

# 2019 CAPE Examiner Training Prework Instructions

The purposes of this prework assignment are (1) to prepare you for a successful training 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 up to 25 hours to complete. If you do not complete the assignment, you will not be allowed to participate in the training course. Prework will be reviewed by training facilitators and used throughout the training during team exercises.**

**PART ONE: Download the following resources from the [CAPE Examiner Training website](#):**

- 1. 2019 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. LifeBridge Case Study:** This is a sample Baldrige Award application showing a fictitious organization's responses to the requirements of the Baldrige Excellence Framework.
- 3. 2019 CAPE Prework Scorebook:** The scorebook will be used to capture all of your work for the prework assignment. The Partial Key Factors Worksheet can be found within the Prework Scorebook.
- 4. Sample Process Item 5.1 Worksheet**
- 5. Sample Results 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 Lindsey at (858) 486-0400 or [lindsey@calexcellence.org](mailto:lindsey@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. Criteria for Performance Excellence Overview and Structure – page 1
  - d. Criteria for Performance Excellence (includes Organizational Profile, and Process and Results Items) – pages 4 through 28
  - e. Scoring System – page 29
  - f. Scoring Guidelines – page 32 for Process Items and page 33 for Results Items
  - g. Glossary of Key Terms (includes all terms in SMALL CAPS in the Criteria and scoring guidelines) – page 46



**PART THREE: Complete your Key Factors Worksheet**

- 1. Materials you will need:**
  - a. Lifebridge Case Study
  - b. Baldrige Excellence Framework
  - c. 2019 Prework Scorebook (includes Partial Key Factors Worksheet)
- 2. Read the requirements of the Organizational Profile, beginning on page 4 of the Baldrige Excellence Framework.**
- 3. Review the Partial Key Factors Worksheet.** The key factors worksheet is partially completed, please use this worksheet to complete the rest of the key factors for the case study.

**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 not 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 keep examiners grounded in what is meaningful to the applicant. When examiners write feedback comments (Part 5), 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 LifeBridge 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 LifeBridge Organizational Profile (beginning on page i of the case study).** As you read, highlight or underline anything that may be a key factor, including tables and charts.
5. **Complete the Key Factors Worksheet (page 2 of your Prewrite Scorebook).** Type in the areas of importance that you underlined or highlighted into the corresponding sections of the Key Factors Worksheet. For example:

### LifeBridge Case Study

#### P.1 Organizational Description

##### P.1a Organizational Environment

**P.1a(1)** For more than 25 years, LOTS has served as the regional organ and tissue procurement organization (OPO) for 3.2 million people living within a federally assigned territory inclusive of 62 counties located within the states of North Takoma (NT) and South Takoma (ST). From its founding goal to assist in the coordination of organ donations, LOTS has grown to become a multifaceted, nonprofit organization dedicated to saving and improving lives (*Figure P.1-1*). Located in Columbia, NT, LOTS is one of the 58 federally designated organizations of its kind in the United States.



### Prewrite Scorebook

#### Key Factors Worksheet

##### P.1 Organizational Description

##### a. Organizational Environment

##### (1) Product Offerings

- Organ and tissue organization serving 62 counties within North and South Takoma for more than 25 years. Located in Columbia, NT. One of 58 federally designated organizations.

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*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.*

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## Part FOUR: Item Evaluation Process

Now that your Key Factors Worksheet is completed, you will move on to your evaluation of **Items 2.1, 6.1, 7.3, and 7.4**. Complete the following steps for each item:

- 1. Materials you will need:**
  - a. Lifebridge Case Study
  - b. Baldrige Excellence Framework
  - c. 2019 Prewrite Scorebook
- 2. Read the Baldrige Criteria item to ground yourself in the item requirements.** For example, during your review of Item 2.1, you will review page 10, “2.1 Strategy” 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 Prewrite Scorebook. Here is an example of what the Key Factors may look like in a completed Item Worksheet:

