TPE Step-by-Step to INDEPENDENT REVIEW Scorebook Preparation – 2017-18

Introduction	The most important product you will deliver as an Examiner is your scorebook—your written evaluation of an award applicant. Scorebooks ultimately end up in the hands of award applicants and provide them with a Baldrige Criteria-based assessment of their organization's Strengths and Opportunities for Improvement (OFIs). This Step-by-Step Guide takes you through the process for completing your Independent Review (IR) Scorebook. IR is the first step of the 3-stage review cycle: Independent Review (IR), Consensus Review (CR), and Site Visit (SV). The Strengths and OFIs that you develop at this IR stage will become inputs for your team of examiners to use in developing a scorebook for the second review stage - Consensus.
Before You Begin	• Read this entire Step-by-Step before beginning. • Review all the materials in this packet. • Set aside time in your busy schedule to complete the Items in your IR Scorebook. For the case study, estimate at least 35-45 hours to complete the Key Factors and 4 Items. • Email tiffany@partnershipohio.org to set up your Scorebook Navigator account if you have not already done so
IMPORTANT	**For the actual review cycle that begins in December**, each Examiner will complete ***all*** 17 Items. **For the *Arroyo Fresco Health Center Case Study*, however,** *you need only complete **4** Items!* This partial scorebook must be completed *prior* to attending November Examiner Training. ***For the* Arroyo Fresco Health Center *case study, please complete the following using the Steps below…*** • Identify Key Factors for the remaining Organizational Profile items: P.1b, P.2a, P.2b, and P.2c (Key Factors for P.1a are completed for you on the *Key Factors Worksheet).* • Log your Key Factors (step1) into your Case Study Scorebook on Scorebook Navigator and check "done" when complete. • A final consolidated list of Key Factors will be provided for you in your Case Study Scorebook (step2). • Complete Independent Review in your Case Study Scorebook (step3) for **ONLY** the following 4 Items: 4.2, 6.2, 7.1, and 7.4 and check "done" when complete.

STEPS	INSTRUCTIONS
Study the appropriate Criteria booklet.	Review these sections of the appropriate Baldrige Excellence Framework booklet : • Criteria Requirements for each Item • Criteria Response Guidelines • Core Values and Concepts • Scoring System and Scoring Guidelines **Note:** For case study, be sure you are using the *Healthcare Baldrige Excellence Framework.*
Read the application & make notes.	Read the entire application, highlighting and/or noting the applicant's key processes described in Categories 1-6. Key processes are the methods the applicant uses to address the Item requirements. Make note of the results you would expect to see related to these processes in Category 7-Results.
Draft an initial list of Key Factors (KF) in a Word doc. **Using the consolidated list of KF, enter the KF into Scorebook Navigator via**	**Definition**: A "key factor (KF)" is an attribute of an organization or its environment that influences the way the organization operates and the key challenges it faces. KF do not include descriptions of processes. Examiners use KF to focus their assessment on what is important to the applicant. • Read the Criteria questions for Items P.1 and P.2. (pages 4-6 in Baldrige Excellence Framework Booklet) • Read the applicant's Organizational Profile, which responds to these questions. • Use these applicant responses to identify and draft an initial list of KF (see the Key Factor template for outline reference). • Record these KF (step1) under the appropriate Organizational Profile items in your Case Study Scorebook on Scorebook Navigator. Select "done" when complete • For an example of a completed set of KF, see the KF worksheet in the Independent Review section of TPE's *Examiner Learning Resource Center* *http://www.thepartnershipforexcellence.org/resources_training.html*

