



Self-Evaluation Assessment: System Maturity

ASQ/ANSI G1: Standard for Evaluating the Quality of Government Operations and Services

Prepared By:	
Report Date:	

Organization Name and Unit Name:	
System Reviewed:	

Criteria Maturity Scoring

Systems Purpose and Structure	Goal Directedness Through Measures and Feedback	Management of Intervening Variables and Risk	Alignment, Evaluation, and Improvement
<input type="checkbox"/> Level 0	<input type="checkbox"/> Level 0	<input type="checkbox"/> Level 0	<input type="checkbox"/> Level 0
<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 1	<input type="checkbox"/> Level 1
<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 2
<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 3
<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 4
<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 5

Summary Notes:	
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Instructions

Whether your organization has been working on implementing ASQ/ANSI G1 for some time, you are new to ASQ/ANSI G1, or somewhere in between, this self-evaluation can help you determine your organization's performance levels under the four criteria for system maturity under ASQ/ANSI G1. Although not a substitute for going through the formal validation review process through the Center for Quality Standards in Government, this self-evaluation assessment will allow your organization to evaluate its likely systems maturity level.

The optimal use of this self-evaluation is to have an ASQ/ANSI G1 Designated Examiner in your organization lead the process. Alternatively, a staff member with training in quality or program audits and who has read ASQ/ANSI G1 is a potential option. Either way, your evaluator team should include at least two people who have sufficient separation of duties from the process owners of the system.

This self-evaluation can be conducted at any point; however we recommend having at least six months of a gap between either using this self-evaluation or to request formal validation to allow the organization time to adapt to any changes implemented following the prior self-evaluation.

To use the self-evaluation, your evaluator team should review the criteria and identify what documentation exists to support satisfaction of the criteria. Compiling this documentation as part of the self-evaluation not only shows whether you can “prove” something is occurring, but it also helps you begin to prepare your materials should you decide to proceed with the formal validation review process.

After reviewing the criteria in each of the four areas, tally the number of “True” responses and assign the appropriate maturity level based on the listed score ranges. The maturity level should be transferred to the first page of this report to capture the final maturity levels for each of the four areas. Although this self-evaluation does not assign an overall score, an organization's overall maturity level is the lowest score level in any category.

Using your final scores in each category in conjunction with the criteria that received “False” responses is an effective way to identify where and how your organization needs additional maturation. Consider your “False” responses—including items that should be “True” but for a lack of documentation—your roadmap and action plan going forward.

Please note that your scoring on this self-evaluation is no substitute for the formal validation review process and a self-evaluation score is no guarantee that your system will receive the same maturity level as part of the formal validation review process.

Please reach out to the Center for Quality Standards in Government with any questions or for assistance with using this self-evaluation tool (as well as any constructive feedback on how we can improve this tool). Visit our website at <http://www.qualitygovernment.org>.

A. System Purpose and Structure

Effective government systems have clearly defined and documented objectives and structure that are integrated into all principal activities of the system. The objective and structure should be organized around the principal activity groups—or coherent groups of business activity that produce a definable value-add output—of the system.

Criteria	True	False	Notes
1. The system or operational unit has clear objectives, and the objectives are matched to organizational strategy.			
2. There is a general understanding of the system's milestones and its planned activity.			
3. Designated resources and personnel are known and their roles in the operational unit are aligned to the system's purpose.			
4. Planned operational actions, events, and activities are <u>not</u> postponed or abridged due to outside influence, political agendas, or demands of higher leaders			
5. The system has some documentation.			
6. There is clear recognition of a system cycle, and some principal activity groups are recognized and mapped.			
7. The system workflow is defined and documented at the high level, and the system is mapped.			
8. System maps include a full set of principal activity groups and some of these have specific contributing tasks and activities.			
9. Measurable quality outputs exist for the overall system.			
10. Accountability and responsibility for required quality-aligned actions are known and deployed through job assignments.			
11. The full system has a defined and documented approach and a well-planned deployment.			
12. A full set of principal activity groups, including necessary subsystems, have been documented, each with a defined purpose and objective requirements or success factors.			
13. Many or most influencing factors (tasks and activities) have been mapped for principal activity groups and subsystems. These have a documented relationship to success factors within each principal activity group.			

