



*Helping organizations
see improved results*
Ohio * Indiana * West Virginia

Baldrige Examiner Preparation

Presented by The Partnership for Excellence

With special thanks to our hosts:

PRO-TEC Coating Company, Leipsic, OH
Charleston Area Medical Center, Charleston, WV
OCSEA, Westerville, OH
Community Health Network, Indianapolis, IN
The Christ Hospital, Cincinnati, OH

COURSE OVERVIEW

LEARNING OBJECTIVES...

- ❑ Gain a Deeper and More Consistent Understanding of the Criteria
- ❑ Apply the Six-Step Independent Review Process to an Award Application
- ❑ Make Better Decisions About Choosing Key Factors, Strengths / OFIs, and Scoring
- ❑ Write Better Feedback Comments Using the Comment Guidelines

**The
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for
Excellence**

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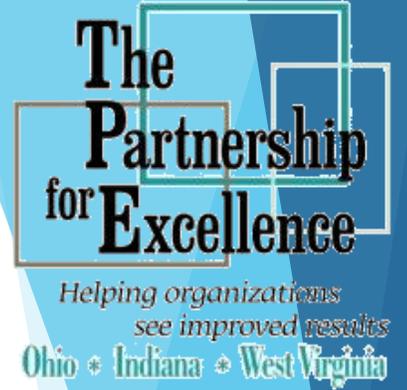
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TAB 1

Participant Manual Pg. 3

AGENDA DAY 1

- ▶ INTRODUCTIONS
- ▶ CODE OF ETHICS AND PROFESSIONALISM
- ▶ REVIEW OF BALDRIGE FRAMEWORK, CRITERIA STRUCTURE
- ▶ PRE-WORK ITEM 2.1
- ▶ PRE-WORK ITEM 1.1
- ▶ NON PRE-WORK PROCESS ITEMS



AGENDA DAY 2

- ▶ REVIEW OF DAY 1
- ▶ PRE-WORK ITEM 7.5
- ▶ PRE-WORK ITEM 7.1
- ▶ SCOREBOOK NAVIGATOR OVERVIEW
- ▶ CONSENSUS
- ▶ SITE VISIT
- ▶ KEY THEMES

INTRODUCTIONS

- ▶ NAME
- ▶ ORGANIZATION
- ▶ EXPERIENCE WITH THE CRITERIA
 - ▶ NATIONAL
 - ▶ TPE
 - ▶ YOUR ORGANIZATION
 - ▶ ELSEWHERE

**TAB 3
TPE Examiner
Process**

Examiners Code of Ethical Conduct & Key Principles

TAB 2

- Provide high quality work products
- Complete assignments within agreed-upon timeframes
- Use effective communication skills and team behaviors to facilitate the consensus process
- Adhere to the Code of Conduct
- Protect the integrity of the Award
- Exhibit professional conduct at all times
- Protect the Confidentiality of the
- Protect the Applicant's intellectual information

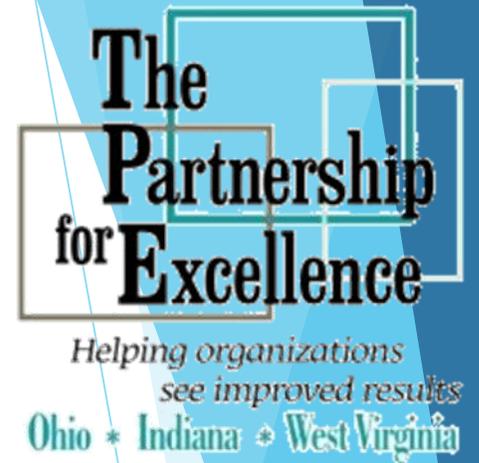


Exhibit TPE's Values at All Times

Excellence – Diversity – Integrity – Visionary Leadership - Professionalism

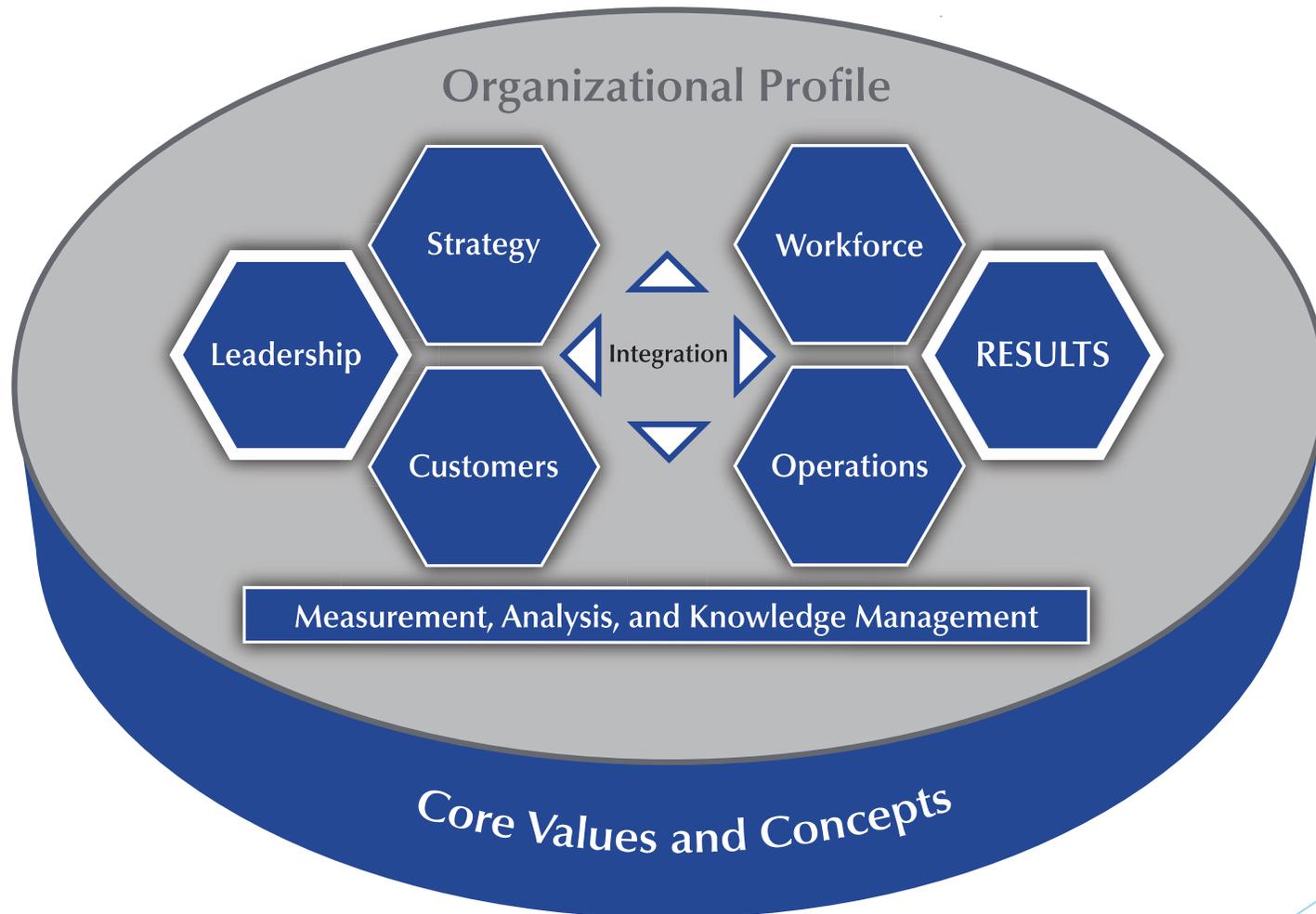
- Examiners are often the primary face of TPE
 - Adhere to code of conduct (see previous slide)
 - Respect team members and applicants
 - During Site Visit
 - Appropriate business attire (attire of organization, no jeans)
 - Appropriate language (no cussing or inappropriate slang)
 - Leave facility as you found it
 - Keep doors to war room closed at all time & locked when away



