Examiner Quick Reference Guide

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Welcome Letter

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.

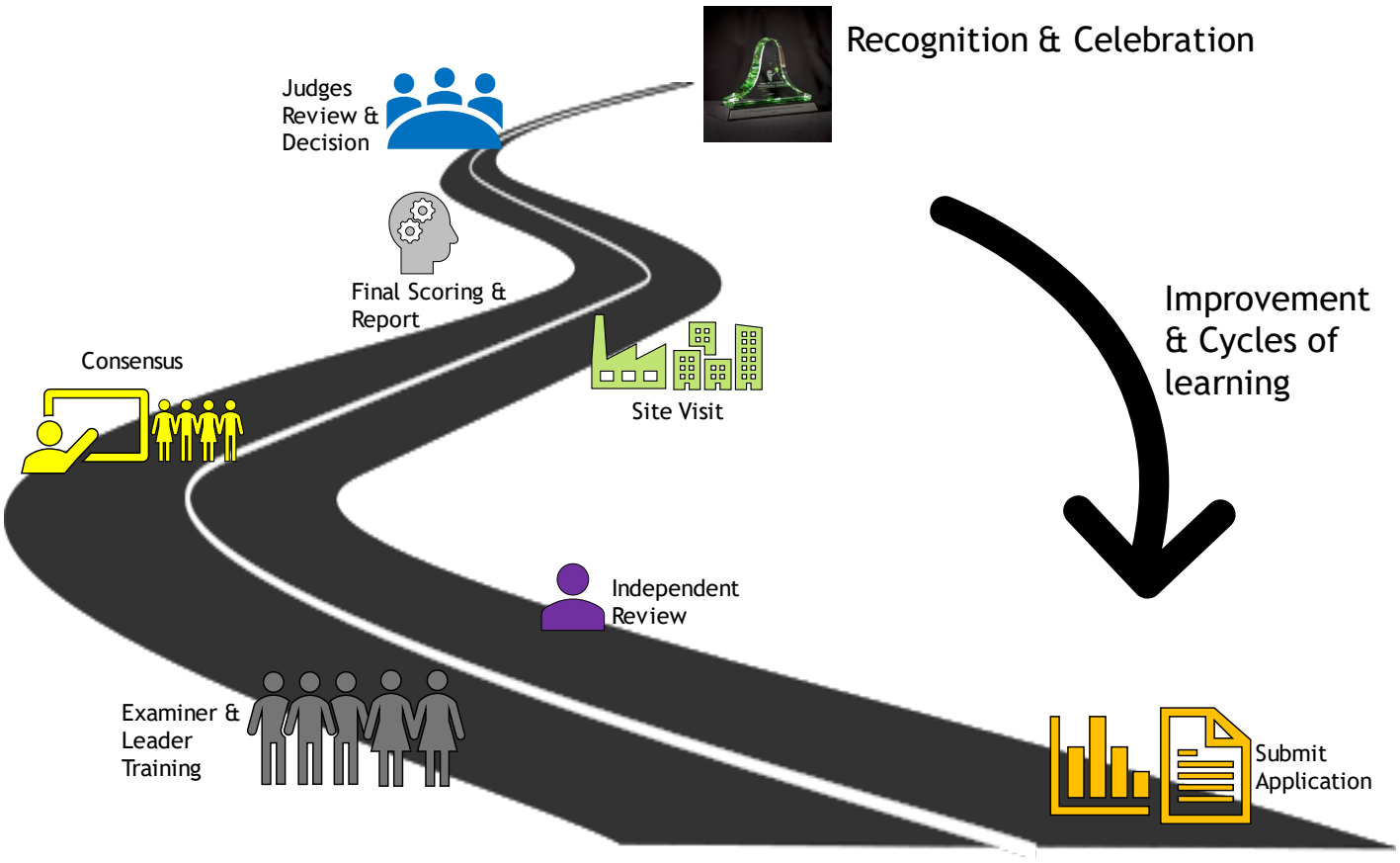
Coach: Supports the team lead in providing feedback and fostering critical thinking. Ensures the team is following IRPE processes, while learning and having fun, to advocate for the applicant to provide a quality feedback report.

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 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://www.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

Pre-Consensus Week Webinar On-Demand

**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.
Consensus Week Prep	Role of Category Lead
Category Lead	• 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

29-Aug	Examiner Training
5-Sep	Key Factors Identified by Team & Initial Results Review
5-Sep	1.1 Entered in Apex
6-Sep	Key Factors entered by Team Lead
8-Sep	1.2 & 7.4 Entered in Apex
11-Sep	First feedback from Team Lead and Coach to examiners
13-Sep	Cat 2 & 7.5 In Apex
	Team Check-in Meeting (team lead to set)
18-Sep	Cat 3 & 7.2 in Apex
22-Sep	Cat 4 in Apex
27-Sep	Cat 5 & 7.3 in Apex
	Team Check in Meeting (team lead to set)
29-Sep	Consensus Webinar
2-Oct	Cat 6 & 7.1 in Apex
4-Oct	8 am, applications move from IR to Consensus
6-Oct	Category Lead Synthesis Complete in APEX and sent to team
October 9-12	Consensus Week

