

**A SURVEY INSTRUMENT FOR SELF-ASSESSMENT USING
THE PHILIPPINE QUALITY AWARD (PQA) CRITERIA FOR
PERFORMANCE EXCELLENCE¹**

This survey form is designed to help you perform an initial appraisal of your organization and determine how your organization's quality management practices rate against the Philippine Quality Award Criteria for Performance Excellence. Because it is an assessment instrument based on self-report data, it is not as thorough or accurate as the actual assessment conducted by PQA assessors. In an actual assessment, PQA assessors (for site-visited applicants) will conduct extensive interviews, complete tours of your facilities and examine a variety of data and materials that relate to quality.

Please complete this form carefully, honestly, and as completely as you can. Only frank responses can provide a clear picture of where your organization is and what your organization needs to do to improve. In answering each question, choose the most appropriate rating (i.e., from 1 to 5) using the definitions of the rating scales below. Write your organization's score for each question in the space provided at the end of the question.

RATING SCALE FOR QUESTIONS 1-120

SCORE	APPROACH	DEPLOYMENT
0	The practice or process mentioned does not exist in the organization.	There is no deployment.
1	The organization does not have an appropriate system for the practice, although a few elements related to the practice are in place. The practice or process is carried out in an incidental or ad hoc manner. The organization may be in the process of developing plans to define a systematic approach for the practice mentioned.	The approach is deployed to a few functional areas or work units, processes, and products and services.

¹This self-assessment questionnaire is adapted from Luis Ma. R. Calingo, *The Corporate Guide to the Singapore Quality Award* (Singapore: EPB Publishers Pte Ltd., 1995), Appendix A, and Michael Caravatta, "Conducting an Organizational Self-Assessment Using the 1997 Baldrige Award Criteria," *Quality Progress*, October 1997, 87-91. This is an initial working draft of a survey instrument for quickly assessing organizations using the 2001 Malcolm Baldrige National Quality Award Criteria for Performance Excellence.

SCORE	APPROACH	DEPLOYMENT
2	The organization is in the early stages of implementing a system for the practice or process mentioned. There are still some major issues or gaps relating to the approach that need to be addressed (e.g., inadequate or inaccurate data, and lack of integration of plans at different levels).	The approach is deployed to some major functional areas or work units, processes, and products and services.
3	There is a sound, systematic approach in place for the practice or process mentioned, with evidence of valid and objective information being used. The approach is aligned with the organization's plans or integrated with other related approaches in most major functional areas or work units	The approach is deployed to most of the major functional areas or work units, processes, and products and services.
4	There is a proven, well-defined, fact-based and integrated system in place for the practice or process mentioned. The system is well integrated in the organization, with no gap in alignment with the organization's plans or integration with other related approaches across major functional areas or work units. This system is periodically reviewed and improved upon.	The approach is deployed to the major functional areas or work units, processes, and products and services.
5	There is a proven, fact-based, well-integrated and innovative system in the organization, which can be regarded as a model for others.	The approach is deployed to all functional areas or work units, processes, and products and services.

Leadership

1. Do senior leaders set, communicate, and deploy organizational values, strategic directions, performance expectations, and a focus on creating and balancing value for customers and other stakeholders? _____
2. Do senior leaders establish and reinforce an environment for empowerment, innovation, organizational agility, and organizational and personal learning? _____
3. Do senior leaders review organizational performance and capabilities to assess organizational success, competitive performance, progress relative to performance goals, and the ability to address changing organizational needs? _____
4. Does your organization translate organizational performance review findings into priorities for improvement and opportunities for innovation? _____

5. Do you deploy your key recent performance review findings, priorities for improvement, and opportunities for innovation throughout your organization and, as appropriate, to your suppliers/partners to ensure organizational alignment? _____
6. Do senior leaders use organizational performance review findings to improve their own leadership effectiveness and the effectiveness of management throughout the organization? _____
7. Does your organization address the impacts on society of your products, services, and operations? _____
8. Does your organization have processes, measures, and targets for regulatory and legal requirements and for addressing risks associated with your products, services, and operations? _____
9. Does your organization anticipate public concerns with current and future products, services, and operations? _____
10. Does your organization ensure ethical business practices in all transactions and interactions with stakeholders? _____
11. Do your organization, your senior leaders, and your employees actively support and strengthen your key communities? _____

Strategic Planning

12. Does your organization have a systematic process for developing both short-term and long-term plans? _____
13. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of customer and market needs/expectations, including new product/service opportunities? _____
14. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of your competitive environment and your capabilities relative to competitors? _____
15. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of technological and other key changes that might affect your products/services or how you operate? _____
16. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of your human resource capabilities and needs? _____
17. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of your operational strengths and weaknesses? _____

18. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of supplier and/or partner strengths and weaknesses? _____
19. Does your organization's process of developing short-term and long-term plans take into consideration the analysis of financial, societal, and other potential risks? _____
20. Does your organization have a timetable for accomplishing your key strategic objectives? _____
21. Does your organization's strategic objectives address the operational, human resource, business, global, and other key strategic challenges that your organization faces? _____
22. Does your organization ensure that your strategic objectives balance the needs of all key stakeholders? _____
23. Does your organization have a planning process that translates the organization's overall strategy and strategic objectives into action plans? _____
24. Does your organization have a systematic process that translates the organization's strategic objectives and action plans into human resource requirements and plans? _____
25. Does your organization have a system to monitor and review progress relative to your action plans? _____
26. Do your organization's action plans include details of resource commitments and time horizons for accomplishment? _____
27. Does your organization communicate and deploy your action plans and performance measures/indicators to achieve overall organizational alignment and to cover all stakeholders and appropriate units? _____
28. Does your organization have well-defined long-term goals (i.e., 2-5-year performance projections) derived from the planning process? _____
29. Do the long-term goals of your organization include stretch goals based on the performance of comparable organizations, key benchmarks, and past performance? _____

Customer and Market Focus

30. Does your organization have a system for determining or targeting customers, customer groups, and/or market segments? _____

31. When determining or targeting customers, customer groups, and/or market segments, does your organization consider customers of competitors and other potential customers and/or markets? _____
32. Does your organization use a variety of proactive methods to listen and learn to determine key requirements and drivers of purchase decisions for current, former, and potential customers? _____
33. Does your organization determine and/or project key product/service features and their relative importance/value to customers for purposes of current and future marketing, product planning, and other business developments? _____
34. When determining key product/service features and their relative importance/value to customers, does your organization use relevant information from current and former customers, including marketing/sales information, customer retention data, won/lost analysis, and complaints? _____
35. Does your organization keep your listening and learning methods current with business needs and directions? _____
36. Does your organization build relationships to acquire and satisfy customers and to increase repeat business and positive referrals? _____
37. Does your organization determine key customer contact requirements and deploy these requirements to all employees involved in the response chain? _____
38. Does your organization have key access mechanisms to facilitate the ability of customers to conduct business, seek assistance and information, and make complaints? _____
39. Does your organization have a complaint management process for ensuring that complaints are resolved effectively and promptly? _____
40. Does your organization aggregate and analyze all complaints received for use in improvement through your organization and by your partners? _____
41. Does your organization keep your approaches to building relationships and providing customer access current with business needs and directions? _____
42. Does your organization have processes, measurement methods, and data to determine customer satisfaction and dissatisfaction? _____
43. Do your organization's measurements capture actionable information that predicts customers' future business with you and/or potential for positive referral? _____
44. Does your organization follow up with customers on products/services and recent transactions to receive prompt and actionable feedback? _____

45. Does your organization obtain and use information on customer satisfaction relative to competitors and/or benchmarks? _____
46. Does your organization keep your approaches to satisfaction determination current with business needs and directions? _____

Information and Analysis

47. Does your organization gather and integrate data and information from all sources to support daily operations and organizational decision making? _____
48. Does your organization select and align measures/indicators for tracking daily operations and overall organizational performance? _____
49. Does your organization make comparisons against comparable organizations to compare performance data and analyze competitive strategies? _____
50. Does your organization have a system for determining which organization processes to benchmark? _____
51. Does your organization use comparative data and information to revise performance goals and develop action plans for improvement? _____
52. Does your organization evaluate and improve the process of carrying out competitive comparisons and benchmarking? _____
53. Does your organization keep your performance measurement system current with business needs and directions? _____
54. Does your organization perform analyses, such as correlations/projections of data, to support your senior leaders' organizational performance review and your strategic planning? _____
55. Does your organization communicate the results of organizational-level analysis to work group and/or functional-level operations to enable effective support for decision making? _____
56. Does your organization align the results of organizational-level analysis with your key business results, strategic objectives, and action plans? _____
57. Do the results of your organizational-level analysis provide the basis for continuous and breakthrough improvements in performance? _____
58. Does your organization make needed data and information available and accessible to employees, suppliers/partners, and customers who need them? _____
59. Does your organization have processes that ensure the integrity, reliability, accuracy, timeliness, security, and confidentiality of data and information? _____

