Baldrige 101:
Why Use the Baldrige Framework

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2010 Baldrige Recipient

Retired Superintendent
Pewaukee School District
2013 Recipient

Malcolm Baldrige
National
Quality
Award

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Agenda

- **Introductions**
- **Why – Why should I/my organization use the Baldrige Criteria?**
- **How – How do I leverage the Baldrige Framework & Studer Nine Principles® to improve?**
- **What are some application tips?**
- **Where can I learn more?**

Introductions

Please share:

1. Your name

2. Your organization, location & role in your organization

3. Your knowledge of Baldrige

The Pewaukee School District

- **K-12 Public School District**
- **Located outside Milwaukee, Wisconsin**
- **3000 Students; 400 Employees**
- **Proud to be a 2013 Baldrige Recipient**
- **Striving to go from Good to Great**
- **Changing landscape for education**
- **Needed a framework – something more than Strategic Planning**

Pewaukee's Performance Excellence Journey

- **Background – Began using Criteria in 2006**
  - **Strategic Planning since 1996**
  - **Stable Leadership with tenacity**

- **First application submitted at State Level in 2007**
  - **Received Site Visit & Grew from our Feedback Report**
  - **Submitted Again with Site Visits in 2009, 2010**
  - **Recipient of Wisconsin Forward Award in 2010**
- **Submitted at National Level in 2010**
  - **Received Feedback Report in 2010, 2012**
  - **Site Visit & Recipient in 2013**

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Let's Review the Basics & Begin with *What*:

What is Baldrige?

What is Performance Excellence?

An integrated, systems approach to organizational performance that results in:

- **Delivery of ever-improving value to customers and stakeholders, contributing to organizational sustainability**

- **Improvement of overall organizational effectiveness and capabilities**

- **Organizational & personal learning**

What is Baldrige?

- **Framework that defines & recognizes performance excellence at the highest level**
- **Presidential award through U.S. Dept. of Commerce began in 1987 by President Reagan**
- **Recognition of high performing organizations in:**
  - **Small business**
  - **Manufacturing**
  - **Health care**
  - **Education**
  - **Non-Profit**
  - **Service**

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The Baldrige Framework

The Baldrige Excellence Framework and Criteria for Performance Excellence:

- **Defines performance excellence with an integrated framework**

- **Tool for organizational assessment, based on validated management practices from high-performing organizations**

- **Applicants who seek feedback write a 50-page application, submit it to a team of Baldrige examiners for review & assessment, and then receive a feedback report**
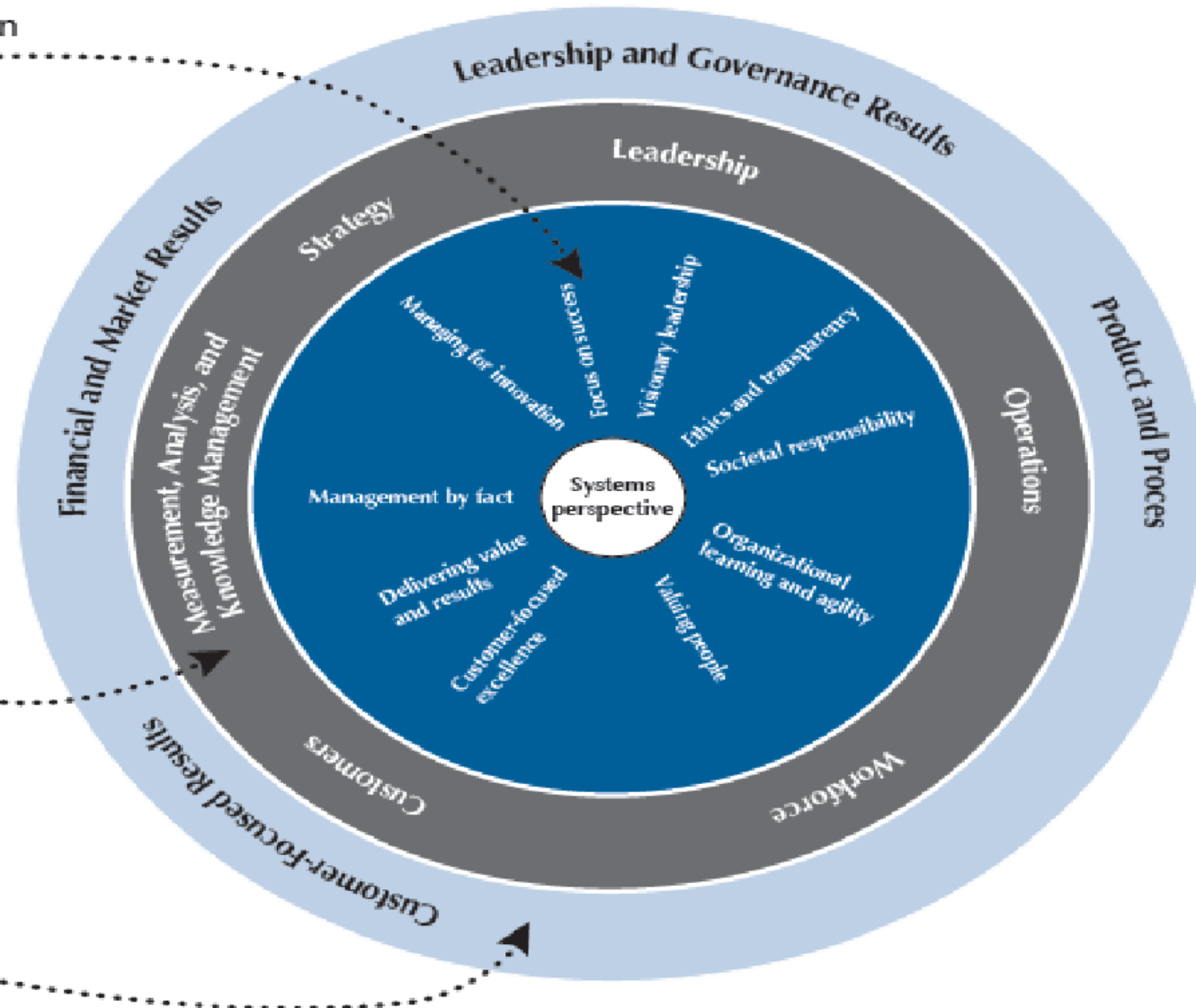
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The Framework – A Systems Perspective

