</b>						
A strategic planning process results in an updated strategic plan every 3-5 years.	<input type="checkbox"/>					
The group responsible for implementing the organization’s strategic planning process, or Strategic Planning Committee (SPC), conducts a stakeholder analysis to identify key stakeholders, and to understand their influence on the organization.	<input type="checkbox"/>					
The SPC includes or engages key stakeholders (internal & external), including the LGE.	<input type="checkbox"/>					
The strategic planning process identifies formal and informal mandates imposed on the agency.	<input type="checkbox"/>					
The strategic plan defines the organization’s vision, mission, and values.	<input type="checkbox"/>					
The SPC conducts an environmental scanning process (e.g. SWOT Analysis) to determine the internal and external factors impacting the success of the agency.	<input type="checkbox"/>					
Strategic priorities are selected based on results from an environmental scanning process, customer and health assessments, and performance gaps.	<input type="checkbox"/>					
The agency strategic plan addresses priorities identified in the community health improvement plan (CHIP) for which the health department is responsible.	<input type="checkbox"/>					
Long term goals (3-5 years) and SMART objectives are identified for each strategic priority.	<input type="checkbox"/>					
<b>Strategic Plan Implementation</b>						
Specific strategies and interventions are developed for achieving strategic goals and objectives and incorporated into operational plans and employee work plans.	<input type="checkbox"/>					
Process, output, and outcome measures are monitored to assess progress against strategic goals and objectives.	<input type="checkbox"/>					
The strategic plan guides decision making on allocating resources to achieve strategic priorities.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 5.1: Strategic Planning.](#)

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

## Sub-Element 5.2: Performance Measurement and Use of Data

Rate the following statements regarding performance measurement and use of data to drive improvement.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Performance Measures and Standards</b>						
All parts of the organization have defined performance measures to monitor performance.	<input type="checkbox"/>					
A formal and standardized agency-wide process for developing performance measures is consistently followed.	<input type="checkbox"/>					
Employees have input into the development and selection of performance measures that relate to their work	<input type="checkbox"/>					
Performance measures are aligned through every level of the agency (e.g. department, division, program, and individual levels), and are linked to the agency strategic plan.	<input type="checkbox"/>					
Performance measures have been aligned horizontally across the agency to ensure consistency across common agency processes.	<input type="checkbox"/>					
A mix of input or capacity; process or output; and short, intermediate, and long term outcome performance measures are in place.	<input type="checkbox"/>					
Performance measures are based on a balanced set of perspectives (e.g. customer, financial, internal processes, results), to ensure that all aspects of operations are adequately measured.	<input type="checkbox"/>					
Data sources are defined and data can be feasibly collected for all performance measures.	<input type="checkbox"/>					
A defined schedule for data collection is in place and consistently followed for all performance measures.	<input type="checkbox"/>					
All performance measures have set performance standards, target or benchmarks.	<input type="checkbox"/>					
A variety of sources for setting standards or targets are used including national/state level standards (Healthy People 2020); benchmarks from peer agency performance; and past agency performance data.	<input type="checkbox"/>					
<b>Data Analysis &amp; Reporting</b>						
A schedule for the frequency of data analysis and reporting of performance is routinely followed for all performance measures.	<input type="checkbox"/>					
Performance is routinely reported to both internal and external stakeholders.	<input type="checkbox"/>					
An effective information system (e.g. spreadsheets, database, performance software) is used for storing, analyzing, integrating, and reporting performance throughout the organization.	<input type="checkbox"/>					
Employees have been assigned responsibility for monitoring and reporting on performance measures.	<input type="checkbox"/>					
As appropriate, statistical methods are applied to analyze data (e.g. reliability, validity, process variance and control).	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 5.2: Performance Measurement and Use of Data.](#)

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

## Sub-Element 5.3: Annual Quality Improvement Planning

Rate the following statement regarding the development and use of an actionable annual quality improvement plan.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Collecting and Analyzing Data for QI Plan Development</b>						
Organization performance data is used to determine and prioritize improvement projects.	<input type="checkbox"/>					
Employee assessments (e.g., employee satisfaction survey) are considered when prioritizing improvement projects.	<input type="checkbox"/>					
Customer satisfaction data and customer needs and values are considered when prioritizing improvement projects.	<input type="checkbox"/>					
Identified gaps in performance against strategic plan goals and objectives are considered when prioritizing improvement initiatives.	<input type="checkbox"/>					
Lessons learned from prior successes and failures are captured from prior year’s QI plan(s).	<input type="checkbox"/>					
<b>Developing the Annual Quality Improvement Plan</b>						
The QI plan defines key quality terms which create a common vocabulary and consistent messaging.	<input type="checkbox"/>					
The QI plan identifies the organization’s QI training goals and strategies.	<input type="checkbox"/>					
The QI plan defines the organization’s governance structure including membership, roles and responsibilities, staffing support, budget, and resource allocation.	<input type="checkbox"/>					
All prioritized improvement initiatives are defined in the QI plan with goals, objectives, measures, time-framed targets, and person(s) responsible.	<input type="checkbox"/>					
Strategies around communicating about QI with the organization are defined in the QI plan.	<input type="checkbox"/>					
<b>Achieving Annual Improvements</b>						
Improvement projects and initiatives have clear, actionable deliverables with assigned responsible parties.	<input type="checkbox"/>					
Progress against improvement goals are monitored and reported.	<input type="checkbox"/>					
The annual QI plan and progress against the plan is available to all employees.	<input type="checkbox"/>					
The improvement plan’s goals and strategies are cascaded throughout the organization and into operational plans and employee work plans.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 5.3: Annual QI Planning.](#)

**FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE**

**Sub-Element 5.4: Administrative & Functional Processes and Systems**

Rate the following statements regarding the organizational systems and processes that support daily operations and QI (i.e., HR, Finance, Legal, IT).

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Impact of Administrative &amp; Functional Processes (i.e., HR, Finance, Legal, IT)</b>						
Administrative and functional process value streams are defined.	<input type="checkbox"/>					
Performance of administrative and functional processes is monitored and reported routinely.	<input type="checkbox"/>					
Administrative and functional processes have designated owners.	<input type="checkbox"/>					
Administrative and functional process team members understand their impact on the entire organization.	<input type="checkbox"/>					
Administrative and functional process team members and leaders understand quality improvement.	<input type="checkbox"/>					
Administrative and functional process team members understand their impact on meeting internal and external customer requirements.	<input type="checkbox"/>					
<b>Supporting QI Strategies</b>						
Administrative and functional processes' performance and cycle times support other organizational process improvement needs.	<input type="checkbox"/>					
Administrative and functional process team members participate in achieving other organization improvements.	<input type="checkbox"/>					
IT systems of the administrative and functional processes provide necessary performance data.	<input type="checkbox"/>					
IT systems support organizational needs.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 5.4: Administrative & Functional Processes and System.](#)

## FOUNDATIONAL ELEMENT 6: CONTINUAL PROCESS IMPROVEMENT

### Overview

Continual Process Improvement (CPI) is a never-ending quest to improve organizational work process performance. Performance is improved through the systematic application of proven QI methodologies that engage work team members in developing permanent changes to processes to reduce waste, improve quality of services, and increase customer satisfaction.

CPI provides a framework for conducting QI projects in any work process, in any area of an organization. It enables auditing how well an organization is applying project-based problem solving to drive improvement. And as an organization's QI culture advances, CPI becomes increasingly embedded into daily improvement activities as part of normal work in addition to being applied through formal QI projects, resulting in broader and more rapid process improvement.

### Sub-Elements

The following are components of effective Continual Process Improvement, which support the steps of PDSA improvement cycles at the project level:

- 6.1 Selecting and Applying QI Methods** – Utilizing effective and efficient methods to reliably define gaps, diagnose problems, and develop measurable improvements.
- 6.2 Planning for process improvements** – Developing proposed work process improvements through the application of effective problem solving.
- 6.3 Testing Proposed Solutions** – Systematically testing and validating proposed solutions prior to implementation, in order to build knowledge and increase the likelihood of success.
- 6.4 Extracting Lessons Learned** – Formally and deliberately capturing, sharing, and using knowledge to accelerate individual and organizational learning and improvement.
- 6.5 Sharing Best Practices** – Identifying, developing, sharing, and replicating best-known methods and solutions to stabilize and accelerate improvement.
- 6.6 Effectively Installing Standardized Work** – Documenting and deploying standard methods of how work gets done so it can be effectively used to decrease variation and enable continual process improvement.
- 6.7 Process Management, Results and Continual Improvement** – Effectively measuring, managing, and continually improving work process performance over time.

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Best Practices:** The current best-known way to do something. Best practices are a) recognized as consistently producing results superior to those achieved with other means, b) can be standardized and adopted/replicated by others, and c) will produce consistent and measurable results. Replication required the adoption in a different process, area, or organization such that the results of the original application can be reliably reproduced. Best practices will evolve to become better as improvements are discovered.
- **Standardized Work:** Documented methods which define how work is done. Standardized work reflects the current best-known way to do something, and is documented in a way that enables it to be effectively used while work is performed, resulting in decreased variation and a basis for continual process improvement.
- **QI Leader:** The QI Leader will lead, facilitate, and drive QI to success in the organization by providing focus and leadership. The responsibilities include QI education, adoption, planning, project execution, communication and change management, the sharing of learnings, and measuring QI results. (e.g., PIM,, QI coordinator)
- **QI Practitioner:** Any person who applies, or practices, the application of standard improvement methods and techniques, under the guidance of a QI Leader.
- **QI Method:** A formal improvement methodology which utilizes data and information within problem solving to reliably generate improvement solutions. (e.g., SRLD, Process Mapping and Waste Analysis, Kaizen, Mistake Proofing, 5S, Flow, Quick Change, Sigma).
- **Mistake-Proofing:** An improvement method for minimizing the opportunities for, and consequences of, human error within work processes.
- **Value-Added Ratio:** The time spent doing value-added tasks divided by the total process time.
- **Waste:** Anything that adds cost or consumes resources without adding value.

**FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT**

**Sub-Element 6.1: Selecting and Applying QI Methods**

Rate the following statements regarding QI methods to reliably define gaps, diagnose problems, and develop measurable improvements.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Selecting Appropriate QI Methods</b>						
The organization is able to identify a standard set of QI methods, including both basic (e.g., root cause analysis, process mapping) and advanced (e.g., kaizen, mistake proofing).	<input type="checkbox"/>					
QI practitioners understand QI methods and are able to select the most effective methods for any given situation.	<input type="checkbox"/>					
The selection of QI methods is guided by goal statements and an understanding of the primary forms of waste present.	<input type="checkbox"/>					
<b>Applying QI Methods Effectively</b>						
There is a training and mentoring system in place to coach QI practitioners in the application of QI methods.	<input type="checkbox"/>					
Documented QI methods are followed.	<input type="checkbox"/>					
QI methods routinely generate measurable positive results.	<input type="checkbox"/>					
QI practitioners assess the success of QI methods and formally learn from each application and from each other.	<input type="checkbox"/>					
QI practitioners apply the QI methods frequently enough to demonstrate proficiency and depth of knowledge.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.1: Selecting and Applying QI Methods.](#)

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.2: Planning for Process Improvements

Rate the following statements regarding the planning process for improving work processes through formal QI projects. **These questions relate closely to the 'Plan' phase in the Plan-Do-Study-Act cycle of a QI project.**

