

### **Baseline Data for The Quilt Self-Assessment Tool**

### Background on the Self-Assessment Tool

The formal Quilt Peer Reviews (QPRs) that have been undertaken by The Quilt over the years have been very successful. But for some members a formal peer review was not a good fit. Those with an interest in assessing their organization against a community standard needed another way to do it. In an effort to meet this need, a team of Quilt members developed a stand-alone tool called The Quilt Self-Assessment Tool. This assessment tool is standard collection of identified best practices that are central to operate as an effective research and education network.

The Self-Assessment Tool's outcomes are self-directed and as such can be used outside a formal QPR or as a precursor to a QPR. The results can be used to identify areas of the organization's focus or as a foundation for strategic planning. Members may use the tool at any time outside of a formal QPR to determine specific elements/practices within the organization to focus attention.

The Self-Assessment Tool is designed so that an organization can have any number of stakeholders complete the assessment. If the organization chooses to have more than one person complete the assessment, the results are returned anonymously, but can be displayed as a composite average or they can be categorized by stakeholder group: executive leadership, board of directors, engineering staff, marketing, stakeholders, etc. Responses are presented as a summary scorecard (see Appendix A).

Since the release of the Self-Assessment Tool, members have used the tool to assist in strategic planning, prepare for a formal QPR, and to assess progress in areas they had focused on the previous year.

### The Baseline

As the community gained additional experience with the self-assessment tool, interest was expressed in establishing a self-assessment baseline from data provided by all of The Quilt membership. In response to this interest, The Quilt undertook a membership baseline effort in the fall of 2015 with summary results presented here. The Quilt envisions this baseline as another management tool for our member organizations. Note that access to the tool is available at any time to support member interest.

Twenty Quilt members have completed the entire assessment as part of this baseline effort. The charts on the following pages represent the composite responses for each practice within the 10 elements. Note responses of Not Applicable (NA) are not shown on the charts. In all but one of the elements, Governance, these responses were non-existent or so small, they did not affect the overall score. In the Governance element, there was not enough supplemental information given to draw any conclusions. In the charts to follow, some practice statements may be truncated.

### **Quilt Self-Assessment Tool**

Welcome to The Quilt's organizational—assessment tool. As an introduction, this tool is organized into nine elements that involve 89 practices towards organizational effectiveness. Within each element the practices have two discreet clusters; one cluster contains practices with an "external focus" i.e., how the organization interacts with and relates to important external entities. The other cluster contains practices with an "internal focus" i.e., how the organization manages and organizes itself. Each practice is categorized as either a "Basic" or "Advanced" level practice within each element.

Given your focus, do your best to evaluate your organization on each element and practice. Remember it is impossible to address ALL nine elements and 89 practices, that is why you have the ability for you to "skip" an element or practice--not all of the practices or even elements will relate to your organization's review. Rather, the nine elements and 89 practices are presented to demonstrate the range of complexity required to operate as an effective R & E network.

are presented to demonstrate the range of complexity required to operate as an effective R & E network.
Note: If you check N/A on any of the questions, you will find a comment section on the next screen that will enable you to clarify or explain your response and help us to continue development of the survey.
1. Your Name
2. Your Organization
3. Organizational Structure
C Non-profit Corporation (501c3)
C University-Based
C Department of State Government
Other (please specify)
4. Organizational History - Number of Years in Business
O 0-3 Years
C 3-7 Years
C 7-10 Years
C 10-15 Years
C 15-20 Years
C 20+ Years
5. Number of Organizational FTE

### \*6. User Relations: Users are organizations who directly pay for and use the technology and services.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: Regularly engages the user community to assess needs and create action plans based on feedback	0	0	0	0	С	0
Basic Practice 2: Regularly communicates with the user community using passive and active tools	0	0	0	O	0	0
Basic Practice 3: The board participates in fostering good user relations through on-going discussions with stakeholders	0	0	0	0	0	O
Basic Practice 4: Members/Customers can view information about services they receive, costs, contacts, open tickets, etc. A data warehouse or similar capability exists and is used for retrieving historical network data and performance metrics about the products and services offered	0	O	O	О	C	O
Basic Practice 5: The organization collaborates with users on projects of mutual interest and benefit	0	0	0	0	0	O
Basic Practice 6: Users know or can easily find information on requesting new services or reporting service interruptions	0	0	0	0	0	O
Advanced Practice 7: The organization establishes user advisory or special interest groups	0	0	0	0	0	O
Advanced Practice 8: Organize user participation in planning events such as strategic planning	0	0	0	0	0	0
Advanced Practice 9: Identify and engage existing organized user groups such as EPSCoR or bioinformatics	O	O	O	O	0	0
Advanced Practice 10: Members/ Customers can manipulate information about services they receive, costs, contacts, open tickets, etc.	0	0	0	0	0	O
Advanced Practice 11: Provide formal moderated user forums on topics of special interest	0	0	0	0	0	0
Advanced Practice 12: Members can interact and collaborate among themselves via list serves, wiki's, etc.	0	0	0	0	0	0

