Self-Assessment of the U.S. Patent and Trademark Office Using The Baldrige Criteria for Performance Excellence

August 1999
Agenda

Welcome and Overview
Mary Lee

Major Findings by Category

   Leadership
   Dave Moore

   Strategic Planning
   Holly Higgins

   Customer and Market Focus
   Randy Myers

   Information and Analysis
   John Terapane

   Human Resource Focus
   Marc Liepzig

   Process Management
   Peggy Focarino

   Business Results
   Tresea Woody

   Vital Few and Scoring
   Brian Usliner

   Next Steps
   Mary Lee
What are the Criteria?

- Set of expectations or requirements
- Structured approach to performance improvement
- Framework for a systems view of performance management
- Set of core values
- Common language
- Review of organizational processes and systems (not “Offices”)

U.S. Patent and Trademark Office
Baldrige Criteria as a System

INPUT 3.0
- Identify Customer Needs/Requirements

DRIVER 1.0
- Establish Mission, Vision, Values, & Leadership System

4.0 DATA/MEASURES
- Define Measures of Success & Collect Data

2.0 GOALS/STRATEGIES
- Develop Goals & Strategies

5.0
- Create & Manage Human Resource Systems

6.0 PROCESSES/SYSTEMS
- Define, Measure, Control, & Improve Key Work Processes

Achieve Excellent Levels & Trends in All Key Measures
Objectives of Self-Assessment
Using the Baldrige Criteria

- Determine how well PTO is currently performing against criteria for high performing organizations
- Provide a comprehensive framework for evaluating performance and performance plans (GPRA requirement)
- Identify and prioritize action plans needed to enhance performance
- Determine how well all parts of the organization are working together to achieve strategic objectives
Objectives of Self-Assessment
Using the Baldrige Criteria (continued)

- Help to align the many initiatives and processes to improve overall organizational performance and customer satisfaction
- Facilitate communication and sharing of best practices information among organizations
- Serve as a working tool for understanding and managing performance, planning, and continuous learning
Methodology

I. When: June through August 1999

II. Participants:

- **Self-Assessment Team:** Composed of members of the Quality Council and PTO Maxwell School participants
- **Oversight:** The Office of Quality Management
- **Facilitators:** Brian Usilaner and Dick O’Brien - experienced Quality Award Examiners
Methodology (continued)

III. Key Steps:

1. Training Session on the Use of the Baldrige Criteria (3 days)

2. Planning Session for Conducting the Self-Assessment (2 days)
   - Divide into Category Teams
   - Identify key data and information needed
   - Coordinate across Category Teams

3. Data and Information Collection (4 weeks)
   - Review pertinent materials
   - Interview key officials and employees throughout the Agency
   - Follow-up interviews to clarify key points
   - Review Key Performance and Results Measures from all Business Units
Methodology (continued)

III. Key Steps: (continued)

4. Category Teams Identify Major Strengths and Opportunities for Improvement

5. Category Teams Present Findings to All Team Members (2 days)
   - Discussion
   - Changes

6. Key Strengths and Opportunities for Improvement Finalized (1/2 day)
   - Changes
   - Prepare Final Report
Major Findings by Category

- Strengths
- Opportunities for Improvement
Leadership Team

Jacqueline Dees
Esther Kepplinger
Stu Levy
Sharon Marsh
Kay Melvin
David Moore
Leadership

1.1 Organizational Leadership

1.2 Public Responsibility and Citizenship

- Values and Expectations
- Empowerment and Innovation
- Set Direction
- Performance Review
- Findings and Improvement

- Regulatory, Legal, Ethical Responsibilities
- Support of Key Communities
Leadership
Strengths

- Providing leadership through the Executive Committee by setting direction, seeking future opportunities, receiving feedback, and developing policies and strategies.

- Addressing societal impacts of products and services by fostering open communication channels with supporters and critics, bringing supporters and critics into decision-making process.

