International Team Excellence Award (ITEA) Criteria

Welcome!

ASQ is pleased that you have chosen to use the International Team Excellence Award Process as part of your quality improvement journey.

Please note: The Criteria is one of multiple documents associated with the ASQ ITEA process. All documents should share the same revision, e.g., Rev. 18.01.

This version is a complete rewrite of the 2013 version (Revision: 13.04).

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Introduction to ASQ's

International Team Excellence Award Criteria

ASQ's International Team Excellence Award is an annual, global benchmark and award program that provides teams an opportunity to assess their performance against an accepted team excellence framework. The ITEA Criteria provide a framework to help teams and organizations measure and compare their team improvement efforts and serves as a tool to assess an organization's level of team process improvement maturity.

The ITEA is the only global recognition focused on team performance, and traces its roots back to 1985 with participation over the years from thousands of teams from more than 30 countries. The ITEA framework works with and can enhance the results of any project-based approach to improvements.

Awards are offered at the Gold, Silver, and Bronze levels. Organizations in more than 20 different industrial classifications have received the Gold award.

The ITEA Purpose

The purpose of the ITEA framework is to help organizations improve the results of their projects regardless of organizational size, industry type, or project type. This help is provided in terms of both guidance and a repeatable benchmark. The opportunity to be recognized at a Gold, Silver, or Bronze level is a participation bonus for organizations who choose to seek that recognition. The ITEA final round, where the awards are presented, allows quality professionals from around the world the opportunity to observe how high-performance teams have used quality techniques to identify problems and create solutions that improve efficiencies and effectiveness for their organizations.

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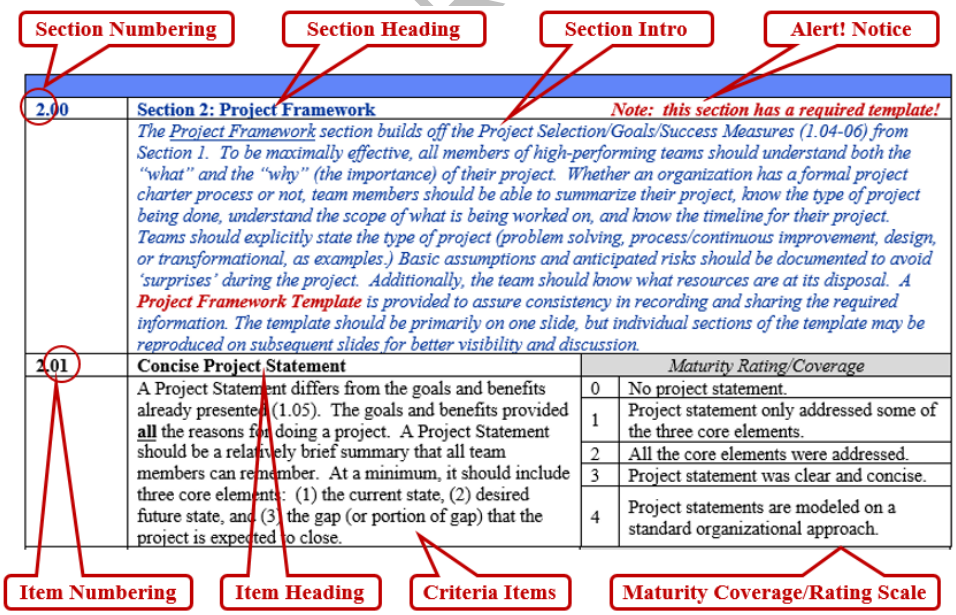
Overview, Rating Definitions, and Use of this Document

Overview

ASQ envisions a global community of quality professionals who use quality concepts, technology, and tools to improve themselves and their world. Within that context, the ITEA Criteria provide a framework that enables teams to efficiently contribute to overall organizational improvement efforts. The criteria are based on a five-section Performance Excellence Framework (Sections 1-5 shown below). Sections 1-3 ensure that teams have a thorough grasp of the issues they are addressing through the project; Sections 4-5 deal with project approach, execution, and results. (Note: Section 6 is not part of the framework. Section 6 deals exclusively with presenting the project in the context of the ITEA competition.)

Section	Performance Excellence Framework
1	Project Background and Purpose
2	Project Framework
3	Project Stakeholders and the Project Team
4	Project Overview
5	Project Walkthrough
6	Project Presentation

Criteria organization is as follows:



- ***Italicized text in the Section Introductions and Criteria Item Notes throughout the criteria is for guidance only.***
- ***A team must address the individual criteria by responding to the item prompts. The responses will be scored based on the Maturity Rating/Coverage scale. (Section 6 uses a different scale, as it is scoring the presentation, not the project.)***

Rating and Scoring Notes

These criteria use the same scale throughout, with an exception noted below for section 6, Project Presentation.

