



Examiner Quick Reference Guide

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Welcome Letter

Examiners, Team Leads, Coaches, and Judges - welcome to the Baldrige journey!!

2020 is an exciting year with several changes coming to the Iowa Recognition for Performance Excellence (IRPE) program including:

- All electronic submittal process
- Updates to IRPE Process
- IRPE Virtual Work

The IRPE Team comprises experts from all sectors of the Iowa economy, including health care, service, nonprofit, manufacturing, education, technology, and government. All team members receive training in the Baldrige Excellence Framework™. This nationally recognized framework focuses on a unified systems approach to performance excellence in the areas of leadership, strategy, customer, measurement and knowledge, workforce, operations, and results.

As a member of the IRPE team, you are responsible for reviewing, evaluating, and providing feedback to organizations that apply to the IRPE Program. The IRPE Program recognizes local, state, and regional organizations that demonstrate excellence in operations and results.

We are excited to have you as part of the IRPE Team and look forward to your learning and contribution to our applicants.



Scott Burgmeyer
Executive Director – Iowa Recognition for Performance Excellence

IRPE Roles

Applicant: Any organization that submits any level of IRPE application and is the ultimate customer of the feedback the teams provide.

Examiner: Evaluates applicants of the IRPE through independent review, consensus, and site visit. Examiners complete the evaluation using the Baldrige framework, core concepts and values, and code of conduct.

Team Lead: An active participant of the team who leads, facilitates, and adheres to IRPE processes, is organized and checks in regularly with team members, holds them accountable, while teaching, mentoring, and ensuring team members have a positive learning experience.

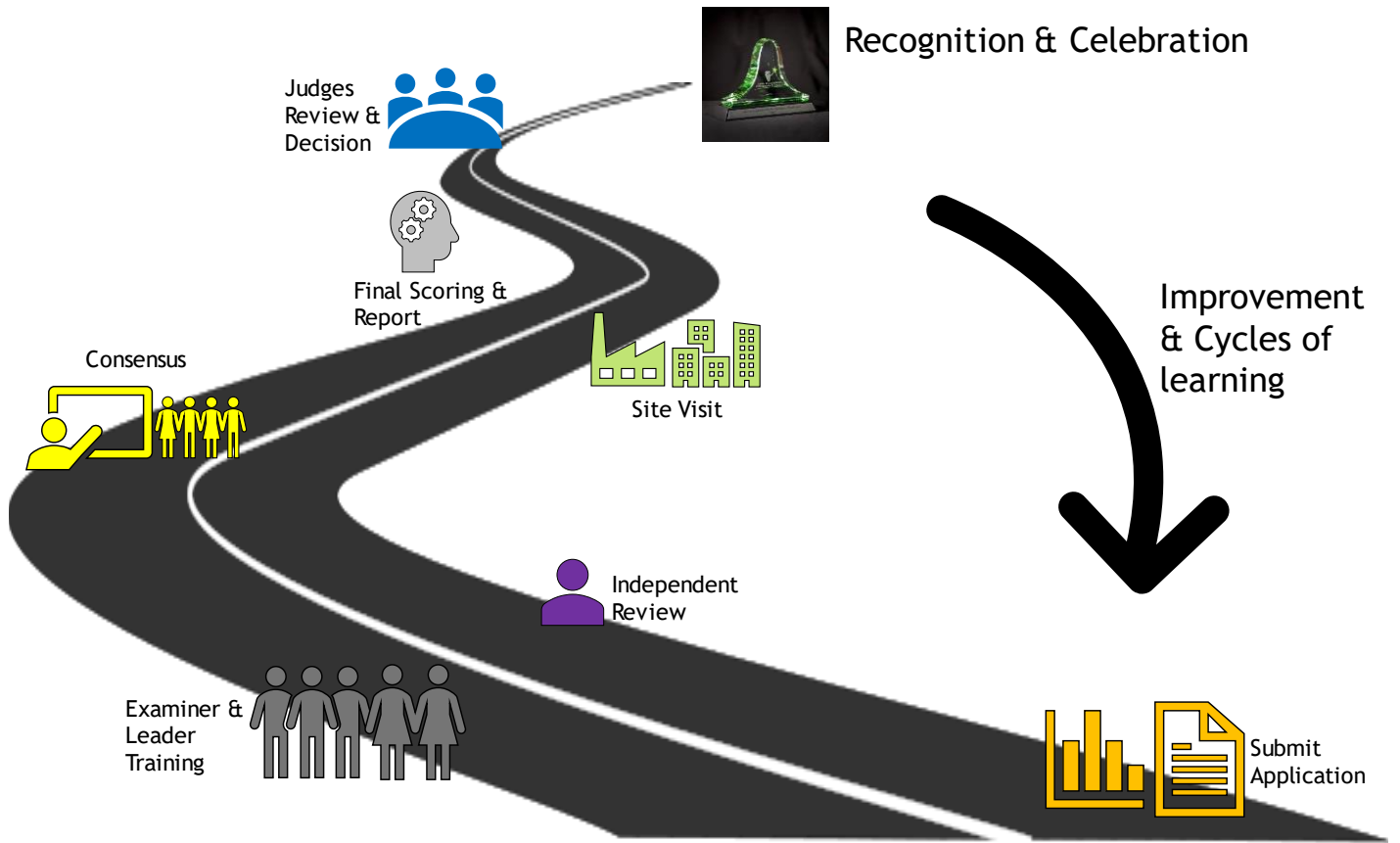
Coach: Supports the team lead in providing feedback and fostering critical thinking. Ensures the team is following IRPE processes, while learning and having fun, to advocate for the applicant to provide a quality feedback report.

Judge: Reviews feedback from the teams to ensure alignment to the IRPE Process and Baldrige principles. Reviews all state applications and team feedback to make the final award level recommendation to the IRPE Board of Directors.

IRPE Executive Director: Leads to IRPE Program through the introduction and use of the Baldrige framework. Primary focus is applicant and examiner recruitment, Iowa Performance Excellence Conference, Baldrige Alliance membership, and awareness and learning around the Baldrige framework.

IRPE Board of Directors: Serves as the oversight body for the IPRE process with final approval of award levels based on the Judges recommendations.

IRPE Roadmap



Code of Ethical Conduct

Members of the Board of Examiners for the Malcolm Baldrige National Quality Award pledge to uphold their professional principles in the fulfillment of their responsibilities as defined in the administration of Public Law 100-107, the Malcolm Baldrige National Quality Improvement Act of 1987. The Board of Examiners Code of Ethical Conduct establishes accountability for these principles.

Four principles are the foundation of the Code of Ethical Conduct. These principles empower examiners to make effective decisions with great confidence. As a state program the IRPE endorses the process of the Baldrige and has adopted the principles and foundations for the Iowa program.

Principle 1: Protect the Integrity of Baldrige

Examiners will make sound decisions related to conflicting or competing interests, as well as do their part to ensure that all organizations are evaluated consistently for the Baldrige Award and other Baldrige assessments. Violations of this principle include, but are not limited to, the following examples:

- Representing conflicting or competing interests or placing themselves in such a position where their interest may be in conflict—or appear to be in conflict—with the purposes and administration of the Baldrige Award or other Baldrige assessments. This includes being employed by, being a supplier or customer of, having a financial interest in, or having a consulting arrangement with a competitor or competing interest, present or future.
- Approaching an organization they have evaluated or reviewed in another examiner role on behalf of the Baldrige Program (e.g., technical editor or external site visit monitor) for personal gain or accepting employment from an organization they have evaluated within five years of the evaluation
- Using information gained from sources other than the award applicant or organization being assessed, such as information gathered from the press, websites, social media, examiners, or any other outside sources
- Intentionally communicating false or misleading information that may compromise the integrity of the Baldrige Program, award process, or decisions therein

Principle 2: Exhibit Professional Conduct at All Times

Examiners will conduct themselves professionally, guided by truth, accuracy, fairness, respect, and responsibility in all their interactions. Violations of this principle include, but are not limited to, the following examples:

- Sharing their number of years of service as an examiner or promoting/advertising their services *while performing as an examiner*
- Independently giving feedback to applicants regarding scoring or overall performance
- Using IRPE Program/Award logos in advertising or promotion. Note: Upon completion of the Examiner Preparation Course and their assigned role, examiners may use the following designation for one year, except on business cards: Examiner, Iowa Recognition for Performance Excellence(IRPE).
- Failing to respect the climate, culture, and values of organizations being evaluated when participating in site visits

Principle 3: Protect the Promise of Confidentiality

Examiners will safeguard the confidences of all parties involved in the judging or examination of present or former applicants so that the integrity of the Baldrige Award or award process is not compromised. Violations of this principle include, but are not limited, to the following examples:

- Disclosing the identity of or other information about the applicant to anyone other than the examiner's team, the judge involved in the examination, or the IRPE staff members involved in the examination during or at any time after the review process.
- Copying applicant information of any kind. Retaining applicant information beyond the Consensus Review (or Site Visit Review, if applicable)
- Communicating applicant identity or other applicant information through e-mail, social media, or any other electronic or written means outside of the Baldrige Program's secure database
- Communicating applicant identity or other information via cell phone, VOIP, or wireless devices unless authorized by the applicant
- Using or adapting applicant information subsequent to the review process, unless the information is publicly released by the applicant
- Communicating with the applicant during Independent Review and/or Consensus Review, unless the examiner is a designated participant of the official Independent Review call with the applicant
- Communicating directly with the applicant during site visits about matters other than verifying and clarifying information in the consensus scorebook, unless the examiner is the team leader or backup team leader.
- Requesting/reviewing *individual* customer, stakeholder, or workforce member data and information during the Site Visit Review process

Principle 4: Protect the Program's Intellectual Property

Examiners will make sound decisions related to the use of IRPE Program materials, trademarks, logos, and information contained within the program's website. Violations of this principle include, but are not limited to, the following examples:

- Establishing links from their own website to the National Institute of Standards and Technology (NIST) or Baldrige Performance Excellence Program (BPEP) website without making it clear that users will be taken to official NIST websites
- Failing to acknowledge the use of trademarks owned by NIST, including those for NIST, the Quest for Excellence, and the Malcolm Baldrige National Quality Award, along with the statement indicating the trademark is registered by NIST
- Making or sharing unauthorized copies of the Baldrige Excellence Framework or any other Baldrige Program publications

Furthermore, board members enhance and advance the Malcolm Baldrige National Quality Award and the Iowa Recognition for Performance Excellence as it serves to stimulate U.S. organizations to improve quality, productivity, and overall performance. All Examiner board members pledge to abide by this Code of Ethical Conduct.

