APO Centre of Excellence for Business Excellence

BUSINESS EXCELLENCE ASSESSOR TRAINING MANUAL

Trainer Guide

Acknowledgements

The APO-COE for Business Excellence thank the Baldrige Performance Excellence Program and acknowledge the use of the 2010 Examiner Preparation Trainer Guide, Baldrige Performance Excellence Program at the National Institute of Standards and Technology in Gaithersburg, MD

Contents

Getting Started

About this Guide

Purpose of Guide

This document guides Trainers in conducting the **Business Excellence Assessor Training.**

Contents of Guide

This Trainer guide contains:

- the training delivery sequence
- checklists of necessary materials
- presentation of key points to cover
- instructions for managing exercises, case study & learning activities,
- Trainer Role and Expectations

About this Guide

Role and expectations of the Trainer

Trainer role is to:

- Allow assessors to discover the key aspects of the content
- Provide feedback and support that will guide and begin to build assessor competencies
- Help assessors to reflect and become aware of what they have experienced, observed and learned.

Trainers will:

- listen actively, ask open-ended questions
- initiate, draw out and guide the assessors' discovery
- ask thought-provoking questions
- listen for and make connections between comments, exercises, and content from one day to another to reinforce key aspects of the content and critical learning points,
- be non-judgmental,
- create and maintain a constructive learning environment that respects a variety of learning styles,
- develop and balance participation in the group to maintain assessor engagement.

Required Materials

- 2009-2010 Criteria for Performance Excellence
- 2008 Novel Connect Case Study
- Pre-work for assigned Criteria Items
- Comment Guidelines

Trainer Preparation

Be familiar with the entire case study and the pre-work assigned and with the responses to the pre-work assigned.

About this Guide

Prepare for the training

1. Read through the entire training materials and understand the content.
2. Understand the structure: objectives, timing, materials needed, the learning method and desired outcomes.
3. Develop anecdotes and examples to help assessors connect learning points to real-world scenarios.
4. Know the topic thoroughly to answer the assessors' questions and guide them towards problem-solving and skill development.

Ground Rules for Learning in a Group

Remind participants that learning is a social process of mutual support and learning. In playing their role as assessors they will take an active role in own learning by sharing information and viewpoints. They would also take an active role in helping team members acquire new knowledge and develop skills.

Ask:

What support do you need from your fellow participants and what support will you be able to provide them?

What do you want/what will you provide pre work?

How will you honour and manage time expectations?

Allow participants to add additional wants and needs.

Training Schedule

DAY 1

Time	Module	Description
10 min	**1. Course Objectives**	The Trainer will present course objectives.and review Day 1 agenda.
20 min	**2. Assessor Competencies**	The Trainer will lead participants through the assessor competencies.
1.5 hours	**3. Business Excellence Framework**	The Trainer will highlight two widely used business excellence models, the core values underpinning the business excellence framework, the criteria requirements and the scoring system.
30 min	**4. Independent Review Process**	The Trainer will provide an overview of the Independent Review or Desk-top assessment process and lead into the 6-Step Evaluation Process.
30 min	**5. Introduction to the 6-Step Evaluation Process**	Trainer will discuss key concepts and help participants arrive at a shared understanding of the 6 steps.
60 min	**6. Identifying Key Factors – Exercise 1**	The Trainer will guide participants in understanding Key Factors. Trainer will organise groups for Exercise 1 on identifying the key factors from the case-study.
2.5 hours	**7. Evaluating Process Item – Exercise 2:**	The Trainer will lead discussion on the differences between Process and Results Items. Trainer will organise groups for Exercise 2. Each group will be assigned a **Process Item** to evaluate. They will guide themselves through the 6 steps and write 1-3 feedback ready comments that add value to the applicant. Comments will adhere to Comment Writing Guidelines. The Trainer will observe table discussions to clarify issues, answer questions and reinforce content. There will be a group report out at the end of the exercise in the form of presentations by each group.
15 min	**Closing**	The Trainer will review Day 1 and introduce Agenda for Day 2.

DAY 2

Time	Module	Description
15 min	**Opening**	The Trainer will discuss questions and review the Agenda for Day 2
3 hours	**7. Evaluating Results Item – Exercise 3:**	Each group will be assigned a **Results Item** to evaluate. The members of the group will guide themselves through the 6 steps leveraging on their knowledge and experience. Participants will write 1-3 feedback ready comments that add value to the applicant and align with the Comment Writing Guidelines. The Trainer will observe table discussions and reinforce content, clarify issues and answer questions. There will be a group report out at the end of the exercise – in the form of presentations by each group.
3 hours	**8. Evaluating Process Item – Exercise 4: (Individual)**	Each group will receive a **Process** Item they have not reviewed previously. The Participants will work independently applying the 6-Step process to the assigned Item. The Trainer will observe table discussions and reinforce content, clarify issues and answer questions Feedback on the two comments will be provided in pairs.
15 min	**Closing**	The Trainer will review Day 2 and introduce Agenda for Day 3.

DAY 3

Time	Module	Description
15 min	**Opening**	The Trainer will discuss questions and review the Agenda for Day 3
2.5 hours	**9. Identifying Key Themes – Exercise 5**	Trainer will discuss what key themes are and how these are identified. Participants will review the case-study and identify 2 – 3 possible key themes and present to group.
2 hours	**10. Conducting Site Assessments**	Trainer will present key steps in conducting a site visit. Some of the key issues in conducting assessments will be discussed as part of shared learning.
1 hour	**11. Assessor Code of Conduct**	Trainer will take participants through the Assessor Code of Ethics. This will be followed by a discussion on concerns and issues pertaining to the code of ethics in practice.
1 hour	**Reflection & Closing**	Trainer will summarise the highlights of the 3 days and present the Certificate of Completion.