6 Step Process

Process Summary	
The 6-Step Process is used during independent review, Consensus Week, and Site Visit to ensure review, feedback, and scoring are aligned with the Baldrige criteria.	
Step	**Instructions**
Review Criteria	Ground yourself in the Criteria item by interpreting and studying the requirements in order to apply them appropriately.
ID 4-6 Key Factors	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.
Read Application	Read the relevant section of the application. • 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).
Capture 4-6 STR/OFI	Select the 4-6 most relevant strengths/OFI's with the accompanying evidence.
Enter In Software	Follow the specific software standard work to enter the Strength/OFI into the system.
Score	If you are at HELP Week or on Site Visit, use the Scoring Standard Work document to score the item in APEX. **Note: No scoring is done during Independent Review (IR)

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

Example Process Comments

Strengths

- Senior leaders create a focus on action:
  - 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
  - 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.

- Systematic approach to strategic planning (Figure 2.1-1)
  - Key stakeholder groups and aligns with the organization's vision.
  - 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.

- Performance Evaluation System supports high performance and workforce engagement
  - 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.
  - Improvement resulted in automation to facilitate more meaningful performance discussions.

Opportunities for Improvement

- Systematically evaluation of to advance their development and improve the leadership system.
  - No systematic approach
  - Potential Impact:
    - Approaches in these areas may support applicant's value of "Lead."
    - May have blind spots for governance and leadership

- How do you make work system decisions that facilitate the accomplishment of its strategic objectives.
  - Not consistently deployed
    - it is not clear how these decisions address strategic challenges and advantages in the East business unit
    - Integration with the parent and sister organizations or suppliers varies.
  - Potential Impact:
    - May miss opportunity to compete against offshore competition (Strategic Challenge)

Writing Results Comments

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

- Levels:
  - What is the current performance?
  - Are explanations provided for significant favorable or unfavorable changes?
  - What is the performance of the organization relative to the comparative data?
  - Are data normalized to address size factors? For example, are injuries reported per 100 employees to address changes in the number of employees?

- Trends:
  - Are there 3+ results vs the measurement time-table to evaluate a trend?
  - What is the trend over time?
  - Is the direction of the trend favorable or unfavorable?

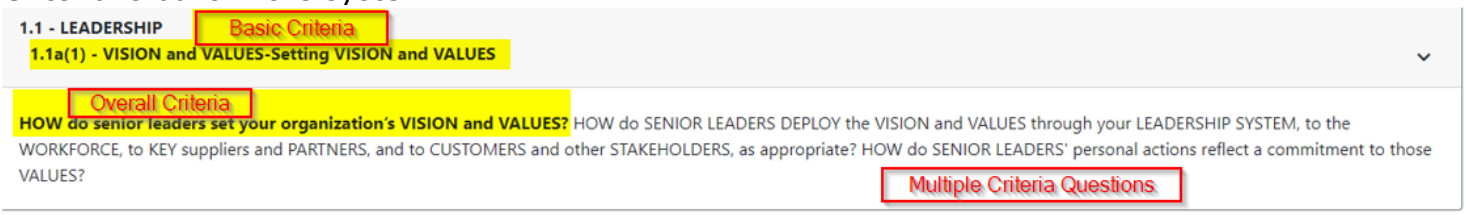
- Comparisons:
  - Are data segmented by customer group, market segment, employee group, or other appropriate segments?
  - Are comparative data presented and are the comparisons appropriate? Is the comparison to best in industry, best in class, or industry average?

- Integration:
  - What are the standard measures in this sector? Is there any significance to the lack of any of these measures?
  - 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)?
  - Do the data represent both short- and longer-term priorities?

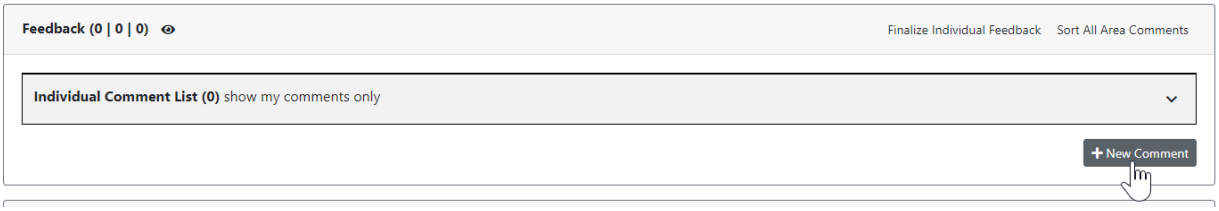
**Note: Formatting for results comments follow process comments.

