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New Examiner Orientation

PRESENTED BY THE PARTNERSHIP FOR EXCELLENCE

WITH SPECIAL THANKS TO OUR HOSTS:

OCSEA, WESTERVILLE, OH
ELI LILLY, INDIANAPOLIS, IN

NEO Purpose

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NEO Objectives

Introduction to TPE & Baldrige!

Get you started on Pre-work!

- Introduce you to TPE
- Provide an overview of the examining process
- Explain examiner roles & responsibilities
- Understand the Baldrige Excellence Framework
- Identify and Record Key Factors, Strengths & Opportunities for Improvement
- Use Scorebook Navigator

History

In mid-1980s, U.S. leaders realized American companies needed to focus on quality in order to compete in an ever-expanding, demanding global market.

The goal of the Malcolm Baldrige National Quality Improvement Act of 1987 was to enhance the competitiveness of U.S. businesses. Its scope has since been expanded to health care and education organizations (in 1999) and to nonprofit/government organizations (in 2005).

Congress created the Award Program to:

- Identify and recognize role-model businesses
- Establish criteria for evaluating improvement efforts
- Disseminate and share best practices

Malcolm Baldrige
Secretary of Commerce
1981-1987

What is Baldrige all about?

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Improving organizational performance using an objective, cost-effective, third party evaluation…

- Accelerating improvement results
- Gaining an outside perspective
- Focusing on results that matter
- Energizing your workforce
- Learning from the feedback report

"The Baldrige Excellence Framework can be adapted to fit your unique challenges and culture and help you evaluate performance, assess where improvements or innovation are most needed, and get results."

We are not Consultants – Baldrige is not an "awards program"

The Baldrige Enterprise: *BPEP; Baldrige Foundation; ASQ; Alliance for Performance Excellence*

- All 50 states have program coverage

- States are part of the Alliance for Performance Excellence and partner with The American Society for Quality (ASQ) and the National Baldrige Program

- Ohio, Indiana & West Virginia's Baldrige-based state program is *The Partnership for Excellence*

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THE ALLIANCE FOR PERFORMANCE EXCELLENCE
Learn. Share. Connect.

TPE's Mission, Vision and Values…

- Mission: *To cultivate organizational performance excellence and continuous improvement in Ohio, Indiana, & West Virginia*
- Vision: *To be the partner of choice for creating high-performing organizations that produce exceptional results*
- Values:
  - *Excellence*
  - *Diversity*
  - *Integrity*
  - *Visionary Leadership*
  - *Professionalism*

Paul Worstell
Chairman, TPE Board of Trustees
Former President, PRO-TEC Coating Co.
2004 TPE Platinum Award Recipient
2007 Baldrige Award Recipient

The only state based program to conduct & submit its own Self-Assessment twice!

Our Representation in Ohio, Indiana & West Virginia

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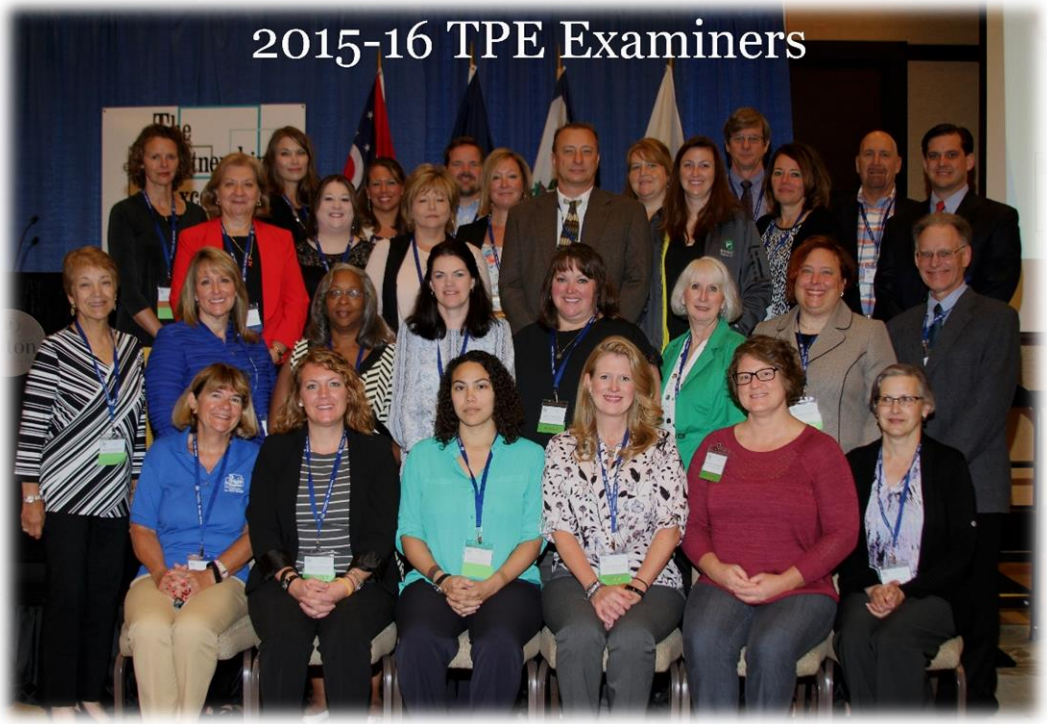


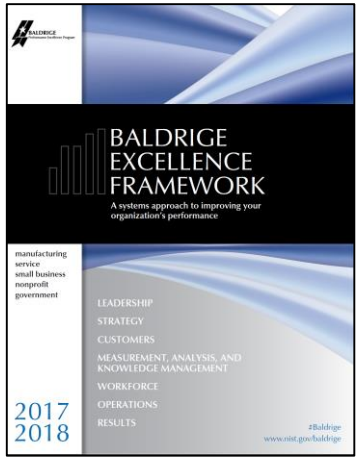
- 366 Partnership for Excellence Award Applicants (2000 - 2017)
- Award Applicants Represent:
  - * 1.7 million jobs at 1,769 work locations
  - * $ 139.2 billion in revenues/budgets
  - * Estimated 226.6 million customers

2,420 Examiners have volunteered over $36.3 million in services

The Examining Process "Big Picture"

Organization's

50 Page Self-Assessment "Application"



TPE's

Feedback Report

Organizations submit a 50-page self-assessment referred to as their "Application" which follows a standardized format.

TPE Examiners evaluate the Application using the appropriate Baldrige Excellence Framework.

TPE returns a "Feedback Report" to Organization with Strengths, Opportunities for Improvement & Key Themes. The application receives a "score" indicating a level of organizational maturity.

The Examiner's Role

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Evaluate a 50-page application using the Baldrige Excellence Framework by …

1. **Independent Review** - analyzing, drafting comments, and scoring the application
2. **Consensus Review** - synthesize IR work and develop one scorebook
3. **Site Visit** - *Clarify* and *Verify* all information in the Application
4. ***Write the Feedback Report (FBR)***

Examiners Code of Ethical Conduct & Key Principles

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- Provide high quality work products
- Complete assignments within agreed-upon timeframes
- Use effective communication sk
- Adhere to the Code of Conduc
- Protect the integrity of the Awa
- Exhibit professional conduct at
- Protect the Confidentiality of th
- Protect the Applicant's intellect

Exhibit TPE's Values at All Times

Excellence – Diversity – Integrity – Visionary Leadership - Professionalism

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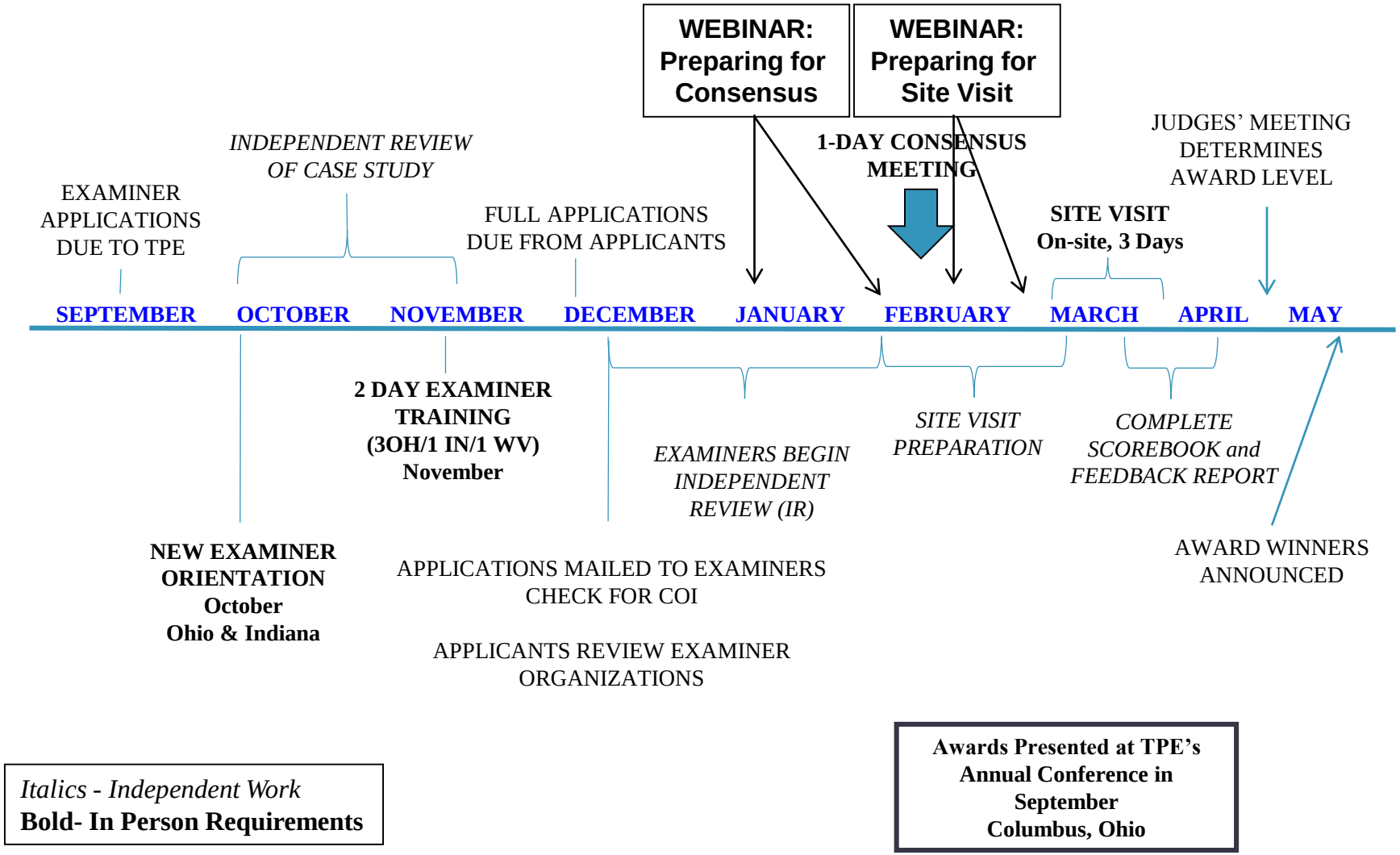
- Examiners are often the primary face of TPE
  - Adhere to code of conduct (see previous slide)
  - Respect team members and applicants
  - During Site Visit
    - Appropriate business attire (attire of organization, no jeans)
    - Appropriate language (no cussing or inappropriate slang)
    - Leave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

The Examination Cycle & Awards Process Timeline



Italics - Independent Work
Bold- In Person Requirements

Awards Presented at TPE's Annual Conference in September Columbus, Ohio

Examining Process

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Learning and Preparation

- Oct./Nov. - Training & Case Study (55-60 hrs)

3 Main Stages of Examining

- Stage 1 – Jan. – Independent Review (30-45 hrs)
- Stage 2 – Feb. – Consensus Review (10-15 hrs)

  Site Visit Preparation (8-10 hrs)
- Stage 3 – Mar. – Site Visit (30-50 hrs)

Feedback Report

- Apr./May – Examiners, Team Leaders, Judges (8-10 hrs)