7. If you answered N/A, please help us by stating the reason behind your answer(s).	

*8. Stakeholder Relations: For this assessment, a stakeholder is any one touched, in
some way, by the organization. Your stakeholders include your users, staff, and board and
may include legislators, business leaders, community leaders, citizens, vendors, partners,
etc.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: The organization knows the audience it is trying to influence is composed of both supporters and detractors among government officials and others	O	O	O	O	О	•
Basic Practice 2: A written protocol articulates key messages for targeted stakeholders and identifies the staff or board member that is accountable for relationships with those stakeholders	O	O	O	O	0	0
Basic Practice 3: The organization continuously evaluates opportunities to use new media to communicate with stakeholders	O	O	O	O	O	0
Basic Practice 4: The organization proactively engages local stakeholders (members, constituents, etc.) in strategy discussions	O	О	O	О	0	O
Advanced Practice 5: The organization uses a formal stakeholder map to articulate the exchanges between the regional technology network and the stakeholder	O	0	0	O	O	O
Advanced Practice 6: Operate a network of key stakeholders and identify successors/back-ups for access when a key person leaves	O	O	O	O	0	O
Advanced Practice 7: Surveys all stakeholders to provide input, make contributions, and influence the planning process to gain their perspective and document their expectations	O	0	0	0	С	0

9. If v	you answered N/A, ple	ase heln us ł	ov stating the r	reason hehind v	nur answer(s).
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# \*10. Advocacy: An organizational process for strategic communication which normally aims to inform about the organization and its work and potentially influence public-policy and resource allocation decisions within political, economic, and social systems and institutions.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: The organization knows the audience it is trying to influence is composed of both supporters and detractors among government officials and others	0	0	0	0	O	0
Basic Practice 2: There is a method for developing clear and concise policy goals and campaign messages, including effective answers to the tough questions people will ask	O	O	0	O	O	0
Basic Practice 3: Able to make a firm case that communicates to the community the positive impact of technology	0	0	0	0	O	0
Basic Practice 4: Identified and document core constituents and messengers to mobilize as supporters, activists and opinion leaders	0	0	0	O	0	O
Advanced Practice 5: The organization consistently develops and executes an advocacy communications plan in advance, aimed at targets using a clear campaign timeline to achieve expected outcomes; events are executed and the media is involved	О	О	О	О	О	0
Advanced Practice 6: The organization reviews, assesses and adjusts as each campaign progresses, accepting outcomes and preparing for the next round	0	0	0	0	O	O
Advanced Practice 7: Conduct active conversations with legislatures and external decision makers so they can readily and quickly be mobilized when the situation warrants it	©	0	0	O	©	0
Advanced Practice 8: Possess significant capacity and power to win over the long-term not just win isolated victories	O	0	0	0	0	0

11. If you answered N/A, please help us by stating the reason behind your answer(	s).
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#### \*12. Long Term Strategy and Plan Implementation Understands Applies major Fully and Understands Pioneers with and uses the elements of consistently but, does not innovation to practice to a this practice applies this N/A apply the deepen this most of the practice all of limited practice practice degree time the time 0 Basic Practice 1: Organizational strategic planning is 0 0 0 part of the culture and is expected/used effectively 0 0 0 0 0 0 Basic Practice 2: Organization wide strategic plan exists and is published Basic Practice 3: Strategic plan is updated at least annually Basic Practice 4: Strategic priorities determine budget 0 0 0 0 (·) priorities Basic Practice 5: Progress reports, against the plan, are generated at least quarterly Basic Practice 6: Staff responsibilities and duties are aligned with the strategic plan Basic Practice 7: Department goals and objectives are tied to the strategic plan 0 0 0 0 0 Basic Practice 8: Based on the strategic plan priorities, develops a marketing plan based on market research Basic Practice 9: As part of strategic planning, reviews the five elements of the marketing mix (product, pricing, placement, promotional mix and people) on an annual basis 0 0 0 0 Advanced Practice 10: Develops a concise description of products/service that includes features and benefits Advanced Practice 11: Conducts a comprehensive Strengths/ Weaknesses/ Opportunities/ Threats (SWOT) analysis on an annual basis 0 0 0 0 0 Advanced Practice 12: Conducts analysis of industry and non-industry trends 13. If you answered N/A, please help us by stating the reason behind your answer(s).