1. Course Objectives

Learning Objective

At the end of this module participants will be able to outline the objectives of the Business Excellence Assessor Training Course

Time

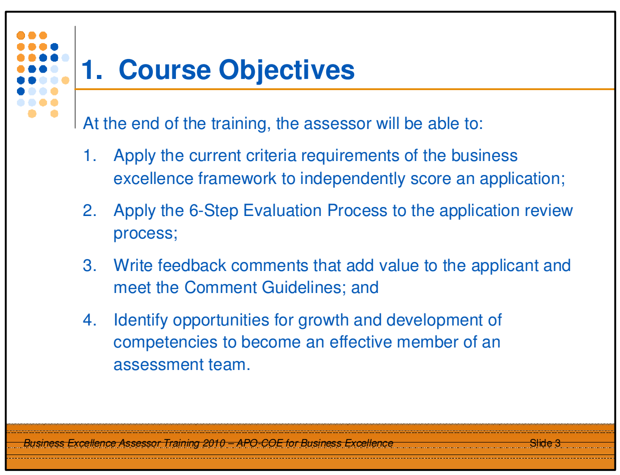
10 min

Course Objectives

Trainer will introduce the course objectives.

After completing Business Excellence Assessor Training Course, participants will be able to:

- Apply current Criteria requirements of the business excellence framework to independently score an application;
- Apply the 6-Step Evaluation Process to the application review process;
- Write feedback comments that add value to the applicant and meet the Comment Guidelines; and
- Identify opportunities for growth and development of competencies to become an effective member of an assessment team.



2. Assessor Competencies

Learning Objective

At the end of this module participants will be able to articulate the five core competencies required of a professional and competent assessor.

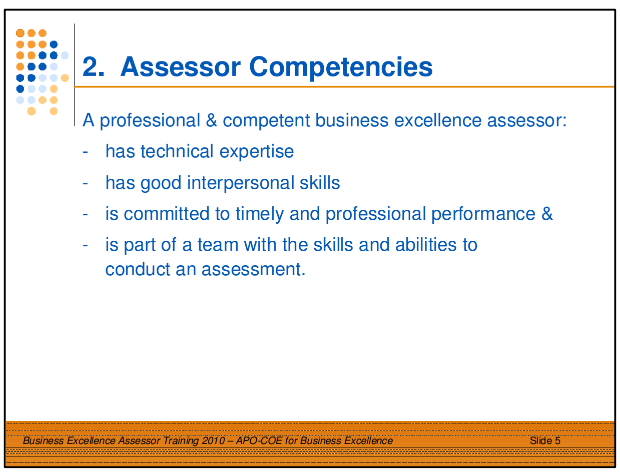
The Business Excellence Assessor Training Course is aimed at helping assessors develop these competencies.

Time

20 min

Assessor Competencies

Trainer will review the core competencies required of business excellence assessors. Trainer will inform participants that working through the exercises in the course will contribute to reinforcing some of the skills and knowledge required.



3. Business Excellence Framework

Learning Objectives

At the end of this module participants will be able to:

- Describe the value of the business excellence framework
- Highlight features of two widely used models
- Explain the core values underpinning the framework
- List the key requirements for each of the categories
- Describe the scoring dimensions and evaluation factors

Time

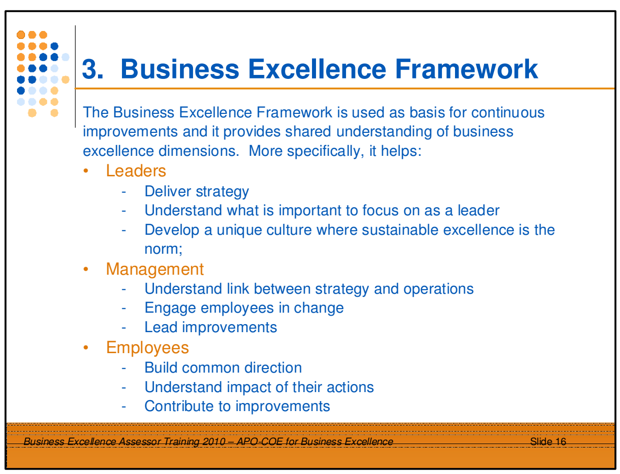
1.5 hours

Overview

The Trainer will lead the class through the values/benefits of the business excellence framework. Trainer will highlight two widely used business excellence models, the core values underpinning the business excellence framework, the criteria requirements and the scoring system.

Materials Needed

- Business Excellence Criteria Handbook
- Slides



4. Award Process & Independent Review

Learning Objectives

At the end of this module participants will be able to list the components in the Award Process and the steps in the Independent Review Process

Time

30 min

Overview

Start with the end in mind

Ask: What is the goal of the evaluation process when we are evaluating an Award application?

Response:

The goal is to provide important, relevant, and value-added feedback to the applicant.

Show a copy of a Feedback Report.

Ask: What do we mean when we say a comment is value added?

Response:

- Provides insight
- Benefit to reader is evident
- Reader -friendly

Let’s look at the components of the Award process and the steps in the Independent Review process. Show slides.

Your pre-work instructed you to use the 6-Step Process (or other appropriate process) in completing your Independent Review worksheet.

Reflect on your experience and share:

What are your observations as you went through the independent review?

5. 6-Step Process

Learning Objectives

At the end of this module participants will be able to:

- Outline the 6 steps of the Item evaluation process and link to the Independent Review
- Describe the focus of each of the six-steps

Time

30 min

Overview

Start with the end in mind

<u>Ask</u>: What is the goal of the evaluation process when we are evaluating an Award application?

<u>Response:</u>

The goal is to provide important, relevant, and value-added feedback to the applicant.

