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# NEW EXAMINER ORIENTATION

October 2022

# 2022 New Examiner Orientation

## NEO Objectives

- ❑ TPE Introduction
- ❑ Overview of examining process
- ❑ Examiner roles & responsibilities
- ❑ Understand Baldrige Excellence Framework
- ❑ Key Factors, Strengths & Opportunities for Improvement
- ❑ Introduce Examiner Software

*Introduction to TPE & Baldrige!  
Get started on Case Study!*



# Introductions & Icebreaker



How many categories and items  
are in the Baldrige Criteria for  
Performance Excellence?



# Categories and Items

**7 Categories** within the Criteria

**17 Items** within the 7 Categories

- A subset of a Category
- 2 Items in each Category except Cat 7 where there are 5 Items

# Exercise: Category/Item Main Points

- In small groups, review the assigned Process Category. *Remember, there are 2 Items.*
  1. Identify the main points for each of the 2 Items.
  2. Summarize the main points in 3-5 words.
  3. Report out.
- As a large group, we will review Cat 7 Results and identify main points.

# Category 7: Results

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

**Item 7.2 Customer Results** – key customer satisfaction & engagement results

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

**Item 7.4 Leadership and Governance Results** – key senior leadership, governance, law and regulation, ethics and society results

**Item 7.5 Financial, Market, and Strategy Results** – key financial and marketplace performance and strategy implementation results



# What is a Key Factor?



# Example Key Factors Copansburg Regional Health System

## Case Study P.1a

### P.1a Organizational Environment

**Organization Description** Not-for-profit integrated delivery health care provider. Service area of approximately 2,000 square miles includes both rural and urban areas. System created in 2000 with merger of two regional health care providers. Significant growth organically and through acquisitions

**Service Offerings** Five hospitals include a teaching hospital with 120 residents and service lines of cardiology, oncology, orthopedics, women's and children's health, behavioral health/substance abuse, and neurology. Outpatient and post-acute service lines (home health, hospice, and durable medical equipment [DME]) generate 70% of the total revenue. Diagnostic and treatment centers, joint venture (JV) surgery centers, imaging and rehabilitation services, urgent care, and 750-member multi-specialty medical group along with 420 independent physician members. Operates health insurance plans

**Mission, Vision, Values** Mission – provide outstanding health care services to improve the health of all citizens in the service area; Vision – to be among America's best health systems; Values – WE CARE: World-class medicine, Efficiency, Compassion, Accountability, Respect, Excellence

**Core Competencies** Safe, high-quality clinical care; efficiency in operations

**Workforce profile** Workforce segments: 9,830 employees (5,730 clinical; 4,100 non-clinical), 1,290 physicians (750 employed, 420 non-employed), 140 students (100 nursing, 40 other), and 500 volunteers (400 adults, 100 teens). Organized bargaining units for nurses and environmental and facilities workers

**Workforce Engagement Factors** Clinical employees: support of clinical practice, competitive compensation, collegial environment, safe environment, appreciation, and wellness. Non-clinical employees: collegial environment, competitive compensation, wellness, and ability to work remotely. Employed physicians: support of clinical practice, competitive compensation, staff competency, and support for service growth. Non-employed physicians: ease of practice, staff competency, and support for service growth. Students: safe learning environment, expert clinical faculty, and career acceleration. Volunteers: meaningful work, appreciation, and wellness

**Assets** Five hospitals: 600-bed, 150-bed, 50-bed (2), and 25-bed critical access; corporate office building; outpatient facilities; surgery centers; imaging centers; and urgent care and rehabilitation therapy facilities. Equipment: imaging, radiation oncology, e-ICU (intensive care unit), cardiology, neurosurgery, and mobile clinic. Nonphysical assets: Apex electronic medical record (EMR) software, telehealth platform, analytics platform, and residency curriculum and programming

**Regulatory Environment** Heavily regulated by federal, state, and industry organizations. Federal: Centers for Medicare and Medicaid Services (CMS), Occupational Safety and Health Administration (OSHA), Office of Inspector General (OIG), Office for Civil Rights (OCR), Equal Employment Opportunity Commission (EEOC), Food and Drug Administration (FDA), Environmental Protection Agency (EPA), Internal Revenue Service (IRS), and Department of Energy (DOE). State: Department of Health, insurance, Medicaid services, and emergency medical services. Third layer of regulators include United Practice, American Surgeons Group, American Pathologists Group, Accreditation Council for Graduate Healthcare Education, Radiologists Group of America, and Commission of Education Advancement



# Exercise: Identify Key Factors for Copansburg Regional Health System Case Study

- Using Copansburg Regional Health System Case Study & 2021-2022 Framework booklet
  - Locate the Organizational Profile within Case Study & OP section in the Framework booklet (pages 4-6)
- In your groups, using your blank KF worksheet, document the KF for **your assigned section** of the Copansburg Regional Health System Case Study Organizational Profile (OP)
- Report out



# Steps for Independent Review (IR)

- Review & study Framework booklet
- Read entire application
- Draft Key Factors (KF)
- Evaluate each item
  - 6-Step Item Evaluation Process



## 6-Step Item Evaluation Process for IR

How many Baldrige categories  
address processes?

# The 7 Criteria Categories

**Cat 1** – Leadership

**Cat 2** – Strategy

**Cat 3** – Customers

**Cat 4** – Measurement, Analysis & Knowledge Management

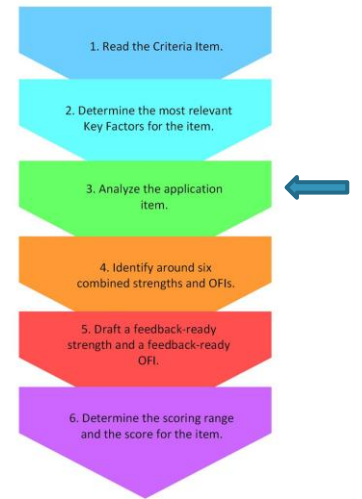
**Cat 5** – Workforce

**Cat 6** – Operations

**Cat 7** – Results

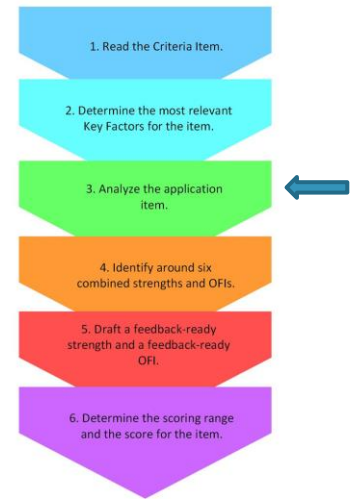
***Categories 1-6 are “Process Categories”  
Category 7 is “Results”***