TAB 2

Participant Manual Pg. 5

CRITERIA FOR PERFORMANCE EXCELLENCE: SYSTEMS VIEW



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2015 - 2016 Baldrige Excellence Framework

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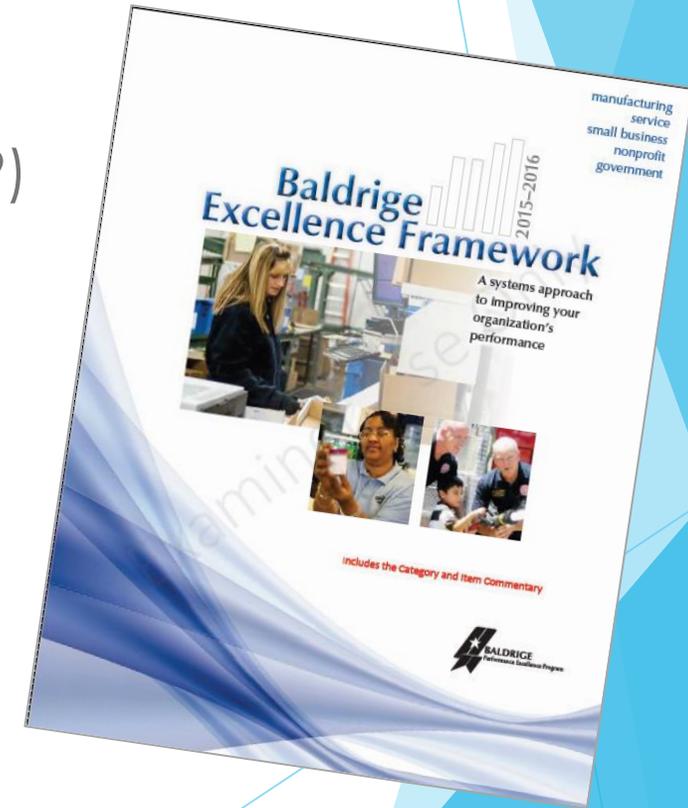
Criteria Overview & Structure (Pages 1 - 2)

Criteria for Performance Excellence (Pages 3 – 29)

Scoring System (Pages 30-35)

Core Values and Concepts (Pages 39 – 43)

Glossary (Pages 47 – 54)