- *Maturity Rating/Coverage Scale:*
  *This is a 0–4 scale. Each item has customized scale definitions to help accurately rate teams against the criterion. Each step on the scale (from 0 to 3) is **additive to the prior step**; once a step is "missed," a higher rating cannot be granted.*

  The rating scale is as follows:
  - *0. Either a required element is missing or, in the case of a compound required element, part of the requirement is missing. More guidance is given in the Rating area where compound requirements exist.*
  - *1. The requirement is partially addressed.*
  - *2. The item requirement is fully addressed.*
  - *3. In addition to the minimum requirements, additional support for the item has been provided. More guidance is given in the rating explanation.*
  - *M For long-term team performance excellence, an organization must have an infrastructure that supports teams. Any evidence of such an infrastructure presented in a team presentation will be captured with this rating. This is used only to identify the level of process improvement maturity at which an organization operates. **It does not impact the overall score.***

  ***Note**: **Organization** as used in this document refers to an autonomous or semi-autonomous structure that either exists on its own or is a sub-unit within a larger institution. It is the largest group that could or should be expected to have a measure of independence regarding strategies, processes, budgets, etc. **Maturity** is indicative of an organization's ability to at least maintain an ongoing team-based improvement process.*
- *Item 5.01 Rating*
  - *Item 5.01 is the "Project Walkthrough," where a team steps through each phase or cycle of their project.*
  - *The same criteria are used independently to rate each cycle, stage, or phase. [For convenience, **stage** will often be used to represent cycle, stage, or phase.]*
  - *Each team, regardless of how their project is organized, will have the same opportunity to earn points for this item. If one team divides their project into six cycles and another into three, then each phase for the six-cycle team will receive half the weight of phases for the three-cycle team.*
  - *The scoresheet will automatically adjust in the background.*
  - *Regardless of numbers of phases or cycles, two different teams with "perfect" scores for 5.01 will earn the same number of points.*
- *Section 6 Scoring*
  - *Section 6, Project Presentation, uses an Addresses/Does Not Address (0/1) scale, except for Item 6.06.*
  - *6.06 uses a 0–3 scale to score the team's usage of Graphics and Illustrations. This broader scale is used since team presentations are visual in nature.*

1.00	**Section 1: Project Background and Purpose**		
	A thorough understanding of the Project Background and Purpose prepares teams to effectively work on assigned projects. Understanding how their organization selects projects helps the team members understand the importance of their project to the organization. Knowledge of the specific need for this project provides the context to ensure that the team progresses in the desired direction. Organizations that promote a performance excellence team culture maintain processes that can consistently prioritize and select high-value projects. Those projects will address identified gaps or needs and have very specific benefits and objectives, as well as well-defined success measures. Many organizations require project Charters; some typical Charter elements will be found in both Sections 1 and 2.		
1.01	**Organizational Approach to Project Planning**	*Maturity Rating/Coverage*	
	Organizations should have a general approach to selecting projects. The team should understand how projects are selected within their organization. *[Simply stating, for example, "we do annual planning" will NOT be awarded **any** points.]*	0	Pre-planning of projects not done.
		1	Project planning is only done as needs occur; no routines in place.
		2	Project work is routinely planned only for some parts of the organization; no central coordination.
		3	Project planning is done at the organizational level.
		M	Organizational project planning extends into a multi-year process.
1.02	**Project Identification Process (General)**	*Maturity Rating/Coverage*	
	The team should understand how the need for projects is identified in their organization. This item focuses on how potential (or candidate) projects are identified. The next item deals with how the "candidates" are prioritized for final selection. *[Note: This can be covered together with 1.01 through 1.03, but the team needs to explain this approach, if used.]*	0	Project identification process is not understood by the team.
		1	Need for projects is generally understood, but there is no process to document how projects are identified.
		2	A documented process is used to identify potential projects.
		3	Project identification process is used across the organization.
		M	The project identification process adjusts to changing organizational strategies/objectives.
1.03	**Project Selection Process (General)**	*Maturity Rating/Coverage*	
	The team should understand how project prioritization/selection is done within their organization. This item is focused on the selection process. The next item is where the team addresses actual drivers/needs for the current project. *[Note: This can be covered together with 1.01 through 1.03, but the team needs to explain this approach, if used.]*	0	Project selection process is not understood by the team.
		1	Need for project prioritization is generally understood, but there is no standard approach or process to govern how projects are selected.
		2	A documented approach is used to prioritize potential projects for selection.
		3	Project prioritization process is used across the organization to select projects.
		M	Project prioritization process adjusts to changing organizational strategies/objectives.