### \*14. Operating Strategy

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: The operations are organized with separate, clearly defined responsibilities for applicable services (i.e., NOC, Field Operations, Video Operations, Security, Engineering, etc.)	O	0	O	0	0	O
Basic Practice 2: Network services performance is measured and available in near real time for stakeholders, managers and technical staff	0	0	0	0	O	O
Basic Practice 3: Processes exist for originating new projects; receiving approvals, measuring progress, and closing when complete	О	О	С	О	0	0
Basic Practice 4: Processes exist to move projects through the organization from planning, architecting, implementation, testing, operations and security with ownership and handoffs well defined	0	0	O	0	0	O
Basic Practice 5: Security responsibilities are defined and addressed outside of the network and application operational staff	О	О	О	О	0	0
Basic Practice 6: Internal network scanning occurs continuously	0	0	0	0	0	O
Basic Practice 7: There are (non-automated) formal systems and or practices identified for keeping track of key information such as customer/ members, network inventory, trouble management, financial information, etc.	О	О	О	О	О	0
Advanced Practice 8: Internal and external security vulnerabilities assessment occurs regularly	0	0	0	0	O	0
Advanced Practice 9: Security points of contact are identified and engaged with regular opportunity for all to interact	O	O	0	O	O	0
Advanced Practice 10: Training in security best practices and tools is conducted at least annually	0	0	0	0	0	0
Advanced Practice 11: Public-facing servers are managed effectively with information available and upto-date hardware	О	О	О	О	О	O
Advanced Practice 12: System data can be integrated in such a way to produce a complete (or mostly complete) picture of customer information, interactions, reported troubles, financial information, services utilized, etc. (CRM)	0	0	O	0	O	O

15. If you answered N/A, please help us by stating the reason behind your answer(s)	)-

## \*16. Governance: Describing the management or leadership processes which govern an organization which are in place to ensure the organization carries out its mission and does so with focus on fiduciary responsibility as well s responsibility to the public trust.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: Organization uses a formal governance statement and position descriptions that distinguishes the roles and authority of board members, the chair and the CEO	С	O	O	О	О	O
Basic Practice 2: Board establishes major strategic outcomes for the organization to pursue and reports on progress against them	O	0	0	O	0	O
Basic Practice 3: Board uses a yearly work plan to organize their work through standing committees and taskforces	O	O	0	0	0	O
Basic Practice 4: Stakeholders are represented on the board	0	0	0	0	O	O
Basic Practice 5: Stakeholders are regularly engaged using advisory groups	0	0	0	0	0	0
Basic Practice 6: The board demonstrates its fiduciary accountability and upholds the public trust	O	0	O	0	O	O
Basic Practice 7: The board commissions an independent audit and selects a board audit committee	0	0	0	O	O	0
Advanced Practice 8: Board conducts an annual self- assessment of its governance role; produces the results and takes corrective action where necessary	0	0	0	0	0	0
Advanced Practice 9: The board has a formal succession plan to ensure continuity with the CEO	0	0	0	0	0	0
Advanced Practice 10: Succession plans for key internal positions exist	0	0	0	O	O	0
Advanced Practice 11: Conducts a management self- assessment on an annual basis	O	O	0	O	O	O

17. If you answered N/A, please help us by stating the reason behind your answer(	s).
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## \*18. Revenue and Finance: Open and transparent formal written accounting policies exist and are adhered to. The organization designs cost recovery models and strategies for individual services and acknowledges its fiduciary responsibilities to its customers.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: Formal written accounting policies exist and are adhered to	0	О	O	О	O	0
Basic Practice 2: Strategic priorities determine budget allocations; budget is approved before the fiscal year begins	O	O	O	O	O	O
Basic Practice 3: Financial statements are produced regularly (income statement, balance sheet, statement of cash flows – or their facsimiles)	O	O	0	O	О	0
Basic Practice 4: Financial statements include reconciliation to budget and/or prior period	O	O	0	O	O	O
Basic Practice 5: The organization has written documentation relative to financial performance versus plan and can explain differences	O	O	0	O	О	O
Basic Practice 6: Regular financial reforecasts are prepared	O	O	O	O	O	0
Basic Practice 7: The organization undergoes an annual periodic financial audit and a financial self-assessment	0	0	O	0	O	0
Advanced Practice 8: Activity-based cost accounting or similar technique is used to analyze product/ service performance	O	O	O	O	0	O
Advanced Practice 9: An individual P&L is available by product line	0	0	O	O	O	0
Advanced Practice 10: Formal cost allocation methodologies for general and administrative costs have been adopted	O	0	0	0	0	O
Advanced Practice 11: Management has implemented cost center accounting and uses cost center forecasts to prepare adjusted budgets	0	O	0	O	0	O