Independent Review Process Quick Reference

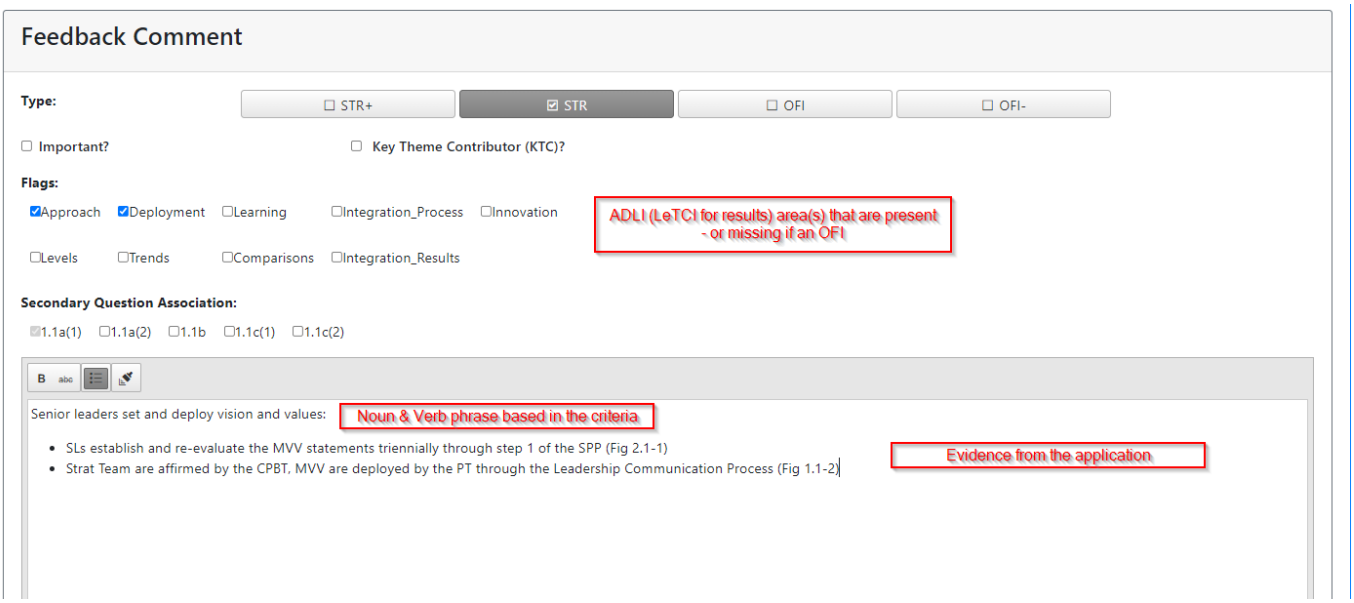
Criteria is built in the system



1) Review Criteria (see above)
2) ID 4-6 key factors and associate with the item
3) Read the application
4) Capture 4-6 STR/OFI for each item (e.g. 1.1, 1.2, etc)

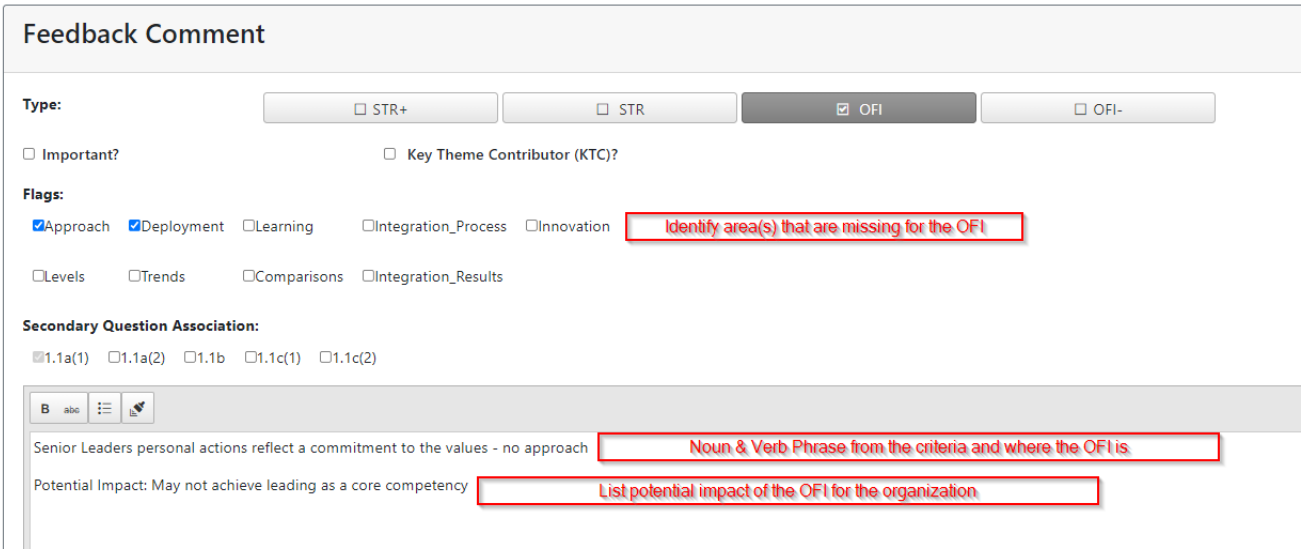


Example Strength



Independent Review Process Quick Reference

Example OFI



Pro tips:

**Use notes section for anything you need to follow-up on

**You can copy & paste from the criteria book and application to build your comments.

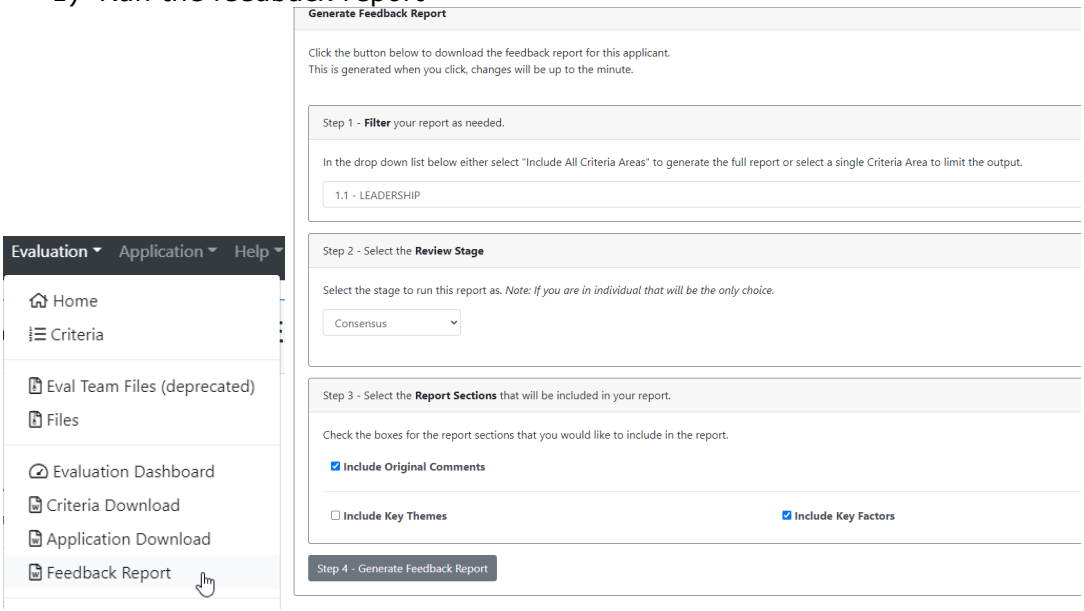
IRPE Results and Document Matrix

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

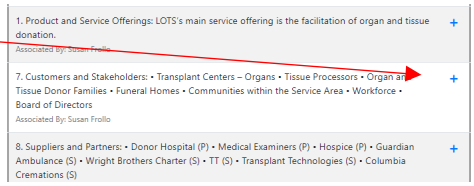
Category Lead Consensus Review Quick Reference

1) Run the feedback report



2) 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.

3) Add Key factor for consensus by clicking the "+" symbol.

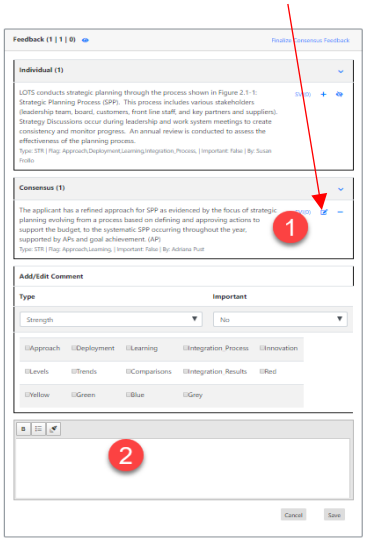


4) Create and review the consensus script document.

5) Once consensus is agreed, update APEX with the comments that will carry forward.

6) 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.

7) You can add a new comment as needed if you want to combine multiple comments from Independent Review.



IRPE Consensus Script Document

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

Strengths proposed for the consensus report

Item	Strength (verb/noun phrase with evidence)	Rationale (what information supported your decision to select and write the comment)	Alignment (check the items aligned to comment)			
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	

Strengths not included

OFIs proposed for the consensus report

Item	OFI (verb/noun phrase with evidence and potential impact)	Rationale (what information supported your decision to select and write the comment)	Alignment (check the items aligned to comment)			
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	
			A		Le	
			D		T	
			L		C	
			I		I	

OFIs not included

1.

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**
Criteria: How do you prepare for changing capacity and capability needs • Methods include analysis of knowledge, skills, and abilities (KSAs); • education; and workforce and manpower planning. • Assessment of KSAs allows associates to fill one-up or one-down positions in the value stream • 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.	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. 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.	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**
Criteria: How do you hire, train and retain workforce members, including temporary workers. • 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. Potential Impact: • May not be aligned with value of people first	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.	A2

OFIs not included

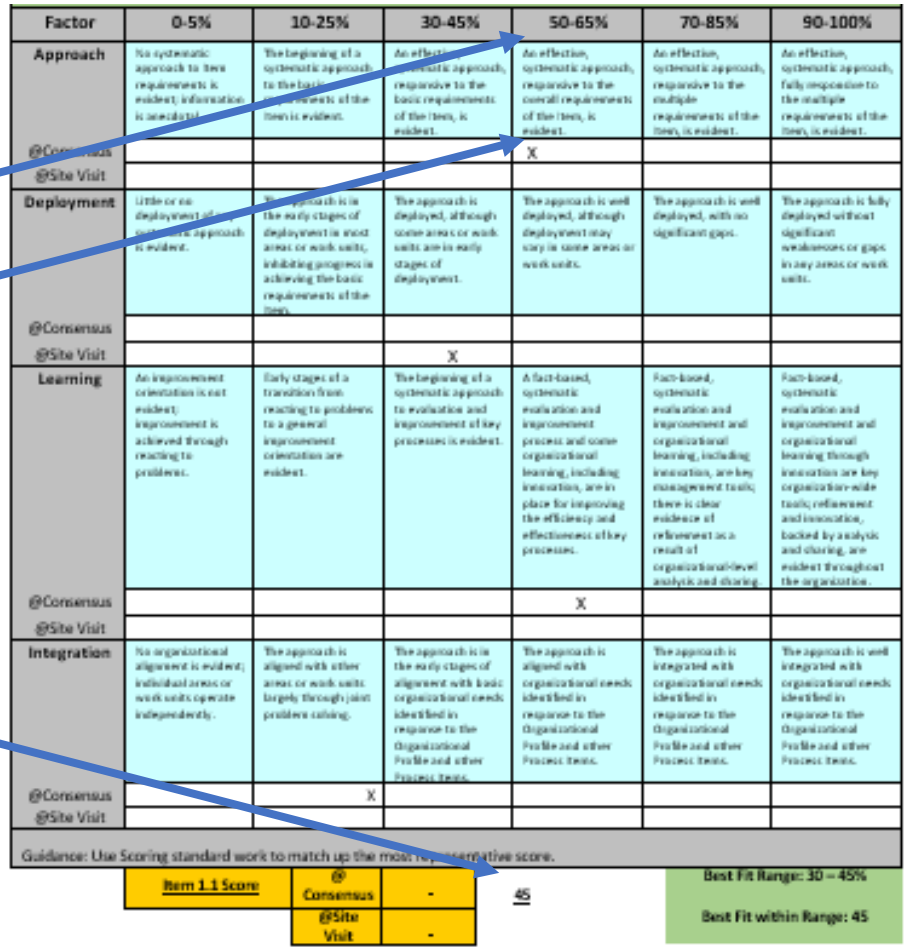
1. Unclear whether the workforce policies/benefits are tailored to meet the needs of a diverse workforce. Comment didn't rise to the "vital few" plus part of the intent is covered in the a(2) OFI.

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	Following completion/review of the consensus script. Start in the 50-65% scoring range for the evaluation factor being considered (ADLI/LeTCI). • 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	Review the score and ask the following questions to affirm the chosen score: 1. What is keeping the applicant from the range below? 2. What is keeping the applicant from the range above? 3. Are the identified strengths and OFIs reflective of the score vs the criteria (e.g. basic, overall, multiple)? Made adjustments as needed.
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 anecdotal.	The beginning of a systematic approach to the basic [illegible] 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 a 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			X			
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				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

IOWA RECOGNITION for PERFORMANCE EXCELLENCE

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.						

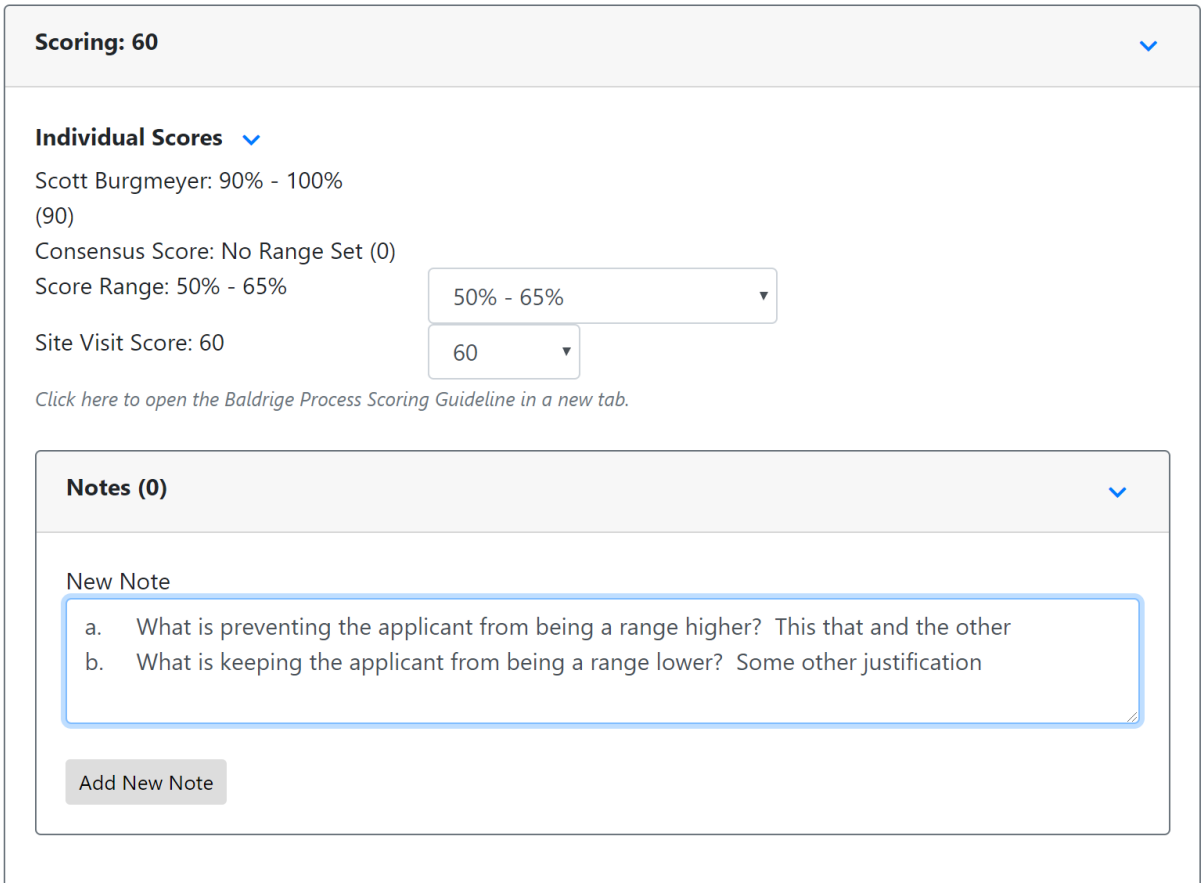
IOWA RECOGNITION for PERFORMANCE EXCELLENCE