- Supporting the intellectual property community by taking proactive roles in international discussions.
Leadership
Opportunities for Improvement

- Developing a systematic, consistent, and regular process for deploying organizational values and information to all employees; developing a systematic customer and stakeholder information feedback mechanism

- Developing a systematic, integrated, agency-wide approach to creating, submitting, monitoring, and deploying action plans for improvements required to accomplish PTO performance goals

- Developing a strategy for establishing and reinforcing a culture that encourages risk-taking and spurs innovation
Strategic Planning Team

Amelia Au
Joe Dixon
Gary Harkcom
Holly Higgins
Mike Razavi
Deanna Shepherd
Strategic Planning

2.1 Strategy Development

- Strategy Development
- Strategic Objectives and Timetable

2.2 Strategic Deployment

- Action Plans and Measures
- Human Resource Plans
- Performance Projections
Strategic Planning Strengths

- Effective strategic planning is occurring in most of the major business units in the PTO.
- Linking operational initiatives from the major business units to High Impact Agency goals and integrating them into the PTO’s overall strategic initiatives; linking strategic and operational plans with budget plans through the development of the Corporate plan.
Strategic Planning
Opportunities for Improvement

- Institutionalizing an overall PTO strategic planning process that provides the framework and priorities for major business units’ strategic plans

- Developing a mechanism to communicate overall PTO strategic goals and objectives to employees at all levels; providing two-way communication to continuously improve the PTO’s strategy deployment
Customer and Market Focus Team

Marianne Cintins
Cherie Kazenske
Randy Myers
Ted Parr
Kristin Vajs
Customer and Market Focus

3.1 Customer and Market Knowledge
- Customer Groups and Market Segments
- Listening and Learning Strategies
- Important Product and Service Features
- Keep Current with Business Needs and Directions

3.2 Customer Satisfaction and Relationships
- Accessibility and Complaint Management
- Building Relationships
- Customer Satisfaction Determination
- Competitive Performance
Customer and Market Focus

Strengths

- Identifying changing technology market segments and aligning staffs and budgets for effective response
- Systematically measuring overall customer satisfaction and determining customer requirements
- Providing direct assistance to customers through a variety of help desk systems
Customer and Market Focus
Opportunities for Improvement

- Developing an integrated approach to building customer relationships across PTO by sharing customer information and best practices among the business units.

- Developing a systematic integrated customer complaint process so complaints are recorded, responded to in a timely manner, analyzed and shared among business units.

- Structuring the customer satisfaction surveys so that information can be collected on all individual organizations.
Information and Analysis Team

Audrey Britt
Gary Jones
Marian Knodell
Valerie Richardson
John Terapane
Information and Analysis

4.1 Measurement of Organizational Performance

- Selection and Integration of Measures/Indices
- Comparative Data and Information
- Reliability
- Keep Current with Changing Needs

4.2 Analysis of Organizational Performance

- Senior Executives’ Reviews and Planning
- Functional-Level Decisions
- Daily Operations
Information and Analysis
Strengths

- Collecting extensive objective data and information on the processing of patents and trademarks
- Sharing information with employees and customers through a variety of means; providing information on a periodic basis to managers and supervisors for prioritizing initiatives and making improvement decisions
Information and Analysis
Opportunities for Improvement

- Integrating the broad variety of measurement data so that meaningful analyses may be made of the relationships among product/service quality, operational performance, financial performance, and customer/employee satisfaction and ensuring reliability of data

- Developing an agency-wide uniform approach to evaluating organizational performance
Human Resource Focus Team

Sharon Gibson
Joan Griffey
Marc Leipzig
Tonya Phillips
Jackie Stone
Human Resource Focus

5.1 Work Systems
- Work and Job Design
- Compensation and Recognition
- Employee Development

5.2 Employee Education, Training, and Development
- Key Needs—Short and Long Term
- Design of Education and Training
- Delivery and Reinforcement