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Defining Improvement Objectives and Aim Statements</b>						
All QI projects start with a clear understanding of how the work process impacts the organization's value stream(s), strategies, and current performance.	<input type="checkbox"/>					
Improvement goals (i.e., Aim statements) are always time specific with measures and targets.	<input type="checkbox"/>					
The scope of the QI project and resulting desired future state are always clearly defined with measures to determine whether the change leads to improvement.	<input type="checkbox"/>					
<b>Analyzing Current Work Processes to determine Root Causes</b>						
A flowchart is always used to map the current process and analyze it for inefficiency or waste.	<input type="checkbox"/>					
Relevant baseline data is always collected prior to testing potential improvements.	<input type="checkbox"/>					
Root cause analysis is conducted to understand the source(s) of the performance gaps.	<input type="checkbox"/>					
<b>Identify Potential Improvements and Develop Improvement Hypotheses</b>						
Best practices (both internal and external) are researched when identifying potential improvements.	<input type="checkbox"/>					
Proposed future state processes are documented, including the Value Added Ratio.	<input type="checkbox"/>					
Proposed improvements are analyzed in the context of the overall value stream to ensure that they do not cause inefficiencies in other parts of the system.	<input type="checkbox"/>					
The proposed future state is always analyzed for potential human error and mistake-proofing techniques are applied.	<input type="checkbox"/>					
<b>Develop a Test Plan</b>						
The improvement hypotheses are clearly defined (i.e., the assertions to be tested, the causal relationship to be validated, and the predicted result that is expected).	<input type="checkbox"/>					
The test plan identifies what will be tested, how it will be tested, how results will be measured, who will conduct the test, timeline for testing, expected results, and how the outcomes will be judged.	<input type="checkbox"/>					
Priority, urgency, impact, and risk are considered when determining what type of tests to conduct and the level of testing and validation that is appropriate and necessary.	<input type="checkbox"/>					
Test plans always take into consideration the ability to measure the results and draw valid conclusions without biasing or influencing the results.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.2: Planning for Process Improvements.](#)

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.3: Testing Proposed Solutions

Rate the following statements regarding the testing of proposed solutions for improving work processes through formal QI projects. These questions relate close to the 'Do' and 'Study' phases of the PDSA cycle of a QI project.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Test the Improvement Hypothesis</b>						
Tests are always conducted in accordance with the test plans.	<input type="checkbox"/>					
Tests are always conducted in the real environment.	<input type="checkbox"/>					
Tests are always structured to make several quick tests on a small scale which generate ongoing feedback of the solution's effectiveness prior to adopting the change.	<input type="checkbox"/>					
Test results, problems, and unexpected observations are documented during the testing phase.	<input type="checkbox"/>					
<b>Study and Analyze the Results</b>						
Data collected during the test are always compared against the baseline data.	<input type="checkbox"/>					
Results from the test are compared to the predicted effect on performance.	<input type="checkbox"/>					
Root Cause Analysis is performed to understand gaps between predicted and actual results.	<input type="checkbox"/>					
The test results are understood by all QI team members and stakeholders.	<input type="checkbox"/>					
The hypotheses are sufficiently proven to allow the improvement team to proceed with an effective solution to the problem.	<input type="checkbox"/>					
<b>Act on Findings</b>						
Based on an analysis of results of the test, the proposed solution is either adopted or standardized; adapted with a revised test; or abandoned to consider other potential solutions.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.3: Testing Proposed Solutions.](#)

**FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT**

**Sub-Element 6.4: Extracting Lessons Learned**

*Rate the following statements regarding the formal and deliberate capturing, sharing, and using of lessons learned to accelerate continuous improvement.*

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Gathering Knowledge from Subject Matter Experts</b>						
Employees regularly seek out and document relevant work knowledge from both internal and external sources.	<input type="checkbox"/>					
A formal proven technique is commonly used to capture knowledge.	<input type="checkbox"/>					
Knowledge is gathered first-hand directly from the source of the knowledge.	<input type="checkbox"/>					
<b>Extracting Learning from Experiences</b>						
Reflection and learning (from both successes and failures) is a routine aspect of daily work.	<input type="checkbox"/>					
The testing of proposed solutions is always followed by either adopting, adapting, or abandoning the proposed solution.	<input type="checkbox"/>					
Lessons learned are documented to include both what has been learned and why it is important.	<input type="checkbox"/>					
<b>Implementing and Sharing Learning</b>						
Lessons learned are routinely shared.	<input type="checkbox"/>					
Actions from lessons learned are implemented and tracked.	<input type="checkbox"/>					
Results from implementing lessons learned are measured and reported.	<input type="checkbox"/>					
Lessons learned are routinely and systematically integrated into standardized work processes.	<input type="checkbox"/>					
Lessons learned are incorporated into annual and strategic planning.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.4: Extracting Lessons Learned.](#)

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.5: Sharing and Use of Best Practices

Rate the following statements regarding the use of best practices, i.e., replication or adaptation of the best-known methods and solutions to stabilize and accelerate improvement, for both QI projects and general organizational activities.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Identifying, Validating, and Documenting Best Practices</b>						
The organization uses various sources and methods to identify best practices.	<input type="checkbox"/>					
There is a process in place for validating that practices are truly best practices.	<input type="checkbox"/>					
Current best practices are defined for all key work processes.	<input type="checkbox"/>					
Best practices are documented effectively, including where they are applicable and under what conditions, the expected results, and how they are accomplished.	<input type="checkbox"/>					
Employees are trained in how to effectively identify, define, and document best practices.	<input type="checkbox"/>					
<b>Sharing &amp; Replicating Best Practices</b>						
The organization routinely replicates and adopts best practices.	<input type="checkbox"/>					
A standard process and system is used for sharing best practices.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.5: Sharing and Use of Best Practices.](#)

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.6: Installing Standardized Work

Rate the following statement regarding the documentation and deployment of standard methods for getting work done to decrease variation and enable continual process improvement.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Developing Standardized Work</b>						
Documented standardized work includes the owner(s) of the work; implementation instructions; timelines; measures of success; inputs and outputs; and quality checks.	<input type="checkbox"/>					
The documented standardized work reflects the current best-known way to do the work.	<input type="checkbox"/>					
The standardized work is created by the people who do the work, and reflects the way the work is actually done.	<input type="checkbox"/>					
<b>Teaching and Using Standardized Work</b>						
All employees are trained on the standardized work relevant to their work.	<input type="checkbox"/>					
All employees know where the most current standardized work is documented.	<input type="checkbox"/>					
The standardized work for critical processes is implemented in all areas of the organization that perform the same work (e.g. grants and contracting).	<input type="checkbox"/>					
An organization-wide system is in place for storing standardized work and managing/controlling changes to it.	<input type="checkbox"/>					
Standardized work is updated and rolled out in a time efficient manner.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.6: Installing Standardized Work.](#)

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.7: Process Management, Results, and Continuous Improvement

Rate the following statement regarding the effective management and continuous improvement of work processes over time.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Managing Work Process Performance</b>						
Work process measures are documented (defined measures, data collection, calculations/analysis, and targeted/stretch goals).	<input type="checkbox"/>					
Results are visually presented and located where relevant work processes are performed.	<input type="checkbox"/>					
Work processes are performing to their designed overall targets.	<input type="checkbox"/>					
<b>Continually Improving Work Processes</b>						
A system is in place to allow employees to have questions answered, problems addressed and ideas for improvement considered.	<input type="checkbox"/>					
Feedback from employees is resulting in incremental and regular improvements.	<input type="checkbox"/>					
Feedback from customers, suppliers, and interfacing work processes are gathered and used to drive improvements.	<input type="checkbox"/>					
Audits are conducted against standardized work and gaps evaluated.	<input type="checkbox"/>					
Work processes are performed consistently across areas and individuals.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 6.7: Process Management, Results, and Continuous Improvement.](#)

## NACCHO Culture of Quality Self-Assessment Tool Transition Strategies

**FOUNDATIONAL ELEMENT 1: EMPLOYEE EMPOWERMENT AND COMMITMENT**

**Sub-Element 1.1: Enabling Performance**

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Creating Expectations and Getting Feedback</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge on the factors that affect empowerment and human performance (e.g. Deming’s theory of management, his 14 management points and the role of leaders)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Train in factors affecting human performance, active listening and communication skills and effective goal setting; target supervisory positions and process owners for training</li> <li><input type="checkbox"/> Document work team member roles and requirements including those of the supervisor</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Communicate roles and expectations for supervisors and work team members in selected areas or processes; ensure understanding</li> <li><input type="checkbox"/> Establish performance expectations and identify how success is measured in critical work processes</li> <li><input type="checkbox"/> Assess the current state of the organization’s performance feedback system; does it help enable performance?</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread role definition and setting of performance expectation to the entire organization; does everyone understand what success looks like?</li> <li><input type="checkbox"/> Ensure that performance feedback is effectively used for development of the individual’s competency.</li> <li><input type="checkbox"/> Build balanced performance feedback system including recognition of individual and team performance; rewards aligned to performance</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Increase the expectation that work teams will manage their own performance and provide each other feedback</li> <li><input type="checkbox"/> Survey team members for input into effectiveness of performance systems; extract lessons learned and implement</li> </ul>
<b>Having Reliable Work Processes</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge on foundational skills of process mapping, standardized work and effective training methods</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify critical processes (e.g., ones that have a significant impact on customers, are frequently used)</li> <li><input type="checkbox"/> Identify supervisors and process owners</li> <li><input type="checkbox"/> Educate supervisors and process owners in standardized work and in effective training methods</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Evaluate selected processes to ensure that they are defined and produce a reliable result</li> <li><input type="checkbox"/> Document processes with standardized work</li> <li><input type="checkbox"/> Deploy standardized work and training approach developed in prior Phases</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Broadly across the organization, evaluate processes to ensure that they are defined and produce a reliable result; Document processes with standardized work;</li> <li><input type="checkbox"/> Deploy standardized work and training approach</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Periodically audit critical processes, standardized work and training process</li> <li><input type="checkbox"/> Extract lessons learned and implement</li> </ul>
<b>Providing Resources</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inventory the key organization information that will inform and enable team members</li> <li><input type="checkbox"/> Obtain knowledge on visual controls and effective displays</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Enable access to basic organization information (e.g., vision, mission, measures, activities) through team meetings and visual displays</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> For key processes, provide current process and performance information visually and local to the team; ensure understanding</li> <li><input type="checkbox"/> For improvement projects, share process improvement information locally via displays and storyboards</li> <li><input type="checkbox"/> Identify needed resources (information and materials) as part of process mapping and improvement activities; ensure that they are available</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Deploy approach in prior Phase across entire organization; include administrative and functional work processes and roles</li> <li><input type="checkbox"/> Survey organization for information needs and effective communication methods; implement findings</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that organization performance is seen as “open book”; real time and trustworthy information is available to all</li> </ul>

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Empowering Individuals and Teams to Improve</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Start to educate all organization members in basic teaming and problem solving skills</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Enable participation in improvement activities through feedback systems, (e.g., suggestion systems, team training exercises) and local problem solving</li> <li><input type="checkbox"/> Understand and inventory the skills and knowledge of organization members within and outside of job role</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Actively recruit and involve work team members in QI projects for specific areas</li> <li><input type="checkbox"/> For QI projects, clearly identify goals and conditions; empower work teams to create solutions within those directions</li> <li><input type="checkbox"/> Use the knowledge and skills of members during improvement projects</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread throughout the organization</li> <li><input type="checkbox"/> Have teams participate in constructing improvement plans for the organization and identify improvement projects</li> <li><input type="checkbox"/> Use the inventory of knowledge and skills of organization members across areas</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Continue to drive decision making local to the work</li> <li><input type="checkbox"/> Have Teams participate in setting direction of the organization and helping select targets for annual improvement</li> <li><input type="checkbox"/> Ensure that the knowledge of team members is being further developed with the support of the organization</li> </ul>