1.04	**Project Selection (Specific)**	*Maturity Rating/Coverage*	
	Once a team understands in general <u>how</u> their organization selects projects, the team should apply that knowledge to the **<u>data</u>** that led to this project being prioritized over other potential projects in the organization, making sure they fully understand the drivers for their project. "Must-do" projects such as those based on regulatory or legal requirements are still data-based, and the team should still understand the drivers and reasons for prioritization.	0	No stated reason for project selection.
		1	Data is available on **<u>why</u>** the project was identified, but not on why it was prioritized over other potential projects.
		2	Data was presented on <u>need</u> as well as on how this need <u>prioritized</u> the project for selection.
		3	Project was compared to other potential or selected projects.
		M	Prioritization drivers included broader organizational strategies/needs.
1.05	**Project Goals and Benefits**	*Maturity Rating/Coverage*	
	Once a need has been identified, gaining support for a project is best done through well-documented project goals and benefits that will go beyond why the gap needs to be addressed and will detail other project benefits.	0	No stated project goals and benefits.
		1	Project goals and benefits only restate gap.
		2	Only project area goals and benefits are addressed.
		3	Project goals and benefits include benefits that the organization can leverage in other ways.
		M	Standard approach evaluates how project goals and benefits align with organization-wide objectives.
1.06	**Success Measures/Criteria Identified**	*Maturity Rating/Coverage*	
	Since an individual project may represent only part of the effort to address a gap, the project team needs to identify their contribution to gap closure. Project-specific goals need to be identified. In addition, other success criteria should be specified, including how to check for likely problems (see 2.07), and, where appropriate to the project, that root causes have been addressed. *[Other success criteria would typically include project timing and intermediate expectations (2.05), budget/resources (2.06), or other deliverables such as process documentation.]*	0	No beginning-of-project goals identified.
		1	Project goals are only gap-specific.
		2	Additional project success criteria (and measures) identified.
		3	Counter metrics identified to check for unintended consequences.
		M	Standards or approaches exist for establishing goals that align with organizational needs.

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2.00	**Section 2: Project Framework**	***Note: This section has a required template!***	
	The Project Framework section builds off the Project Selection/Goals/Success Measures (1.04-06) from Section 1. To be maximally effective, all team members should understand both the "what" and the "why" (the importance) of their project. Whether an organization has a formal project charter process or not, team members should be able to summarize their project, know the type of project being done, understand the scope of what is being worked on, and know the timeline for their project. A team should explicitly state the type of project (problem solving, process/continuous improvement, design, or transformational, as examples). Basic assumptions and anticipated risks should be documented to avoid "surprises" during the project. Additionally, the team should know what resources are at its disposal. A ***Project Framework Template*** *is provided to ensure consistency in recording and sharing the required information. The template should be primarily on one slide, but individual sections of the template may be reproduced on subsequent slides for better visibility and discussion.*		
2.01	**Concise Project Statement**	*Maturity Rating/Coverage*	
	A Project Statement differs from the goals and benefits already presented (1.05). The goals and benefits provided **all** the reasons for doing a project. A Project Statement should be a relatively brief summary that all team members can remember. At a minimum, it should include three core elements: (1) the current state, (2) desired future state, and (3) the gap (or portion of gap) that the project is expected to close. This is to be placed in the Project Statement portion of the Project Framework Template.	0	No project statement.
		1	Project statement only addressed some of the three core elements.
		2	All the core elements were addressed.
		3	Project statement was clear and concise.
		M	Project statements are modeled on a standard organizational approach.
2.02	**Type of Project**	*Maturity Rating/Coverage*	
	Now that there is an understanding of the "who, what, and why" of the project, the team needs to set the stage for communicating project details by explaining ***how*** the project was done. What type of project was this? This may be combined with or part of the Concise Project Statement (2.01) and placed in that portion of the template. *[Examples of project types could include problem solving, process improvement, continuous improvement, design, transformational, etc.]*	0	Type of project not specified.
		1	Type of project specified.
		2	Explanation of the selected project type was given.
		3	Reason for using selected project type was explained.
		M	Organization is aware of and utilizes multiple project types, selecting the one most appropriate to the need.
2.03	**Scope Statement**	*Maturity Rating/Coverage*	
	A Scope Statement defines the boundaries of the project. It can both keep a project from drifting and make sure that everyone understands what is to be worked on. More mature organizations also define what is out-of-scope; this may include "off-limits" areas or work to be done by others (2.04) and should be placed in the Project Scope portion of the template. *[This is a record of a team's actual project. If no Out-of-Scope items were documented at the beginning of a project, they should not be created/reported after-the-fact. Teams are encouraged to report on Scope and other changes toward the end of their presentation under Results (5.04) or during the Project Walkthrough (5.01), if appropriate.]*	0	No scope statement.
		1	Scope statement incomplete.
		2	A broad range of items was considered when determining scope.
		3	Out-of-scope items were specifically named to help keep the project on track.
		M	Organizational standard is to include both in- and out-of-scope items for projects.

