2020 TEAM LEADER/ASSISTANT TEAM LEADER POST-TRAINING WEBINAR

PRESENTED BY THE PARTNERSHIP FOR EXCELLENCE

NOVEMBER 23, 2020

PRE-INDEPENDENT REVIEW:
INITIAL CONTACTS

CHECKLIST #1 – PRE-INDEPENDENT REVIEW: CONTACTING APPLICANT POC, ATL & TEAM

Contact your Team

- Give team your contact info
- Confirm each member's preferred contact info & method
- Give Bio form & establish return date & method
- Identify potential & blackout Consensus *and* Site Visit Dates
- Review Key Factor process & establish dates to complete KFs
- Schedule a team conference call to kick things off

Contact your Applicant POC

- Give POC your contact info
- Confirm POC preferred contact info & method
- Ask POC if they would like a copy of ***Site Visit Applicant Guidelines*** – will provide
- Discuss potential & blackout SV dates
- Confirm communication schedule going forward
- Ask POC what other questions he/she has
- Schedule & conduct IR call with applicant

Contact your ATL

- Discuss team management & appropriate ATL tasks
- Confirm communication schedule going forward

KEY FACTORS PROCESS

1. TL or ATL enters their KF into Stratex APEX as the common list of KF for the team
2. Examiners complete individual KF in word document (for practice) & upload to Eval Team Files – ***Remind Examiners to NOT type KF into Stratex APEX individually***
3. Examiners to alert TL if any additional KF should be added to common list
4. TL informs Lauren Browning to move team to IR in Stratex APEX

You only have 4-5 weeks for IR – don't let KF take up too much time!

INDEPENDENT REVIEW,

PRE-CONSENSUS AND THE CONSENSUS MEETING

CHECKLISTS #2 & 3 – INDEPENDENT REVIEW/PRE-CONSENSUS/CONSENSUS

INDEPENDENT REVIEW

- Do your own Independent Review
- Monitor team progress
- Draft detailed schedule for remainder of process
- Determine Consensus Review Item Leads /Backups, and Key Themes & Scorebook Editors

CONSENSUS PLANNING

- Prepare for Consensus Meeting
  - Confirm date(s), video conferencing links, other logistics
  - Conduct practice session
  - Establish back-up plans in case initial meeting runs over
  - Develop agenda
- ***Leave early role model CR feedback***

What does this look like?

TIPS FOR MANAGING THE TEAM

- Communicate expectations/progress to the entire team weekly
- Team Leader and ATL:
    - Call examiners who are behind or don’t respond to any of your email requests
    - Mentor examiners by reviewing their work
    - Mentor experienced examiners to mentor their partner examiner
    - ***Help team write 4A comments based on maturity of applicant***

Baldrige Comment Guidelines

The applicant is the customer for your feedback comments. Your goal is to meet the customer requirements below.

Actionable
The applicant can take action based on the comment and understand the potential benefit.

Include these elements in your comments. Arrange them in the most readable way for the applicant.

- **A concise opening statement of the main idea (the "nugget").** Include only one main idea per comment. If you have several, either choose one, or combine them into a higher-level, more general nugget. If something "is not clear," describe what is missing.
- **The relevance of this main idea to the applicant.** Use a key factor to show the relevance—why the comment is important to the applicant. Include just one point of relevance per comment.
- **One or two examples to support and clarify the main idea.** Choose examples from the application that clarify the strength or opportunity for improvement. If you have many, choose the most important ones, or group them.

Aligned
The comment reflects the Criteria and reflects the scoring range you have chosen.

- Write comments on the basic, overall, or multiple **Criteria requirements** that are most important to the applicant; ensure that the requirements align with the score. Use language from the Criteria.
- Use only enough Criteria language to add clarity. Seek to **add value rather than restate information.**
- Point out areas of strength or opportunities for improvement based on the **evaluation factors (ADLI or LeTCI).** Use language from the Scoring Guidelines. In each comment, focus on just one or two evaluation factors.
- Ensure that the comment **does not contradict other comments** in the same item or other items.