IRPE Roles

Applicant: Any organization that submits any level of IRPE application and is the ultimate customer of the feedback the teams provide.

Examiner: Evaluates applicants of the IRPE through independent review, consensus, and site visit. Examiners complete the evaluation using the Baldrige framework, core concepts and values, and code of conduct.

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Coach: Supports the team lead in providing feedback and fostering critical thinking. Ensures the team is following IRPE processes, while learning and having fun, to advocate for the applicant to provide a quality feedback report.

Judge: Reviews feedback from the teams to ensure alignment to the IRPE Process and Baldrige principles. Reviews all state applications and team feedback to make the final award level recommendation to the IRPE Board of Directors.

IRPE Executive Director: Leads the IRPE Program through the introduction and use of the Baldrige framework. Primary focus is applicant and examiner recruitment, Iowa Performance Excellence Conference, Baldrige Alliance membership, and awareness and learning around the Baldrige framework.

IRPE Board of Directors: Serves as the oversight body for the IRPE process with final approval of award levels based on the Judges' recommendations.

IRPE Tool Matrix

This tool matrix is designed for examiners, team leads, coaches, and judges as a reminder of templates, support documentation, and guides to support the IRPE feedback process. All the templates can be found at

<https://iowaqc.org/examiner-resources>

Tool Name	Purpose/How Used	When Used
Examiner Biography	Overview summary of your background to share with the team lead and your team.	Pre-work & IR
IRPE Roadmap	Overview of the IRPE process and timeline.	IR, HELP Week, & Site Visit
IRPE Calendar	Provides teams a standard timeline for completing IR, HELP Week, and Site Visits.	IR & HELP Week
6-Step Process	Defined approach for reviewing the application and providing excellent feedback.	IR, HELP Week, & Site Visit
Key Factor Worksheet	Provides the team a working copy to build the key factors for the organization.	IR
Team Lead Key Factor Quick Reference	Quick reference for entering Key Themes.	IR
Team Emails	Guide for team leads to communicate with examiners.	IR
Results & Document Matrix	Each examiner uses this during IR to capture expected results and desired documents.	IR
Independent Review Process Quick Reference	Provides a guide for entering IR information in APEX.	IR
Category Lead Consensus Review Quick Reference	Provides a guide for preparing for HELP week in APEX.	HELP Week
Consensus Script	Each category lead assembles the script based on their review of the examiner IR's. The script is displayed to the team to guide the conversation during HELP week and Site Visit.	HELP Week
Scoring Standard Work	Defined approach for scoring during HELP Week & Site Visit to ensure consistency.	HELP Week & Site Visit
Key Theme Matrix	Provides the team a working copy to build the key themes for the organization.	HELP Week & Site Visit
IRPE Score Tracker	Provides the team, coaches, and judges a reference and history of the scoring from HELP Week to Site Visit.	HELP Week & Site Visit
Category Lead Site Visit Prep Quick Reference	Reference for team leads to get ready for site visit documents and people to interview from APEX.	Site Visit
Team Lead Site Visit Prep Quick Reference	Steps to capture needed documents and people to interview to give to the applicant for site visit prep from APEX.	Site Visit
Walk the Wall Standard Work	Defined approach for working and gathering feedback on comments during site visit.	Site Visit
Site Visit Quick Reference	Provides a guide for entering Site Visit information in APEX.	Site Visit

IR = Independent Review **HELP Week** = Help Examiners Learn the Process

Examiner Training Sessions

Examiner Experience Orientation & Training

Day 1 (New Examiners)

Training Item	Summary
Introduction & IRPE Process	Introductions at goals of training, focus on case study and comment writing.
Baldrige Criteria	Criteria book, pizza, ADLI, LeTCI
Learn the Criteria	Gallery walk and debrief
6 Step Process	<ul style="list-style-type: none">• Walk through 6-step process (Model for group)• Group completes it together• Feedback• Repeat for process and results items
Debrief 6 Step Process	Q&A and learnings from 6-step process

Day 2 (All Examiners/Coaches/Judges)

Training Item	Summary
Introduction & IRPE Process	Introductions at goals of training, focus on case study and comment writing.
Baldrige Criteria	Criteria book, pizza, ADLI, LeTCI
Learn Apex	Interacting with the software
6 Step Process – Refresher	<ul style="list-style-type: none">• Walk through 6-step process (Model for group)• Group completes it together in software.
Team work on Application	<ul style="list-style-type: none">• Gather into teams• Complete introductions and Examiner Bio• Review Timelines (calendar, establish site visit date)• Get Applicant Materials & confirm no Conflict of interest• Complete Key Factors as a team (Team Lead enters them into APEX)• Complete initial results review• Complete IR of 1.1 and enter into APEX – review with team lead or coach prior to leaving

Pre-Consensus Week Webinar

**Webinar will be held ~2 weeks prior to HELP week and recorded for anyone who cannot make it.

Training Item	Summary
Current Status	Share where we are on the road map, effort to date.
HELP Week Prep	Role of Category Lead
Category Lead	<ul style="list-style-type: none">• Sorting through the comments• Input of Key Factors• Summarizing the comments in Apex• Initial Scoring• Using Category Lead Script• Supporting Information
Q&A	Q&A and learnings from 6-step process
Wrap-up	Reminder of Calendar and date Apex will be rolled forward by team leads

Consensus Week Day 1

Training Item	Summary
Welcome	Quick hello and thank you, logistics for rooms.
Comment Evolution	How comments will evolve during the next week and prep for site visit.
Scoring	Reminder for scoring process and standard work, run through a couple exercises.
Roadmap	Remind where we are on the roadmap and have teams begin working.

Consensus Week Day 3

Training Item	Summary
Welcome	Quick hello and see how people are feeling.
Site Visit Prep	Review APEX and how to prepare for site visit.
Core Values & Key Themes	Review of core values and how used for key themes. Key Themes worksheet.
Site Visit Expectations	Introductions, Attire, being with team, walk the wall, final score and score bands for recognition.








IRPE Standard Calendar

Date	Item(s) Due
Sept 03	Team Lead Training
Sept 09-10	Examiner Training
Sept 10	Key Factors Identified by Team & Initial Results Review
Sept 10	1.1 Entered in Apex
Sept 11	Key Factors entered by Team Lead
Sept 14	1.2 & 7.4 Entered in Apex
Sept 16	First feedback from Team Lead and Coach to examiners
Sept 17	Cat 2 & 7.5 In Apex
	Team Check-in Meeting (team lead to set)
Sept 21	Cat 3 & 7.2 in Apex
Sept 24	Cat 4 in Apex
Sept 28	Cat 5 & 7.3 in Apex
	Team Check in Meeting (team lead to set)
Sept 29	Consensus Webinar
Sept 29	Cat 6 & 7.1 in Apex
Sept 30	8 am, applications move from IR to Consensus
Oct 2	Category Lead Synthesis Complete in APEX and sent to team
Oct 5-8	Consensus Week

6 Step Process

Process Summary

The 6-Step Process is used during independent review, HELP Week, and Site Visit to ensure review, feedback, and scoring are aligned with the Baldrige criteria.

Step	Instructions
<p>Review Criteria</p> 	<p>Ground yourself in the Criteria item by interpreting and studying the requirements in order to apply them appropriately.</p> 
<p>ID 4-6 Key Factors</p> 	<p>Review your list of key factors and determine the attributes of the organization that would influence its responses to the item requirements and select the most relevant 4-6 for the item.</p>
<p>Read Application</p> 	<p>Read the relevant section of the application.</p> <ul style="list-style-type: none"> • Identify the processes or approach the applicant uses to meet item requirements. • Highlight, mark up, and/or take notes as needed for both process and in the results & document matrix – documents (process category) - results (results category).
<p>Capture 4-6 STR/OFI</p> 	<p>Select the 4-6 most relevant strengths/OFI's with the accompanying evidence. **Note: If writing a feedback ready comment, identify the Nugget, Example, Relevance, and be Done (NERD).</p>
<p>Enter In Software</p> 	<p>Follow the specific software standard work to enter the Strength/OFI into the system.</p>
<p>Score</p> 	<p>If you are at HELP Week or on Site Visit, use the Scoring Standard Work document to score the item in APEX.</p> <p>**Note: No scoring is done during Independent Review (IR)</p>

Process Evaluation Factors

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 Criteria 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.

- How well is the approach aligned with the organizational needs the applicant has identified in the Organizational Profile 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 Evaluation Factors

Performance 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?

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?
- 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. 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)

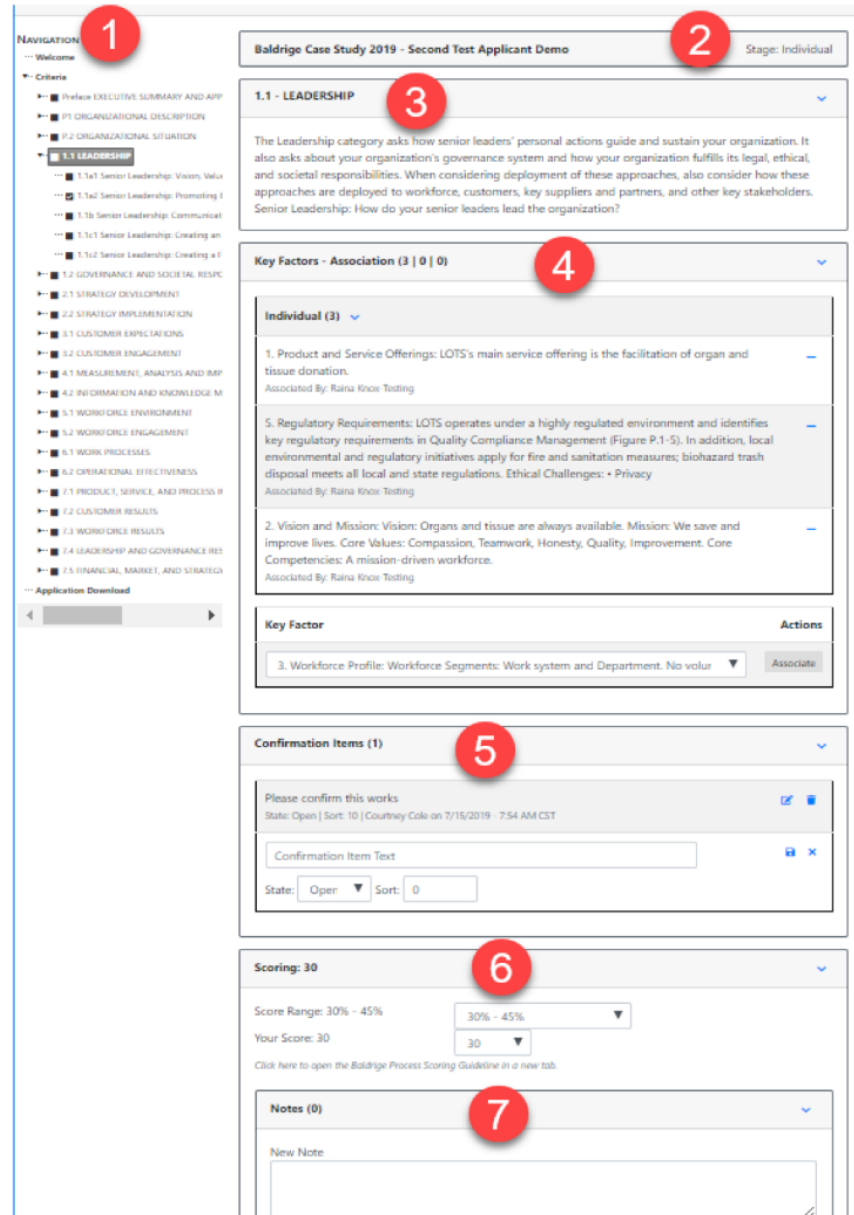
Definition: “Integration” refers to the extent to which results measures (often through segmentation) address important performance requirements relating to customers, products and services, markets, processes, and action plans identified in the Organizational Profile and in process items; include valid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