2.04	**Assumptions/Expectations**	*Maturity Rating/Coverage*	
	Assumptions are those things that are needed to complete a project, but the expectation is that these are done by someone else (a "provider"). They are neither "in-scope" since the team does not plan to do them, nor are they "out-of-scope" since they need to be done. As with scope statements, the purpose of assumptions is to ensure that everyone understands all expectations. Assumptions typically include such things as timing, resource availability, or products or services that will come from outside the group. Documenting and monitoring assumptions and expectations reduces the chances of something being missed and should be included in the relevant section of the template. *[This is a record of a team's actual project. If no Assumptions were documented at the beginning of a project, they should not be created/reported after the fact. Needs that are determined after the project starts should be identified.]*	0	No assumptions/expectations were documented.
		1	Some assumptions were documented but were not tied to the planned project work.
		2	Based on the planned project work, a comprehensive list of assumptions or expectations was developed.
		3	The responsibility for fulfilling the assumptions or expectations was accepted by the "provider."
		M	Organizational standard is to use learnings from past or similar projects to develop or verify expectations.
2.05	**Project Schedule/High-level Plan**	*Maturity Rating/Coverage*	
	Once a team knows what they are–and are not–supposed to do, it is necessary to also know how much time they have for completing their work and when each of the success measures (1.06) is due (document in the Project Schedule portion of the template). *[Even continuous improvement teams will generally have a target they are trying to achieve by a certain time. Note: Time required for the team to work on the project should be part of the project plan. If an organization considers that as a Budget item (2.06), then it should be covered there.]*	0	No schedule or plan.
		1	Team had a schedule/project plan.
		2	Milestones/success measures were included on the plan.
		3	Team had a process in place to manage change in the project schedule.
		M	Organizational standard is to use learnings from past or similar projects to help define the schedule.
2.06	**Budget (Financial or Resource)**	*Maturity Rating/Coverage*	
	Budget typically refers to how much money a team may spend to complete a project. Some teams may appear to have no budget, as they are not purchasing anything from outside the organization, or they may exist across multiple departments and therefore have no clear budgetary ties. Even these teams generally rely on outside resources; the purpose of this item is to understand the team's resource constraints and document them in the Budget portion of the template. *[Keep in mind that there should be some relationship between the resources consumed and Solution Justification (5.03). Note: If budget dollars are proprietary or confidential, the team may redact or otherwise reflect the budget amount.]*	0	No budget or information on other required resources was considered.
		1	Basic information on monetary or resource requirements was considered.
		2	Budget or resource needs are tied to the project plan.
		3	Established budget and resource needs were tied to project timeline in a way that allowed tracking of resource utilization as the project progressed.
		M	The organization has a standard process to track resource usage across multiple projects.

2.07	Risk Management	*Maturity Rating/Coverage*	
	Any change worth making usually involves taking a risk. Some of those risks–depending on the nature and type of project–can be anticipated from the beginning. For example, change almost always meets with some resistance. Also, a mature project team will think about what can go wrong and put counter metrics in place to check for likely problems (1.06). In addition, new risks often arise during a project, and mature teams will track and react to these risks.	0	Anticipated risks not documented.
		1	Anticipated risks were documented.
		2	Plan(s) in place to monitor both anticipated and developing risks.
		3	Plans in place to prevent or mitigate risks (e.g., contingency plans) or risk management metrics are part of the project's success measures.
		M	Risk management is part of the organization's standard project approach.

3.00	Section 3: Project Stakeholders and the Project Team		
	For some organizations, project background documentation is created by the project team; other organizations create and approve at least a preliminary summary to gain project sponsorship/approval prior to formalizing a project team. Regardless of approach and timing, Section 3 of the criteria is where the team addresses issues related to Project Stakeholders and the Project Team. The ITEA Framework takes an inclusive view of stakeholders, recognizing that larger organizations or those with a mature project management process in place may have many "infrastructure" and management-level stakeholders outside the direct path of the project work. The team does NOT have to include those stakeholders. Team members should understand their broad range of stakeholders and how those stakeholders were identified, even if the team did not do the identification work. They should know who their champion and key influencers are. The team should be made up of representatives of key stakeholder groups, as well as including members with required specialty skills. Finally, to begin–and continue–to work together effectively, the team should undergo some type of preparation and should have established routines in place, even before the project work formally begins.		
3.01	**Stakeholders and How Identified**	*Maturity Rating/Coverage*	
	The team needs to have a wholistic view of the project's stakeholders. Many organizations look only at the process outputs to determine their stakeholders. Others only think of stakeholders totally outside of the organization. More mature organizations will look at all interactions with a process, identify the stakeholders, and then rank those stakeholders in terms of importance. This will lead to appropriate levels of communication and feedback. Some organizations do not consider those involved in the process as stakeholders. This can lead to not realizing that the project/process is being hindered by passive resistance (4.06).	0	Stakeholders/stakeholder groups not identified.
		1	Identified stakeholders do not appear representative of/not tied to all relevant processes.
		2	Internal and external stakeholders/stakeholder groups identified for all apparent relevant activities.
		3	A robust process identified all potential stakeholders and their relative influence on and interest levels in the project.
		M	Organization's stakeholder analysis process includes prioritizing stakeholders based on level of influence and interest as part of developing communication routines.