**FOUNDATIONAL ELEMENT 1: EMPLOYEE EMPOWERMENT AND COMMITMENT**

**Sub-Element 1.2: Knowledge, Skills, and Abilities**

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Assessment and Identification of Gaps</b>	<input type="checkbox"/> Become familiar with core QI knowledge, skills, and abilities (KSAs) required for high performing improvement organizations (e.g., goal setting, information based problem solving and decision making, action planning, extracting learning, teaching and coaching, measurement, working with others, value and waste detection)	<input type="checkbox"/> Establish and communicate a list of core KSAs that the organization will adopt and pursue for all individuals	<input type="checkbox"/> Assess QI and work KSAs of the organization compared to its mission and to high performing QI organizations <input type="checkbox"/> Identify gaps for specific areas and roles (e.g., supervisors)	<input type="checkbox"/> Identify gaps for the entire organization; Make ongoing assessment and identification of gaps a regular part of all organization improvement planning <input type="checkbox"/> Use core KSAs in recruitment and selection of employees	<input type="checkbox"/> Include capabilities of partner organizations as part of assessment and identification of gaps and overlaps
<b>Materials and Methods Used to Develop KSAs</b>	<input type="checkbox"/> Become familiar with principles of reliable adult education; be able to assess training materials and delivery methods for effectiveness	<input type="checkbox"/> Assess materials and methods used to develop competencies <input type="checkbox"/> Create inventory of effective materials for use and methods for deployment	<input type="checkbox"/> Extract learning from initial deployment of materials; begin to revise materials or select alternative sources; create standard set of materials and methods <input type="checkbox"/> Develop capabilities of internal trainers and mentors that are skilled in providing feedback and assessing deployment of skills	<input type="checkbox"/> Review standard sets of materials and methods on an annual basis for improvement <input type="checkbox"/> Develop a network of reliable sources for improved materials	<input type="checkbox"/> Share materials and resources with partner organizations
<b>Deployment and Execution of Plans to Close Gaps</b>	<input type="checkbox"/> Establish the accountability and process for building competency improvement plans in the organization	<input type="checkbox"/> Build plans for rollout of basic QI skills including identification of material, method of deployment, training, getting feedback on use of skill and extract learning.	<input type="checkbox"/> Begin deployment of core QI KSAs in specific areas <input type="checkbox"/> Track progress and extract learning <input type="checkbox"/> Initiate plan for building knowledge and skills of new members including QI	<input type="checkbox"/> Spread deployment of all core QI KSAs across entire organization <input type="checkbox"/> Ensure that all employees have development plans <input type="checkbox"/> Grow development to include non-training strategies such as assignments and new responsibilities to build skills	<input type="checkbox"/> Make organization and individual competency assessment planning part of the regular planning cycle <input type="checkbox"/> Ensure all members needs for improvement skills and additional capabilities are covered <input type="checkbox"/> Ensure all members have and use a basic set of improvement skills on a regular basis <input type="checkbox"/> Ensure new members are rapidly developed

FOUNDATIONAL ELEMENT 2: TEAMWORK AND COLLABORATION

Sub-Element 2.1: Team Performance

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Vision, Values and Goals</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Understand the values that are consistent with the organizational vision for teams to model; visually display</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Start to evaluate performance to organizational values for all employees</li> <li><input type="checkbox"/> Create/adopt templates for setting goals and chartering teams</li> <li><input type="checkbox"/> Educate teams in measuring team progress (status of something, comparison to expected result, ability to explain sources of variation and predict effects of actions)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Require the use of data and information, and methods of goal setting, chartering and measurement in specific areas; extract lessons learned</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the use of data and information, and methods of goal setting, chartering and measurement to all teams</li> <li><input type="checkbox"/> Introduce recognition and feedback techniques into the organization that allow both teams and individuals to receive feedback</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that all teams have knowledge of and do as a matter of normal practice good goal setting, chartering and measurement as teams.</li> <li><input type="checkbox"/> Ensure that all members understand and hold themselves accountable for performance to organization values of team based performance.</li> </ul>
<b>Roles and Relationships</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assess team’s abilities in the group of skills that enable one to lead and participate in teams effectively (basic communication skills, active listening, constructive criticism, etc.) and other skills such as conflict resolution; Build these skills and abilities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure for any teams formed that basic roles are established, (e.g., leader) and that requirements of members (e.g., time commitment) are agreed upon.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Require the effective use of team skills and identification of team roles in select areas; evaluate performance and extract lessons learned.</li> <li><input type="checkbox"/> Ensure that team members’ skills and knowledge are inventoried and considered for use in the performance of the team.</li> <li><input type="checkbox"/> Ensure that diversity (skills, style, and experience) of the team is considered in member selection.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the effective use of team skills and identification of team roles to all areas; make evaluation of performance part of project close out</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that team members normally practice good working with others skills.</li> <li><input type="checkbox"/> Use the complete knowledge and skills of the individual in pursuit of team performance; ensure that members feel their knowledge and skills are valued.</li> <li><input type="checkbox"/> Enable individuals to seek out the opportunity to participate on teams and judge their individual success based upon the teams.</li> </ul>
<b>Procedures and Performance</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assess team’s abilities in basic team techniques (meeting , documenting outcomes, tracking progress, communicating); Build these skills and abilities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assess teams abilities in the use of information and knowledge based methods to solve problems, make decisions and extract learning; educate</li> <li><input type="checkbox"/> Create/adopt templates for basic team techniques (e.g., agenda setting, project action tracking)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Have teams start to self-assess team performance on regular basis and drive improvement. Include as part of report outs. Answer the question: how well do they solve problems, achieve goals and function as a team?</li> <li><input type="checkbox"/> Extract lessons learned</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread team assessment requirement to all teams.</li> <li><input type="checkbox"/> Incorporate lessons learned and spread best practices</li> <li><input type="checkbox"/> Include team performance data and team performance gaps as part of organization improvement plans</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure all teams commonly use data to effectively solve problems, make decisions, take action and achieve goals.</li> <li><input type="checkbox"/> Ensure that teams throughout the organization (e.g., improvement, leadership) perform both effectively and efficiently</li> </ul>

FOUNDATIONAL ELEMENT 2: TEAMWORK AND COLLABORATION

## Sub-Element 2.2: Learning Communities

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Awareness and Use of Communities</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain information about the most valuable learning communities and sources of QI and technical information</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Start to make information from learning sources available to organization</li> <li><input type="checkbox"/> Identify individuals who will be accountable for the interface with sources and the sharing of content</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that improvement projects are starting to review learning sources for lessons learned and best practices</li> <li><input type="checkbox"/> Pilot participation in external communities</li> <li><input type="checkbox"/> Identify any internal learning communities that should be established and charter them with clear responsibilities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that all improvement processes are reviewing learning sources for lessons learned and best practices</li> <li><input type="checkbox"/> Participate in all selected external learning communities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Rotate participation in communities throughout organization</li> <li><input type="checkbox"/> Evaluate use of knowledge from learning communities, extract lessons learned and improve community use</li> <li><input type="checkbox"/> Ensure that learning communities (internal and external) are recognized and supported as an integral part of quality and technical excellence.</li> </ul>
<b>Collaboration Methods and Support</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge regarding the variety of methods that people use effectively to share with one another (net meeting, share sites, social media, storyboards, “lunch and learns”)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Begin to introduce use of simple tools to help people collaborate; extract learning and improve.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Use collaboration tools in improvement projects and key processes.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread use of collaboration tools to all areas of organization including administrative processes. Make them the de-facto method for sharing.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Extract lessons learned from use of collaboration methods; improve use</li> <li><input type="checkbox"/> Inventory and evaluate new methods and adopt where appropriate</li> <li><input type="checkbox"/> Grow the use of collaboration methods and teach Partner organizations.</li> </ul>
<b>Management and Sharing of Knowledge</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge in effective processes and best practices used in the sharing and management of knowledge including the areas of standardized work, idea management, and extracting lessons learned.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Begin to teach techniques of extracting lessons learned and how to capture practical knowledge.</li> <li><input type="checkbox"/> Create processes for creating and modifying standardized work</li> <li><input type="checkbox"/> Begin to use simple methods for capturing ideas and implementing them in initial rollout of solutions from improvement projects.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Pilot the use of a formal process for creating and teaching standardized work as part of improvement projects; Establish the requirement as part of individual and team accountability</li> <li><input type="checkbox"/> Require participants in external sources of knowledge (e.g., conferences, training) to share learning within the organization.</li> <li><input type="checkbox"/> Pilot the use of team-managed, improvement idea management methods in key areas and when rolling out new processes.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Have leadership sponsor improvement projects and participation across programs and functions to encourage collaboration and sharing</li> <li><input type="checkbox"/> Share improvement project results and lessons learned across programs and divisions</li> <li><input type="checkbox"/> Ensure that best known methods have standardized work developed across organization</li> <li><input type="checkbox"/> Establish a process and library for lessons learned to be a reference source for ongoing improvement activities.</li> <li><input type="checkbox"/> Establish ongoing improvement idea management as part of all areas of the organization including administrative processes.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Make knowledge sharing a requirement of everyone in the organization</li> <li><input type="checkbox"/> Broaden sharing to partner organizations</li> <li><input type="checkbox"/> Continue to empower teams to make decisions and take action as part of their improvement idea management activities</li> </ul>

FOUNDATIONAL ELEMENT 3: LEADERSHIP

Sub-Element 3.1: Culture

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Establishing the Environment</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organization leaders and existing QI champions become knowledgeable in QI benefits and cultural development needs</li> <li><input type="checkbox"/> Educate organization leaders in the look of a quality culture through familiarity with this self-assessment and phased transition strategies.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Use a QI leader or QI coach to understand the change management gaps within select areas of the organization</li> <li><input type="checkbox"/> Organization leaders establish a QI Leadership team to be held accountable for overseeing QI activities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The QI Leadership team develops QI rollout plans: Basic approach, QI workforce plans, QI governance structure, &amp; change management plans</li> <li><input type="checkbox"/> Organization leaders develop the QI case for change, including the why and how it will impact on external customers, all employees, and stakeholders</li> <li><input type="checkbox"/> All Leaders explain how QI will affect people over time (how productivity &amp; efficiency gains will impact positions).</li> <li><input type="checkbox"/> Request and participate in routine annual improvement plan progress checks</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide all organization leaders training in the QI concepts, structure, roles, &amp; basic methods.</li> <li><input type="checkbox"/> Continually reinforce the QI case for change to all</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Commit leaders to achieving customer satisfaction through the creation of a culture of involvement.</li> <li><input type="checkbox"/> Select new organization leaders based on their QI value set and dedication to continually improve.</li> </ul>
<b>Modeling Behavior (all leaders)</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Receive education on the typical role of a QI leader</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> As a leader encourage and reward creativity and participation</li> <li><input type="checkbox"/> Regularly communicate preliminary QI plans and progress</li> <li><input type="checkbox"/> Incorporate and articulate quality as a part of the organization's values</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Communicate QI activities during team meetings and other open employee forums; personally communicate the strategic direction and annual improvement goals, plan, and the case for change to all members of the organization</li> <li><input type="checkbox"/> Participate in the development and execution of an organization change management plan</li> <li><input type="checkbox"/> Remove roadblocks to increase participation and involvement</li> <li><input type="checkbox"/> Become openly involved in the daily work performed by the organization</li> <li><input type="checkbox"/> Map the organization leaders to the QI leadership profile and assess gaps.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adopt the philosophy that the primary role as the leader is to ensure the success of their team; coach others; seek to understand why; ensure the organization has thought through solutions</li> <li><input type="checkbox"/> Apply the QI concepts and methods on the organization's leadership team</li> <li><input type="checkbox"/> Participate in QI improvement activities to understand the problem solving processes (inside or outside the organization)</li> <li><input type="checkbox"/> Check-in daily with the work team to create regular two-way communications</li> <li><input type="checkbox"/> Openly portray the organization's values</li> <li><input type="checkbox"/> Teach all leaders to foster a data based, non-judgmental culture where data is always used to analyze problems and failures are a critical part of learning and improving</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Become intimately familiar with results, frustrations, and barriers; address and remove barriers on an ongoing basis</li> <li><input type="checkbox"/> Go, See, Listen, &amp; Learn; Visually &amp; verbally show commitment</li> <li><input type="checkbox"/> Model QI behavior and values with customers, suppliers, and partners</li> </ul>