Accurate
The facts and data are correct.

- Use the **applicant's terminology.**
- Use the **correct names and terms** (e.g., for the applicant's processes and for figure names).
- **Check the facts and data** in your comment. For example, if you state that "there is no evidence," check text and figures to ensure that this is true; if you note adverse trends or a lack of comparative data, make sure this is true.
- Don't "parrot" the application; seek to **add value rather than restate information.**

Appropriate
The tone is professional and polite.

- **Don't** comment on the applicant's **style of writing or data presentation.**
- **Don't** use **jargon or acronyms unless they are the applicant's terms.**
- **Don't** be **judgmental** by using terms such as "bad" or "inadequate."
- **Don't** be **prescriptive** by telling the applicant what it "should" do or recommending specific practices that are **beyond the Criteria.**
- **Don't assert your personal opinions.**

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A non-exhaustive list . . .

- 1st draft CR comments
- Item backup review
- Item lead redraft
- Team R1
- Item lead redraft
- Team R2
- Item lead final for CR
- Team CR discussion topics
- 1st draft KT
- CR
- Item lead redo/rescore
- 1st draft SVI sheets
- Final SVI sheets
- Document list and interview schedule (from SVIs) and Agenda to POC 7-10 days before SV

DETAILED SCHEDULE

Schedule all activities from the end of IR through the Site Visit, considering

- Schedule "in-between" tasks for those JIT examiners who will take the full time allotment to write comments and give their back-up one hour to review . . .
- Team and ***Site Contact*** buy-in

Identify team members who are the POC for their organization and make sure site visits don't conflict

How can we get Document and Interview lists to the Site POC earlier?

IS TEAM READY FOR THE CONSENSUS MEETING?

WHAT DOES THE TEAM NEED TO DO BEFORE THE CONSENSUS MEETING?

CONSENSUS MEETING LOGISTICS

- Determine video conference software
  - TPE has 2 licenses of Zoom available
  - Team member may have access to software (Zoom, MS Teams, etc.)
- May want to consider 2 consecutive half days instead of 1 full day
- Conduct practice session to ensure connectivity of team members
- Schedule back-up date in case meeting runs over

CONSENSUS REVIEW AGENDA

Morning

Ground rules	5 min
Key Factors	10 min
KT preview	10 min
Item 1.1	20 min
Process check	5 min
Item 1.2	20 min
Item 7.4	20 min
Item 2.1	20 min
Break	10 min
Item 2.2	20 min
Item 7.5	20 min
Item 3.1	20 min
Item 3.2	20 min
Item 7.2	20 min

Afternoon

Item 4.1	20 min
Item 4.2	20 min
Item 5.1	20 min
Item 5.2	20 min
Item 7.3	20 min
Break	10 min
Item 6.1	20 min
Item 6.2	20 min
Item 7.1	20 min
Key Themes	40 min
Site Visit Planning	

What can you get done in advance to increase the efficiency of the meeting?

Virtual meeting will require more frequent breaks!

Target 6-7 hours, assuming 15-20 minutes per Item

STEPS FOR ITEM LEVEL CONSENSUS
(15-20 MINUTES PER ITEM USING SCRIPTS)

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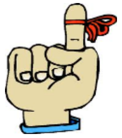
1. Category/Item lead
   a. Briefly review the Item Criteria requirements (1 min)
   b. Briefly review 4-6 Key Factors for the Item (1 min)
   c. Present Item comments (5 min)
      Don't read the comments; rather, talk about what is significant
      Briefly review significant conflicts / unique comments & recommendation
2. All examiners (10 min)
   a. Provide feedback in ***structured*** order (CAN ONLY TALK ONCE!)
   b. Provide explanation back to ADLI or LeTCI (as appropriate)
   "I agree with everything as previously stated" or "I agree, except for….."
3. Category/Item lead (2 min)
   a. Decide if additional, open discussion is required among all examiners
   b. Summarize significant changes to the comments
   c. State reasons for recommended scoring range and score