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3.02	**Project Champion**	*Maturity Rating/Coverage*	
	The project champion is the primary stakeholder who has project oversight. This may be the project sponsor, or someone assigned by the sponsor for that purpose. It is critical that the team knows <u>why</u> the project is important to the champion, the level of information needed to keep the champion supportive ("happy") with progress, and the champion's preferred means of communication. *[The project **sponsor** is typically someone from a higher organizational level who has the authority to provide additional resources to help with any unexpected problems encountered by the project team.]*	0	Project champion not identified.
		1	Project champion identified but needs and concerns not known.
		2	Project champion identified and their vision for the project is known and communicated to the team.
		3	Communication plan created and used to communicate with project champion.
		M	Organization defines champion role regarding project oversight, removing roadblocks, etc.
3.03	**Project Team Selection**	*Maturity Rating/Coverage*	
	Once the stakeholders are identified, team members with needed subject matter knowledge should be selected from among the stakeholders. Expertise should be brought in from outside the stakeholder group when needed. Project team membership should be reviewed periodically. *[In the case of the design of a new product or process, there may not be "in-process" team members. However, at least some of the team members should be people with relevant process skills and knowledge who will become part of the new process.]*	0	Skills required for project success not identified.
		1	Needed skills and team members from stakeholders are identified, but the linkage between the two is not made.
		2	Stakeholder representatives on team linked to required skills.
		3	Plans were put in place at the start of the project to identify and address any skill gaps.
		M	Organization uses a systematic team selection process to optimize team membership.
3.04	**Team Preparation**	*Maturity Rating/Coverage*	
	Psychologist Bruce Tuckman initially identified four team stages: *forming*, *storming*, *norming*, and *performing*. To be fully productive, a team must move through the first three stages. This is the place for the team to briefly relate their journey of getting to the point of being able to "perform." *[For continuous improvement or similar teams with a history of working together, that history may be cited as part of their preparation. Such teams may have to give special consideration to how they on-board any new team members. <u>Note: This item should include **all** types of preparation except for specific tool usage, which will be covered in 4.04.]*</u>	0	No team preparation was done; no explanation was given.
		1	Team members were brought together before or as part of a project kick-off to meet each other.
		2	Some team-building activities were done.
		3	Specific activities and training helped prepare the team for the project.
		M	Organization has a robust process for preparing teams to work together.

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3.05	Team Routines	Maturity Rating/Coverage	
	Part of the Team Preparation process is to prepare the environment in which the team will function. This includes setting up and communicating expectations for team routines. Typically, this will include timing, frequency, and type of meetings; type and frequency of status updates; physical or virtual repository for team knowledge; how stakeholder communication and feedback (3.01) will be handled; etc. The team should understand the routines they used and how those routines benefited the project, including understanding the need to make adjustments during the course of the project. *[If routines were not established ahead of time, the team should explain how they established routines throughout the project.]*	0	Team routines were not discussed.
		1	Team routines were established as needed during the project.
		2	Routines were established, and expectations communicated before the start of the project.
		3	Team used tools (communication, file-share space, etc.) to support and enhance team/meeting routines.
		M	There is an organizational standard for expected team routines and evidence that utilization of routines is monitored/measured.

4.00	**Section 4: Project Overview**	***Note: This section has a required template!***	
	*The Project Overview section serves as a bridge between the background/preparation work and project execution/results. The first two criteria items in this section cover how the project was approached, thus allowing a better understanding of the overall project. In the **Project Overview Template**, the team should explicitly state the type of project (problem solving, process/continuous improvement, design, transformational, etc.) they will be presenting and explain how it was organized or divided (phases, cycles, tollgates, etc.). Often the same tool or tools may be used multiple times throughout the life of a project. The team should indicate the tools that were used to complete the project **(work done after Section 3 and before Item 5.02 Validation)**, why and how they were used, and how they were prepared to use them appropriately.* *Even with a well-thought-out plan, all projects still involve risk. While executing the project, the team might encounter resource risk; unexpected costs could pose financial risk; any number of issues could impact schedule risk. The team ideally prepares for these risks ahead of time, but needs to understand and address these risks (4.05) if and when they arise. In addition, since projects involve change, there will likely be some stakeholder resistance (4.06), which a team should understand and address. On the topic of stakeholders, the team should have involved their stakeholders in moving the project toward successful completion (4.07). Part of the reason for covering these things here is so the team does not have to "stop" and explain the tools and stakeholder involvement as they talk through their project in section 5.*		
4.01	**Project Approach**	*Maturity Rating/Coverage*	
	Different organizations will have slightly different approaches to the same project type (2.02). This is where the required Project Overview Template comes in and the team visually lays out **how** the project was done: explaining, not just stating, what methodology was used, and how it was organized (cycles, phases, stages, etc.). *[For agile or kaizen projects that might have too many cycles to display and talk through, the team may combine cycles to illustrate primary changes and accomplishments. This approach needs to be noted and explained.*	0	No formal project approach or structure.
		1	Structure presented, but required template not used, or methodology not explained.
		2	Structure laid out using template and approach explained.
		3	Structure and methodology explained showing support of and tie-in to project type (2.02).
		M	Organization has a standard and repeatable approach to executing specific project types.