<p><b>Coaching the Organization</b></p>	<p><input type="checkbox"/> Organization leaders receive leadership and change management trainings (e.g. Deming’s 14 Points for Management)</p>	<p><input type="checkbox"/> Provide all leaders coaching training</p>	<p><input type="checkbox"/> Empower all organization members to make change, influence others, express creativity, develop and grow</p> <p><input type="checkbox"/> Address and resolve areas of QI resistance</p>	<p><input type="checkbox"/> Require all members of the organization to get involved in improving their work</p> <p><input type="checkbox"/> Engage, involve, enable, and support all organization members in the performance of QI</p> <p><input type="checkbox"/> Seek out additional coaching and mentoring on being a good leader</p> <p><input type="checkbox"/> Seek out, address, and resolve areas of QI resistance</p> <p><input type="checkbox"/> Provide routine coaching of others in applying QI skills, methods, and behaviors and receive coaching feedback</p> <p><input type="checkbox"/> Incorporate QI into the performance appraisal processes, provide individual feedback and consequences</p>	<p><input type="checkbox"/> Recognize leaders for communicating effectively and frequently with all levels of organization in a variety of formal and informal settings</p> <p><input type="checkbox"/> Coach others on QI inside and outside the organization</p> <p><input type="checkbox"/> Routinely seek out, address, and resolve areas of QI resistance</p> <p><input type="checkbox"/> Coach everyone to live QI methods and behaviors</p>
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FOUNDATIONAL ELEMENT 3: LEADERSHIP

## Sub-Element 3.2: Resourcing and Structure

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Providing Resources</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organization leaders become knowledgeable in the improvement roles</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Define the QI roles (QI Leader, QI Leadership Team, QI team members)</li> <li><input type="checkbox"/> Define QI resource selection criteria</li> <li><input type="checkbox"/> Define QI staffing structure (# FTE, areas of the organization, duration in role, reporting relationship)</li> <li><input type="checkbox"/> Select and staff QI roles based on the criteria</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide equipment, logistics, and resources to successfully complete planned improvement activities</li> <li><input type="checkbox"/> Include QI leaders as part of the organization’s leadership team for setting directions, developing plans &amp; resources, and tracking results</li> <li><input type="checkbox"/> Provide the resources, training, staff time, etc. to effectively run improvement activities &amp; projects</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide necessary organization resources to support all improvement activities &amp; projects</li> <li><input type="checkbox"/> Develop strategies to free up time for improvement activities (e.g., overtime, different shift, scheduling).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Staff the QI leader role(s) full time</li> <li><input type="checkbox"/> Set the expectation for all members of the organization participate in improvement activities</li> </ul>
<b>Providing Structure</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organization leaders become knowledgeable in the QI structure</li> <li><input type="checkbox"/> Benchmark or use a QI coach to provide best practice Health department’s QI structure</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organization leaders define the leadership QI team structure and charter</li> <li><input type="checkbox"/> Define the QI project team structure and charter</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Define the storage and retrieval structure for all QI material as well as procedures, policies, and standardized work documentation</li> <li><input type="checkbox"/> Establish measures for the overall QI initiatives</li> <li><input type="checkbox"/> Define role-based motivational incentives</li> <li><input type="checkbox"/> Provide the structure for all organization members to receive QI training and get involved in QI</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Routinely recognize QI leader’s successes throughout the organization and the public health communities</li> <li><input type="checkbox"/> Routinely report out QI measures of success and activities to all organization members</li> <li><input type="checkbox"/> Establish a &gt;3 year role based improvement development plan for the QI Leader(s)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a mentoring program which pairs up experienced QI leaders coaching new QI leaders</li> <li><input type="checkbox"/> Leaders recognize, reward, and promote QI leaders for their personal and professional QI success</li> <li><input type="checkbox"/> Expand the leadership team structure and charter to include board members, suppliers, customers, &amp; other partner organizations</li> </ul>
<b>QI Training &amp; Developing</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Understand the QI knowledge, skills, and abilities to be successful</li> <li><input type="checkbox"/> Define the QI training roles &amp; curriculum for Leaders and QI Leaders</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Define a rigorous skills learning &amp; development program of QI methods</li> <li><input type="checkbox"/> Begin foundational training for QI leaders and the QI Leadership team</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Routinely assess the QI leader’s development plans and application experiences</li> <li><input type="checkbox"/> Provide QI leaders routine access to a QI Coach &amp; Mentor</li> <li><input type="checkbox"/> Continue to expand QI methods and skills training opportunities for QI leaders, and QI impacted organization leaders</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide QI leader(s) the training and development to become competent in foundational and advanced QI methods</li> <li><input type="checkbox"/> Expose QI leaders to external learning &amp; sharing opportunities, e.g., “community of practice”</li> <li><input type="checkbox"/> Provide QI leaders teaching skills</li> <li><input type="checkbox"/> Provide QI leaders access to organization leaders for QI planning, progress reporting, change management, and resourcing</li> <li><input type="checkbox"/> Establish a &gt;3 year improvement development plan for the QI leader(s)</li> <li><input type="checkbox"/> Provide all QI roles the opportunity to practice and use QI methods</li> <li><input type="checkbox"/> Expand QI methods and skills training to all QI roles and all leaders</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Teach QI to external customers, suppliers, and partners; QI leaders help out other organizations</li> <li><input type="checkbox"/> Provide QI leaders the budget and tools to actively participate in improvement communities of practice in order to share and grow (inside &amp; outside the organization)</li> </ul>

FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

Sub-Element 4.1: Understanding the Customer

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Data Collection and Analysis</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge in concepts of identifying customers, value from customer perspective, Kano, effective surveying and use of other data sources.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prioritize which programs/services to assess for, and improve, customer satisfaction. Prioritization criteria could include # of people served, easy wins, strategic priorities, and high-profile programs.</li> <li><input type="checkbox"/> Identify places and methods to collect customer data (surveys, focus groups, interviews and complaint systems).</li> <li><input type="checkbox"/> Identify data to collect. Include questions around the service value, accessibility, timeliness, courtesy, helpfulness, clarity) and overall satisfaction.</li> <li><input type="checkbox"/> Identify customer perspective measures representing how the customer would judge the service</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Continue to improve and deploy surveys for additional targeted services. Collect data from other sources such as complaint systems, interviews, and casual observations.</li> <li><input type="checkbox"/> Statistically evaluate customer data. Include results from data around the service (value, accessibility, timeliness, courtesy, helpfulness, clarity) and overall satisfaction.</li> <li><input type="checkbox"/> Define and operationalize customer perspective measures.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread data collection to all services.</li> <li><input type="checkbox"/> Maintain historical trends for data.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Build solicitation of customer input into daily activities of organization members.</li> <li><input type="checkbox"/> Refine and automate systems of data collection based on lessons learned; include concept of looking for issues that “delight” customers (see Kano)</li> </ul>
<b>Use of Data</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Confirm that customer satisfaction is a central part of quality policies and quality systems.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop plans and actions for how the organization will start to use customer data in performance management, strategic and improvement planning (analyzing customer satisfaction data, prioritizing unmet customer needs, making improvements and reporting results). (See PHAB Measure 9.1.4 for documentation requirements.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop and implement systems for receiving, resolving and correcting root causes to customer problems.</li> <li><input type="checkbox"/> Analyze and use data as input to improvement targets and plans for specific services or areas.</li> <li><input type="checkbox"/> Track improvements in specific areas; display visually in the work area.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Analyze and use data including surveys and customer feedback systems for improvement in all services</li> <li><input type="checkbox"/> Include data analysis in performance management and to develop improvement plans and targets annual organizational planning.</li> <li><input type="checkbox"/> Track improvements for the entire organization; display visually in the work area.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refine data analysis based on lessons learned.</li> <li><input type="checkbox"/> Use customer data for all improvement activities (strategic, annual planning and daily work).</li> <li><input type="checkbox"/> Use customer data and their involvement to define new offerings and services</li> </ul>
<b>Creating a Customer Focused Culture</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure customer focus is part of the vision and values of the organization. Secure leadership’s public commitment to customer satisfaction and organizational support to further progress in this area.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Engage leaders and team members in solicitation and evaluation of data and determination of customer perspective measures.</li> <li><input type="checkbox"/> Build customer focus into new hire training.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Empower team members to take appropriate corrective action on customer issues in targeted areas.</li> <li><input type="checkbox"/> Include work team members in problem solving customer issues.</li> <li><input type="checkbox"/> Communicate measures and results in applicable areas visually.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Empower employees to take appropriate corrective action on customer issues across organization.</li> <li><input type="checkbox"/> Communicate customer satisfaction measures and status consistently and visually across organization and to customers.</li> <li><input type="checkbox"/> Involve customers in improvement activities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure customer focus and feedback are part of all organization member’s performance feedback and development</li> </ul>

FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

## Sub-Element 4.2: Satisfying the Customer through the Value Stream

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Understanding the Value Stream</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge in the concept of a value stream including what it is, why is used, how it is created and how it is measured.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Select a target value stream and identify the basic inputs, outputs, steps and customer measures.</li> <li><input type="checkbox"/> Educate members of the team.</li> <li><input type="checkbox"/> Identify an owner, role and accountability.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assess the value stream to understand how individual steps impact the customer.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the value stream approach to all services of the organization. Define all value streams for the organization and identify measures and owners. (Measures should include customer perspective measures and the overall Value Added Ratio.)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure all organization value streams are identified, documented and well known by team members.</li> </ul>
<b>Adding Value for Customers by Improving Value Streams</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> List the value streams for the organization’s services.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Collect data on the selected value stream that will give insights into potential improvements for customer satisfaction. Set improvement goal.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Perform cause and effect analysis on steps in the value stream where gaps exist in customer satisfaction.</li> <li><input type="checkbox"/> Identify potential improvement projects within prioritized areas and develop future state.</li> <li><input type="checkbox"/> Start improvement cycle for selected area. Track improvement progress.</li> <li><input type="checkbox"/> Communicate throughout the organization and post measures visually</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Have each value stream owner duplicate the improvement approach used in the prior phase, i.e., set improvement goal, collect data, identify areas of improvement and projects, start individual improvements and track progress.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regularly review all value streams for improvement in customer satisfaction. Continue to create and execute improvement plans for each.</li> <li><input type="checkbox"/> Ensure all members think of their role in the context of an integrated value stream; the measures of customer satisfaction and improvement targets are understood; inputs and outputs between process steps are understood by all members.</li> </ul>
<b>Extending the Value Stream</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Complete above transition strategies</li> <li><input type="checkbox"/> In addition, obtain knowledge in the concept of an extended value stream including what it is, why is used, how it is created and how it is measured.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> When mapping and understanding a value stream, start to consider the roles partners and suppliers have in satisfying customers as part of an extended value stream.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Select a service or product where the integration with partners and suppliers is critical to customer satisfaction.</li> <li><input type="checkbox"/> Collaborate with partners and suppliers to identify the basic inputs, outputs, and process steps for the extended value stream. Gain a basic understanding of how the interfaces between organizations impact the customer.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify potential improvement projects within the targeted extended value stream and develop a future state plan.</li> <li><input type="checkbox"/> Start improvement cycle for selected area. Track improvement progress.</li> <li><input type="checkbox"/> Communicate throughout the organization and partners; include measures and progress to targets.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regularly review all extended value streams for improvement in customer satisfaction. Continue to create and execute improvement plans for each.</li> <li><input type="checkbox"/> Ensure all members and partners think of their role in the context of an extended value stream; the measures of customer satisfaction and improvement targets are understood; inputs and outputs between the organization and its partners are understood by all.</li> </ul>