Don't wordsmith comments – there will be time for that later

Potential Other Assignments

- ***Criteria Cop***
- ***Scorekeeper***
- ***Timekeeper***

Note: Team Leader helps to manage the process for inexperienced examiners

CONSENSUS REVIEW OF KEY THEMES

- Pre-consensus Meeting
  - Experienced examiner is assigned as a "Category lead" to draft Key Themes
  - All examiners compare their respective category/item comments to key themes to :
    - Identify Item level comments that support (or conflict with) each Key Theme
    - Suggest additional Key Themes
  - "Category lead" for Key Themes consolidates feedback to ensure all Key Themes are supported
- During Consensus
  - "Category lead" presents Key Themes, section by section
  - All examiners provide additional feedback based on Consensus discussions by Item

SITE VISIT PLANNING

CHECKLIST #4 –SITE VISIT PLANNING

Planning with Site

- Updated Data
- Locations to Access
- People to Interview
- Document Request
- Lock down Day 1 of the Agenda, Share Draft of Days 2 and 3
- Plan how team will review documents ***before*** the Opening Meeting
- Logistics for conducting virtual site visit – video conferencing, document repository, walk around questions, culture, visual management, etc.

Planning with Team

- Make sure all Consensus Meeting changes are reflected in STRATEX Apex and ***Download/Save Final CR Scorebook***
- Make sure team knows how to use SVI Sheets
- SVI Worksheets – at a minimum:
    - Each “Important” Strength, All OFIs
- SVI Worksheets include
    - Documents
    - Interviewees
    - Walk Around Questions
    - Leadership Roundtable Questions
- Documentation to bring to site

REMEMBER: Make sure you leave enough time to send documents and interviewee requests to the site at least 10-14 days ***before*** the Site Visit begins

PURPOSE OF A SITE VISIT

- Verify and clarify
  - Verify strengths
  - Clarify opportunities for improvement
    - Due to the application being vague; missing an explanation; or doesn't address the criteria
- Fact finding via:
  - Interviews – 2 Examiners per Interview, keep interviews consolidated and to a minimum
  - Documents
  - Observation
- Update the feedback report with facts from the site visit
- Let judges decide if the facts reflect role model behavior

PLANNING FOR A SITE VISIT

- As a "Team"
  - Develop a Site Visit Strategy, i.e. determine which sites to "visit" based on Site Listing, Key Factors, and Site Visit Issues
  - Consolidate information and interviews wherever possible.
- As a "Category Lead"
  - Develop Site Visit Issue Worksheets (SVIWs) for your category, i.e., who to talk to, what to ask, what documents to review, appropriate walkaround questions, etc. Don't forget results.
- As a "Category Back-up"
  - Review Site Visit Issues
- As an "Examiner"
  - Review **all** Site Visit Issues
  - If multiple, similar sites are visited, each examiner will gather input on almost all Site Visit Issues

WHICH SITES TO "VISIT"?

- Based on Key Factors and the Site Listing
- Based on Site Visit Issues (SVIs)
- Not necessary to visit every location
  - Not enough time
  - Not a major Site Visit Issue
  - Not a Key Factor
  - Not a major portion of the business
- Divide examiner teams among the facilities

CHECK DEPLOYMENT SECOND DAY - DRILL DOWN

- Workforce Segments identified in the Organizational Profile/ Application/SVIs
- Functions/Departments
- Key Process Owners
- Teams

Tailoring Questions for the Audience

- What's the first thing you look at in the morning and why?
- How does your performance measurement system cover all areas of the organization?
- What measures are you held accountable for?
- What's important to the organization?