Average Time Commitment

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Timeframe	Responsibilities	Estimated Time Required
October	New Examiner Orientation	8 hrs/1 day
October/ November	Completion of Pre-work Case Study Assignment	25-35 hours
November	2 Day Examiner Training	16 hrs/2 days
December/ January	Independent Review (IR) and completion of IR Scorebook	30-45 hours
February	Consensus Review (CR) and Meeting; Site Visit Worksheets & Planning	25-35 hours
March/April	3-day Site Visit and completion of Site Visit Scorebook	25-30 hours
April	Revise Strength and OFI comments – write the Feedback Report	4-6 hours
September	Examiners honored at Examiner Breakfast during ***Quest for Success*** Conference	

2017 – 2018 TPE Examiner Process

Oct/Nov/Dec '17	Dec '17/Jan '18	Late Jan/Feb	March	Apr/May	May/Jun
1.1 Examiner Applications due September	2.1 Independent Review TLs contact applicant's POC to set dates for Site Visit	3.1 Begin Consensus Review. TL assigns both Category Lead and Category Back-up responsibilities to each examiner on the team.	4.1 Plan SV (draft SVI worksheets, list documents to examine, walk-about questions, interviews, etc.	5.1 TL and/or Scorebook Editor insert comments & scores into FBR template	6.1 TPE finalizes FBR and sends to applicant
1.2 Applicants notified of acceptance within 72 hours	2.2 Review the Framework Booklet so that you are very familiar with its contents. Assure you are using the correct Booklet for your application (i.e. Health Care for Health Care, etc.)	3.2 For your *assignment as Category Lead*, read the KFs, IR Strength & OFI, evidence, evaluation factors, comments, scoring range/score from all team members	4.2 Participate in 3-day SV. Review documents, interview assigned staff, verify and clarify SVI. *Work* each SVI worksheet.	5.2 When & where requested by TL, Category Leads contribute to feedback report	6.2 Examiners are honored at the Quest for Success Conference in September
1.3 If a 1st time examiner, attend New Examiner Orientation in Ohio or Indiana in October	2.3 Do a first read of the application: make notes in margins, underline, highlight, etc. (or in SBN) of any important information that relates directly to the Criteria	3.3 Using strongest draft comments, further develop a 4- 6 FB-ready Strength & OFI comments for each assigned Item. Re-score both range & score using appropriate scoring guidelines. Enter in SBN by (date)	4.3 Re-write comments concisely, as needed, using Comment Guidelines. Walk-the-Wall.	5.3 TL completes Score Summary Worksheet	***KEY*** ***ATL**-Assistant Team Leader*
1.4 Prework – Oct (Time to complete prework: 25-35 hours.) Examiners submit completed prework at ex trng.	2.4 Read the applicant's OP and identify KF for P1a, P1b, P2a, P2b, and P2c. Develop a list of KF in a word doc. Forward to TL.	3.4 Read the consensus comments and scoring for Items in your backup Category assignment and provide feedback to the Category Lead by email, phone, or in SBN by (date). Review the draft list of KT.	4.4 Draft SV scorebook before leaving site. Return all applicant documents. Sign Scorebook.	5.4 TL discusses FBR and scores with Lead Judge	***ELRC** – TPE's Examiner Learning Resource Center* ***FB** - Feedback* ***FBR**-Feedback Report*
1.5 If invited as a Team Leader or ATL, attend Team Leader Training late October.	2.5 TL will consolidate KF into a single list and return to you to enter the KF in SBN by (date). Team members will use the consolidated KF list going forward.	3.5 Read the feedback provided by your Category backup and revise your Strength & OFI comments and re-score as appropriate in SBN by (date)	4.5 Participate in closing meeting after which there are no further questions or interviews with applicant.	5.5 TL makes revisions per discussion with Lead Judge	***IR** -Independent Review* ***KF** – Key Factors* ***KT**-Key Themes* ***OFI**-Opportunities for Improvement*
1.6 Attend Examiner Training at one of 5 locations (3 in Ohio, 1 in Indiana, and 1 in West Virginia) in November	2.6 Analyze the applicant's response to each Item. In SBN, select KF, Item reference, record Strengths & OFIs, evidence, & ADLI/LeTCI. Draft 1 **Strength** & 1 **OFI** comment *for each Item*. Write concisely. Use NERD and Comment Guidelines for help.	3.6 Once all comments are posted, read all consensus comments & scoring for all Categories. Provide feedback to the Category Lead in SBN by (date).	**4.6 Very important**: Hold all paperwork and notes from SV until instructed to destroy	5.6 Judges meet to decide award levels and make recommendations to Board of Trustees	***OP**-Organizational Profile* ***RS**-Resource Sheet* ***SBN** – Scorebook Navigator* ***SV**-Site Visit* ***SVI**-Site Visit Issue* ***TL**-Team Leader*
1.7 Examiners receive their 50-page application early-mid Dec. Notify TPE immediately of any Conflict of Interest.	2.7 Score each Item using the appropriate scoring guidelines – Process or Results. Indicate scoring range and percent score *for each Item*. Complete IR wkshts in SBN by (date). Review draft of KT posted by TL in SBN.	3.7 Attend Consensus Meeting: resolve consensus issues & rewrite comments. Ensure comments are well-developed and FB-ready. Re-score where necessary. Review KT.		5.7 Board of Trustees decides awards. TPE President/CEO contacts applicants with award level	

See Tab 2

Summary

- Thank you for volunteering to become an Examiner!
- You must set a disciplined schedule for yourself.
- You are part of a team, your teammates are depending on you.
- The first year is tough, full of anxiety and ambiguity, it will be OK.
- Get started tomorrow, please do not wait.

Baldrige Excellence Framework – 3 Versions

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- BUSINESS, NONPROFIT & GOVERNMENT
- EDUCATION
- HEALTH CARE

The Applicant Chooses which Framework Booklet to Use!

What's in your framework booklet?

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2017-2018 Organizational Profile and Criteria Descriptions	Pages 4-30
Item Format	2
Category and Item Commentary	On the web
Core Values & Concepts	40-44
Glossary of Terms	47-54
Scoring System and Guidelines	31-36

Framework Booklet Overview

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- Framework
- Item Format
- Item & Point Value
- Organizational Profile
- Notes
- 7 Categories
- Scoring System
- ADLI & LeTCI
- Response Guidelines
- Core Values & Concepts
- Glossary

CORE VALUES and CONCEPTS

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- Systems perspective
- Visionary leadership
- Customer-focused excellence
- Valuing people
- Organizational learning and agility
- Focus on success
- Managing for innovation
- Management by fact
- Societal responsibility
- Ethics and transparency
- Delivering value and results

What is the ORGANIZATIONAL PROFILE?

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- 5-pages written by the applicant that provide TPE examiners with a succinct description of the organization
- Snapshot of the organization that tells examiners how the organization sees itself
  - the KEY influences on HOW it operates
  - the KEY challenges it faces

Why is the Organizational Profile (OP) so important?

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- The OP helps applicants, examiners, and judges understand what is most relevant and most important to the organization's business and success

- Determines Key Factors

Parts of the OP

- **P.1 Organizational Description**
  - P.1.a. Organizational Environment
  - P.1.b. Organizational Relationships

- **P.2 Organizational Situation**
  - P.2.a. Competitive Environment
  - P.2.b. Strategic Context
  - P.2.c. Performance Improvement System

Categories and Items

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- **7 Categories** within the Criteria
- **17 Items** within the 7 Categories
- What's an Item?
  - A subset of a Category
  - 2 Items in each Category except Cat 7 where there are 5 Items

The 7 Criteria Categories

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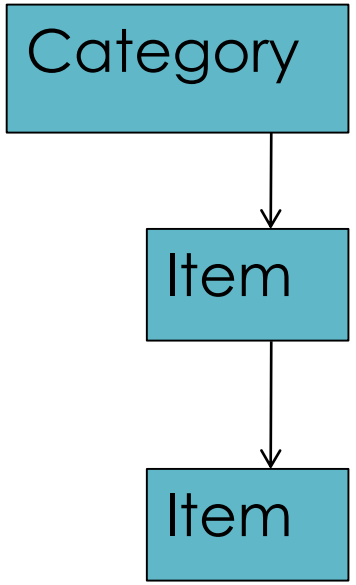
- **Cat 1** – Leadership
- **Cat 2** – Strategy
- **Cat 3** – Customers
- **Cat 4** – Measurement, Analysis & Knowledge Management
- **Cat 5** – Workforce
- **Cat 6** – Operations
- **Cat 7** - Results

Categories 1-6 are "Process Categories"
Category 7 is "Results"

7 Categories, 17 Items



Category 1 – Leadership

Item 1.1 - Senior Leadership

Item 1.2 - Governance and Societal Responsibilities

"Anatomy" of the Criteria

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Framework book – pg 2

Category 1: Leadership

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Item 1.1 Senior Leadership

- 1.1a Vision and Values
  - *Areas to Address: 1.1a(1) How do senior leaders set …*
- 1.1b Communication
- 1.1c Mission and Organizational Performance

Item 1.2 Governance & Societal Responsibilities

- 1.2a Organizational Governance
- 1.2b Legal & Ethical Behavior
- 1.2c Societal Responsibilities

Main Points of Category 1 – Item 1.1 Senior Leadership

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Item 1.1 Senior Leadership

- **How** senior leaders set vision and values
- **How** senior leaders promote ethical behavior
- **How** senior leaders communicate and engage
- **How** senior leaders create an environment for success
- **How** senior leaders create a focus on action

Hint: Process Category Questions Begin with "How"

Main Points of Category 1 – Item 1.2 Governance & Societal Responsibility

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Item 1.2 Governance & Societal Responsibilities

- **How** the organization ensures responsible governance
- **How** senior leaders are evaluated
- **How** legal, regulatory and community concerns are addressed
- **How** ethical behavior is promoted/assured
- **How** societal well-being is addressed
- **How** key communities are supported/strengthened

Exercise: Category/Item Main Points

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- In small groups, read the assigned Process Category. *Remember, there are 2 Items.*

1. Identify the main points for each of the 2 Items.
2. Summarize the main points in 3-5 words.
3. Report out.

- As a large group, we will review Cat 7 Results and identify main points.

Category 7: Results

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Item 7.1 Product and Process Results – key product/service performance, work process effectiveness & supply chain management results

Item 7.2 Customer-Focused Results – key customer satisfaction & engagement results

Item 7.3 Workforce-Focused Results – key workforce capability/capacity, climate, engagement & development results

Category 7: Results (continued)

Item 7.4 Leadership and Governance Results – key senior leadership, governance, societal responsibility & strategy implementation results

Item 7.5 Financial and Market Results – key financial and marketplace performance results

