

Step-by Step Instructions for INDEPENDENT REVIEW SCOREBOOK PREPARATION

<p>Introduction</p>	<p>The most important product you will deliver as an Examiner is the feedback to the organization from your final team scorebook. Your team’s final scorebook, edited, ultimately ends up in the hands of the applicant and provides organizational staff members with a Framework-based assessment of their organization’s Key Themes (KTs), Strengths (Ss) and Opportunities for Improvement (OFIs) from Item Evaluation and scoring for each Item.</p> <p>The following instructions take you through a process for completing your Independent Review (IR). The strengths and OFIs that you develop at this stage will become inputs for a team of Examiners to use in developing a Consensus Scorebook. The stage occurs prior to the Consensus Review (CR) and Site Visit, if appropriate.</p>
<p>Before You Begin</p>	<p>Schedule 30–50 hours to complete your IR Scorebook, which will include information contained in the Word Template:</p> <ul style="list-style-type: none"> • Key Factors (KFs) – 4-6 for each Item, • Specific Item designation such as (1.1a(1), 1.2b(1), through 7.5) • Strengths for each Item • Opportunities for Improvements (OFIs) for each Item • A scoring range such at 50-65% • And a final score such as 50%. <p>(Above is used for Commitment, Progress, and Award Levels. The Engagement Level uses Category (no Items) only Categories (1, 2, 3, etc.).</p> <p>Review the application and notify the QTF office drmac@quality-texas.org and dwrightbailey@quality-texas.org if you have a Conflict of Interest (COI).</p> <p>If you do not have a Conflict of Interest (COI), then move to step below.</p>
<p>Read and highlight the application (2-3 hours)</p>	<p>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.</p> <p>This will give the Examiner a feel for the organization, what the organization feels is important, and set the context for the evaluation.</p>

<p>Draft an initial list of KFs (Week 1) (2 hours)</p>	<p>Definition: A “key factor” is an attribute of an organization or its environment that influences the way the organization operates and the key challenges it faces. Examples may include mission, vision, and values; strategic challenges; and workforce groups and segments. KFs do not include descriptions of processes. Examiners use KFs to focus their assessments on what is important to the applicant.</p> <ul style="list-style-type: none"> • Read the applicant’s Organizational Profile (OP) and responses to the questions contained in the Baldrige Framework Organization Profile (first five pages of the application). Also review the Eligibility Forms for more insight about the applicant and some more potential KFs. <p>Note that the development of KFs is an iterative process. You may find other KFs in the applicant’s responses to the Framework requirements; add these KFs at any time.</p> <p>Draft an initial list of KFs in the Word Template and send to the Team Leader for consolidation.</p> <p>Team members will notify the Team Leader by email when they have their KFs finished and wait on the Team Leader to consolidate the KFs provided by all of the team members.</p> <p>The Team Leader will instruct the team by email when this step is complete and also notify QTF when this step is complete.</p> <p>After the Team Leader notifies the team, they have consolidated the KFs Master List, each Examiner will begin the Independent Review (IR). Use the Team Leader consolidated KFs to begin the IR.</p>
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Six Step Process

1 Read the Framework	2 Select KFs	3 Read the Application
4 Write 4-6 S/OFs – C~Score	5 Select SR; Then Score	6 Rationale for SR and Score

IR STEPS	INSTRUCTIONS
<p>1) USE THE 6-STEP PROCESS</p> <p>Review the Baldrige Framework for the specific Item (Week 1-5)</p>	<p>Read the Framework item to refresh your memory and understand the item requirements. Ensure you use the appropriate Baldrige Excellence Framework (Business/Nonprofit, Education, or Health Care) for Award Level. (Engagement, Commitment, and Progress Levels will be sent to you at the appropriate time.)</p> <ul style="list-style-type: none"> • Framework questions for all 17 items (1.1, 1.2, through 7.5) (Award, Progress, and Commitment). Engagement only uses the Categories (1, 2, etc.)
<p>2) Decide on Key Factors for each item (1.1, 1.2 through 7.5) (Week 1-5)</p>	<p>As you read the Baldrige Framework, select the most important KFs for the applicant from the Team Leader’s KFs Consolidated Master List. As an example, read 1.1 in the Baldrige Framework and then select the best KFs for that particular item from the Team Leader’s KFs Master List.</p> <p>REMEMBER: As we did in the training, you may have eight to ten potential KFs but select only 4 to 6 that is most appropriate. The KFs selected must match the questions in the Baldrige Framework.</p> <p>This is your best answer to the Framework and the KFs Consolidated Master List from the Team Leader</p>