FOUNDATIONAL ELEMENT 4: CUSTOMER FOCUS

## Sub-Element 4.3: Reprioritizing and Creating Programs and Services

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Understanding of Customer's Future Needs</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Document customer segments and data sources to be used for understanding future trends in customer needs and factors impacting the organization.</li> <li><input type="checkbox"/> Inventory the current services being delivered by your organization and those of partners.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Create data collection instruments (if required).</li> <li><input type="checkbox"/> Obtain data from customer, Partner and sources that impact the organization; summarize conclusions.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Start to use the customer data gathered to identify and document trends and conclusions that give insight into customer needs for services (e.g., what are the most important needs to the customer? Which are unmet or have a significant gap? Are meeting these needs consistent with the organization's Mission?)</li> <li><input type="checkbox"/> Validate findings with the customers</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Make analyzing future trends in customer data a regular part of the strategic planning process.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that the organization has a complete, ongoing and up to date understanding of trends in factors affecting their customers.</li> <li><input type="checkbox"/> Incorporate lessons learned from prior analysis and from introduction of new services.</li> <li><input type="checkbox"/> Share data regularly within the organization and with customers and partners.</li> </ul>
<b>Development of New Services and Re-prioritizing Existing Services</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Understand the necessary steps and concepts to introduce a new service including value stream and process mapping, value and waste, standardized work, measurement, and process management</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Create and document a basic approach to follow for introducing new services</li> <li><input type="checkbox"/> Create and document a basic approach to follow for re-prioritizing existing services.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Pilot the approach for creating a new service</li> <li><input type="checkbox"/> Create the new service value stream by challenging the value added of each step. Ensure the new service process is reliable, measured, taught and coached.</li> <li><input type="checkbox"/> Test and extract lessons learned from the pilot.</li> <li><input type="checkbox"/> Pilot the approach for re-prioritizing existing services.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Incorporate lessons learned to improve the approach for developing new services and re-prioritizing existing services.</li> <li><input type="checkbox"/> Start to use the approach for all new services.</li> <li><input type="checkbox"/> Involve customers and partners in the development.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that all new services use the development process regularly.</li> <li><input type="checkbox"/> Ensure that partners are integrated with new service development and see their role as part of the new service.</li> <li><input type="checkbox"/> Check that the introduction of new services regularly meets the developing needs of the customer and are problem free.</li> </ul>
<b>Development of New Capabilities to Address New Services</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inventory the current capabilities of the organization including direct and support functions (e.g., IT).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify strengths and weaknesses in current capabilities; document findings.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Based on customer trends and needs, identify what capabilities are required in the organization.</li> <li><input type="checkbox"/> Build an organization development plan for improving or creating capabilities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Track improvements over time.</li> <li><input type="checkbox"/> Ensure the workforce development plan for developing capabilities covers all functions.</li> <li><input type="checkbox"/> Ensure that plans are part of annual performance reviews for team members.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that capabilities are regularly reviewed for gaps.</li> </ul>

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

# Sub-Element 5.1: Strategic Planning

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Developing the Strategic Plan</b>	<input type="checkbox"/> Become knowledgeable in the concepts, process, and methods used in good strategic planning	<input type="checkbox"/> Develop a complete inventory of internal and external strategic data (environmental scanning) <input type="checkbox"/> Create or update the organization’s vision, mission, and values	<input type="checkbox"/> Organization Leaders form a planning team that represents all areas of the organization <input type="checkbox"/> Perform a complete assessment of customer’s values <input type="checkbox"/> Identify and analyze the organization’s core competencies <input type="checkbox"/> Obtain health outcome, and program/offering’s performance (environment scanning) <input type="checkbox"/> Evaluate and prioritize organization and process performance measures <input type="checkbox"/> Gather and analyze prior lessons learned from successful and not so successful strategies <input type="checkbox"/> Evaluate yourself internally: the organization’s known strengths, weaknesses <input type="checkbox"/> Gather and analyze demographics, funding, and legislation trends in customers and environment <input type="checkbox"/> Evaluate yourself externally: the organization’s known opportunities, and threats <input type="checkbox"/> Establish strategic drivers <input type="checkbox"/> Prioritize evaluated data via the SWOT analysis <input type="checkbox"/> Select strategic initiatives for a 3 year planning cycle	<input type="checkbox"/> Gather and analyze prior lessons learned from prior strategic planning; Implement recommendations <input type="checkbox"/> Involve external partner organizations in the developing the strategic plan <input type="checkbox"/> Ensure that every annual QI plan is aligned with the strategic plan <input type="checkbox"/> Improve the accuracy and timeliness of data gathering	<input type="checkbox"/> Align the strategic plan with local, state, and federal organizations
<b>Achieving Strategic Initiatives</b>	<input type="checkbox"/> Benchmark other strategic plans	<input type="checkbox"/> Communicate the organization’s vision, mission, and values	<input type="checkbox"/> Communicate strategic plan to the entire organization <input type="checkbox"/> Cascade strategic plans to the annual improvement planning and project teams <input type="checkbox"/> Conduct routine progress checks with the leadership team	<input type="checkbox"/> Communicate strategic plan to the entire organization <input type="checkbox"/> Cascade strategic plans to the annual improvement planning and project teams <input type="checkbox"/> Conduct routine progress checks with the leadership team	<input type="checkbox"/> Share the strategic plan with all stakeholders, internal and external customers

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

**Sub-Element 5.2: Measurement and Use of Data**

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Selecting Data &amp; Measures</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge in the selection of data and measures (perspective, focus, internal/external)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Select, define, and use measures in any improvement activity</li> <li><input type="checkbox"/> Identify measures that provide insight into sources of pain; define and use the measures to guide new improvement activities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Create a scorecard for select areas of the organization); including data and measures that are reliable, believable, encourage responsibility, and elicit positive consequences.</li> <li><input type="checkbox"/> Establish measures and routine report out of results, including return on investment (ROI) for all QI projects in the specific areas</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Define scorecard measures at all levels and areas of the organization, where all members in the organization understand and see how they can impact measure performance</li> <li><input type="checkbox"/> Establish measures and routine report out of results, including return on investment (ROI) for all QI projects and improvement activities</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Use organization scorecards as input to strategic decisions and improvements</li> <li><input type="checkbox"/> Align organizational scorecards with external partners (customers, suppliers)</li> </ul>
<b>Defining Data &amp; Measures</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge on how to properly define and document measures</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inventory data sources &amp; potential measures</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify &amp;/or develop the reliable sources of data that feed into measures</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify &amp;/or develop the reliable sources of data that feed into measures for the entire organization; ensure that measures are standardized across the organization</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish automatic data generation</li> </ul>
<b>Using Data &amp; Measures</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain knowledge in basic techniques in representation of data</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Visually communicate the measured results</li> <li><input type="checkbox"/> Learn to calculate return on investment (ROI) for improvement activities</li> <li><input type="checkbox"/> Initiate improvement directions and actions for underperforming measures</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop improvement plans (strategic &amp; annual &amp; operational) using organization data</li> <li><input type="checkbox"/> Train individuals to be proficient in statistical tools and analytical methods</li> <li><input type="checkbox"/> Solve select organization problems using gathered and objectively analyzed data (see Sub-Element 6.2)</li> <li><input type="checkbox"/> Visually communicate scorecards and improvement status in select areas</li> <li><input type="checkbox"/> Extract lessons learned from use of scorecards; adjust measures accordingly</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Align all strategic, tactical, and operational measures</li> <li><input type="checkbox"/> Give individuals the skills to reliably analyze data and measures</li> <li><input type="checkbox"/> Analyze all organization measures during the planning processes</li> <li><input type="checkbox"/> Install IT tools in support of defined processes and their measures</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Align all individual, team, and area measures with Strategic, tactical, and operational measures</li> <li><input type="checkbox"/> Give every individual the vital few, accurate, useful, and real time data they need to be successful</li> <li><input type="checkbox"/> Use data gathered and objectively analyzed to address all organization problems; fact-based decision making</li> </ul>

FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

## Sub-Element 5.3: Annual Quality Improvement Planning

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Collecting and Analyzing Data</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Become knowledgeable in the concepts, process, and methods used in annual QI planning efforts</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Form a QI Leadership Team (e.g. QI Council) representing all areas of the organization to lead and oversee QI plan development and implementation</li> <li><input type="checkbox"/> Gather organization leadership’s priority areas &amp; sources of pain</li> <li><input type="checkbox"/> Gather quality culture self-assessment results and associated transition strategies.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> QI Leadership team collects &amp; analyzes organization data: Strategic directions, quality culture self-assessment results and associated transition strategies, customer data, employee assessment data, performance data &amp; process value stream gaps</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> QI Leadership team extracts lessons learned on the planning process; Implement learnings</li> <li><input type="checkbox"/> QI Leadership team collects &amp; analyzes organization data: Strategic directions, lowest scoring QI culture roadmap elements and transition strategies, customer data, team assessment data, organization scorecards &amp; process value stream gaps</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Expand the planning team and process to include external partner organizations</li> <li><input type="checkbox"/> Collect data and solicit recommended directions from area leaders and all employees</li> <li><input type="checkbox"/> Use real time data and data analysis to increase the QI Plan’s quality</li> </ul>
<b>Developing the Annual Improvement Plan</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Benchmark other QI plans</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Prioritize evaluated data; select annual improvement areas and associated QI projects</li> <li><input type="checkbox"/> Define measure(s), objectives, preliminary tactics, resources for each selected improvement area</li> </ul>	<p>For the specific areas of the organization:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Establish annual measures &amp; targets</li> <li><input type="checkbox"/> Prioritize evaluated data, root causes, and solutions; selects annual improvement areas</li> <li><input type="checkbox"/> Define cascaded measure(s), objectives, preliminary tactics, resources for each selected improvement area</li> <li><input type="checkbox"/> Create and utilize change management plans, communications plans, and training plans</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> QI Leadership team establishes organization wide annual measures &amp; targets</li> <li><input type="checkbox"/> QI Leadership team prioritizes all organization evaluated data; select annual improvement areas</li> <li><input type="checkbox"/> Define cascaded measure(s), objectives, preliminary tactics, resources for the entire organization</li> <li><input type="checkbox"/> Evaluate the plan for potential failure points (e.g. are the plan’s objectives &amp; tactics aligned to measures, can the plan close the gap/fix the problems; are resources &amp; funding constrained); adjust the plan</li> <li><input type="checkbox"/> Create and utilize change management plans, communications plans, and targeted stakeholder analysis</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Align every individual’s goals and measures to the organization’s QI and other improvement plans</li> </ul>

<p><b>Achieving Annual Improvements</b></p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Become knowledgeable in the concepts, process, and methods used in good annual improvement plans</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Communicate improvement plan to all organization members in scope</li> <li><input type="checkbox"/> Educate project team members &amp; the leader in key QI concepts and methods and their role</li> <li><input type="checkbox"/> Utilize the Improvement process, improvement methods to achieve project goals (see Element 6)</li> <li><input type="checkbox"/> Conduct routine project progress checks with the area's leadership team(s)</li> </ul>	<p>For the specific organization areas in QI Scope:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Educate project team members &amp; the leaders in key QI concepts and methods and their role</li> <li><input type="checkbox"/> Utilize the Improvement process, improvement methods to achieve project goals (see Element 6)</li> <li><input type="checkbox"/> Conduct routine project progress checks with the organization's leadership team</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Educate all project team members &amp; all leaders in advanced key QI concepts and methods and their role</li> <li><input type="checkbox"/> Utilize the Improvement process and improvement methods to achieve all project goals (see Element 6)</li> <li><input type="checkbox"/> Cascade the annual plan, measures, &amp; targets throughout the entire organization</li> <li><input type="checkbox"/> Conduct routine project progress checks with the QI Improvement leadership team</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Utilize visual and IT tools to quickly track and communication progress</li> <li><input type="checkbox"/> Establish a quick problem escalation system</li> </ul>
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FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

## Sub-Element 5.4: Administrative & Functional Processes and Systems

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Understanding the Impact of Administrative and Functional Systems &amp; Processes</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Organization leaders understand and identify the administrative and functional processes</li> <li><input type="checkbox"/> Establish administrative and functional process ownership.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Administrative and functional process leaders and teams begin defining administrative and functional process value streams (process input, suppliers, steps, process output, customers, measures scorecard, owner, system technology, and deficits)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify how the administrative and functional processes impact customer satisfaction (directly or indirectly through others)</li> <li><input type="checkbox"/> Solve and install 1 or more customer focused process improvement(s)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Administrative functional process leaders define all processes' value streams (process input, suppliers, steps, process output, customers, measures scorecard, owner, system technology, and deficits)</li> <li><input type="checkbox"/> Incorporate administrative and functional processes into annual QI planning efforts.</li> <li><input type="checkbox"/> Drive process improvement system changes rather than conforming processes to fit the technical system(s)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Evaluate, root cause, and modify the administrative and functional systems and processes to support the organizational structure</li> <li><input type="checkbox"/> Identify all necessary IT system changes from process value streams and customer requirements</li> </ul>
<b>Supporting QI Strategies</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Administrative and functional process owners obtain QI training</li> <li><input type="checkbox"/> Administrative and functional process owners obtain Value Stream training</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Administrative and functional process owners contribute to other organization QI projects as a process or system subject matter expert</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Administrative and functional process team members contribute to other organization QI projects as a process or system subject matter expert</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Customers and other organization members participate in administrative and functional QI projects</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Incorporate all administrative and functional processes into organizational strategic and QI planning processes</li> </ul>