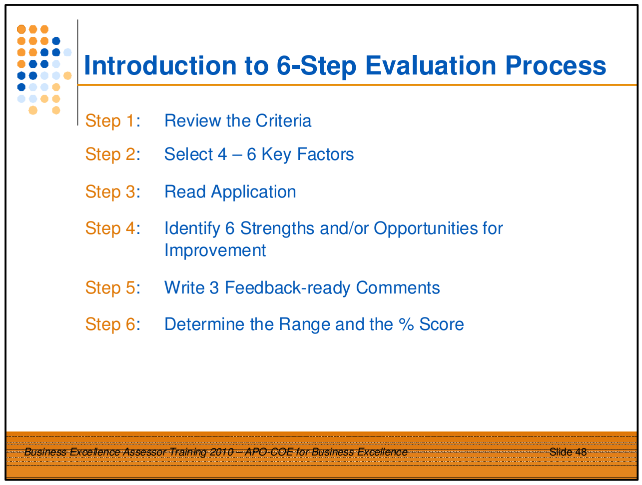
Show a copy of a Feedback Report.

<u>Ask</u>: What do we mean when we say a comment is value added?

<u>Response:</u>

- Provides insight
- Benefit to reader is evident
- Reader -friendly

Let's how the 6-Step Evaluation process guides us to this goal. Show slide.



Your pre-work instructed you to use the 6-Step Process (or other appropriate process) in completing your Independent Review worksheet. Reflect on your experience and share:

What did you observe as you went through the 6 steps?

What was your objective of using the evaluation approach?

How did this help you accomplish the task? How did it hinder you?

How did you cope with the hindrances?

How does the evaluation approach :

- Focus on a holistic view
- Focus on the outcome

Important Note

A pre-requisite to using the 6-Step Process is that you read the entire application and develop a master list of key factors before evaluating an Item.

The 6-Step Process is not linear. The chains in the center indicate that everything is linked. Learning something at one step requires you to go back to a previous step or forward to a future step

Exercises 1 and 2

We will go through the first exercise which is on identifying the initial list of key factors, which is part of your pre-work.

Next, we will walk through the six steps using your pre-work item. We will discuss each step and ask for examples from the class.

6. Identifying Key Factors – Exercise 1

Learning Objectives

At the end of this module participants will be able to:

- Explain what key factors are and how they help to focus the assessment
- Describe where key factors may be found in the application
- Identify key factors relevant to the applicant
- Provide examples and non-examples of key factors

Time

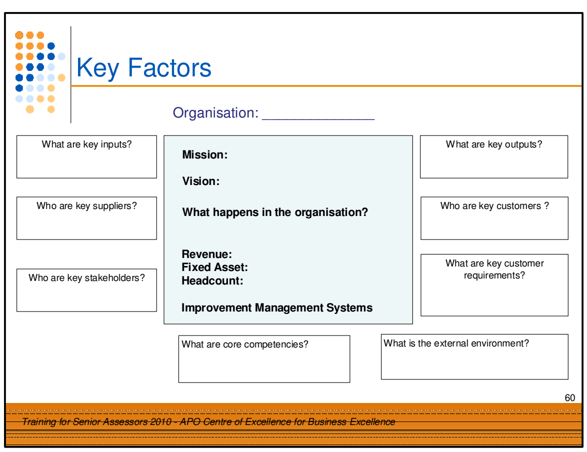
60 min

Overview

The Trainer will lead the class through a discussion on the key factors – defining it, and explaining where these may be found and the steps in developing the key factors. This is followed by a Group Exercise on identifying key factors based on the given case-study. As this would have been done as part of pre-work, participants will present the key factors that they have identified.

Materials Needed

- Novel Connect Case Study
- Criteria for Performance/Business Excellence
- Completed Pre-work
- Key Factors Worksheet
- Presentation slides



7. Evaluating Process Item – Exercise 2

Learning Objectives

At the end of this module participants will be able to:

- Gain a shared understanding of the 6-Step Process in evaluating a Process Item.
- Explain the key concepts of each of the 6 steps of the evaluation process.

Time

2.5 hours

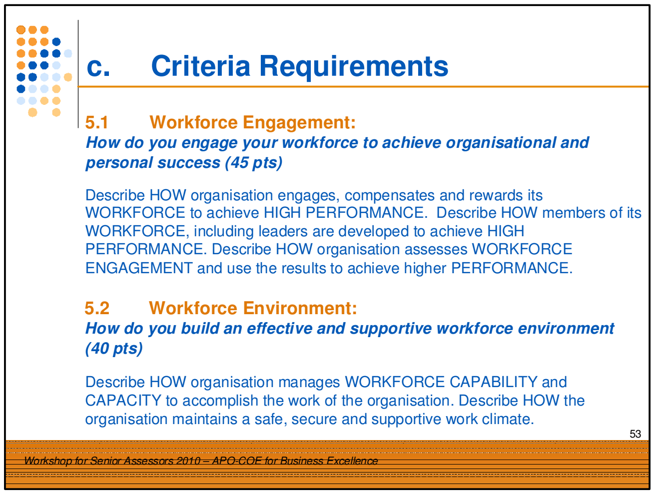
Overview

The Trainer will lead the class through each of the 6 steps conducting both a discussion of key concepts and reaching agreement on the contents of worksheet for Item 5.1.

Materials Needed

- Novel Connect Case Study
- Criteria for Performance/Business Excellence
- Completed Pre-work
- Comment Guidelines
- Slides for 6-Step Process
- Copy of a Feedback Report

Step 1 : Review the Criteria



Locate Item 5.1 in your Criteria booklet.

The focus of this step is to become grounded in the Criteria i.e. how this Item fits into the framework and relate to the other Categories.

<u>Ask:</u>

What do you understand by 'being grounded in the Criteria'?

How do you ground yourself?

Provide 10 minutes for the assessors to read Item 5.1 and Ask for volunteers to share thoughts.