60. Does your organization keep your mechanisms for data and information availability current with business needs and directions? _____
61. Does your organization have processes that ensure that hardware and software are reliable and user friendly? _____
62. Does your organization keep your hardware and software systems current with business needs and directions? _____

Human Resource Focus

63. Does your organization design, organize, and manage work and jobs to promote cooperation, individual initiative, innovation, your organizational culture, and the flexibility to keep current with business needs? _____
64. Does your organization ensure effective communication, knowledge sharing, and skill sharing across work units, jobs, and locations? _____
65. Do your organization's managers and supervisors implement mechanisms to help employees attain job- and career-related development/learning objectives? _____
66. Does your organization's employee performance management system, including feedback to employees, support high performance and a customer and business focus? _____
67. Do your organization's compensation, recognition, and related reward/incentive practices reinforce high performance? _____
68. Does your organization have a system for succession planning for senior leadership and throughout the organization? _____
69. Does your organization take into account key performance requirements, diversity of the communities with which you interact, and fair work force practices when recruiting, hiring, and retaining new employees? _____
70. Does your organization's education and training approach balance short- and longer-term organizational and employee needs, including development, learning, and career progression? _____
71. Does your organization seek and use input from employees and their supervisors/managers on education and training needs and delivery options? _____
72. Do your organization's education and training plans address key organizational needs associated with technological change, management/leadership development, new employee orientation, safety, performance measurement/improvement, and diversity? _____
73. Does your organization have a process to ensure the implementation of employee education and training programs, consistent with your action plans? _____

74. Does your organization have a system to evaluate and improve the employee education, training, and development process? _____
75. Does your organization assess the reaction of employee-trainees to education and training programs? _____
76. Does your organization test the skills or knowledge acquired by employees from education and training? _____
77. Does your organization evaluate whether the knowledge or skills acquired are applied on the job, and their impact on work performance? _____
78. Does your organization evaluate the impact of education and training programs on the overall performance of the organization? _____
79. Does your organization key developmental and training needs, including diversity training, management/leadership development, new employee orientation, and safety? _____
80. Does your organization systematically reinforce knowledge and skills on the job? _____
81. Does your organization have programs or measures for creating and maintaining a safe, healthful, and ergonomic work environment (e.g., standard safety procedures, health enhancement programs, ergonomics)? _____
82. Does your organization systematically determine the key factors that affect employee well-being, satisfaction, and motivation in your organization? _____
83. Does your organization offer employee services, benefits, and policies to enhance your employees' work climate via services, benefits, and policies? _____
84. Does your organization's work climate consider and support the needs of a diverse work force? _____
85. Does your organization use formal and informal assessment methods and measures to determine employee well-being, satisfaction, and motivation? _____
86. Does your organization tailor your methods and measures for assessing employee well-being, satisfaction, and motivation to a diverse work force and to different categories and types of employees? _____
87. Does your organization use other indicators such as employee turnover, absenteeism, grievances, and productivity to assess and improve employee well-being, satisfaction, and motivation? _____

88. Does your organization relate assessment findings to key business results to identify priorities for improving the work environment and employee support climate? _____

Process Management

89. Has your organization identified your key design processes for products/services and their related production/delivery systems and processes? _____
90. Does your organization's process of designing products, services, and production/delivery processes require translation of customer and market requirements into design requirements? _____
91. Does your organization incorporate changing customer/market requirements into product/service designs and production/delivery systems and processes? _____
92. Does your organization incorporate new technology, including e-technology, into products/services and into production/delivery systems and processes? _____
93. Do your organization's design processes address design quality and cycle time, transfer of learning from past projects and other parts of the organization, cost control, new design technology, productivity, and other efficiency/effectiveness factors? _____
94. Does your organization ensure that your design process for production/delivery systems and processes accommodates all key operational performance requirements? _____
95. Does your organization coordinate and test design and production/delivery processes to ensure prevention of defects/rework and capability for trouble-free and timely introduction of products/services? _____
96. Has your organization identified your key production/delivery processes and their key performance requirements? _____
97. Does your organization's day-to-day operation of key production/delivery processes ensure meeting key performance requirements? _____
98. Does your organization identify and use key performance measures and/or indicators to control and improve your key production/delivery processes? _____
99. Does your organization perform inspections, tests, and process/performance audits to minimize warranty and/or rework costs? _____
100. Does your organization have prevention-based processes for controlling inspection and test costs? _____

