**2023 CAPE TEAM LEAD MANUAL**

# **Examination Team Roles and Responsibilities**

Examination teams may be made up of the following roles:

Team Lead/Senior Examiner: Lead an examination team through the entire examination process. Responsibilities include:

* Coaching and mentoring examiners throughout the process
* Keep the team on track to meet key milestone dates provided by CCE
* Leading the Consensus process
* Managing logistics for Site Visit, including submission of expense reports and appropriate documentation to CCE within two weeks of site visit completion.
* Leading and documenting Site Visit and overseeing Feedback Report preparation
* Communicating with Lead Judge
* Presenting an award-level recommendation to the Panel of Judges
* Finalizing the Feedback Report with Lead Judge
* Evaluating Examiners
* Present to Applicant on the Feedback Report at Executive Briefing

Support Senior: Provide guidance and direction to the team as a whole and for individual examiners, as required. Support Team Lead as needed.

Seniors in Training: First-time Seniors who shadow Team Lead, Seniors and Fellow to learn the role and tasks of Senior Examiners. At the discretion of the Team Lead, may be used to assist in team role assignments, mentoring and assisting new examiners, and/or preparing documentation.

Experienced/Return Examiner: Provide feedback on all comments and serve as a backup for a New Examiner

New Examiner: First time serving as an Examiner on a Baldrige-based assessment.

Fellow: A Senior who has 5+ years as an examiner and has served as a Baldrige Examiner; the purpose is to monitor compliance with CAPE processes and provide support to Team Lead. Responsibilities may include:

* Interpreting and advising on Criteria
* Advising on Consensus building, comment writing, and approach
* Mentoring and assisting the evaluation team throughout the process
* Providing Just-in-Time Training or guidance as needed
* Checking process and ensuring there are no significant gaps
* Monitoring Consensus Calls and redirecting the team if necessary
* Assisting in Site Visit logistics, such as accommodations and food, SVI development, walk-around and interview questions, walking the wall, etc.

Lead Judge: CAPE Judge assigned to each team to provide direction and additional viewpoint. Responsibilities include:

* Reading the application and draft Feedback Report
* Working with the Team Lead for Site Visit planning and questions
* Helping Team Lead refine and finalize the Feedback Report
* Help Team Lead prepare for Judges Meeting
* Consolidating comments from other judges on the Feedback Report and providing to the Team Lead
* Attending Executive Briefing, if requested by Applicant
* Communicate with Judges Chair, as needed.

Site Visit Monitor (CCE Staff): May attend Site Visit to monitor compliance with CAPE process and provide administrative support to Team Lead. Provide assistance with Site Visit logistics such as accommodations, food, scheduling, etc. However, the Site Visit Monitor cannot participate in providing feedback on the applicant.

# Ethics

It is the examiners’ responsibility to check for possible conflicts of interest immediately after receipt of the application package. Any conflicts, or potential conflicts, should be reported immediately to CCE:

* Roger Triplett, CCE Ethics Chair: ethics@calexcellence.org
* Kimberly Kinder, CCE Director of Operations: (858) 486-0400, kim@calexcellence.org

Team Leads should check in with the examination team to ensure they have reviewed the application for conflicts and submitted the Confidentiality and Receipt of Package form to CCE.

# Working with Your Team & CCE

* Be patient with your team
* Identify ways to fix the problem
* Establish regular, effective communication
* Allow time for the team to go through the basic team-building stages
* Stress team identity – the final product is a product of the team as a whole
* Support team members and encourage them to help each other - examiners should be comfortable telling you if they are having issues with any part of the process, including meeting deadlines

# Expectations for Team Leads

* Set and communicate reasonable expectations
* Follow the examination cycle schedule provided by CCE. Please communicate with Kim Kinder (kim@calexcellence.org) if you can’t meet key milestones.
* When working outside Scorebook Navigator, all working documents must be saved in MS Teams (i.e. Consensus Scripts, Site Visit Issue Worksheets, and Feedback Report).
* Adhere to the Code of Ethical Standards
* Encourage feedback from all team members regardless of their examiner experience and industry background.

# Questions

Call, text, or email CCE Staff whenever you have any questions, concerns, or feedback.