Turn & Talk

Find a new friend and introduce yourself.

Discuss this question:

What is a Baldrige core value that positively impacts your work in your organization?

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The Criteria for Performance Excellence
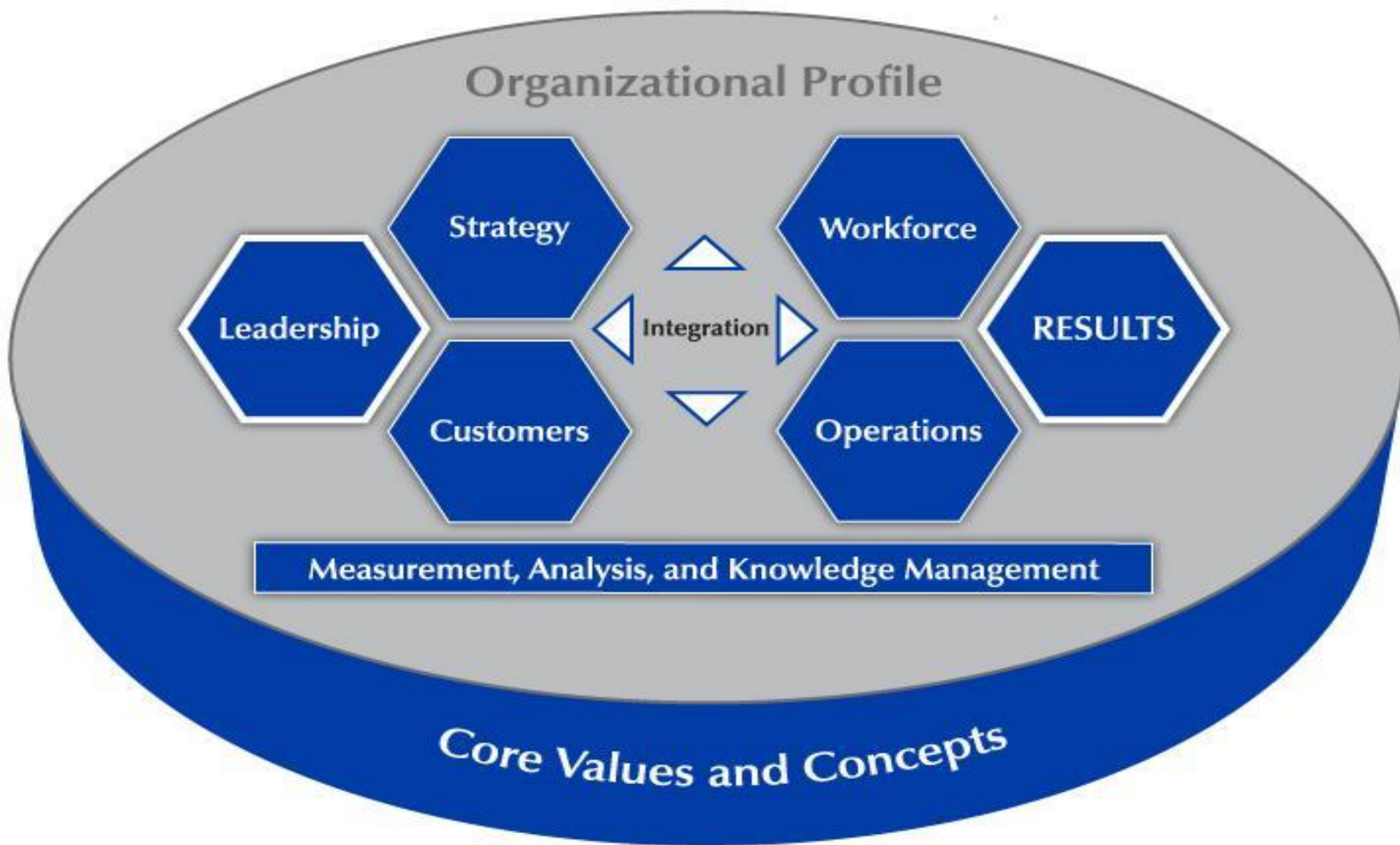
The Scoring Guide