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.1: Selecting and Applying QI Methods

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Selecting Appropriate QI Methods</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of value, waste, and key forms of waste.</li> <li><input type="checkbox"/> Gain knowledge of various problem solving and improvement methods.</li> <li><input type="checkbox"/> Learn how to develop effective goal statements.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify an area for improvement and develop a goal statement.</li> <li><input type="checkbox"/> Get an external expert or develop internal expertise to help identify appropriate QI methods.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Train QI team members how to distinguish between value and waste, the forms of waste, and how to select appropriate improvement methods.</li> <li><input type="checkbox"/> Adopt a standard set of QI methods.</li> <li><input type="checkbox"/> Document how to select a QI method based on an understanding of a) the improvement goal or target state, and b) the type of waste(s) present.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a mentoring system to coach QI team members in the selection of QI methods.</li> <li><input type="checkbox"/> Spread the use of QI methods to all areas of the organization.</li> <li><input type="checkbox"/> Train all organization members in basic understanding of the standard QI methods.</li> <li><input type="checkbox"/> Build skills in advanced tools (e.g., Flow, Mistake Proofing).</li> <li><input type="checkbox"/> Involve all organization members in the development of gaps, goals, and the selection of QI methods.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop internal expertise (or utilize external expertise) to provide coaching on selection and application of improvement methods.</li> <li><input type="checkbox"/> Engage a majority of organization members in the identification of waste, development of improvement goals in alignment with QI plans, and selection of QI methods.</li> <li><input type="checkbox"/> Integrate standard QI methods into all aspects of organizational improvement.</li> <li><input type="checkbox"/> Internal experts audit for proper QI method use.</li> </ul>
<b>Applying QI Methods Effectively</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge in the basic principles and practices of proven, reliable QI methods.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Implement a small QI project with a high likelihood for success – following a standard methodology – to gain understanding and proficiency in basic improvement.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a mentorship relationship with an external expert to coach QI leaders on effectively applying QI methods.</li> <li><input type="checkbox"/> Train QI team members how to apply basic QI methods.</li> <li><input type="checkbox"/> Develop greater understanding of QI methods through repetitive applications and after-action learning.</li> <li><input type="checkbox"/> Implement measures to track post-improvement results.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a mentoring system to coach QI team members in the use of QI methods.</li> <li><input type="checkbox"/> Involve all organization members in the application of QI methods.</li> <li><input type="checkbox"/> Provide opportunities for QI team members to apply improvement methods more than 25% of their available time.</li> <li><input type="checkbox"/> Make measures of post-improvement results and lessons learned available to all work team members.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Engage a majority of organization members in leading the application of formal QI methods.</li> <li><input type="checkbox"/> Drive sharing and learning of applications of QI methods throughout the organization.</li> <li><input type="checkbox"/> Provide opportunities for QI team members to apply QI methods more than 50% of their available time.</li> </ul>

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.2: Planning for Process Improvements

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Defining Improvement Objectives</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of how to measure process performance and establish improvement objectives.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Select a process that has “pain points” and document performance gaps and targets.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Begin all process improvement efforts by documenting in a standard format current performance, gaps, targets, and improvement approach.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Utilize annual improvement planning and formal process management to prioritize process improvement efforts.</li> <li><input type="checkbox"/> Utilize a standard format throughout the organization for defining process improvement objectives.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Engage a majority of organization members in using a standard format for defining process improvement objectives.</li> </ul>
<b>Analyzing Work Processes</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of process mapping and analysis techniques.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Map a current state work process.</li> <li><input type="checkbox"/> Gather process performance data.</li> <li><input type="checkbox"/> Conduct waste analysis of the process.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide skills and coaching in effective Cause and Effect Analysis.</li> <li><input type="checkbox"/> Begin all process analysis by observing the actual work process where it is performed.</li> <li><input type="checkbox"/> Engage those who do the work in mapping the process, providing and analyzing performance data.</li> <li><input type="checkbox"/> Follow a standard method for mapping processes and conducting process data and waste analysis.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Utilize a standard format throughout the organization for conducting process data and waste analysis.</li> <li><input type="checkbox"/> Utilize enhanced data analysis techniques (e.g., statistical analysis) in process analysis to understand causal relationships.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide skills and coaching to organizations members at all levels to effectively document processes and use data to analyze processes utilizing a standard method.</li> </ul>
<b>Developing Proposed Work Process Improvements</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of what ideal, low-waste processes look like.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify potential improvements by looking for ways to Eliminate, Combine, Re-sequence, or Simplify process steps (ECRS).</li> <li><input type="checkbox"/> Map a proposed future state work process.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Investigate other processes in the area to identify approaches and solutions that can be replicated.</li> <li><input type="checkbox"/> Engage those who do the work in developing process improvements.</li> <li><input type="checkbox"/> Prioritize potential solutions based on their expected impact on achieving the stated goal and the organization’s ability to implement the solution.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Investigate other processes throughout the organization to identify approaches and solutions that can be replicated.</li> <li><input type="checkbox"/> Analyze proposed future state processes for impacts to other areas of the value stream.</li> <li><input type="checkbox"/> Implement advanced improvement techniques such as Flow to drive higher process Value Added Ratio.</li> <li><input type="checkbox"/> Analyze proposed future state processes for potential human error and apply mistake-proofing techniques to minimize errors.</li> <li><input type="checkbox"/> Structure all proposed solutions as experiments which must be tested and validated.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Research solutions for potential replication from external and non-similar applications.</li> <li><input type="checkbox"/> Conduct predictive analysis (FMEA) of proposed future state processes to identify potential failure points.</li> <li><input type="checkbox"/> Provide skills and coaching to organization members at all levels to effectively mistake-proof work processes.</li> </ul>

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.3: Testing Proposed Solutions

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Preparing for Testing</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of what are effective tests, how to write a hypothesis statement, and how to develop test plans.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Promote the perspective that proposed solutions are tests which must be tested and validated.</li> <li><input type="checkbox"/> Educate QI team members on how to develop a statistically valid test.</li> <li><input type="checkbox"/> Begin developing hypotheses and test plans as part of improvement activities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Develop standardized work for defining hypotheses and creating test plans.</li> <li><input type="checkbox"/> Train QI team members in basic statistical concepts and how to develop effective hypotheses and test plans.</li> <li><input type="checkbox"/> Guide QI teams in the development of test plans for proposed solutions within all major improvement projects.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the use of standardized work for defining hypotheses and developing test plans throughout the organization.</li> <li><input type="checkbox"/> Build skills in statistical analysis techniques to improve the effectiveness of test plans.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct Measurement System Analysis to validate the ability to accurately measure test results.</li> <li><input type="checkbox"/> Require that all proposed solutions – for all improvement activities – have a documented hypothesis and test plan prior to testing or implementing.</li> </ul>
<b>Conducting Testing</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge on how to effectively and efficiently conduct tests.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Conduct several tests and measure the results.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Train QI team members in how to effectively conduct tests, measure results, and analyze causes.</li> <li><input type="checkbox"/> Develop standardized work for conducting tests.</li> <li><input type="checkbox"/> Conduct tests for proposed solutions within all major improvement projects.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the use of conducting tests using standardized work throughout the organization.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Enable all organization members and leaders to test as frequently as possible.</li> <li><input type="checkbox"/> Build the habit of conducting tests for all proposed solutions within all improvement activities.</li> </ul>
<b>Following-up After Testing</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge on how to interpret test results and validate conclusions.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Engage QI team members in reviewing test results.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Require documentation of results and detailed action plans (what, how, who, when) as a deliverable from every test.</li> <li><input type="checkbox"/> Develop standardized work for reporting test results.</li> <li><input type="checkbox"/> Train QI team members in how to effectively interpret and respond to test results.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread the use of reporting test results using standardized work throughout the organization.</li> <li><input type="checkbox"/> Conduct Cause and Effect Analysis on the gap between predicted and actual results.</li> <li><input type="checkbox"/> Share test results and learnings on how to test throughout the organization.</li> <li><input type="checkbox"/> Measure and track the correlation between predicted and actual results.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Use test results to guide learning, modification, and installation of proposed solutions.</li> </ul>

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.4: Extracting Lessons Learned

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Extracting Learning from Experience</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge in effective ways to extract learning (e.g., SRLD<sup>®</sup>, After Action Reports)</li> <li><input type="checkbox"/> Gain knowledge in gathering practical knowledge from others and capturing it with standardized work.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Begin to use methods in extracting learnings from initial improvement projects and problem situations.</li> <li><input type="checkbox"/> Begin to document relevant work knowledge from subject matter experts.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Adopt a process for extracting learning.</li> <li><input type="checkbox"/> Educate QI team members how to extract learnings using standardized work.</li> <li><input type="checkbox"/> Capture learnings from testing proposed solutions, prior to rollout of the solution.</li> <li><input type="checkbox"/> Conduct formal lessons learned as part of the closure of improvement projects.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Spread lessons learned process to all areas of the organization including administrative and functional processes.</li> <li><input type="checkbox"/> Increase the frequency with which lessons learned are captured.</li> <li><input type="checkbox"/> Require the use of lessons learned after all improvement activities (e.g., improvement projects, strategic/annual planning).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Enable all organization members to be skilled in participating and conducting lessons learned.</li> <li><input type="checkbox"/> Incorporate routine reflection and learning into all daily work processes.</li> <li><input type="checkbox"/> Encourage open, on-the-job individual and team learning.</li> <li><input type="checkbox"/> Drive knowledge retention, transfer, and training by documenting knowledge from subject matter experts in all areas of the organization.</li> </ul>
<b>Implementing and Sharing Learning</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge in effective ways to share learning.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify simple methods for sharing learnings (e.g., email, face-to-face, website)</li> <li><input type="checkbox"/> Gather and use learnings from others.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Require the development of detailed action plans (what, who, when, how) for implementing actions resulting from lessons learned.</li> <li><input type="checkbox"/> Develop a process and system for storing and sharing learnings; teach QI team members in their use.</li> <li><input type="checkbox"/> Audit how well QI team members implement and share learnings (i.e., conduct Lessons Learned on the Lessons Learned process).</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Make lessons learned sharing system usable throughout the organization.</li> <li><input type="checkbox"/> Establish (or participate in) a learning communities (see Sub-Element 2.2).</li> <li><input type="checkbox"/> Track results from implementing actions from lessons learned.</li> <li><input type="checkbox"/> Integrate into all improvement efforts researching lessons learned and best practices for potential application.</li> <li><input type="checkbox"/> Reward and recognize organization members for sharing both positive and negative learnings.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Track repeat problems and address causes of re-occurrence.</li> <li><input type="checkbox"/> Share learnings externally with other organizations.</li> </ul>