- Rank and File
- Supervisor/Front Line Management
- Category Interview
- Senior Leaders at Roundtable Meeting

Can you match the question with the most appropriate audience?
How and why are the questions different?

TYPICAL FIRST DAY SCHEDULE - APPROACH

7:30a arrive at site or access software		Examination Team 1	Examination Team 2	Examination Team 3
8:00-8:15 a.m.	Opening presentation by TL	Senior leaders		
8:15-8:45 a.m.	Opening presentation by the applicant	Senior leaders		
8:45-10:00 a.m.	Interview senior leaders	Senior leaders		
10:00-10:30 a.m.	Team caucus			
10:30-12:00 p.m.	Category interviews	Cat 1.0 Leadership	Cat 3.0 Customer	Cat 6.0 Process
12:00-1:00 p.m.	Lunch (team caucus)			
1:00-2:30 p.m.	Category interviews	Cat 2.0 Strategy	Cat 4.0 Information	Cat 5.0 Workforce
2:30-3:00 p.m.	Team caucus (optional)			
3:00-4:00 p.m.	Walk-around/Focus Group or use time to extend category 7 interviews			
4:00-5:00 p.m.	Category 7.0 Interviews	7.1 & 7.5	7.2	7.3 & 7.4

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TYPICAL SECOND DAY SCHEDULE – DEPLOYMENT

		Examination Team 1	Examination Team 2	Examination Team 3
8:00-9:00 a.m.	Interview division or facility mgmt	Division or facility management		
9:00-10:00 a.m.	Middle management	Managers	Supervisors	Supervisors
10:00-10:30 a.m.	Team caucus / review documents			
10:30-11:30 a.m.	Employee interviews	Employee group 1	Employee group 2	Employee group 3
11:30-1230 p.m.	Lunch (team caucus / review docs)			
12:30-1:30 p.m.	Walk-around/Focus Groups (select target areas by process/geography)	Target area 1	Target area 2	Target area 3
1:30-2:30 p.m.	Special teams (e.g. work teams, improvement teams)	Improvement team 1	Improvement team 2	Improvement team 3
2:30-3:00 p.m.	Team caucus / review documents			
3:00-4:00 p.m.	Open / TBD			
4:00-5:00 p.m.	Open / TBD			
	Second shift interviews (if applicable)	Supervisors	Employees	Employees

How do you handle 2nd and 3rd shifts?

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SITE VISIT

CHECKLIST #5 –SITE VISIT

WITH THE SITE

- Lead Opening Meeting using TPE template
- Conduct senior leader roundtable meeting
- SVI questions, document review, updated and new results
- Lead Closing Meeting using TPE template (and then no more contact with Site)

Remember to meet with Site POC at end of each day on site to let them know of changes to next day's Agenda

WITH THE TEAM

PRE-CLOSING MEETING

- Ongoing team calibration
- Evening activities

AFTER CLOSING MEETING

- Review and approve all SVI worksheets
- Revise, review and approve all Item Comments
- Rescore
- Revise, review and approve Key Themes
- Feedback Editor converts scorebook to Feedback Report format and edits

Considerations due to Impact of COVID

- Focus on KEY processes & results.
- Explore organization's overall decision-making process related to COVID & document findings.
- Explore how organization mitigated negative impacts of COVID & document findings.
- When verifying what is in the application, make sure document requests extend beyond past 6 months.
  - You should also explore & document how those key processes have changed due to COVID.
- Continue to collect, review & analyze updated results, but speak with the applicant to understand the impact of COVID on *key* measures & document findings.
- Do not take results of critical importance at face value.
  - Capture the essence of the explanation for changes and document findings.
- Avoid determining an automatic opportunity for improvement (OFI) for drop-offs in performance in recent results.
  - Performance levels, trends, and comparisons before COVID are critical.