# What 4 factors are used to evaluate process items?



# Process Evaluation Factors **ADLI**

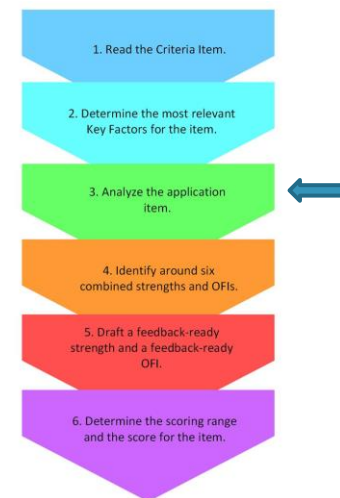
- **A**pproach – the methods used to accomplish the process
- **D**eployment – the extent to which the approach is applied consistently & used by all appropriate work units
- **L**earning - refining your approach through cycles of evaluation & improvement
- **I**ntegration – the extent to which your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







# What Constitutes Good Evidence?



## A

Description of a process/technique (text, graph, or chart)

Key steps (input, process steps, output)

Process owner; other specifics

## D

Statement of specific stakeholders/work units, as appropriate

Dates, time frames, frequency, as appropriate

## L

Description of cycles of evaluation and/or resulting improvements

Description of adoption or development of best practices and innovations

Description of the sharing of these

## I

Relationship to organizational aspects/needs in the Organizational Profile or process items

Harmonization across processes and work units

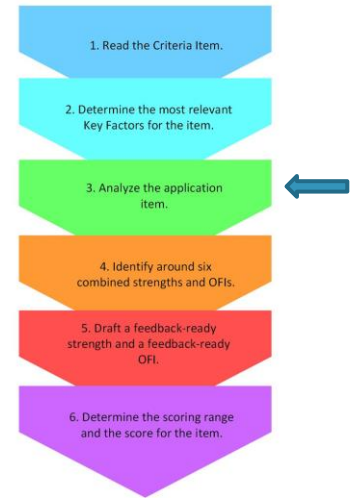


Helping organizations see improved results  
Ohio \* Indiana \* West Virginia

# Exercise: Identify

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

for the following Copansburg Regional Health System response



# Category 5 Workforce: 5.2c(1) Performance Management

## c. PERFORMANCE Management and Development

**(1) PERFORMANCE Management** HOW does your WORKFORCE PERFORMANCE management system support HIGH PERFORMANCE? HOW does it consider WORKFORCE compensation, reward, recognition, and incentive practices? HOW does it reinforce INTELLIGENT RISK taking, a patient/other CUSTOMER and business focus, and achievement of your ACTION PLANS?

### 5.2c. Performance Management and Development

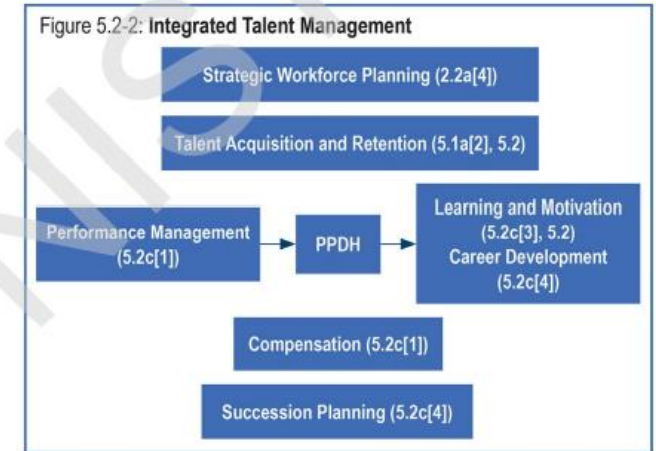
**5.2c(1).** CRHS adopted Integrated Talent Management (ITM; Figure 5.2-2) in 2017 after being frustrated with the length and complexity of the existing performance management process, as well as the disconnect from and lack of focus on professional development. It researched best practices and found successful organizations outside of health care that had adopted this model.

As part of adopting ITM, CRHS developed the PPDP to not only align performance and development, but also to integrate these two elements. In the performance evaluation section of the PPDP, goals are set at each level with organizational goals cascaded down, departmental goals linked to these, and individual goals linked to departments. In this way, every employee has a clear line of sight to strategic objectives and action plans. If goals are met, employees are eligible for the incentive plan. If they are exceeded, the incentive is increased commensurately.

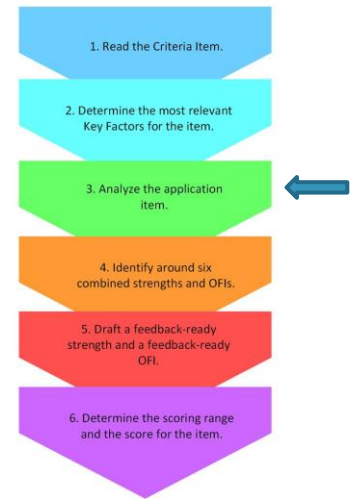
These linkages ensure that everyone is contributing to goals important to the organization and aligned to the CCs. Leaders are evaluated on how they developed or contributed to intelligent risks. Employees are evaluated on how many PDCA/Lean activities and safety initiatives they contributed to, and how they contribute ideas in the daily huddles. They are also evaluated on behaving in accordance with the WE CARE values to reinforce that while results are important, how results are achieved must also be in balance.

The evaluation process requires that employees self-evaluate and then have a discussion with their people leader. The PPDP is deployed to all employees, including employed physicians. Volunteers receive feedback and recognition with an annual lunch and gift cards.

CRHS periodically benchmarks total rewards best practices through the Human Resource Society (HRS) and GWA. Compensation is targeted at 5% above median compensation in CRHS's service area for each classification. A compensation study is completed every three years.