- 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) to help the applicant improve

Independent Review Process Quick Reference

Functions Available at the Item Level:

- 1) Navigation allows you to move around in the application. Click on the item to go to the area you wish to work in. The checks in the black boxes next to the Item and Requirements numbers indicate that the area has been marked as completed. At the bottom of the navigation, the Application Download function allows you to download the application submitted. The applicant responses are provided for each criteria item under the multiple requirements numbers.
- 2) The Stage presents the area you are working in. There are four stages a) Key Factors, b) Individual (Independent) Review, c) Consensus, and d) Site Visit
- 3) The application criteria is provided on each page.
- 4) Key Factors are identified in the first Stage. In each Item, appropriate key factors are then associated to each item.
- 5) Confirmation Items allow for the identification of topics that need further clarification. Confirmation items can be seen by all members of the examination team.
- 6) Scoring can be identified as a Range or as a specific Number. The Sponsor organization will determine how scoring should be addressed.
- 7) Notes provide a way for examiners to communicate with one another within the examination flow. Notes can be seen by all examiners but do not show up in any of the reports.



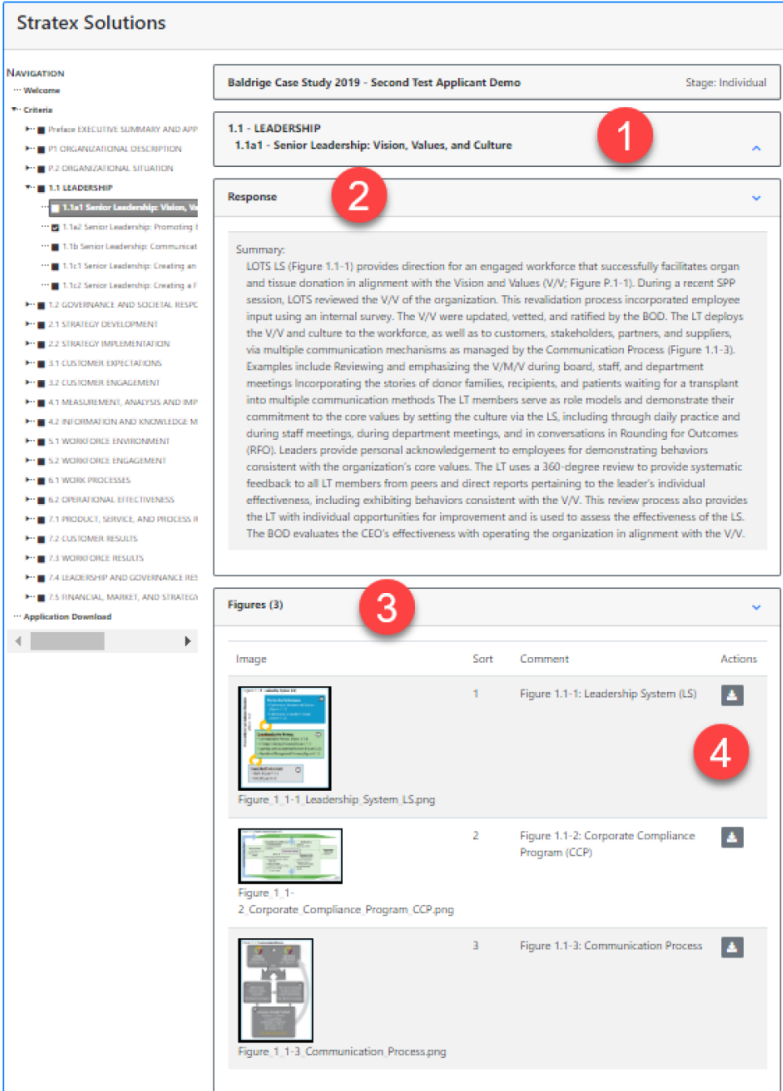
The screenshot displays the 'Baldridge Case Study 2019 - Second Test Applicant Demo' interface. It is divided into several sections:

- 1. NAVIGATION:** A sidebar on the left with a tree view of criteria and requirements. A red circle '1' highlights the '1.1 LEADERSHIP' item.
- 2. STAGE:** A header bar at the top right showing the current stage as 'Individual'.
- 3. CRITERIA:** The main content area showing the '1.1 - LEADERSHIP' criteria text.
- 4. KEY FACTORS:** A section titled 'Key Factors - Association (3 | 0 | 0)' showing a list of key factors associated with the item, such as 'Product and Service Offerings' and 'Regulatory Requirements'.
- 5. CONFIRMATION ITEMS:** A section titled 'Confirmation Items (1)' with a form for adding or editing confirmation items.
- 6. SCORING:** A section titled 'Scoring: 30' showing the score range (30% - 45%) and the current score (30).
- 7. NOTES:** A section titled 'Notes (0)' with a text area for adding notes.

Independent Review Process Quick Reference

Functions Available at the Item Level- Part One (Top Half of Screen):

- 1) Application Criteria is presented at the Multiple Requirements level. Click on the ^ on the right side of the box to expand and condense the area you are working in to reduce scrolling.
- 2) Applicant response. **(Not Available for PDF Applications)**
- 3) Figures provided by the applicant are downloadable or you can click on them to make them easier to view. **(Not Available for PDF Applications)**



The screenshot shows the 'Stratex Solutions' application review interface. The left sidebar contains a 'NAVIGATION' menu with a tree view of criteria. The main content area is titled 'Baldridge Case Study 2019 - Second Test Applicant Demo' and 'Stage: Individual'. It displays the following sections:

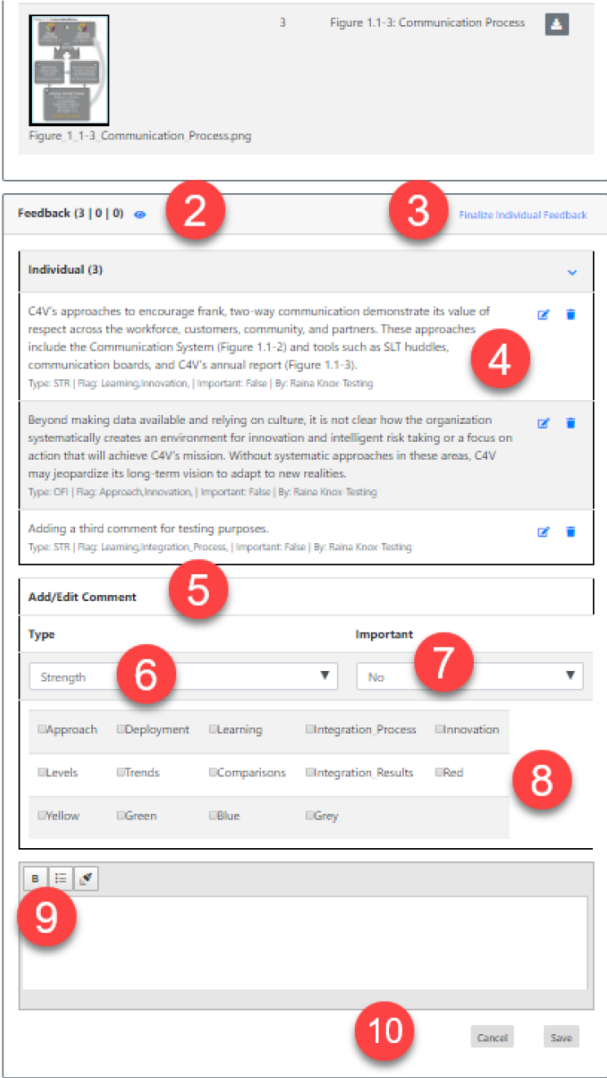
- 1.1 - LEADERSHIP** (Section 1.1a1 - Senior Leadership: Vision, Values, and Culture): This section is expanded, showing a 'Response' area with a 'Summary' of the applicant's response.
- Figures (3)**: A table listing three figures provided by the applicant, each with a thumbnail image and a download icon.

