2014 AASHTO Standing Committee on Performance Management
Performance Excellence Awards
Application and Instructions

<u>History of Award</u>
In 1996, AASHTO's Standing Committee on Quality (SCoQ) established a program to recognize teams of transportation employees who demonstrated performance excellence and contributed to their agencies through successful teamwork. In 2009, the Standing Committee was renamed to the AASHTO Standing Committee on Performance Management (SCoPM). A Subcommittee on Organizational Management (SoOM) was formed, as well as an Awards Task Force. The Committees are dedicated to maximizing performance of transportation systems and state DOTs.

The Awards Task Force recognizes three levels of achievement: National Performance Excellence Award (one team is selected for the highest level of performance), Gold, Silver and Bronze awards. The awards are designed to recognize teams meeting the highest standards of quality, service and performance. The Awards Task Force will publicize winning team applications as a best practice. ***Note: the award submission timeline is July 1, 2014. Award recipients will be notified in October 2014.***

<u>Who is eligible?</u>
Any individual or team of transportation employees working together that have achieved specific outcomes is eligible, such as exceptional performance and contributions that have high impact results in customer service, job performance, or safety improvements. The team could be an ad hoc team put together to solve a particular problem, or it could be a normal work unit, such as those in a District, Division or Branch. The team must have been active and/or achieved results during the award cycle: ***<u>August 1, 2013 to July 1, 2014</u>***. There is a limit of five (5) applications that may be submitted by member states.

When to apply?
All applications must be received by **<u>July 1, 2014</u> -** please allow appropriate time for delivery. Submissions received after 12:00 AM Midnight Eastern time will not be accepted.

Where should the application be sent?
We encourage Applications to be submitted via e-mail mhardy@aashto.org . Each application must be submitted as a <u>single file</u> in Word (.doc), Rich Text Format (.rtf), or PDF format, using **"State nameTeam name"** as the file name. If you are not able to email your application, contact Rosemary TenEyck rteneyck@aashto.org or 202-624-5801 for instructions.

How to apply?
Applicants must use the official application form. The Application **must not exceed five pages: up to four pages of narrative** with **one page of graphical results.** Narrative page type size may be <u>no smaller than 12 point font size and Times New Roman font.</u> The results page must contain *<u>data displays</u>* with minimal narrative. Data displays include graphic information (graphs, charts, trend analysis, results oriented data/information, etc.). Data labels and other text in graphical displays are not limited to 12-point font but <u>must</u> be legible. All pages must be 8 ½ X 11 in size with 1-inch margins all around. No photos, videos, DVDs, or other media will be accepted.

What are the selection criteria?
Recognition criteria are based on a simplified version of the Performance Excellence (Baldrige) Criteria. Qualified evaluation teams, comprised of transportation personnel from member states, score the applications based on a point system.

The Performance Excellence Award criteria are based on identifying key customers requirements, key processes to deliver products and services, and performance results. If your application does not contain performance measures or the team did not achieve any positive results, the application will not score well. Performance results are the key driver for recognition.

All decisions of the Awards Task Force are final.

Will feedback be received?
Yes. Feedback reports will be sent for applications that do not receive an award.

How often and when is recognition given?
This is an annual award. The SCOPM Chair will recognize the National Performance Excellence winner at the annual AASHTO meeting, typically held in the fall. The Awards Task Force will send award certificates for Gold, Silver and Bronze winners.

What will cause an application to be disqualified?
Reasons applications **will not be accepted/scored** include, but are not limited to, the following:
- Received after the deadline
- Narrative exceeding four pages (including cover page)
- Total number of pages exceeding five (narrative pages and data display page)
- Font other than Times New Roman 12 point with 1 inch margins
- No performance results reported for the current award cycle
- The application not submitted in Word or PDF.

Who can we contact for questions?
AASHTO
Matt Hardy
mhardy@aashto.org
202-624-3625 or
Rosemary TenEyck
rteneyck@aashto.org

The application template follows. Cut and paste the template into a new file.

The blue text in the template provides additional guidance in completing the application. Replace the blue text with your narrative.

2014 SCOPM Performance Excellence Award Application Cover Sheet

State Name	
Application Name	**This name will appear on certificate if selected for recognition**
Date Team Operating from	**start date to end date**
Notification Contact Name	**Provide contact name**
Notification Telephone Number	**Provide contact phone number**
Notification Mailing Address	**Provide contact mailing address**
Notification Email Address:	**Provide contact email address**

The following information is an overview of the project and, if selected for recognition, will be used for publicity. This part of the application is note scored; however, the narrative is used as background information for the application. By submitting this application, the organization agrees to publication of award winning applications.

Purpose:
Briefly explain the purpose of the team or individual Performance Excellence Application. Explain how you planned to turn customer requirement(s) into a solution. This area of the application will not be scored but is very important. It should set the foundation for all narrative provided in the application.

Check Point (CP): Look at the results you provided in Category 3. Results should provide proof that the team did what it was intending to do as stated in the team purpose.

Impact of Application Improvement(s):
This area will not be scored. The narrative in this area will be used for publication of the team's efforts. Provide a summary of achievements by the efforts of the team. Also, include the impact of these achievements on your organization's goals/objectives. This section must be worded as a summary and overview of the actual impact of the team's activities.

CP1 – Ensure the narrative for this area does not extend onto page 2 of the application.
CP2 – Is there a summary of what was achieved by the team?
CP3 – Is there a statement on how the team impacted the organization's goals/objectives?

Category 1 - Customer Focus
This Category focuses on how the individual or team gained information about and from customers. A common phrase used is to listen to the voice of the customer. Customers have requirements and expectations. It is important for the team to know and understand these requirements and expectations because customer needs should drive the activities of the team.
1.1. List the key customers of the team
List the key customer(s) of the team – Provide a short list of the team's key customer(s). Customers can be internal and/or external. Customers identified in this Item area should relate to the purpose statement of the team that is provided on the application cover page. List each key customer using an outline format. For example, if the team had two key customers they would be listed as follows:
1.1.a. Director of Planning
1.1.b. Legislator

1.2. Explain the systematic approach that was taken to determine key customers and define how each customer is related to the purpose as described above.
Once you have your list in Item 1.1, continue to use the outline format and explain why each customer was determined to be key. First line users of a product or service are usually good candidates as key customers. Be careful in using taxpayers, the public, local businesses, etc., as key customers. The higher levels of customers are important, but usually not key.
Example:

1.2.a. Project Planning software was used to identify key customers. The Director of the Metropolitan Planning Organization was determined to be a key customer because he is responsible for the 12-year plan. The local legislator was determined to be a key customer because she is responsible for funding.

CP1 – Does 1.2.a. match 1.1.a, 1.2.b. match 1.1.b, etc?
CP2 – Does the narrative in this area explain **why not how?**
CP3 – Are there the same number of sub-points in 1.2 as there are in 1.1?

1.3. Explain **how** you systematically listened to and collected information from the key customers and list specific customer expectations.
Continue using the outline format from 1.1. above for this area. For each customer, explain how the team listened to the customer and collected information. Explain the method used to listen to the customer and gain information of what was important to them. Also list the expectations and/or requirements you gained from the customer.
Example:

1.3.a. We conducted in-depth interviews with the Director of Planning the local legislator and also surveyed 20 other MPOs. Results were documented and analyzed. The Director of Planning expectations include a 5% reduction in SD bridges and the local legislator requires that three smart transportation goals be utilized in the planning phase of the project.

CP1 – Does 1.3.a. match 1.1.a, 1.3.b. match 1.1.b, etc?
CP2 – Are there the same number of sub-points in 1.3 as there are in 1.1?
CP3 – Does the narrative explain **how** the team listened and collected information?