* Kimberly Kinder, CCE Director of Operations: (858) 486-0400, kim@calexcellence.org

# **Independent Review (IR): Week 1**

|  |
| --- |
| DELIVERABLES |
| 1. Examiners receive an email from CCE, providing them access to Scorebook Navigator and MS Teams. The resources listed below will be in MS Teams for the Examination Team to access.
2. Team Lead sends welcome email to Examination Team same day as they receive the email from CCE
	* + Proposed Schedule, including first planning call
		+ Deadline for completing Key Factors Worksheet and Item 1.1
		+ Examiner Biography form and deadline for completing
3. Examiners review application for conflicts and submit the Confidentiality Form to hello@calexcellence.org
4. Examiners upload their Biography form into MS Teams
5. Examiners read the entire application
6. Team holds first planning call
	* Agree on proposed schedule that meets due dates provided by CCE
	* Confirm contact information on team roster is correct
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Examiner Handbook
* Application
* Baldrige Excellence Framework
* Confidentiality and Receipt of Package Form
* Instructions for accessing and using Scorebook Navigator
* Team Roster
* Team Kickoff Email (Team Lead to send to Examination Team right away)
* Draft Examination Team Schedule (CCE provided key milestones to for the team to meet)
* First Planning Call Agenda
* Examiner Biography Form
* Scorebook Navigator Resources
* CAPE Examiner Drop Form
 |
| NOTES |
| * As you develop your schedule, try setting the major deadlines, like completing IR, a few days earlier than necessary. That way, if any examiners fall behind, you can allow a few more days.
* If you have any examiners drop out at any point of the process, a Drop Form will need to be completed and submitted to CCE immediately. Instruct the examiner to delete and/or shred any applicant related materials.
 |

# **Independent Review (IR): Week 2**

|  |
| --- |
| DELIVERABLES |
| 1. Examiners begin working on their IR
2. Examiners complete Key Factors and Items 1.1, 1.2, and 7.4
3. Team Lead (or Senior Examiner) drafts consolidated Key Factors for team review
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Key Factor Example
* Comment Guidelines
 |
| NOTES |
| * If there are multiple Senior Examiners on your team, you may want to schedule regular calls to discuss team progress, strategy, etc.
* Review Scorebook Navigator instructions for consolidating Key Factors
* The proposed Key Factors will need to be agreed upon by the full team. You can do so on the second planning call, which will allow the team to use the same set of Key Factors once you move to Stage 2.
 |

# **Independent Review (IR): Week 3**

|  |
| --- |
| DELIVERABLES |
| 1. Team Lead and/or Seniors/Fellow provide feedback on completed Item worksheets to each examiner via email (NOTE: be sure to avoid any Applicant-related information in this email)
2. Team holds 2nd planning call
3. Examiners complete independent review for category 2 and 3 and items 7.2, and 7.3
4. Team Lead checks team progress on IR and contacts anyone behind schedule
 |
| NOTES |
| * Team Lead can check the progress of the team’s IR work in Scorebook Navigator. At this point, you should see significant progress on completion of IR. Reach out to any examiners that appear to be falling behind.
 |

# **Independent Review (IR): Week 4**

|  |
| --- |
| DELIVERABLES |
| 1. Team call (optional)
2. Examiners complete Independent Review for category 4, 5, 6 and items 7.1 and 7.3
3. Team Lead checks team progress on IR and contacts anyone behind schedule
4. Independent Review is completed, and team moves into Consensus Review
 |
| NOTES |
| * Team Lead can check the progress of the team’s IR work in Scorebook Navigator. At this point, you should see significant progress on completion of IR. Reach out to any examiners that appear to be falling behind.
* If an examiner may not complete IR by the deadline, try to find a solution that keeps them engaged. If you have extra time in your schedule, extend the deadline for the whole team. If you have enough examiners on the team, possibly offer the examiner to do a shorter review for each item. Use your judgement, and if you have any questions, contact CCE to discuss options.
* At the completion of Independent Review, the Team Lead moves the team to Consensus Review in Scorebook Navigator
 |