4.02	**Tools Used Throughout Project**	*Maturity Rating/Coverage*	
	Considering that tools may be used multiple times during a project, the team should be able to explain what tools were used, when the tools were used, and for what the tools were used (why a particular tool was selected). To ensure project engagement, it is important that team members not only understand the tools they used, but they should also understand **why** those specific tools were appropriate (may be different reasons) for various stages of the project. Tools might be *appropriate* due to either what needs to be investigated or because a particular type of output might be needed (4.03). *[This is based on the Project Overview template. This can all be on the original template, or it can be overlaid on the template. As with the Project Framework Template (2.00) after the initial presentation, individual tools can be shown on multiple slides for the sake of clarity. Note: No points will be lost if a different tool or tool application is introduced and the usage explained.]*	0	No specific tools were mentioned, or tool list was incomplete.
		1	Tools mentioned, but template not used for context.
		2	Tools tied to project structure/approach.
		3	Tools usage explained in a way that supports usage to specific type/phase/etc. (4.01).
		M	Organization has a standard approach and set of tools that have been chosen because the output supports needs of a particular type/phase/etc.
4.03	**Tool Output at Different Stages of Project**	*Maturity Rating/Coverage*	
	Tool identification (4.02) focused in a general way on **what** tools were used and why they were used. This item focuses on general tool **outputs**. The difference can be subtle (see *Note* below): 4.02 may indicate a tool was selected to identify problem areas; 4.03 is looking for "tool XYZ identified our top three problems." The actual tool output data (list of top-three problems in this example) from the tools is used as part of their Project Flow (5.01). *[The same tool may be used for different purposes for various stages of the project; differences in the expected output should be documented. Note: Item 4.03 can be covered together with 4.02 and/or 4.04, but the team needs to explain this approach.]*	0	No specific **or** only some tool outputs were mentioned.
		1	Outputs mentioned, but template not used for context (not tied to project structure).
		2	Outputs tied to project structure.
		3	Outputs explained in a way that shows appropriateness to specific type/phase/etc. (4.01).
		M	Organization acknowledges that tools may be used in multiple ways and trains associates accordingly.
4.04	**How Team Was Prepared to Use the Tools**	*Maturity Rating/Coverage*	
	Sometimes a team uses tools in ways that are not appropriate because they do not fully understand the tool. Similarly, lack of understanding/preparation may lead to misinterpreted or misapplied results. This is where the team explains how they learned to use the tools. *[Again, this can all be on the original template, or it can be overlaid on the template.]*	0	Team is not prepared for tool usage.
		1	Preparation covered for some tools.
		2	Preparation covered for all tools.
		3	Explanation given concerning who had what tool knowledge and the validity of their training.
		M	Organization has a well-deployed training program that ensures a thorough understanding of tools and their usages.

4.05	**Dealing with Project Risk**	*Maturity Rating/Coverage*	
	All projects involve risk. Some risks are so common (e.g., budget, time, and resource constraints) that the team may have developed some mitigation plans ahead of time. Other risks may be totally unexpected. Even so, while a *particular risk* may be unexpected, *risk* in general should be expected. Mature organizations will develop ways to identify and deal with risk. *[Note: One specific type of resistance that most project teams face is stakeholder resistance. This is covered in the next item (4.06).]*	0	Risk was not noted, or it was noted that no risk was identified.
		1	Risk was identified but was overcome. No additional details mentioned.
		2	Documented plans exist to address risks encountered during the project.
		3	Proactive efforts in place to recognize, assess, and address risk and/or risks that came to fruition were mitigated in accordance with a risk plan and documented as lessons learned.
		M	Organization has standard project routines to monitor potential risks and track mitigation or recovery plans once a project has been impacted by a risk.
4.06	**Encountering and Handling Resistance as a Risk**	*Maturity Rating/Coverage*	
	One specific risk is often caused by the project's existence. Even if an organization starts a totally new process or division, there will be some impact to the rest of the organization, and change almost always leads to the risk of stakeholder resistance. Resistance can be active or passive; hidden or obvious. Mature organizations will develop ways to identify and deal with resistance. Resistance should be identified and addressed as it is uncovered throughout the life of a project. *[See 4.07 note. Team members' "insider" information will cause them to react to proposed changes differently from their peer group. It is important to NOT have team members serve as proxy for their groups in terms of determining potential or actual resistance.]*	0	Resistance was not noted, or it was noted that no resistance identified.
		1	Resistance was identified and stated it was overcome.
		2	Identified resistance was handled in a way that earned active stakeholder support.
		3	Some proactive efforts were used to uncover and deal with resistance.
		M	Organization has a standard methodology for handling resistance in every project they run.
4.07	**Stakeholder Involvement in Project**	*Maturity Rating/Coverage*	
	In addition to the team members, stakeholders should be involved throughout the life of a project. The involvement will differ depending on the type of project, but could include determining root causes, verifying requirements, helping with a pilot, providing feedback, etc. This is where the team shows the nature and extent of the involvement of **their** stakeholders on **their** project. *[Once a stakeholder becomes a member of a team (3.03), they no longer can fully represent the stakeholders. Simply saying "the team" did something does NOT imply stakeholder involvement.]*	0	No stakeholder involvement other than team members.
		1	Some non-team member stakeholder involvement in some project areas.
		2	Non-team stakeholders involved throughout the life of the project.
		3	The impact and importance of the non-team stakeholder involvement, including how feedback from the stakeholders impacted the project, is highlighted.
		M	Organization encourages and/or requires stakeholder oversight/review/involvement throughout the course of the project.