Image	Sort	Comment	Actions
	1	Figure 1.1-1: Leadership System (LS)	
	2	Figure 1.1-2: Corporate Compliance Program (CCP)	
	3	Figure 1.1-3: Communication Process	

Independent Review Process Quick Reference

Functions Available at the Item Level- Part One (Bottom Half of Screen):

- 1) Feedback comments are tracked at each stage. We currently have three comments written at the Individual (Independent) review stage.
- 2) The Eye Icon signifies the ability to show or hide comments. Use the ^ to expand or condense a box to reduce scrolling.
- 3) When feedback is completed for each area at the end of independent review, "Finalize Feedback" for each of the Areas to Address.
- 4) Once a comment has been written, it shows the type of comment, the flags identified, and the name of the examiner who wrote the comment. The comment can be edited by clicking the pencil or deleted by pressing the trash can (proceed very carefully when deleting).
- 5) The Area for writing or editing a comment.
- 6) Identify whether the comment will be a strength or defi.
- 7) Important: Yes or No. Sponsors will provide specific instruction for how this flag will be used. Many consider it the same as "Bolding" or use the flag to identify a comment that contributes to a Key Theme.
- 8) The comment can be tied to descriptors, frequently the Evaluation Factors of ADLI and/or LeTCI. Your sponsor organization will provide direction as to how these should be used.
- 9) Comments will be entered here. If an existing comment is "Edited" by pressing the pencil, it will populate here for editing. Comments can be bolded or bullets can be used. If the comment is copied and pasted from a document such as Word or Excel, use the Paint Brush icon to strip all hidden formatting, which is important to ensure the formatting doesn't interfere with the Feedback Report formatting.
- 10) Always remember to Save!!!!



The screenshot displays the 'Feedback (3 | 0 | 0)' interface for 'Figure 1.1-3: Communication Process'. It shows a list of three feedback comments under the 'Individual (3)' category. Each comment includes a type, flag, importance, and author. Below the list is an 'Add/Edit Comment' form with dropdowns for 'Type' (Strength) and 'Important' (No), and checkboxes for various descriptors like Approach, Deployment, Learning, Integration Process, Innovation, Levels, Trends, Comparisons, Integration Results, Red, Yellow, Green, Blue, and Grey. A rich text editor is at the bottom with formatting options (bold, italic, link, paint brush) and 'Cancel' and 'Save' buttons.

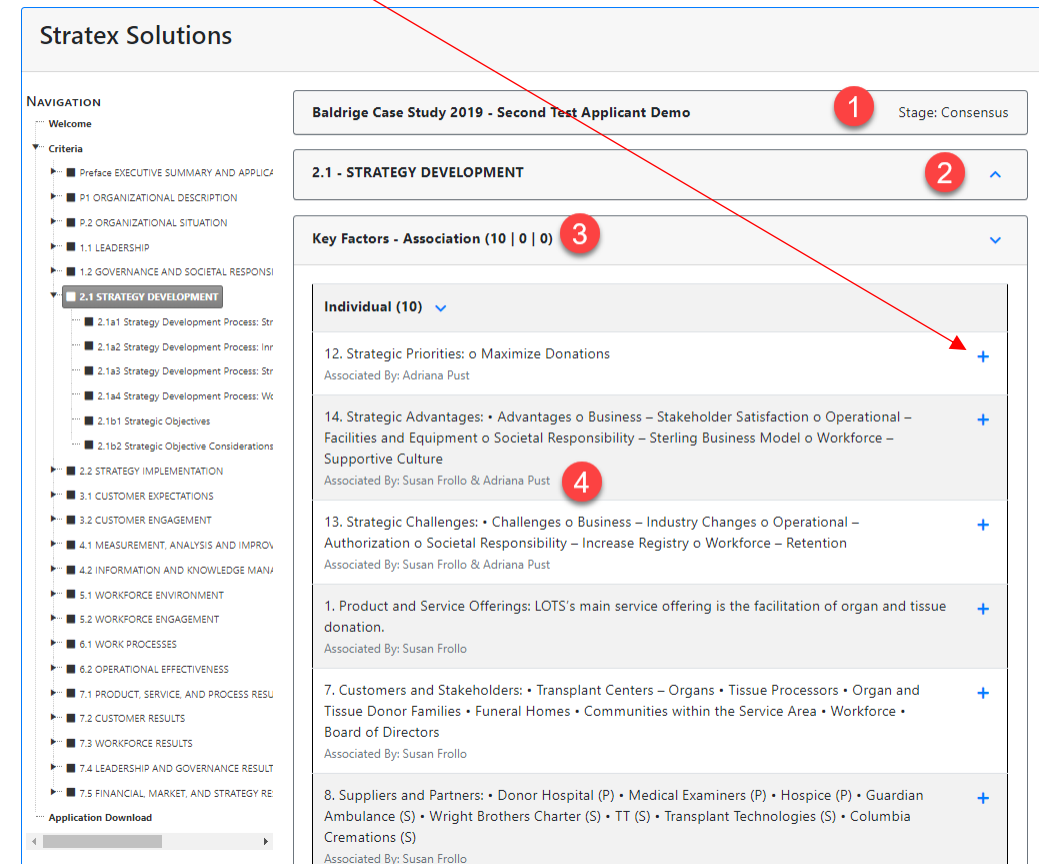
IRPE Results and Document Matrix

The results and document matrix is designed for examiners to complete as they review the application and capture the results expected based on the application and connect it to the results in category 7 and to prepare for documents they want to see at site visit. This will provide you an easy reference for missing results and a way to connect process to results.

Expected Results & Documents	Criteria Source	Figure	Notes

Category Lead Consensus Review Quick Reference

- 1) Add Key Factors for the section you are assigned. The key factors that were associated during IR by the examiners. Each item identifies the name of the examiner who associated the item.
- 2) Add Key factor for consensus by clicking the "+" symbol.



Stratex Solutions

NAVIGATION

- Welcome
- Criteria
 - Preface EXECUTIVE SUMMARY AND APPLIC...
 - P1 ORGANIZATIONAL DESCRIPTION
 - P.2 ORGANIZATIONAL SITUATION
 - 1.1 LEADERSHIP
 - 1.2 GOVERNANCE AND SOCIETAL RESPONSIB...
 - 2.1 STRATEGY DEVELOPMENT**
 - 2.1a1 Strategy Development Process: Str...
 - 2.1a2 Strategy Development Process: Inr...
 - 2.1a3 Strategy Development Process: Str...
 - 2.1a4 Strategy Development Process: Wk...
 - 2.1b1 Strategic Objectives
 - 2.1b2 Strategic Objective Considerations
 - 2.2 STRATEGY IMPLEMENTATION
 - 3.1 CUSTOMER EXPECTATIONS
 - 3.2 CUSTOMER ENGAGEMENT
 - 4.1 MEASUREMENT, ANALYSIS AND IMPROV...
 - 4.2 INFORMATION AND KNOWLEDGE MANA...
 - 5.1 WORKFORCE ENVIRONMENT
 - 5.2 WORKFORCE ENGAGEMENT
 - 6.1 WORK PROCESSES
 - 6.2 OPERATIONAL EFFECTIVENESS
 - 7.1 PRODUCT, SERVICE, AND PROCESS RESU...
 - 7.2 CUSTOMER RESULTS
 - 7.3 WORKFORCE RESULTS
 - 7.4 LEADERSHIP AND GOVERNANCE RESULT
 - 7.5 FINANCIAL, MARKET, AND STRATEGY RE...

Application Download

Baldridge Case Study 2019 - Second Test Applicant Demo Stage: Consensus

2.1 - STRATEGY DEVELOPMENT

Key Factors - Association (10 | 0 | 0)

Individual (10)

12. Strategic Priorities: o Maximize Donations Associated By: Adriana Pust	+
14. Strategic Advantages: • Advantages o Business – Stakeholder Satisfaction o Operational – Facilities and Equipment o Societal Responsibility – Sterling Business Model o Workforce – Supportive Culture Associated By: Susan Frollo & Adriana Pust	+
13. Strategic Challenges: • Challenges o Business – Industry Changes o Operational – Authorization o Societal Responsibility – Increase Registry o Workforce – Retention Associated By: Susan Frollo & Adriana Pust	+
1. Product and Service Offerings: LOTS's main service offering is the facilitation of organ and tissue donation. Associated By: Susan Frollo	+
7. Customers and Stakeholders: • Transplant Centers – Organs • Tissue Processors • Organ and Tissue Donor Families • Funeral Homes • Communities within the Service Area • Workforce • Board of Directors Associated By: Susan Frollo	+
8. Suppliers and Partners: • Donor Hospital (P) • Medical Examiners (P) • Hospice (P) • Guardian Ambulance (S) • Wright Brothers Charter (S) • TT (S) • Transplant Technologies (S) • Columbia Cremations (S) Associated By: Susan Frollo	+

Category Lead Consensus Review Quick Reference

- 1) To move a comment forward as or for editing, click the plus sign. When you click the plus, it moves down into Consensus Box. Update the comment as needed for consensus review.
- 2) You can add a new comment as needed if you want to combine multiple comments from Independent Review.
- 3) Use the consensus script to summarize your work for the team.

Feedback (1 | 1 | 0)
Finalize Consensus Feedback

Individual (1) ▼

LOTS conducts strategic planning through the process shown in Figure 2.1-1: Strategic Planning Process (SPP). This process includes various stakeholders (leadership team, board, customers, front line staff, and key partners and suppliers). Strategy Discussions occur during leadership and work system meetings to create consistency and monitor progress. An annual review is conducted to assess the effectiveness of the planning process. SV(0) + ↻

Type: STR | Flag: Approach,Deployment,Learning,Integration_Process, | Important: False | By: Susan Frolo

Consensus (1) ▼

The applicant has a refined approach for SPP as evidenced by the focus of strategic planning evolving from a process based on defining and approving actions to support the budget, to the systematic SPP occurring throughout the year, supported by APs and goal achievement. (AP) SV(0) ✓ -

Type: STR | Flag: Approach,Learning, | Important: False | By: Adriana Pust

Add/Edit Comment

Type **Important**

Strength No

Approach Deployment Learning Integration_Process Innovation

Levels Trends Comparisons Integration_Results Red

Yellow Green Blue Grey

B ☰ ↻

2

Cancel Save

IRPE Consensus Script Document

Item	
Criteria Summary—item covers	
Key Factors Summary—included here are	

Strengths proposed for the consensus report

Strength (feedback ready comment)	Rationale (what information supported your decision to select and write the comment)	Item

Strengths not included

1.

OFIs proposed for the consensus report

OFI (feedback ready comment)	Rationale (what information supported your decision to select and write the comment)	Item

OFIs not included

1.

Scoring discussion during Consensus Week.