# **Consensus Review: Week 5**

|  |
| --- |
| DELIVERABLES |
| 1. Team Holds 3rd Planning Call – Consensus Review (CR) Prep
	1. Team Lead assigns Item Leads/Backup assignments
	2. Just-in-Time Consensus Training provided by Team Lead, Senior, Fellow or Judge
	3. Review team schedule and discuss any needed changes, including Consensus Call dates
2. Item Leads complete their initial CR worksheet to prepare for R-1 feedback
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Consensus Review Roles and Assignments
* Just-in-Time Consensus Training materials
* What is a Key Theme?
* Key Theme Worksheet
* Scorebook Navigator Instructions
 |
| NOTES |
| * When making role assignments for Consensus, factors to consider include each examiners’ industry background, preference noted on biography form, and performance on IR.
* If your team is large enough, try to avoid assigning any items to the Team Lead.
* Consensus Training will discuss process in more detail but be sure to remind examiners that as Item Leads, they are not identifying the most “popular” comments, but the 4-6 that are most significant to the applicant that will help them get to the next scoring level.
* Also, stress to the examiners the importance of documentation of their work in Scorebook Navigator, including Rationale of comments used and not used, Notes, and Scoring Rationale.
* Prior to the Consensus Calls, each item should be reviewed at least three times: first by the team lead and/or seniors, second by the item back up, and third by the full team.
* Key Themes should be assigned to one of the most experienced examiners on the team. Key Themes (KT) capture observations that recur throughout the scorebook, across processes and results. KTs address high-level, crosscutting strengths and OFIs, and are often found in bolded comments. Review “What is a Key Theme?” for more details on KTs.
 |

# **Consensus Review (CR): Week 6**

|  |
| --- |
| DELIVERABLES |
| 1. Team Lead and/or Seniors/Fellow review all CR Worksheets and provide feedback in Scorebook Navigator
2. Item backups provide feedback to item leads in Scorebook Navigator
3. Item lead incorporates R-1 feedback and completes 2nd draft of CR worksheet(s)
 |
| RESOURCES - Materials can be found in MS Teams |
| * Comment and Scoring Checklist for Item Backups
 |
| NOTES |
| * Not all feedback that examiners receive from the team will always be incorporated. Set ground rules for addressing feedback that is not used. For example, have the examiners summarize the feedback and provide a rationale for not using it in the notes section.
* If you have experienced Seniors or a Fellow on your team, you can have them help you with the R-1 feedback. Depending on time, you can either have them review all items, or split the scorebook up between you.
* As you leave feedback for the examiners, try to be as constructive as possible. Ideally, your feedback should help the examiner to learn and develop their ability to write comments, synthesize IR inputs, etc. During this review, focus more on the content of the comments than grammar.
 |

# **Consensus Review (CR):** **Week 7**

|  |
| --- |
| DELIVERABLES |
| 1. First draft of Key Themes posted for team review
2. All Examiners review (R2) and provide feedback on all 17 CR worksheets and Key Themes
 |
| NOTES |
| * Not all feedback that examiners receive from the team will always be incorporated. Set ground rules for addressing feedback that is not used. For example, have the examiners summarize the feedback and provide a rationale for not using it in the notes section.
* At this point, Key Themes can be very informal/bulleted. Be sure to include references to the different areas that support each Key Theme (for example, 4.1a(2) STR).
 |

# **Consensus Review: Week 8**

|  |
| --- |
| DELIVERABLES |
| 1. Item Leads incorporate all feedback into CR worksheet from R-2
2. Team holds planning call – Consensus Script Preparation
	1. Review Agenda
	2. Review Consensus Script
3. Item Leads prepare their Consensus Script for the Consensus Call(s) and upload into MS Teams
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Consensus Script template
* Sample Consensus Script
 |
| NOTES |
| * During the planning call, explain to the team how to complete a consensus script. Examiners do not need to read aloud the criteria for each Item or every comment, but instead should focus on a summary of this information. You may even tell them to only include the “nugget” of each proposed comments.
* Use the call to set expectations of the Consensus call. For example, by the time the call comes around, each examiner should have reviewed all CR Items and provided feedback. There shouldn’t be anything surprising by the time we get to the Consensus Call.
* Review the roles for Consensus again. Remind backups that they should be taking detailed notes while the Item Lead is presenting.
* Items all examiners should have during Consensus Calls: Phone and charger, water and snacks, Scorebook Navigator, Criteria, Application, method to take notes.
* Discuss call etiquette: using mute when not speaking, ensuring the call has your undivided attention, and using the chat function to provide feedback if necessary.
* Ask the team to make you aware of any items they anticipate may have issues. You can either address this prior to the call, or plan for an extended discussion that may need more time than other items.
* TIP: As the examiners develop their Consensus Scripts, encourage them to begin thinking about supporting documentation to request, individuals to interview, and potential questions to ask during site visit. This will help complete the SVI Worksheets in the coming weeks.
 |

