

### **Accountability Report Transmittal Form**

Agency Name \_\_\_\_\_

Date of Submission \_\_\_\_\_

Agency Director \_\_\_\_\_

Agency Director's e-mail \_\_\_\_\_

Agency Contact Person \_\_\_\_\_

Agency Contact Person's E-mail \_\_\_\_\_

Agency Contact's Telephone Number \_\_\_\_\_

## STATE AGENCY

### CONTENTS AND FORMAT OF ACCOUNTABILITY REPORTS (FY 2012 - 2013 Guidelines)

The Accountability Report should be based on the Malcolm Baldrige performance excellence criteria and contain the following:

- Transmittal Form (use transmittal form enclosed).
- Section I - Executive Summary (*up to 3 pages*) to consist of the following elements:
  1. Organization's stated purpose, mission, vision, and values;
  2. Major achievements from past year;
  3. Key strategic goals for the present and future years (this supports the organization's budget request);
  4. Your key strategic challenges (i.e. mission, operational, human resource, financial, and community-related strategic challenges);
  5. How the accountability report is used to improve organizational performance (describe the process and improvements achieved through the accountability report preparation and self-assessment process).
- Section II – Organizational Profile (*up to 4 pages – page limit does not include Expenditure/Appropriations Chart and Major Program Areas Chart*); a fact-based description of the organization. List the following elements (bullet style):
  1. Your organization's main products and services and the primary methods by which these are delivered;
  2. Your key customers groups and their key requirements/expectations;
  3. Your key stakeholder groups (other than customers);
  4. Your key suppliers and partners;
  5. Your operating locations;
  6. The number of employees you have, segmented by employee category (i.e. classified, unclassified, contract, etc.);

**Note:** Contract employees supervised by a contractor should be addressed in Category 6.

7. The regulatory environment under which your organization operates (i.e. occupational health and safety regulations, certifications, financial, and service requirements);
8. Your performance improvement system(s);
9. Your organizational structure;
10. Your **Expenditures/Appropriations Chart** (use chart form available at [www.budget.sc.gov](http://www.budget.sc.gov));

11. Your **Major Program Areas Chart** (use chart form available at [www.budget.sc.gov](http://www.budget.sc.gov)).

**Note:** When completing the **Major Program Areas Chart**, please list the programs that comprise at least 80% of the total budget. The remainder of programs should be “listed ONLY” in the box below the chart, and those program expenditures should be detailed in the chart’s section entitled “Remainder of Expenditures.” The **Key Cross References** for financial results column should link major programs to charts/graphs in Category 7 Results (ex. Chart 7.3-1 or Graph 7.3-2).

- Section III – Elements of Malcolm Baldrige Criteria as follows:

*Provide up to 3 pages discussing the following category:*

Category 1 – Senior Leadership, Governance, and Social Responsibility.

*Provide up to 15 pages total discussing the following five categories:  
(Page limit does not include Strategic Planning Chart).*

Category 2 – Strategic Planning. (Include **Strategic Planning Chart** – use chart form available at [www.budget.sc.gov](http://www.budget.sc.gov)).

Note: The **Key Action Plan/Initiative(s)** column in the **Strategic Planning Chart** should include your initiatives, plans, and timelines to accomplish the goals/objectives for FY 12 -13 and beyond listed in the second column. The **Key Cross References** column should link listed programs to charts/graphs in Category 7 – Results (ex. Chart 7.4-1 or Graph 7.2-2).

Category 3 – Customer Focus

Category 4 – Measurement, Analysis, and Knowledge Management

Category 5 – Workforce Focus

Category 6 – Process Management

*Provide up to 25 pages presenting the final category:*

Category 7 – (Key Result Areas may include: Product and Service Results; Customer Service Results; Financial, and Market Results; Workforce-Focused Results; Process Effectiveness Results, and Leadership and Community Support-Results).

**Note:** Results Information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. Chart 7.1-1, Graph 7.1-2, Table 7.1-3). The first digit identifies the Category in which the questions are asked. The second digit identifies the specific question number. The third

digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

The total length of the report is a maximum of 50 pages (page limit does not include the following charts: Expenditure/Appropriations Chart, Major Program Areas Chart, and Strategic Planning Chart.)

### **Elements of Malcolm Baldrige Criteria**

Please specifically address the question as stated, even if you have to report that you have made no progress in a certain area. If the organization is still in the beginning stages of developing processes in any particular category, please note what the organization's plans are to make progress.