EXAMPLE:

Item	5.1
Criteria Summary—item covers	
how the workforce environment is built so that it's supportive and effective. Included in the overall requirements are: assessing WF capacity/capability; recruiting, hiring, placing, and retaining WF members; organizing and managing the WF; preparing the WF for changing capacity/capability needs; ensuring workplace health, security, and accessibility; and supporting the WF via services, benefits and policies.	
Key Factors Summary—included here are	
MVV (P1.2); three core competencies; work environment; strategic advantages 1-8 & strategic challenges 1-6; strategic opportunities SO1 and SO2;	

Strengths proposed for the consensus report

Strength (Notes to Verify and Clarify)	Rationale (what information supported your decision to select and write the comment)	Item
<p>Criteria: How do you prepare for changing capacity and capability needs</p> <p>A: Methods include analysis of knowledge, skills, and abilities (KSAs); education; and workforce and manpower planning.</p> <p>D: Assessment of KSAs allows associates to fill one-up or one-down positions in the value stream, while manpower planning involves creating staffing plans based on three-month operations projections and the use of temporary and contingency staffing. Associates are trained in concepts of change leadership and cross-trained for different roles.</p>	<p>Five examiners (Ex6, Ex3, Ex5, Ex2, Ex1) wrote a strength in this area, and one (Ex4) wrote an OFI. There was consensus on the focus of the strengths: KSA analysis, training, temp workforce, planning. The OFI addressed not identifying changes in org structure and work systems in response to changing capability needs, which is part of the multiple requirements.</p> <p>The other multiple requirements were addressed, and the Criteria focus on preparation rather than identification; minor point, perhaps, but the applicant appears to have enough of the overall and multiple requirements met to write a strength for a(3) rather than an OFI.</p>	a(1)

Strengths not included

1. Systematic approaches are used to recruit and retain employees. Great comment but didn't incorporate into feedback due to the slightly higher impact of the other comments chosen and there could be a conflict with a(2) OFI. No examiners mentioned issues with excluding this strength.

OFIs proposed for the consensus report

OFI (feedback ready comment)	Rationale (what information supported your decision to select and write the comment)	Item
<p>Criteria: How do you hire, train and retain workforce members, including temporary workers.</p> <p>A: No Approach, is not evident; no process is described for step 1.12 of the hiring process, which notes meeting satisfaction and engagement requirements as the organization’s means of workforce retention.</p> <p>D/L/I – cannot do without approach</p>	<p>Several (Ex6, Ex2, Ex5) examiners pulled “retention” out as an OFI for a(2). Applicant mentions retention in the 12th step of the 12-step hiring process— “meeting their satisfaction and engagement requirements”—but examiners questioned that that is a systematic approach, as there is not actually a process described. It is also not clear whether the temporary workers are brought onboard using the same process, and these may be a readily available pool of likely candidates to fill open positions when associates do depart.</p>	<p>A2</p>

OFIs not included

1. Unclear whether the workforce policies/benefits are tailored to meet the needs of a diverse workforce. Comment didn’t rise to the “vital few” plus part of the intent is covered in the a(2) OFI.
2. Measures for workforce security are unclear. The comment conflicts with the b(1) strength, however feedback from one examiner (AB) indicates we may want discussion during the consensus call.
3. Unclear how applicant retains new workforce members (Strategic advantage: high retention of employees). Stand-alone comment is covered in a(2) OFI but want to check-in with team during consensus – “so what” of current OFI is on the topic of diversity and may want to consider this “so what” instead.

Scoring Standard Work

Process Summary	
Overview of the steps for scoring process and result categories using ADLI and LeTCI evaluation criteria.	
Step	Instructions
1	<p>Following completion/review of the consensus script. Start in the 50-65% scoring range for the evaluation factor being considered (ADLI/LeTCI).</p> <ul style="list-style-type: none"> Determine if the description best represents the response to the item. If yes, mark with an "X". If no, decide if the response is a better fit in the next higher or lower range. Continue to read the descriptions until the best fit is identified and mark with an "X". Adjust the "X" to the high – medium – or low portion of the specific range based on item review.
2	Repeat Step 1 until all evaluation factors (ADLI/LeTCI) have an "X" indicated in the scoring grid.
3	Review the scoring range placement of the 'X' for all four evaluation factors and determine the 'best fit' range for the overall response to the Item criteria. Select the range (e.g. 30 – 45%).
4	Once the range has been selected, discuss the best fit within the range. Does the response reflect the low, middle or top part of the range? Enter the score in increments of 5% in the consensus or site visit field based on the stage you are in.
5	<p>Review the score and ask the following questions to affirm the chosen score:</p> <ol style="list-style-type: none"> What is keeping the applicant from the range below? What is keeping the applicant from the range above? Are the identified strengths and OFIs reflective of the score vs the criteria (e.g. basic, overall, multiple)? <p>Made adjustments as needed.</p>
6	Update the score in Apex based on the standard work.

Factor	0-5%	10-25%	30-45%	50-65%	70-85%	90-100%
Approach	No systematic approach to item requirements is evident; information is needed.	The beginning of a systematic approach to the basic requirements of the item is evident.	An effective, systematic approach, responsive to the basic requirements of the item, is evident.	An effective, systematic approach, responsive to the overall requirements of the item, is evident.	An effective, systematic approach, responsive to the multiple requirements of the item, is evident.	An effective, systematic approach, fully responsive to the multiple requirements of the item, is evident.
@Consensus				X		
@Site Visit						
Deployment	Little or no deployment of the approach is evident.	The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the item.	The approach is deployed, although some areas or work units are in early stages of deployment.	The approach is well deployed, although deployment may vary in some areas or work units.	The approach is well deployed, with no significant gaps.	The approach is fully deployed without significant weaknesses or gaps in any areas or work units.
@Consensus			X			
@Site Visit						
Learning	An improvement orientation is not evident; improvement is achieved through reacting to problems.	Early stages of a transition from reacting to problems to a general improvement orientation are evident.	The beginning of a systematic approach to evaluation and improvement of key processes is evident.	A fact-based, systematic evaluation and improvement process and some organizational learning, including innovation, are in place for improving the efficiency and effectiveness of key processes.	Fact-based, systematic evaluation and improvement and organizational learning, including innovation, are key management tools; there is clear evidence of refinement as a result of organizational-level analysis and sharing.	Fact-based, systematic evaluation and improvement and organizational learning through innovation are key organizational-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization.
@Consensus				X		
@Site Visit						
Integration	No organizational alignment is evident; individual areas or work units operate independently.	The approach is aligned with other areas or work units largely through joint problem solving.	The approach is in the early stages of alignment with basic organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is aligned with organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is integrated with organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is well integrated with organizational needs identified in response to the Organizational Profile and other Process Items.
@Consensus			X			
@Site Visit						
Guidance: Use Scoring standard work to match up the most representative score.						
	Item 1.1 Score	@ Consensus	-	45	Best Fit Range: 30 – 45%	
		@Site Visit	-		Best Fit within Range: 45	

Process Scoring Guide

Factor	0-5%	10-25%	30-45%	50-65%	70-85%	90-100%
Approach	No systematic approach to Item requirements is evident; information is anecdotal.	The beginning of a systematic approach to the basic requirements of the Item is evident.	An effective, systematic approach, responsive to the basic requirements of the Item, is evident.	An effective, systematic approach, responsive to the overall requirements of the Item, is evident.	An effective, systematic approach, responsive to the multiple requirements of the Item, is evident.	An effective, systematic approach, fully responsive to the multiple requirements of the Item, is evident.
@Consensus						
@Site Visit						
Deployment	Little or no deployment of any systematic approach is evident.	The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the Item.	The approach is deployed, although some areas or work units are in early stages of deployment.	The approach is well deployed, although deployment may vary in some areas or work units.	The approach is well deployed, with no significant gaps.	The approach is fully deployed without significant weaknesses or gaps in any areas or work units.
@Consensus						
@Site Visit						
Learning	An improvement orientation is not evident; improvement is achieved through reacting to problems.	Early stages of a transition from reacting to problems to a general improvement orientation are evident.	The beginning of a systematic approach to evaluation and improvement of key processes is evident.	A fact-based, systematic evaluation and improvement process and some organizational learning, including innovation, are in place for improving the efficiency and effectiveness of key processes.	Fact-based, systematic evaluation and improvement and organizational learning, including innovation, are key management tools; there is clear evidence of refinement as a result of organizational-level analysis and sharing.	Fact-based, systematic evaluation and improvement and organizational learning through innovation are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization.
@Consensus						
@Site Visit						
Integration	No organizational alignment is evident; individual areas or work units operate independently.	The approach is aligned with other areas or work units largely through joint problem solving.	The approach is in the early stages of alignment with basic organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is aligned with organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is integrated with organizational needs identified in response to the Organizational Profile and other Process Items.	The approach is well integrated with organizational needs identified in response to the Organizational Profile and other Process Items.
@Consensus						
@Site Visit						

Guidance: Use Scoring standard work to match up the most representative score.

Results Scoring Guide

Guidelines	0-5%	10-25%	30-45%	50-65%	70-85%	90-100%
Levels	There are no organizational performance results or results reported are poor.	A few organizational performance results are reported, responsive to the basic requirements of the item, and early good performance levels are evident.	Good organizational performance levels are reported, responsive to the basic requirements of the item.	Good organizational performance levels are reported, responsive to the overall requirements of the item.	Good to excellent organizational performance levels are reported, responsive to multiple requirements of the item.	Excellent organizational performance levels are reported that are fully responsive to the multiple requirements of the item.
	@Consensus					
	@Site Visit					
Trends	Trend data either are not reported or show mainly adverse trends.	Some trend data are reported, with some adverse trends evident.	Some trend data are reported, and a majority of the trends presented are beneficial.	Beneficial trends are evident in areas of importance to the accomplishment of the organization's mission.	Beneficial trends have been sustained over time in most areas of importance to the accomplishment of the organization's mission.	Beneficial trends have been sustained over time in all areas of importance to the accomplishment of the organization's mission.
	@Consensus					
	@Site Visit					
Comparisons	Comparative information is not reported.	Little or no comparative information is reported.	Early stages of obtaining comparative information are evident.	Some current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of good relative performance.	Many to most trends and current performance levels have been evaluated against relevant comparisons and/or benchmarks and show areas of leadership and very good relative performance.	Evidence of industry and benchmark leadership is demonstrated in many areas.
	@Consensus					
	@Site Visit					
Integration	Results are not reported for any areas of importance to the accomplishment of the organization's mission.	Results are reported for a few areas of importance to the accomplishment of the organization's mission.	Results are reported for many areas of importance to the accomplishment of the organization's mission.	Organizational performance results are reported for most key customer/patient/student/market/process requirements.	Organizational performance results are reported for most key customer, market, process, and action plan requirements, and they include some projections of future performance.	Organizational performance results and projections are reported for most key customer/patient/student, market, process, and action plan requirements, and they include projections of future performance.
	@Consensus					
	@Site Visit					

Scoring in APEX Quick Reference

- 1) Navigate to the item you are going to score.
- 2) Select the scoring range
- 3) Select the actual score for the item
- 4) Enter the following notes in the notes section:
 - a. What is preventing the applicant from being a range higher?
 - b. What is keeping the applicant from being a range lower?
- 5) Click "add new note"

Scoring: 60 ▼

Individual Scores ▼

Scott Burgmeyer: 90% - 100%
(90)

Consensus Score: No Range Set (0)

Score Range: 50% - 65%

Site Visit Score: 60

[Click here to open the Baldrige Process Scoring Guideline in a new tab.](#)

Notes (0) ▼

New Note

a. What is preventing the applicant from being a range higher? This that and the other

b. What is keeping the applicant from being a range lower? Some other justification

Key Themes Matrix

The Key Themes Matrix is used during Consensus Week to identify possible key themes. One individual is assigned to take the lead in tracking these and reviewing them with the team.