Example Results

Category 7 charts are both an Art & a Science…

Figure 7.3-17: Engagement: Pride in Work

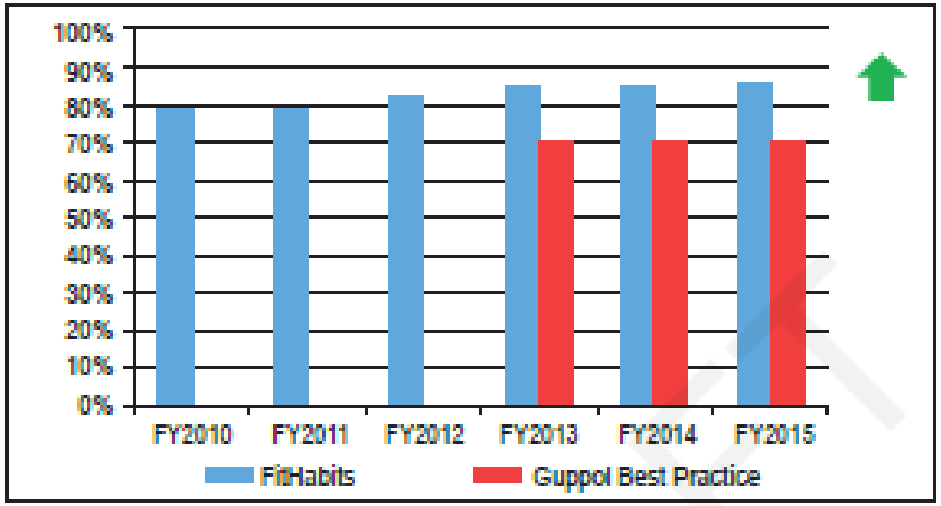
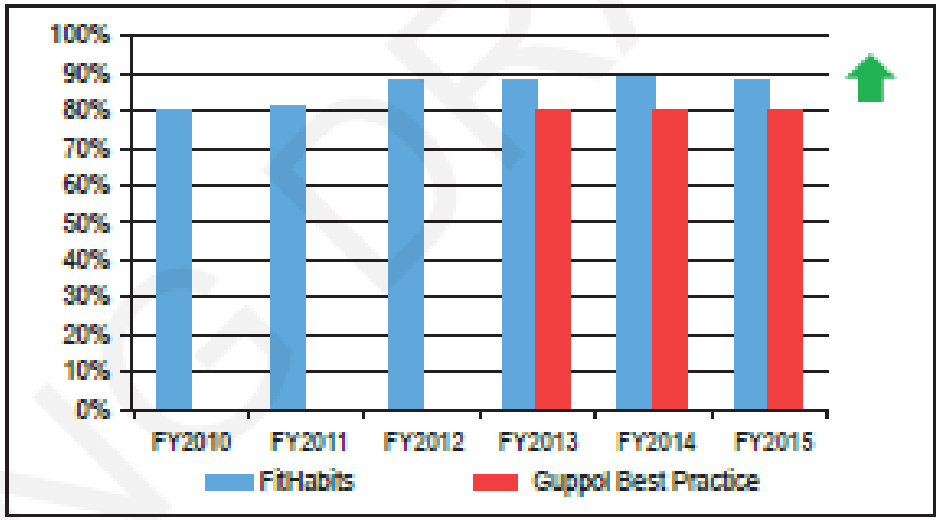


Figure 7.3-18: Engagement: Benefits



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The Partnership for Excellence Examining Process
Independent Review

Your Task in Independent Review

- Identify and draft a list of Key Factors
- Analyze the applicant's response to each Item by comparing it to Criteria requirements
- Complete the Scorebook Navigator IR worksheet …
  - click on the Key Factors *most applicable* to the Item
  - identify a total of 4-6 Strengths and OFIs
  - provide evidence for each Strength and OFI
  - indicate appropriate ADLI or LeTCI factors
  - indicate item reference number, e.g. 5.1a(3)
  - draft 2 feedback ready comments (1 Strength and 1 OFI)
  - score the Item

Steps for Independent Review (IR)

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1. Review & study the Framework booklet - criteria requirements, core values and concepts, scoring system and scoring guidelines.

2. Read the entire application - highlighting and/or noting the applicant's key processes—the methods used to address item requirements—and noting results you would expect to see related to these processes.

3. Draft Key Factors (KF) – Enter KF into Scorebook Navigator. When complete, select "Done" so your Team Leader can consolidate the team's KF into one list of KF for the team. The consolidated KFs will be entered into Scorebook Navigator for team members to use during independent review.

Steps for IR (continued)

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4. Evaluate each Item:

   a. review the criteria for that item

   b. select the key factors most relevant to that item

   c. read the application's response to that item

   d. identify and enter a total of 4-6 Strengths and OFIs

   e. briefly record evidence to support each Strength & OFI

   f. indicate the item reference, e.g. 1.2a(2)

5. Draft 2 feedback-ready comments – 1 Strength & 1 OFI for each item

6. Determine the scoring range and the score

See Tab 9

Step 1: Review & Study Framework Booklet

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Contents

ii **About the Baldrige Excellence Framework**
The Baldrige framework empowers your organization to reach its goals, improve results, and become more competitive. The framework consists of the Criteria, the core values and concepts, and the scoring guidelines.

v **How to Use the Baldrige Excellence Framework**
You can use this booklet as a reference, for self-assessment, or as the basis of an external assessment.

1 **Criteria for Performance Excellence Overview and Structure**
The Criteria include the Organizational Profile and seven interconnected categories. The categories are subdivided into items and areas to address.

3 **Criteria for Performance Excellence Items and Point Values**

4 **Criteria for Performance Excellence**
4 Organizational Profile
7 1 Leadership
10 2 Strategy
13 3 Customers
16 4 Measurement, Analysis, and Knowledge Management
19 5 Workforce
23 6 Operations
26 7 Results

31 **Scoring System**
Performance against Criteria items is scored on two evaluation dimensions: process and results.
34 Process Scoring Guidelines
35 Results Scoring Guidelines

37 **How to Respond to the Criteria**
This section explains how to respond most effectively to the Criteria item requirements.

40 **Core Values and Concepts**
These embedded beliefs and behaviors form the foundation of the Criteria.

45 **Changes from the 2015–2016 Baldrige Excellence Framework**

47 **Glossary of Key Terms**
The glossary includes definitions of terms in SMALL CAPS in the Criteria and scoring guidelines.

55 **Index of Key Terms**

58 **List of Contributors**

On the Web

Criteria Commentary (https://www.nist.gov/baldrige/baldrige-criteria-commentary)
This commentary provides the "why" behind the Criteria, as well as additional examples and guidance.

Step 2: Read the Application

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- Assure you have recently reviewed the Framework so it is fresh in your mind
- Set aside several blocks of time - the application is 50 pages plus the 5-page Organizational Profile
- Do a general reading of the application to get a feel for the organization
- Make notes in margins, highlight, underline, etc.
  - Capture your initial thoughts
- Indicate areas you think are important/noteworthy per the Framework

Step 3: Draft Key Factors

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A Key Factor (KF) is:

- An attribute of an organization or its environment that influences
  - the way the organization operates
  - the key challenges it faces
- Examiners use KF to focus their assessments on what is important to the applicant
- The list of KF is like a cheat sheet, - a concise set of bulleted notes that examiners use for quick reference to the organization
- Review the KF Fact Sheet (Tab 3)

See Tab 3

How to Document Key Factors

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- KF are developed from the applicant's 5-page Organizational Profile (OP)
- Read the requirements for P.1a in the Criteria Booklet
- Read the applicant's response for P.1a.
- Document KFs in Scorebook Navigator (As a reference, KF Template in Tab 3 provides an outline of KFs to consider)
- Draft KFs for each section of the OP: P.1a, P.1b, and P.2a, P.2b, P.2c.
- Click done in Scorebook Navigator when KF worksheet is complete. TL will consolidate KFs and enter into Scorebook Navigator.
- An example follows …

See Tab 3

P.1a Organizational Environment

Organization Description
Applicant is a non-profit, community health center (CHC) providing primary care, preventive services and enabling services in three highly diverse Arizona counties (Yuma, La Paz and Mohave). Care is delivered through 11 clinics and 4 mobile service vans.

Delivery of Health Care and Enabling Services
The service delivery network includes clinics and mobile service vans that serve patients at churches, schools, and community centers, using 23 Primary Care Teams (PCTs) as the essential unit for delivering health care.

Health and Enabling Services
Services provided included ambulatory medical (obstetric/gynecologic, family medicine, pediatric) and dental services, routine laboratory, radiology, vision and hearing screening, and pharmacy services, and behavioral health and substance abuse screening. Services to enable care and increase access include transportation, translation, case management, health education, and home visits.

Mission
Mission: to provide residents easy and timely access to high-quality and safe health care services, responsive to diverse cultural and socioeconomic needs, regardless of their ability to pay;

Vision
Vision: "the people of western Arizona will become the healthiest in the state."

Values
Core Values: respect, trust, relationship, performance, and accountability.

Core Competencies
Core competencies to enable the applicant to execute its mission include:
1. Culturally competent, patient-centered care;
2. Expertise in the treatment of diseases prevalent within the applicant's patient population;
3. Collaborative relationships that increase access to specialty care and other services.

Patient/Population Health Status and Problems
Chronic health problems of patients in the service area include diabetes, asthma, cardiovascular disease, depression, obesity, and substance abuse/addiction behavior, as well as higher incidence of infectious diseases such as TB and sexually transmitted diseases. Barriers to care include geography, culture, and income, contributing to the applicant's patients having poorer health than the general population.

Organizational Assets
Assets include: accessible clinics equipped with screening equipment, ultrasound equipment, dental x-ray machines. Laboratories are equipped with microscopes, blood analyzers, kits for rapid bacteriologic screening. School based clinics provide basic medical care, behavioral health screenings as well as health education. The Women's Health Center is equipped for outpatient obstetrics and gynecological service, four labor and delivery suites. Four mobile units are equipped with lifts, examination/treatment rooms, x-ray, lab and areas for behavioral health screening.

IT Capabilities
IT capabilities include support for an electronic health record (EHR) integrated with the billing and scheduling system. All staff members have access to computers, a wide array of data and information on an intranet, and an innovative portable, Care Connection Kiosk (CCK).

Organizational Culture
Organizational culture reflects a commitment to providing health care to the underserved.

Comparative and Competitor Information
Key sources of comparative and competitive data within the health care industry are the following: national data from CHCs, AHRQ, BPHC/HRSA, CDC, CMS, HCDI, HEDIS, Healthy People 2020; TJC; data from professional associations; Packer Patient Satisfaction data; Oates Staff Satisfaction data; QPG; Baldrige Award for Performance Excellence; Healthy Arizona 2020; State Association of CHCs and State CHC Benchmarking Consortium; and Saguaro State Award Program.

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Excerpt from a KF Worksheet

Example – Arroyo Fresco Case Study P.1a

See Tab 3

Exercise: Identify Key Factors for the Arroyo Fresco Case Study

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- Find your Arroyo Fresco Community Health Center Case Study and 2017-2018 Framework booklet
- Locate the Organizational Profile within the Case Study and the OP section in the Framework booklet (pages 4-6)
- In your groups, using your blank KF worksheet (Tab 3), document the KF for **your assigned section** of the Arroyo Case Study Organizational Profile (OP)
- Report out

Step 4: Evaluate each Item

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Two Evaluation Dimensions

- **Process** – refers to the methods/the approaches that the applicant uses and improves to address the Criteria requirements in Categories 1-6

- **Results** – refers to the applicant's outputs and outcomes in achieving the Criteria requirements in Category 7

Process Evaluation Factors ADLI

- **A**pproach – the methods used to accomplish the process
- **D**eployment – the extent to which the approach is applied consistently & used by all appropriate work units
- **L**earning - refining your approach through cycles of evaluation & improvement
- **I**ntegration – the extent to which your approach is aligned with the organizational needs identified in the applicant's Org Profile

1.1b(1) **The LT creates an open and transparent environment to facilitate communication at all levels of the company. A variety of two-way methods are used to share information and gather inputs (Figure 1.1-2).** In an innovative, technology-driven company, **communication offerings have grown and improved based on needs and technology**. These include the **weekly FitHabits Blog**, started in 2009, that covers information on fitness and health trends and highlights new products. The **myFitHabits portal** was created in 2011 and provides team members with access to online tools useful in their daily jobs, as well as information on company news, team member recognition, and human resources benefits and programs.

The **LT takes an active role in reward and recognition programs to reinforce high performance and a customer and business focus**. LT members host and participate in many recognition events; for example, they

- **Provide budget-appreciation dollars for celebrations, including ○ Team member birthdays ○ Team member work anniversaries ○ The meeting of quarterly department/corporate goals**
- **Establish annual customer- and business-focused goals for the Team Member Variable Pay Program**
- **Recognize team members completing certifications or degrees at all-team-members meetings and provide cash bonuses**
- **Provide a bonus structure to recognize excellence in postcall surveys**
- **Recognize team members who support the value of fitness in the community**
- **Recognize the Innovator-of-the-Quarter**
- **Send thank you notes to the homes of team members**

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Identifying ADLI in
Cat 1 Leadership
Item 1.1 Senior Leadership
1.1b(1) Communication

Approach

Deployment

Learning

Integration

Exercise: Identify

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A (Approach)
D (Deployment)
L (Learning)
I (Integration)

for the following Arroyo Fresco response

2.2 Strategy Implementation

2.2a Action Plan Development and Deployment

2.2a(1) Key short- and long-term action plans are shown in Figure 2.1-2. AF develops action plans at four levels: (1) organization-wide (including plans for support processes such as IT and HR), (2) county, (3) point of care, and (4) individual staff members. After the overall Strategic Plan is validated and annual budgets are developed, the SLT and local clinic managers develop specific action plans for deployment to their work units. Senior leaders translate the strategic objectives into action plans through a process of breaking down objectives into measurable and clearly identified goals. Each strategic objective is owned by a senior leader who identifies milestones, resources, and a timetable for accomplishment of the related action plans. Occasionally, board subcommittees also may task other individuals to manage specific action plans. Volunteers also participate in action plan development at the first three levels. Resource allocation for the overall plan occurs as described in 2.1a(3). A similar process is used at each action plan level, including the individual level, to ensure that adequate resources are available across all locations and used most effectively. Once resource availability is validated using the Pugh matrix, the annual plans at the organizational, county, and point-of-care levels are subdivided into 90-day action plans.

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Category 2 Strategic Planning
Item 2.2 Strategy Implementation
2.2a Action Plan Development & Deployment
2.2a(1) Action Plans

Results Evaluation Factors LeTCI

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- **Levels** – refers to the applicant's current level of performance
- **Trends** – the rate of performance improvement, sustainability of good performance, or breadth of performance results
- **Comparisons** – performance relative to competitors or similar organizations or to benchmarks
- **Integration** – when plans, processes, results, analyses, learning, & actions are harmonized across processes & work units to support organizational-wide goals

Identifying LeTCI in Category 7 Results, Item 7.2 Customer-Focused Results, 7.2a(2) Customer Engagement

7.2a(2) FitHabits' **customer engagement levels exceed** the **competitors' levels and meet the Sratsa.com benchmark** (Figure 7.2-8). **When segmenting FitHabits' customer groups, frequent purchasers, as might be expected, have the highest levels of satisfaction, exceeding the Sratsa.com top-10% benchmark** (Figure 7.2-9).

Considering engagement as the likelihood of customers to recommend FitHabits, the **company's score has been 97%** for the past four years, **just short of the benchmark at 100%** (Figure 7.2-10). In addition, catalogues have remained a strong feature of the online shopping experience, and for the past six years, **catalogues have received 97%** levels of approval.

FitHabits gently entered the social media world, starting with Ratings and Reviews in 2011 (3.1a[1]; Figure 7.2-11, see trends on next slide).

Levels

Trends

Comparisons

Integration

Figure 7.2-8: Customer Engagement by Competitor

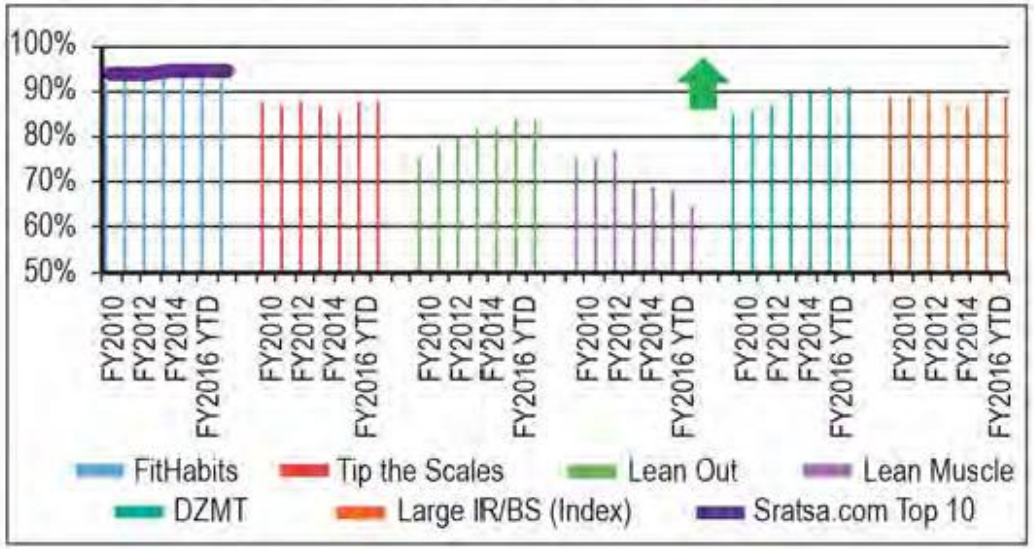


Figure 7.2-9: Customer Engagement by Customer Type

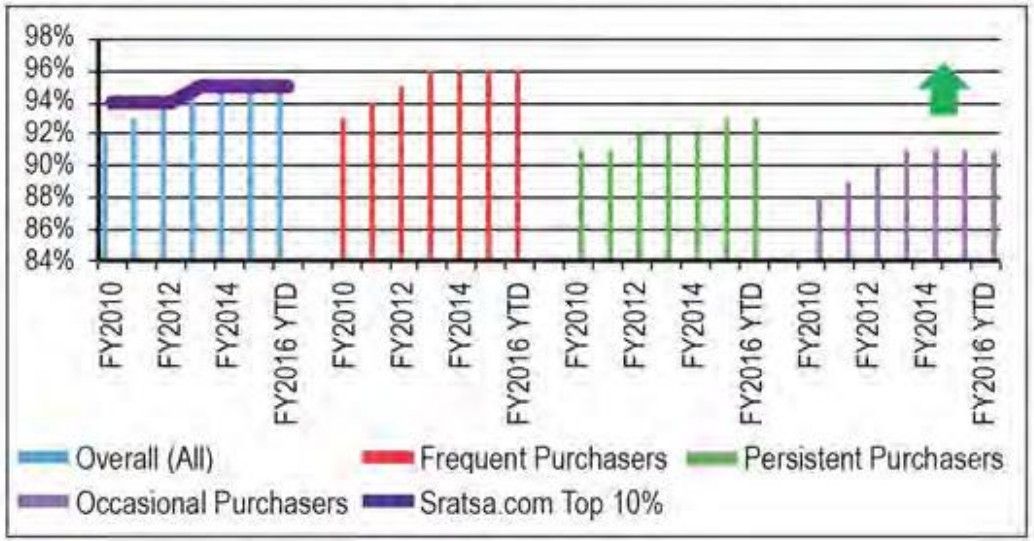


Figure 7.2-10: Would You Recommend and Would You Buy From This Catalogue?

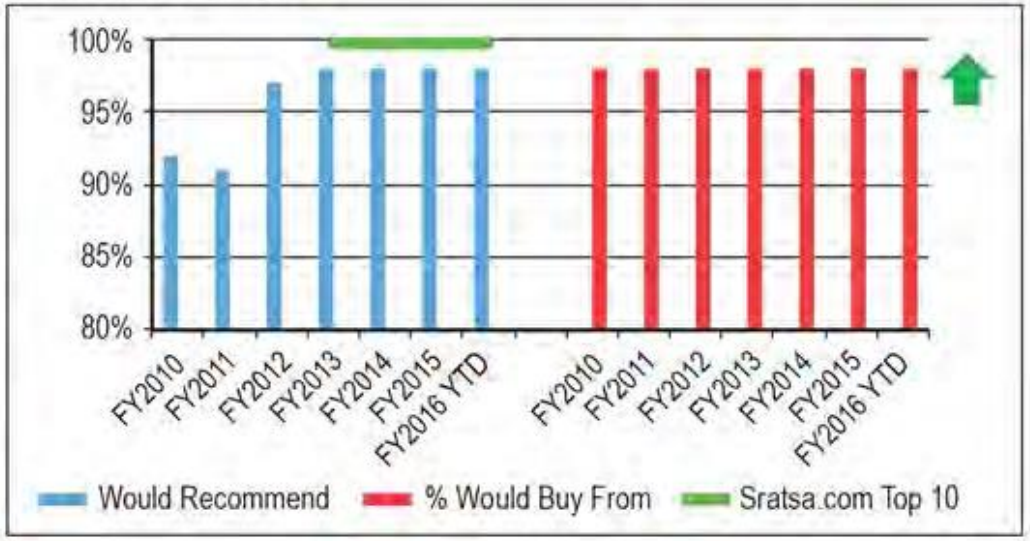
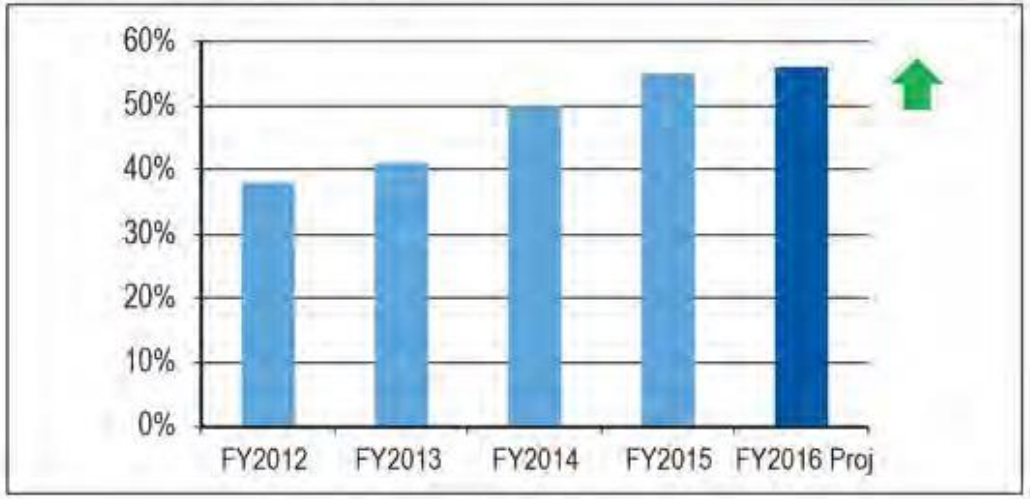


Figure 7.2-11: Percentage of Customers Providing Ratings and Reviews on Products



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Exercise:

Identify LeTCI for the following Arroyo Fresco response:

Category 7 Results, Item 7.3 Workforce-Focused Results, Workforce Engagement 7.3a(3)

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7.3a(3) In a recent review of workforce engagement factors (5.2a[2]), AF determined that there were slight differences for younger workers (millennials) versus older workers (Figure P.1-6). By addressing some of these factors through revised recruitment and retention policies, AF has closed the gap in engagement between these two groups (Figure 7.3-13). Staff satisfaction against all key job requirements (Figure P.1-7) remains well above the top-decile benchmark (Figure 7.3-14).

Physician (Figure 7.3-16) and volunteer satisfaction (Figure 7.3-17) also remain high.