19. If you answered N/A, please help us by stating the reason behind your answer(s).	
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# \*20. Innovation: For the purposes of this assessment, innovation is defined as an activity that introduces new ideas, services, processes, and methods to an organization. As such, innovation applies to all aspects of the organization including operation and management of the network.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: The organization actively seeks opportunities, methods, services, technologies, and programs to constantly evolve and adapt	0	O	0	0	0	0
Basic Practice 2: The organization's staff members are encouraged to engage in dialogue about ideas for new areas of services, technologies, programs, and others	0	O	0	O	0	0
Best Practice3: The organization actively engages in dialogue with peer organizations about ideas for new areas of services, technologies, programs, etc.	0	0	0	0	0	0
Basic Practice 4: The organization tracks the current industry landscape regarding current trends and innovative practices	0	0	0	0	0	0
Advanced Practice 5: The organization has a formal, but agile process to explore, assess and incorporate new methods, services, technologies and programs opportunities into operations	0	0	0	0	0	О
Advanced Practice 6: The organization accepts failure as a possible outcome of an innovative project.	6 0	0	0	0	0	$\circ$

### 21. If you answered N/A, please help us by stating the reason behind your answer(s).



*22. Risk Management: The systematic process of understanding, evaluating and
addressing risks to maximize the probability of objectives being achieved and ensuring
organizations are not only sustainable, but prepared to exploit opportunities.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: The organization has a process for identifying and assessing risks and creating a management plan for identified risks	O	O	0	0	0	O
Basic Practice 2: As part of strategic planning, the organization recognizes potential risks while assessing likelihood and impact	O	O	0	0	0	0
Basic Practice 3: Risk mitigation strategies are developed as part of strategic planning	0	O	O	O	О	O
Basic Practice 4: When implementing a new idea or method into the organization, attention is paid to risk mitigation strategies in the event assumptions regarding the new idea or method do not prove to be valid	O	0	O	O	0	O
Advanced Practice 5: The organization has a risk management model that translates strategic challenges into specific risks to take and provides rules, parameters, and measurements to guide both the financial investment and the process	O	С	0	0	С	C

### 23. If you answered N/A, please help us by stating the reason behind your answer(s).

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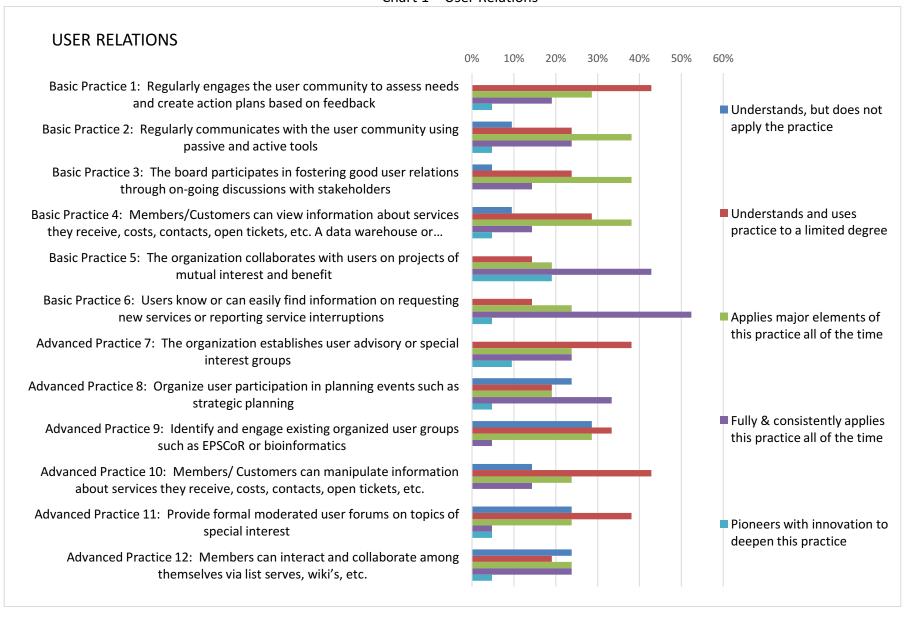
### \*24. Culture: The collective behavior of people that are part of an organization, formed by the organization's values, visions, norms, working language, systems. Organizational culture affect the way people and groups interact with each other, and with stakeholders.

	Understands but, does not apply the practice	Understands and uses the practice to a limited degree	Applies major elements of this practice most of the time	Fully and consistently applies this practice all of the time	Pioneers with innovation to deepen this practice	N/A
Basic Practice 1: Staff know their accountability and authority	0	0	0	0	0	0
Basic Practice 2: Uses a written statement of core values that animate the culture and are publicly distributed to staff	O	0	0	0	0	O
Basic Practice 3: Formal meetings among all staff occur to continuously assess progress against core values	O	0	0	0	O	0
Advanced Practice 4: Structure is agile and tailored to pursue strategy and respond to changing external demands	0	0	0	0	0	O
Advanced Practice 5: Formal team building among staff is a continuous process	O	0	0	0	O	0
Advanced Practice 6: Staff balances: 1. Attending to maintenance of current offerings and 2. Innovating to develop new offerings	O	0	0	0	0	0
Advanced Practice 7: Staff know the risk taking quotient* of the culture	0	0	0	0	0	0
Advanced Practice 8: As part of a customer service culture, employees are empowered to do what's right for members/ clients based on their level of authority	0	0	0	0	0	0

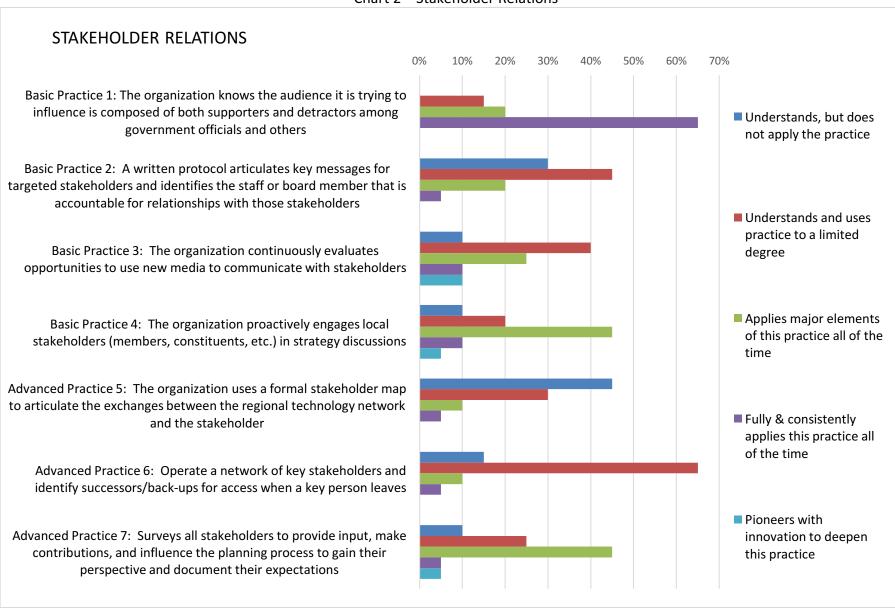
### 25. If you answered N/A, please help us by stating the reason behind your answer(s).

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#### Chart 1 – User Relations