5.00	**Section 5: Project Walkthrough**		
	The Project Walkthrough is the core of the project where the team weaves together the output of the tools (item 4.03) to demonstrate how they moved from decision to decision to complete their project. In support of this, the team should have first validated and then justified their proposed solution(s) prior to implementation … these are two very different items (see 5.02 and 5.03). Logically, this leads to the project results. With the project completed, the team should have left some sort of structure in place to ensure the gains were sustained. To foster ongoing support for projects, it is very important for a team to communicate with their stakeholders along with other interested groups or individuals concerning both the project results and work done to sustain the gains.		
5.01	**Data-Driven Project Flow**	*Maturity Rating/Coverage*	
	As noted on the page 4, *Rating and Scoring Notes*, this item will be applied individually **to each phase, stage, or cycle of the project as identified by the team in Item 4.01**. The team should be able to walk through the project ***(work done after Section 3 and before Item 5.02 Validation)***, using specific tool output (4.03) data to demonstrate a logical progression from project step to project step. *[Simply stating "we used data from this tool to decide ____" will NOT be awarded **any** points. The approach should be: "here is the data from XYZ tool; this chart/graph/etc. shows that the next logical project step is _____. From there we used tool ABC etc.]*	0	How tool data output moved the project forward not explained.
		1	How tool data output moved the project forward only explained for some tools or explanation was not supported by data.
		2	Progression for each major project step was based on tool data output.
		3	How tool data output moved the project forward fully explained.
		M	Organizational structure requires rigorous use of data to support conclusions and logical flow of project.
5.02	**Solution Validation**	*Maturity Rating/Coverage*	
	Once a team has identified one or more proposed or preferred solutions, two things should occur prior to implementation to show solution appropriateness: solution validation and solution justification (5.03). The team must demonstrate the validity of their solution: What is the evidence that will convince the project champion an approach fixed their problem? Fundamentally, the project validation should satisfy the reasons for project selection (1.04), the project goals and benefits (1.05), and the Success Criteria (1.06), including clearly addressing identified root causes, where appropriate.	0	No information about solution validation.
		1	Solution validation discussed without either explanation or data; completion prior to "full" implementation not referenced.
		2	Data-based solution validation was completed prior to "full" implementation.
		3	Multiple approaches or data sets were used to validate the solution.
		M	Organization has standard data-based solution validation process.

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5.03	**Solution Justification**	*Maturity Rating/Coverage*	
	While often covered at the same time, logically ***justification*** follows ***validation***. Especially if there are multiple valid solutions, the justification step will cover why the selected solution(s) should be implemented. In almost all cases, this must be some sort of cost-benefit analysis or payback period tied to projected project expenses and/or budget (2.06). Additional benefits that were uncovered during the course of the project and not initially documented may also be used in project justification. *[Even legal- or regulatory-based projects must be justified in their approach. Doing something that is required that also bankrupts an organization is not an acceptable solution.]*	0	No information provided about solution justification.
		1	Solution justification discussed without financial data; completion prior to "full" implementation not referenced.
		2	Solution justification with financial data **and** solution justification was completed prior to "full" implementation.
		3	Multiple approaches were used to justify the solution, or the team considered additional benefits uncovered during the course of the project in their justification.
		M	Organization requires a team to receive formal approval; financial information must be signed off by the project champion and appropriate organizational finance person.
5.04	**Results**	*Maturity Rating/Coverage*	
	Project results must show how the gap has been closed. They must also tie back to any non-goal success measures (1.06) and any counter metrics (2.07) that may have been developed to monitor for unexpected consequences. The team should include any additional benefits that were used in justifying the project (5.03), even though they were not initially documented. The team should also document changes to the project plan, stakeholders, metrics, etc. *[In lieu of actual finance sign-off, the project must have demonstrated financial accountability.]*	0	Results missing or inconclusive.
		1	Results reported only against project goal; success measures and counter metrics not included.
		2	Results included project success measures and counter metrics compared to the baseline data.
		3	Project results evaluated for use in similar processes or areas.
		M	Organization requires results to be approved by the project champion and appropriate organizational finance person.
5.05	**Maintaining the Gains**	*Maturity Rating/Coverage*	
	No matter how successful a project was, there is a need to ensure that the changes remain in place **and** that the results are maintained. *[Note: It is possible for a new or updated process to continue working as designed, but have the initial process improvements slowly disappear, possibly due to changes in the surrounding environment.]*	0	Maintenance or control-period not used.
		1	Changes **or** results are/were monitored for a limited time.
		2	Changes **and** results are/were monitored for a limited time.
		3	Key performance indicators identified and added to scorecard (or associated with existing metrics).
		M	Approach used to control/maintain processes is part of organizational learning/knowledge base.
5.06	**Project Communication**	*Maturity Rating/Coverage*	
	Time to share results! Under team routines (3.05), the team shared how communication was carried on among team members and with stakeholders. This communication item pertains to post-project communication. The team should communicate with the various stakeholder groups and also share any special recognition or further communication of the results that took place.	0	Results were not communicated.
		1	Results communicated to team members only.
		2	Formal communication to all stakeholder groups (as appropriate with each group).
		3	Communication outside the stakeholder group to recognize team efforts and contributions.
		M	Organization has a standard project communication process, including project