Figure 7.3-13: Staff Engagement

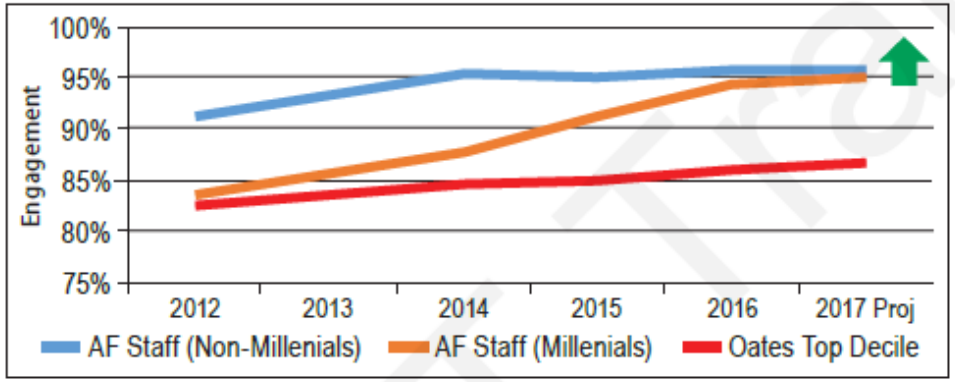


Figure 7.3-16: Physician Satisfaction

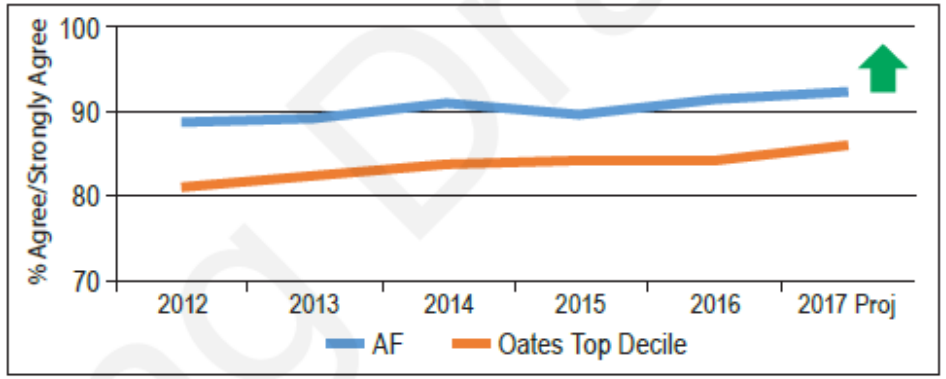
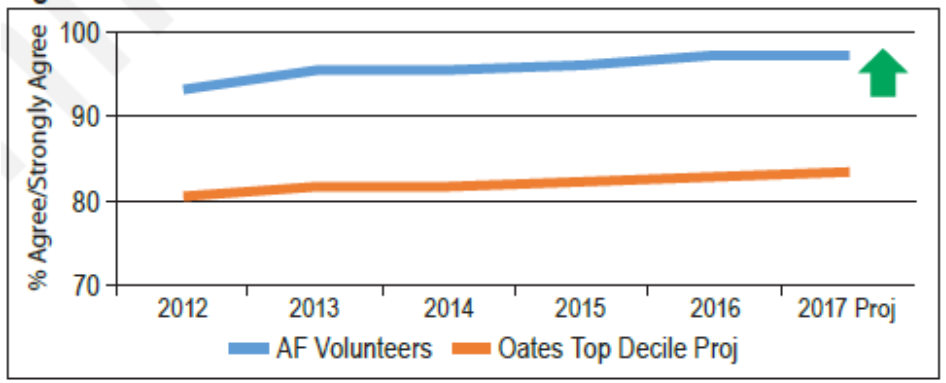


Figure 7.3-17: Volunteer Satisfaction



How to Identify the Applicant's Strengths and OFIs

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2.2 Strategy Implementation: How do you implement your strategy? (40 pts.)

a. ACTION PLAN Development and DEPLOYMENT

(1) ACTION PLANS **What are your KEY short- and longer-term ACTION PLANS?** What is their relationship to your STRATEGIC OBJECTIVES? HOW do you develop your ACTION PLANS?

(2) ACTION PLAN Implementation **HOW do you DEPLOY your ACTION PLANS?** HOW do you DEPLOY your ACTION PLANS to your WORKFORCE and to KEY suppliers and PARTNERS, as appropriate, to ensure that you achieve your KEY STRATEGIC OBJECTIVES? HOW do you ensure that you can sustain the KEY outcomes of your ACTION PLANS?

(3) Resource Allocation **HOW do you ensure that financial and other resources are available to support the achievement of your ACTION PLANS while you meet current obligations?** HOW do you allocate these resources to support the plans? HOW do you manage the risks associated with the plans to ensure your financial viability?

(4) WORKFORCE Plans **What are your KEY WORKFORCE plans to support your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS?** HOW do the plans address potential impacts on your WORKFORCE members and any potential changes in WORKFORCE CAPABILITY and CAPACITY needs?

(5) PERFORMANCE MEASURES **What KEY PERFORMANCE MEASURES or INDICATORS do you use to track the achievement and EFFECTIVENESS of your ACTION PLANS?** HOW does your overall ACTION PLAN measurement system reinforce organizational ALIGNMENT?

(6) PERFORMANCE PROJECTIONS **For these KEY PERFORMANCE MEASURES or INDICATORS, what are your PERFORMANCE PROJECTIONS for your short- and longer-term planning horizons?** What is your projected PERFORMANCE on these ACTION PLAN MEASURES or INDICATORS compared with your PROJECTIONS of the PERFORMANCE of your competitors or comparable organizations and with KEY BENCHMARKS, as appropriate? If there are gaps in PERFORMANCE against your competitors or comparable organizations, HOW do you address them in your ACTION PLANS?

b. ACTION PLAN Modification

HOW do you establish and implement modified ACTION PLANS if circumstances require a shift in plans and rapid execution of new plans?

Framework page 12

2.2 Strategy Implementation

2.2a Action Plan Development and Deployment

2.2a(1) Key short- and long-term action plans are shown in Figure 2.1-2. AF develops action plans at four levels: (1) organization-wide (including plans for support processes such as IT and HR), (2) county, (3) point of care, and (4) individual staff members. After the overall Strategic Plan is validated and annual budgets are developed, the SLT and local clinic managers develop specific action plans for deployment to their work units. Senior leaders translate the strategic objectives into action plans through a process of breaking down objectives into measurable and clearly identified goals. Each strategic objective is owned by a senior leader who identifies milestones, resources, and a timetable for accomplishment of the related action plans. Occasionally, board subcommittees also may task other individuals to manage specific action plans. Volunteers also participate in action plan development at the first three levels. Resource allocation for the overall plan occurs as described in 2.1a(3). A similar process is used at each action plan level, including the individual level, to ensure that adequate resources are available across all locations and used most effectively. Once resource availability is validated using the Pugh matrix, the annual plans at the organizational, county, and point-of-care levels are subdivided into 90-day action plans.

Observations and EVIDENCE!

Identifying Strengths for Process Items

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What are some examples of strengths?

- Strong "systematic" approach
- Deployment that addresses the Framework requirements
- Alignment with Key Factors and organizational needs
- Linkage with Core Values and Concepts
- Others?

Process Strength Example

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TAB 4 EXAMPLE: 5.1b(2)

Relevant KF	++	Strength	Evidence	A	D	L	I	Item Ref.
3 , 5 , 6		The applicant supports its workforce through services and benefit choices that may be tailored to meet individual team member needs.	Applicant lists the Benefits and Services it offers to team members in Figure 5.1-3. These include Financial, Health, Professional Development, Work-Life Balance, and Other personal benefits. Choices are available for benefit and retirement packages so team members can tailor plans to meet their needs. Benefit plans are reviewed annually by the LT and adjusted if needed. The WellFit program provides financial rewards for engaging in healthy and responsible behaviors. It includes an on-site FitCenter offering classes and workout areas for team members and their families, as well as lifestyle coaching and personalized health assessments.	X	X	X		b(2)

SEE: FRAMEWORK: PG 19

See Tab 4

Identifying OFIs for Process Items

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What are some examples of OFIs?

- ***Lack of*** systematic approach relative to the criteria requirements
- Weak deployment
- Approaches not aligned with Key Factors and/or organizational needs
- Approaches not aligned with strategic objectives and challenges
- Others?

Process OFI Example

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TAB 4 EXAMPLE: 5.1a(3)

Relevant KF	--	Opportunity for Improvement	Evidence	A	D	L	I	Item Ref.
2 , 3 , 5 , 6		Unclear how the applicant systematically prepares workforce for changing capability and capacity needs.	Applicant describes informing team members about expansion, but does not describe a process to prepare for periods of workforce growth. While the applicant	X	X			a(3)

The "relevance"

See Tab 4

Identifying Strengths for Results Items

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What are some examples of strengths in Results Items?

- Positive levels
- Positive trends
- Strong comparisons and benchmarks
- Integration
- Others?

Results Strength Example

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TAB 4 EXAMPLE: 7.3a

Relevant KF	++	Strength	Evidence	L	T	C	I	Item Ref.
2 , 4 , 6 , 7	X	Favorable trends for most workforce focused results	Favorable trends for all measures presented except L&D Evaluations (7.3-26) where no trends are presented and Internal Promotions (7.3-24, which experienced a dip in 2013, but has otherwise shown sustained high performance.		X			a

SEE: FRAMEWORK: PG 28

See Tab 4

Results Strength Example

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Figure 7.3-5: Hazardous, Noxious, and Lead Exposures

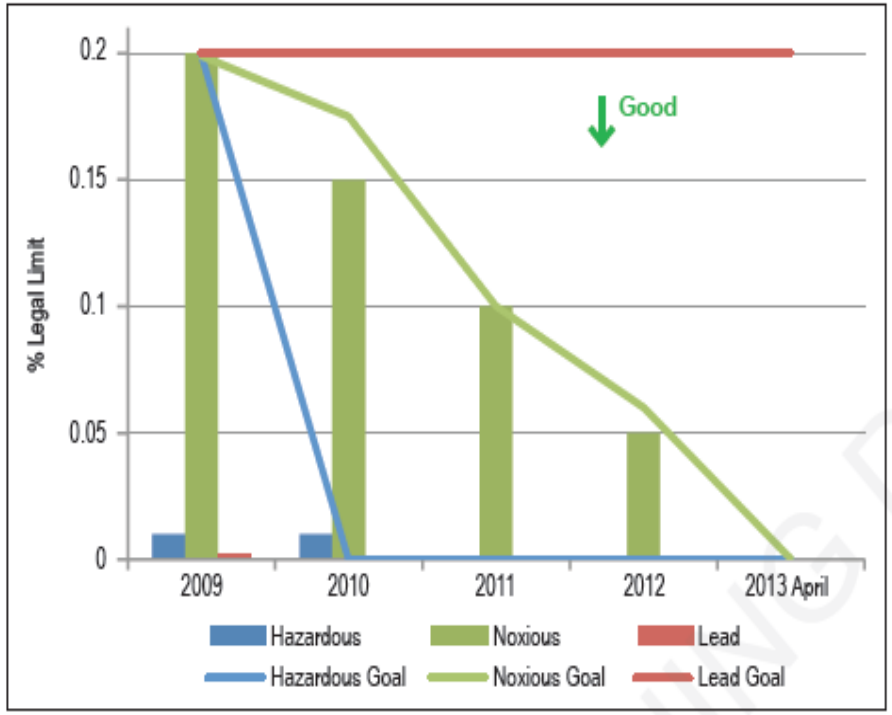


Figure 7.3-6: Participation in Wellness Activities and Employees at Risk

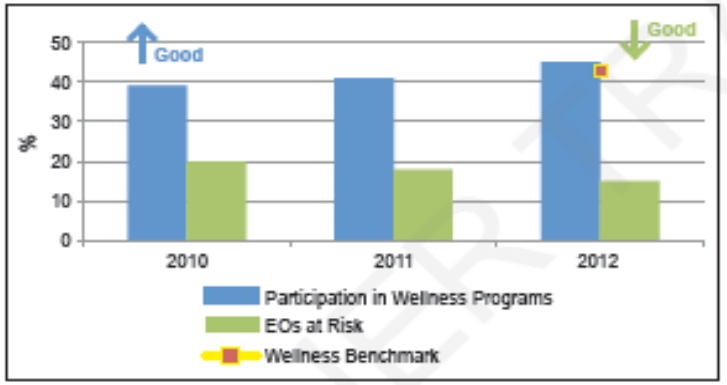
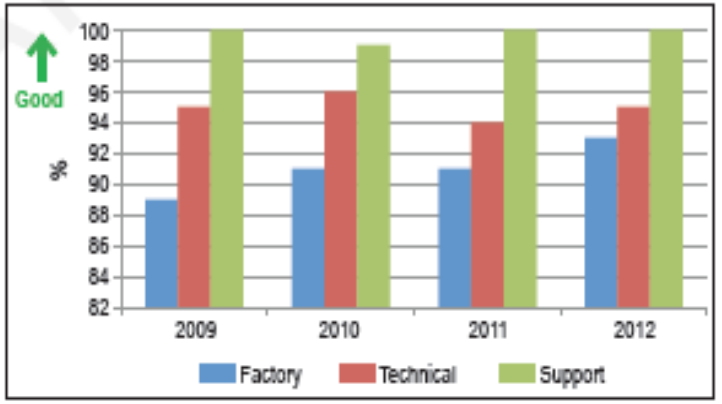


Figure 7.3-8: EO Retention



SEE:
FRAMEWORK: PG 28

Identifying OFIs for Results Items

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What are some examples of OFIs?

- Poor levels or adverse trends
- Lack of comparisons and benchmarks
- Lack of appropriate segmentation
- Missing results that would be expected based on process items
- Not addressing Key Factors or strategic objectives and challenges
- Others?