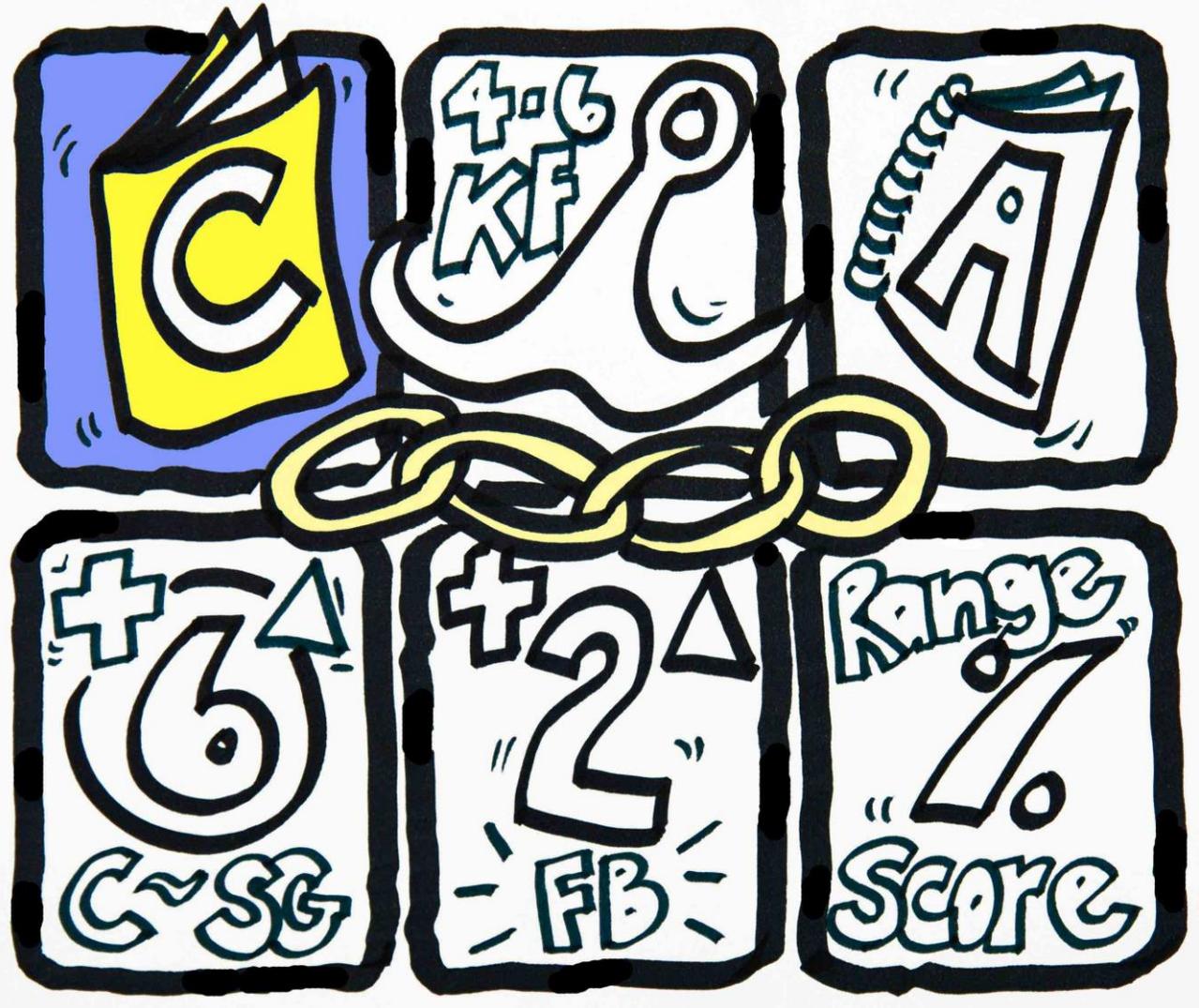


Item Evaluation Process

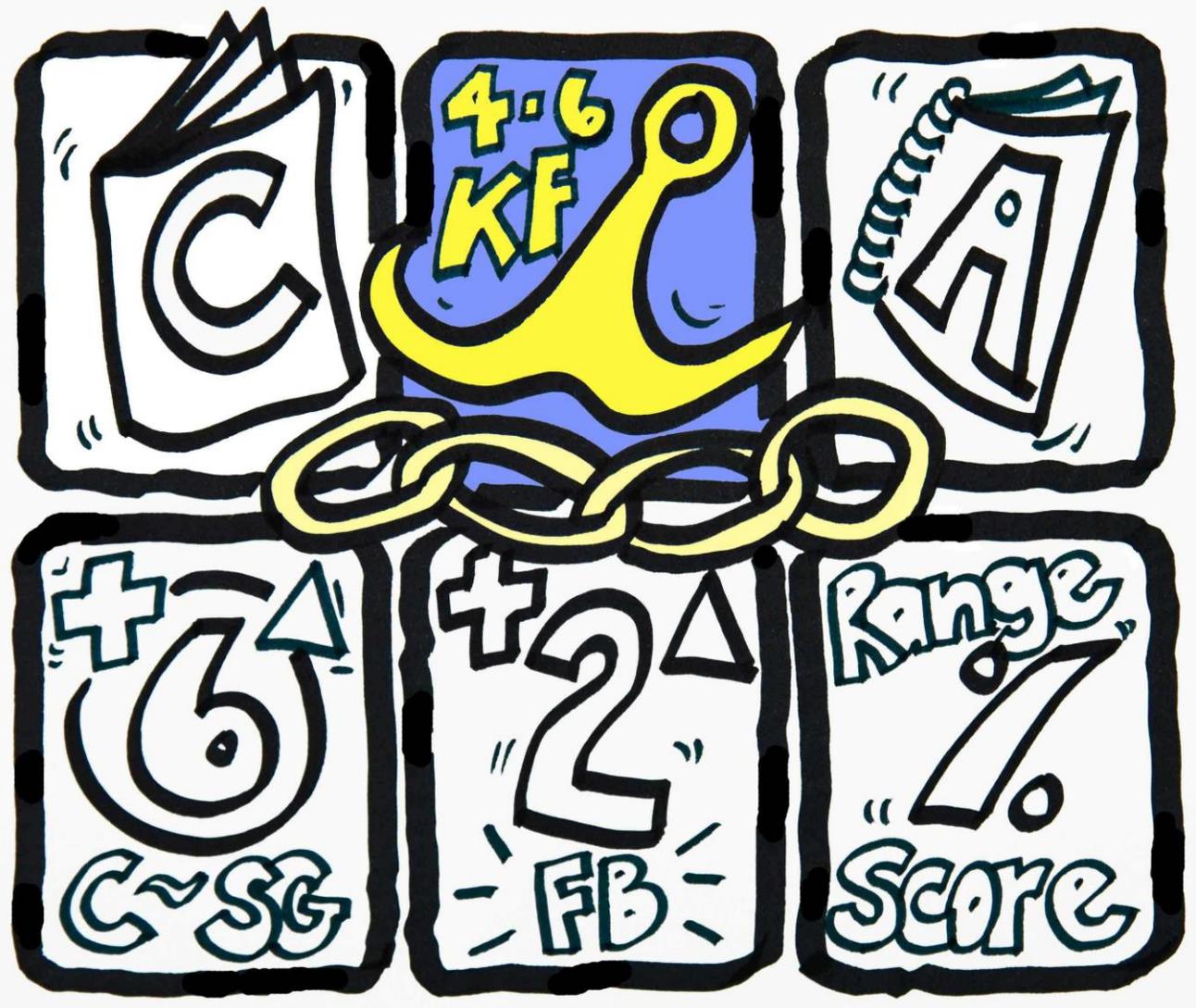


INDEPENDENT REVIEW

Step 1: Read the Criteria

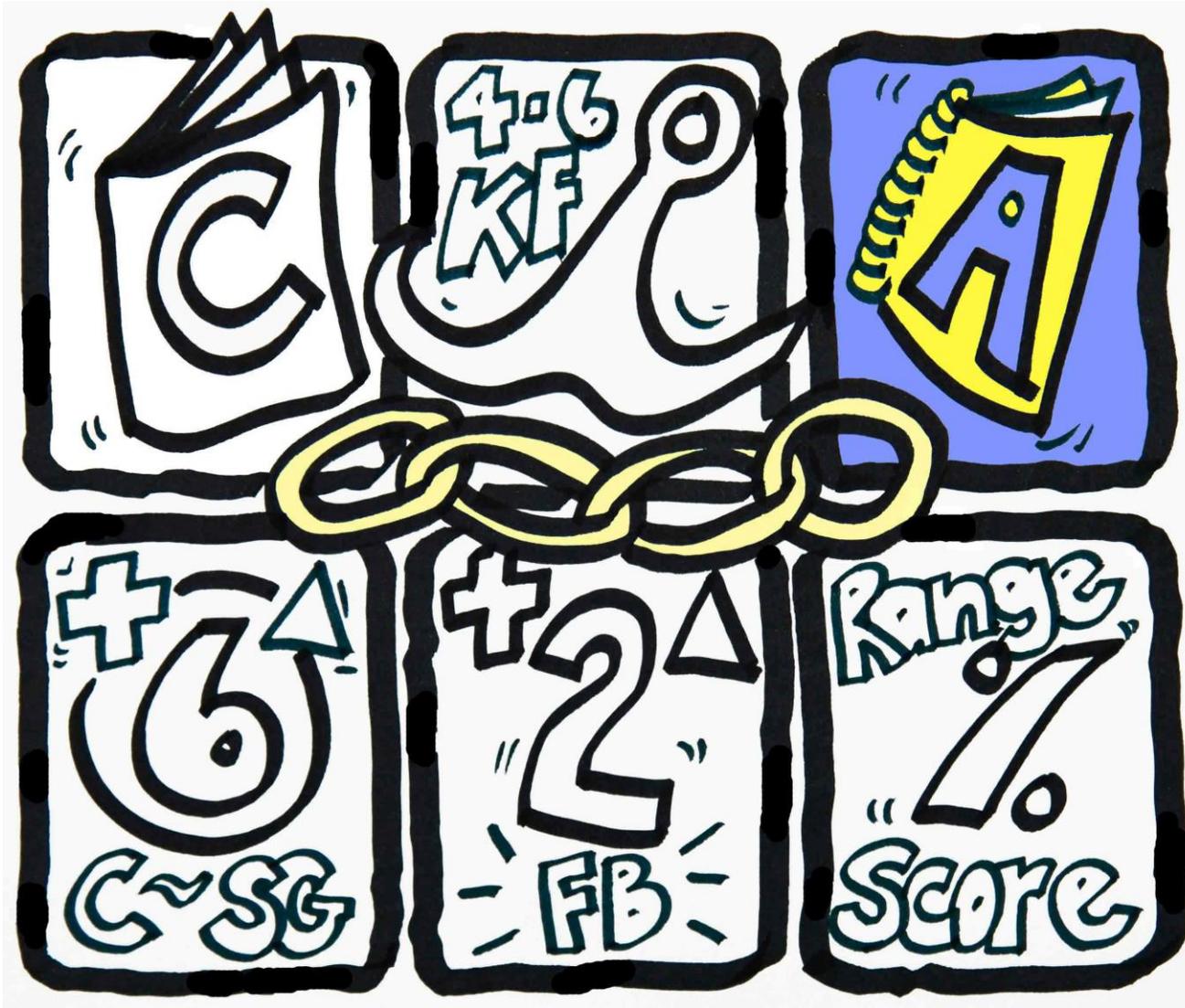


Step 2: Determine Most Relevant Key Factors

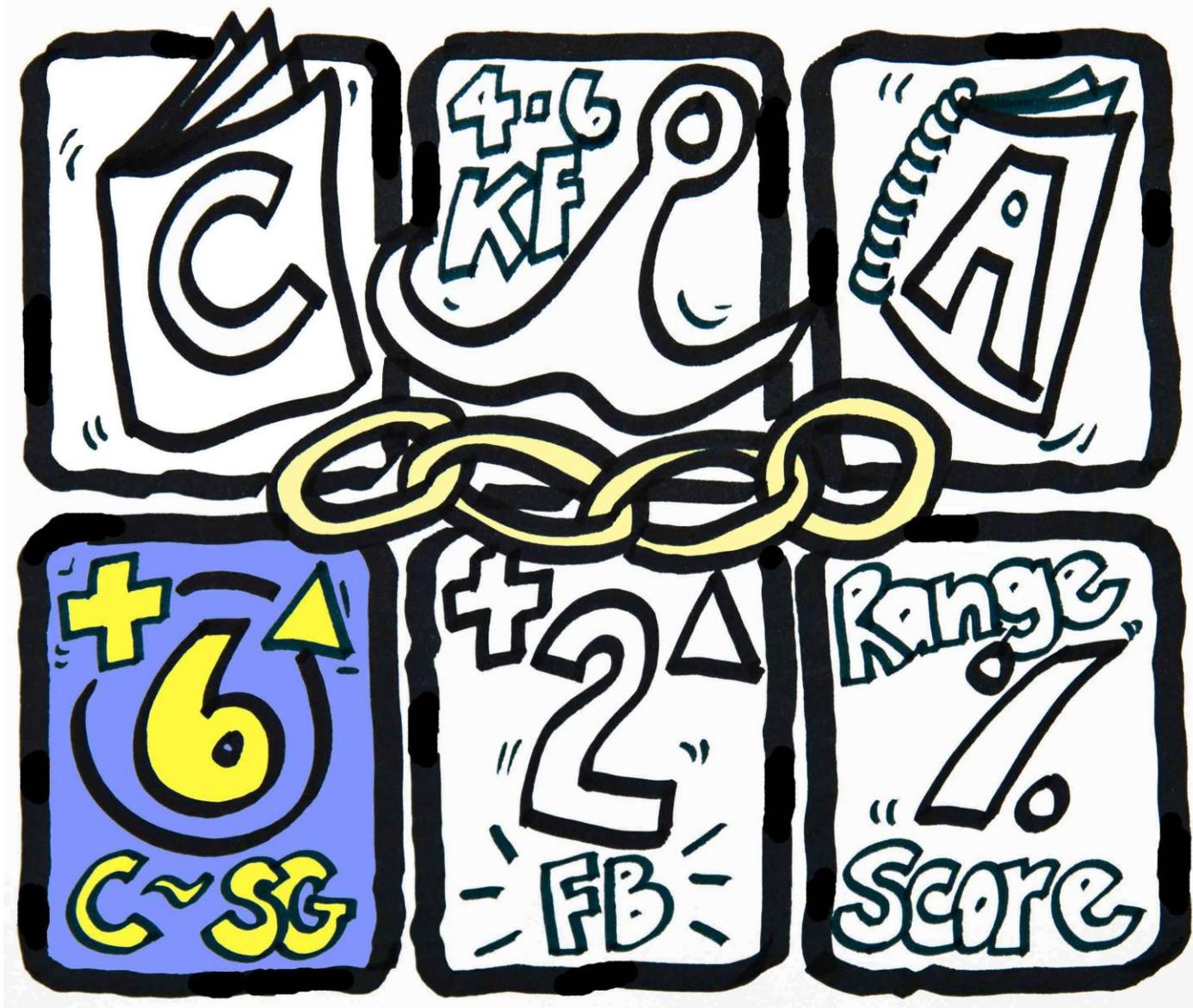


TAB 4

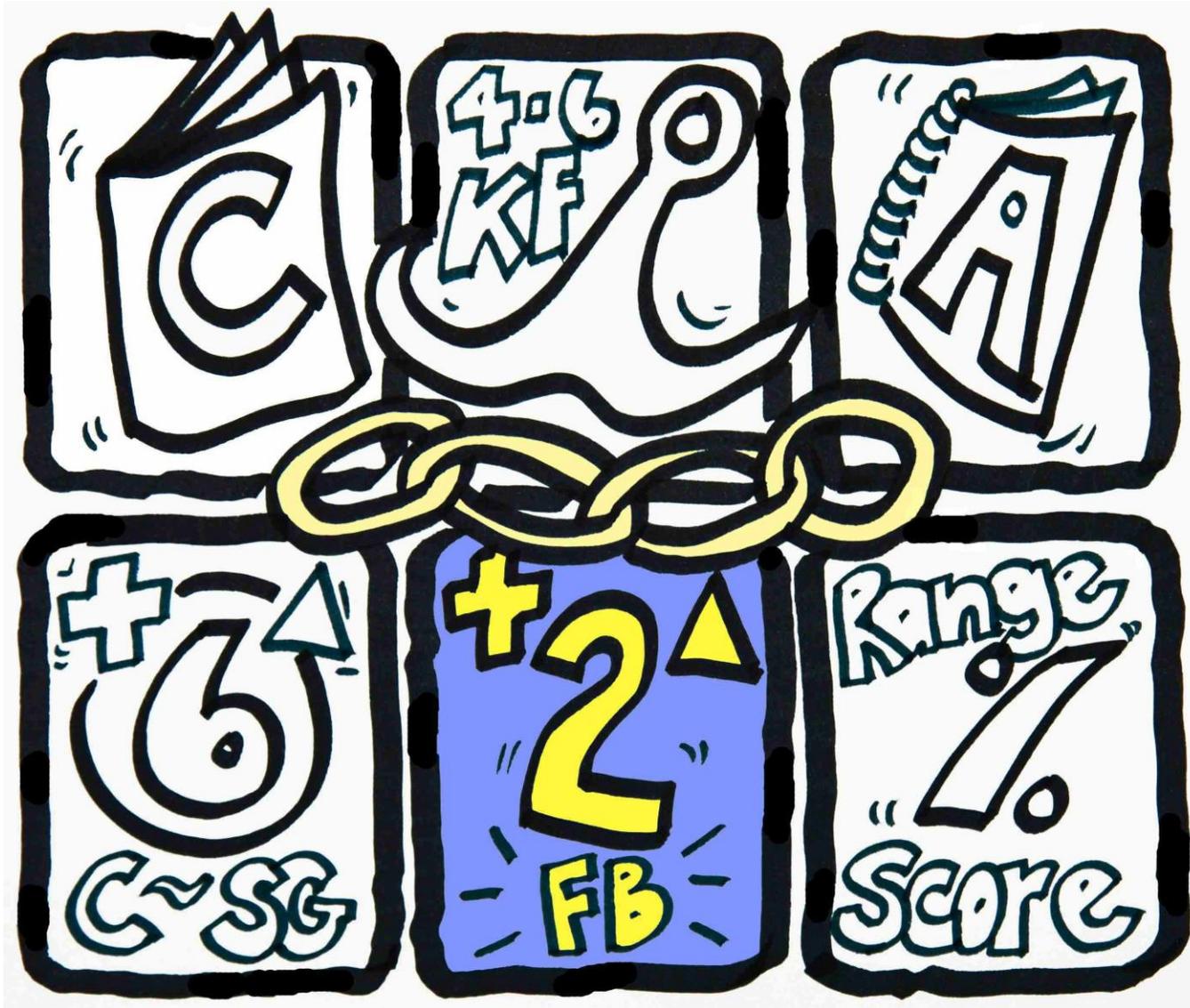
Step 3: Read & Analyze the Application



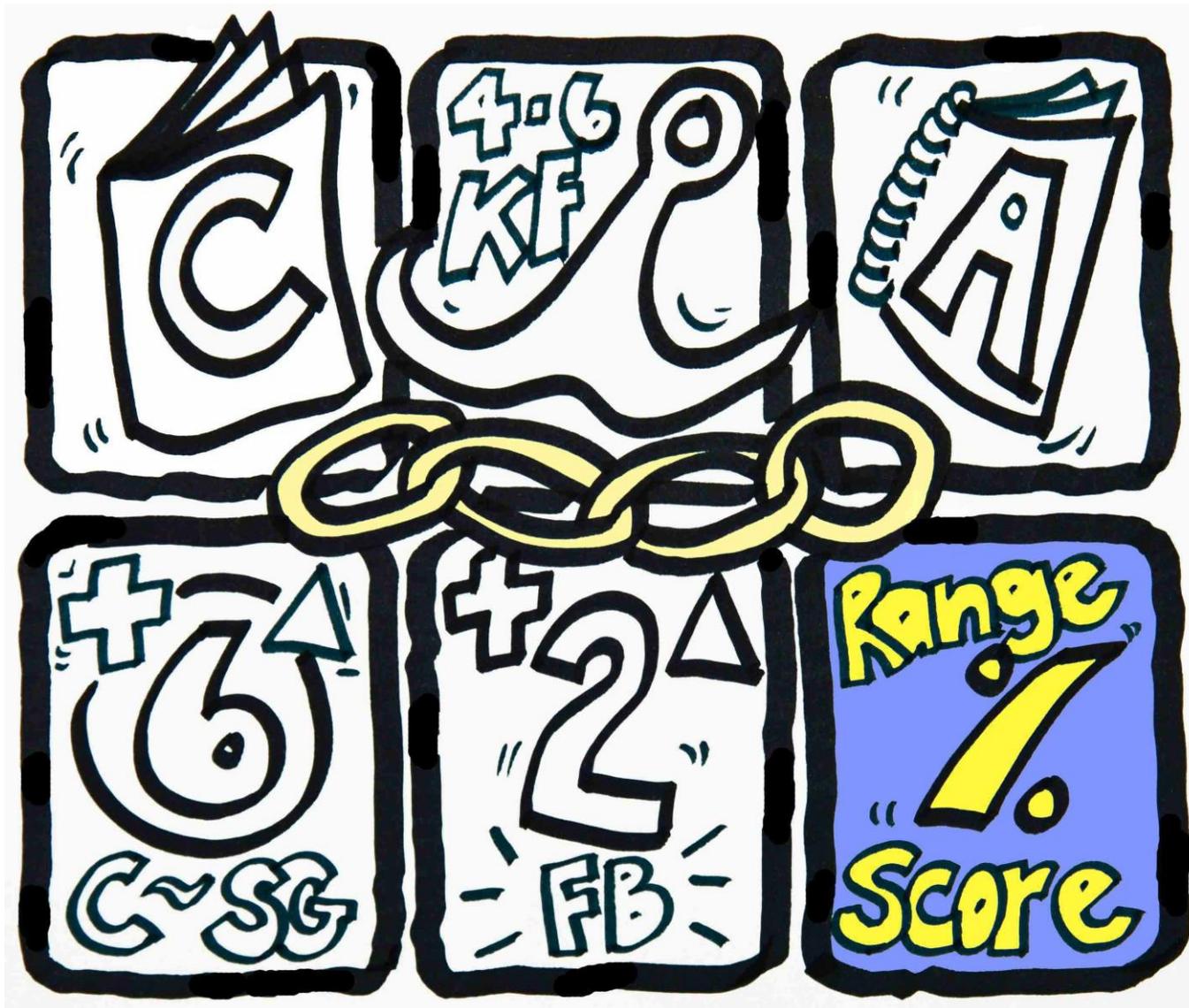
Step 4: Identify Strengths / OFIs



Step 5: Write Feedback Ready Comments



Step 6: Determine the Scoring Range and Score



Segment 1, Round 1



Pre-work Item 2.1

Learning Objectives

1. Gain a deeper understanding of the criteria requirements
2. Evaluate and receive feedback on pre-work assignments

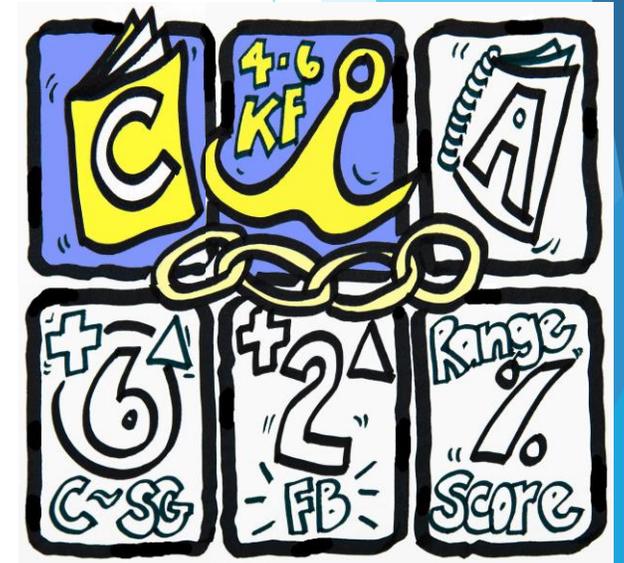
Pre-work item 2.1, overview

- ▶ Select and come to consensus for
 - ▶ Key Factors
 - ▶ Strengths
 - ▶ OFIs
 - ▶ Scoring



Steps 1 and 2: Independent Review (IR)

- ▶ Independent Review (IR): Steps 1 and 2
 - ▶ What are key factors and where are they found?
 - ▶ How do you decide which 4-6 key factors to include?
 - ▶ Will you change your pre-work as a result of this discussion? If yes, what will you change?



Time: 25 minutes

Steps 3 & 4 - Application Analysis, Strengths and OFIs

- ▶ IR Steps 3 and 4
 - ▶ How do you analyze the application?
What are you looking for?

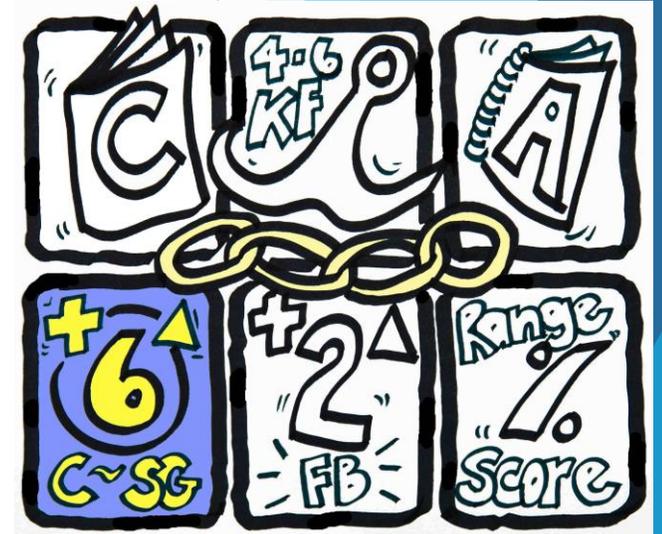
ADLI

Time: 20 minutes



Table Exercise: Strengths and OFIs

1. Share a strength and the rationale for the strength and list these on a flip chart.
2. Do another round for OFIs.
3. Reach consensus on which strengths and OFIs from the list would make it into the scorebook and note them.