		Key Themes Matrix																	
		1.1	1.2	2.1	2.2	3.1	3.2	4.1	4.2	5.1	5.2	6.1	6.2	7.1	7.2	7.3	7.4	7.5	Comments
A - Process STR	1																		
	2																		
	3																		
	4																		
	5																		
B - Process OFI	1																		
	2																		
	3																		
	4																		
	5																		
C - Results STR	1																		
	2																		
	3																		
	4																		
	5																		
D - Results OFI	1																		
	2																		
	3																		
	4																		
	5																		
KEY THEMES NOTES																			
NOTE 1: The references in the Column D to S cells are to comments that support the proposed Key Theme in Column C																			
NOTE 2: "A" and "B" Key themes typically relate to ADLI dimensions, double ++, and double -- comments, and are usually supported by multiple additional comments and figure references across items/categories																			
NOTE 3: "C" and "D" Key Themes typically relate to LeTCI dimensions, double ++, and double -- comments, and are usually supported by multiple comments and figure references across Category 7, Results																			
NOTE 4: Baldrige Core Values can be used as a core kernel for a Key Theme when examples and appropriate figure references are included																			
NOTE 5: A "Role Model" process may be a stand-alone Key Theme																			
NOTE 6: Key Themes do not just "parrot" back what is in the individual comments that support it. Since Key Themes act as an Executive Summary, they typically are written in a slightly more conversational business prose style than a Baldrige NERD comment																			



Category Lead Site Visit Prep Quick Reference

- 1) Create Site Visit Issues for each item to verify or clarify.
- 2) Click the "SVI" icon next to the comment.

Site Visit (1) ▼

This is a comment



Type: OFI | Flag: Deployment, | Important: False | By: Scott Burgmeyer

SVI(0)  

Site Visit Clarification (issue)

- 3) Enter the information you want to verify including documentation, who to speak with, etc. and click the save button (little disk shape)

Site Visit Issue Items

Add / Edit:  

Clarification Text

Response Text

Contact: State: Sort:

APEX Site Visit Quick Reference

- 1) Close your site visit issue by clicking the SVI and updating the text to mark it closed.
- 2) Follow process to update final comments.

Site Visit Issue Items

Add / Edit:

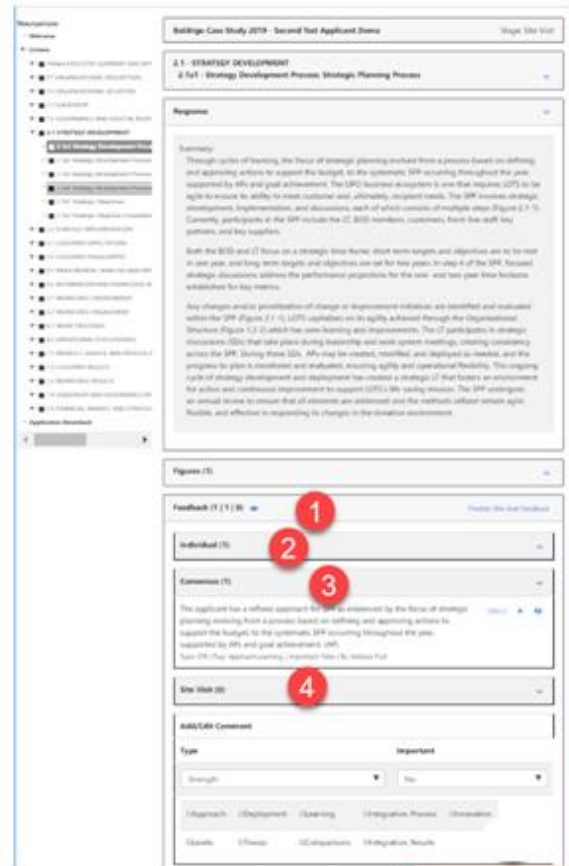
This is my question

Here is what we learned.

Contact: State: Sort:

Functions Available at the Question Level

- 1) The number of feedback comments identified throughout the process are provided in the numbers shown.
- 2) To move a comment forward as or for editing, click the plus sign. When you click the plus, it moves down into Consensus Box. This will allow you to move forward comments from Consensus to Site Visit and/or to create new comments
- 3) SVI-Click on SVI to Identify Site Visit Issue.
- 4) Site Visit comments will populate as they are moved forward or entered.



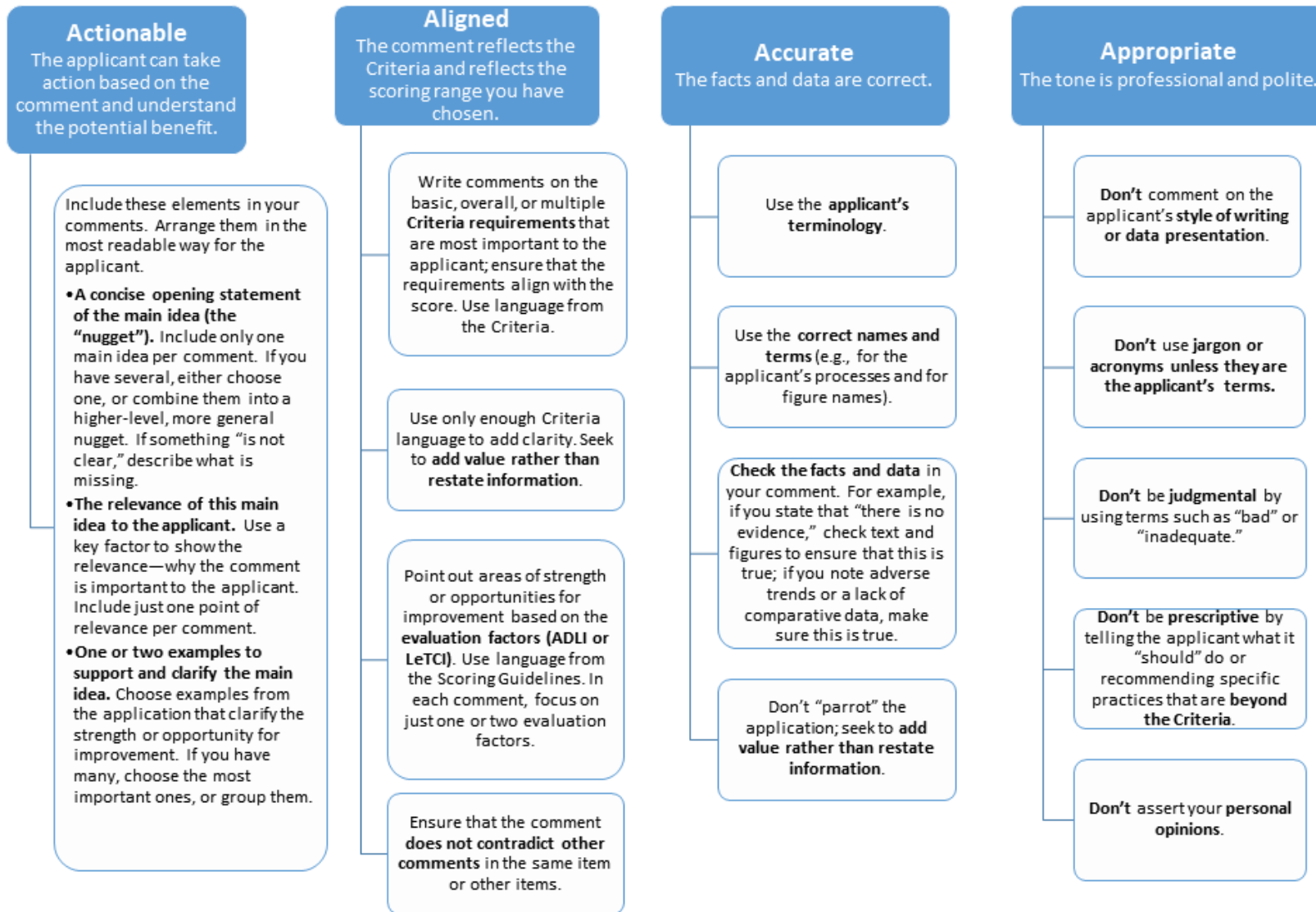
- 3) Use Walk the Wall to gather feedback on the comments.

Walk the Wall

Process Summary	
Walk the wall is used during site visit to allow team members to review and provide input, information, and feedback on site visit worksheets, comments, and key themes.	
Step	Instructions
1. Prep	Team leader provides each team member with a different color post-it note and notes who has which color.
2. Consensus Week & Site Visit Arrival Evening	If Site Visit Arrival Afternoon/Evening – review the requested documents then continue below. Hang most current site visit worksheets and questions on the wall. Each team member reviews the information & questions planned and provides feedback and information on their specific color post-it note. If a specific sheet looks good to the examiner, a blank post-it is put on to represent the examiner has reviewed the sheet.
3. Category Lead	Review comments and make any needed updates to Apex.
4. Site Visit	Complete site visit interviews, observations, and document review. Update Apex with information gathered.
5. Walk the Wall	Hang the current comments in Apex (use Feedback Report for comments and Key Themes for Key Themes) on the wall. Each team member reviews the comments and add any information & questions planned and provides feedback and information on their specific color post-it note. If a specific sheet looks good to the examiner, a blank post-it is put on to represent the examiner has reviewed the sheet.
6.	Repeat steps 3-5 until all comments and key themes are completed and entered into Apex.