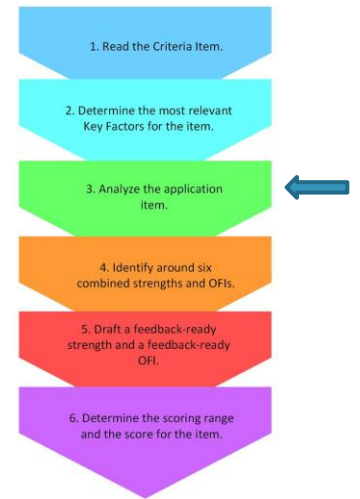


# What 4 factors are used to evaluate results items?



# Results Evaluation Factors LeTCI

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



# Exercise: Identify

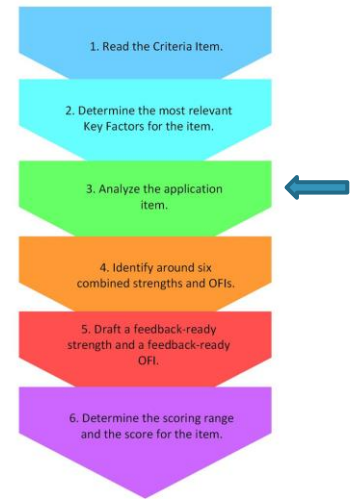
**L**e (Levels)

**T** (Trends)

**C** (Comparisons)

**I** (Integration)

for the following Copansburg Regional Health System response



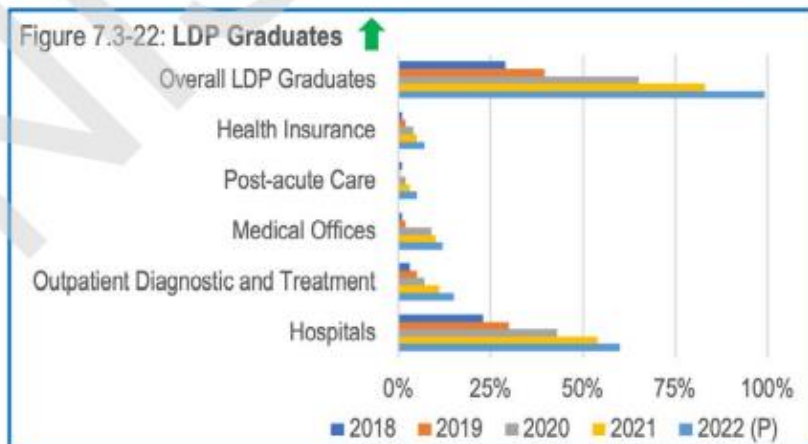
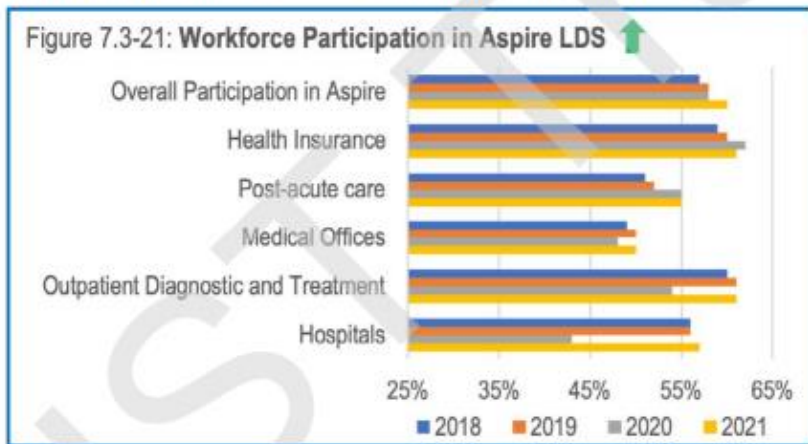
# Category 7 Results: Item 7.3a(4) Workforce Development

**7.3a(4).** CRHS tracks the level of participation in the Aspire LDS courses (Figure 7.3-21). Additional segmentation is AOS.

CRHS is tracking the number of LDP graduates. After a slow start when initially introduced, LDP has a lot of interest from many members of the workforce, as they see the activities they can become involved in and the potential career advances that may result (Figure 7.3-22). Additional segmentation is AOS.

The LDS is evaluated annually, and results are correlated with patient and workforce engagement (Figure 7.3-23).

CRHS strongly supports members of the workforce continuing their education and obtaining professional certifications (Figure 7.3-24). Segmentation is AOS.



**Figure 7.3-24: Professional Development** ↑

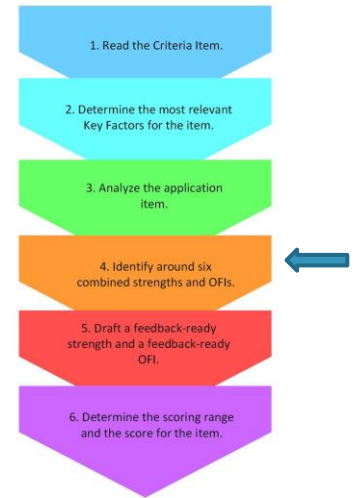
	2018	2019	2020	2021
Tuition Reimbursement #	207	213	113	244
Tuition Reimbursement \$	\$451k	\$491k	\$291k	\$502k
Educational reimbursement #	393	420	372	423
Educational reimbursement \$	\$122k	\$153k	\$98k	\$184k



# Identifying Strengths for Process Items

## Examples of process strengths

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





# Process Strength Example – 2.2a(2)

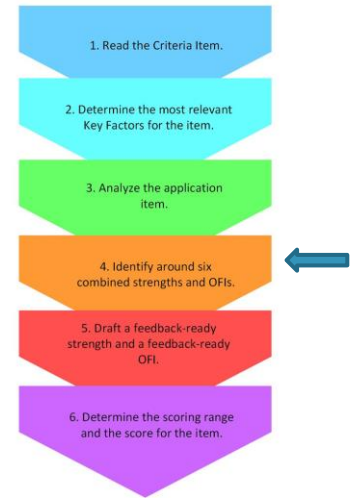
**Add/Edit Comment**

Type	Important
Strength ▼	No ▼
<input checked="" type="checkbox"/> Approach <input checked="" type="checkbox"/> Deployment <input type="checkbox"/> Learning <input checked="" type="checkbox"/> Integration_Process <input type="checkbox"/> Innovation	
<input type="checkbox"/> Levels <input type="checkbox"/> Trends <input type="checkbox"/> Comparisons <input type="checkbox"/> Integration_Results	

B  
 ☰  
 ✎

Nugget: Applicant systematically deploys its strategy to its workforce, aligning goals with individual performance and improving the approach from a reactive push from leadership to a proactive process with staff input.

Evidence: In Step 7 of SPP (Figure 2.1-1), strategic goals are cascaded through Communication Process (Figure 1.1-3), and key outcomes are tracked through web-based program that aligns goals with



Note: KF selected at item level (2.2)

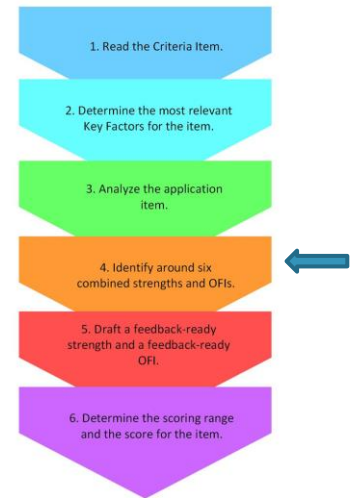
See Framework Page 12



# Identifying OFIs for Process Items

## Examples of process OFIs

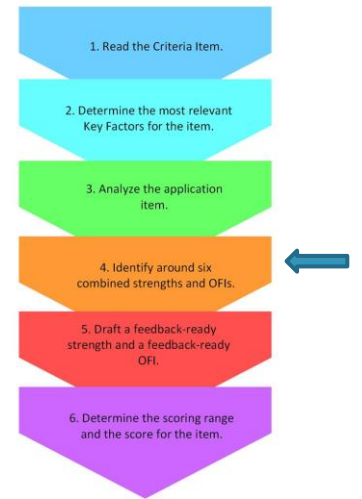
- Lack of systematic approach relative to the criteria requirements
- Weak deployment
- Approaches not aligned with Key Factors and/or organizational needs
- Approaches not aligned with strategic objectives and challenges



# Identifying Strengths for Results Items

## Example of strengths in Results Items

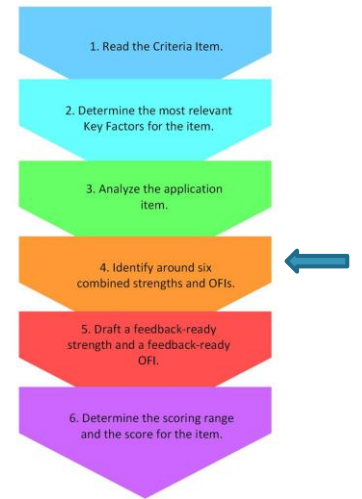
- Good organizational performance levels
- Beneficial trends
- Strong comparisons & benchmarks
- Integration (i.e. segmentation)
- Others?



# Identifying OFIs for Results Items

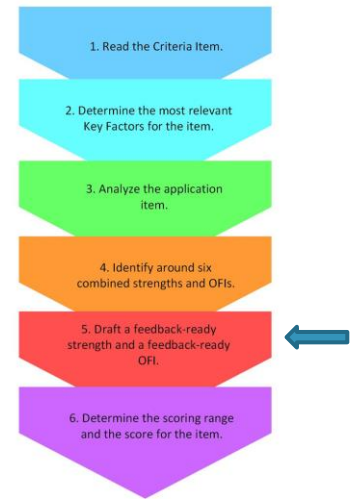
## Examples of Results OFIs

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



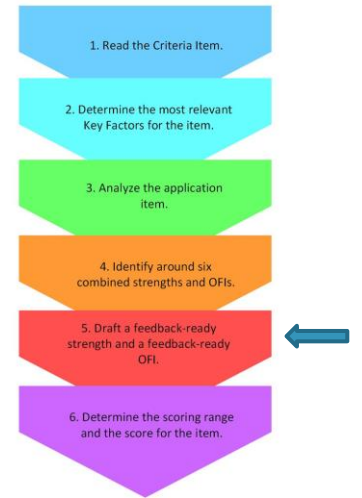
# Comment Writing: Feedback-ready comments are

- **Actionable, Aligned, Accurate, Appropriate (4A)**
- Concise, complete thoughts
- Meaningful to the applicant
- Provide a clear main point/topic sentence
- Unified, coherent, well-developed, & provide value to applicant
- Make explicit the relationship among the Criteria, the KF, the applicant's response, & your analysis
- Use correct grammatical sentence structure



# What makes up a good comment?

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



Types of Comments:

	<b>Process</b>	<b>Results</b>
<b>Strength</b>	Process Strength	Results Strength
<b>OFI</b>	Process OFI	Results OFI



# Process Strength “NERD” Comment Example

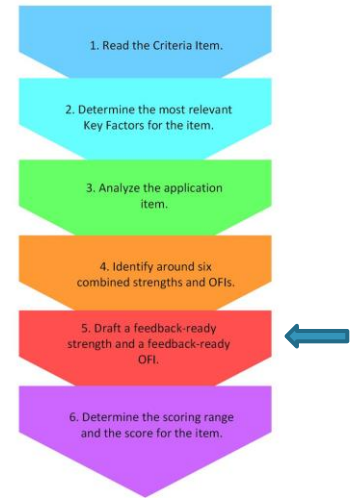
2.2 a(2) The applicant systematically deploys its strategy to its workforce, aligning goals with individual performance and improving the approach from a reactive push from leadership to a proactive process with staff input. In Step 7 of the SPP (Figure 2.1-1), strategic goals are cascaded through the Communication Process (Figure 1.1-3), and key outcomes are tracked through a web-based program that aligns goals with individual performance. By using a systematic approach to deploy its strategy, the applicant supports its core competency of a mission-driven workforce and its value of teamwork.