101. Does your organization improve your production/delivery processes to achieve better process performance and improvements to products/services? _____
102. Does your organization have a systematic approach for sharing improvements in key production/delivery processes with other organizational units and processes and with key suppliers/partners? _____
103. Has your organization identified your key business processes for business growth and success?² _____
104. Has your organization identified the key performance requirements for your business processes? _____
105. When determining the key performance requirements of your key business processes, does your organization incorporate input from customers and suppliers/partners? _____
106. Does your organization ensure that the design of your key business processes accommodates all key performance requirements? _____
107. Does your day-to-day operation of key business processes ensure meeting key performance requirements? _____
108. Does your organization identify and use key performance measures and/or indicators to control and improve your key business processes? _____
109. Does your organization have prevention-based processes for minimizing overall costs associated with inspections, tests, and process/performance audits of key business processes? _____
110. Does your organization improve your key business processes to achieve better performance and to keep them current with business needs and directions? _____
111. Does your organization have a systematic approach for sharing improvements in key business processes with other organizational units and processes? _____
112. Has your organization identified the key processes for supporting your daily operations and your employees in delivering products and services?³ _____

²Key business processes might include processes for innovation, research and development, technology acquisition, information and knowledge management, supply chain management, supplier partnering, outsourcing, mergers and acquisitions, global expansion, project management, and sales and marketing.

³Key support processes might include finance and accounting, facilities management, legal, human resource, and administration processes.

113. Has your organization identified the key performance requirements (e.g., productivity and cycle time) for your support processes? _____
114. When determining the key performance requirements of your key support processes, does your organization incorporate input from customers and suppliers/partners? _____
115. Does your organization ensure that the design of your key support processes accommodates all key performance requirements? _____
116. Does your day-to-day operation of key support processes ensure meeting key performance requirements? _____
117. Does your organization identify and use key performance measures and/or indicators to control and improve your key support processes? _____
118. Does your organization have prevention-based processes for minimizing overall costs associated with inspections, tests, and process/performance audits of key support processes? _____
119. Does your organization improve your key support processes to achieve better performance and to keep them current with business needs and directions? _____
120. Does your organization have a systematic approach for sharing improvements in key support processes with other organizational units and processes? _____

RATING SCALE FOR QUESTIONS 121-147

SCORE	RESULTS
0	There are no results (no data), or the results show no positive trends at all, and have not met the targets set. No comparison of results against those of competitors is done.
1	The results show some positive trends, but are inconsistent (e.g., improvements are not sustained or only a few indicators show positive trends). The results have generally not met the targets set, and compare unfavorably against those of competitors.
2	The results show sustained positive trends for most of the indicators, but have generally not met the targets set, or most of the indicators have met the targets set, but do not show sustained positive trends (e.g., some indicators show negative or fluctuating trends). Some indicators compare favorably, while others unfavorably against those of competitors.
3	The results show sustained positive trends for most of the indicators, and most indicators have met the targets set. The results for the key indicators are generally on par with those of comparable organizations/student populations or competing organizations.

SCORE	RESULTS
4	The results show sustained positive trends for all indicators, and have met the targets set, with at least some indicators exceeding the targets. The indicators generally show better performance levels than most competitors, with the performance levels for key indicators comparable to those of industry leaders.
5	The organization has achieved sustained, excellent results that are at world-class levels and serve as benchmarks for others (e.g., "quantum leap" improvements are seen, or performance levels for all indicators are comparable to or better than leading organizations).

Business Results

121. Have the key indicators relating to customer satisfaction and dissatisfaction met the targets set for last year? _____
122. Have the key indicators relating to customer satisfaction and dissatisfaction shown positive improvement trends over the last three years? _____
123. How do the results for the key indicators relating to customer satisfaction and dissatisfaction compare with those of comparable organizations? _____
124. Have the key indicators relating to customer-perceived value, customer retention, positive referral, and/or other aspects of building relationships with customers met the targets set for last year? _____
125. Have the key indicators relating to customer-perceived value, customer retention, positive referral, and/or other aspects of building relationships with customers shown positive improvement trends over the last three years? _____
126. How do the results for the key indicators relating to customer-perceived value, customer retention, positive referral, and/or other aspects of building relationships with customers compare with those of comparable organizations? _____
127. Have the key indicators relating to product and service performance met the targets set for last year? _____
128. Have the key indicators relating to product and service performance shown positive improvement trends over the last three years? _____
129. How do the results for the key indicators relating to product and service performance compare with those of comparable organizations? _____
130. Have the key indicators relating to financial performance (including aggregate measures of financial return and/or economic value) met the targets set for last year? _____