4. Report out:
 1. What decision criteria did you use to determine which strengths and OFIs would go to the scorebook.
 2. Are there any key factors you might add or remove after reaching consensus on strengths and OFIs.



*Time: 15 minutes table exercise
+ 5 minute debrief*

Step 5: Comment Writing

▶ NERD

▶ Nugget, Example, Relevance, Done



Sample Process Strength

2.2a(4)

Relevance

To mitigate the strategic challenge of competitors wishing to hire its engaged workforce, the applicant ensures that workforce plans support any needed changes. For example, through data and budget analysis and surveys, the applicant takes a proactive approach to workforce capacity and allocates instructional staff to areas of greatest need through “vertical teamwork.”

53 words, 372 characters/spaces

Nugget

Examples

Sample Process OFI

Nugget

4.2a(1)

It is not clear how the applicant systematically transfers knowledge specific to the needs of parents and volunteers in support of the PhilP that all are accountable for student performance. For example, parents and volunteers do not appear to be included in teachers' grade-level discussions, and parents do not appear to have access to teachers' online forums, blogs, and classroom support server (Figure 4.2-1).

Relevance

Examples

64 words, 415 characters/spaces

Step 5: Comment Writing

- ▶ Each person share a feedback-ready comment from pre-work assignment for 2.1. Have partner evaluate using the Comment Guidelines **TAB 6**



Time: 20 minutes

Step 6: Scoring

- ▶ How do you determine the scoring range and score?