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, responseive 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"



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

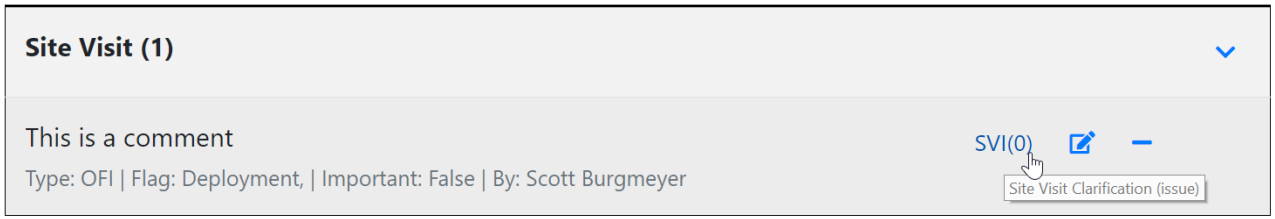
NOTE 4: Baldrige Core Values can be used as a core kernal for a Key Theme when examples and appropriate figure references are inlcuded

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

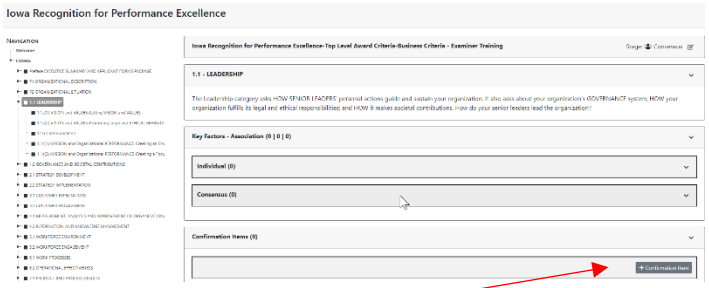
Category Lead Site Visit Prep Quick Reference

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

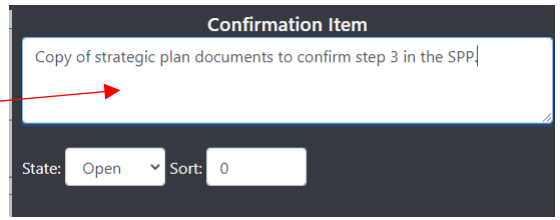


3) Enter the information you want to verify including documentation, who to speak with, etc. and click the save button (little disk shape)

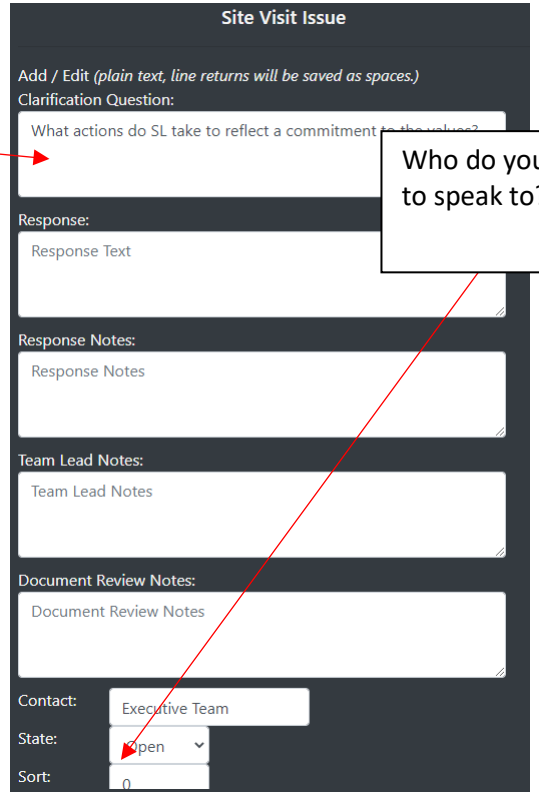
4) Create a Confirmation Item for any document you want.