Comment Guidelines

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



Example Process Comments

Strengths

- Senior leaders create a focus on action by cascading scorecards focused on SQDCPME to achieve the organization's strategic objectives and support its value to Be Proud. Scorecards are developed from the strategic level of the applicant, cascade down to the departments, and are incorporated into the performance evaluations of individual associates and Senior Leadership Team (SLT) members to foster high performance. Results are reviewed during Gemba walks and meetings and posted in departments to support monitoring of performance. Identified improvements are addressed in Learning Committees. This approach may foster results-based decision making at the committee, associate, and SLT levels.
- The applicant's systematic approach to strategic planning (Figure 2.1-1) includes key stakeholder groups and aligns with the organization's vision. The process begins with affirming the mission, vision, and values (MVV) and core competencies. Key steps include review and analysis of data, identification of strategic advantages and challenges, and development of strategic objectives. The process includes the senior leadership team; the parent BOD; and dealer, supplier, and partner representatives. The process culminates with an approved plan designed to lead the applicant toward its vision.
- The applicant's effective, systematic approach to assessing workforce capability and capacity may assist with the organization's seasonal workload demands and mitigate the strategic challenge of workforce retention. Senior leaders use elements of the Performance Evaluation System (PES) to develop the yearly Training Matrix, identifying needed skills, competencies, and certifications. To assess capacity needs, directors match time studies to workflow and job descriptions, and a Work Assessment–Job Profile is begun.
- The applicant's Performance Evaluation System supports high performance and workforce engagement through associate goals, performance improvement, a reward system, and demonstration of competence in regard to the organization's core values. Merit increases are based on goal achievement, demonstration of core values, innovation and risk taking, and showing a customer and business focus. A 2017 change resulted in automation to facilitate more meaningful performance discussions. This approach supports the core competency of talent development and the engagement factors related to rewards and recognition.

Opportunities for Improvement

- It is not clear how leaders and the governance board are systematically evaluated to advance their development and improve the leadership system. For example, the process used by the vice president of manufacturing to evaluate the plant manager is not described; it is also unclear how other leaders' performance is evaluated by superiors, including how compensation is correlated with performance. In addition, there is no evidence of how the results of evaluations are used to improve the effectiveness of leaders, the leadership system as a whole, and the governance board. Approaches in these areas may support applicant's value of "Lead."
- It is not clear how the applicant makes work system decisions that facilitate the accomplishment of its strategic objectives. For example, it is not clear how these decisions address strategic challenges and advantages or consider integration with the parent and sister organizations or suppliers. In addition, it is not clear how suppliers' core competencies affect work system decisions. Harmonization of plans, processes, and resource decisions with these key stakeholders may help the applicant better compete against emerging offshore competition through the design and deployment of effective work systems.

Guidelines for Writing Results Comments

Well written feedback comments for Category 7 contain the facts. The following questions are addressed:

- What is the current performance?
- What is the trend over time?
- Is the direction of the trend favorable or unfavorable?
- Are explanations provided for significant favorable or unfavorable changes?
- Are the data presented in Category 7 representative of measures that are referred to in the application and are important based on the Key Factors and Organizational Profile?
- Are results reported for all areas of importance to the organization?
- Are data focused on critical organizational performance results such as customer requirements and compliance with regulatory requirements?
- Are there any gaps in the data?
- Is the amount of data provided sufficient to enable analysis (e.g., how many data points are provided, what percentage of the stakeholder population is addressed)?
- Are data segmented by customer group, market segment, employee group, or other appropriate segments?
- Do the data represent both short- and longer-term priorities?
- How does the organization measure organizational effectiveness and are results data for these measures presented?
- Are comparative data presented and are the comparisons appropriate? Is the comparison to best in industry, best in class, or industry average?
- What is the performance of the organization relative to the comparative data?
- What are the standard measures in this sector? Is there any significance to the lack of any of these measures?
- Are data normalized to address size factors? For example, are injuries reported per 100 employees to address changes in the number of employees?

Example Results Comments

Strengths

- Senior leaders create a focus on action by cascading scorecards focused on SQDCPME to achieve the organization's strategic objectives and support its value to Be Proud. Scorecards are developed from the strategic level of the applicant, cascade down to the departments, and are incorporated into the performance evaluations of individual associates and Senior Leadership Team (SLT) members to foster high performance. Results are reviewed during Gemba walks and meetings and posted in departments to support monitoring of performance. Identified improvements are addressed in Learning Committees. This approach may foster results-based decision making at the committee, associate, and SLT levels.
- The applicant's systematic approach to strategic planning (Figure 2.1-1) includes key stakeholder groups and aligns with the organization's vision. The process begins with affirming the mission, vision, and values (MVV) and core competencies. Key steps include review and analysis of data, identification of strategic advantages and challenges, and development of strategic objectives. The process includes the senior leadership team; the parent BOD; and dealer, supplier, and partner representatives. The process culminates with an approved plan designed to lead the applicant toward its vision.
- The applicant's effective, systematic approach to assessing workforce capability and capacity may assist with the organization's seasonal workload demands and mitigate the strategic challenge of workforce retention. Senior leaders use elements of the Performance Evaluation System (PES) to develop the yearly Training Matrix, identifying needed skills, competencies, and certifications. To assess capacity needs, directors match time studies to workflow and job descriptions, and a Work Assessment–Job Profile is begun.
- The applicant's Performance Evaluation System supports high performance and workforce engagement through associate goals, performance improvement, a reward system, and demonstration of competence in regard to the organization's core values. Merit increases are based on goal achievement, demonstration of core values, innovation and risk taking, and showing a customer and business focus. A 2017 change resulted in automation to facilitate more meaningful performance discussions. This approach supports the core competency of talent development and the engagement factors related to rewards and recognition.

Opportunities for Improvement

- It is not clear how leaders and the governance board are systematically evaluated to advance their development and improve the leadership system. For example, the process used by the vice president of manufacturing to evaluate the plant manager is not described; it is also unclear how other leaders' performance is evaluated by superiors, including how compensation is correlated with performance. In addition, there is no evidence of how the results of evaluations are used to improve the effectiveness of leaders, the leadership system as a whole, and the governance board. Approaches in these areas may support applicant's value of "Lead."
- It is not clear how the applicant makes work system decisions that facilitate the accomplishment of its strategic objectives. For example, it is not clear how these decisions address strategic challenges and advantages or consider integration with the parent and sister organizations or suppliers. In addition, it is not clear how suppliers' core competencies affect work system decisions. Harmonization of plans, processes, and resource decisions with these key stakeholders may help the applicant better compete against emerging offshore competition through the design and deployment of effective work systems.

Guidelines for Writing Results Comments

Well written feedback comments for Category 7 contain the facts. The following questions are addressed:

- What is the current performance?
- What is the trend over time?
- Is the direction of the trend favorable or unfavorable?
- Are explanations provided for significant favorable or unfavorable changes?
- Are the data presented in Category 7 representative of measures that are referred to in the application and are important based on the Key Factors and Organizational Profile?
- Are results reported for all areas of importance to the organization?
- Are data focused on critical organizational performance results such as customer requirements and compliance with regulatory requirements?
- Are there any gaps in the data?
- Is the amount of data provided sufficient to enable analysis (e.g., how many data points are provided, what percentage of the stakeholder population is addressed)?
- Are data segmented by customer group, market segment, employee group, or other appropriate segments?
- Do the data represent both short- and longer-term priorities?
- How does the organization measure organizational effectiveness and are results data for these measures presented?
- Are comparative data presented and are the comparisons appropriate? Is the comparison to best in industry, best in class, or industry average?
- What is the performance of the organization relative to the comparative data?
- What are the standard measures in this sector? Is there any significance to the lack of any of these measures?
- Are data normalized to address size factors? For example, are injuries reported per 100 employees to address changes in the number of employees?

Example Results Comments

Strengths

- The applicant demonstrates good-to-excellent, sustained levels and beneficial trends in most key customer-focused product and service results. For example, On-Time Delivery to Dealers (Figure 7.1-1) increased in both customer segments over four years, with the commercial segment close to 100% in 2017. For Production to Schedule (Figure 7.1-4), all segments of the value stream improved over the same period, with assembly sustained at over 98%. Produced units (Figure 7.1-5) increased from just over 40,000 to 55,000 over five years. In addition, results for areas of importance to customers, such as Things Gone Wrong (TGW) per 100 units (Figure 7.1-9) and Warranty Cost per Unit (Figure 7.2-1), improved over the periods shown.
- Most measures of workforce development show good-to-excellent levels and beneficial trends, supporting a key engagement factor and thus efforts to mitigate the strategic challenge of workforce retention. Training Hours per Associate (Figure 7.3-12) increased overall by nearly 25%, Degree Completion (Figure 7.3-13) increased cumulatively over three years, and an increasing percentage of salaried staff members have been trained in Lean Six Sigma (Figure 7.3-14), exceeding benchmark levels.
- The applicant demonstrates good levels and beneficial trends in its leadership and governance results, supporting its core values of “be proud” and “lead.” For example, all three aspects of associates’ and dealers’ perception of leadership (Figure 7.4-1) improved from 2013 to 2017, and associates’ perception of governance accountability improved from 90% in 2013 to 94% in 2017 (Figure 7.4-2). Additionally, the applicant reports no external or internal fiscal accountability findings for the five years reported (Figure 7.4-2).

Opportunities for Improvement

- Results are not presented for many measures related to leadership, governance, and societal responsibility. Examples are the five accountability measures described in 1.2a(1) and leaders’ communication methods (Figure 1.1-2). Results are also limited or missing for measures of building and strengthening core competencies, managing risk, and taking intelligent risk. Tracking such results may help the applicant identify areas of strength and opportunities for improvement in leadership effectiveness.
- Many expected results for financial viability are missing. For example, results for department expenses, planned vs. actual (referenced in Figure 6.1-2) are not presented. Results are limited for the return on investment of the Lean and Learning Communities improvement initiatives. Additional results for financial viability (such as liquidity, debt-to-equity ratio, days cash on hand, and asset utilization) may help leaders better assess the applicant’s financial position.
- Most product/service and process results lack relevant comparative information. These include key product and service results (e.g., Figures 7.1-3 through 7.1-5, 7.1-10, and 7.1-11); work process effectiveness results (e.g., Figures 7.1-17 and 7.1-18); and supply-chain management results (e.g., Figure 7.1-27). Considering the applicant’s highly competitive market, the additional use and analysis of comparative data and information from sister divisions and external data may reveal areas of opportunity to address competitive and market pressures.