Category #	Category	Point Value
1	Leadership	120
2	Strategy	85
3	Customers	85
4	Measurement, Analysis & Knowledge Management	90
5	Workforce	85
6	Operations	85
7	Results	450
	TOTAL	1000

Now that we know the What, Let's Talk about the

Why:

Why Use the Baldrige Criteria?

Why use the Baldrige Criteria?

- **Improve performance and achieve world-class results**

- **Use "the most cost-effective, value-added business audit available anywhere"**

- **Objectively clarify your organization's strengths and weaknesses**

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What Can the Baldrige Framework Do for Your Organization?

- **Jump-start change initiatives**

- **Energize improvement initiatives**

- **Enable a focus on common goals**

- **Assess performance against the competition**

- **Align resources with strategic objectives**

Baldrige Helps You Grow
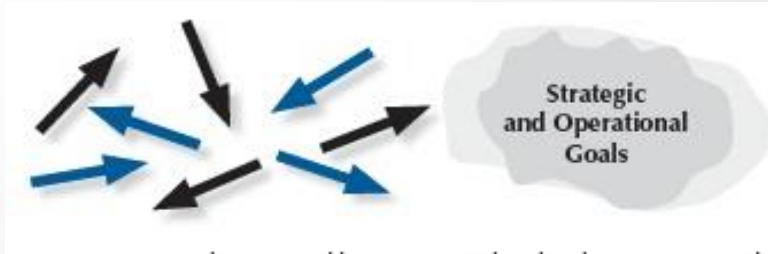
Reacting to Problems (0–25%)
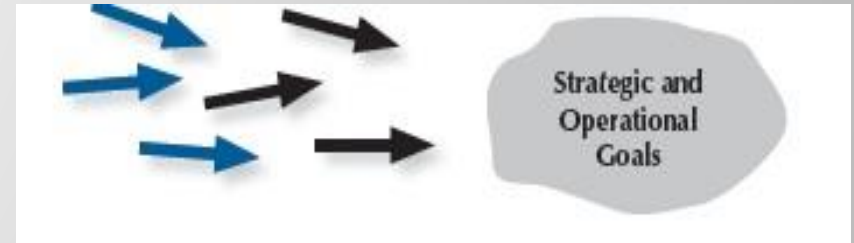
Early Systematic Approaches (30–45%)
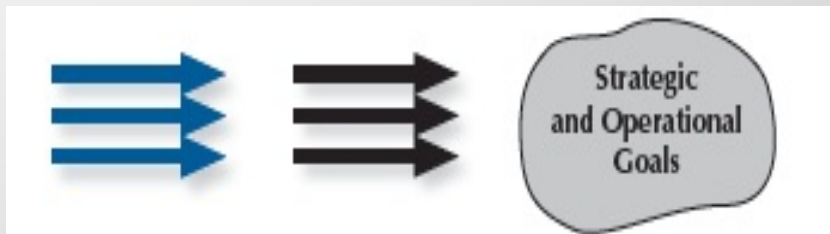
Aligned Approaches (50–65%)

Integrated Approaches (70–100%)

What stage is your organization at?
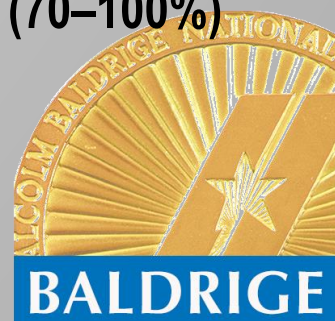
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Why Pursue Baldrige?