1.4. Clearly explain **how** information is systematically collected from the customers and list some specific requirements.
Explain what was done with information gained from Item 1.3 above. Once customer information was collected, explain how this information evolved into customer concerns. Explain how this information was integrated into the development of the team's purpose and how the team managed to cater to what customers expected. Continue using the outline format. Example follows:

1.4.a. A survey was developed to identify key issues in bridge rehabilitation, reduction of SD Bridges and Smart Transportation efforts. Survey results were analyzed and reviewed with the Director of Planning and the local legislator. Best Management Practices from other MPOs were used to develop Smart Transportation goals to reduce costs and meet the needs of the community. Success was based on MPO, legislative and community acceptance of the project plan.

CP1 – Does 1.4.a. match 1.1.a, 1.4.b. match 1.1.b, etc?
CP2 – Does the narrative build from 1.3?
CP3 – Does the narrative clearly explain the process of **how** information from customers became requirements for the project?

1.5. Explain **how** the team determined both customer satisfaction and dissatisfaction and provide examples of how information was gathered (survey, focus group, interviews, etc. Show clear linkage to customer expectations and requirement.

Still continuing to use the outline format, explain how satisfaction and dissatisfaction were measured. Examples include surveys, focus groups, personal interviews, etc. In your explanation, provide a list of the steps taken from collecting information to determining satisfaction and dissatisfaction indicators.

There should be no data in this Item. Explain **how** you got the data you report for Item 3.1, customer satisfaction and dissatisfaction. Example:

1.5.a. During the planning phase of the project, a survey was conducted to ensure that the Director of Planning, the local legislator, and the community were satisfied with the project goals that had been established. The survey questions related to expectations and perception of a comparison of the new plan to all previous known plans. Each question earned points on a scale from one to four. Four points equated to extremely satisfied. There were 10 questions and we expected to achieve a satisfaction level of at least 85%. All questions scoring a two or one were considered dissatisfied and interviews and town meetings were held to investigate dissatisfaction levels. An interview was conducted to identify the root cause of dissatisfaction and to correct the conditions causing the dissatisfaction. Once corrections were made, another survey was conducted with a satisfaction level of at least 95%.

CP1 - Does 1.5.a. match 1.1.a, 1.5.b. match 1.1.b, etc?

CP2 – Does the narrative explain **both** satisfaction and dissatisfaction?

Category 2 - Process Management

This Category focuses on how the team created customer value in a product or service related to the team's purpose. Your response should explain how better management of the processes yielded a higher value to the customer(s) identified in Item 1.1. There should also be some linkage between the processes identified and Item 1.4 as it relates to customer requirements.

2.1. List specific process(es) applicable to the team purpose. Explain how they are aligned with the team objectives and provide at least one quantitative performance expectation.

Using an outline format, list the key process(es) that the team was seeking to improve. Performance expectations should be listed for each process. Examples of performance expectations include ratings, measurement limits, standards, on-time, within-budget, completeness, accuracy, etc… Example:

2.1.a. A key process for this initiative was the planning software tool. The software provided timelines and project targets to meet the projected reduction in SD bridges. The software tracked the % decrease in SD to meet the 5% reduction goal, as well as attainment of the three smart transportation goals.

CP1 – Do the processes relate to what you found in 1.4, and what is presented in the purpose of the team on the cover page?

CP2 – Did you list at least one performance expectation for each process you list?

2.2. Describe the specific process steps taken to achieve the purpose of the team. Explain how the team actively used customer data in developing process improvements.

Continue using the outline format from 2.1 above. For each sub-point in 2.1, explain what the team did to achieve a solution that met or exceeded performance expectations. Explain how processes were controlled to ensure customer expectations could be achieved. Example:

2.2.a. The team used the planning software to develop flow charts of the current plan to easily explain project goals to key customers and the community. Planning timelines and goals were listed on storyboards and shared at public meetings attended by all key customers. Survey results were shared at the meetings and consensus was attained through nominal group technique.

CP1 – Does the narrative explain how you took what you learned from 1.4 and applied it to improve the process(es) in 2.1?
CP2 – Does the narrative reflect use of a process similar to the Plan, Do, Check, Act cycle?