#### Chart 2 - Stakeholder Relations



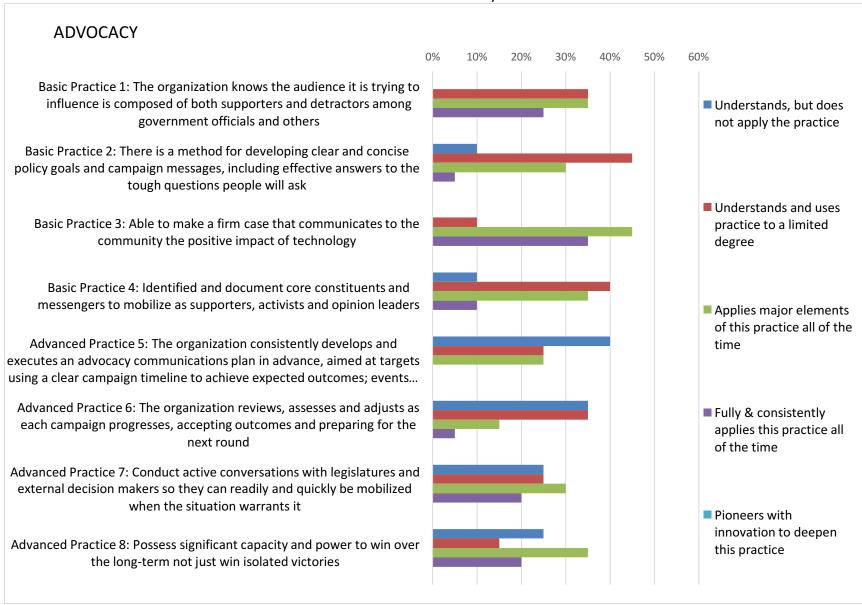


Chart 4- Long-Term Strategy & Plan Implementation

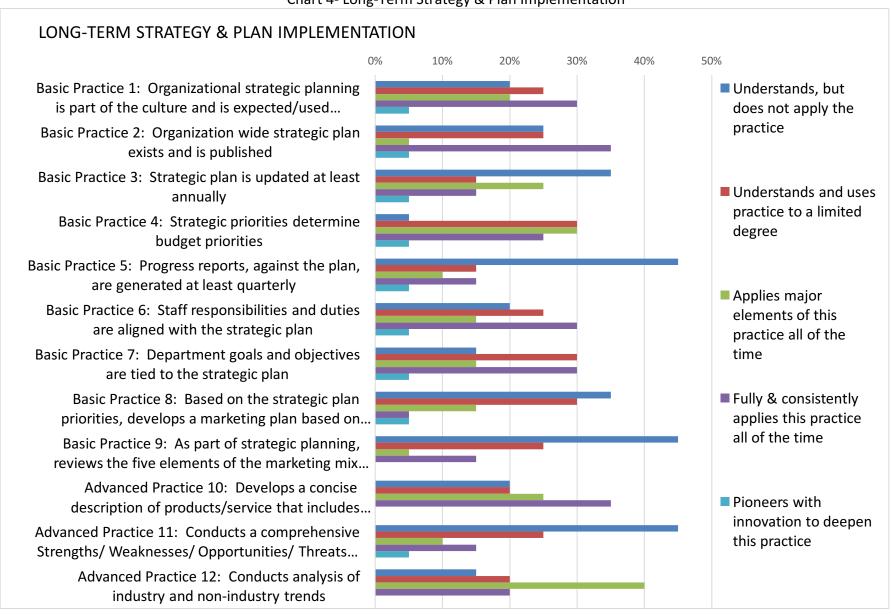


Chart 5 – Operating Strategy

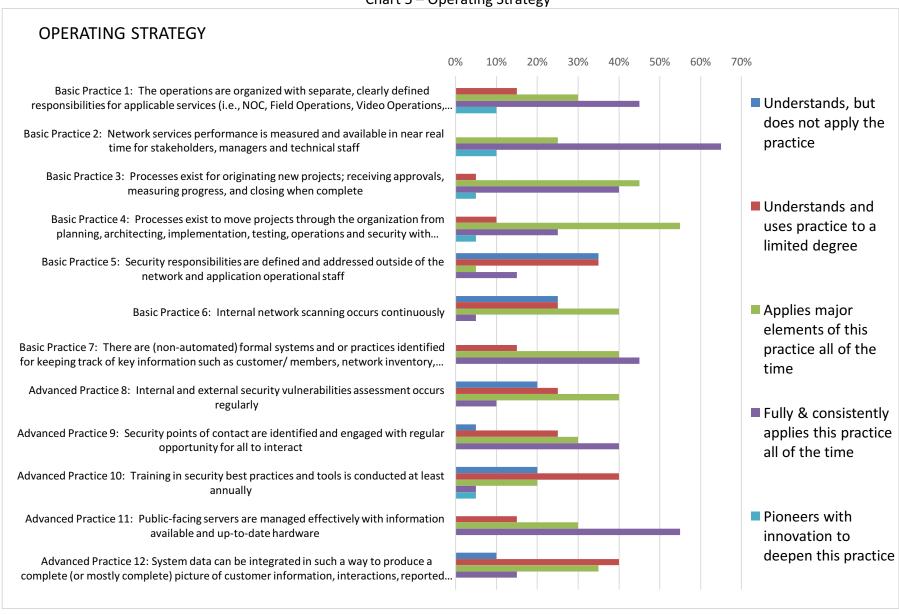


Chart 6 – Governance