1. Are your processes consistently effective?
2. Do your approaches address your organization's key needs?
3. Are your results world class?
4. Is your organization learning, innovating and improving as effectively as you would like?

Can you answer these questions with a resounding YES?

If not, Baldrige is the answer!

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90 Second Turn & Talk

Please talk with a different person at your table

Discuss:

- **If you or your organization is investigating Baldrige, why? What do you feel it can do for you?**

- **If your organization is not, why might it be a good idea?**

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Let's Get to the "Meat" of the Workshop

How:

How do I use the Baldrige Criteria?

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How?
We'll Do this in 5 Parts

- **Prelude: A Self-Assessment**

- **Criteria Part One:** **Organizational Profile**

- **Criteria Part Two:** **Process Categories (Categories 1-6)**

- **Criteria Part Three:** **Results (Category 7)**

- **Using Your Feedback Report**

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Why Conduct a Self-Assessment?

- **Identify successes and opportunities for improvement**
- **Jump-start a change initiative**
- **Energize improvement initiatives**
- **Energize your workforce**
- **Focus your organization on common goals**
- **Assess performance against competition**
- **My reason? It gets you moving.**

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What Are Some Self-Assessment Tools?

- **Surveys:**
  - **Are We Making Progress?**
  - **Are We Making Progress as Leaders?**
  - **easyInsight**

- **Self-Assessments Using the Criteria**
  - **Write an Organizational Profile**
  - **Answer the Basic & Overall Questions**
  - **Write a full application**

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Getting to an On-Line Assessment Tool

- **Get on the Conference Wifi**
  - **Network: hhonors_meetings**
  - **Promo Code for Access: Bnans2017**

- **Google "Baldrige Are We Making Progress"**
  - **Open the NIST Baldrige site for Are We Making Progress**
  - **Open the pdf of Are We Making Progress**

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Activity: A <u>10-Minute</u> Stroll of the Self-Assessment Tools

For those who <u>HAVE NOT</u> conducted a Baldrige Self-Assessment, select a tool and begin answering the questions

For those that <u>HAVE</u> conducted a Baldrige Self-Assessment

Write a few details of a plan to use the Self-Assessment Tools in your organization:

☐ Who might use what tools?

☐ How can you leverage results to prompt action?

OR …. Try a different self-assessment tool

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Please take this survey:
Are We Making Progress?

https://huron.qualtrics.com/jfe/form/SV_1KSJRGh8hIOUCZD

PLEASE TAKE THIS SURVEY: ARE WE MAKING PROGRESS?

https://tinyurl.com/AreWeMakingProgressAsLeaders

Activity: A <u>10-Minute</u> Stroll of the Self-Assessment Tools

Let's De-brief……

What is one thing the self-assessment confirmed for you?

What is one thing the self-assessment revealed for you?

How might you use this tool in your organization?

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Getting to Know Yourself: The Organizational Profile

- *Most important questions in the Criteria*

- **Goal:**
  - **Define who you are, why you do and why**
  - **Identify what is important to you**
  - **Get to know your organization's strategic situation**

- **Two Parts:**
  - **P1: Organizational Description**
  - **P2: Organizational Situation**

- **No more than 5 pages in length**

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Organizational Profile
Why is it so important?

Internal (For you and your team):

- Road map for your organization
- Defines and drives consensus & sense of identity for your organization
- Provides a checklist for self-assessment process of the application

External (As an applicant):

- Sets the context for Baldrige examiners
- It's how they get to know you and give you the most meaningful, helpful feedback

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5 Minute Table Talk

- **Get out your Criteria Booklet and review the Organizational Profile questions in P1 and P2. Think about your organization.**

- **In groups of 2 or 3, chat with someone at your table (whom you do not work with) about:**

Why answering the Organizational Profile questions be a good thing to do?

What would be the easiest section to write?

What would be the most challenging to write?