<p>3) Read the response to the Baldrige Framework by the applicant (Week 1-5)</p>	<p>Take some time and review what the applicant said about the Baldrige Framework questions.</p> <p>REMEMBER (ADLI) - Approach, Deployment, Learning, and Integration from our Examiner Training for Categories 1-6.</p> <p>(LeTCI) - Levels, Trends, Comparisons, and Integration for Category 7.</p>
<p>4) Select the 4-6 key strengths and OFIs for the applicant</p>	<p>ITEM EVALUATION STEPS</p> <p>Record (on the word template) around 4-6 strengths/OFIs with their nugget, evidence/example, and relevance for each Item you review. As an example, when reviewing 1.1, decide what the organization is doing well in response to the Baldrige questions (strengths) and what you recommend as opportunities for improvements (OFIs) which may include potential deficiencies and gaps in performance for the organization.</p> <p>Read the relevant section of the application that corresponds to the Baldrige Framework. Mark your application as you need to in order to catch the most relevant responses to the Baldrige Framework questions</p> <p>— Flag, mark up, and/or take notes as needed. You may use a + for a strength, a – for an OFI and may want to mark an “R” if you expect to see a result.</p> <p>In noting the processes or approach, record the applicant’s wording from the application rather than using your own words. Use quotes for impact when appropriate.</p> <p>Continue to develop and complete the IR Word Template.</p> <p>REMEMBER NERD (Nugget, Evidence/Example, Relevance, Done) FROM TRAINING WHEN COMPLETING THIS SECTION.</p> <ul style="list-style-type: none"> • Nugget is taken from the framework requirements primarily • Evidence/Example is taken from the applicant’s responses primarily • Relevance is taken from the framework questions, the key factors, and perhaps from the scoring guidelines <p>— For each strength or OFI</p> <ul style="list-style-type: none"> • Select the relevant KFs that influence this approach or process (e.g., varied employees, shifts, sites, a specific key strategic advantage). <p>REMEMBER: Do not be prescriptive and use the term “may” for OFI relevance.</p> <ul style="list-style-type: none"> • Determine the strength’s (or OFI’s) significance to your evaluation of the

	<p>applicant and whether it should be bolded (indicating a major strength or a major OFI).</p> <ul style="list-style-type: none"> • Provide the item’s specific areas to address and headings to which the processes or methods relate at the top of the Item Template (e.g., 1.1a[1], 1.1b[1,3], or 2.2a[1–3]). • Use your Word document to arrange the order of the strengths and OFIs, starting with the most important first in your feedback to the applicant. <p>Eliminate any conflicts between strengths and OFIs.</p> <p>You may use embedded strengths or OFIs if the application addressed two of three requirements and your team needs to give them credit. Then discuss the one the organization did not include key components of the framework questions.</p>
<p>5) Decide on an appropriate Scoring Range for each item</p>	<p>Then select a scoring range and then a score for each item (1.1, 1.2 through 7.5).</p> <ul style="list-style-type: none"> — Determine the applicant’s overall scoring range for the item. First begin at the 50-65% level for Award and Progress levels; 30-45% for Commitment and Engagement levels. — Note the balance and importance of the strengths and OFIs, including those that are bolded (best strength or major OFI) and those that are relative to item requirements and the KFs. <p>Remember “best fit” of Scoring.</p> <ul style="list-style-type: none"> — As a check, read the description of the scoring ranges above and below the selected range to determine where the applicant’s score falls within that range. — Finally, determine a percentage score that is a multiple of 5% for the item. Record the percentage score in the space provided on the Template.
<p>6) Write the Rationale for the Scoring Range and proposed score.</p>	<p>Now write your rationale on the Template explaining your thought process for the scoring range and final score that you selected in Independent Review.</p> <p>Your reasoning should include why the organization is in the scoring range selected.</p>

<p>Review all your IR Worksheets</p>	<p>When you have completed all of the items, review them to check for any conflicts across items.</p>
<p>On completion</p>	<p>. . . of the Independent Review process, notify your team leader via email. The Team Leader will notify QTF to drmac@quality-texas.org.</p>

APPENDIX: Evaluation Factors

Process Item Evaluation Factors

SPECIAL NOTE: REMEMBER TO USE THE SMALL ORGANIZATION CONSIDERATION IF APPROPRIATE AND WITH AN EMPLOYEE BASE UNDER 100.