Item Worksheet - Item 5.1	
List the 4 – 6 most significant key factors (KFs) for this item	
<ol style="list-style-type: none"><li>1. Mission: Clothing our customers for a fit life and delighting them, always Vision: Be the #1 Internet-preferred activewear and shoe resource in the nation Values: Fun, Innovative, Team-based, Healthy, Agile, Balanced, Integrity, Timely, and Service Culture of performance excellence</li><li>2. Workforce by Job Category (%/Minimum Educational Requirement by Job Category): Call Center (28%, High School Diploma); Warehouse and Fulfillment (36%, High School Diploma); Corporate Administrative (18%, Bachelor Degree); Marketing/Sales (4%, Associate or Bachelor Degree); Purchasing (3%, Associate or Bachelor Degree); IT (6%, Bachelor Degree); Operations Support (Bachelor Degree or Certification) Tenure: 1 year or less (11%); 1-2 years (25%); 3-5 years (18%); 6-10 years (27%); more than 10 years (19%) Ethnicity: Black (42%); White (38%); Hispanic (11%); Asian (6%); Other (3%)</li><li>3. Call Center Engagement Factors: Teamwork, recognition, pride in work, opportunity to grow Warehouse and Fulfillment Engagement Factors: Communication, teamwork, recognition, pride in work Corporate Administrative, Marketing/Sales, Purchasing Engagement Factors: Communication, teamwork, recognition, opportunity to grow IT and Operations Support Engagement Factors: Professional development/Technical training, communication, recognition</li><li>4. Business – Superior customer service (SA1); Innovative reverse product identification and capture process (SA2); Operations – FIT platform (SA3); Focus on continuous improvements (SA4); ISO 9001:2015 certification and ISO/IEC 27001 compliance; Societal Responsibilities – HEALTH (Health, Exercise, Attitude, Training, and Healing) comprehensive portfolio (SA6); Workforce – Highly engaged team members (SA7)</li><li>5. Business – Emerging competitors and mergers (SC1); Cyber security (SC2); Maintaining an adequate profit margin (SC3); Operations – Current warehouse space/inventory constraints (SC4); Maintaining and securing robust inventory selection (SC5); Societal Responsibilities – Changing customer demands and expectations (SC6); Workforce – Retaining skilled team members in competitive boutique athlete market (SC7)</li></ol>	

- 4. Analyze the application item.** Now that you have your list of Key Factors, you will move on to evaluate the applicant’s responses to the Item’s criteria. As you read through the applicant’s responses in the LifeBridge Case study, compare them to the criteria in the Baldrige Framework. Identify the processes or approach the applicant uses to meet item requirements, as well as deployment, learning, and integration of those approaches (see



Appendix for definitions of approach, deployment, learning, and integration). For example, in 2.1a, begin by reading the Criteria for 2.1a and then read the applicant’s responses for 2.1a:

**2.1 Strategy Development: How do you develop your strategy? (45 pts.)**

**a. Strategy Development PROCESS**

- (1) **Strategic Planning PROCESS** HOW do you conduct your strategic planning? What are the KEY PROCESS steps? Who are the KEY participants? What are your short- and longer-term planning horizons? HOW are they addressed in the planning PROCESS? HOW does your strategic planning PROCESS address the potential need for
  - transformational change and prioritization of change initiatives; and
  - organizational agility, including operational flexibility?
- (2) **INNOVATION** HOW does your strategy development PROCESS stimulate and incorporate INNOVATION? HOW do you identify STRATEGIC OPPORTUNITIES? HOW do you decide which STRATEGIC OPPORTUNITIES are INTELLIGENT RISKS to pursue? What are your KEY STRATEGIC OPPORTUNITIES?
- (3) **Strategy Considerations** HOW do you collect and analyze relevant data and develop information for your strategic planning PROCESS? In this collection and ANALYSIS, HOW do you include these KEY elements of risk?
  - Your STRATEGIC CHALLENGES and STRATEGIC ADVANTAGES
  - Potential changes in your regulatory and external business environment
  - Potential blind spots in your strategic planning PROCESS and information
  - Your ability to execute the strategic plan
- (4) **WORK SYSTEMS and CORE COMPETENCIES** HOW do you decide which KEY COMPETENCIES and the CORE COMPETENCIES of potential suppliers and PARTNERS? HOW do you make WORK SYSTEM decisions that facilitate the accomplishment of your strategic plan? HOW do you determine what future organizational CORE COMPETENCIES and