SCORE

PROCESS

UNDERSTANDING SYSTEMATIC APPROACH

0% or 5%

- No SYSTEMATIC APPROACH to Item requirements is evident; information is ANECDOTAL. (A)
- Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)
- An improvement orientation is not evident; improvement is achieved through reacting to problems. (L)
- No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)

10%, 15%,
20%, or 25%

- The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. (A)
- The APPROACH is in the early stages of DEPLOYMENT in most areas or work units, inhibiting progress in achieving the BASIC REQUIREMENTS of the Item. (D)
- Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)
- The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)

30%, 35%,
40%, or 45%

- An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item, is evident. (A)
- The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D)
- The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L)
- The APPROACH is in the early stages of ALIGNMENT with your basic organizational needs identified in response to Organizational Profile and other Process Items. (I)

50%, 55%,
60%, or 65%

- An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the Item, is evident. (A)
- The APPROACH is well DEPLOYED, although DEPLOYMENT may vary in some areas or work units. (D)
- A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including INNOVATION, are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L)
- The APPROACH is ALIGNED with your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

70%, 75%,
80%, or 85%

- An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A)
- The APPROACH is well DEPLOYED, with no significant gaps. (D)
- Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING, including INNOVATION, are KEY management tools; there is clear evidence of refinement as a result of organizational-level ANALYSIS and sharing. (L)
- The APPROACH is INTEGRATED with your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

90%, 95%,
or 100%

- An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A)
- The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D)
- Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING through INNOVATION are KEY organization-wide tools; refinement and INNOVATION, backed by ANALYSIS and sharing, are evident throughout the organization. (L)
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SCORE

PROCESS

UNDERSTANDING DEPLOYMENT

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30%, 35%,
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SCORE

PROCESS

UNDERSTANDING IMPROVEMENT/LEARNING/INNOVATION

0% or 5%

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SCORE

PROCESS

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0% or 5%

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- The APPROACH is well INTEGRATED with your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

Step 6: Determining the score

- ▶ How do you determine the scoring range and score?



Time: 15 minutes + 5 minute debrief

TAB 10

31

Participant Manual Pg. 13

Segment 1, Round 2

Pre-work Item 1.1

Improve Your Work: Overview

Learning Objectives

1. To gain a deeper understanding of the criteria requirements for item 1.1 taking learnings from the first round and using them to improve your work.
2. To use the learnings gleaned from the first round to evaluate and improve your output (key factors, strengths and OFIs, comments, and scoring) for item 1.1



Improve Your Work: Criteria and Key Factor Discussion

- ▶ Task: Perform a cycle of improvement on your pre-work. Look at your notes, and take your learnings from previous work and improve your key factors, strengths and OFIs, and scoring for item 1.1.

Time: 20 minutes

Table Exercise: Share improvements

1. First, offer up improvements you made to key factors (about 10 minutes).
2. Second, offer up improvement to strengths and OFIs (about 10 minutes).
3. Third, offer up improvements to the scoring (again, about 10 minutes).

Time: 30 minutes

TABLE ASSIGNMENTS:

Table 1 Item 1.2	Table 2 Item 3.1
Table 3 Item 4.1	Table 4 Item 4.2
Table 5 Item 6.1	Table 6 Item 6.2

NON PRE-WORK PROCESS ITEMS

Step 1: Read the criteria

1. A brief summary of the overall meaning and intent of the entire Criteria item assigned
2. Bullets on a flip chart indicating:
 - ▶ Points of agreement about the meaning of your Criteria question(s)
 - ▶ Examples of what you would expect to see in the application to address the requirement

Time: 20 minutes

Step 2: Determine most relevant key factors

- ▶ Table Activity 1
- ▶ Choose 4–6 key factors.
 - ▶ Tables must refer to the Scorebook Key Factors Worksheet (in the TST Scorebook – Tab 5) and choose four to six that resonate the most for assigned Criteria item.
 - ▶ Write these key factors on flip charts for future use, but you do not need to report out on these.

Time: 20 minutes

TAB 5

37

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Step 2: Determine most relevant key factors

▶ Table Activity 2

1. Capture the specific item requirements that you think are most important to this organization based on its key factors.
2. Explain why you think these are the most important requirements.
3. Capture at a high level what one might expect to see in response to these requirements and organizational key factors.
4. Be prepared to report out to the large group on these questions.

Time: 20 minutes

Step 3:

Read & Analyze Relevant Section of Application

Independent Reading and Analysis

- ▶ Read your Criteria item and analyze.
- ▶ The goal is to analyze the application identify around six potential strengths/OFs that you will develop in step 4 as a table group.
- ▶ Please make sure to integrate lessons or tips you noted previously to improve your analysis.

Time: 25 minutes

Step 4: Determining Strengths & OFIs

▶ Table Activity (Discussion)

25 minutes + 5 minute debrief

1. Using a round-robin approach, share a strength and the rationale for the strength. List these on the flip charts.
2. Do another round for the OFIs, capturing them on the flip charts.
3. Decide the most important key strengths/OFIs (around 6).

Be prepared to discuss your table's selected strengths and OFIs, and why you would choose to include or not include.

Step 5: Draft feedback ready comments

Learning Objective

- ▶ Organize the information gleaned from the previous four steps and formulate two value-added comments (one strength and one OFI) for the case study applicant organization.

Well Written Process Comments

Sample Process Strength Comment:

2.2a(4) To mitigate the strategic challenge of competitors wishing to hire its engaged workforce, the applicant ensures that workforce plans support any needed changes. For example, through data and budget analysis and surveys, the applicant takes a proactive approach to workforce capacity and allocates instructional staff to areas of greatest need through “vertical teamwork.”

(53 words, 372 characters/spaces)

Sample Process OFI Comment

4.2a(1) It is not clear how the applicant systematically transfers knowledge specific to the needs of parents and volunteers in support of the PhilP that all are accountable for student performance. For example, parents and volunteers do not appear to be included in teachers’ grade-level discussions, and parents do not appear to have access to teachers’ online forums, blogs, and classroom support server (Figure 4.2-1).

(64 words, 415 characters/spaces)

Step 5: Draft feedback ready comments

Table Activity

- ▶ Table members divide into two groups
- ▶ One group will select the most important strength from the previous exercise and write a feedback-ready strength comment
- ▶ The second group will select the most important vulnerability from the previous exercise and write a feedback-ready OFI comment
- ▶ Write your comments on flip chart paper

Time: 15 minutes + 5 minute debrief

Step 6: Scoring

- ▶ How do you determine the scoring range and score?



Time: 10 minutes + 5 minute debrief

DAY ONE WRAP UP

- ▶ KEY LESSONS LEARNED FROM TODAY
- ▶ LINGERING QUESTIONS

DAY TWO

- ▶ ANY “AH HA!” INSIGHTS OVER NIGHT?
- ▶ ANY LINGERING QUESTIONS YOU DIDN'T ASK YESTERDAY?