Criteria	True	False	Notes
14. Measures of tasks and activities have objective, measurable requirements on which a system of feedback could be developed.			
15. The system map has been in place for at least one year and its feedback is used for management analysis and planning.			
16. All tasks, activities, and contributing factors have been defined and documented for at least one principal group.			
17. Leadership has some evidence that the system operates as designed through the use of indicators and other performance measures.			
18. A comprehensive system map is in place that shows a full complement of principal activity groups. Its deployment is specific to the means used to manage the system and to ensure its continuing operations according to design.			
19. The system map covers all major tasks, accountabilities, and contributing factors, including interdependencies.			
20. Requirements exist for system inputs and supplier management practices are in place.			
21. Leadership obtains and reviews regular feedback from system indicators and metrics aligned with each principal activity group.			
22. A comprehensive system management structure has been in place for two or more years, including all tasks, accountabilities, and contributing factors.			
23. There are indicators and performance measures for all principal activity groups.			
24. Each principal activity group is linked to input and output processes and systems. Requirements tracking for each input or output are tracked.			
25. Operational deployment is supported by responsibilities and accountability for each supporting resource group, internal and external.			
26. There is evidence of the use of this system management structure for three or more years.			

Total Section True Answers	Score Range	Systems Purpose and Structure Score
	0-5	<input type="checkbox"/> Level 0
	6-9	<input type="checkbox"/> Level 1
	10-16	<input type="checkbox"/> Level 2
	17-21	<input type="checkbox"/> Level 3
	22-25	<input type="checkbox"/> Level 4
	26	<input type="checkbox"/> Level 5

B. Goal Directedness Through Measures and Feedback

Effective government systems identify goals for their principal activities and actively monitor and evaluate the success of those goals through established measures and feedback. System measurements and feedback, or performance indicators, are identified and tracked for each principal activity group and are connected to customer and stakeholder requirements. Through the tracking of performance indicators, management can point to satisfactory and improved performance across the system.

Criteria	True	False	Notes
1. The system has defined and documented outcome requirements.			
2. Employees know the logical connection between their unit outputs and unit purpose.			
3. The system has at least one defined and documented performance measure that reflects quality outputs.			
4. At least annual performance feedback is given to all employees that includes linkage to defined system quality outputs.			
5. At least one output measure is linked to requirements of stakeholder and customers.			
6. Some system feedback is related to milestones, objectives, or other interim (leading) performance criteria.			
7. All principal activity groups are documented or mapped along with many or most of each group's influencing factors.			
8. Objective and subjective measures of output are linked to many or most principal activity groups.			

Criteria	True	False	Notes
9. There is evidence of a visible system of feedback, provided on a current basis. There is formal and visible sharing of the results of system cycles with the responsible work group or groups.			
10. Key personnel and units outside the span of control of this operational system are formally notified of the system workflow and its requirements, through feedback and a visible management system.			
11. All defined principal activity groups have at least one performance measure in place and some influencing factors. This measurement system provides regular and ongoing feedback for unit management.			
12. There are defined requirements for system inputs and measurement of results.			
13. There are defined requirements for interdependent system and processes, with measured feedback results.			
14. There are demonstrated positive levels of performance in many or most measured performance areas.			
15. The system produces uniform and predictable quality outputs over multiple operational cycles, with favorable performance in all areas.			
16. Several indicators and measures are available for each defined activity group, along with regular feedback. There are positive levels and trends in all areas.			
17. Documentation shows that the defined performance of this system has improved and contributed to its positive outcomes over three or more years.			
18. Organizational leadership is given specific notice when any system tracking indicator is significantly above or below stable performance levels.			

Total Section True Answers	Score Range	Goal Directedness Through Measures and Feedback Score
	0-1	<input type="checkbox"/> Level 0
	2-5	<input type="checkbox"/> Level 1
	6-9	<input type="checkbox"/> Level 2
	10-14	<input type="checkbox"/> Level 3
	15-17	<input type="checkbox"/> Level 4
	18	<input type="checkbox"/> Level 5

C. Management of Intervening Variables and Risk

Effective government systems identify and actively manage intervening variables and risk. Through annual risk identification and planning, organizations develop and deploy risk management plans that risk managers and owners can use to avoid, mitigate, or accept known risks. A robust risk management system makes use of root cause analysis tools and provides opportunities for the organization to engage in system learning and improvement around risk.

Criteria	True	False	Notes
1. The system has defined and documented some intervening variables.			
2. The system has defined and documented some risks.			
3. Response scenarios or plans are documented for the defined principal intervening variables.			
4. Intervening variables are documented for all principal activity groups.			
5. Responses scenarios or plans are documented for all defined intervening variables.			
6. There is a documented annual risk analysis for the system with documented responses to defined risks.			
7. There are documented and deployed contingency plans for some defined risks to intervening variables.			
8. There is an annual system risk identification review with documented results.			
9. Documentation exists showing that root cause analysis tools are used to analyze risk, such as FMEA, SWOT, business environmental analysis, or failure assessment.			