WHAT TO "TAKE AWAY" FROM OPENING SESSION WITH SENIOR LEADERSHIP TEAM

- Use the session to test your preliminary KTs & strengths (while staying alert for others)
- **Identify organizations response to COVID situation**
- Observe the SLT culture, organizational collaboration
  - How do they reach consensus?
  - How do they identify OFIs for continuous improvement?
  - How do they contribute to, and participate in organizational/personal learning?
  - How do they engage customers, employees, etc.?

What is your favorite question?

CALIBRATION OF TEAM DURING SITE VISIT

- Caucus meetings during the day
  - Early morning (30 min), lunch (60 min) and afternoon (30 min)
  - By exception, major findings, both strengths and OFIs
- Every evening connect with examiner team
  - 10 minutes per category
    - Category lead is the calibration point
    - Category lead reports major findings
    - Other examiners comment with exceptions or additions

Remember there should always be at least 2 examiners in interviews with applicant

EVERY EVENING, EVERY EXAMINER….

- Updates Site Visit Issues (SVI)
  - Update site visit issues with findings (facts) from interviews & document review
  - Determine what else needs to be done to close out an SVI

- Reads item level comments
  - Identify what stays, changes, or gets added

- Prepares for the next day
  - Script out questions

CATEGORY 7.0 RESULTS CONSIDERATIONS

- Updated Category 7.0 Results
  - Inclusive of time period between application and site visit
- Copies of actual reports that contain key indicators:
  - Management Reports, Strategic Plan, Special Analyses
- Balance adverse trends with qualitative analysis
  - 100%, 100%, 99.7%, 99.5% - in top decile all four years
  - $100, $103, $105, $95, $98 – planned decrease

OFI or no OFI . . . ?

- Look for connections back to the Process Items in Cat 1.0 - 6.0
  - Same key indicators?
  - Is there competitive and/or comparative data on the report?
    - - How is it used?

CLEARING AN OFI DURING SITE VISIT

- Site Visit Issue Worksheets provide an audit trail
  - Record the FACTS (and Findings)
- If you clear an OFI site visit issue, use the next higher range from the "Scoring Guidelines" to determine where the applicant stands, and ideally, rewrite the OFI comment at the next higher scoring band.
  - "What's the stopper for the next scoring range?"

PROCESS MATURITY MATRIX, ITEM 1.1 EXAMPLE
WHAT IS "THE STOPPER" FOR A HIGHER SCORE?

	Approach	Deployment	Learning	Integration
50%, 55%, 60%, or 65%		Deployed to organization (Shareholders, Customers, Employees)	Access to information, performance reviews	MVV, strategic action plans, ST & LT directions
70%, 75%, 80%, or 85%	Systematic, responsive to multiple questions	Not deployed to Suppliers & Partners	Lack of refinement and innovation - environment for innovation; translate findings for future opportunities	Suppliers & Partners are not addressed
90%, 95% or 100%	Not fully responsive to all multiple questions			

THE MORNING OF DAY 3 OF SITE VISIT

- Plan the Closing to be presented by Noon on Day 3
  - There will only be time for a couple of interviews on Day 3
  - After the closing, the rest of Day 3 is spent on activities related to walking the wall and editing comments
  - The team cannot leave meeting until the scorebook is "feedback ready"
- Your team will need to summarize several themes in the closing presentation given by the team leader
  - These are abbreviated bullets taken from the themes
  - After the closing presentation, there is no more contact with applicant to verify or clarify SVIs, either with documentation or interviews
- All documents are returned to the applicant on Day 3

REVISING ITEM COMMENTS

- Changes to bolding (i.e. important)
- Changes to order of comments
- Strengths
  - Stay, become OFIs, go away, change focus (e.g., A,D becomes A only)
- OFIs
  - Stay, become strengths, go away, change focus (e.g., A becomes D)

"WALKING-THE-WALL"

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- Process to manage effective and efficient consolidation of site visit facts & observations from all team members
  - SVI Worksheets, Item Comments, Score
  - Will be done virtually in 2021