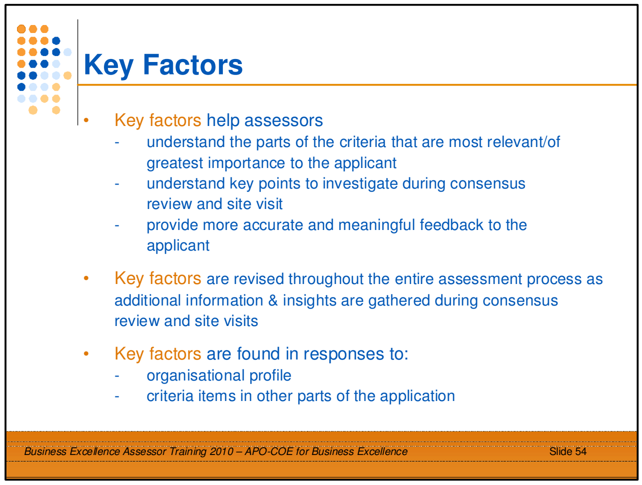
<u>Ask:</u>

How is this important to the applicant?

Ask participants to share their thoughts.

Step 2 : Select 4 - 6 Key Factors

Show slide



The focus of this step is to identify the interdependence of the key factors with the Criteria requirements and what we know about the applicant.

<u>Ask:</u>

What does the interdependence of the key factors with the Criteria and the applicant's response mean to you?

Ask for and write 4-6 key factors from their pre-work. Ask participant to select one.

Ask the class to identify how this key factor might influence the way the Applicant measures, analyses and improves organisational performance.

Ask a volunteer to pick another and explain why it is relevant and important to this Item.

Step 3 : Read the Application

The focus of this step is to develop insight into the Applicant's operations and their relationship to their key factors and the Criteria requirements

Let's analyse Applicant's responses to Item 5.1

Ask:

What does develop insight mean to you?

Allow assessors 10 minutes to read pp 17-19 in the Case Study.

Ask:

What insights did you discover that might be relevant, important, and meaningful to the applicant?

IMPORTANT NOTE

ADLI and LeTCI are an important part of diagnosis and providing the applicant with a better understanding of their success and their gaps.

In reading the Award application, assessors will apply their knowledge and comprehension of the evaluation factors. This should be done in the context of both the Item and the application as a whole.

Step 4 : Identify Around 6 Strengths and/or OFI's

Prior to beginning the Exercise

Divide two chart papers into 6 cells. Label one column Strengths and the other OFI's.

Label the left column Statement and the right column Evidence

The focus of this step is to capture your insights in the form of Strengths and Opportunities for Improvement or OFI's and to support those insights with evidence.

In Step 4 we are going to continue to look at the Item as a whole and to Identify and document around six strengths and OFIs, and their accompanying evidence.

- Strengths and OFIs should be aligned with Criteria requirements and relevant and important to the Applicant.
- Each strength and OFI will contain a brief statement and be followed by the evidence supporting this statement.

Review the insights you noted in Step 3.

Ask for a volunteer to share an insight into a strength you discovered and the supporting evidence

Step 4 : Identify Around 6 Strengths and/or OFI's, continued

Ask for a volunteer to share an insight into an opportunity for improvement and the supporting evidence

Ask:

Are these the most relevant and important feedback ideas for the Applicant? Why or why not?

What else would you add? What would you delete?

IMPORTANT NOTE

Reinforce that statements and evidence should be brief, concise, and clear. Clarify that this is not at the comment writing step yet.

Step 5 : Write 2 Feedback-ready Comments

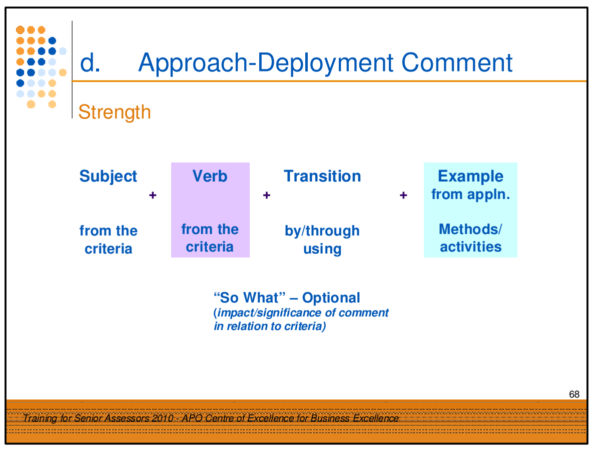
We are now ready to write feedback-ready comment for one strength and one OFI.

The focus of this step is to convert the value add that you have identified to a narrative sentence.

We have recommended an approach to comment writing that looks like this:

Criteria language + applicant response + so what

We want you to try different ways to organise your thoughts so that they are effective in communicating your insight and readily understandable to the reader



Exercise Instructions

Each table should select a discussion leader and a recorder. Tables 1,3,5 will write a Strength comment (Depending on grouping).

- Select a Strength from among the statements generated in Step 4.
- Write a comment that conveys your insight and why it is important.
- Use the Comment Guidelines to ensure the comment is feedback ready.

Tables will record their comment on the flip chart.

Step 5 : Write 2 Feedback-ready Comments

Tables 2,4,6 will write an OFI comment. (Depending on Grouping).

- Select an OFI from among the statements generated in Step 4.
- Use the Comment Guidelines to ensure the comment is feedback ready.

Tables will record their comment on the flip chart.

Trainer Report Out

Ask:

What are your observations from this exercise?

What did you learn about skills and knowledge?

Solicit 1 or 2 responses to each question.

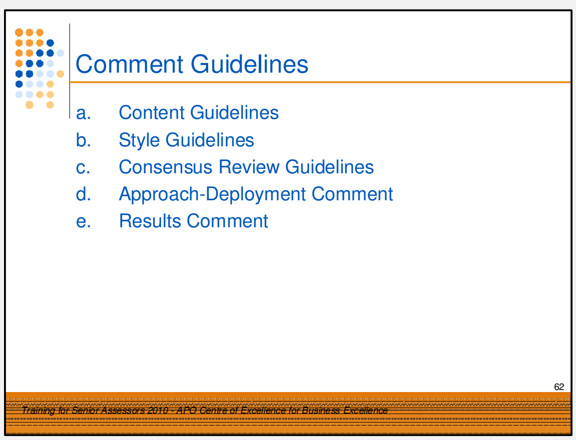
IMPORTANT NOTE

Look for clarity in the comments. Refer to Comment Guidelines.