**Nugget - Evidence - Relevance**



# Comments should not ...

- Go beyond the requirements of the Framework
- Assert an examiner's personal opinions
- Be prescriptive by using *could, should/should not, would*
- Be judgmental by using terms such as *good, bad, inadequate, etc.*





# Writing Comments with Applicant in Mind

## Process

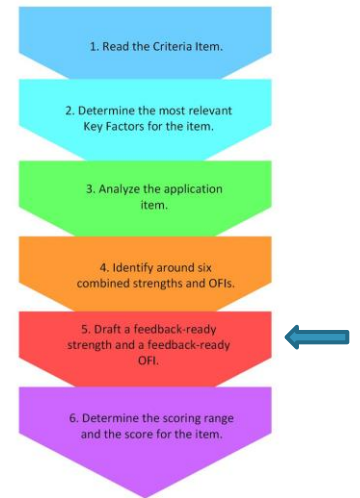
**Strengths** – Think about what actionable message you are giving the applicant. Applicants read process strengths as *what they should continue to do and why*.

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

## Results

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

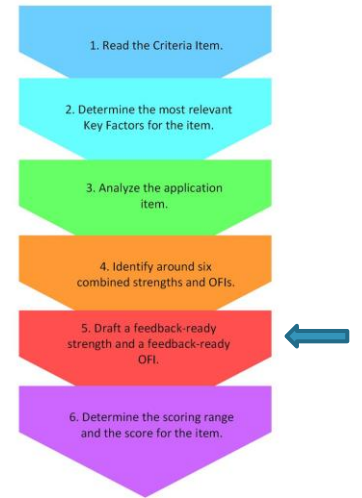
**OFIs** - Have you convinced the applicant to invest in improving these results? Have you related the comment KFs that are most critical? Without beneficial results, what might happen to the applicant?



# Use Comments to Move the Applicant to the Next Level

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

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



# Drafting Feedback Ready Comments



For each item develop two Feedback-ready Comments

- One Strength
- One OFI

Note: Label as "FB Ready" in text box

### Add/Edit Comment

Type	Important
Strength	No
<input checked="" type="checkbox"/> Approach <input checked="" type="checkbox"/> Deployment <input checked="" type="checkbox"/> Learning <input checked="" type="checkbox"/> Integration_Process <input type="checkbox"/> Innovation	
<input type="checkbox"/> Levels <input type="checkbox"/> Trends <input type="checkbox"/> Comparisons <input type="checkbox"/> Integration_Results	

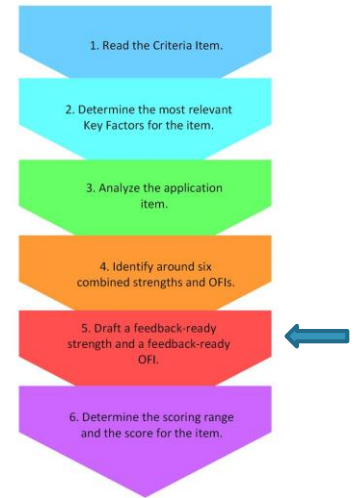
**B** [List Icon] [Text Icon]

FB Ready: The applicant systematically deploys its strategy to its workforce, aligning goals with individual performance and improving the approach from a reactive push from leadership to a proactive process with staff input. In Step 7 of the SPP (Figure 2.1-1), strategic goals are cascaded through the Communication Process (Figure 1.1-3), and key outcomes are tracked through a web-based program that aligns goals with individual performance. By using a systematic approach to deploy its strategy, the applicant supports its core competency of a mission-driven workforce and its value of teamwork.

*Feedback-Ready comment for Process Strength 2.2a2*

# NERD Comment Writing Exercise

- In pairs, share your NERD comment from the pre-work assignment (item 1.1) & get feedback on how to improve comment from partner
- Review partner's NERD comment and provide feedback for improvement
- Share findings during class discussion



# Step 6: Determine scoring range & score

ORGANIZATIONAL  
MATURITY



4. Integrated Approaches (70-100%)

3. Aligned Approaches (50-65%)

2. Early Systematic Approaches (30-45%)

1. Reacting to Problems (0-25%)



There are 2 Scoring Guidelines:

**Process** (pg. 32) and **Results** (pg. 33)

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

# How to Score the Response

For each Item, review work completed: Key Factors, Strengths & OFIs, evidence, evaluation factors, & draft comments

Consider your overall impression of applicant's response to Item

Start at 50% and work up or down from there

Choose the most appropriate **scoring range** and enter into software

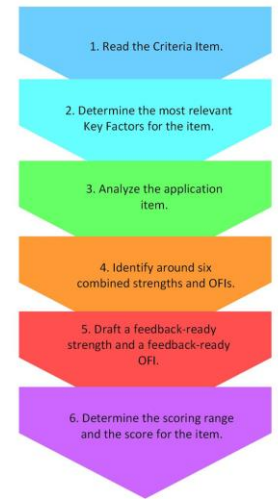
Choose the most appropriate **score** (in percentages of 5 within the scoring range) and enter it



# Exercise 6-Step Item Evaluation Process Independent Review (IR)

Conduct 6-Step Item Evaluation on Item 1.2

1. Read criteria item
2. Select 4 – 6 relevant Key Factors
3. Analyze item in application (ADLI)
4. Develop around 6 strengths & OFIs
5. Draft 2 feedback-ready comments – 1 Strength & 1 OFI
6. Determine the scoring range & score



# IMPORTANT !!

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





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

# Stage 2 - Consensus Review (CR)

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

# Stage 3 - Site Visit (SV)

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

# Stage 4 – Write the Feedback Report

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

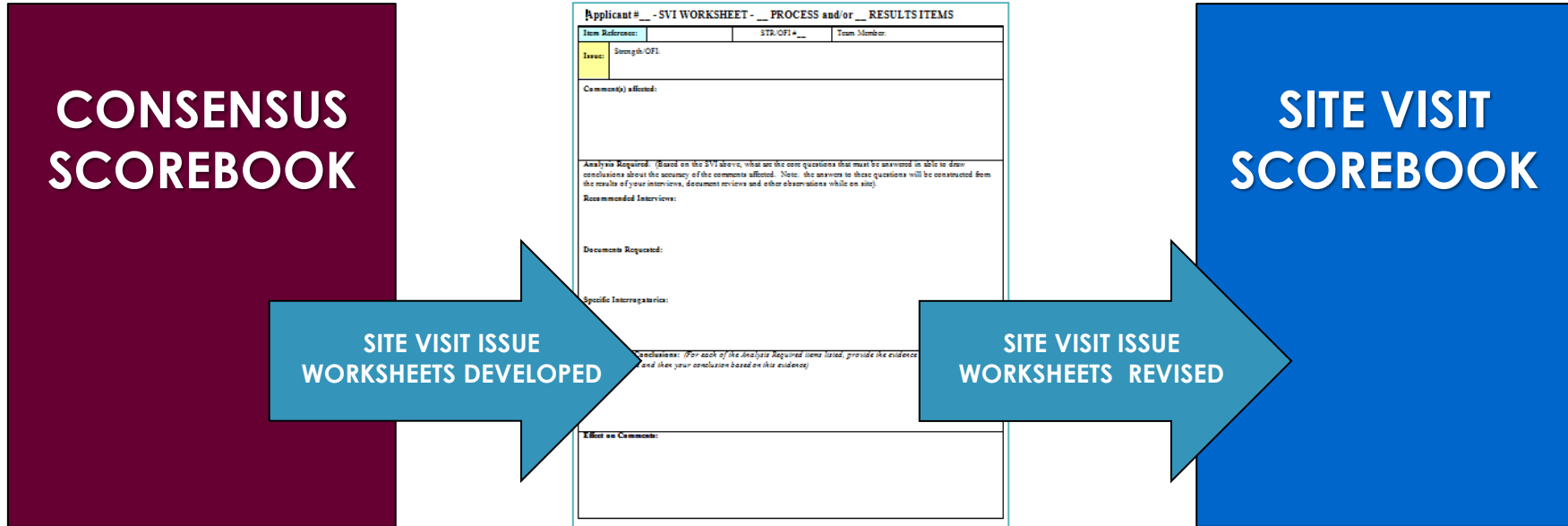
# 3 Scorebooks + Feedback Report

(Independent Review, Consensus Review, and Site Visit Scorebooks)

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



# Why These Documents Are Important!



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

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

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

**What do we need to Clarify & Verify?**



**What We Found!**



**Why we changed the Consensus Scorebook Comments/Scores**

**Judges want to see all three!**

# Pre-work Instructions



# In Your Pre-work Assignment Packet

## CONTENTS

- Cover Letter
- Instructions for Completing Pre-work
- Step-by-Step Instructions for Independent Review
- Case Study – Copansburg Regional Health System application
- Health Care Criteria Booklet

## PLEASE NOTE!

- You must have each assigned IR Item completed in Stratex Apex software prior to attending Examiner Training in November to be admitted
- ***You have about 4-6 weeks to complete your prework. START SOON! DON'T WAIT UNTIL THE LAST MINUTE!!***





# IMPORTANT

## Completing Item Worksheets

- *In Oct/Nov* - for the case study, you will complete IR worksheets in the examiner software only for the Items you are assigned – Items 2.1, 6.1, 7.1 and 7.2
- *In December* - for the actual application, you will need to complete IR worksheets for all 17 Items

# Learning Resources

- NEO pre-work documents & videos
- Supplemental Documents in Stratex Apex Case Study
- [https://thepartnershipforexcellence.org/resources\\_training.html](https://thepartnershipforexcellence.org/resources_training.html)



# Conflict of Interest

- TPE will have you read and sign a Conflict of Interest when you receive an actual TPE application in December
- If in doubt whether there is a conflict, please contact TPE President/CEO Margot Hoffman, immediately, at 614-425-7157

# Key Factors

- Enter Key Factors in Word template
  - The Key Factors template provides an outline of what to consider for KFs (see next slide)
- When Key Factors are complete, send to Lauren Browning at [lauren.browning@thepartnershipforexcellence.org](mailto:lauren.browning@thepartnershipforexcellence.org)
- Lauren will provide a common list of Key Factors in your scorebook in examiner software
- Upon receipt of common list of Key Factors, you can complete your Independent Review

**10/4/22 NEO**  
**Participants –**  
Complete KFs by  
10/11/22

**10/11/22 NEO**  
**Participants –**  
Complete KFs by  
10/18/22



# Key Factors Worksheet Template

(Word document)

The Partnership for Excellence Key Factors Template for  
*Health Care Organizations 2021-2022*

Team # \_\_\_\_\_ Examiner: \_\_\_\_\_ Date: \_\_\_\_\_

P.1 Organizational Description

a. Organizational Environment

- (1) Health Care Service Offerings
- (2) Mission, Vision, Values, and Culture
- (3) Workforce Profile
- (4) Assets
- (5) Regulatory Environment

b. Organizational Relationships

- (1) Organizational Structure
- (2) Patients, Other Customers, and Stakeholders
- (3) Suppliers, Partners, and Collaborators

P.2 Organizational Situation

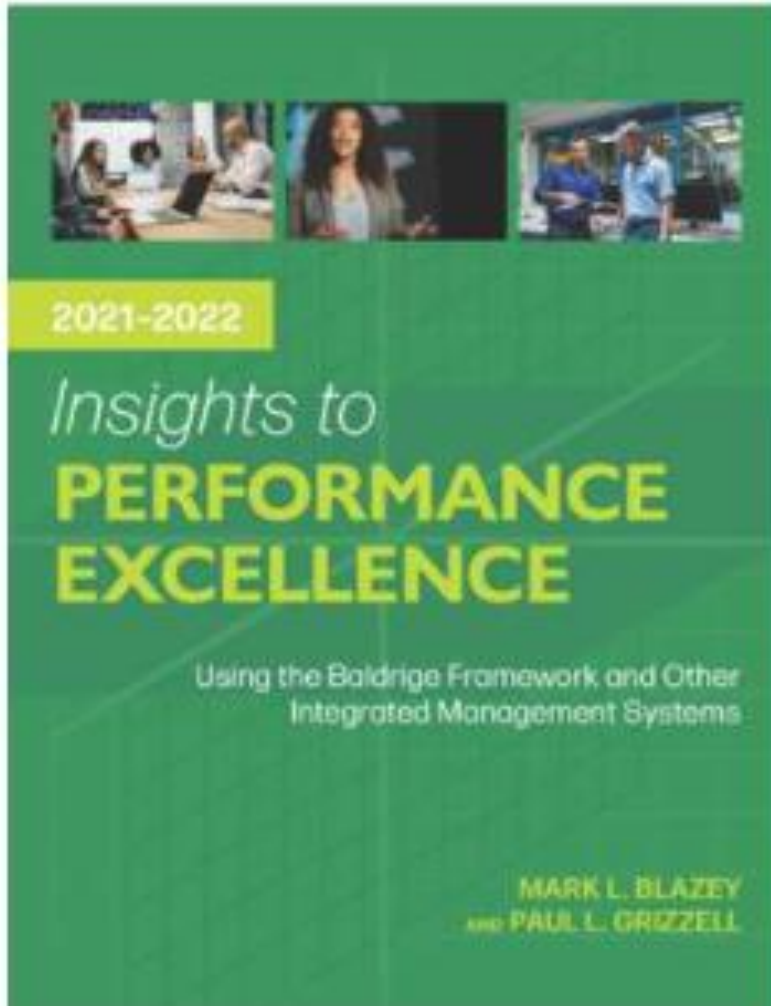
a. Competitive Environment

- (1) Competitive Position
- (2) Competitiveness Changes
- (3) Comparative Data

b. Strategic Context

c. Performance Improvement System





## Great Resource for New Examiners

# Examiner Software Demo



## **Demo/Assistance/Troubleshooting**

- Demo Video:
  - <https://www.youtube.com/watch?v=hb6Lfg8z2B8>
- Lauren Browning, Training and Administration Manager  
(901) 830-4499  
[lauren.browning@thepartnershipforexcellence.org](mailto:lauren.browning@thepartnershipforexcellence.org)

# Optional Pre-work Support

From October 10<sup>th</sup> – November 10<sup>th</sup> via Zoom

- Mondays 1:00 – 2:00 p.m.
- Thursday Evenings 8:00 – 9:00 p.m.



# Welcome to The Partnership for Excellence Community!

We are excited to have you on board  
as members of the  
2022-23 Board of Examiners !

*See you in November...*



**Please complete survey**



**THANK YOU!**

**QUESTIONS?**

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For further questions/information:

Margot Hoffman

614-425-7157

[Margot.Hoffman@partnershipohio.org](mailto:Margot.Hoffman@partnershipohio.org)

# APPENDIX

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# Process OFI Example – 6.1d

**Add/Edit Comment**



**Type** **Important**

OFI No

Approach    Deployment    Learning    Integration\_Process    Innovation

Levels    Trends    Comparisons    Integration\_Results

---

**B**  

Nugget: A process for pursuing opportunities for innovation in work processes is not evident.

Evidence: The applicant's improvement teams appear to only focus on driving continuous improvement in work processes and not pursuing opportunities for innovation.

Example in Stratex  
Apex software

Note: KF selected  
at item level (6.1)

See Framework Page 21



# Results Strength Example – 7.4a(3,4)

**Add/Edit Comment**



**Type** **Important**

Strength No

Approach    Deployment    Learning    Integration\_Process    Innovation

Levels    Trends    Comparisons    Integration\_Results

---

**B**  

Nugget: Several law and regulation, ethics results show good performance levels and beneficial trends.

Evidence: Results for Regulatory and Legal Compliance Key Measures (Figure 7.4-3) show performance at the highest possible level. Also, five consecutive “unqualified opinion” determinations for the applicant’s external financial audit (Figure 7.4-4);

Example in Stratex  
Apex software

Note: KF selected at  
item level (7.4)

See Framework Page 27



# Results OFI Example – 7.3a



**Add/Edit Comment**

Type	Important
OFI	No

Approach    Deployment    Learning    Integration\_Process    Innovation

Levels    Trends    Comparisons    Integration\_Results

---

**B**      

Nugget: Results are missing for some measures of workforce-focused performance.

Evidence: Results are missing for the key driver of relationship with coworkers, for workforce capability and capacity measure of skills and competencies by job description or staffing ratios; and for workforce climate processes, such as rounding for outcomes or health, security, and accessibility factors shown in Figure 5.1-5.

Example in Stratex Apex software

Note: KF selected at item level (7.3)

See Framework Page 26



# Process Strength Comment Example

2.2 a(2) The applicant systematically deploys its strategy to its workforce, aligning goals with individual performance and improving the approach from a reactive push from leadership to a proactive process with staff input. In Step 7 of the SPP (Figure 2.1-1), strategic goals are cascaded through the Communication Process (Figure 1.1-3), and key outcomes are tracked through a web-based program that aligns goals with individual performance. By using a systematic approach to deploy its strategy, the applicant supports its core competency of a mission-driven workforce and its value of teamwork.

**Nugget - Evidence – Relevance**



# Process OFI Comment Example

6.1d A process for pursuing opportunities for innovation in work processes is not evident, as the applicant's improvement teams appear to focus on driving continuous improvement in work processes. A systematic approach that goes beyond continuous improvement to innovation management may enable the applicant to effectively pursue its identified strategic opportunities, such as increasing registry enrollment, by driving breakthrough improvement.

**Nugget** - **Evidence** - **Relevance**





# Results Strength Comment Example

7.4a(3,4) Several law and regulation and ethics results show good performance levels and beneficial trends. For example, results for Regulatory and Legal Compliance Key Measures (Figure 7.4-3) show performance at the highest possible level. Other examples include five consecutive “unqualified opinion” determinations for the applicant’s external financial audit (Figure 7.4-4) and BOD Trust of CEO (Figure 7.4-7), which reached nearly 3.00 on a 3-point scale in 2017. These results may help the applicant retain the Designated Service Area based on CMS standards.

**Nugget** - **Evidence** – **Relevance**



# Results OFI Comment Example

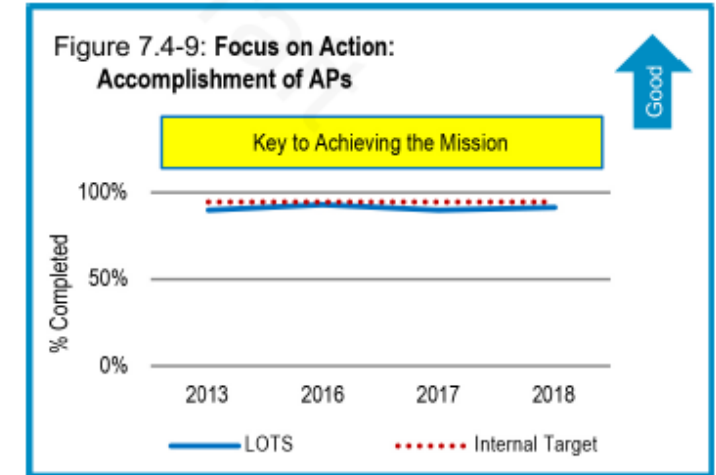
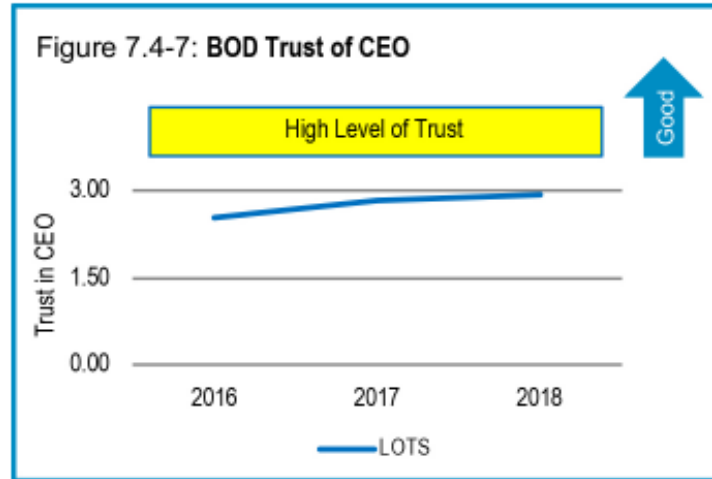
7.3a Results are missing for some measures of workforce-focused performance. For example, results are missing for the key driver of relationship with coworkers; for the workforce capability and capacity measure of skills and competencies by job description or staffing ratios; and for workforce climate processes, such as rounding for outcomes or the health, security, and accessibility factors shown in Figure 5.1-5. Monitoring these results may help the applicant correlate workforce measures with any adverse trends in the overall satisfaction measures.

**Nugget** - **Evidence** - **Relevance**

# Results Strength Example

**Figure 7.4-3: Regulatory & Legal Compliance Key Measures**

Measures & Indicators	Results
AATB Accreditation (3 years)	Full Accreditation
AOPO Accreditation (3years)	Full Accreditation
CMS Certification (4 years)	Full Certification
DHSS (3 years)	Full Compliance
DOR	No Adverse Findings
EEOC	0 Issues
FDA Approval	No Adverse Findings
FLSA	0 Issues
IRS Compliance	0 Issues
OSHA	Full Compliance
UNOS/OPTN (3 years)	Member in Good Standing
<b>Unblemished Performance</b>	



**Figure 7.4-4: External Financial Audit**

Year	External Auditor	Determination
2013	Brother, Sister, & Auditor	Unqualified Opinion
2014	Brother, Sister, & Auditor	Unqualified Opinion
2015	Brother, Sister, & Auditor	Unqualified Opinion
2016	Brother, Sister, & Auditor	Unqualified Opinion
2017	Brother, Sister, & Auditor	Unqualified Opinion
<b>Excellent Fiscal Accountability</b>		

See Framework Page 27



# Drafting Feedback Ready Comments

For each item develop two *Feedback-ready Comments*

- One Strength
- One OFI

Note: Label as “FB Ready” in text box

**Add/Edit Comment**

<b>Type</b>	<b>Important</b>
OFI	No
<input type="checkbox"/> Approach <input type="checkbox"/> Deployment <input type="checkbox"/> Learning <input type="checkbox"/> Integration_Process <input type="checkbox"/> Innovation	
<input checked="" type="checkbox"/> Levels <input type="checkbox"/> Trends <input type="checkbox"/> Comparisons <input type="checkbox"/> Integration_Results	

**B** [List Icon] [Edit Icon]

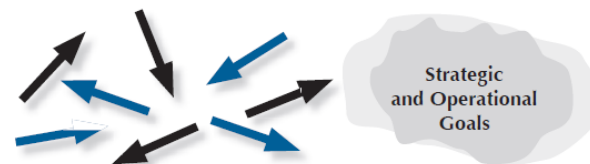
FB Ready: Results are missing for some measures of workforce-focused performance. For example, results are missing for the key driver of relationship with coworkers; for the workforce capability and capacity measure of skills and competencies by job description or staffing ratios; and for workforce climate processes, such as rounding for outcomes or the health, security, and accessibility factors shown in Figure 5.1-5. Monitoring these results may help the applicant correlate workforce measures with any adverse trends in the overall satisfaction measures.

*Feedback-Ready comment for Results OFI 7.3a previously provided*

# Steps Toward Mature Processes

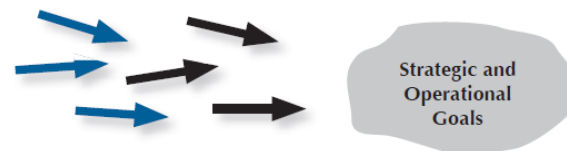
Baldrige Excellence Framework, Page 31

Reacting to Problems  
(0–25%)



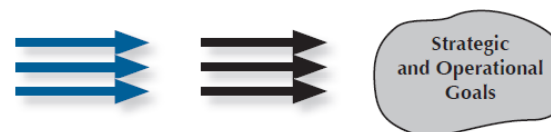
Operations are characterized by activities rather than by processes, and they are largely responsive to immediate needs or problems. Goals are poorly defined.

Early Systematic Approaches  
(30–45%)



The organization is beginning to carry out operations with repeatable processes, evaluation, and improvement, and there is some early coordination among organizational units. Strategy and quantitative goals are being defined.

Aligned Approaches  
(50–65%)



Operations are characterized by repeatable processes that are regularly evaluated for improvement. Learnings are shared, and there is coordination among organizational units. Processes address key strategies and goals.

Integrated Approaches  
(70–100%)



Operations are characterized by repeatable processes that are regularly evaluated for change and improvement in collaboration with other affected units. The organization seeks and achieves efficiencies across units through analysis, innovation, and the sharing of information and knowledge. Processes and measures track progress on key strategic and operational goals.