Results OFI Example

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TAB 4 EXAMPLE: 7.3 a(4)

Relevant KF	--	Opportunity for Improvement	Evidence	L	T	C	I	Item Ref.
2 , 3 , 5		No results of leader development.	While applicant presents several indicators of learning and development, no results of the Talent Review or Talent Development Program are provided.				X	a(4)

SEE: FRAMEWORK: PG 28

See Tab 4

Independent Review (IR) Item Worksheets

IR Item Worksheets are used to record the applicant organization's Strengths and Opportunities for Improvement

You will complete an ***Item Worksheet*** for each of the 17 Items

IR Worksheet Example-Process

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Relevant KF	++	Strength	Evidence	A	D	L	I	Item Ref.
3 , 5 , 6		The applicant supports its workforce through services and benefit choices that may be tailored to meet individual team member needs.	Applicant lists the Benefits and Services it offers to team members in Figure 5.1-3. These include Financial, Health, Professional Development, Work-Life Balance, and Other personal benefits. Choices are available for benefit and retirement packages so team members can tailor plans to meet their needs. Benefit plans are reviewed annually by the LT and adjusted if needed. The WellFit program provides financial rewards for engaging in healthy and responsible behaviors. It includes an on-site FitCenter offering classes and workout areas for team members and their families, as well as lifestyle coaching and personalized health assessments.	X	X	X		b(2)
3		Applicant uses a 7-Step Capability & Capacity Planning Model, integrated with the SPP, to	Process integrated with the phases of the SPP and allow the People Team to evaluate the current state of the workforce, forecast future state, review forecast against benchmarks, and develop plans to close gaps	X	X	X	X	a(1)

Refer to example worksheet for Item 5.1 – Workforce Environment

See Tab 4

IR Worksheet Example-Process

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Relevant KF	--	Opportunity for Improvement	Evidence	A	D	L	I	Item Ref.
			has never experienced a reduction in force, no process is described through which the applicant would reduce the size of the workforce if it should become necessary.					
2 , 3		Unclear how functional/cross-functional organization of the workforce enables the applicant to capitalize on core competencies, reinforce customer and business focus, and exceed performance expectations.	Applicant states it is organized in functional departments (e.g. Call Center, IS, etc.) and also in cross-functional teams, either standing or project-based, to accomplish the work of the organization. It is unclear how this approach to work accomplishment leverages core competencies or reinforces customer focus.	X	X		X	a(3)

Refer to example worksheet for Item 5.1 – Workforce Environment

See Tab 4

Reminder – When Evaluating Results Items…

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Follow the same process for evaluating Results Items that you did for Process Items, but in Results Items, you are looking for ***Levels, Trends, Comparisons, and Integration (LeTCI)***

IR Worksheet Example-Results

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Strengths

Strengths/OFIs should be placed in order of importance to the applicant.

Relevant KF	++	Strength	Evidence	L	T	C	I	Item Ref.
2 , 4 , 6 , 7	X	Favorable trends for most workforce focused results	Favorable trends for all measures presented except L&D Evaluations (7.3-26) where no trends are presented and Internal Promotions (7.3-24, which experienced a dip in 2013, but has otherwise shown sustained high performance.		X			a
2 , 3		Several key measures of Workforce Development exceed best practice benchmarks	Engagement survey responses to questions about Opportunity to Grow (Fig. 7.3-22) has exceeded Guppol Best Practice level for in the latest 3 years. Applicant's measures of Internal Promotions, Average Training Hours, and Tuition Reimbursement (Fig. 7.3-24,25,27) all outperform the AFPM Best Practice levels.	X		X		a(4)
2 , 3 , 6		Key measures of Workforce Engagement all exceed Guppol Best Practice Levels	Key engagement results (Fig. 7.3-12-17) all outperform the survey provider's best practice benchmark	X		X		a(3)

Refer to example worksheet for Item 7.3 – Workforce-Focused Outcomes

See Tab 4

IR Worksheet Example (continued)

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Relevant KF	--	Opportunity for Improvement	Evidence	L	T	C	I	Item Ref.
2 , 3 , 4 , 7		Limited segmentation of workforce climate and workforce development results.	Segmentation by workforce group is not provided for most measures of workforce health & safety or workforce development. Only one Health & Safety metric (Fig. 7.3-9) is segmented by new hire vs. tenure. Only one workforce development metric (Fig. 7.3-23) breaks out the IS/Operational Support segment, but no measures in these areas provide comprehensive segmentation by workforce group.				X	a(2,4)
2 , 3 , 5		No results of leader development.	While applicant presents several indicators of learning and development, no results of the Talent Review or Talent Development Program are provided.				X	a(4)

Refer to example worksheet for Item 7.3 – Workforce-Focused Outcomes

See Tab 4

Summarizing – Completing an IR Worksheet in Scorebook Navigator

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To begin …

Read the Criteria requirements for Item 1.1 in your Framework booklet

In Scorebook Navigator, select 4-6 Key Factors (KF) that are most applicable to Item 1.1

Summarizing – Analyze & Compare…

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Analyze the applicant's response for Item 1.1 by comparing it to the Criteria requirements of Item 1.1

First, ask yourself: what ***approach*** does the applicant have that responds to the Criteria ?

Then continue with

- how well is that approach ***deployed*** ?
- are there any "cycles of ***learning***" ?
- how well is the approach ***integrated*** ?

(ADLI)

Summarizing – If you find/don't find an approach …

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If you find an approach that responds to the Criteria, you have the beginning of a ***Strength*** Comment. If you DO NOT find an approach, you have the beginning of an ***OFI (Opportunity for Improvement)*** comment.

In Scorebook Navigator, draft a *brief phrase* or *observation* in the Strength or OFI column that reflects your finding.

Then add the evidence that supports your finding in the *evidence* column.

Indicate what dimensions – *approach*, *deployment, learning, integration* - are included (or in the case of an OFI, are missing) in the applicant's response.

Summarizing – Draft comments and score to finish the worksheet…

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- Identify about 4-6 Strengths and OFIs (a ***total*** of 4-6) for each Item Worksheet
- From those 4-6 Strengths and OFIs, choose **the best *Strength*** and **the best *OFI***
- Write a well-developed***, feedback-ready*** comment for each at the bottom of Scorebook Navigator's IR worksheet
- Score the Item – with a single score ***and*** a scoring range

Comment Writing

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4As – *Actionable, Aligned, Accurate, Appropriate*

Step 5: Craft 2 feedback-ready comments

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Turning Strengths & OFIs into Feedback-ready Comments

There are 4 kinds of comments

- Process Strength
- Process OFI

- Results Strength
- Results OFI

Drafting Comments

At bottom of IR worksheet, note space to draft *Feedback-ready Comments*

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- One Strength
- One OFI

See Tab 4

++	Feedback Ready Strength Comment	Item Ref
	For the assessment of workforce needs, a seven-step Capability and Capacity Planning Model (Figure 5.1-1) is integrated with the SPP. The model enables the People Team to evaluate the current state of the workforce, forecast the future state, review the forecast against benchmarks, and develop plans to close gaps between current and future states. Reviewed annually, the process has been through cycles of refinement, such as the addition of the benchmarking step in 2013. This approach to assessing the workforce helps ensure that capability and capacity are aligned with strategy and may aid the applicant in retention of skilled team members in the competitive, boutique, athlete market.	a(1)

- -	Feedback Ready Opportunity for Improvement Comment	Item Ref
	It is unclear how the applicant prepares the workforce for changing capability and capacity needs. The applicant does not describe how it systematically prepares for and manages periods of workforce growth beyond informing team members of plans for expansion. Similarly, while the applicant has never experienced a reduction in force, no process is described through which the applicant would reduce the size of the workforce if it should become necessary. A well-ordered process to prepare the workforce for changing capability and capacity may help reinforce the core competency of relationships and solidify the strategic advantage of a highly engaged workforce.	a(4)

Feedback-ready comments are

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actionable

concise

precise

meaningful to the applicant

Provide a clear main point/topic sentence

See Tab 5

How to Write a Comment

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1. Include a topic sentence to express the main point of the comment … **NUGGET**

2. Provide concisely written **EVIDENCE** that supports the statement: one or two examples taken directly from the application, (*but not an exhaustive list)* … Include figure numbers in the comment as appropriate… **EVIDENCE** and/or use one or more of the evaluation factors (A, D, L, I / Le, T, C, or I) to help in clearly articulating the focus of the comment **MORE EVIDENCE** … and

3. Draw linkages across Items and/or to the applicant's Key Factors or Core Values as appropriate. **RELEVANCE**

Writing Process Comments with the Applicant in mind

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Strengths – Think about what actionable message you are giving the applicant. Applicants read process strengths as *what they should continue to do and why.*

OFIs – Have you convinced the applicant that it should invest in a new process and why that investment is important?

Writing Results Comments with the Applicant in mind

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Strengths - Have you convinced the applicant to continue to invest in achieving and tracking these results? *Have you captured the applicant's proudest results?*

OFIs - Have you convinced the applicant to invest in improving these results? Have you related the comment KFs that are most critical? Without beneficial results, what might happen to the applicant?

Feedback Ready Comments

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Are complete thoughts

Make explicit the relationship among the Criteria, the Key Factors, the applicant's response (*use language & examples from application*), and your analysis

Use correct grammatical sentence structure

Comments should not …

Go beyond the requirements of the Framework

Assert an examiner's personal opinions

Be prescriptive by using *could, should/should not, would*

Be judgmental by using terms such as *good, bad, inadequate,* etc.

Use Comments to Move the Applicant to the Next Level

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Provide comments that focus on the *next higher scoring range* rather than the highest

Less mature organizations may benefit from fewer, well-focused comments where they will get more "bang for their buck"

Process Comment Writing Exercise

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In small groups look at the Framework & Case Study for 5.1a(1)

Write a strength comment

One group will brief their comment to the class

Class discussion

Drafting Comments

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At the bottom of the IR worksheet, note the space to draft *Feedback-ready Comments*

- One Strength *(results example below)*
- One OFI

++	Feedback Ready Strength Comment	Item Ref
X	In support of the applicant's strategic advantage of highly engaged team members, beneficial trends are demonstrated for nearly all workforce-focused results. Improving trends are present in 26 of the 28 results provided, indicating improvement in workforce capability and capacity, workforce climate, workforce engagement, and workforce development.	a

Concisely state the feedback in the first sentence of a comment. Provide additional key evidence such as 1–2 examples or evidence that addresses the most important evaluation factors (e.g., levels, trends, comparisons, or integration). Limit the length of the comment to less than 75 words or 500 characters of text.

See Tab 4

Summarizing – Feedback Ready Comments

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Are complete thoughts

Are unified, coherent, well-developed, and provide value to the applicant

Make explicit the relationship among the Criteria, the KF, the applicant's response, and your analysis

Are meaningful to the applicant

Are actionable

Use correct grammatical sentence structure

Summarizing – What makes up a good Comment?

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- Nugget - your strength or OFI in a clear topic sentence
- Evidence
  - language directly from the Criteria, and/or
  - language directly from the application, and/or
  - language from the evaluation factors: ADLI or LeTCI
- Relevance – the "why is it important to the applicant"

Summarizing – Four Kinds of Comments Possible

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- Process Strength
- Process OFI
- Results Strength
- Results OFI

	Process	***Results***
Strength	Process Strength	Results Strength
OFI	Process OFI	Results OFI

Process Strength Comment Example

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2.2 a(3) The allocation of financial and other resources to action plans supports the achievement of Collin's strategic objectives. The LT and AB review resource needs, and directors and managers perform a second feasibility review. Approved resources are allocated to each action plan and the LT adjusts them in monthly strategy review sessions, if needed.

Nugget - Evidence – Relevance

Process Strength Comment Example

3.1a By listening to customers and evaluating approaches annually, Collin enhances its ability to build lasting relationships with all customers through The Personal Touch, a core competency. Examples include holding quarterly and biennial focus groups and conducting market interest surveys at trade shows. The information gathered – which accounts for current, former, and potential customers as well as competitor's customers – is used as an input to strategic planning.