### **Category 1 – Senior Leadership, Governance, and Social Responsibility**

The Leadership Category examines how your organization's senior leaders guide and sustain your organization. It also examines your organization's governance and how your organization addresses its ethical, legal, and community responsibilities.

**Note:** The term "senior leadership" refers to an organization's senior management group or team. It consists of the head of the organization and his or her direct reports.

1. How do senior leaders set, deploy, and ensure two-way communication throughout the organization and with customers and stakeholders, as appropriate for: a) short and long term organizational direction and organizational priorities, b) performance expectations, c) organizational values, and d) ethical behavior.
2. How do senior leaders establish and promote a focus on customers and other stakeholders?
3. How does the organization address the current and potential impact on the public of its programs, services, facilities and operations, including associated risks?
4. How do senior leaders maintain fiscal, legal, and regulatory accountability?
5. What performance measures do senior leaders regularly review to inform them on needed actions? (Actual results are to be reported in Category 7.)
6. How do senior leaders use organizational performance review findings and employee feedback to improve their own leadership effectiveness, the effectiveness of management throughout the organization including the head of the organization, and the governance board/policy making body? How do their personal actions reflect a commitment to organizational values?
7. How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?
8. How do senior leaders create an environment for performance improvement and the accomplishment of strategic objectives?

9. How do senior leaders create an environment for organizational and workforce learning?
10. How do senior leaders engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?
11. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, the workforce, and the organization contribute to improving these communities.

**Note:** In describing your organization's support of the communities in which it operates, include the contributions of your senior leaders and the workforce. Areas of community support appropriate for inclusion might include your efforts to strengthen local community services, community education, the environment, and participation in supporting the practices of professional associations.

## **Category 2 – Strategic Planning**

The Strategic Planning Category examines how your organization develops strategic objectives and action plans. It also examines how your strategic objectives and action plans are deployed, changed if circumstances require, and how progress is measured.

1. What is your Strategic Planning process, including key participants, and how does it address:
  - a. your organizations' strengths, weaknesses, opportunities and threats;
  - b. financial, regulatory, societal and other potential risks;
  - c. shifts in technology and customer preferences;
  - d. workforce capabilities and needs;
  - e. organizational continuity in emergencies;
  - f. your ability to execute the strategic plan.
2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary? (Section I, Question 4.)

**Note:** Strategic Planning process refers to your organization's approach (formal or informal) to a future-oriented basis for business decision, resource allocations and management, to include how relevant data and information are gathered and analyzed. This process may use various types of forecasts, projections, options, scenarios or other approaches to address the future.

3. How do you develop and track action plans that address your key strategic objectives, and how do you allocate resources to ensure the accomplishment of your action plans?
4. How do you communicate and deploy your strategic objectives, action plans and related performance measures?
5. How do you measure progress on your action plans?
6. How do you evaluate and improve your strategic planning process?

7. If the agency's strategic plan is available to the public through the agency's internet homepage, please provide a website address for that plan.

**Note:** List your key strategic objectives (goals) and your key action plans/initiatives and timelines in the Strategic Planning Chart.

### **Category 3 – Customer Focus**

The Customer Focus Category examines how your organization identifies its customers, their requirements and the continued relevance of these requirements. It also examines how your organization builds relationships with customers and determines the key factors that lead to their satisfaction.

**Note:** This category addresses external customers only – differing requirements may exist for your various internal customer groups.

1. How do you determine who your customers are and what their key requirements are?
2. How do you keep your listening and learning methods current with changing customer/business needs and expectations?
3. What are your key customer access mechanisms, and how do these access mechanisms enable customers to seek information, conduct business, and make complaints?
4. How do you measure customer/stakeholder satisfaction and dissatisfaction, and use this information to improve?
5. How do you use information and feedback from customers/stakeholders to keep services and programs relevant and provide for continuous improvement?
6. How do you build positive relationships with customers and stakeholders to meet and exceed their expectations? Indicate any key distinctions between different customer and stakeholder groups.

### **Category 4 – Measurement, Analysis, and Knowledge Management**

The Measurement, Analysis, and Knowledge Management Category describes your organization's performance measurement system and how your organization selects, aggregates, analyzes, and reviews performance data and information, and how it manages its information technology. It examines how your organization reviews and uses reviews to improve its performance. It also describes how the organization manages, transfers, and maintains the accumulated knowledge possessed by its workforce in the form of information, ideas, learning and understanding, memory, insights, work skills, and capabilities.