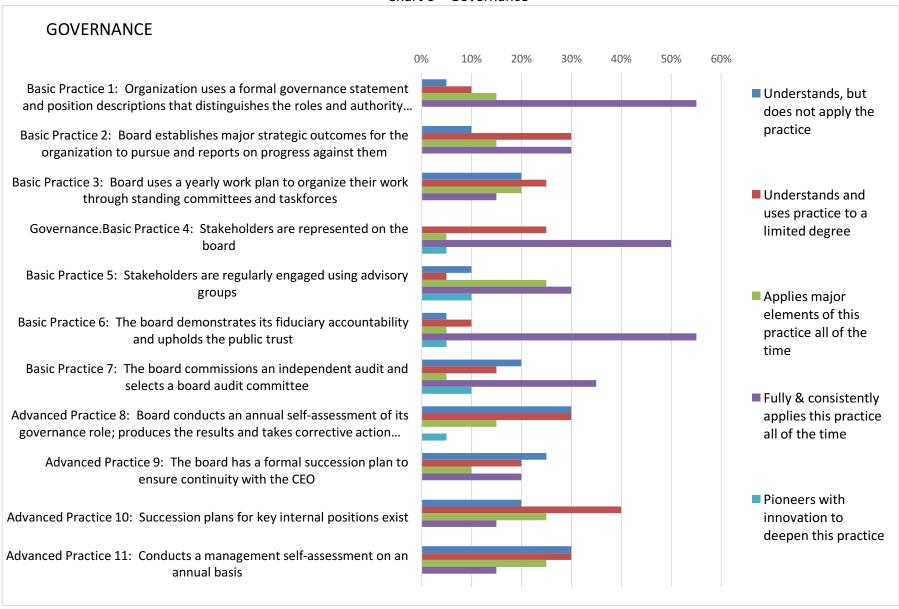


Chart 7 - Revenue & Finance

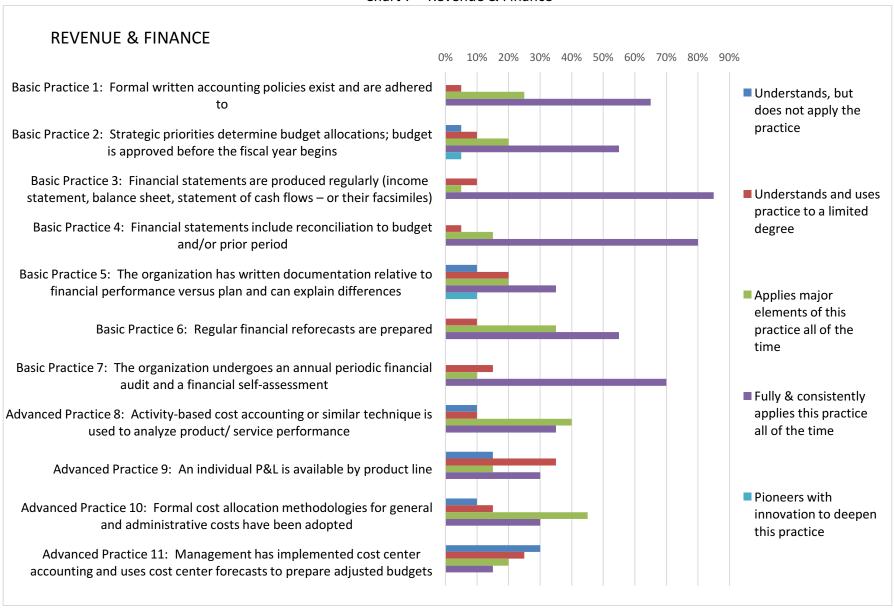


Chart 8 – Innovation

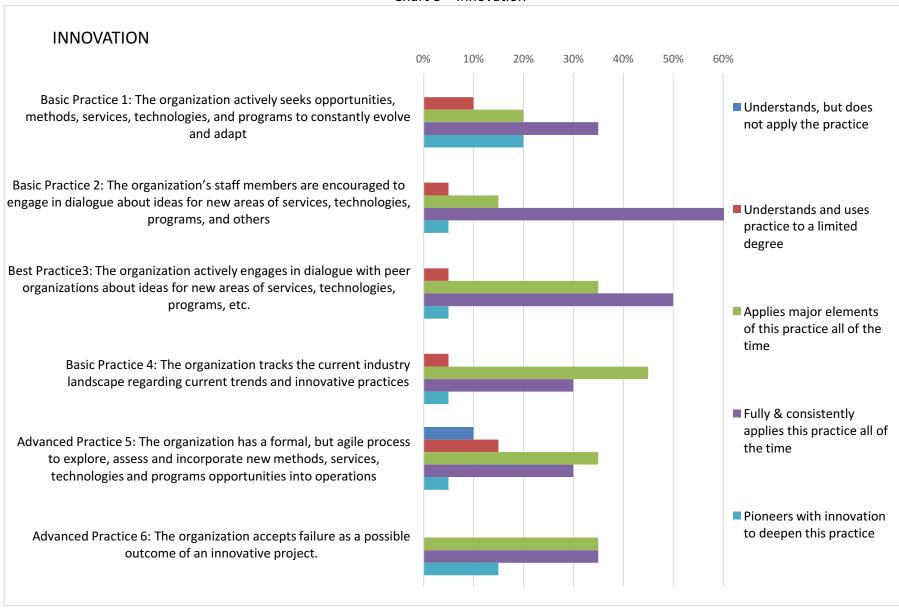
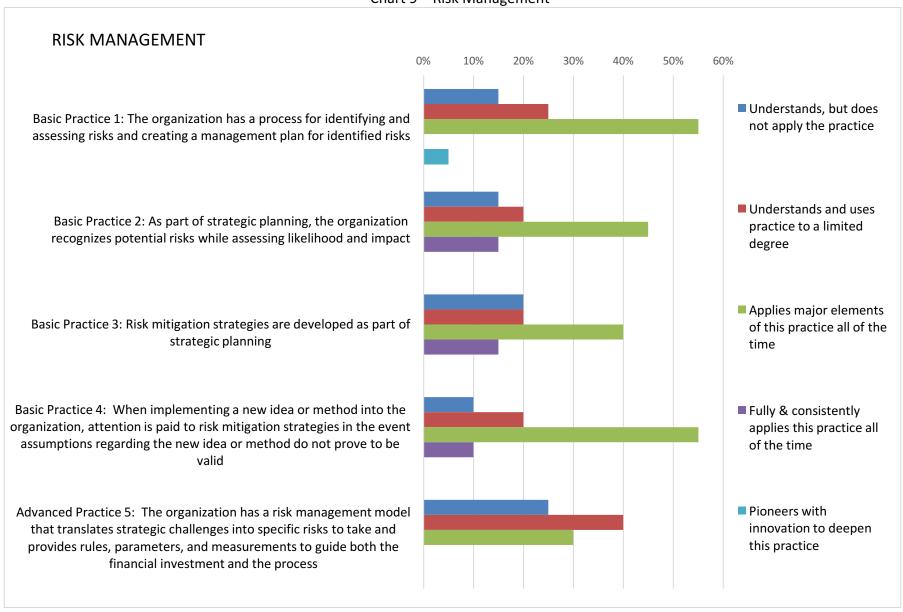
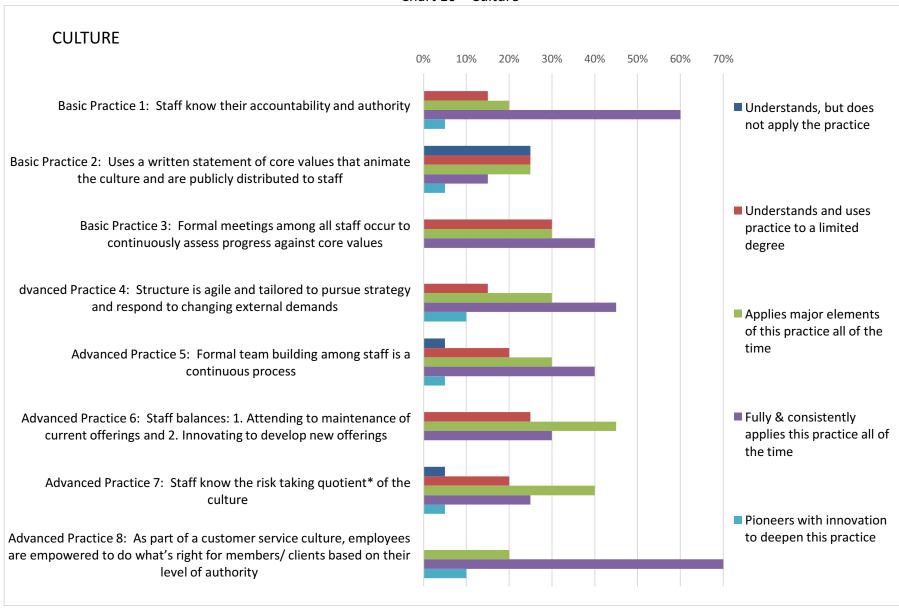