What document you want to see and the purpose.



What question(s) do you want to ask about this?

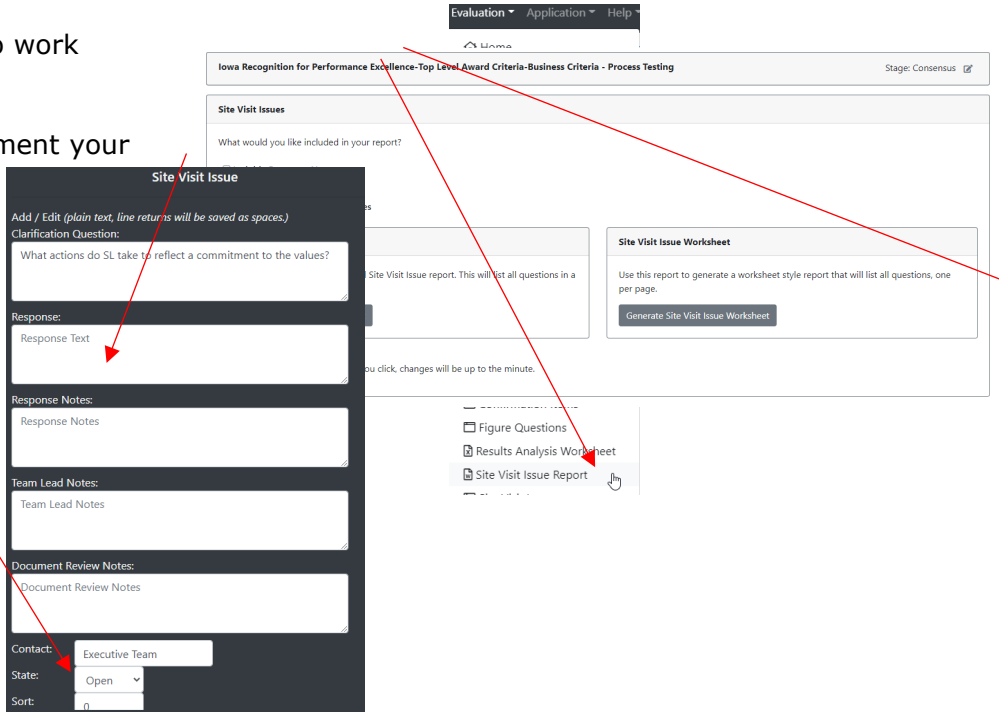


Who do you want to speak to?

APEX Site Visit Quick Reference

1) Use the Site Visit Issue Report to work through your Site Visit items.

2) Hold your interview(s) and document your notes in the site visit issue.



3) Mark the state as closed when completed with that SVI.

4) Write your final comment(s)

5) Use walk the wall to gather feedback on your 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 – revew 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.

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 key themes for:
    a. Process strengths
    b. Process OFI's
    c. Results Strengths
    d. 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.
    - Voices and Foodtrak provide fact-based data and information from customers, suppliers/partners, key stakeholders, and employees.
    - The Strategic Planning Process results in the development of a Strategy Matrix
    - The alignment and integration in the Strategic Planning Process

- The organization clearly demonstrates its commitment to management by fact and continuous improvement.
    - Systematic approaches to data collection and analysis and process improvement.
    - DINERS Teams 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
    - Employees at all levels actionable information on which to base their improvement recommendations.

- The applicant capitalizes on its planning, process improvement, and data and information collection and analysis
    - Team-based environment and an operating style empowered and enabled by data and information available through a number of avenues.
    - Ensuring access to data and information and creates an environment of organizational learning through its Communication Process, Foodtrak Knowledge Management system
    - Multiple 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.

Key Theme Process OFI's

- How or if the organization has adequately addressed its stated desire to grow its Home Meal Replacement (HMR) and catering business lines.
    - 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
    - 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 not addressed
    - Potential Impact:
        - May not be positioned to duplicate for HMR and catering
        - May not achieve the targeted relatively high levels of service, satisfaction, and regulatory compliance

- The organization does not address the legal and regulatory requirements associated with the space product.
    - Key requirements of the couples and singles customer groups, which account for 45% of the organization's sales.
    - Potential Impact:
        - May leave itself vulnerable in a key regulatory and legal area.

Key Theme Results Strengths Examples

- The organization's results address many to most areas of importance with improving performance trends for most measures sustained for four to five years.
    - Measures of customer satisfaction, product and service quality, financial performance, human resource performance, and social responsibility
    - Best competitor, and/or Baldrige Award recipient benchmarks.
    - Performance in these areas appear s to indicate the effectiveness of the organization's planning and improvement

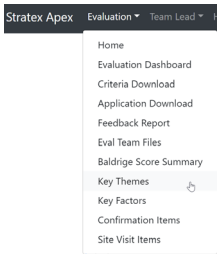
- CCNW demonstrates good levels, trends, and comparisons in many results related to its strategic objectives:
    - of student access and success, reflecting its value of Students First (student access and success, results for enrollment, graduation rate, credit hours delivered, and number of students transferred (Figures 7.1-1, 7.1-3, 7.1-4, and 7.1-6)
    - Outperform key comparatives. In many instances, the organization has continued to outperform comparisons even in the midst of pandemic downturns in others' performance, such as in results for degrees awarded (Figure 7.1-2) and continuing education hours (Figure 7.1-5).
    - Results for Satisfaction with Student Focus (Figure 7.2-4) have improved steadily from 2014 to 2019 in four key measures; and results for Customer Satisfaction with Student Services (Figure 7.2-14) have increased for four student segments from 2017 to 2020.