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Writing an Organizational Profile

How We Wrote the Organizational Profile for the Pewaukee School District

- **Leaders were identified to write sections based on sector expertise**

- **Senior leaders used Leadership Week time to draft and review with Administrative Team**

- **Strategic Planning identified Strategic Challenges, Advantages & Core Competencies**

- **One person was responsible to edit & get it to 5 coherent & cohesive pages**

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Logistics: Tips on Writing an Organizational Profile

- **Take time to converse & talk through what is important in your organization. Reflect & get to know your organization better.**

- **Think hard about what each question is asking**

- **Rely on sector expertise in your organization**

- **At the end have one person edit for a unified voice**

- **The word "key" means "critical few" – pare down**

- **Less narrative, more tables & graphics**

- **Know that what you identify as important will be used by examiners as they review the entire application**

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Two Minute Reflection

In your organization, what would be the best way to draft an organizational profile?

- o **Who might write what? Who would draft the story? Who might format it for the application? Who might do the graphics/tables?**

- o **How might you find out answers to the questions you don't know the answer to?**

- o **When might you do it? Do you have teams & structures that might allow for the work to get done?**

- o **How long do you think it will take?**

- o **What are your next steps?**

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Key Process Category Ideas

- **The Process Categories (Categories 1-6) ask, "*How do you run your organization*?"**

- **Lots of WHY and HOW questions**

- **Processes are the linked activities with the purpose of producing a program or service for a customer (user) within or outside your organization**

- **Processes often have steps**

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What are the Process Categories?

- **Category One: Leadership**
- **Category Two: Strategy**
- **Category Three: Customers**
- **Category Four: Measurement, Analysis & Knowledge Management**
- **Category Five: Workforce**
- **Category Six: Operations**

Each Category is broken into two sub-parts – each evaluated separately

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Digging in to the Process Categories

Category	Section	Section Title
Leadership	1.1	Senior Leadership
	1.2	Governance & Societal Responsibility
Strategy	2.1	Strategy Development
	2.2	Strategy Deployment
Customers	3.1	Voice of the Customer
	3.2	Customer Engagement
M A & KM	4.1	Measurement, Analysis & Organizational Performance
	4.2	Knowledge Management, Information and Information Technology
Workforce	5.1	Workforce Environment
	5.2	Workforce Engagement
Operations	6.1	Work Processes
	6.2	Operational Effectiveness

Basic, Overall & Multiple

It's key to understand the

- **Basic Question**
  - o **The most central key question being asked**

- **Overall Questions**
  - o **A few key distilled questions that embody the key features of the Section**

- **Multiple Questions**
  - o **Encompasses all the individual questions in the section / item to be addressed**

Scoring is determined based first on the concept of Basic, Overall and Multiple

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Getting to the Baldrige Excellence Builder

- **Get on the Conference Wifi**
  - **Network: xxxx**
  - **Promo Code for Access: xxx**

- **Google "Baldrige Excellence Builder"**
  - **Open the NIST Baldrige site Baldrige Excellence Builder**
  - **Open the Free Download**

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Digging into a Process Category - Activity

Find someone with the same number you have

- **Dig into the Category Section you have. Discuss the following:**
  - **What is the Basic Question of this section?**
  - **What is a sample Overall Question?**
  - **How is your section different than its Category counterpart (e.g. How is 1.1 different than 1.2)**
  - **What is additional helpful information in the Notes section?**

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Digging into the Process Categories

Card	Section	Section Title
A	1.1	Senior Leadership
B	1.2	Governance & Societal Responsibility
C	2.1	Strategy Development
D	2.2	Strategy Deployment
E	3.1	Voice of the Customer
F	3.2	Customer Engagement
G	4.1	Measurement, Analysis & Organizational Performance
H	4.2	Knowledge Management, Information and Information Technology
I	5.1	Workforce Environment
J	5.2	Workforce Engagement
K	6.1	Work Processes
L	6.2	Operational Effectiveness

You'll do a Section, not a whole Category (2.2 or 3.1)

Digging Deeper Into Process: ADLI

Processes are analyzed in four ways:

- **A = Approach**
  - **How do you do it? What are the steps in the process? Is it repeatable?**
- **D = Deployment**
  - **Who uses the process? Is your approach consistently applied across the organization?**
- **L = Learning**
  - **Do you refine your approach through systematic evaluation and improvement?**
- **I = Integration**
  - **Is your approach aligned with your organizational needs? How is it linked to other approaches & processes**

An ADLI Example
Employee Performance Review

- **A = Approach**

  Annual process with standardized tools

- **D = Deployment**

  For every employee at all facilities at all levels

- **L = Learning**

  The HR Director convenes the Workforce Team annually to review the process and implement improvements

- **I = Integration**

  Behavior standards connect with core values

  Link to key customer requirements

  Measured in the balanced scorecard

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Logistics: Learning about Process in your Organization

Identify process owners or process owner teams for each of the six categories. Interview about ADLI.