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.5: Sharing Best Practices

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Identifying &amp; Validating Best Practices</b>	<input type="checkbox"/> Gain knowledge on what best practices are and how to effectively identify them.	<input type="checkbox"/> Define and communicate what best practices are and how to identify them.	<input type="checkbox"/> Develop a process for identifying and validating best practices.	<input type="checkbox"/> Identify key best practices for the organization. <input type="checkbox"/> Maintain list of current best practices in all areas of the value stream, including administrative and functional processes.	<input type="checkbox"/> Expand the identification of best practices across all processes and functions, both internally and with partners.
<b>Documenting Best Practices</b>	<input type="checkbox"/> Gain knowledge on methods and formats to develop and document best practices.	<input type="checkbox"/> Develop and begin to use standardized work for capturing best practices after improvement projects.	<input type="checkbox"/> Teach QI team members how to develop and document best practices.	<input type="checkbox"/> Adopt across the organization a standard method and format for developing and documenting best practices. <input type="checkbox"/> Incorporate standard format into best practice sharing system.	<input type="checkbox"/> Incorporate the use of best practice sharing into all work processes.
<b>Sharing &amp; Replicating Best Practices</b>	<input type="checkbox"/> Gain knowledge on how to effectively share and replicate best practices.	<input type="checkbox"/> Identify simple methods for sharing best practices (e.g., email, face-to-face, website) <input type="checkbox"/> Identify mentors in the organization and develop role profile.	<input type="checkbox"/> Develop a process and system for capturing and sharing best practices. <input type="checkbox"/> Train QI team members to use the best practice sharing system. <input type="checkbox"/> Teach mentoring responsibilities and skills to mentors, and assign responsibilities for sharing best practices.	<input type="checkbox"/> Expand best practice sharing system across organization, including administrative processes. <input type="checkbox"/> Replicate best practices across organization. <input type="checkbox"/> Spread use of mentors throughout the organization. <input type="checkbox"/> Establish (or participate in) a best practice community (see Sub-Element 2.2). <input type="checkbox"/> Track sharing and implementation of best practices and results from replication. <input type="checkbox"/> Integrate into all improvement efforts researching best practices for potential application. <input type="checkbox"/> Recognize and reward organization members for the use/adoption of best practices.	<input type="checkbox"/> Track the frequency of re-development of similar solutions (i.e., “re-inventing the wheel”) and share results and causes with the organization. <input type="checkbox"/> Recognize and reward coaches and mentors for their effect on transferring knowledge. <input type="checkbox"/> Seek out and share best practices externally.

FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.6: Effectively Installing Standardized Work

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Developing Standardized Work</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of what standardized work is, how standardized work is used to reduce process variability and drive continual process improvement, and effective formats for its use.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Train QI team members on what standardized work is, how standardized work is used to reduce process variability and drive continual process improvement, and effective formats for its use.</li> <li><input type="checkbox"/> Develop a format and approach for documenting standardized work.</li> <li><input type="checkbox"/> Have QI team members create and use standardized work in a work process.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refine the format of standardized work to include all key features and drive consistency in its use.</li> <li><input type="checkbox"/> Develop standardized work for all key work processes.</li> <li><input type="checkbox"/> Make developing/updating standardized work a required output of all process improvement efforts.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Deploy the standardized work formats and system throughout the organization.</li> <li><input type="checkbox"/> Establish standardized work as part of required documentation for all key work processes.</li> <li><input type="checkbox"/> Train all organization members how to create standardized work using the standard format(s)</li> <li><input type="checkbox"/> Create standardized work for key work processes in all areas of the value stream.</li> <li><input type="checkbox"/> Utilize process variation measures as a means for identifying the need for new/updated standardized work.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regularly audit the status of all standardized work to ensure it is up-to-date and reflects the most current process; root cause and address gaps.</li> <li><input type="checkbox"/> Establish standardized work for utilizing and continually improving the standardized work formats.</li> <li><input type="checkbox"/> Incorporate standardized work and key work process knowledge directly into the workplace through applications such as visual controls and mistake proofing.</li> </ul>
<b>Teaching and Using Standardized Work</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge of how to effectively and efficiently roll out standardized work and train people in its use.</li> <li><input type="checkbox"/> Gain knowledge of how to effectively and efficiently manage standardized work to make it easy to find, use, and update.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Roll out standardized work that has been created, train team members how to use it, and gather feedback.</li> <li><input type="checkbox"/> Establish a process for managing changes to standardized work.</li> <li><input type="checkbox"/> Establish a system for storing and managing updates to standardized work.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a formal approach for rolling out and training organization members on how to find, use, and update standardized work.</li> <li><input type="checkbox"/> Train all organization members on the standardized work relevant to their work – how to find it, use it, and update it.</li> <li><input type="checkbox"/> Make standardized work documentation available and visible where the work is performed.</li> <li><input type="checkbox"/> Refine the process and system for managing standardized work.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Integrate rollout and training of standardized work into the formal training system.</li> <li><input type="checkbox"/> Deploy standardized work to all areas of the organization that perform the same work.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Regularly audit the use of all standardized work to ensure it is being followed and updated; conduct cause and effect analysis and address gaps.</li> <li><input type="checkbox"/> Incorporate into organization leader responsibilities the roll-out, training, and tracking use and performance of standardized work.</li> <li><input type="checkbox"/> Integrate the standardized work system with the best practice sharing system.</li> <li><input type="checkbox"/> Continuously improve the speed at which standardized work is updated and rolled out.</li> </ul>

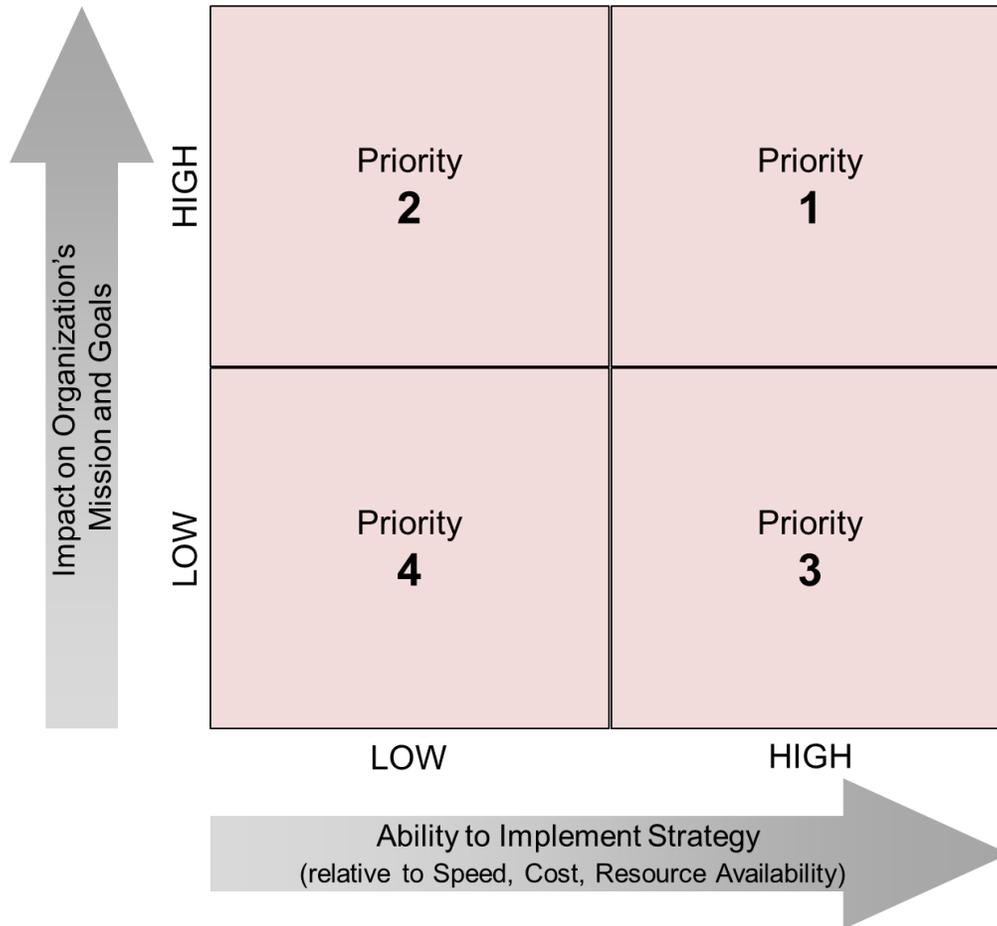
FOUNDATIONAL ELEMENT 6: CONTINUOUS PROCESS IMPROVEMENT

## Sub-Element 6.7: Process Management, Results, and Continual Improvement

	PHASE 1: No Knowledge of QI ↓ PHASE 2: Not Involved with QI Activities	PHASE 2: Not Involved with QI Activities ↓ PHASE 3: Informal or Ad Hoc QI	PHASE 3: Informal or Ad Hoc QI ↓ PHASE 4: Formal QI Implemented in Specific Areas	PHASE 4: Formal QI Implemented in Specific Areas ↓ PHASE 5: Formal Agency-Wide QI	PHASE 5: Formal Agency-Wide QI ↓ PHASE 6: Organization Wide Culture of QI
<b>Managing Work Process Performance</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge on how to establish good work process measures (see Sub-Element 5.1)</li> <li><input type="checkbox"/> Gain knowledge in factors affecting human performance, coaching, teaching, communicating, and providing feedback.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify current work process performance measures, gather data, establish baseline.</li> <li><input type="checkbox"/> Establish work process owners; clarify that ongoing process improvement is their responsibility</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish and publicize work process performance measures and targets for key work processes in specific areas as well as during improvement activities.</li> <li><input type="checkbox"/> Train QI team members to be able to effectively understand process measures and analyze data to understand causes.</li> <li><input type="checkbox"/> Train work process owners in the skills of coaching, teaching, communicating, problem solving, and providing feedback.</li> <li><input type="checkbox"/> Have work process owners audit improved areas via visible observation, participating in improvement activities, reviewing results, and providing work process coaching.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish an organization-wide work process performance scorecard with measures that are aligned from the organization leader to the individual contributor.</li> <li><input type="checkbox"/> Routinely communicate work process performance to key stakeholders.</li> <li><input type="checkbox"/> Expand training and work process auditing to include all work process owners throughout the organization.</li> <li><input type="checkbox"/> Periodically share coaching issues across the organization.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Routinely assess and re-establish the measure targets in order to drive work process excellence.</li> <li><input type="checkbox"/> Visually display process performance measures in all work areas for all organization members and stakeholders.</li> <li><input type="checkbox"/> Make coaching more regular and engage everyone in giving effective feedback to one another.</li> </ul>
<b>Continually Improving Work Processes</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Gain knowledge in work process management, problem solving, and work process ownership.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Solicit work process feedback from organization members.</li> <li><input type="checkbox"/> Periodically identify process issues and brainstorm improvement ideas.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Establish a Continual Improvement System (CIS) during improvement activities or as part of regular process management; train team members and use routinely.</li> <li><input type="checkbox"/> Establish Management of Change (MOC) work process to manage the installation of work process improvements.</li> <li><input type="checkbox"/> Provide a mechanism for work process owners to request improvement activities for prioritization.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Deploy the Continual Improvement System for all improvement activities &amp; key work processes.</li> <li><input type="checkbox"/> Solicit work process feedback from customer, supplier, and other affected work processes for all key work processes.</li> <li><input type="checkbox"/> Establish work process owners for all key work processes.</li> <li><input type="checkbox"/> Work process owners identify additional opportunities for Kaizen.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide all organization members the knowledge and skills to individually self-assess, identify opportunities, and implement improvements.</li> <li><input type="checkbox"/> Engage Customers, Suppliers, and other affected work processes in continually identifying improvements.</li> <li><input type="checkbox"/> Routinely audit all key work processes and compare to the standardized work; identify and address gaps.</li> <li><input type="checkbox"/> Routinely research for new best practices that can be replicated.</li> </ul>

Prioritization Matrix

### 2x2 Ranking Matrix for Prioritizing Strategies



## Glossary of Terms

**Accreditation** – Accreditation for public health departments is defined as: 1) The development and acceptance of a set of national public health department accreditation standards; 2) The development and acceptance of a standardized process to measure health department performance against those standards; 3) The periodic issuance of recognition for health departments that meet a specified set of national accreditation standards; and 4) The periodic review, refining, and updating of the national public health department accreditation standards and the process for measuring and awarding accreditation recognition.

**Best Practices** – The current best-known way to do something. Best practices are a) recognized as consistently producing results superior to those achieved with other means, b) can be standardized and adopted/replicated by others, and c) will produce consistent and measurable results. Replication required the adoption in a different process, area, or organization such that the results of the original application can be reliably reproduced. Best practices will evolve to become better as improvements are discovered.