**Note:** The terms "information" and "analysis" refer to the key measurements used by your organization to analyze performance. Because of the key nature of the data and information, they should be linked to the organization's operations, systems and

processes described in your Organizational Profile and Category 6 – Process Management.

**Note:** The term “knowledge assets” refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its employees in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities.

1. How do you decide which operations, processes and systems to measure for tracking financial and operational performance, including progress relative to strategic objectives and action plans?
2. How do you select, collect, align, and integrate data/information for analysis to provide effective support for decision making and innovation throughout your organization?

**Note:** Analysis includes trends, projections, comparisons, and cause-effect correlation intended to support performance reviews and the setting of priorities for resource use. Analysis draws upon many types of data including customer related requirements, operational, competitive, and others. (Results are reported in Category 7.)

3. What are your key measures, how do you review them, and how do you keep them current with organizational service needs and directions?

**Note:** List measures only. Include key performance results in Category 7.

4. How do you select and use key comparative data and information to support operational and strategic decision making and innovation?
5. How do you ensure data integrity, reliability, timeliness, accuracy, security and availability for decision making?
6. How do you translate organizational performance review findings into priorities for continuous improvement?
7. How do you collect, transfer, and maintain organizational and workforce knowledge (knowledge assets)? How do you identify, share and implement best practices, as appropriate?

### **Category 5 – Workforce Focus**

The Workforce Focus Category describes how your organization engages, manages and develops your workforce to utilize their full potential in alignment with your organization’s mission, objectives, strategies, and action plans. It also examines your ability to assess workforce capability and capacity needs to build a workforce environment conducive to high performance.

**Note:** The term “workforce” refers to all people actively involved in accomplishing the work of your organization, including paid employees (e.g. permanent, part-time,

temporary, telecommuting employees, as well as contract employees supervised by the organization) and volunteers, as appropriate. Contract employees supervised by a contractor performing support processes should be addressed in Category 6 – Process Management.

**Note:** The term “workforce capability” refers to your organization’s ability to accomplish its work processes through the knowledge, skills, abilities, and competencies of its people. Capability may include the ability to build and sustain relationships with your customers; to innovate and transition to new technologies; to develop new products, services, and work processes; and to meet changing organizational, market, and regulatory demands.

**Note:** The term “workforce capacity” refers to your organization’s ability to ensure sufficient staffing levels to accomplish its work processes and successfully deliver your products and services to your customers, including the ability to meet seasonal or varying demand levels.

1. How does management organize and measure work to enable your workforce to: 1) develop to their full potential, aligned with the organization’s objectives, strategies, and action plans; and 2) promote cooperation, initiative, empowerment, teamwork, innovation, and your organizational culture? -
2. How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations? Give examples.
3. How does management recruit, hire, place, and retain new employees? Describe any barriers that you may encounter.
4. How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?
5. How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work and contribute to the achievement of your action plans?
6. How does your development and learning system for leaders address the following:
  - a. development of personal leadership attributes;
  - b. development of organizational knowledge;
  - c. ethical practices;
  - d. your core competencies, strategic challenges, and accomplishment of action plans?
7. How do you identify and address key developmental training needs for your workforce, including job skills training, performance excellence training, diversity training, management/leadership development, new employee orientation, and safety training?
8. How do you encourage on-the-job use of new knowledge and skills?
9. How does employee training contribute to the achievement of your action plans?



10. How do you evaluate the effectiveness of your workforce and leader training and development systems?
11. How do you motivate your workforce to develop and utilize their full potential?
12. What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation? How do you use other measures such as employee retention and grievances?
13. How do you manage effective career progression and effective succession planning for your entire workforce throughout the organization?
14. How do you maintain a safe, secure, and healthy work environment? (Include your workplace preparedness for emergencies and disasters.)

### **Category 6 – Process Management**

The Process Management Category examines how your organization determines its core competencies and work systems, and how it designs, manages, and improves its key processes for implementing those work systems to deliver customer value and achieve organizational success and sustainability.

**Note:** The term “core competencies” refers to your organization’s areas of greatest expertise. Your organization’s core competencies are those strategically important capabilities that provide an advantage in your market and service environment.

**Note:** Your key work processes are the processes that involve the majority of your organization’s workforce and produce customer and stakeholder value. Your key work processes are those that are most important to maximizing organizational success.