Can you identify the main topic?

Do they include enough information to support the insight?

Will the reader know why it is important?



Step 6 : Determine the Range and the% Score

The intent of this step is to find the most descriptive scoring range for this Item given the importance to the applicant, the Criteria requirements, and the key factors.

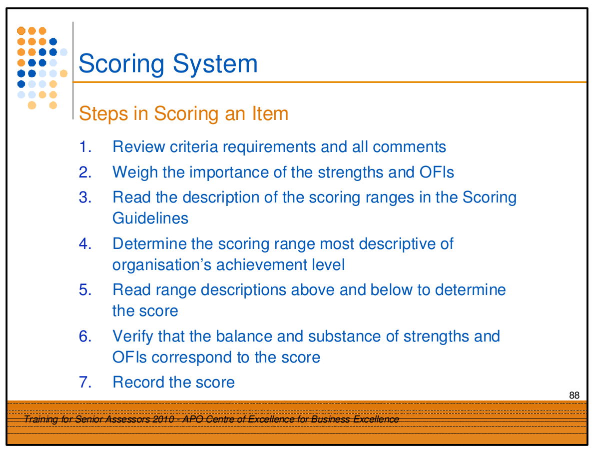
Ask:

What does "most descriptive" mean to you?

What are the challenges of finding the most descriptive scoring range?

What strategies do you use to address these challenges?

Given the statements and evidence we prepared in Step 4 and the two feedback ready comments in Step 4, we will now determine the scoring range and the % score for Item 5.1.



Comment Guidelines

Content Guidelines	**Do** • Address your comments to the basic, overall, or multiple Criteria requirements that are most important to the applicant. • Write a unified, coherent, well-developed comment to provide value to the applicant. Include a topic sentence to express the main point of the comment, followed by concisely written evidence that develops the main idea in greater detail. *(Hint: Reach a conclusion and write it first, moving from generalization to support.)* • Include factual supporting detail. Ask yourself, “What examples can I provide from the applicant’s response to clarify the strength or opportunity?” Include figure numbers in comments, as appropriate. You do not, however, need to construct an exhaustive list of every method described by the applicant that is related to your conclusion. • Use the evaluation factors (approach, deployment, learning, and integration [ADLI] or levels, trends, comparisons, and integration [LeTCI]) to clearly articulate the areas of strength or to provide insights that will help the applicant improve overall organizational effectiveness and capabilities. • Draw linkages across Items or between an Item and the applicant’s Organizational Profile. • Ensure that the comment does not contradict other comments in the same Item or other Items or in the Key Themes Worksheet. **Do not** • Go beyond the requirements of the Criteria or assert your personal opinions. • Be prescriptive by using “could,” “should,” or “would.” • Be judgmental by using terms such as “good,” “bad,” or “inadequate.” • Comment on the applicant’s style of writing or data presentation.

<table>
<tr><td>Style Guidelines</td><td>Do
• Use a polite, professional, and positive tone.
• Use active voice (e.g., “completes” rather than “is completed”) and present tense.
• Use vocabulary/phraseology from the Criteria and the Scoring Guidelines.
• Describe what is missing if something “is not clear.”
• Use “the applicant” (which will be replaced with the actual name in the final product) and generic terms such as “the organisation,” “the hospital,” or “the school district” to avoid repetition in comments.
• Use the applicant’s terminology when appropriate.
Do not
• “Parrot” the application or the Criteria. Provide only enough language to add clarity—seek to add value rather than restate information.
• Use jargon or acronyms unless they are used by the applicant.</td></tr>
<tr><td>Consensus Review Worksheet Guidelines</td><td>Do
• Include four to six key factors based on the Criteria requirements for the Item. These will differ depending on the Item. Include only the relevant portion of the key factor (e.g., one or two of the strategic challenges rather than all strategic challenges).
• Include a total of around six comments per Item that are most relevant and important to the applicant based on its key factors and its maturity level as seen in the evaluation factors (ADLI or LeTCI).
• Ensure that the Item’s score is supported by the comments.
• Place the comment on the correct Consensus Review Worksheet based on the Criteria, not on where the information appears in the application.
• Place the comments on the Consensus Review Worksheet in the order of importance to the applicant, not necessarily in Criteria order.</td></tr>
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Presentation & Reflection

Goal

The purpose of this module is to obtain a shared understanding of the 6-Step evaluation through presentations by each group and to reinforce the day's work through reflection.
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Time

30 minutes

Overview

A representative from each group will summarise the outcome of the evaluation exercise. Assessors will reflect on their experience (both what they did and what they observed). They will reflect on what they learned, how they might apply it to their evaluation when they receive their Award application report.

Thinking about your experiences today, reflect on

What did I learn?

What are my strengths?

What do I need to do differently?

What are my development and growth opportunities?

What questions do I need answered.

What are my next steps?

Day 1 Wrap Up

Goal

The purpose of this module is to review the exercises and activities and prepare for Day 2.

Time

15 minutes

Overview

The Trainer will cover announcements, assignments etc

Day 1 Recap

Day 2 Preview

Instructions

Day Two Opening

Goal

Trainer will revisit any outstanding questions or thoughts from the day before and preview Day 2 agenda.

Time

15 minutes

Overview

The Trainer will discuss questions and review the Agenda

Questions from the Previous Day

- Show the Day 2 Agenda slide.
- Review Agenda

Post the flip chart in the back of the room and ask assessors to use post-it notes to share their thoughts on the concept.

8. Evaluating Results Item – Exercise 3

Learning Objectives

At the end of this module participants will be able to:

- Gain a shared understanding of the 6-Step Process in evaluating a Results Item.
- Explain the key concepts of each of the 6 steps of the evaluation process.

Time

3 hours

Overview

Each table will evaluate a Results Item. The Trainer will reiterate the differences between Process and Results Items. The members of the table will guide themselves through the 6 Steps.