Criteria	True	False	Notes
10. Risk is analyzed in terms of likelihood, system consequence/impact, and timeframe.			
11. Both risk analysis and risk management planning are documented.			
12. There is documented evidence of implementation of risk management based on risk analysis and planning.			
13. Documented root cause analysis and other tools are used to design risk management plans and to identify and manage risks.			
14. There is documentation for routine risk testing.			
15. There is documented evidence of informed decisions regarding risk avoidance, mitigation, or risk acceptance.			
16. There is evidence of communication of two or more cycles of risk system results to responsible staff within the span of control of the system leader, and in a visible format of which all responsible staff are aware.			
17. Risks are actively managed by the risk manager and the risk owner, and the management of risks are reported to management on a regular basis.			
18. There is documented evidence that the system design and structure have been modified to lessen the import or occurrence of intervening variables and risks.			
19. There is documented evidence of the use of analysis to lessen risk and system impacts from identified risk.			
20. There is documented evidence of systems learning and improvement based on risk management.			
21. All defined risks are actively managed through a system of reporting and a record of response actions can be demonstrated.			

Total Section True Answers	Score Range	Management of Intervening Variables and Risk Score
	0-1	<input type="checkbox"/> Level 0
	2-3	<input type="checkbox"/> Level 1
	4-6	<input type="checkbox"/> Level 2
	7-15	<input type="checkbox"/> Level 3
	16-20	<input type="checkbox"/> Level 4
	21	<input type="checkbox"/> Level 5

D. Alignment, Evaluation, and Improvement

Management supports effective government systems by structuring the workplace to align personnel and resources with the system's requirements. All principal activity groups have staff assigned to specific roles: process owners (responsibility), accountability, consultation, and information. The system management engages in at least annual planning and regular cycles of evaluation and improvement involve all system staff.

Criteria	True	False	Notes
1. The system has documented systematic efforts to learn and improve.			
2. The system's personnel and resources know the system exists and generally understand their role in the system.			
3. There is some documented history of evaluation of the system and of making a change to the system based on this evaluation.			
4. The people and resources that contribute to the system are aware of the system and its objectives.			
5. The system leadership is connected to the resources and personnel, and they are aware of the system's approach and structure and their role in the delivery of its contributing tasks and activities.			
6. Accountability and responsibility for actions within each principal activity group is known and documented.			
7. Accountability and responsibility for actions within each principal activity group are deployed through job assignments.			
8. There is documented annual performance feedback managed by the system leader.			

Criteria	True	False	Notes
9. The system undergoes structured and documented annual evaluation, improvement, and change management.			
10. All contributing and participating personnel in the system are informed and consulted in annual evaluation and improvement activities.			
11. Specific responsibilities and accountabilities for each principal activity group are defined and documented.			
12. Organizational learning through operation of the system shows successive refinements and change in performance feedback and risk identification and management.			
13. There have been <u>one or more cycles</u> of evaluation and improvement, that include analysis and structured problem solving.			
14. There is a documented annual analysis of system effectiveness and development of lessons learned.			
15. Updates and change are considered annually both in system operations and in the risk management plan.			
16. Responsibilities, accountability, consultation, and informing (RACI) roles have been identified and documented for each primary activity group and for dependent tasks and activities.			
17. There is an annual analysis of system performance with <u>at least two cycles</u> of lessons learned and improvement are documented. These cycles of improvement should be based at least in part on data analysis, and inclusion of work force members in the analysis and improvement effort.			
18. There is evidence of communication of <u>at least two or more cycles</u> of system results to responsible staff within the span of control of the system leader and in a visible format of which all responsible staff are aware.			
19. There is documented control and planning for change management.			
20. There is documented evidence of continuous, systematic annual improvement participated in by all defined systems personnel.			
21. There are measurable, positive results on outcomes and in each activity group, with demonstrated positive relationship to all dependent processes.			

Criteria	True	False	Notes
22. Reports of performance of key system feedback is communicated to and made visible to those with RACI roles and to organizational leadership.			
23. Positive system results are included in an organizational scorecard and linked to performance evaluations for staff within RACI roles.			
24. Organizational leadership is given special notice when any system tracking or performance indicator is significantly above or below stable performance levels.			

Total Section True Answers	Score Range	Alignment, Evaluation, and Improvement Score
	0-1	<input type="checkbox"/> Level 0
	2-7	<input type="checkbox"/> Level 1
	8-12	<input type="checkbox"/> Level 2
	13-18	<input type="checkbox"/> Level 3
	19-23	<input type="checkbox"/> Level 4
	24	<input type="checkbox"/> Level 5