Approach (A)

Definition: “Approach” refers to the methods used by an organization to carry out its processes. Approach includes the appropriateness of the methods to the item requirements and to the organization’s operating environment, as well as how effectively the organization uses those methods.

- Is the approach systematic (i.e., well-ordered, repeatable, and exhibiting the use of reliable data and information so that learning is possible)?
- Is there evidence that the approach is effective in accomplishing the process?
- Is this approach (or collection of approaches) a key organizational process? Is the approach important to the applicant’s operating environment?

Deployment (D)

Definition: “Deployment” refers to the extent to which an organization applies an approach in addressing the requirements of a Baldrige Framework item. Evaluation of deployment considers how broadly and deeply the approach is applied to relevant work units throughout the organization.

- Is deployment addressed?
- What evidence is presented that the approach is in use in one, some, or all appropriate work units, facilities, locations, shifts, organizational levels, and so forth?
- Does the approach address item requirements that are relevant and important to the organization?
- Is the approach applied consistently?

Learning (L)

Definition: “Learning,” in the context of the evaluation factors, refers to new knowledge or skills acquired through evaluation, study, experience, and innovation.

- Has the approach been refined through cycles of evaluation and improvement? If it has, was the evaluation and improvement conducted in a fact-based, systematic manner (e.g., was it regular, recurring, data driven)?
- Is there evidence of organizational learning (i.e., evidence that the learning is achieved through research and development, evaluation and improvement cycles, ideas and input from workforce and stakeholders, the sharing of best practices, and benchmarking)?

— Is there evidence of sharing of refinements and innovation with other relevant work units and processes within the organization (e.g., evidence that the learning is actually used to drive innovation and refinement)?

Integration (I)

Definition: As a process evaluation factor, “integration” covers the range from organizational “alignment” of approaches in the lower-scoring ranges to “integration” of approaches in the higher ranges.

“Alignment” refers to a state of consistency among plans, processes, information, resource decisions, workforce capability and capacity, actions, results, and analyses to support key organization-wide goals. It requires a common understanding of purposes and goals. It also requires the use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organization level, the key process level, and the work unit level.

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

— Use the KFs to determine the extent to which the organization is integrated. How well is the approach aligned with the organizational needs the applicant has identified and other process items?

— Are the applicant’s measures, information, and improvement systems complementary across processes and work units?

— How well is the approach integrated with organizational needs to support organization-wide goals (i.e., plans, processes, results, analyses, learning, and actions are harmonized across processes and work units)?

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

Results Item Evaluation Factors

Levels (Le)

Definition: “Performance levels” refer to numerical information that places or positions an organization’s results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

- What levels are provided?
- Is the measurement scale meaningful?
- Are key results missing? (review application for important information without results; normally information listed in charts or tables without measures)

Trends (T)

Definition: “Trends” refer to numerical information that shows the direction and rate of change for an organization’s results or the consistency of its performance over time. A minimum of three data points generally is needed to begin to ascertain a trend.

- Are trends provided for few, many, or most areas addressed in the item requirements?
- Is the interval between measures or frequencies appropriate?
- Are the trends positive, negative, or flat? (if negative is there a narrative explanation?)
- What is the rate of performance improvement or continuation of good performance in areas of importance (slope of the trend)?
- Are significant variations in trends explained in the text of the application?

Comparisons (C) (review P.2 in the Organizational Profile for insight)

Definition: “Comparisons” refer to how the applicant’s results compare with the results of other appropriate organizations. Comparisons can be made to the results of competitors, organizations providing similar products and services, industry averages, or industry leaders (See P2 in Organizational Profile for a list of comparisons and competitors). The maturity of the organization should help determine what comparisons are most relevant.

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

Integration (I)

Definition: “Integration” refers to the extent to which results measures (often through segmentation) address important performance requirements relating to customers, products and services, markets, processes, and action plans identified in the Organizational Profile and in process items; include valid indicators of future performance; and reflect harmonization across processes and work units to support organization-wide goals.

— Use the KFs to determine the extent to which the organization is integrated. To what extent do results link to KFs and process items?

— Are results segmented appropriately (e.g., by key customer, patient, or student segment; employee type; process/education program or service; or geographic location; See P1 or Organizational Profile for more info) to help the applicant improve?