The Trainer will observe table discussions to clarify issues, answer questions and reinforce content. There will be a group report out at the end of the exercise in the form of presentations by each group.

Materials Needed

- Table assignments Slide
- Criteria for Performance/Business Excellence
- Case study
- Pre-work relevant to assigned Item
- Comment Guidelines

Identify your table's assigned Item and your feedback assignment.

IMPORTANT NOTE

During the practice sessions, Trainers should circulate and observe the groups work. Encourage participation by all assessors and ask for their inputs e.g. on linkages or information on gaps from the Items they evaluated.

Make notes of your observations relative to each step.

- Were the Criteria they addressed the most important for this type of organisation? sector?
- Were the Key Factors they used relevant and important to the Criteria and the case study? Or were they non-specific, e.g. all locations? Or too general, e.g. M-V-V?
- Were the responses they focused on relevant to the Key Factors and the Criteria? Or were they commenting on "wow" factors?
- How did they select around 6 strengths and OFI's? Did they reflect insight? Or did they parrot the applicant's response?
- Were the feedback ready comments clear? Concise? Coherent? Did they tell the applicant something new? Helpful? Important?

If the group appears to be reverting to old habits, e.g. looking at the Criteria by requirement or looking at A-D-L-I individually, intervene and ask a thought provoking question that will help them refocus on the holistic approach.

Step 1: Review the Criteria

Locate Item 7.4 in your Criteria booklet.

A – Ground yourself in the Criteria.

B – Select a discussion leader, recorder and presenter.

C – Restate the key points in your own language.

D – Discuss how they might influence your eventual evaluation of this Item.

Capture on a flip chart:

Step 2: Select 4-6 key factors using the pre-work that assessors completed (15 min)

Pick one and discuss how this key factor might influence case-study's operations in this Item

Record each of the key factors on chart paper.

Capture on a flip chart:

Step 3: Read the application (15 min)

Ask: What insights did you discover that might be relevant, important, and meaningful to the applicant?

Ask assessors who did another Category for pre-work what connections they saw to the Items they evaluated for pre work?

Discussion (10 min)

Are they important? Why or why not?

What is missing that is important to the applicant?

Step 4: Identify and document around 6 strengths and OFIs, with their accompanying evidence

Review insights and connections in Step 3 and the evidence that supports them.

Write a brief statement for the most important strengths and OFI's.

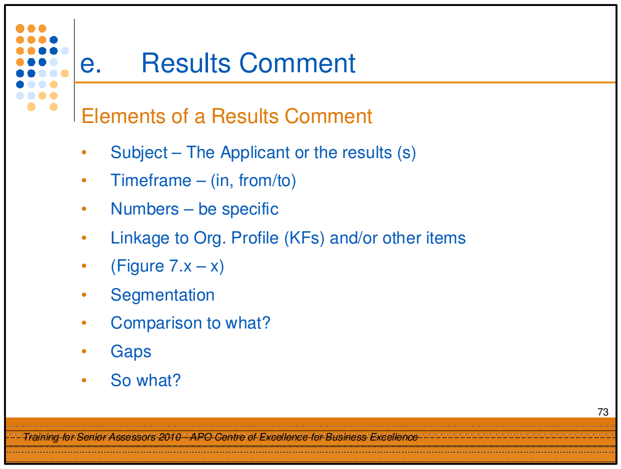
Provide supporting evidence for each statement.

Record the 6 statements and supporting evidence on chart paper.

Capture on a flip chart:

Step 5: Write 2 feedback ready comments

Write one feedback ready comment for a strength and one for an OFI. Try different ways to organise your thoughts so that they are effective in communicating your insight and readily understandable to the reader.



Capture on a flip chart:

Step 6: Determine the Range and the % Score

Using the appropriate Scoring Guidelines, Process or Results, select the most descriptive range.

How well do the descriptors align with the statements and Comments.

Why is this range the most descriptive range?

Capture on a flip chart:

Trainer Report Out

Provide feedback on what you observed among the tables.

Make notes of your observations relative to each step.

- Were the Criteria they addressed the most important for this type of organisation? sector?
- Were the Key Factors they used relevant and important to the Criteria and the case-study? Or were they non specific, e.g. all locations? Or too general, e.g. M-V-V?
- Were the responses they focused on relevant to the Key Factors and the Criteria? Or were they commenting on "wow" factors?
- How did they select around 6 strengths and OFI's? Did they reflect insight? Or did they parrot the applicant's response?
- Were the feedback ready comments clear? Concise? Coherent? Did they tell the applicant something new? Helpful? Important?

9. Evaluating Process Item – Exercise 4

Learning Objectives

At the end of this module participants will be able to work independently to gain understanding of the 6-Step Process in evaluating a different Criteria item (Process)

Time

2.5 hours

Overview

Each group will receive an Item they have not reviewed previously. The participant will work independently applying the 6-Step process to the assigned Item. The Trainer will observe table discussions to clarify issues, answer questions and reinforce content. There will be a group report out at the end of the exercise in the form of presentations by each group.

Feedback on the comments will be provided in pairs.

Materials Needed

- Table assignments
- Criteria for Performance/Business Excellence
- Case study
- Comment Guidelines

Step 1: Review the Criteria (10 min)

Locate Item 3.1 in your Criteria booklet.

A. Ground yourself in the Criteria.

C. Restate the key points in your own language.

D. Consider how they might influence your eventual evaluation of this Item

Step 2: Select 4-6 key factors (10 min)

Pick one and consider how this key factor might influence organisation's operations in this Item.

Record the key factors on the Worksheet template.

Step 3: Read the application

What insights did you discover that might be relevant, important, and meaningful to the applicant?

Step 4: Identify and document around six strengths and OFIs, with their accompanying evidence

Review the evidence presented and the gaps identified.

Write a headline statement for the most important strengths and OFI's.

Provide supporting evidence for each statement.

Record the 6 statements and supporting evidence.

Step 5: Write two feedback ready comments

Write a feedback ready comment for one strength and one OFI.