- **Approach**
  - How do you…? What are the steps?
- **Deployment**
  - Who's involved? Who uses? Who doesn't? How often?
- **Learning**
  - How has this been hardwired? Have we always done it this way? Why did we change the process?
- **Integration**
  - How do you judge effectiveness? What other parts of the organization does this process impact? How?

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An ADLI Chart

	Greatest Strength *(This process has solid....)*	Greatest Opportunity for Improvement *(We could get better with this process ...)*
Approach		
Deployment		
Learning		
Integration		

Three Minute Self-Reflection Activity

Think of all the Process Categories and what you just learned about ADLI

Think of which processes in your organization are strongest and where the greatest opportunities exist using ADLI

- **Where is approach the strongest?**
- **Where is deployment strongest?**
- **Where do you learn and analyze processes? Where don't you?**
- **Most importantly, where is integration evident & missing?**

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Things We Learned about Process

- **Most problems in organizations are due to not having a clear process owner – get "go to" people identified**

- **Identify key processes for your organization & address them in each category (systems, processes & tools was key for us – our "Schoolhouse" identified them**

- **We began with "fuzzy & warm" stories but got better at thinking process (not just examples) in steps and in graphic form – Draw key processes out in pictures (A)**
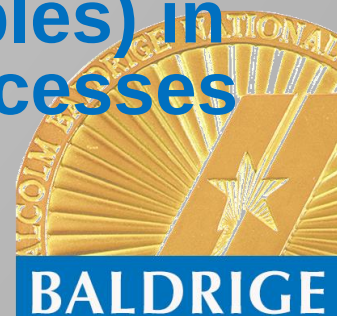
Things We Learned about Process

- **Most often, we think things are more well deployed than they are – look for gaps (D)**

- **If you don't calendar time to intentionally review the process it won't get done (L)**

- **Integration isn't easy to find – Converse about this at length. Seek linkages! (I)**

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Apply Our Learning: Let's Find ADLI in an Application

- **Read the text**

- **Label examples of ADLI that you find mentioned in the selection of the Baldrige application**

Writing for the Process Categories (1-6)

How We Wrote Categories 1-6:

- **Category Leads were identified and teams of 3-5 were formed for each category**

- **They wrote each category sections – aimed for 5 -7 pages per category**

- **Drafts were reviewed by the Administrative Team**

- **One person formatted the final application narrative**

- **Another person formatted the tables & graphs**

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Logistics: Tips on Writing Process Category Sections

- **Get to know what the Criteria is asking for each multiple question**

- **Less narrative, more tables & graphics**

- **Tables take up less space.**

- **Address ADLI in each small section**

- **Rely on sector expertise in your organization**

- **Examiners will look for results that you refer to in your Process sections**

- **Edit – while there are no rules, most Cat. 1-6 sections are no more than 37 pages**

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Key Results Category (Cat. 7) Ideas

- **The Results Category asks, "How is the organization performing?"**

- **Results are the outputs and outcomes achieved by the organization.**

- **Results are evaluated based on current performance relative to:**

  - **Performance relative to appropriate comparisons**

  - **The rate, breadth and importance of performance improvements**

  - **The relationship of results measures to key organizational performance requirements**

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What Results are in Category Seven?

- **Category 7.1: Product & Process Results***

- **Category 7.2: Customer-Focused Results**

- **Category 7.3: Workforce-Focused Results**

- **Category 7.4: Leadership & Governance Results**

- **Category 7.5: Financial & Market Results**

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Digging Deeper Into Results: LeTCI

Results are analyzed in four ways:

L = Levels What is your current performance?

T = Trends Are the results improving, staying the same or getting worse?

C = Comparisons How does your performance compare with others?

I = Integration Are you tracking important results? Are you using those results?

And don't forget segmentation!

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And Don't Forget Segmentation

In your Organizational Profile you identified:

- **Divisions or units in your organization**
- **Stakeholder groups**
- **Workforce segments**
- **Key market segments**
- **Key customer segments**
- **Partners & collaborators**
- **Competitors**

Do you show these segments in your key results?

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A LeTCI Example

Look at the Table from Pewaukee's Category 7.1 showing ACT scores

Can you see Levels, Trends, Comparables, & Integration?

What about segmentation?

What would improve this table?

