

**2021**

**Focus on Excellence**

**Application**

**Healthcare**

Submit Application to:

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www.imec.org/excellence

***Introduction***

The IMEC Recognition Program is a self-assessment recognition program designed and administered with the primary objective of helping you understand your organization’s strengths and opportunities for improvement as defined by the criteria of the Malcolm Baldrige National Quality Award®. Known around the world as best-in-class, these biennially reviewed and updated criteria provide the framework for assessing yourself against role model organizations both within and outside your sector. Throughout the year, the program also offers multiple training programs geared toward assisting your organization on its journey toward excellence.

IMEC offers three levels of review that include external assessment:

1. Interest Level Application, based only on the 5-page Organizational Profile.
2. **Focused Application** – 10-page application focusing on targeted areas of the framework that the applicant chooses for review and feedback, plus the 5-page Organizational Profile.
3. Full Application - 50-page application, plus the 5-page Organizational Profile

Those completing the full 50-page Application receive a thorough assessment by a team of trained examiners, resulting in a feedback report focused on the organization’s strengths and opportunities within each of the 7 Criteria and 17 Items. This may include a site visit by a team of examiners and some level of award recognition.

Those organizations completing the Interest Level Application receive a written feedback report based on the information provided in their Organizational Profile. They, also, have the option to be recognized with an Interest in Excellence Plaque during The IMEC Conference on Enterprise Excellence.

Those organizations completing the Focused Application receive an assessment by a small team of trained examiners, resulting in a feedback report focused on the organization’s strengths and opportunities within the targeted area(s) included in the selected focus option. This may include a 1-day site visit by a team of examiners. Organizations have the option to be recognized with a Focus on Excellence Plaque during the IMEC Conference on Enterprise Excellence.

The Focused Application provides optimal flexibility and value by allowing your organization to select from a number of focus options. (See Page 5 for available focus options). Based on the option selected, your team will complete specific Baldrige Criteria Items, as well as the Organizational Profile. Why?

* Completing the Organizational Profile sets the context for addressing the unique aspects of your organization within each of the items you complete in the Focused Application. Additionally, the Organizational Profile is a requirement for the Full Application (should you decide to complete the Full Application at a later date).
* Your participation in the Focused Application process demonstrates your organization’s desire to dive deeper into continuous improvement in one or multiple areas. Depending on the focus options, it may, also, serve as an effective opportunity to further:
	+ Optimize your leadership and strategic planning processes
	+ Improve the quality of your products and services
	+ Enhance customer loyalty
	+ Increase workforce engagement
	+ Clarify your approaches to analytics
	+ Provide a platform to accelerate change, growth, and improvement throughout your organization
* The questions within each item will help you and your management team step back and answer logically sequenced questions that collectively provide an overview of what your organization does and how it does it relative to each focus area.
* Your self-assessment relative to the item questions within the selected option will help you understand potential gaps based on areas where you find conflicting, vague, or no approaches; these gaps represent areas to be addressed.

***Focused Application Specifics***

***What you can expect…***

Once you complete and submit the Focused Application:

* Your 10-page Application, plus a 5-page Organizational Profile will be assigned to a group of experienced examiners who will individually assess and then collectively complete a synthesized written Feedback Report based on the information provided.

*Please note that each examiner working on your application:*

*1) Signs an affidavit stating he/she has no conflict of interest with your application or organization, and*

*2) Agrees in writing to maintain the confidentiality of all information provided in your application.*

*As set forth by the Baldrige Program, IMEC follows the highest ethical standards regarding an application’s confidentiality, removing any direct or implied conflicts of interest.*

* Within approximately 45 days of receipt of your Focused Application by IMEC, you will learn whether your organization will be offered a 1-day onsite visit by a team of examiners. The onsite visit will allow the examiner team to verify and clarify your comments.
	+ If it is determined that a 1-day onsite visit isn’t necessary or that your organization would prefer to exclude the 1-day onsite visit, you will receive the examiner team’s Feedback Report within approximately 60 days of initial receipt of your Focused Application by IMEC. The Feedback Report will summarize strengths and opportunities for each item within the selected focus option and an Executive Summary.
	+ If a 1-day onsite visit is offered and accepted, you will receive the examiner team’s Feedback Report approximately 30 days post the onsite visit, which will summarize strengths and opportunities for each item within the selected focus option and an Executive Summary.
* After receiving the Feedback Report, we strongly recommend you request a one-hour phone call or in-person meeting with Examiner team members to verify and clarify any points in the report.
* If you submit your application no later than the last day in November, you will receive formal recognition at The IMEC Conference on Enterprise Excellence held during the first quarter of each year. This recognition includes media exposure and a plaque signifying your completion of the Focus on Excellence process. You will also receive one free admission and special discount rates for the applicants’ employees, partners, families, and other stakeholders to attend the IMEC Conference on Enterprise Excellence.