Try different ways to organize your thoughts so that they are effective in communicating your insight and easily understood by the reader

Step 6: Determine the Range and the % Score

Using the appropriate Scoring Guidelines, Process or Results, select the most descriptive range.

Why is this the most descriptive range?

Paired Feedback

Share your comments with an assessor at your table.

Consider:

- Are these the most relevant and important Criteria requirements and why?
- Are these the most relevant and important key factors and why?
- Are these the most relevant and important feedback for the applicant and why?
- Are the comments reflective of the individual IR worksheets?

Use the Comment Writing Guidelines to review your partner's comments and make notes for feedback.

Read the comment as if you were the applicant. Would you understand:

- the comment?
- why it is important?
- how to improve as an organization ?

Based on your review, provide constructive feedback to your partner.

- What did they do well?
- What could they do better?

Presentation & Reflection

Goal

The purpose of this part of the training is to obtain a shared understanding of the 6-Step evaluation through presentations by each group and to reinforce the day's work through reflection.
.

Time

30 minutes

Overview

Participants will reflect on their experience (both what they did and what they observed). They will reflect on what they learned, how they might apply it to their evaluation of an Award application report.

Thinking about your experiences today, reflect on

What did I learn?

What are my strengths?

What do I need to do differently?

What are my development and growth opportunities?

What are my next steps?

Trainer Report Out

Compare the comments selected by each table. Were they similar or different? How did they handle the similar ones? Why did they choose the comment?

Listen for relevance and importance to the applicant (cite the linkage) and/or to the Criteria; a best practice or a significant vulnerability; a key driver of the Scoring Range and/or %Score.

Closing

Goal

The purpose of this section is to review Day 2 activities and prepare for Day 3.

Time

15 minutes

Overview

The Trainer will cover announcements and address issues and thoughts, preview Day 3 agenda and provide instructions, if any, for Day 3.

Day 3 Opening

Goal

Trainer will revisit any outstanding questions or thoughts from Day 2 and preview Day 3 agenda.

Time

15 min

Overview

The Trainer will discuss questions and review the Agenda.

Recap Day 2

Preview Day 3

10. Identifying Key Themes – Exercise 5

Learning Objectives

At the end of this module participants will be able to:

- Define and explain key themes
- Outline the steps in developing key themes
- Describe the sources of key themes e.g. using Core Values, Approach-deployment items and Results Items
- Provide examples and non-examples of key themes
- Develop key themes for a given case-study

Time

2 hours

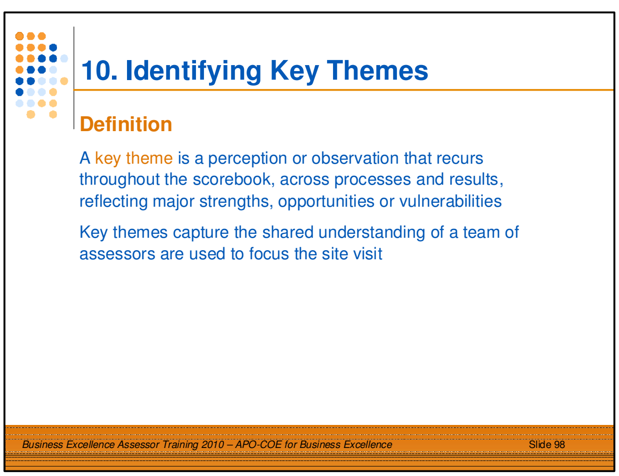
Overview

Trainer will provide an overview of the definition of key themes and how these are developed using Approach-Deployment Items, Results Items and Core Values

Participants will work with the case study from the pre-work and based on the evaluation exercises, develop a set of key themes relevant to the applicant organisation.

Materials Needed

- Case-study
- Evaluation of applicant
- Presentation slides



Guidelines:

Participants will:

- Organise worksheet into 4 sections to address the following (a) process strengths (b) process opportunities (c) results strengths and (d) results opportunities
- Write complete sentences that adhere to the Comment Guidelines
- Include robust evidence that adds clarity and value for applicants without parroting the application

Each group to capture on flip-chart.

Group representative to make a presentation.

Trainer Report Out

Provide feedback on presentations.

- Do the key themes address high-level strengths or opportunities for improvement?
- Are the key themes significant in terms of applicant's key factors?
- Are the key themes cross-cutting (i.e. common to more than one Item or Category?
- Do the key themes address a core value?

11. Conducting Site Assessments

Learning Objectives

At the end of this module participants will be able to:

- Explain the objectives of conducting site assessments.
- Outline the steps in conducting site assessments
- Describe the types of evidence obtained from site assessments
- Explain the challenges in conducting site assessments
- Describe the factors for an effective site assessment

Time

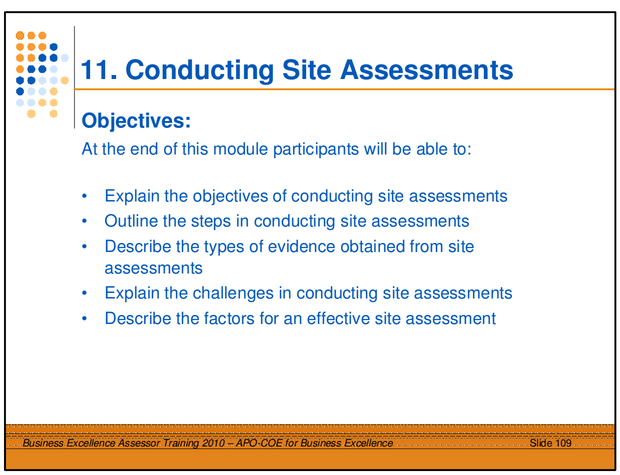
2 hours

Overview

Trainers will lead participants through the various phases of conducting site assessments. Trainers will relate this to the core competency of gathering evidence and to understand the organisation being assessed to be able to take an overall view of its performance.