cut/copy & paste.	
Read and begin to evaluate each Item.	ITEM EVALUATION STEPS *For each Item*, complete the six-step Item evaluation process (below). Select the relevant KF, identify the Strengths and Opportunities for Improvement (OFIs) with their evidence, score the Item, and develop 2 feedback-ready comments – one Strength and one OFI for each Item. **1. Read the Criteria Item to refresh your memory and understand the Item requirements.** **2. Determine and select the most relevant Key Factors (KF) for the Item** — Review your KF Worksheet to determine the attributes of the organization that would influence its responses to the Item requirements. — Identify the most relevant 4-6 KF for the Item. — Enter these KF in the IR Worksheet on Scorebook Navigator by clicking on your chosen KF from the drop down list. **3. Read the corresponding section of the application. The application should use the same numbering system as the Criteria booklet.** **Identify processes or results that the applicant uses to meet Item requirements.** **Flag, mark up, color-code, and/or make notes as needed on the application itself.** — On the application, note any measure/indicator you expect to see reported in Category 7—Results. — Note any ideas, threads, or patterns that recur in multiple Items or Categories. — In recording the process or approach in Scorebook Navigator, use *the applicant's wording from the application* rather than using your own words.
Analyze the applicant's response to each Item, and record the Strengths and OFIs.	**4. Continue to develop the Independent Review (IR) Worksheet.** — Identify and record a total of **4-6 Strengths and OFIs** as brief statements/observations accompanied by evidence to support the statement. Note that more mature applicants may benefit from additional strengths and OFIs while fewer, more critical, Strengths and OFIs may be more appropriate for less mature applicants. — For each Strength or OFI: • Select the relevant Key Factor(s) that influence this comment (e.g., varied employees, shifts, sites) • Enter the Strength (or OFI) as a brief statement. It should represent the responsiveness of the applicant to the Criteria, given the applicant's KFs (what's most important to them). • Provide evidence that supports the statement as a Strength (e.g., the approach XYZ has six steps, was expanded in 2013, and includes a final step for evaluation and feedback.) or as an OFI. • Select the appropriate evaluation factors – A, D, L, and/or I for process Items and Le, T, C, and/or I for Results Items— that apply to this Strength or OFI, keeping the applicable factors and criteria questions in mind. Consider the specific evidence that you observed. (*see appendices at the end of this document*) • Determine whether the Strength (or OFI) is *very* significant to your evaluation and indicate that by checking the double +/- box. • Indicate the Item reference number [e.g., a(1), b(1, 3), a, or c(1–3)]. • Use the arrows to arrange the order of the Strengths and OFIs, starting with the one that has the most important feedback to give the applicant. — Re-read your Strengths and OFIs to eliminate any conflicts. *For a sample completed Independent Review Worksheet 5.1, go to the Examiner Learning Resource Center (ELRC)* http://www.thepartnershipforexcellence.org/resources_training.html

<table>
<tr><td></td><td></td></tr>
<tr><td>Draft two feedback-ready comments</td><td>
5. Draft a feedback-ready Strength and a feedback-ready OFI.
— Choose the 2 that you think are the best Strength and the best OFI from those you have recorded.
— At the bottom of the IR Worksheet, develop these into 2 actionable, feedback-ready comments. Use the Comment Guidelines (found at the ELRC website address above) to aid you.
— Each Strength or OFI should include:

NUGGET: A topic sentence. A single thought or piece of feedback written in concise language.
EVIDENCE: Evidence is found in the application - 1 or 2 examples that support the main topic sentence. Use the application's language instead of your own. In addition to examples, evidence could include a Figure reference where appropriate. Write the Figure reference accurately and in this sequence: Actual Expense Percentage of Budgeted Expense (Figure 7.5-1)
RELEVANCE: Add a sentence that tells the applicant why the comment should be important to them. Do this by linking this sentence to one of the Key Factors, to language in the scoring guidelines, or to the Baldrige Core Values. You can also ask "What evaluation factor is relevant to this Strength/OFI?" Thinking this way may further help you focus the comment on what is important to the applicant (e.g. if the important element of the comment is deployment, there may be no need to add language about approach, learning, and integration.)

</td></tr>
<tr><td>Score the Item.</td><td>
6. Determine the scoring range <u>and</u> the score for the Item.
— Determine the applicant's overall scoring range for the Item. Start by reviewing the Criteria requirements and all of the 4-6 Strengths and OFIs you originally drafted for the Item.
— Note the balance and importance of Strengths and OFIs, including those that are doubled, relative to Item requirements and the applicant's Key Factors (what's most important to them).
— To determine the Scoring Range for the Item, review the Scoring Guidelines (pages 34-35 Criteria and top of Scoring section in Scorebook Navigator) and determine the range that is, overall, most descriptive of the organization's achievement level. Start with the middle scoring range of 50% and proceed up or down from there to find the description that best fits.

The applicant does not need to demonstrate all the characteristics in the selected range; rather, the score is based on a holistic view of the scoring guidelines.