Chart 9 – Risk Management





### Appendix A- Self-Assessment Scorecard

The example below shows the composite responses to a survey. However, the Scorecard can be customized to show responses from groups; i.e. executive leadership, board of directors, engineering staff, etc.

THE QUILT				F	Requ	ıest	ing l	Men	nber	Nar	ne					
129		Quilt Self-Assessment Scorecard  * Top 3 in Green & Bottom 3 in Red														
		Overall	Basic	Advanced			o = pra	ctice	bl	ue = ba	sic	oran	ge = ac	lvanced	d	
Category	Rank	Avg	Avg	Avg												
	_				P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8	P.9	P.10	P.11	P.12
User Relations	2	2.92	3.00	2.83	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	3.0	2.0	3.0	3.0
					P.1	P.2	P.3	P.4	P.5	P.6	P.7					
Stakeholder Relations	5	2.86	3.00	2.67	3.0	3.0	3.0	3.0	2.0	3.0	3.0					
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8				
Advocacy	4	2.88	3.00	2.75	3.0	3.0	3.0	3.0	3.0	3.0	3.0	2.0				
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8	P.9	P.10	P.11	P.12
Long Term Strategy	7	2.67	2.33	3.67	3.0	2.0	2.0	3.0	2.0	2.0	2.0	2.0	3.0	4.0	4.0	3.0
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8	P.9	P.10	P.11	P.12
Operating Structure	9	2.33	2.00	2.80	2.0	2.0	2.0	2.0	2.0	2.0	2.0	2.0	4.0	2.0	2.0	4.0
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8	P.9	P.10	P.11	
Governance	1	3.18	3.00	3.50	4.0	3.0	2.0	4.0	3.0	2.0	3.0	3.0	4.0	4.0	3.0	
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8	P.9	P.10	P.11	
Revenue and Finance	3	2.91	2.86	3.00	3.0	3.0	2.0	4.0	3.0	2.0	3.0	3.0	3.0	3.0	3.0	
					P.1	P.2	P.3	P.4	P.5	P.6						
Innovation	6	2.83	3.00	2.67	3.0	3.0	3.0	3.0	3.0	2.0						
					P.1	P.2	P.3	P.4	P.5							
Risk	8	2.40	3.00	1.50	3.0	3.0	3.0	3.0	0.0							
					P.1	P.2	P.3	P.4	P.5	P.6	P.7	P.8				
Culture	10	0.38	0.00	0.60	0.0	0.0	0.0	0.0	0.0	0.0	3.0	0.0				