5.3 Employee Well-Being and Satisfaction
- Safe Work Environment
- Support and Motivation
- Satisfaction Determination
- Relationship to Improvement Priorities

U.S. Patent and Trademark Office
Human Resource Focus
Strengths

- Providing a development path for patent examiners and trademark attorneys to full signatory authority with associated skill acquisition
- Implementing a decentralized approach to training, allowing business units to design and deliver training responsive to their needs
- Creating an extensive employee support climate with numerous programs and benefits to enhance employee well-being
Human Resource Focus
Opportunities for Improvement

- Aligning employee performance requirements among the different employee groups with the performance requirements and business goals of PTO
- Evaluating the impact of training programs on organizational performance and aligning individual development needs with organizational needs
- Using the employee survey as a means to drive change and improve organizational performance and employee satisfaction levels through a structured feedback and action planning process
Process Management Team

Bo Bounkong
Peggy Focarino
Bruce Kisliuk
John Kittle
Safet Metjahic
Mukund Shah
Jackie White
Process Management

6.1 Product and Service Processes
- Design Processes
- Production/Delivery Processes
- Evaluation and Improvement

6.2 Support Processes
- Key Support Processes
- Key Requirements and Measures
- Evaluation and Improvement

6.3 Supplier and Partnering Processes
- Key Products/Services
- Requirements and Measures
- Evaluation and Improvement
Process Management

Strengths

- Providing a broad variety of means to obtain customer input on products, processes, and service changes and design
- Using a multitude of in-process measures for cycle-time, productivity and quality performance, including broad business goals and specific in-process leading indicator measures
Process Management
Opportunities for Improvement

- Developing a coordinated PTO effort to retain employees so that PTO is able to provide high quality products and services

- Deploying a systematic approach to the continuous improvement of key processes throughout PTO, including the extensive use of benchmarking and comparative analysis
Business Results Team

Norma Jo Greenlee
Tresea Woody
Business Results

- This Category covers current levels and improvement trends for:
  - Customer satisfaction and dissatisfaction by customer segments
  - Product and service quality by appropriate segments
  - Financial performance
  - Human resource performance by employee types
  - Supplier and partner performance
  - Operational performance including key support functions
Business Results

What does the data tell us?

- Patent and Trademark overall customer satisfaction levels have remained in the 50-60% range for the past four years with key driver data showing some improvement.

- Financial results indicate a healthy organization.

- Employee overall satisfaction levels have remained in the 30-40% range over the last four years.

- Patent and Trademark employee productivity continues to increase.

- Patent and Trademark cycle times are on the rise.
Business Results
General Observations

- Key processes are measured using a balanced family of measures
- PTO has begun to track progress and monitor trends
- Little comparative data exists
- More emphasis should be placed on root cause analysis
- PTO needs to develop a common language for measurement
Initial “Vital Few” Opportunities for Improvement
The “Vital Few”

- Institutionalize the overall PTO strategic planning process
- Develop an integrated customer complaint process
- Integrate the broad variety of measurement data to conduct comprehensive cause/effect analyses
- Align employee performance requirements with PTO business goals
- Develop a comprehensive feedback and action planning process for employee survey results
- Deploy a systematic approach for the continuous improvement of key PTO processes including benchmarking and comparative analysis
Developing a Self-Assessment Score
Developing the Score

- Scored by the Westat consultants using their experience
- Based on independent review of self-assessment results and use of the Baldrige Scoring Guidelines
- No formal written application used
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(Results of Stage One scoring. There is no rescoring of applicants after site visit.)
### Score Summary Worksheet

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<th>Summary of Criteria Items</th>
<th>Total Possible Points</th>
<th>Percent Score</th>
<th>Score</th>
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**Total** 408.0
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<td>Agency demonstrates a systematic approach responsive to the basic purposes of most items, but deployment in some key areas is still too early to demonstrate results. Early improvement trends in areas of importance to key organizational requirements are demonstrated.</td>
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