— As a check, read the description of the ranges above and below the selected range to determine where the applicant's score falls.
— Finally, within the scoring range you chose for the Item, choose a percentage score that is a multiple of 5.
</td></tr>
<tr><td>Review all IR worksheets.</td><td>

When you have completed all of the Items, review them to check for any conflicts across Items.
Select "Done" on your Scorebook (step3).
(Important: for the Case Study, you need only complete 4 Item worksheets: 4.2, 6.2, 7.1, and 7.4. For the actual application you receive in December, you will complete all 17 Item Worksheets.)

</td></tr>
<tr><td>On completion….</td><td>

If this is an actual TPE application review, notify your Team Leader that you have completed IR by selecting "Done" on your Scorebook (step3). Please note: once the Team Leader has moved the team on to the next step, you will not be able to return. Up until then, you may deselect "done" if needed.
If this is the case study, in preparation for Examiner Training in November, print 2 copies of the assigned IR worksheets 4.2, 6.2, 7.1, and 7.4 and take them to training.

</td></tr>
</table>

PROCESS Item Evaluation Factors - ADLI

Approach (A): "Approach" refers to the methods used by an organization to address the Baldrige Criteria Item requirements in Categories 1–6. Approach includes the appropriateness of the methods to the Item requirements and to the organizations operating environment.

- Is the approach systematic (i.e., with repeatable steps, inputs, outputs, time frames)?
- Is there evidence that the approach is effective?
- Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant's overall performance?

Deployment (D): "Deployment" refers to the extent to which an approach is applied in addressing the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of the application of the approach to the relevant work units throughout the organization.

- Is deployment addressed?
- What evidence is presented that the approach is in use in one, some, or all appropriate work units, facilities, locations, shifts, organizational levels, and so forth?

Learning (L): "Learning," in the context of the evaluation factors, refers to new knowledge or skills acquired through evaluation, study, experience, and innovation.

- Has the approach been evaluated and improved? If it has, was the evaluation and improvement conducted in a fact-based, systematic manner (e.g., was it regular, recurring, data driven)?
- Is there evidence of organizational learning (i.e., evidence that the learning from this approach is shared with other organizational units/other work processes)?
- Is there evidence of innovation and refinement from organizational analysis and sharing (e.g., evidence that the learning is actually used to drive innovation and refinement)?

Integration (I): As a process evaluation factor, "integration" covers the range from organizational "alignment" of approaches in the lower scoring ranges to the "integration" of approaches in the higher scoring ranges.

"Alignment" refers to the consistency of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. It requires the use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organization level, the key process level, and the work unit level.

"Integration" refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

- How well is the approach aligned with the organizational needs the applicant has identified in other Criteria Items and the Organizational Profile?
- Does the applicant indicate complementary measures and information used for planning, tracking, analysis, and improvement on three levels: the organizational level, the key process level, and the department or work-unit level?
- How well is the approach integrated with organizational needs?

  Examples of needs are generally listed as key factors—strategic challenges, objectives, and related action plans; organizational mission, vision, and goals; strategic advantages; key processes and measures; key customer/market segments and requirements; and workforce groups and requirements.

RESULTS Item Evaluation Factors - LeTCI

Levels (Le): Performance levels refer to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

- What levels are provided?
- Is the measurement scale meaningful?
- Are key results missing?

Trends (T): Trends refer to numerical information that shows the direction and rate of change for an organization's results. A minimum of three data points generally is needed to begin to ascertain a trend.

- Are trends provided for few, many, or most Areas addressed in the Item requirements?
- Is the interval between measures or frequencies appropriate?
- Are the trends positive, negative, or flat?
- What is the rate of change (slope of the trend)?
- Do the trends demonstrate little, some, or much breadth in the applicant's improvement efforts (i.e., how widely are they deployed and shared)?
- Are significant variations in trends explained in the text of the application?

Comparisons (C): Comparisons refers to how the applicant's results compare with the results of other organizations. Comparisons can be made to the results of competitors, organizations providing similar products and services, industry averages, or best-in-class organizations. The maturity of the organization should help determine what comparisons are most relevant.

- Are comparisons provided?
- Are the comparisons to key competitors, industry sector averages, or best-in-class organizations?
- How does the applicant compare against these other organizations?

Integration (I): Integration refers to the extent to which results measures (often through segmentation) address important customer, product & service, market, process, & action-plan performance requirements identified in the OP & in Process Items; include valid indicators of future performance; and are harmonized across processes & work units to support organization-wide goals.

- To what extent do results link to key factors and Process Items?
- Are results segmented appropriately (e.g., by key customer, patient, or student segment; employee type; process/ education program or service; or geographic location) to help the applicant improve?