***Process***

***Application Overview and Release Form Instructions***

1. Complete the **IMEC Focus on Excellence Application Overview and Release Form** on page 6.
2. Develop your organization’s responses to the **Organizational profile** questions. When complete, **your Organizational Profile responses may not exceed five pages**.
* The Organizational Profile template is set up in a two-column format, with 10 point font. Please do NOT change the two-column format or font size.
* You may use the template at the end of this document (pages 8-10) to create your organizational profile and glossary if you so choose. The organizational profile and glossary are required items, but you do not need to use the template.
* You may add charts or tables within the template as needed to summarize key information.
* In addition to the five-pages allotted for your responses to the Organizational Profile questions, you should also include an organization chart and a glossary of terms, acronyms and abbreviations that are used within your Organizational Profile. Neither of these counts against the five-page maximum. The organization chart may help the examiners understand the structure of the applicant organization. The terms, acronyms and abbreviations are provided to clarify information included in your Organizational Profile that would otherwise be unfamiliar to the examiners.

***Application Fee and Timetable for Submission***

The application fee for the Focus on Excellence application is **$6,000** and is due when you submit the **Focus on Excellence Application Overview and Release Form,** along with the five-page **Organizational Profile, glossary of terms, organizational chart(s) and 10-page application**. Please make checks payable to **IMEC**. Additionally, any travel expenses incurred for a site visit or debrief meeting will be the responsibility of the applicant.

Focus on Excellence applications are accepted at any time throughout the year. All applicants will receive the Feedback Report, an optional one-day site visit, and optional one hour phone debriefing. All applicants submitting Focus on Excellence Applications will be recognized in a public ceremony.

***Questions or Comments***

Please contact the IMEC office for all questions or comments about the IMEC Recognition Program at 309-235-5204 or hbender@imec.org.

**Focus on Excellence Application Options**

10-page maximum Application

+ 5-page Organizational Profile

+ Organizational Chart(s)

+ Glossary

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Option | Focus | Include Org Profile, Org Chart, and Glossary? | Maximum number of pages | Process Categories to include  |
| A | Leadership  | Yes | 10 | Category 1 |
| B | Strategy | Yes | 10 | Category 2 |
| C | Customers | Yes | 10 | Category 3 |
| D | Measurement, Analytics & Knowledge Management  | Yes | 10 | Category 4 |
| E | Workforce | Yes | 10 | Category 5 |
| F | Operations | Yes | 10 | Category 6 |

**APPLICATION PACKAGE INSTRUCTIONS**

***Objective***

The Application Report allows Award Applicants to provide information on quality management of products, programs, and services and on results of continuous improvement processes. The Board of Examiners evaluates the information provided in the Application Report against performance excellence criteria.

***Instructions***

The purpose of this section is to provide Applicants with instructions for preparing the Application Report. These instructions include information on typing, page limits, organization, assembly, and other format considerations.

Guidelines for responding to the application criteria are also given.

***Requirements***

Each Applicant must submit an Application Report consisting of:

* profile of the Applicant's organization;
* responses to the Award Criteria for applicable focus option selected (page 5).

**FORMAT OF THE APPLICATION REPORT**

***Organization of Responses to Items and Areas to Address***

The Award Criteria used to prepare the Application Report is provided in the 2017-2018 *Baldrige Excellence Framework, Baldrige Excellence Framework (Education)* or *Baldrige Excellence Framework (Health Care)*. See the Application Appendix for ordering information.

The Application Report must:

* contain the same numerical and alphabetical designations for Categories, Items, and Areas to Address as the Award Criteria per selected focus options. (Applicants should denote responses to Areas by underlining [e.g., 4.2a.] and/or using **bold** type for Item/Area);
* respond to the set of Areas to Address in the order given to facilitate review by the Board of Examiners;
* if an Area does not pertain to the Applicant's organization or quality system, include a one or two sentence statement explaining why the Area is not applicable;

***Typing Instructions***

The Application Report must:

* be typed on standard, 8-1/2 x 11 inch paper in a Times New Roman font of 10 point minimum; and
* use a **two-column**, portrait orientation format Pages may be printed on both sides. Type on pages (including pictures, graphs, figures, data tables, and appendices) must also meet these requirements for size and spacing.

***Page Limits***

The Application should not exceed 10 pages.