Guidelines for Writing Key Themes

A key theme is a strength or opportunity for improvement that addresses a central requirement of the Criteria, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the organization's key factors, and/or addresses a core value of the criteria.

- 1) Using the consensus comments prepared for Categories 1 through 7, the Key Factors, and the Key Themes Worksheet, reach consensus on the Key Themes for the organization.
- 2) The strengths and opportunities for improvement included as Key Themes should cut across all categories. They should not be a "cut and paste" of comments from the Consensus Item Worksheet Templates.
- 3) The team must ensure that it is focused on significant strengths or opportunities for improvement that are common to more than one Item or Category.
- 4) In determining what to include in the Key Themes, one approach is the "elevator" approach. If you were in an elevator with the CEO of the organization riding from the first to the 25th floor, what strengths and opportunities for improvement would you tell her or him about?
- 5) The strengths and opportunities for improvement included as Key Themes should represent the forest not the trees and should be from the 30,000 foot perspective versus the runway or the treetops.
- 6) The Team should end up with 3-4 process strengths, process OFI's, Results Strengths, and Results OFI's.

Example Key Themes

Key Theme Process Strengths

- The applicant maintains a focus on the future through its systematic and well-deployed strategic planning process which is integrated and aligned with data and information systems, such as Voices and Foodtrak. These systems provide fact-based data and information to support short and longer-term planning by using key input from customers, suppliers/partners, key stakeholders, and employees. The Strategic Planning Process results in the development of a Strategy Matrix that helps the applicant align its strategic objectives with its strategic challenges, action plans and competitive success factors related to both current and future operations. The alignment and integration in the Strategic Planning Process may help the organization remain agile in responding to its current operational challenges while positioning itself to best address the strategic challenges.
- The organization clearly demonstrates its commitment to management by fact and continuous improvement with systematic approaches to data collection and analysis and process improvement. DINERS Teams use a systematic improvement process to address opportunities for improvement across the organization. Data and information from the Voices and Foodtrak systems undergo multiple analyses to provide senior leaders, DINERS Teams, and employees at all levels actionable information on which to base their improvement recommendations. The organization presents several examples of performance improvement resulting from its well-deployed and integrated process improvement and data collection and analysis approaches.
- The applicant capitalizes on its planning, process improvement, and data and information collection and analysis approaches by creating a team-based environment and an operating style empowered and enabled by data and information available through a number of avenues. The organization ensures access to data and information and creates an environment of organizational learning through its Communication Process, Foodtrak Knowledge Management system, and a variety of two-way communication vehicles, including line-up meetings and periodic performance reviews. Employees have real-time access to key performance data and information, enabling them to make informed decisions in the course of their day-to-day work. Best practices are shared with all employees through line-up meetings, the Foodtrak Knowledge Management system, and through storytelling designed to support the organization's culture and individual and organizational learning.
- The organization demonstrates in its systematic approaches to employee learning, development, satisfaction and well-being that it is committed to and values its employees. The organization provides employees with a "cafeteria" plan that allows employees to select benefits that best suit their individual needs. Through numerous education and training opportunities employees learn multiple skills, to increase their capabilities and overall value to the organization and to capitalize on its well-trained and motivated workforce, the organization empowers employee teams to schedule, manage, and improve their work processes. All employees complete an Individual Review and Development Plan (IRDP) that is aligned with the organization's direction and balances the needs of the individual and the organization. In addition, a systematic succession planning approach is integrated with the organization's employee development and training approaches to help ensure the long-term sustainability of the organization. These approaches support the organizational Values of Family Culture with Teamwork and Employee Development, as well as its strategic objective to "be an employer of choice."

Key Theme Process OFI's

- Although the organization has a mature, well-deployed, and integrated Strategic Planning Process that capitalizes on data and information sources such as Voices and Foodtrak, it is not clear how or if it has adequately addressed its stated desire to grow its Home Meal Replacement (HMR) and catering business lines. While some information is collected from catering customers the applicant does not appear to have addressed several key aspects of its HMR and catering business lines, such as supplier and partner requirements, including those legal requirements associated with proper food handling and storage; customer requirements; customer contact requirements; or customer knowledge and relationship building. Without addressing these aspects the applicant may not be positioned to duplicate for HMR and catering the relatively high levels of service, satisfaction, and regulatory compliance it achieves in its restaurant line of business.
- While the applicant addresses many of the potential impacts on society of its products and services and provides specific training, such as food handling certification, it does not appear to address the potential impacts of its beer, wine, and other alcoholic beverages, and the legal and regulatory requirements associated with them. This may be particularly noteworthy given that beer and wine are among the key requirements of the couples and singles customer groups, which account for 45% of the organization's sales. Without adequately addressing the potential impacts of these products, the organization may leave itself vulnerable in a key regulatory and legal area.
- Although the organization relies on a number of key suppliers and partners for its products and services (e.g., the restaurant purchasing consortium, suppliers for safety and OSHA -related processes and for information technology services, and partners such as distributors for its HMR business line), a systematic process is not evident for managing and improving these key areas. For example, it is not clear how the organization communicates its expectations, key performance information, Values, and legal and ethical requirements to these suppliers and partners or what performance measures/indicators the organization uses to help manage their performance. This may be particularly important to the organization given its reliance on these key partners and suppliers and the potential impact of their performance on customers; legal, ethical, and regulatory compliance; and overall organizational performance.

Key Theme Results Strengths

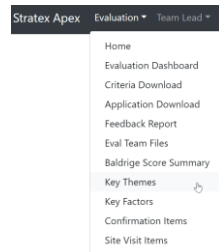
- The organization's results address many to most areas of importance with improving performance trends for most measures sustained for four to five years. Results in some key measures of customer satisfaction, product and service quality, financial performance, human resource performance, and social responsibility are equal to or better than its best-in-class, best competitor, and/or Baldrige Award recipient benchmarks. Performance in these areas appears to indicate the effectiveness of the organization's planning and improvement approaches and may indicate progress relative to the organization's vision "to be recognized as one of the top ten dining experiences in Houston and Galveston " and its strategic objective of retaining "restaurant of choice" status.
- The organization's product and service outcome results demonstrate sustained improvement in many areas of importance with several being better than its best -competitor comparisons. The applicant's performance in wait time for seating and service and table cleanliness, both important measures because they show results related to the critical first contact with the customer demonstrate improving performance from 2000 to 2004. Wait time for seating without a reservation, seating with a reservation, and first service all have decreased by at least half. In addition, results for order accuracy and timeliness of delivery demonstrate improving performance from 2000 to 2004 for both restaurants and the catering and take-out business lines. Results for all product and service measures are better than the competitive comparisons and may demonstrate the effectiveness of the organization's DINERS improvement and strategic planning approaches.
- The organization's customer-focused results demonstrate improving performance trends in many to most key measures. Overall customer satisfaction for all external surveys matches the Baldrige Award recipient benchmark and best-in-class comparison in 2003 and 2004. Results from Secret Diners Association Reports and Employee Dining Reports demonstrate satisfaction levels better than the best competitor, with the organization outperforming its competitor in 2004 by 9% (97% vs. 88%) in the Secret Diners Association average satisfaction scores. Performance in these areas may support the organization's vision and its strategic objective of retaining the "restaurant of choice" status.
- The effectiveness of the organization's approaches for achieving its strategic objectives to "be the employer of choice" and supporting its Values of Family Culture with Teamwork and Employee Development may be demonstrated in its employee satisfaction and well-being results. For example, the applicant's Employee Satisfaction Results demonstrate improved performance in many to most of the key factors identified as affecting employee satisfaction with 2004 performance in three of six factors for hourly employees and four of five factors for salaried employees better than its benchmark, the National Restaurant Association's (NRA's) best performer.

Key Theme Results OFI's

- Results are not reported for several measures related to key performance areas. For example, results are not provided for several key in-process performance measures for the value creation processes identified in Figure 6.1-1, including measures associated with the Reservations and Greeting, Event Planning, Delivery and Event Cleanup, and Purchasing Consortium processes. Likewise, no results are provided for the operational measures of several key support processes identified in Figure 6.2-1, including those associated with Human Resource Management, Supplier Management, Disaster Preparedness, and Advertising and Marketing processes. In addition, no results are provided for several customer requirements identified by the applicant, including the overall customer requirement to receive exceptional food at a good value and several requirements specific to various customer segments, such as a "child-friendly" atmosphere, a "business conducive" environment, or healthy menu options. Without these results, it may be difficult for the organization to respond proactively to performance shortfalls or improvement opportunities.
- Results in several key performance areas are not segmented or have limited segmentation. For example, no product and service results are segmented by customer groups identified by the applicant (e.g., families, businesses, tourists). With one exception (Customer Satisfaction with Quality—Internal Surveys), customer-focused results are not segmented by customer groups, and few of these results are segmented by location or service. In addition, although the applicant provides a number of employee segments in the Organizational Profile (e.g., by job categories, ethnicity, and full and part - time status), human resource results are segmented only by hourly and salaried workers. Without more comprehensive segmentation, it may be difficult for the applicant to evaluate its relative performance in each segment, to accurately gauge the effectiveness of its planning or to effectively identify improvement approaches for its key customer and employee segments.
- Several results areas lack comparative data, including key product and service results (e.g., Standards of Acceptability for Food, Wait Time for Seating and Service) and several key measures of leadership and social responsibility (e.g., financial audit results, contributions and services donated, action plan achievement). In addition, several comparisons, including some financial and market results, are to industry averages rather than to best-in-class organizations. Without appropriate comparative data, the organization may be limited in assessing its performance in addressing its strategic challenge of increasing competitors and achieving its vision to be recognized as one of the top ten dining experiences in its communities.

Entering Key Themes

- 1) Select Key Themes from the menu
- 2) Enter Key Theme comment and select if it is a Strength or OFI and click Save.



Stage: Site Visit

Baldrige Case Study 2019 - Second Test Applicant Demo

Key Themes (2)

OFI
Applicant is lacking a whole log of results. Not sure we will find them on site.
Susan Frollo | 7/24/2019 - 1:14 PM CST | Sort: 0

[✎](#) [🗑](#)

OFI
This is a key theme, don't you wish you were as cool as I am??
Scott Burgmeyer | 7/26/2019 - 5:18 AM CST | Sort: 0

[✎](#) [🗑](#)

B [☰](#) [✎](#)

Strength Sort: