INSTRUCTIONS FOR COMPLETING
NEW EXAMINER TRAINING PREWORK

The purpose of this prework assignment is to prepare you for a successful classroom experience. The goal is to familiarize you with the Independent Review portion of the application evaluation process through your completion of a partial Independent Review (IR) Scorebook.

The following process will guide examiners in creating the partial IR Scorebook as well as analyzing the meaning of selected portions of a *Criteria for Performance Excellence* booklet.

PART ONE: You should be in the online Examiner Resource Center now. In the prework section of this page, locate and become familiar with these resources:

1. The *2011–2012 Health Care Criteria for Performance Excellence* booklet
2. The 2012 Tillingate Living case study
3. "Code of Ethical Conduct" Word document
4. Sample Process Item 5.1 Independent Review (IR) Worksheet and Sample Results Item 7.3 IR Worksheet (In Part Three below, please follow these examples, paying particular attention to format, brevity, and clarity.)
5. Comment Guidelines
6. Sample Key Factors Worksheet

PART TWO: Access the Baldrige Online Scorebook Solution (BOSS).

1. On April 3, you will receive two e-mails from BOSSAdm@nist.gov:
   a. one with your user ID, a link to BOSS, and instructions on how to access BOSS
   b. one with a temporary password
2. Sign on to BOSS and become familiar with the navigation and functionality.
3. A "Welcome to BOSS" letter and a "Help Topics" Word document can be found in the online prework materials.

PART THREE: Evaluate Tillingate Living case study items 1.1, 1.2, 4.1, 4.2, 5.2, and 7.4 (using BOSS).

a. Read the Health Care Criteria for Performance Excellence (pages 3–26 in the Health Care Criteria booklet).

b. Read the Tillingate Living case study, highlighting and/or making notes on anything you feel may be important to the evaluation of this award applicant.

c. Draft an initial list of "key factors." A "key factor" is an attribute of an organization or its environment that has a significant influence on the way the organization operates and the key challenges it faces. Examples may include mission, vision, and values; strategic challenges; and workforce groups and segments. Key factors do not include descriptions of processes. Examiners use their best judgment to determine key factors. Examiners then use key factors to focus their assessment on what is important to the applicant. Key factors are found by reading the applicant's responses to Organizational Profile, P.1 and P.2, in the Health Care Criteria booklet, pages 4–6.

A Sample Key Factors Worksheet can be found in your online prework materials.
Now list the key factors on the **Key Factors** tab in BOSS.
- For each key factor you enter, click *Add Key Factor*.
- Indicate the area of the Organizational Profile that applies to the key factor.
- Record a name and the text for the key factor.

Note: While the majority of key factors are found in the Organizational Profile, they can also sometimes be found in the Eligibility Certification Form as well as throughout the application.

d. For each item (1.1, 1.2, 4.1, 4.2, 5.2, and 7.4) complete the following six-step process. (New examiners may want to start with item 1.1.)

1) **Read the Criteria** in the Criteria booklet to gain a good understanding of that specific item.

2) **Determine and select the most relevant key factors for the item**.

- In BOSS, review the list of key factors you created to determine the attributes of the organization that would influence its responses to the item requirements.

- Select the most relevant four to six key factors for the item. These will be a subset of those on your key factor list and may even be a subset of one key factor (e.g., one strategic challenge that is most relevant to the item rather than the entire set of strategic challenges).

3) **Read the relevant response to the item in the application**. Identify the processes or approach the applicant uses to meet Criteria item requirements. In noting the processes or approach, use the applicant's wording from the application rather than using your own words.

4) **Analyze the applicant's response to each item** against the relevant Criteria requirements, and identify around six combined "strengths" and "OFIs" (opportunities for improvement). Record strengths and OFIs in BOSS on the Independent Review (IR) Worksheet. For each strength or OFI, follow these rules:

- Select the relevant key factors that influence this approach or process (e.g., varied employees, shifts, sites).

- Enter the strength (or OFI) as a brief statement of an approach. It should represent the responsiveness of the applicant to the Criteria, given its key factors.

- Provide the evidence that supports the statement as a strength (example: "the approach XYZ has six steps, was expanded in 2011, and includes a final step for evaluation and feedback").

- Select the appropriate evaluation factors—approach, deployment, cycles of learning, and integration—that apply to this strength (or OFI), keeping the following factors and questions in mind. Consider the specific evidence that you observed.

- Determine the strength's (or OFI's) significance to your evaluation of the applicant and whether it should be "doubled" (indicating high importance).

- Provide the item's specific areas to address to which the processes or methods relate (e.g., a[1], b[1,3], or c[1–3]).

- Use the arrows to arrange the order of the strengths and OFIs, starting with the most important feedback to give the applicant.

- Check your work, eliminating any conflicts between strengths and OFIs.

Sample IR Worksheets for items 5.1and 7.3 can be found in your online prework materials.

5) **Draft one "feedback-ready" strength comment and one "feedback-ready" OFI comment.**

From your strengths and OFIs, select one of each (your choice) to develop into feedback-ready comments. The purpose of this step is to allow a team leader to check and see if you are on the right track and allow the team leader to provide you feedback on your comment writing. For the purpose of this training, you will receive feedback in your classroom training session. In writing your comments, please follow these rules:

— Use the Comment Guidelines (found in your online prework materials) to craft (in BOSS) two actionable, feedback-ready comments that capture the findings of your analysis, using the strengths and OFIs with the key evidence that you have listed.

— Each strength or OFI should include

- a single thought or piece of feedback written in concise language

- language that shows relevance by tying the main point to one of the applicant's key factors. You can also ask, "What evaluation factor is relevant to that strength or OFI?" Thinking this way may further help you focus the comment on the importance to the applicant (e.g., if the

important element of the comment is deployment, there may be no need to add text on approach, learning, and integration).

- one or two examples, and figure numbers—language that refers to the approach or results given in the applicant's response to Criteria questions

6) **Determine the scoring range and the score for the item.**

— Determine the applicant's overall scoring range for the item. Start by reviewing the Criteria requirements and the strengths and OFIs for the item.

— Note the balance and importance of strengths and OFIs, including those that are doubled and those that are relative to item requirements and the key factors.

— On the *Scoring* page for the item, review the Scoring Guidelines descriptions and determine the range that is, overall, most descriptive of the organization's achievement level.

The applicant does not need to demonstrate all the characteristics in the selected range; rather, the score is based on a holistic view of the item.

— As a check, read the description of the ranges above and below the selected range to determine where the applicant's score falls within that range.

--- Finally, determine a percentage score that is a multiple of 5 for the item. Record the percentage score in the space provided at the lower right side of the *Scoring* page.

Repeat this process for all the assigned items.

Print your completed IR Worksheets and bring them to class for review.

PART FOUR: Summarize the essential meaning of Criteria items 2.1, 2.2, 3.1, 3.2, 6.1, 6.2, 7.1, 7.2, and 7.5 (using a Word document).

"Everything should be made as simple as possible, but not simpler."—Albert Einstein

a. Write a 50-word (or shorter) description of each of the items listed above, capturing the main point in your own words. A sample description might read, "Item 1.1 asks how leaders guide and focus the organization on what is important."

b. From the Tillingate Living case study, identify and capture in writing one response for each of the items listed above. Limit your response to 50 words or less.

c. ***Print out your brief descriptions and responses, and bring them to class.***

PART FIVE: Review, print, and sign the Code of Ethical Conduct.

From the Examiner Resource Center, download, print, and sign the Code of Ethical Conduct; then bring it to class.

PART SIX: Bring these documents to class.

1. Your prework materials (case study, Criteria, and related tools)
2. Your completed IR Worksheets for items 1.1, 1.2, 4.1, 4.2, 5.2, and 7.4
3. Your brief descriptions and identified responses for items 2.1, 2.2, 3.1, 3.2, 6.1, 6.2, 7.1, 7.2, and 7.5
4. Your signed Code of Ethical Conduct
5. Your certificate of completion for the e-learning module "Are You Ready?"

Contact the Baldrige Examiner Help Center (1-877-237-9064, option 2, or examtrng@nist.gov) if you have any problems or questions.