***Note:*** Pictures, graphs, figures, data tables, and appendices **are counted** as part of the page limitations stated above and should be placed as close as possible to the related narrative (all graphs, data tables, and figures should be legible).

The use of tabs, separators, and glossaries of terms and abbreviations is helpful. In all cases, overviews, dividers, covers, tab separators, glossaries, title page, and table of contents **are not counted** as part of the page limits.

**IMEC Focus on Excellence Application Overview and Release Form**

1. Applicant

|  |  |
| --- | --- |
| *Organization Name* | <Insert here> |
| *City, State* *Zip* | <Insert here> |
| *Total # of employees (full-time equivalent)* | <Insert here> |
| *Total # of sites* | <Insert here> |

2. Industry Sector

Place an “X” to identify the sector that best describes your organization

|  |  |
| --- | --- |
|  | Manufacturing |
|  | Service |
|  | Health Care |
|  | Education |
|  | Government |
|  | Nonprofit |

3. Official Contact

|  |  |
| --- | --- |
| *Name* | <Insert here> |
| *Title* | <Insert here> |
| *Address (no PO Box)* | <Insert here> |
| *City, State**Zip* | <Insert here> |
| *Phone* | <Insert here> |
| *E-mail* | <Insert here> |

4. Place an ‘X’ to identify Focus Application option:

|  |  |
| --- | --- |
| A. Overall |  |
| B. Leadership |  |
| C. Strategy |  |
| D. Customers/Students/Patients |  |
| E. Knowledge and Analytics |  |
| F. Workforce |  |
| G. Operations |  |

5. Enter a one-sentence description of your organization:

|  |
| --- |
| <Insert here> |

6. Application Fee

**Application Fee of $6,000 is due when application is submitted.**

Contact IMEC to clarify payment options.

(**309-235-5204** or **hbender@IMEC.org**)

7. Release Statement and Signature of Highest Ranking Official

|  |  |
| --- | --- |
| *Name* | <Insert here> |
| *Title* | <Insert here> |
| *Address* | <Insert here> |
| *City, State**Zip* | <Insert here> |
| *Phone* | <Insert here> |
| *E-mail* | <Insert here> |

**Please read and sign:**

I state and attest that:

I have reviewed the information supplied in this Application and related Organizational Profile. To the best of my knowledge, no untrue statement or omission of a material fact has been made in this application package. Based on the information herein and the current eligibility requirements, my organization is eligible to apply.

|  |  |
| --- | --- |
|  | < |
| *Signature* | **<***Date* |

**Organizational Profile – <Insert Name of Applicant Organization>**

**P.1 Organizational Description**

<Insert a brief one paragraph description of your organization>

**P.1a. Organizational Environment**

**P.1a(1) Healthcare Service Offerings**

What are your main healthcare service offerings? What is the relative importance of each to your success? What mechanisms do you use to deliver your healthcare services?

[NOTE P.1a(1): Read and delete - Healthcare service offerings are the services you offer in the marketplace. Mechanisms for delivering services to your patients or other customers might be direct or might be indirect, through contractors, collaborators, or partners.]

<Insert your response here>

**P.1a(2) Mission, Vision, Values, and Culture** What are your mission, vision, and values? Other than values, what are the characteristics of your organizational culture? What are your organization’s core competencies, and what is their relationship to your mission?

[NOTE P.1a(2): Read and delete - If your organization has a stated purpose as well as a mission, you should include it in your response. Some organizations define a mission and a purpose, and some use the terms interchangeably. Purpose refers to the fundamental reason that the organization exists. Its role is to inspire the organization and guide its setting of values.

Your values are part of your organization’s culture. Other characteristics of your culture might include shared beliefs and norms that contribute to the uniqueness of the environment within your organization.]

<Insert your response here>

**P.1a(3) Workforce Profile** What is your workforce profile? What recent changes have you experienced in workforce composition or in your needs with regard to your workforce? What are:

* your workforce or employee groups and segments;
* the educational requirements for different employee groups and segments;
* the key drivers that engage them;
* your organized bargaining units (union representation), if any; and
* your special health and safety requirements, if any?

[NOTE P1.a(3): Read and delete – Workforce or employee groups and segments (including organized bargaining units) might be based on type of employment or contract-reporting relationship, location (including remote work), tour of duty, work environment, use of flexible work policies, or other factors. Organizations that also rely on volunteers and interns to accomplish their work should include these groups as part of their workforce]

<Insert your response here>

**P.1a(4) Assets** What are your major facilities, equipment, technologies, and intellectual property?

<Insert your response here>

**P.1a(5) Regulatory Requirements** What are your key applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and healthcare service delivery regulations?