# **Consensus Review: Week 9**

|  |
| --- |
| DELIVERABLES |
| 1. First Consensus Call – Mandatory
2. Second Consensus Call – Mandatory (if necessary)
3. Item Leads revise Consensus Items after calls
4. Connect with Official Point of Contact to start discussing Site Visit logistics
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Scoring History Worksheet
 |
| NOTES |
| * Team Lead notifies CCE of score at the end of Consensus. If your applicant is clearly high scoring, you can notify CCE even earlier. If applicants are low scoring, they have the right to decline site visit.
* Typically, once Consensus Calls are complete, the Team Lead begins coordinating site visit details with the applicant’s official point of contact (OPC). If you do not have much time in your schedule between completing Consensus and Site Visit, contact CCE to discuss whether you can contact the OPC sooner. The OPC must be contacted no later than three weeks prior to site visit.
* Document requests must be provided to the OPC 2 weeks prior to site visit. As the team lead, you will have a good idea about documents that the team will need to review, especially updated results. So, although the team is working on their SVIs, you can provide a list to the OPC now and send an updated one later if needed.
 |

# **Site Visit Prep: Week 10**

|  |
| --- |
| DELIVERABLES |
| 1. Site Visit Planning between Team Lead and OPC
2. Team Conference Call – Site Visit Issue (SVI) Worksheets & Document Prep discussion
3. Item Leads upload 1st draft of SVI Worksheets into MS Teams
4. Provide OPC with an initial document request list
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Site Visit Schedule
* Site Visit Issue Worksheet
* List of Items Needed for Site Visit
 |
| NOTES |
| * As you work with the OPC on the site visit schedule:
* Each category interview should be schedule for 1.5 to 2 hours
* Include a meeting time with the Highest Ranking Official to complete Due Diligence Form (typically immediately before/after opening meeting)
* Ask if there are any special events, like a Board Meeting, happening during the site visit that the team can participate in
* Make sure there is enough time for the team to caucus each day on site
* Schedule a few minutes at the end of each day to meet with the OPC to discuss any changes to review the next day’s schedule and make any needed changes, request additional documents, etc.
* Have them schedule time with each of the applicant’s category champions for follow up interviews
* Remind them that each examiner team will need an employee to walk around with them during walk-around questions
* Notify of any dietary restrictions
* Discuss the opening meeting with the applicant. You will be presenting a brief overview of the evaluation process. They will have an opportunity to welcome the examination team with a presentation (not to exceed 1 hour). Their presentation may include the story of their organization’s business model, their success story, best practices, previous feedback and how that was used, etc. The examiners will have the opportunity to ask any questions that they may have during the opening meeting, but they are typically more general questions about the organization; more specific questions will be addressed during Category interviews.
* Ask the OPC about the company culture’s dress attire and pass information along to the team.
* SVI Tips: examiners should have around 3 SVIs per category; all comments must be verified and clarified on site; examiners can request demos of software, dashboards, etc.; leverage any meeting that the applicant has already scheduled
 |

# **Site Visit Prep Week: 11**

|  |
| --- |
| DELIVERABLES |
| 1. Team Lead finalizes Site Visit Schedule with OPC
2. Item Backups provide feedback on SVI worksheets in MS Teams
3. Team Site Visit Planning Call
4. Item Leads revise SVI worksheets in MS Teams
 |
| RESOURCES - Materials can be found in MS Teams |
| * Sample Site Visit Schedule
* Sample Walk-Around Questions
 |
| NOTES |
|  |

# **Site Visit Prep: Week 12**

|  |
| --- |
| DELIVERABLES |
| 1. Team reviews SVI worksheets and provide feedback in MS Teams
2. Item Lead revises SVI worksheets to incorporate feedback
3. Team Lead submits final document request to OPC
4. Team Lead completes Site Visit Opening Slides
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Site Visit Opening Slides
 |