131. Have the key indicators relating to financial performance shown positive improvement trends over the last three years? _____
132. How do the results for the key indicators relating to financial performance compare with those of comparable organizations? _____
133. Have the key indicators relating to marketplace performance (including market share/position, business growth, and new markets entered) met the targets set for last year? _____
134. Have the key indicators relating to marketplace performance shown positive improvement trends over the last three years? _____
135. How do the results for the key indicators relating to marketplace performance compare with those of comparable organizations? _____
136. Have the key indicators relating to employee well-being, satisfaction and dissatisfaction, and development (e.g., safety, absenteeism, turnover, innovation and suggestion rates) met the targets set for last year? _____
137. Have the key indicators relating to employee well-being, satisfaction and dissatisfaction, and development shown positive improvement trends over the last three years? _____
138. How do the results for the key indicators relating to employee well-being, satisfaction and dissatisfaction, and development compare with those of comparable organizations? _____
139. Have the key indicators relating to work system performance and effectiveness (e.g., job and job classification simplification) met the targets set for last year? _____
140. Have the key indicators relating to work system performance and effectiveness shown positive improvement trends over the last three years? _____
141. How do the results for the key indicators relating to work system performance and effectiveness compare with those of comparable organizations? _____
142. Have the key indicators relating to the performance of key design, production, delivery, business, and support processes (including productivity, cycle time, supplier/partner performance, and other appropriate measures of effectiveness and efficiency) met the targets set for last year? _____
143. Have the key indicators relating to key design, production, delivery, business, and support process performance shown positive improvement trends over the last three years? _____

144. How do the results for the key indicators relating to key design, production, delivery, business, and support process performance compare with those of comparable organizations? _____
145. Have the key indicators relating to regulatory/legal compliance and citizenship met the targets set for last year? _____
146. Have the key indicators relating to regulatory/legal compliance and citizenship shown positive improvement trends over the last three years? _____
147. How do the results for the key indicators relating to regulatory/legal compliance and citizenship compare with those of comparable organizations? _____

SELF-ASSESSMENT SCORES

(1) ITEM	(2) QUESTIONS	(3) AVERAGE SCORE	(4) PERCENT SCORE [Col. (3) ? 5.0]	(5) MAXIMUM POSSIBLE POINTS	(6) ITEM SCORE [Col. (4) x Col. (5)]
1.1	1-6			80	
1.2	7-11			40	
2.1	12-22			40	
2.2	23-29			45	
3.1	30-35			40	
3.2	36-46			45	
4.1	47-57			50	
4.2	58-62			40	
5.1	63-69			35	
5.2	70-80			25	
5.3	81-88			25	
6.1	89-102			45	
6.2	103-111			25	
6.3	112-120			15	
7.1	121-129			125	
7.2	130-135			125	
7.3	136-141			80	
7.4	142-147			120	
TOTAL SCORE				1,000	

ROUGH INTERPRETATION OF SCORES

RANGE	BAND	INTERPRETATION
0-250	1	Early stages of developing and implementing approaches to requirements of the Criteria Categories. Important gaps exist in most Categories.
251-350	2	Among the bottom quartile of PQA applicants. Beginning of a systematic approach to the primary purposes of the Criteria Items, but major gaps exist in approach and deployment in some Criteria Categories. Early stages of obtaining results stemming from approaches.
351-450	3	The median performance for PQA applicants. A systematic approach to the primary purposes of most Items, but deployment in some key Areas to Address is still too early to demonstrate results. Early improvement trends in some areas of importance to key requirements.
451-550	4	Comparable to the top one-third of PQA applicants. Effective approaches to many Areas to Address, but deployment in some Areas is still at early stages. Further deployment, measures, and results are needed to demonstrate integration, continuity, and maturity.
551-650	5	The 90 th percentile for PQA applicants. A sound, systematic approach responsive to many of the Areas to Address with a fact-based improvement process in place in key Areas. No major gaps in deployment, and a commitment to organizational analysis and learning. Improvement trends and/or good performance reported for most areas of importance.
651-750	6	Refined approaches, including key measures, good deployment, and good results in most Areas to Address. Some outstanding activities and results clearly demonstrated. Good evidence of continuity and maturity in many Areas. Basis for further deployment and integration is in place, with a focus on analysis, learning, and sharing of best practices. May be "industry" leaders or benchmark leaders in some Areas.
751-875	7	Refined approaches, excellent deployment, and good to excellent improvement and levels demonstrated in most Areas to Address. Good to excellent integration, with analysis, learning, and sharing of best practices as key management strategies. "Industry" leadership and some benchmark leadership.

RANGE	BAND	INTERPRETATION
876-1,000	8	Outstanding approaches, full deployment, excellent and sustained results. Excellent integration and maturity, with analysis, learning, and sharing of best practices pervasive. National and world leadership.