**Cause and Effect Diagram** – A problem solving technique used to understand the underlying causes of a specific issue and determine effective solutions to address the issue. The visual, diagram-based technique establishes the relationship of how all possible causes combine to produce the effect. Cause and Effect Analysis is very similar to Root Cause Analysis although broader in concept in that CEA drives practitioners to look for multiple cause and effect relationships rather than a single root cause.

**Change Management** – A structured approach to transitioning an organization from a current state to a future desired state

**Check Sheet** – A tool used to record and compile data as they occur, so that patterns and trends can be identified.

**Coaching Training** – Leadership training provided to supervisors and managers. The training is focused on improving leaders in 4 areas: Managing Performance, Developing People, Improving Processes, and QI skills (goal setting, value and waste detection, measurement, extracting learnings, working with others, communication, action planning, information based problem solving, decision making, and teaching/coaching others).

**Continual Improvement System (CIS)** – A visual storyboard used to continually improve the process by involving the work team in tracking measures; identifying problems, issues, improvement ideas, and concerns; and evaluating, solving, and installing the solutions. Routine team meeting occurs for all team members to be engaged and involved.

**Control Chart** – A tool used to monitor performance over time by identifying and distinguishing common and special causes of variation.

**Core competencies** – The key knowledge, skills and abilities required to succeed in performing a role

**Customer Perspective Measures** – Measures that represent how the customer would judge the product/service and their experience in using it.

**Deming's 14 Points of Management** – A standard reference for quality transformation from Deming's 1982 book now titled "Out of the Crisis" 1. Create a constant purpose toward improvement 2. Adopt the new philosophy 3. Stop depending on inspections 4. Use a single supplier for any one item 5. Improve constantly and forever 6. Use training on the job 7. Implement leadership 8. Eliminate fear 9. Break down barriers between departments 10. Get rid of unclear slogans 11. Eliminate management by objectives 12. Remove barriers to pride of workmanship 13. Implement education and self-improvement 14. Make 'transformation' everyone's job.

**Administrative and Functional Processes** – The work processes and systems that support the daily operations of the organization such as HR, Finance, Legal, Purchasing, Compliance, IT.

**Extended Value Stream** – "All of the actions—both value creating and wasteful—required to bring a product (or service) from raw materials into the arms of a customer." (Jones and Womack, "Seeing the Whole") An Extended Value Stream map is the high level ("100, 000 ft.") view of a process. Extended value stream mapping includes the high level steps and information about a process that spans beyond the internal organization to include the process steps of the external partners.

**External Customer** – Those people that receive the service or offering and whose success you are trying to immediately enable.

**Flow** – An advanced improvement method that seeks to improve work process capacity or throughput and reduce cycle time. It accomplishes this via performing tasks one at a time (vs. batch processing), balancing the work content between people, reducing wait time between process steps, and performing tasks as they are needed.

**FMEA** – Failure Modes and Effects Analysis. A predictive method for analyzing potential "things gone wrong" and prioritizing them based on their risk.

**Gemba (or Genba)** – Where the work is accomplished; the action of going to see the actual process, understand the work, ask questions, and learn.

**Histogram** – A graphical tool used to summarize frequency distributions over time

**Hypothesis** – A proposed explanation which is unproven. A hypothesis must be tested in order to be validated. Proposed improvement solutions that are derived from analysis are hypotheses that must be tested to be shown to be correct.

**Improvement Activity** – A systematic quality improvement activity or a project that includes an aim (goal) statement; a work plan with tasks, responsibilities and timelines; intervention strategy(ies); and measures for tracking change.

**Internal Customer** – Stakeholders within the organization or between organizations that have requirements to satisfy in order to deliver the service to the external customer. Ex: Handoffs from one person to another in a work process that provides the service to the Customer.

**Leaders** – Anyone who directs the work of others, including senior managers, chiefs, directors, middle managers, supervisors, and governing entities.

**Lessons Learned** – Knowledge generated through a formal method of exploring and understanding after doing something.

**Kaizen (event)** – An improvement method for making rapid process improvements. Typical application consists of: prior planning followed by fully executing the process improvement cycle over a period of days; performed at the sub-process level or where the work is done (“gemba”); focused on making improvements by detecting and eliminating waste.

**Kano** – Noriaki Kano’s research suggests that there are types of customer values (must be, delighters, satisfiers) which, when understood, open up opportunities to add value and increase customer satisfaction. These include features that customers may not even expect in the offering, but if present, would delight them and features that win greater response from customers the more they are present. A Kano survey of customers can be constructed and executed to identify these values. This is a useful technique for deciding which features you want to include in a product or service.

**Learning Community** - A group formed to advance the collective knowledge around a particular topic area in a way that supports the growth of knowledge among individual members of the group. Learning communities often include members that exhibit a diversity of skills, experience, and expertise; have an objective of continually advancing collective knowledge, skills, and abilities; and support mechanisms for sharing what is learned.

**Management of Change (MOC)** – A formal process to evaluate and properly manage any modifications to the design, documentation, execution, or control of a work process. Not to be confused with Change Management, a systematic approach to leading an organization through a change.

**Measurement System Analysis:** A set of techniques used for estimating the amount of variation in the measurement process, in order to validate that the measurement process will provide accurate and reliable data. Variation in the measurement process will contribute to the observed true variation in the process and potentially lead to false interpretation of the data during analysis.

**Mistake-Proofing** – An improvement method for minimizing human error within work processes.

**Non-Judgmental Culture** - A culture where all employees live by a set of values, behaviors, and approaches that are open and not integrating a judgment whatsoever. All employees and leaders look at problems as opportunities for improvement, use data and information to understand issues, and work to identify the root causes to issues without arbitrarily passing judgment and assigning blame.

**Organization Scorecards** – Table of measures that quantitatively illustrate performance. Some scorecards measures are cascaded down from the leaders with other measures from the teams.

**Pareto Chart** – A tool used to identify problems that offer the greatest potential for improvement by showing their relative frequency or size in a descending bar graph

**Performance Management System** – A fully functioning performance management system that is completely integrated into health department daily practice at all levels includes: 1) setting organizational objectives across all levels of the department, 2) identifying indicators to measure progress toward achieving objectives on a regular basis, 3) identifying responsibility for monitoring progress and reporting, and 4) identifying areas where achieving objectives requires focused quality improvement processes.

**Performance Measures** – A quantitative tool to help understand, manage, and improve what organizations do. Performance measures let us know: How well we are doing; if our processes are in statistical control; if we are meeting our goals; if and where improvements are necessary; if our customers are satisfied. They provide us with the information necessary to make intelligent decisions about what we do. A performance measure is composed of a number and a unit of measure. The number gives us a magnitude (how much) and the unit gives the number a meaning (what). Performance measures are always tied to a goal or an objective (the target)

**Plan-Do-Study-Act (PDSA)** – A continuous quality improvement model for improving a process. Similar to the scientific method, PDSA steps involve the development of a hypothesis (Plan), an experiment or intervention (Do), evaluation or data analysis (Study/Act).

**Process Mapping** – An improvement method in which a process is depicted graphically with relevant data, which enables understanding and analysis for improvement. Includes methods such as Value Stream Mapping and Sub-Process/Swim Lane Mapping.

**QI Coach** – A QI expert who is capable of coaching the QI Leadership Team, the QI Leader, and QI Teams through strategic and QI planning, the improvement process, and QI methods.

**QI Leader** – The QI Leader will lead, facilitate, and drive QI to success in the organization by providing focus and leadership. The responsibilities include QI education, adoption, planning, project execution, communication and change management, the sharing of learnings, and measuring QI results. (e.g., PIM, QI Coordinator)

**QI Leadership Team** – The organization leaders who are accountable for the success of the organization and QI. Their responsibilities include modeling the organization’s values, establish the strategic and QI goals, objectives, and measures, and the achievement of those goals, and lastly the elimination of barriers. (e.g., PM/Quality Council)

**QI Method** – A formal improvement methodology which utilizes data and information within problem solving to reliably generate improvement solutions. (e.g., SRLD, Process Mapping and Waste Analysis, Kaizen, Mistake Proofing, 5S, Flow, Quick Change, Sigma)

**QI Plan** – The set of improvement projects and activities with defined objectives, tactics, resources, timelines, measures, and targets. The QI plan is intended to focus the organization on the high priority QI activities during the planning cycle (typically 1 year). The QI plan is established by evaluating & prioritizing the strategic plan, customer gaps, process gaps, organization directions, employee gaps, and prior learnings.

**QI Practitioner** – Any person who applies, or practices, the application of standard improvement method(s) and technique(s), under the guidance of a QI Leader. A QI Practitioner can lead teams in the application of standard QI methods.

**QI Team Structure** – The structure of the QI individuals, from the Organization’s Leadership team to the QI Leadership team and QI team members. This includes the number, location, and dedication of the QI Leaders and QI team members.

**Quality Improvement (QI)** – A formal, systematic approach (such as plan-do-check-act) applied to the processes underlying public health programs and services in order to achieve measurable improvements

**Rapid Cycle Improvement** – An improvement process, based on the PDSA model, which involves testing a change idea on a small scale to see how it works, modifying, and re-testing until customers are satisfied and it becomes a permanent improvement.

**ROI** – Return on Investment. Return on Investment tool is designed to help agencies and organizations estimate the economic returns from investments made in strategies that enhance public health service delivery (quality improvement efforts or QI). It is recommended that the tool be used throughout the improvement process (pre- and post-implementation)

**Scatter Diagram** – A graphical tool used to identify the possible relationship between the changes observed in two different sets of variables.

**SRLD** – A formal QI method to evaluate a situation and capture the lessons learned by: 1) Evaluating the Status achieved; 2) Determining the Reasons the status was at, above, or below the desired results; 3) Extracting the Learnings; 4) Establishing the Directions to implement the learnings.

**Standardized Work** – Documented methods which define how work is done. Standardized work reflects the current best-known way to do something, and is documented in a way that enables it to be effectively used while work is performed, resulting in decreased variation and a basis for continual process improvement.

**Statistical Control:** The state of a stabilized process in which the process performances within the expect tolerances and only common causes of variation remain (all special causes of variation having been removed), as evidenced on a control chart by the absence of (1) data points beyond the control limits, and (2) non-random patterns of variation.

**Strategic Plan** – A strategic plan results from a deliberate decision-making process and defines where an organization is going. The plan sets the direction for the organization and, through a common understanding of the mission, vision, goals, and objectives, provides a template for all employees and stakeholders to make decisions that move the organization forward. (Swayne, Duncan, and Ginter. *Strategic Management of Health Care Organizations*. Jossey Bass. New Jersey. 2008).

**SWOT Analysis** – A strategic planning method used to evaluate the Strengths, Weaknesses, Opportunities, and Threats to

determine strategic objectives. Strengths are characteristics of organization that give it an advantage over others; Weaknesses are characteristics that place the organization at a disadvantage relative to others; Opportunities are elements that the organization could exploit to its advantage; Threats are elements in the environment that could cause trouble for the organization. The analysis associates the internal and external data to develop strategies.

**Value** – Activities the customer is willing to pay for and changes the product, service, and information and done right the first time.

**Value Added Ratio (VAR)** – A measure of process improvement. For a given process, VAR can be measured by the time spent doing value-added tasks divided by the total process time.

**Value Stream** – The high level (“40,000 ft. view”) of the flow of information and materials required to produce a product or service for a customer (typically within a single work unit or organization). Value Stream mapping and analysis is a fundamental method to identify opportunities for improvement. Value stream maps include the major process steps, informative data, how information flows and a timeline for delivering products or services.

**Visual Controls** – A technique for enabling people to effectively manage their work through easily seen and understood visual indicators which make an abnormal condition stand out by: a) showing the current condition, b) showing what the standard is, and c) linking to an action.

**Waste** – Anything that adds cost or otherwise consumes resources without adding value.

**Work Team-** A team formed around a work process, function or area. Typically in place over a sustained period of time.