Materials Needed

- Presentation slides



Discussion

Ask assessors:

- What is the objective of a site visit/assessment?
- What types of evidence may be obtained from a site assessment?
- What are the factors critical for an effective or successful site assessment/site visit
- What are the challenges and issues in conducting site assessments?

12. Assessor Code of Conduct

Learning Objectives

At the end of this module participants will be able to:

- List the four principles guiding ethical conduct during an assessment
- Explain each of the principles that guide assessors in committing to high standards of ethical conduct

Time

1 hour

Overview

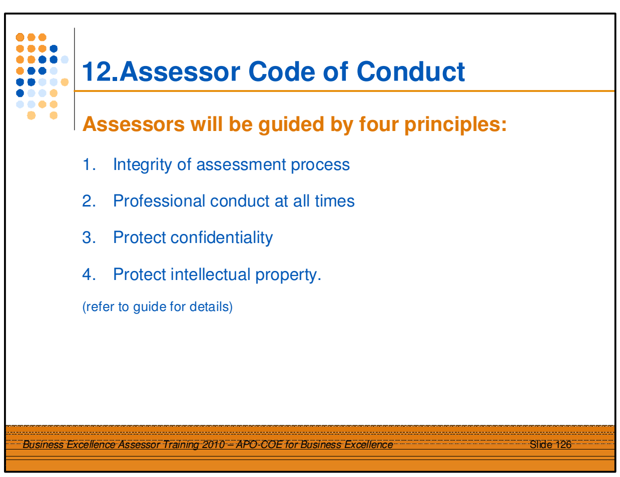
Participants will review the Code of Ethical Conduct (as exemplified by the Baldrige Code of Ethical Conduct in this case).

The four principles guiding ethical conduct are:

1. Integrity
2. Professional Conduct
3. Confidentiality
4. Respect for Intellectual Property

Materials Needed

- Code of Ethical Conduct



Code of Ethical Conduct

Members of the Malcolm Baldrige National Quality Award Board of Examiners 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, which establishes the Malcolm Baldrige National Quality Award.

Board members will be guided by four principles: **integrity, professional conduct, confidentiality, and respect for intellectual property**. In promoting high standards of public service and ethical conduct, they will

- conduct themselves professionally, guided by truth, accuracy, fairness, respect, and responsibility in all their interactions
- avoid 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 Award
- safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- protect confidential information and avoid disclosures that may in any way influence the Award integrity or process, currently or in the future
- not serve any private or special interest in their fulfillment of the duties of a Judge or Examiner, therefore excluding by definition the examination of any organization or subunit of an organization that employs them or has a consulting arrangement in effect or anticipated with them
- not serve as Examiners of a primary competitor or customer or supplier of any organization (or subunit of an organization) that employs them, that they have a financial interest in, or with which they anticipate a consulting arrangement, or are otherwise involved
- not intentionally communicate false or misleading information that may compromise the integrity of the Award process or decisions therein
- make it clear, when establishing links from their own Web sites to the NIST or BNQP Web sites, that users will be taken to the official NIST Web sites
- 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 a statement indicating the trademark is registered by the National Institute of Standards and Technology
- never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship, and, if approached by an organization they have evaluated, not accept employment from that organization for a period of five years after the evaluation
- maintain and safeguard fairness in the examination process and the confidentiality of all Award application information, including the identity of applicants
- treat as confidential all information about the applicant and the applicant's operation gained through the evaluation process, and take the following precautions:
    - Applicant information is not discussed with anyone, including other Examiners, with the exception of designated team members, Judges, the Award Administrator, and NIST representatives. This includes information contained in the written application, as well as any additional information obtained during a site visit.
    - Names of applicants are not disclosed during or after the application review process.

  - No copies of application information are made or retained. (ASQ will notify Examiners when to return materials.)
  - No notes, written or electronic, pertaining to the application are retained. (ASQ will notify Examiners when to destroy all notes.)
  - Applicant-specific information can be discussed via cellular phone, cordless phone, and VoIP if authorized by the applicant. However, applicant names are not used within print or discussions.
  - Electronic exchanges are only through an encrypted, secure Web site designated by NIST.
  - No applicant information is adapted and/or used subsequent to the review process, unless the information is publicly released by the applicant (at the annual Quest for Excellence Conference, for example).
  - Examiners do not reveal or discuss with other Examiners, either during training or during the application review phases, their participation with an organization in the preparation of an Award application.

- during Independent Review, personally and independently evaluate and score all assigned applications
- during Independent and Consensus Reviews, not communicate with applicant organization, or in any manner seek additional documentation, information, or clarification about the applicant's organization. This restriction includes Internet searches. At Site Visit Review, the site visit Team Leader will communicate with the applicant.
- during the entire evaluation cycle use only applicant-specific information provided by the applicant. Not at anytime use independently gathered information on the applicant, e.g. from the press, web sites, or other social media.
- not at anytime (during or after the evaluation cycle) independently give feedback to applicants regarding scoring or overall performance
- upon completion of the Examiner Preparation Course, be able to use the following designation: Examiner, Malcolm Baldrige National Quality Award (MBNQA), and year(s) served. However, board members may not use the MBNQA logo in advertising or promotion or use business cards including the Examiner designation or the MBNQA logo.
- during the consensus and site visit processes, encourage and maintain a professional working environment that promotes respect for the Award applicants, their employees, and all members of the Examiner team
- when participating in a site visit, respect the climate, culture, and values of the organization being evaluated

Reflection & Closing

Goal

The purpose of this module is to:

- Reinforce the day’s work by reflecting: What did you learn? What are your strengths? What do you need to do differently or develop? What are your next steps? You might also ask yourself, what questions still need to be answered?
- Close the training session.

Time

1 hour

Overview

Assessors will reflect on their experience (both what they did and what they observed). They will reflect on what they learned, how they might apply it to their evaluation when they receive their Award application.

The Trainer will summarise the highlights of the 3 days and present the Assessor’s Certificate of Completion.

Close

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End