**Note:** Product and service design, production and delivery differ greatly among organizations, depending on many factors. These factors include the nature of your products and services, technology requirements, customer and supplier relationships and involvement, and product and service customization. Please address only the most critical requirements for your organization.

1. How do you determine and what are your organization’s core competencies, and how do they relate to your mission, competitive environment, and action plans?
2. How do you determine and what are your key work processes that produce, create or add value for your customers and your organization and how do they relate to your core competencies? How do you ensure these processes are used?
3. How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?–
4. How does your day-to-day operation of these processes ensure meeting key performance requirements?

5. How do you systematically evaluate and improve your key product and service related work processes?
6. What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

**Note:** Support processes are those that support your organization's products/services. For many organizations, this might include information and knowledge management, finance and accounting, facilities management, research and development, administration, inter-governmental relations, legislative and public affairs and marketing. Please address those key support processes most important to your organization and how you operate.

7. How does your organization determine the resources needed to meet current and projected budget and financial obligations?

### **Category 7 – Results**

The Results Category examines your organization's performance and improvement in all key areas: product and service results, customer focused results, financial and market results, workforce-focused results, process effectiveness and leadership and social responsibility results. Performance levels are examined relative to those of competitors and other organizations providing similar programs and services. Information is typically displayed by the use of performance measures.

Quantitative measures may be supplemented by a discussion of qualitative measures where appropriate; however, every effort should be made to use appropriate quantitative measures that can be charted to show trends and comparisons to benchmarks.

- 7.1 What are your performance levels and trends for your key measures of mission accomplishment/product and service performance that are important to your customers? How do your results compare to those of comparable organizations?
- 7.2 What are your performance levels and trends for your key measures on customer satisfaction and dissatisfaction (a customer is defined as an actual or potential user of your organization's products or services)? How do your results compare to those of comparable organizations?
- 7.3 What are your performance levels for your key measures on financial performance, including measures of cost containment, as appropriate?
- 7.4 What are your performance levels and trends for your key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, workforce climate including workplace health, safety, and security?
- 7.5 What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, and work system performance (these could include measures related to the following: product, service, and work system

innovation rates and improvement results; improvements to cycle time; supplier and partner performance; and results related to emergency drills or exercises)?

7.6 What are your performance levels and trends for the key measures of regulatory/legal compliance and community support?

**Note:** For a government agency, this question would apply to compliance with laws and regulations other than the agency's central legal mandate. Results of the agency's legal mandate or mission should be addressed in question 7.1.

**Note:** Address only top-level results showing aggregate measures of agency-wide performance that are reflective of the value added to customers. Please include comparative data as applicable. These results are typically captured in performance goals and planning documents.

**Note:** Results information (i.e. each chart, graph, table) reported for Category 7 should be referenced to the specific question number (Ex. *Chart 7.1-1, Graph 7.1-2, Table 7.1-3*). The third digit identifies the sequential position of the specific chart, graph or table included in your response to each question.

## **SUBMISSION GUIDELINES**

The FY 2012 - 2013 Accountability Report should be submitted in PDF format whenever possible. If you are unable to submit the report in PDF format, the word processing format you normally use will be satisfactory. If your agency does not use computers, you may submit a typed report, which will be scanned.

In an effort to standardize length, the length is a maximum of 50 pages. The suggested font is Times New Roman, 12 point.

Three (3) printed copies and either an e-mailed version of the report or a CD containing the Accountability Report should be submitted to the State Budget Division at the following address by Monday, September 16, 2013.

Office of State Budget

**Attention: Karen Rhinehart**

Edgar A. Brown Building

1205 Pendleton Street, Suite 529

Columbia, SC 29201

**Note:** The data may be e-mailed to **Krhinehart@budget.sc.gov** and copies sent to the above address.

If you have questions regarding the submission of your Accountability Report, please contact Suzie Rast – [srast@budget.sc.gov](mailto:srast@budget.sc.gov), 803-734-0647.

For additional help or information, please refer to the State Budget Division Website: [www.budget.sc.gov](http://www.budget.sc.gov). The Baldrige Criteria document includes a glossary of terms and other useful information.

**THE DEADLINE FOR SUBMISSION OF ACCOUNTABILITY REPORTS  
(ELECTRONIC & THREE PRINTED COPIES) IS MONDAY,  
SEPTEMBER 16, 2013**