			closure, process ownership, and ongoing measurement/monitoring.
6.00	**Section 6: Project Presentation**	***Note: This section has a different scoring scale!***	
	The Project Presentation section is not a project phase, but rather a collection of key points for the team to consider in telling its story. There are two themes: (1) clarity of the visual presentation (6.01–6.06) and (2) narratives–spoken or written Notes Pages–and wording (6.07–6.10). Scoring is binary: either a 0 or 1 for each item, except for 6.06. Because of the heavy dependence of the presentation on slide graphics and illustrations, the scale for 6.06 is 0–3.		
6.01	**Slide Readability: Slide Numbers**	*Scoring Scale*	
	Presentations that successfully address 6.01–6.03 improve the judges' ability to (1) take notes, (2) ask questions during live presentations, and (3) hold more meaningful discussions. All this aids in scoring and allows the judges to give better feedback to the team.	0	Slide numbers were mostly not visible/readable.
		1	Slide numbers were mostly visible/readable.
6.02	**Slide Readability: Item Numbers**	*Scoring Scale*	
	See 6.01.	0	Item numbers (e.g., 5.05) were mostly not visible/readable.
		1	Item numbers were mostly visible/readable.
6.03	**Slide Readability: Slide Contents**	*Scoring Scale*	
	See 6.01; also note that difficult-to-read slides, including printed slides having missing or obscured information due to slide animation, may also result in lower scores for those items.	0	Many slides have contents that were obscured or otherwise difficult to read.
		1	Some of the slide contents were obscured or otherwise difficult to read.
		2	Most slide contents were visible and easy to read.
6.04	**Logical Flow of Information: Contents**	*Scoring Scale*	
	6.01–6.03 addressed *readability*. 6.04–6.05 address *alignment* of presented information and logical flow of the team's thoughts.	0	The presentation did not flow smoothly and logically.
		1	The presentation was easy to follow.
6.05	**Logical Flow of Information: Labeling**	*Scoring Scale*	
	In addition to moving logically from slide-to-slide, it is also important that any slide labeling that is used is correct. Item numbers and slide headings are aids to help judges follow the team's story.	0	The item numbers or slide labeling mostly did not match the slide contents.
		1	The item numbers and slide labeling mostly matched material being presented.
6.06	**Use of Graphics and Illustrations with the Narrative**	*Scoring Scale*	
	While 6.01-6.05 addressed *readability* and *correctness*, this item deals with whether the visuals used help to tell the story.	0	Many of the graphics and illustrations neither supported nor enhanced the presentation.
		1	Some of the graphics and illustrations did not support or enhance the presentation.
		2	Graphics and illustrations appear to effectively support how the criteria was addressed.
		3	Graphics, illustrations, and narrative integrated in a way that enhanced the presentation helping to emphasize key points.

6.07	**Narrative and Visual Text: Use of English**	*Scoring Scale*	
	6.07 starts the switch from what is seen to what is heard. The spoken narrative and written narrative, and other slide text, should be presented in correct English grammar and punctuation. *[Note: Non-English images of forms, signs, etc. that are for illustration purposes do NOT need to be translated.]*	0	English grammar, spelling (on displayed slides), and sentence structure are hard to understand and follow.
		1	English grammar, spelling (on displayed slides), and sentence structure are acceptable.
6.08	**Narrative and Visual Text: Spoken Volume**	*Scoring Scale*	
	Whether recorded or a live presentation, the presenter volume needs to be sufficiently loud and clear to allow the judges to follow the presentation.	0	Spoken volume of some or all presenters made following the presentation difficult.
		1	Presenter volume is acceptable.
6.09	**Narrative and Visual Text: Presentation Pace**	*Scoring Scale*	
	Similar to volume, it is also necessary that the presentation is presented at a pace that is easy to follow.	0	Pace of the narration made it difficult to follow the presentation.
		1	Pace of narration is acceptable.
6.10	**Narrative and Visual Text: Narrative Consistency**	*Scoring Scale*	
	Teams are required to provide written narrative on the Notes Pages in PowerPoint that essentially match what is spoken. This allows judges to verify what they heard as they finalize ratings and prepare feedback for the team. Any substantive differences that are noted can negatively impact a team's score: both for 6.10 and the item(s) where the narratives differed.	0	Written and spoken narratives frequently did not match.
		1	Written and spoken narratives match.

{End of Criteria}