2017 CAPE Examiner Training Prework Instructions

The purposes of this prework assignment are (1) to prepare you for a successful classroom experience, (2) familiarize you with the Independent Review portion of the application evaluation process, and (3) become familiar with the *Baldrige Framework for Performance Excellence* booklet.

The prework assignment will take you 25-30 hours to complete. If you do not complete the assignment, you will not be allowed to participate in the training course.

PART ONE: Download the following resources from the CAPE Examiner Training website:

1. **2017 CAPE Examiner Training Prework Instructions:** This document will guide you through all of the steps to complete the prework assignment and direct you to supplemental resources.
2. **Arroyo Fresco Community Health Center Case Study:** This is a sample Baldrige Award application showing a fictitious organization's responses to the requirements of the Baldrige Excellence Framework.
3. **2017 CAPE Prework Scorebook:** The scorebook will be used to capture all of your work for the prework assignment.
4. **2017 Process Sample Item 5.1 IR Worksheet**
5. **2017 Results Sample Item 7.3 Worksheet**

NOTE: Once you have registered for your preferred Examiner Training session, CCE will email you an electronic copy of the Baldrige Excellence Framework, which includes the criteria you will use to complete your prework assignment. If you do not receive the Framework, please contact Megan at (858) 486-0400 or megan@calexcellence.org.

PART TWO: Familiarize yourself with the Baldrige Framework

1. **Locate and review the following sections of the Framework:**
    a. About the Baldrige Excellence Framework – page ii
    b. How to Use the Baldrige Framework – page v
    c. Health Care Criteria for Performance Excellence Overview and Structure – page 1
    d. Health Care Criteria for Performance Excellence (includes Organizational Profile, and Process and Results Items) – pages 4 through 30
    e. Scoring System – page 31
    f. Scoring Guidelines – page 34 for Process Items and page 35 for Results Items
    g. Glossary of Key Terms (includes all terms in SMALL CAPS in the Criteria and scoring guidelines) – page 47
    h. Health Care Criteria Commentary – page A-1

PART THREE: Complete your Key Factors Worksheet

1. **Materials you will need:**
    a. Arroyo Fresco Community Health Center Case Study
    b. Baldrige Framework
    c. **2017 Prework Scorebook**
2. **Read the requirements of the Organizational Profile, beginning on page 4 of the Baldrige Criteria.**
3. **Review the Sample Key Factors Worksheet on Pages 2-3 in the Prework Scorebook.** *The sample key factors were completed for a different case study, so they will not be applicable to this assignment. They are included as an example of what a completed key factors worksheet will look like.*

What is a key factor? 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. Key factors may include its mission, vision, and values; strategic challenges; and workforce groups and segment. However, key factors do <u>not</u> include descriptions of processes.

Why are key factors important? Key factors are what the applicant tells the examiner is important to them as an organization. Throughout the examination process, the key factors key examiners grounded in what is meaningful to the applicant. When examiners write feedback comments (STEP XX), key factors are used as "relevance" to show the applicant why the identified strength or opportunity for improvement is important to them.

Where are key factors found? Key factors are primarily found by reading the applicant's responses to the questions in the Organizational Profile (pages i through v of the Arroyo Fresco Community Health Center Case Study), but may be found elsewhere in the application. The applicant will not have access to your list of key factors, so there are no "wrong answers".

4. **Read the Arroyo Fresco Community Health Center Organizational Profile (starting on page i of the case study).** As you read, highlight or underline anything that may be a key factor, including tables and charts (right).

Organizational Profile

P.1 Organizational Description

P.1a Organizational Environment
Arroyo Fresco (AF) is a community health center (CHC) serving western Arizona from 11 clinics and 4 mobile service vans. CHCs, established over the past 50 years in underserved areas in all 50 states, are nonprofit, community-owned health care organizations that offer patients high-quality primary care and preventive services regardless of their ability to pay. They also provide "enabling services," such as transportation, translation, health education, and home visitation, which increase access to care. More than 1,200 such centers serve more than 24 million Americans annually. The Health Resources and Services Administration (HRSA) administers the program. A snapshot of AF is shown in Figure P.1-1, and service-area demographics are shown in Figure P.1-2.

5. **Complete the Key Factors Worksheet (page 7 of the Prework Scorebook).** Type in the areas of importance that you underlined or highlighted into the corresponding sections of the Key Factors Worksheet. For example:

EXAMINER NAME: PLEASE ENTER YOUR NAME HERE

Key Factors Worksheet

P.1 Organizational Description
a. Organizational Environment
(1) Product Offerings
- Applicant is a non-profit, community health center (CHC) providing primary care, preventative services and enabling services in Western Arizona. Care is delivered through 11 clinics and 4 mobile service vans.

(2) Mission, Vision, and Values
-

(3) Workforce Profile
-

Tip: *Try to avoid using excessive acronyms or abbreviations when you draft your key factors. You will be using this sheet throughout the review process, so you want to spend a little time as possible trying to recall what an abbreviation means.*

PART FOUR: Item Evaluation Process

Now that your Key Factors Worksheet is completed, you will move on to your evaluation of Items 1.1, 4.2, 7.1 and 7.4. Complete the following steps for each item:

1. **Materials you will need:**
   a. Arroyo Fresco Community Health Center Case Study
   b. Baldrige Framework
   c. 2017 Prework Scorebook

2. **Read the Baldrige Criteria item to ground yourself in the item requirements.** For example, during your review of Item 4.1, you will review page 16, "4.1 Measurement, Analysis, and Improvement of Organizational Performance" in the Baldrige Framework (right).

3. **Determine and select the most relevant Key Factors for the item.** Review your list of Key Factors 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 the Key Factors list and may even be a subset of one Key Factor (for example, one strategic challenge that is most relevant to the item rather than the entire set of strategic challenges).

   Enter the selected Key Factors into the Key Factors box at the top of the Item Worksheet in your Prework Scorebook. Here is an example of what the Key Factors may look like in a completed Item Worksheet:

4. **Analyze the application Item.** As you read the applicant's responses to each Criteria Item (I.e Item 4.1), identify the processes or approach the applicant uses to meet item requirements. Flag, mark up, and/or take notes as needed. Feel free to write in the application.

5. **Identify around six combined strengths and opportunities for improvement (OFIs).**
   Identify and document around six strength and OFIs, recording brief statements with their accompanying evidence.

For each strength or OFI identified:

- Select the relevant Key Factor(s) (from your completed Key Factors Worksheet) that influence this approach or process (for example, varied employees, shifts, sites, a specific key strategic advantage). Input the Key Factor number(s) that you've selected in the Item Worksheet column labelled "Relevant KF".
- Enter the strength or OFI as a brief statement of an approach. It should represent the applicant's responsiveness to the Criteria. Focus on using language from the application or the Criteria, instead of rewriting the statement in your own words. The statement should be captured in the Item Worksheet column labelled "Strength" or "OFI".
- Provide the evidence that supports the statement as a strength (for example, "the approach XYZ has six steps, was expanded in 2015, and includes a final step for evaluation and feedback"). Any supporting evidence should be captured in the Item Worksheet column labelled "Evidence".
- Select the appropriate evaluation factors – for process items, the evaluation factors include approach, deployment, cycles of learning, and integration; and for results items, the evaluation factors include levels, trends, comparisons and integration. Refer to the appendix to this document for an in-depth description of these evaluation factors. Once you have identified the relative factors for your strength or OFI, check the appropriate columns labeled "ADLI" for process items or "LeTCI" for results items on your Item Worksheet.
- Finally, note the section(s) of the Criteria Item (e.g. a(1), b(1,3), or c(1-3)) that your strength or OFI is related to in the column labelled "Item Ref".

Here is an example of what a completed strength may look like once entered into your Item Worksheet:

Strengths

Relevant KF	++	Strength	Evidence	A	D	L	I	Item Ref.
2, 3, 4		Applicant determines key drivers of workforce engagement, which are segmented by job category	Guppol – conducts research, benchmarking analysis, correlation study to develop annual team member survey (ADL). LT reviews inputs from communication mechanisms (Fig 1.1-2) and past engagement results (ADL). Validate factors through QCP discussions, huddles, annual team member survey, action planning and all-team-member meetings (ADL).	X	X	X		a(2)

PART FIVE: Draft one strength and one OFI comment.

Once you've identified your "around six" strength and OFIs, select one strength and one OFI that you have prioritized as the most important to give the applicant.

Each strength or OFI comment will contain NERD: a nugget, evidence, relevance, and….DONE!

- Nugget: a concise opening statement of the main idea. The language you use for the nugget will typically come from the relative Criteria language, for example, "The applicant determines key drivers of workforce engagement, which are segmented by job category".
- Evidence: include one or two examples from the application to support the nugget.
- Relevance: language that demonstrates why the strength or OFI is important to the applicant by selecting a relative key factor.
- Done!

Capture the nugget, evidence and relevance statements for your one strength and one OFI comment into the table labelled "Strength/OFI Comment" on your Item Worksheet. Be sure to include the Criteria Item Reference, as well.

Here is an example of what a completed OFI comment may look like:

OFI Comment:		Item Ref.
Nugget (criteria language):	It is unclear how Applicant ensures it benefits from the diversity of its workforce.	a(1)
Evidence (from the application):	There is no process to evaluate the effectiveness of its focus on hiring for a diverse workforce.	
Relevance (key factor):	As the Applicant does have a very diverse workforce, from ethnicity to tenure, it may be beneficial to systematically take advantage of the various backgrounds of its workforce, while also improving retention and engagement (SC6).	
Done!		

PART SIX: Determine the scoring range and score the item.

Start by reviewing the Criteria requirements and the strengths and OFIs for the item, considering the balance and importance of the strength and OFIs.

In your Baldrige Criteria booklet, review the Scoring Guidelines (page 34 for Process Items, and page 35 for Results Items). Determine the range (e.g., 30-45, 70-85) 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 Scoring Guidelines.**

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 within your selected range.

Record the range and the percentage score in the box labelled "Scoring" on your Item Worksheet. You may also include any notes that may remind you of your scoring rationale here.