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Twelfth Grade
Average Composite ACT Score

Good

Average Score

27
26.5
26
25.5
25
24.5
24
23.5
23
22.5
22
21.5
21
20.5
20

2002-03 2003-04 2004-05 2005-06 2006-07 2007-08 2008-09 2009-10 2010-11 2011-12 2012-13 2013-14*

School Year

◇ Pewaukee   ▲ County   ■ Aspiring Districts   ● State   ● National
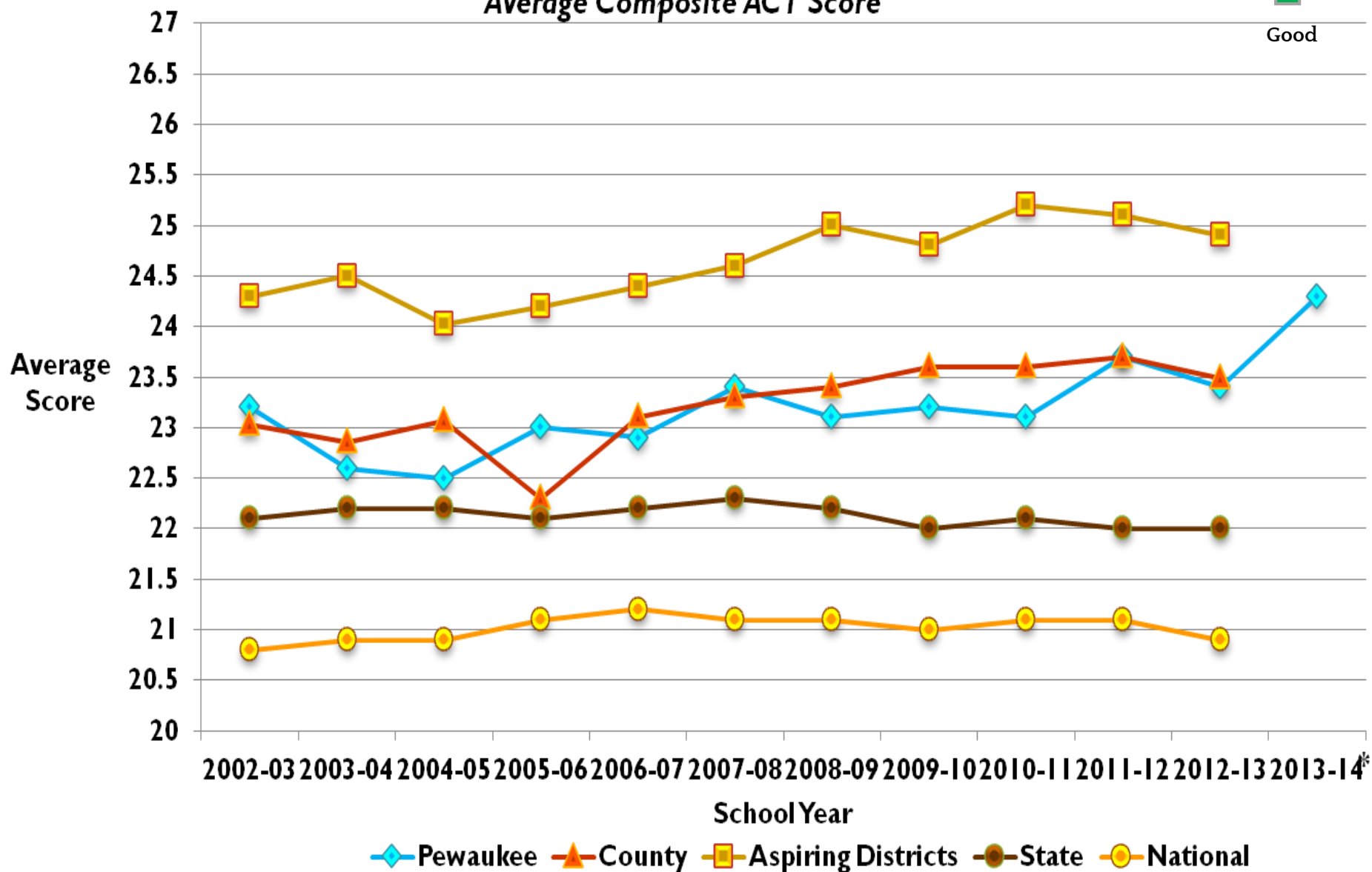
*Projected Average Composite Score, February 28, 2014

Goal: 24.5

Apply Our Learning:
Let's Find LeTCI in an Application

- **Read the sample application Results Section you have been given**

- **Label examples of LeTCI that you find mentioned in the selection of the Baldrige application**

- **Comment on the data display. What is effective? What might be improved?**

- **Do you see any segmentation?**

- **Is integration emphasized in the narrative?**

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Integration

Integration isn't shown in Category 7 in all the tables and charts you present

How do you show integration then?