PRE-WORK ITEM 7.5

Select and come to consensus for

Key factors

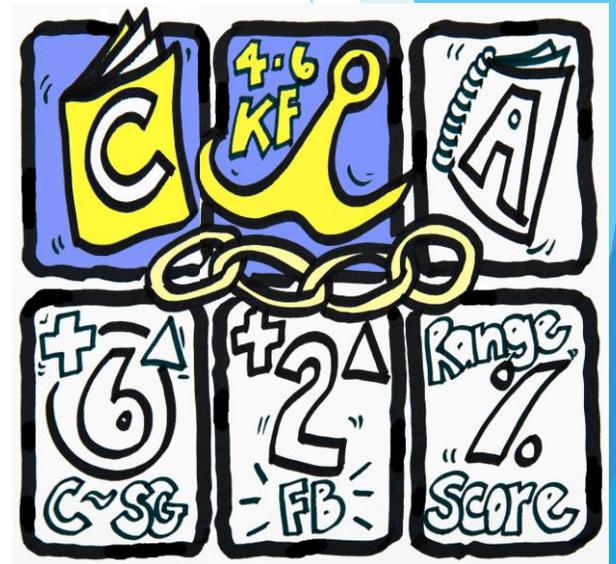
Strengths

OFls

Scoring

Steps 1 & 2: Independent Review (IR)

- ▶ Independent Review (IR): Steps 1 & 2
 - ▶ What are key factors and where are they found?
 - ▶ How do you decide which 4-6 key factors to include?
 - ▶ Will you change your prework as a result of this discussion? If yes, what will you change?



Steps 3 & 4: Application Analysis – Strengths & OFIs

- ▶ Levels
- ▶ Trends
- ▶ Comparisons
- ▶ Integration

LeTCl



Step 5: Comment Writing

- ▶ Each person share a feedback-ready comment from pre-work assignment for 7.5.
- ▶ Have partner evaluate using the Comment Guidelines **TAB 6**



Time: 25 minutes

Sample Results Comment - Strength

7.4a(4)

+ The applicant **demonstrates favorable performance in results for ethical behavior and trust in leadership**. For example, **the facility remained citation-free from the OIG, OCR, ADA, and IRS from 2005 to 2011 (Figure 7.4-4)**. Results for the survey question "I trust my organization to do the right thing" (Figure 7.4-7) demonstrate improving trends for all states in which the applicant operates. **These results may support the applicant's value of Integrity.**

Color Code: **Nugget** **Example** **Relevance**

Comment Length: 58 words & 321 characters

Sample Results Comment - OFI

7.4a

- Increasing the use of comparative data in leadership and governance metrics **may assist the applicant in achieving top-decile results and becoming a top choice for care.** For example, **there are no comparisons in most results, including those on quality ratings (Figure 7.4-5) and community support activities (Figure 7.4-9).** **Only one metric** on leadership communication (Figure 7.4-1) **includes top-decile comparison data.**

Color Code: **Nugget** **Example** **Relevance**

Comment Length: 58 words & 321 characters

Step 6: Scoring

- ▶ How do you determine the scoring range and score?



Time: 20 minutes

Pre-work item 7.1

- ▶ Individual Work: 10 minutes
 - ▶ Review your Strengths and OFIs for 7.1
 - ▶ Review your feedback-ready comments
 - ▶ Review your scoring range and score
- ▶ Table Work: 20 minutes
 - ▶ Share what improvements you would make to your pre-work in any of those areas

TABLE ASSIGNMENTS:

Table 1 Item 2.2 Table 2 Item 3.2

Table 3 Item 7.4 Table 4 Item 7.2

NON PRE-WORK PROCESS ITEMS

Step 1: Read the Criteria

Table Activity

1. Each table will be given two questions containing Criteria requirements to discuss the meaning and what you would expect to see in response.
2. Flipchart point of agreement on the meaning of the requirement and examples of what you would expect to see in response.



Time: 20 minutes

Step 2: Determine most relevant key factors

- ▶ Table Activity 1
- ▶ Choose 4–6 key factors.
 - ▶ Refer to the Scorebook Key Factors Worksheet (in the TST Scorebook – Tab 5) and choose four to six that resonate the most for assigned Criteria item.
 - ▶ Write these key factors on flip charts for future use, but you do not need to report out on these.

Time: 20 minutes

TAB 5

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Step 2: Determine most relevant key factors

► Table Activity 2

1. Capture the specific item requirements that you think are most important to this organization based on its key factors.
2. Explain why you think these are the most important requirements.
3. Capture at a high level what one might expect to see in response to these requirements and organizational key factors.
4. Be prepared to report out to the large group on these questions.

Time: 20 minutes

Step 3:

Read & Analyze Relevant Section of Application

Independent Reading and Analysis

- ▶ Read your Criteria item and analyze.
- ▶ The goal is to analyze the application identify around six potential strengths/OFs that you will develop in step 4 as a table group.

Please make sure to integrate lessons or tips you noted previously to improve your analysis.

Time: 20 minutes

Step 4: Determining Strengths & OFIs

▶ Table Activity (Discussion)

20 minutes + 5 minute debrief

1. Using a round-robin approach, share a strength and the rationale for the strength. List these on the flip charts.
2. Do another round for the OFIs, capturing them on the flip charts.
3. Decide the most important key strengths/OFIs (around 6).

Be prepared to discuss your table's selected strengths & OFIs, and why you would choose to include these or not include.

Step 5: Draft feedback ready comments

Learning Objective

- ▶ Organize the information gleaned from the previous four steps and formulate two value-added comments

Table Activity

- ▶ Table members divide into two groups
- ▶ One group will select most important strength from previous exercise and write a feedback-ready strength comment
- ▶ The second group will select most important vulnerability from previous exercise and write a feedback-ready OFI comment
- ▶ Write your comments on flip chart paper

Time: 25 minutes

Step 6: Scoring

- ▶ Individually assign a score for this item. Refer back to the key learnings captured in Segment 1.
- ▶ Each individual shares his or her score for the item and rationale.
- ▶ The group discusses the scores and arrives at a scoring range and a score that best describes the applicant's level of maturity.
- ▶ Record score on the flip chart.



TAB 10

Time: 15 minutes

Scorebook Navigator Overview

Consensus Review

- Purpose, goals, outcomes
- Process
- How IR feeds into Consensus
- Examiner role
- TL role
- Scorebook Navigator work

TAB 7

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Site Visit

- Purpose goals, outcomes
- Process
- How consensus feeds into SV
- SV Examiner role
- TL role
- Scorebook Navigator work

TAB 8

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Key Themes

- Appear first in the feedback report
- Addressed to applicant's senior leaders as an executive summary
- Summarize most vital issues for organization as a whole, including what the organization must do to remain or become competitive and ensure long-term sustainability
- Cut across items, reflect role model practices or important OFIs, relate to a key factor, and may tie to a core value
- Strategic in nature, may address how well an organization is managing:
 - Major change or improvement
 - Competitiveness or social issues
 - Significant customer, market, product or technological opportunities, challenges

TAB 9

Wrap up Thank You!!!

Final questions/answers
Safe travels home!

Please complete the survey in Tab 11