[NOTE P.1a(5): Read and delete - Industry standards might include industrywide codes of conduct and policy guidance. Depending on the regions and context in which you operate, special financial covenants, standards regarding relationships with physicians or other referral sources, and environmental regulations might apply.]

<Insert your response here>

**P.1b Organizational Relationships**

**P.1b(1) Organizational Structure** What are your organizational leadership structure and governance structure? What structures and mechanisms make up your organization’s leadership system? What are the reporting relationships among your governance board, senior leaders, and parent organization, as appropriate?

[NOTE P.1b(1): Read and delete -The Organizational Profile asks for the ‘what’ of your leadership system (its structures and mechanisms). Questions in categories 1 and 5 ask how the system is used.]

<Insert your response here>

**P.1b(2) Patients, Other Customers, and Stakeholders** What are your key market segments, patient and other customer groups, and stakeholder groups, as appropriate? What are their key requirements and expectations for your healthcare services, patient and other customer support services, and operations, including any differences among the groups?

[NOTE P.1b(2): Read and delete – Customers include the direct users and potential users of your healthcare services (patients), as well as referring healthcare providers and those who pay for your services, such as patients’ families, insurers, and other third-party payors. Your organization may use another term for patient, such as client, resident, consumer, or member.

Patient and other customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be customer segments based on differences, commonalities, or both. You might subdivide your market into market segments based on healthcare service lines or features, service delivery modes, payors, volume, geography, or other defining factors.

Patient, other customer, stakeholder, and operational requirements and expectations will drive your organization’s sensitivity to the risk of healthcare service, service, support, and supply-network interruptions, including those due to natural disasters and other emergencies.]

<Insert your response here>

**P.1b(3) Suppliers, Partners and Collaborators** What are your key types of suppliers, partners, and collaborators? What role do they play in producing and delivering your key healthcare services and patient and other customer support services, and in enhancing your competitiveness? What role do they play in contributing and implementing innovations in your organization? What are your key supply-network requirements?

[NOTE P.1b(3): Read and delete - Your supply network consists of the entities contribute to producing your healthcare services and delivering them to your patients and other customers. For some organizations, these entities form a chain, in which one entity directly supplies another. Increasingly, however, these entities are interlinked and exist in interdependent rather than linear relationships. The Healthcare Criteria use the term supply network, rather than supply chain, to emphasize the interdependencies among organizations and their suppliers.]

<Insert your response here>

**P.2 Organizational Situation**

**P.2a Competitive Environment**

**P.2a(1) Competitive Position** What are your relative size and growth in the healthcare industry or the markets you serve? How many and what types of competitors do you have?

<Insert your response here>

**P.2a(2) Competitiveness Changes** What key changes, if any, are affecting your competitive situation, including changes that create opportunities for innovation and collaboration, as appropriate?

<Insert your response here>

**P.2a(3) Comparative Data** What key sources of comparative and competitive data are available from within the healthcare industry? What key sources of comparative data are available from outside the healthcare industry? What limitations, if any, affect your ability to obtain or use these data?

<Insert your response here>

**P.2b Strategic Context** What are your key strategic challenges and advantages?

[NOTE P.2b: Read and delete - Strategic challenges and advantages might be in the areas of business, operations, societal contributions, and workforce. They might relate to healthcare services or service features, quality and outcomes, finances, organizational structure and culture, emerging technology, digital integration, data and information security and cybersecurity, emerging competitors, changing stakeholder requirements, workforce capability or capacity, brand recognition and reputation, your supply network, and the healthcare industry*.*]

<Insert your response here>

**P.2c Performance Improvement System** What is your performance improvement system, including your processes for evaluation and improvement of key organizational projects and processes?

[NOTE P.2c: Read and delete - The Baldrige Scoring System (pages 29–34) uses performance improvement through learning and integration as a factor in assessing the maturity of organizational approaches and their deployment. This question is intended to set an overall context for your approach to performance improvement. The approach you use should be related to your organization’s needs. Approaches that are compatible with the overarching systems approach provided by the Baldrige framework might include implementing a Lean Enterprise System, applying Six Sigma methodology, using PDCA methodology, using standards from ISO (e.g., the 9000 or 14000 series, or sector-specific standards), using decision or implementation science, or employing other improvement tools.]

<Insert your response here>

**SUMMARY OF TERMS, ACRONYMS and ABBREVIATIONS**

A

<Insert terms here>

B

<Insert terms here>

C

<Insert terms here>

D

<Insert terms here>

E

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