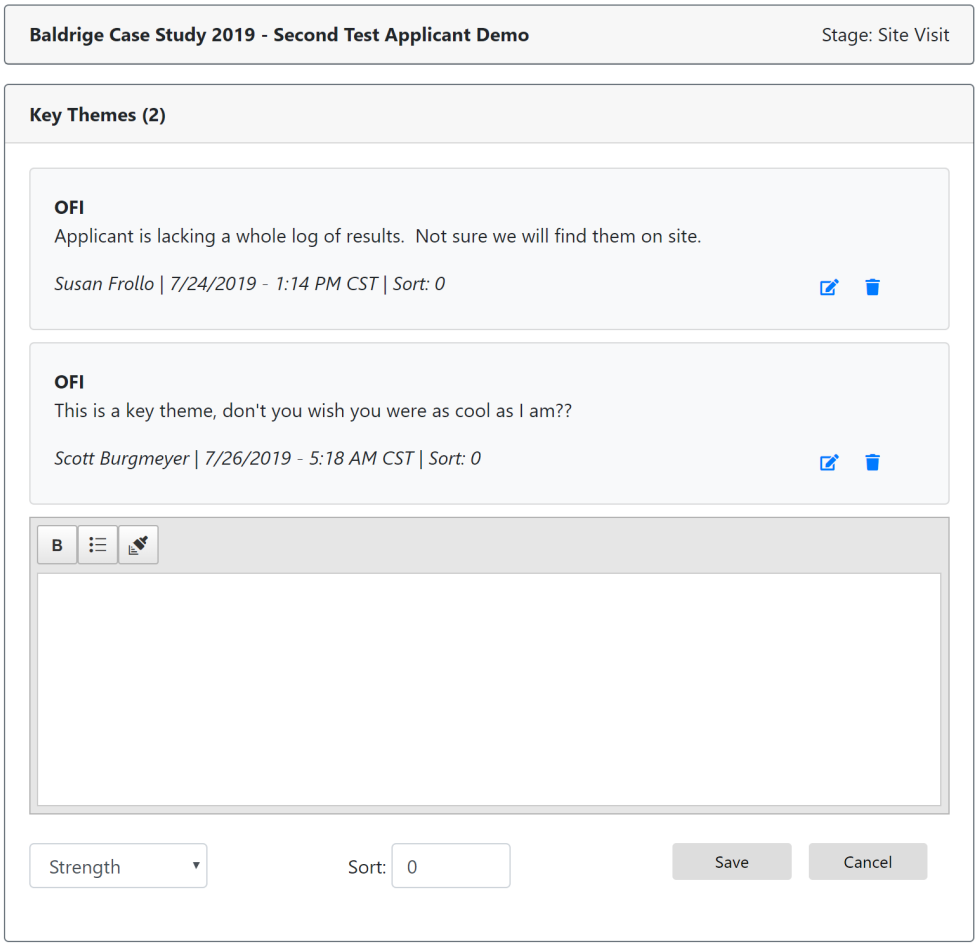
Key Theme Results OFI's Examples

- Results are not reported for several measures related to key performance areas.
    - 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.
    - 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.
    - 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.
    - Potential Impact: It may be difficult for the organization to respond proactively to performance shortfalls or improvement opportunities.

- Addressing missing segmentation in some key results for example, no data are presented for student learning by different student population segments. Indicators of
    - Student success, such as annual (fall-to-fall) student persistence rates (Figure 7.1-9), graduation rates (Figure 7.1-3,3b), and number of students transferring to four-year institutions (Figure 7.1-6) are not segmented to provide results for CCNW's certificate programs, workforce badges, or career preparation courses. Segmentation of results by student sub-groups is missing for measures of satisfaction, dissatisfaction, and engagement, such as RBM Overall Satisfaction (Figure 7.2-1).
    - Most key leadership, governance, and societal wellbeing results also lack segmentation. For example, segmentation of results by student groups (career seeking vs. non-career seeking) and faculty groups (PT vs. FT) is lacking in Leadership Reinforcement of Values (Figure 7.4-2), Stakeholder Trust in Senior Leaders (Figure 7.4-10), Ethical Environment (Figure 7.4-11), and Perception of Walk It Right Ethics Program (Figure 7.4-12).
    - No results are provided on the net revenue related to credit/degree students who make up 70% of the student population or on affordability by market, educational offering, or student group (career seeking, transfer, non-degree, and dual-credit students).
    - Potential Impact: data and segmentation may help CCNW in understanding its performance in relation to all key groups or areas.

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.