# **Site Visit On-Site: Week 13**

|  |
| --- |
| DELIVERABLES |
| 1. Team participates in Site Visit
2. At the end of the Site Visit, the team will have a compete Site Visit Scorebook
	1. Each examiner will demonstrate that they agree with the content of the scorebook via signature
3. Team Lead sends final Site Visit Scorebook to Lead Judge
4. All SVI Worksheets have been completed and closed
5. Scorekeeper updates Scoring History Sheet
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Team Sign-Off Sheet
* Interview Log
* Document Log
* Due Diligence Form
* Judges Meeting Slides
* Interview and Walk-Around Target Numbers
 |
| NOTES |
| * While on site, examiners must always be in groups of two or more. Groups must always be accompanied, except while the team is in the dedicated work room.
* If there is an emergency and an examiner needs to leave site visit, contact CCE immediately.
* Examiners are not permitted to receive any gifts from the applicant, no matter how small.
* All materials and documents provided by the applicant must be logged upon receipt and returned by the end of site visit.
* Sunday Meeting before Site Visit begins: review the schedule for the week; review any documents provided by the applicant; set the room up for walk-the-wall; explain the walk-the-wall process and set expectations for how often this should be completed; select first round of walk-around questions; log any additional documents or interviews to request; finalize questions for category interviews; provide brief refresher to team about category interview and walk around questions
* Walking the Wall: this should happen at least once a day. Examiners should post updates to their Items every day.
* Reviewing documents: examiners are not reading for content, just to confirm that the document exists as described in the application
* The team should caucus as often as possible. If you are having lunch in the on-site team room, this is a good time for the team to debrief one another, as well as in the hotel team room immediately after returning from site.
* Interviews and Walk-Around Questions: Examiners can ask of employees, volunteers, BOD members, and any person with a formal role in the organization; they cannot ask patients/family, students/parents; customers; suppliers/partners/collaborators. At the start of an interview, introduce yourself by first name from the CAPE Site Visit team; ask their name and position with the organization; explain their responses will be anonymous; explain that there are no right answers to your questions – they are intended to help understand their organization better; let them know that if you cut them off, it is only because there is limited time, not out of rudeness. Have interviewees complete the interview log. Ask questions using the applicant’s language, not Baldrige. Do not ask leading questions. Always end interviews by asking interviewee if there is anything they would like to add, and by thanking them for their time.
* If the organization is open longer than normal business hours, a group of examiners will need to conduct walk-around questions during all shifts.
* During site visit, contact your Lead Judge to keep them aware of the status of site visit, and discuss any areas of concern.
* If you have time, you may want to begin working on the Judges Meeting Slides while you are on site. Or you may be able to assign the Judges Slides to one of the more experienced examiners on your team.
 |

# **Post Site Visit: Week 14**

|  |
| --- |
| DELIVERABLES |
| 1. Team Lead provides final Site Visit Scorebook to Lead Judge
2. Lead Judge provides feedback on the Site Visit Scorebook to Team Lead; Team Lead incorporates feedback received from Lead Judge (repeat as many times as needed)
3. Once Scorebook is final, Lead Judge provides materials to CCE: Final Feedback Report, Judges Meeting Slides, Completed Due Diligence Form, Site Visit Summary and Signature Page, Scoring History, Interview Sign-in Sheets
4. Team Lead presents at the CAPE Judges Meeting
5. Judges Panel decides on final award level for all applicants and submits to CCE Board of Directors for ratification
6. Team Lead incorporates any feedback from Judges Meeting into Feedback Report and submits final version to CCE
7. CCE announces award recipients and award levels
 |
| RESOURCES - Materials can be found in MS Teams  |
| * Judges meeting presentation template
 |
| NOTES |
| * Make sure you save all documentation in MS Teams, including SVIs. You may need them for revisions, or if you are requested to participate in an Executive Briefing.
* Judges Meeting: The meeting is attended by the CCE Chair, CAPE Chair, CCE Director of Operations, and the entire Panel of Judges. Team Leads are welcome to present in person, but typically opt to participate by phone. It is up to the Team Lead if they would like to invite an additional representative from the team to the meeting – typically, this would be a Fellow or experienced Senior Examiner. Each team is allocated 1 hour: 20 minutes for the Team Lead to review the presentation, and 40 minutes for Q&A. There is always a possibility that the Judges may have a follow-up question later in the day, so make sure you are available (as much as possible).
* As you are finalizing the Feedback Report, try to have maintain a single voice throughout. We want to avoid choppiness from category to category.
 |