Use the narrative surrounding the tables & charts to explain how the results presented relate to & support
- **Connections & linkages (trust me, it's not obvious)**
- **Mission, Vision & Values**
- **Core Competencies**
- **Address strategic advantages & challenges**

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Logistics: Learning about Results in your Organization

- **Develop a performance management system to identify and collect KEY data.**

- **Begin with an audit what you do collect by section.**

- **Think "key" – quantity is not necessarily quality**
  - **Key relates to requirements outlined in the Org. Profile**

- **Learn how display data so it's easy to analyze**

- **Analysis is more important than collecting – what you do with the data is more important than getting it or having it**
  But you have to start by obtaining it.

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Self-Reflection

- **Think of all the 5 different Results sections in Category 7 and what you just learned about Levels, Trends, Comparisons, Integration (and Segmentation too)**

- **Create a chart for yourself answering which Results sections in your organization are strongest and where the greatest opportunities lie as you consider LeTCI and segmentation**

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A Results Chart

Section	What data do you have that might fit in this section?	What is one piece of data you might be missing?
7.1	(example: Graduation Rate)	(example: missing segmentation of ACT Tests)
7.2		
7.3		
7.4		
7.5	(example: Bond rating)	(example: new markets entered?)

Writing for the Results Category (7)

How We Wrote Category Seven for the Pewaukee School District Application:

- **Started not knowing what was "key" – put a lot of stuff in the application**

- **Category Leads ultimately determined what was key for their Category 1-6 area**

- **We got lean and mean and connected to the requirements in the Organizational Profile**

- **We also needed a lot of expertise to display data better – ultimately hired a Data Specialist**

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Logistics: Things We Learned about Results

- **I risk saying it again – think KEY**
- **We began with results based on what looked good and where we had data and benchmarks – not strategic at all**
- **Displaying data is an art. Learn about what types of tables work well to display different types of data**
- **Consider showing your organization's results in a constant color**

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Logistics: Things We Learned about Results

- **Many examiners who review your application will not be in your field. Make sure they can understand the data you are showing. Explain a lot.**

- **Explain integration in your narrative**

- **Read applications. Mastheads are being used to "advertise" successes**

- **Don't lie with statistics**

Logistics: Tips on Writing Results - Category Seven

- **Get to know what the Criteria is asking for each multiple question. Read the Notes – they help a lot**

- **Display your key data in clear tables & graphs – try out different types of graphs (e.g. circle, line, bar)**

- **Make sure your data will be understood by people not in your sector**

- **Read the requirements for font size, margins, etc.**

- **7.1 is the most important of the 5 – it deserves more "real estate"**

- **Constant color for your organization**

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Final Thoughts - - - Lessons Learned

Performance Excellence is not

- **Being average**
- **Being perfect**
- **Winning an award**

Performance Excellence is

- **Asking the right questions**
- **Continuing to improve – systematically**
- **Having the right people around the table**
- **Sharing & learning from others**

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Final Thoughts - - - Some Last Tips

- **Become a Studer Education℠ Partner**
- **Become an examiner**
- **Read the entire Criteria book**
- **Learn the language of improvement**
- **Refer to past recipient applications**
- **Start with an Organizational Profile – it's transformative**
- **Get out of your silo – Think big picture**
- **Think buckets, not laundry lists**
- **Memorize ADLI & LeTCI**

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Final Thoughts - - - Have Patience

- **3 state applications**
- **3 national applications**
- **4 site visits**
- **Wisconsin Center for Performance Excellence recognition in 2007, 2009**
- **Wisconsin Forward Award 2010**
- **Baldrige National Quality Award, 2013**

**It's a journey, not a race.
Work to embed solid processes,
not win an award**

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Ways to Continue the Journey – Pg. 1

- **Go to the Baldrige website and purchase a copy of the Criteria or download many free resources**
  - **Baldrige Excellence Builder, for example**
- **Take a self-assessment – have your organization do it too**
- **Contact your state or local Baldrige program – lots of help at this level**

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Ways to Continue the Journey – Pg. 2

- **Contact a Baldrige Award recipient**

- **Attend a regional conference**

- **Become an examiner at the state or national level or attend examiner training**

- **Get going and complete a Baldrige Collaborative Assessment**

- **Apply at the state or national level**

Keep on learning!

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For More Information

Baldrige Performance Excellence Program

http://www.nist.gov/baldrige

301-975-2036

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