Nugget - Evidence – Relevance

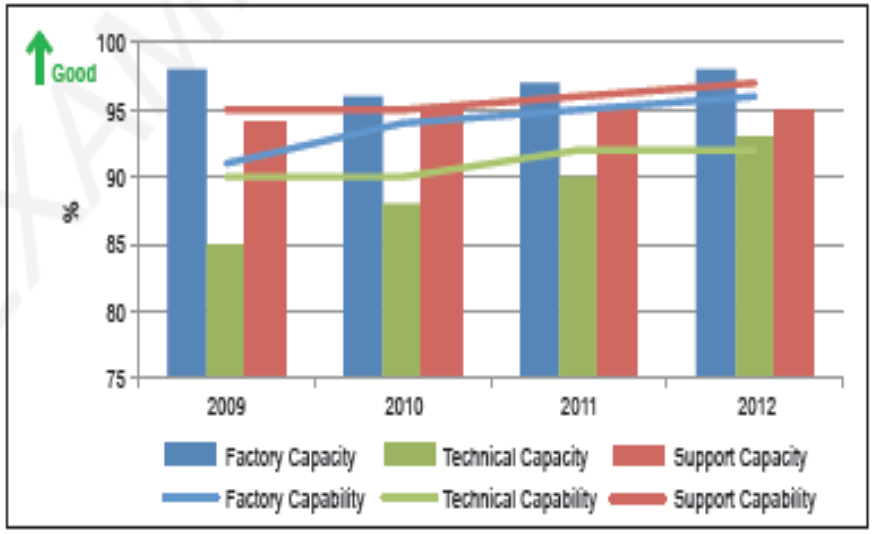
Process OFI Comment Example

2.2 a(1) There is no evidence of strategic action plans for Collin's longer-term planning horizon. Creating such action plans may help Collin overcome its strategic challenges and address projected changes in the business environment, such as R & D growth, nanotechnology, and the GBN Corporation contract.

Nugget - Evidence – Relevance

Results Strength Comment Example

Figure 7.3-1: Capacity and Capability Results



7.3a(1, 4) Workforce capability and development results support EO requirement of opportunities to learn and advance while reinforcing the strategic advantage of EO's holding certifications for competencies related to their work. Capability results show favorable trends (Figure 7.3-1) as do results for measures related to EIC certifications and promoting sustainability (Figure 7.3-9).

Figure 7.3-9: EO Strategic Behavior

	2008	2009	2010	2011	2012
% EOs with one or more EIC certifications	50	71	85	88	89
% EOs promoting sustainability	20	24	25	50	63
% EOs demonstrating leadership	35	34	35	36	35

Results OFI Comment Example

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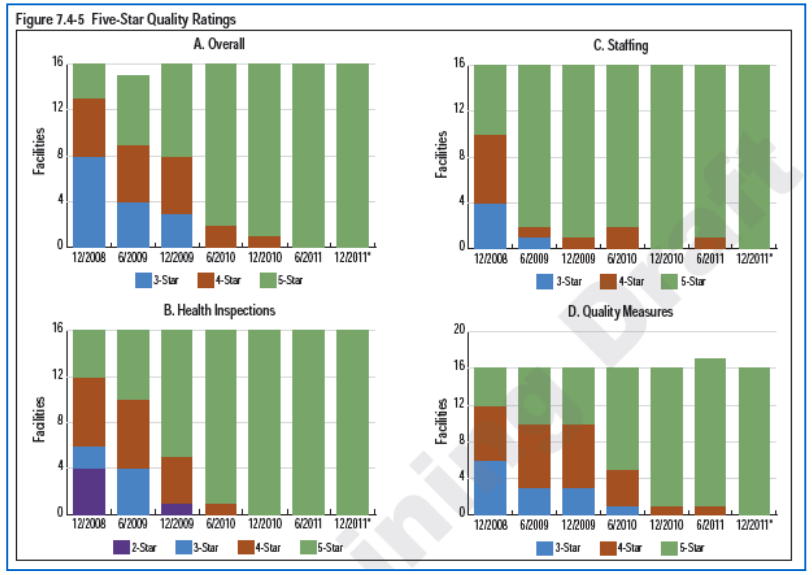
Figure 7.4-2 Action Plans Accomplished

Year	Action Plans Accomplished (%)
2005	75
2006	75
2007	80
2008	80
2009	80
2010	80
2011	90



7.4a Leadership and governance results are not segmented. Examples include results on action plans accomplished (Figure 7.4-2), quality ratings (Figure 7.4-5), and community support activities (Figure 7.4-9). This may limit the applicant's ability to evaluate the effectiveness of its efforts to become a "top choice for care."

Figure 7.4-9 Community Support Activities (Average Hours/Leader*)

Activity	2006	2007	2008	2009	2010	2011
Local agency board	20	24	26	30	24	36
Local school board	12	16	14	18	20	35
Roadside cleanup†	118	106	132	164	102	125
Economic development	16	12	14	10	16	14
Regulatory advisory committee	32	32	32	32	32	32
Private industry advisory role	22	18	26	24	24	32

*CLT members and facility executive directors. †Hours include those contributed by additional employees, residents, and students.

Results OFI Comment Example

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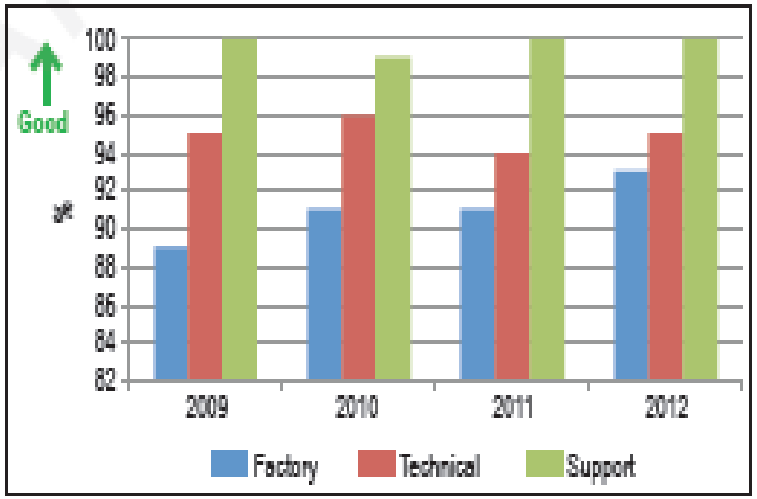
7.3a Comparative results are missing for many workforce-related results, including most EO Survey results (Figure 7.3-2) and EO Retention (Figure 7.3-8). Understanding workforce-focused performance relative to industry and other appropriate benchmarks may assist Collin in pursuing its value of being proud of its business performance compared to others.

Figure 7.3-2: EO Survey Results by Question

Survey Question	2009	2010	2011	2012	2013	Benchmark
"I feel safe and secure on the job."	88	87	88	89	93	
"I take pride in being an owner of Collin."	99.4	99.5	99.6	99.7	99.8	
"I can make a difference on the job."	87	88	93	94	95	
"There is open communication."	45	49	48	49	49	37
"I have opportunities to learn and advance."	89	90	90	90	90	
"I have competitive wages and benefits."	79	81	82	85	85	
"I trust senior leaders' decisions."	84	87	88	93	94	74
"I am satisfied with Greenway."	85	88	88	88	88	
"I am satisfied with the wellness activities."	75	76	81	82	82	
"I am satisfied with the fitness center."	60	67	65	72	75	
Overall Engagement	27	28	29	31	32	30
Overall Satisfaction	79.1	81.3	82.3	84.2	85.1	83

Figure 7.3-8: EO Retention



Step 6: Determine scoring range and score

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ORGANIZATIONAL MATURITY

GOOD

4. Integrated Approaches (70-100%)

3. Aligned Approaches (50-65%)

2. Early Systematic Approaches (30-45%)

1. Reacting to Problems (0-25%)

Best in Class

Scoring the Response

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There are 2 Scoring Guidelines:

Process (pg. 34) and **Results** (pg. 35)

Be sure you are using the appropriate Scoring Guideline for your Item.

How to Score the Response

- For each Item, review the work you completed: Key Factors, Strengths and OFIs, evidence, evaluation factors, & draft comments
- Consider your overall impression of the applicant's response to the Item
- Start at 50% and work up or down from there

(continued on next slide)

Scoring (continued)

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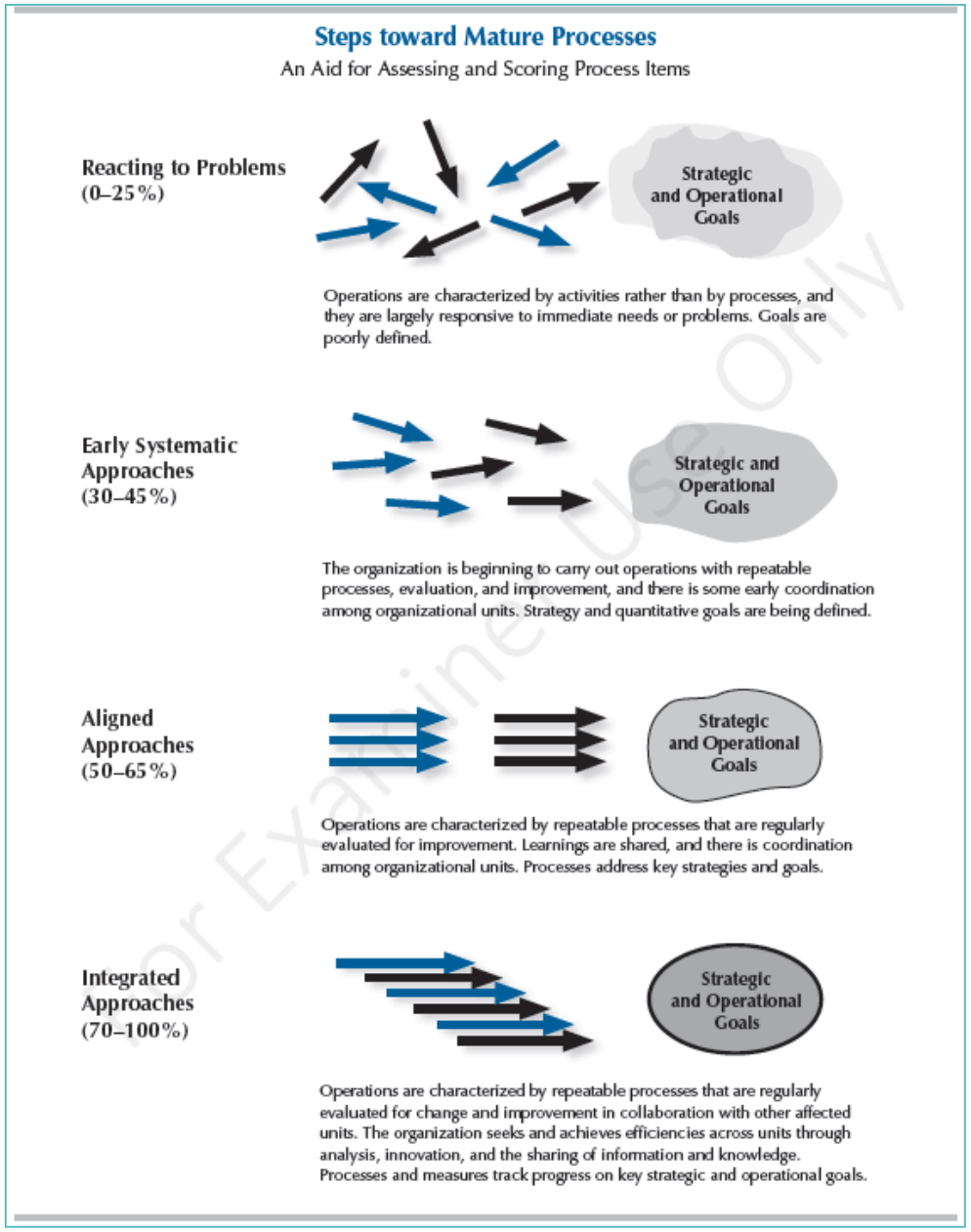
- Choose the most appropriate ***scoring range*** and enter it at the bottom of the page
- Choose the most appropriate ***score*** (in percentages of 5 *within* the scoring range) and enter it at the bottom right



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Steps Toward Mature Processes

Baldrige Excellence Framework, Page 36

Summarizing - Steps for Independent Review (IR)

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1. Review & study the Framework booklet
2. Read the entire application
3. Draft Key Factors (KF)
4. Evaluate each item
5. Draft 2 feedback-ready comments – 1 Strength & 1 OFI for each item
6. Determine the scoring range and the score

IMPORTANT !!

