QUALITY TEXAS
ENCOURAGING & RECOGNIZING EXCELLENCE

2023-2024 Step-by Step Instructions for INDEPENDENT ANALYSIS SCOREBOOK PREPARATION

Introduction	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. The following instructions take you through a process for completing your Independent Analysis (IA). 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 IA stage occurs prior to the Consolidation (consensus) and Site Visit, if appropriate.
Before You Begin	**Schedule 20–30 hours** to complete your IA, which will include information contained in the Word Evaluation Template: • Key Factors (KFs) Review (received from Team Leader and the Process) Coach – 4-6 for each Item, • Specific Category/Item designation (assigned as the Primary and Backup in the following groupings such as: Process Category 1 (1.1, 1.2); Results Item 7.4; Process Category 2 (2.1, 2.2); Results Item 7.5; Process Category 3 (3.1, 3.2); Results Item 7.2; Process Category 5 (5.1, 5.2); Results Item 7.3) or Process Category 4 (4.1, 4.2); Results Item 7.1 Process Category 6 (6.1, 6.2); Results Item 7.1 • Strengths (Ss) for each Item • Opportunities for Improvements (OFIs) for each Item • A scoring range such at 50-65% • And a final score such as 50%. (The information above is used for **Commitment, Progress,** and **Award** Levels). The **Engagement** Level uses Category only (1, 2, 3, etc.) - no Items. Review the application and notify the QTFRP office drmac@quality-texas.org if you have a **Conflict of Interest (COI)**. If you do not have a **Conflict of Interest (COI)**, then move to Step 1 below.

| Read and highlight the application (2-3 hours) | Read the entire Organizational Profile and the entire application, highlighting and/or noting the applicant's key processes— the methods used to address Item questions—and noting results you would expect to see related to these processes.

This will give you a feel for the organization, what the organization believes is important, and set the context for the evaluation. |
|---|---|
| A list of KFs (Week 1) (1 hour) | **Definition**: A "Key Factor" (KF) is an attribute of an organization or its environment that influences the way the organization operates and the key challenges it faces. 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.

• 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 Certification Forms for more insight into the applicant and more potential KFs. Mark what you think is very important particularly to your Category and Items assigned by the Team Leader.

Note that the development of KFs is an iterative process. You may find other KFs in the applicant's responses to the Framework questions; add these KFs at any time.

The Team Leader/Process Coach will send the team a list of Key Factors. Use the Team Leader KFs Master List to begin your IA. |

QUALITY
TEX S
ENCOURAGING
& RECOGNIZING
EXCELLENCE

QTF 3-Step Item Evaluation Process

1 Read the Framework; Denote the Key Factors for your Category/Item	2 Read the Application; Write 4-6 S/OFIs – Congruent with Score for your Category/Item	3 Select Scoring Range; Then Score; Enter Rationale for SR and Score

STEPS	INSTRUCTIONS
1) USE THE 3-STEP PROCESS Review the Baldrige Framework for the specific Item (Week 1-5)	**Read the Framework item to refresh your memory and understand the item questions.** Ensure you use the appropriate Baldrige Excellence Framework (Business/Nonprofit, Education, or Health Care): • Framework questions for your particular Category/Item Assignment as mentioned above. • Select the appropriate Key Factors for your item from the Team Leaders List sent to you. • As you read the Baldrige Framework, select the most important KFs for the applicant from the Team Leader's KFs Master List based upon your assignment. As an example, read your Item in the Baldrige Framework and then select the best KFs for that particular Item from the Team Leader's KFs Master List. REMEMBER: As we did during training, select only 4 to 6 that are most appropriate. The KFs selected must match the questions in the Baldrige Framework. This is your best 4-6 KFs related to the Framework and chosen from the KFs Master List received from the Team Leader.

QUALITY
TEXAS
ENCOURAGING
& RECOGNIZING
EXCELLENCE

2) Read the response to the Baldrige Framework by the applicant **Select the 4-6 key Strengths and OFIs for the applicant**	Take some time and review what the applicant said about the Baldrige Framework questions. **REMEMBER** (ADLI) - Approach, Deployment, Learning, and Integration from our Examiner Training for Categories 1-6. (LeTCI) - Levels, Trends, Comparisons, and Integration for Category 7. ITEM EVALUATION STEPS Record (on the Word Evaluation Template) around 4-6 Strengths/OFIs with their **F**inding, **E**vidence/example, and **P**otential Impact 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. 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 — Flag, mark up, and/or take notes as needed. You may use a "+" to indicate a strength, a "−" to indicate an OFI and may want to mark an "R" if you expect to see a result in Category 7. In noting the processes or approach, record the applicant's wording from the application rather than using your own words. Use direct quotes for impact when appropriate. Continue to develop and complete the IA Word Evaluation Template. — For each strength or OFI • Select the relevant KFs that influence this Approach or process (e.g., varied employees, shifts, sites, a specific key strategic advantage). REMEMBER: Do not be prescriptive. Use the term "may" for OFI Potential Impact. • Determine the strength's (or OFI's) significance to your evaluation of the applicant and whether it should be **bolded** (indicating a major strength or a major OFI and considered 2 of your 4 to 6 Strengths or OFIs).

	- At the top of the Item Template, provide the Item's specific areas to address and headings to which the processes or methods relate to the Framework (e.g., 1.1a[1], 1.1b[1,3], or 2.2a[1–3]). - Use your Word Evaluation Template to arrange the order of the Strengths and OFIs, starting with the most important first in your feedback to the applicant. Eliminate any conflicts between Strengths and OFIs. You may use embedded Strengths or OFIs if the application addressed two of three questions and your team needs to give them credit. Then, proceed to discuss in your OFI the one the organization did not include.

3) Decide on an appropriate Scoring Range for each item	Then select a scoring range and followed by a score for each item assigned. — 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 questions and KFs. Remember "best fit" of Scoring. — 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 Word Evaluation. Write your rationale on the Word Evaluation Template explaining your thought process for the scoring range and final score that you selected during your IA. Your reasoning should include why the organization is in the scoring range that you selected and it should be taken from the scoring range statements.
Review all your IA Worksheets	When you have completed all of the Items, review them to check for any conflicts across Items.
On completion	. . . of the IA process, notify your team leader via email. The Team Leader will notify QTF (drmac@quality-texas.org to inform them that all team members have completed their IA.

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 questions 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 questions 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 questions 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 questions?

— 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)

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?