Discuss best practices and lessons learned for virtual walk the wall

FINALIZING KEY THEMES

Be sure that each Key Theme:

- Focuses on one main topic
- Explains the strength or OFI and its importance to applicant
- Contains pertinent examples traceable to team's comments and evidence in the application
- Is written in "plain English"—understandable by all key customers
- Is not judgmental or prescriptive

COMPARE SCORES TO KEY THEME

- Does the overall score support the Key Themes?
  - If the average of the scores for Categories 1 - 6 are greater than 50%, are there more strength Key Themes in section "a", than OFI Key Themes in section "b"?
  - If the percent score for Category 7 is greater than 50%, are there more strength Key Themes in section "c", than OFI Key Themes in section "d"?
- Do the Item level scores support the Key Themes?
  - Which Items support a Key Theme?
    - Are the Item scores higher for a strength Key Theme?
    - Are the Item scores lower for an OFI Key Theme?

FINAL REVIEW AGAINST THE SCORING BAND DESCRIPTORS

Band Score	*Band Number*	**PROCESS** ***Descriptor***
0–150	1	The organization demonstrates early stages of developing and implementing approaches to the basic Criteria requirements, with deployment lagging and inhibiting progress. Improvement efforts are a combination of problem solving and an early general improvement orientation.
151–200	2	The organization demonstrates effective, systematic approaches generally responsive to the basic Criteria requirements, with some areas or work units in the early stages of deployment. The organization has developed a general improvement orientation that is forward-looking.
201–260	3	The organization demonstrates effective, systematic approaches responsive to the basic requirements of most Criteria items, with areas or work units still in the early stages of deployment. Key processes are beginning to be systematically evaluated and improved.
261–320	4	The organization demonstrates effective, systematic approaches generally responsive to the overall Criteria requirements. Deployment may vary in some areas or work units. Key processes benefit from fact-based evaluation and improvement, and approaches are being aligned with overall organizational needs.
321–370	5	The organization demonstrates effective, systematic, well-deployed approaches responsive to the overall requirements of most Criteria items. The organization demonstrates a fact-based, systematic evaluation and improvement process and organizational learning, including some innovation, that result in improving the effectiveness and efficiency of key processes.

Read most likely scoring band; then read the one below; and the one above.

Choose best fit

POST SITE VISIT

CHECKLIST #6 – POST SITE VISIT

FINAL DELIVERABLES

- Make sure the Feedback Report downloaded from Stratex Apex is "Feedback Ready"
- Send deliverables to TPE and your judge as outlined in e-mail

WORKING WITH THE JUDGE

- Pre Judges' Meeting/ Post Judges' Meeting
- Key Themes
- Item Comments
- Scoring

Share experiences on working with your Judge last cycle

WHAT MAKES A BAD FEEDBACK REPORT?

- “Defective Comments” (in descending order of irritation):
  - Comments not relevant to the applicant’s business (i.e. their Key Factors)
  - Prescriptive comments
  - Comments have incorrect information about the applicant
  - Can’t understand the comment
  - Comments don’t meet the criteria

WHAT MAKES A GOOD FEEDBACK REPORT?
(CLEAR, CONCISE, EASY TO READ, ACTIONABLE)

- Strength Comments
  - Relevant to the applicant's business
  - Highlight approaches that the applicant should continue
  - Actionable!
- OFI Comments
  - Relevant to the applicant's business
  - Highlight major issue that holds them back
  - Specific enough to be ACTIONABLE

    i.e. the applicant knows exactly <u>where</u> to deploy a process

    i.e. the applicant knows exactly <u>what</u> to change

ONLINE APPLICATION SOFTWARE

- 4 of 6 applicants using online application software
- Applicant's responses will be in response box in Apex software
  - Will also upload a pdf into Eval Team Files
- Applications based on word count & number of figures, not pages
- Intent to Apply, Glossary, Org Chart to be uploaded

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