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You must complete your Independent Review **on time** in order for your team to move on to Consensus Review!

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Stage 2: Consensus Review
Stage 3: Site Visit
Stage 4: Write the Feedback Report

Stage 2 - Consensus Review (CR)

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- Consensus Review - end of January or early February
- Team Leader assigns Category Leads
- Category Leads
  - read & consider the IR worksheets of all team members for their assigned Category/Items
  - synthesize all comments into the 4-6 most important comments
  - further develop & strengthen the 4-6 comments
- Examining team meets to reach consensus on comments

Stage 3 - Site Visit (SV)

- Plan 3 days on-site in OH, IN, or WV
- Participate in Opening & Closing meetings led by Team Leader with applicant's senior leaders attending
- Review documents requested by Examiner Team
- Interview staff identified by the Examiner Team
- **"Work" the Site Visit Issue worksheets: verify Strengths and clarify OFIs**
- Complete SV Scorebook

Stage 4 – Write the Feedback Report

- The Team will use the SV Scorebook to complete a first draft of the Feedback Report
- The Team Leader will consult/discuss the Feedback Report with the Judge assigned to the applicant
- Examiners, Team Scorebook Editor, Team Leader and assigned Judge all contribute to the final Feedback Report

3 Scorebooks + Feedback Report
(Independent Review, Consensus Review, and Site Visit Scorebooks)

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- The most important product you will deliver as an Examiner is your **Independent Review Scorebook (1)**.
- The comments in the Independent Review Scorebooks of all the Examiners on your team will be synthesized to create a single **Consensus Review Scorebook (2)**.
- The Consensus Review Scorebook is used as a starting point at Site Visit and, with revision, becomes the **Site Visit Scorebook (3)**.
- The Site Visit Scorebook is used to create the **Feedback Report (4)** which is ultimately provided to the applicant.

Why These Documents Are Important!

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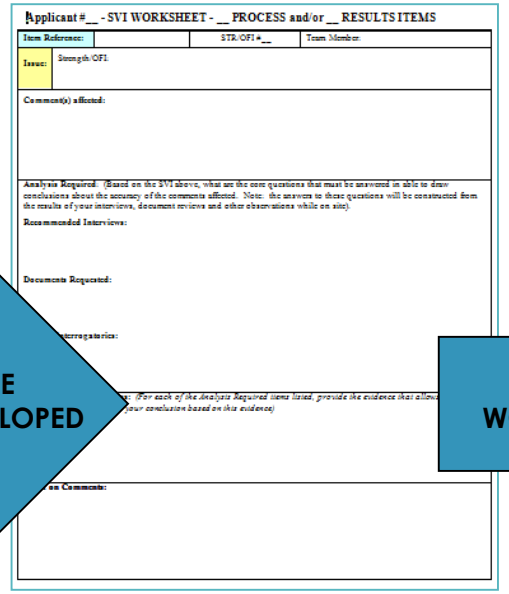
CONSENSUS SCOREBOOK

SITE VISIT ISSUE WORKSHEETS DEVELOPED


Applicant #__ - SVI WORKSHEET - __ PROCESS and/or __ RESULTS ITEMS

Item Reference: | STR/OFI #__ | Team Member:

Issue: Strength/OFI:

Comment(s) affected:

Analysis Required: (Based on the SVI above, what are the core questions that must be answered in able to draw conclusions about the accuracy of the comments affected. Note: the answers to these questions will be constructed from the results of your interviews, document reviews and other observations while on site).

Recommended Interviews:

Documents Requested:

Interrogatories:

Note: (For each of the Analysis Required items listed, provide the evidence that allow your conclusion based on this evidence)

Team Comments:

SITE VISIT ISSUE WORKSHEETS REVISED

SITE VISIT SCOREBOOK

How the Team Scored the Application before Site Visit based on Independent Review & Consensus

Site Visit Issue (SVI) Worksheets used to Document Issues during the Site Visit

Final Scorebook based on our findings during the Site Visit
Used to create the Feedback Report

What do we need to Clarify & Verify? → ***What We Found!*** → ***Why we changed the Consensus Scorebook Comments/Scores***

Judges want to see all three!

Pre-work Instructions

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In Your Prework Assignment Packet

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CONTENTS

- Cover Letter See Tab 7
- Instructions for Completing Pre-work See Tab 8
- Step-by-Step Instructions for Independent Review See Tab 9
- Case Study – Arroyo Fresco Community Health Center application See Tab 10
- Healthcare Criteria Booklet

PLEASE NOTE!

- You must bring 2 copies of each assigned & completed IR Item worksheet to Examiner Training in November to be admitted
- ***You have about 4-6 weeks to complete your prework. START SOON! DON'T WAIT UNTIL THE LAST MINUTE!!***

IMPORTANT
Completing Item Worksheets

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- ***In Oct/Nov*** - *for the case study*, you will complete IR worksheets in Scorebook Navigator only for the Items you are assigned – Items 4.2, 6.2, 7.1 and 7.4

- ***In December*** - *for the actual application*, you will need to complete IR worksheets for all 17 Items

Examiner Learning Resource Center (ELRC)

http://www.thepartnershipforexcellence.org/resources_training.html

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- Overall Process
- Independent Review
- Consensus Review
- Before Site Visit
- Site Visit

Conflict of Interest

TPE will have you read and sign a Conflict of Interest when you receive an actual TPE application in December

If in doubt whether there is a conflict, please contact TPE President/CEO Margot Hoffman, immediately, at 614-425-7157

Key Factors

Enter Key Factors in Scorebook Navigator

- As a reference, the Key Factors Worksheet template in Tab 3 provides an outline of what to consider for KFs (see next slide)

When Key Factors are complete, select "Done"

Tiffany Edmonds will provide a consolidated list of Key Factors in your scorebook in Scorebook Navigator

Upon receipt of consolidated list of Key Factors, you can complete your Independent Review

Ohio NEO Participants – Complete KFs by 10/10/17

Indiana NEO Participants – Complete KFs by 10/17/17

Key Factors Worksheet Template
(Word document)

The Partnership for Excellence Advising/Partnering Process
Key Factors for ***Health Care Organizations*** **2017-2018**

Team # _____ Examiner: _____ Date: _____

P.1 Organizational Description

a. Organizational Environment

(1) Health Care Service Offerings

(2) Mission, Vision and Values

(3) Workforce Profile

(4) Assets

(5) Regulatory Requirements

b. Organizational Relationships

(1) Organizational Structure

(2) Patients, Other Customers, and Stakeholders

(3) Suppliers and Partners

P.2 Organizational Situation

a. Competitive Environment

(1) Competitive Position

(2) Competitiveness Changes

(3) Comparative Data

b. Strategic Context

c. Performance Improvement System

See Tab 3

Scorebook Navigator

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- ***Save often***
  - ☺ Save every time you make an entry
  - ☺ Save at least every 15-20 minutes

- ***Assistance/Troubleshooting***
  - **Mike Belter** – mlbelter@aep.com (614) 583-6724
  - **Assistance with Setting Up Scorebook Navigator Account/Login** – Tiffany Edmonds tiffany@partnershipohio.org or (614) 893-0006

Closing Comments

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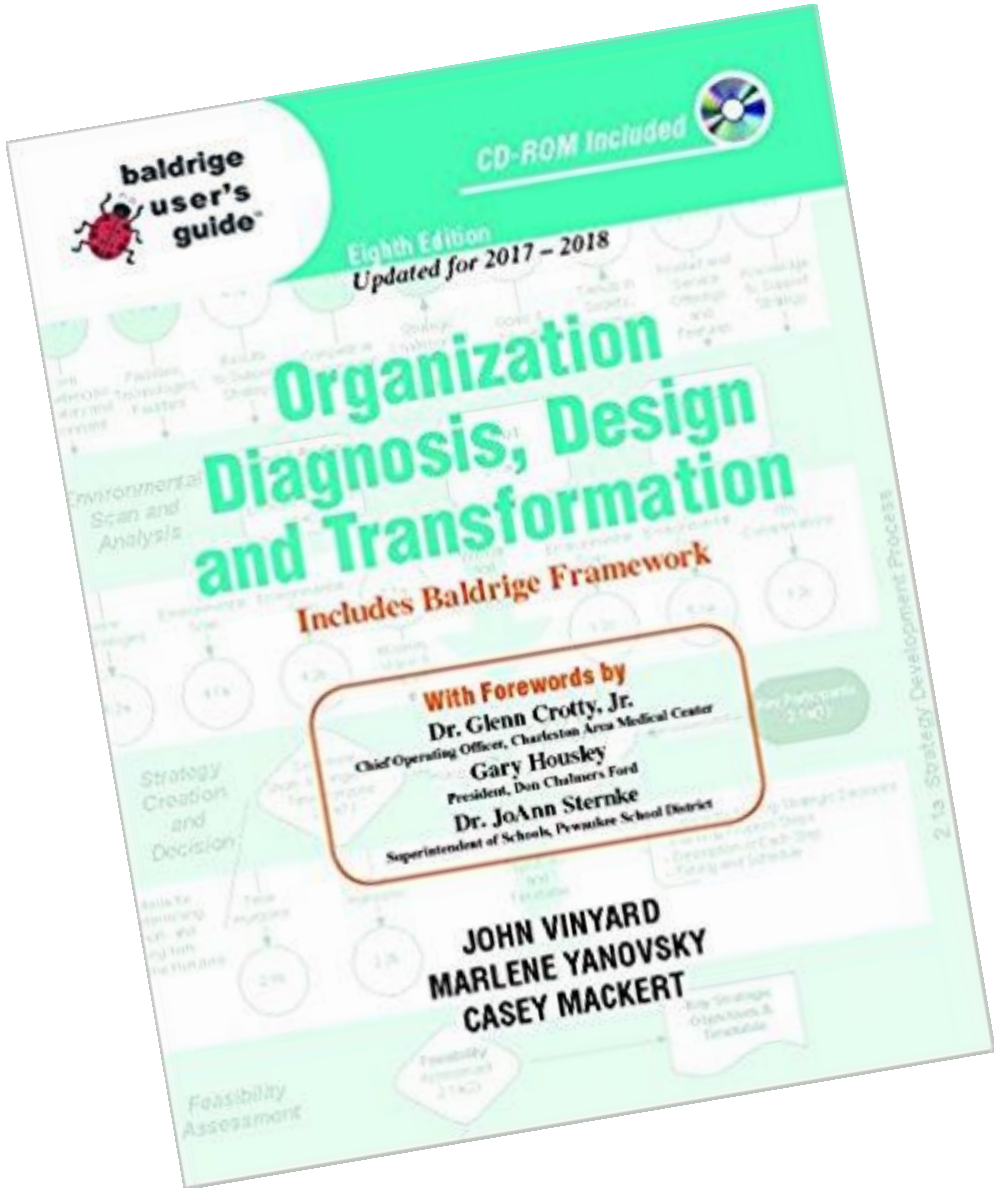

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A Great Resource for New Examiners

Comment Writing Help

- ❑ NEO
- ❑ WORK ON DEVELOPING CASE STUDY KEY FACTORS
- ❑ RECEIVE BPEP KEY FACTORS IN 2 WEEKS
- ❑ ENTER "CUT & PASTE" BPEP KEY FACTORS
- ❑ **WRITE COMMENTS**
- ❑ **REVIEW** BPEP SCOREBOOK FOR COMPARISON/LEARNING

Welcome to
The Partnership for Excellence Community!

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We are excited to have you on board

as members of the

2017-18 Board of Examiners !

See you in November…

please be careful driving home!

Please complete course survey in Tab 6

THANK YOU!

QUESTIONS?

FOR FURTHER QUESTIONS/INFORMATION:

MARGOT HOFFMAN

614-425-7157

MARGOT.HOFFMAN@PARTNERSHIPOHIO.ORG