2.3. Explain how the steps taken to achieve the purpose of the team and provide quantitative data for any or all of the following: efficiency, effectiveness, quality, customer satisfaction.
Continue using the outline format from 2.1. Efficiency relates to accomplishing the most with the least amount of resources. Effectiveness relates to accomplishing what was intended. Quality relates to meeting customer requirements. Explain how cost was impacted by team activities. Time reductions can also be used when converted to a cost. Explain how quality was affected by the team's activities. For example, if the purpose of the team is to develop a better way to patch potholes, you should not report congestion as a quality result. There are too many other factors that could affect the outcome of congestion. A better quality indicator would be durability of the patch. Example:

2.3.a. The planning process typically took two years, but implementation of the planning software reduces the planning process by 50%. The planning software helped identify ten smart transportation opportunities that were shared with key stakeholders and the community throughout the project. The key stakeholders provided input into smart transportation goals that would be most effective and were able to meet the target of incorporating three smart transportation initiatives into the project.

2.4. Explain how the team gathered several sets of data, analyzed them, and list specific tools used to make decisions.
Continue using the outline format from 2.1. Explain how the team gathered data, analyzed it, and list the tool(s) used to make decisions about the data and information. This area has two parts.

2.4.a. Explain how you gathered the data and how you analyzed it.
Example:

2.4.a. Data was collected through surveys. Survey results were used throughout the planning process to ensure customer satisfaction. Results were shared with key stakeholders and creative problem solving tools were used to come to consensus. The planning software was used to provide stakeholders with process maps of various options that include cost, smart transportation opportunities, and reduction of SD bridges.

CP – Is there linkage to 2.2?

2.4.b. Identify the tools you used from this list: Pareto Chart, Flowchart, Cause and Effect Analysis, Check Sheet, Control Chart, Histogram, and Scatter Diagram

Example:
2.4.b. The team used process maps to show cause and affect analysis for project. Root cause analysis was developed to ensure that expectations were met.

CP1 – Is there linkage to 2.2?
CP2 – Is there linkage to 2.4a?

Category 3 – Results (this section is worth 450 of 1000 point total)Provide one page of graphical results

The Results Category **must include graphical displays and narrative** of project measures based on performance expectations, customer expectations, efficiency, effectiveness, and customer satisfaction/dissatisfaction.

3.1. Provide **graphical** data for current levels and trends for customer satisfaction **and** dissatisfaction. Results should include 3 data points. Provide benchmarks or relevant comparisons (providing benchmarks or relevant comparisons results in a higher score).
This data should come from asking your customers if they are satisfied or dissatisfied, e.g. surveys, interviews, etc. You will need at least three data points of the same measurement to create a trend. Be sure that your display shows the data points, the trend line, and an expectation or acceptable quality level indication.

CP1 – This should be the data in display format that you talked about in 1.5
CP2 – Is there satisfaction **and** dissatisfaction data for each customer identified in 1.1?
CP3 – Is there an appropriate benchmark or comparative data?

3.2. Provide **graphical** data for processes identified in 2.1. Show performance levels that support the stated purpose of the team. Provide trend results and 3 data points (providing benchmarks or relevant comparisons results in a higher score).
You will need at least three data points of the same measurement to create a trend. Be sure that your display shows the data points, the trend line, and an expectation or acceptable quality level indication.

CP1 – Is there data for each process identified in 2.1?
CP2 – Does the data show current levels and trends for each process in 2.1?
CP3 – Is there an appropriate benchmark or comparative data?

3.3. Provide **graphical** data for efficiency, effectiveness and/or quality of key measures. Provide trend results and benchmarks or internal comparisons (providing benchmarks or relevant comparisons results in a higher score).
You will need at least three data points of the same measurement to create a trend. Be sure that your display shows the data points, the trend line, and an expectation or acceptable quality level indication.

CP1 – Is there data to support each item listed in 2.3?
CP2 – Is there an appropriate benchmark or comparative data?