PROCESS

**Category 2: Strategy**

**2.1 Strategy Development**

**2.1a Strategy Development Process**

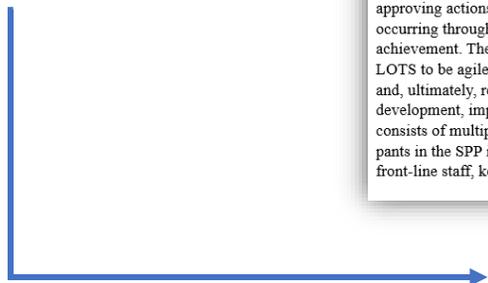
**2.1a(1)** Through cycles of learning, the focus of strategic planning evolved from a process based on defining and approving actions to support the budget, to the systematic SPP occurring throughout the year, supported by APs and goal achievement. The OPO business ecosystem is one that requires LOTS to be agile to ensure its ability to meet customer and, ultimately, recipient needs. The SPP involves strategic development, implementation, and discussions, each of which consists of multiple steps (Figure 2.1-1). Currently, participants in the SPP include the LT, BOD members, customers, front-line staff, key partners, and key suppliers.

Both the BOD and LT focus on a strategic time frame; short-term targets and objectives are to be met in one year, and long-term targets and objectives are set for two years. In step 4 of the SPP, focused strategic discussions address the performance projections for the one- and two-year time horizons established for key metrics.

Any changes and/or prioritization of change or improvement initiatives are identified and evaluated within the SPP (Figure 2.1-1). LOTS capitalizes on its agility achieved through the Organizational Structure (Figure 1.2-2) to utilize a continuous SPP (Figure 2.1-1), which has seen learning and improvements. The LT participates in strategic discussions (SDs) that take place during leadership and work system meetings, creating consistency across the SPP. During these SDs,

**Baldridge Framework, Item 2.1a**

**LifeBridge Case Study, Item 2.1a**



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

For each strength or OFI identified:

- Select the relevant Key Factor(s) from your 4-6 Key Factors (identified in Part 4, Step 3) 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 labeled “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 labeled “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 of this document for an in-depth description of these evaluation factors. Once you have identified the relative evaluation 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:

Relevant KF	++	Strength	Evidence	A	D	L	I	Item Ref.
3		Applicant uses a 7-Step Capability & Capacity Planning Model, integrated with the SPP, to assess workforce needs.	Process integrated with the phases of the SPP and allow the People Team to evaluate the current state of the workforce, forecast future state, review forecast against benchmarks, and develop plans to close gaps between current and future states. The process is reviewed annually and has been through cycles of refinement, such as the addition of the benchmarking step in 2013.	X	X	X	X	a(1)

**PART FIVE: Draft one strength and one OFI comment.**

Once you’ve identified “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 labeled “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.
<b>Nugget</b> (criteria language):	It is unclear how Applicant ensures it benefits from the diversity of its workforce.	a(1)
<b>Evidence</b> (from the application):	There is no process to evaluate the effectiveness of its focus on hiring for a diverse workforce.	
<b>Relevance</b> (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).	
<b>Done!</b>		

*Tip: Applicants have feelings, too! Try to keep your comments, especially the relevance statement, positive. For example, a strength may support a core competency or strategic advantage, and an OFI may help the applicant maintain market share or improve workforce engagement.*

**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 32 for Process Items, and page 33 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 labeled "Scoring" on your Item Worksheet. You may also include any notes that may remind you of your scoring rationale here.

## Appendix: Process Item 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)?

## Appendix: Results Item 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?