

KAPE Application Evaluation Process

Revised April 8, 2010



Step	Key Activities
1. Read the application	<ul style="list-style-type: none"> • Read the entire application to gain an overall understanding of the Applicant’s organization, processes, and results. This includes the Intent to Apply/Eligibility Form, the Organizational Profile, and Categories 1 – 7. <ul style="list-style-type: none"> - You may want to highlight information about the Applicant’s key processes, as well as note gaps or questions that arise as you are reading - However, you should not begin your evaluation of the Applicant until you have read the entire application. <p>Note: You will read each section of the application again as you evaluate the application and complete the Independent Review Scorebook, as described below.</p>
2. Identify Key Factors Definition: A “Key Factor” is an attribute of an organization or its environment that influences the way the organization operates and the key challenges it faces. Examiners use Key Factors to focus their evaluation on what is important to the Applicant.	<ul style="list-style-type: none"> • Review the questions for the Organizational Profile in the Baldrige Criteria Book for the appropriate sector • Re-read the Intent to Apply/Eligibility Form and Organizational Profile in the application • Identify the Key Factors for the Applicant as you read and enter them on the Key Factors Worksheet in the KAPE Independent Review Scorebook: <ul style="list-style-type: none"> - List the Key Factors in the appropriate section of the worksheet - Use bullets to summarize the Key Factors - Do not number the bullets - Limit the list of Key Factors to about two pages <p>Note: You may find Key Factors in the body of the application. If so, you should add them to the appropriate section of the Key Factors Worksheet.</p>
3. Analyze the Item Definition: An “Item” is a section within one of the seven Categories	<p>For the Item being evaluated:</p> <ul style="list-style-type: none"> • Review the Item Criteria • Identify the most relevant Key Factors on the Key Factors Worksheet and copy them to the appropriate Item Worksheet in the Independent Review Scorebook

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<p>in the Baldrige Criteria. In total, there are 18 Items in the Criteria – two in each of the Process Categories (1 – 6) and six in the Results Category (7).</p>	<ul style="list-style-type: none"> • Identify the most relevant Core Values • Identify major linkages to other Items in the Criteria • Review the questions on the ADLI Worksheet (for Process Items) or the LeTCI Worksheet (for Results Items) <p>Process Items</p> <ul style="list-style-type: none"> • Read the Applicant’s response, including related Figures, keeping in mind the Item Requirements, Applicant’s Key Factors and Strategies, the Core Values, linkages to other Items, and ADLI • For each Area to Address <ul style="list-style-type: none"> - Note KEY process strengths - Note IMPORTANT information that is missing or unclear - Use the ADLI Worksheet in the Examiner Notebook to summarize your analysis <p>Results Items</p> <ul style="list-style-type: none"> • Review the text and evaluate the results presented (in the related Figures and in the text), keeping in mind the Item Requirements, Applicant’s Key Factors and Strategies, the Core Values, linkages to other Items, and LeTCI • For each Area to Address <ul style="list-style-type: none"> - Note how the individual results presented relate to each other and evaluate related results together (e.g., if three Figures present results for one process or segment, they should be evaluated together) - Note KEY results strengths - Note IMPORTANT information that is missing or unclear for the results presented - Note IMPORTANT results that are not presented (i.e., those described in the application, as well as those required by the Criteria) - Use the LeTCI Worksheet in the Examiner Notebook to summarize your analysis
<p>Level 1 Applications</p>	<p>For Level 1 Applications, the process is similar; however, it is a higher-level evaluation, with the focus on the key topic in each “Area to Address” rather than on the specific questions listed. Strengths should address approaches that address those key topics and OFIs should address key topics for which no approaches are described and the “next step” to further develop approaches that are described.</p> <p>Note: Use the Level 1 Scorebook and Level 1 Examiner Notebook to evaluate Level 1 Applications</p>
<p>4. Summarize/ Synthesize Your Findings</p>	<p>Process Items</p> <ul style="list-style-type: none"> • Review the completed ADLI Worksheet for each Area to Address to identify your most important findings <ul style="list-style-type: none"> - What are the Applicant’s KEY strengths in this area? Why? Are they related or independent? - What KEY opportunities for improvement (OFI) exist? Why? Are they related or independent? Are they related to a key strength? - Look for recurring strengths/OFIs across all Areas to Address (e.g., all processes are refined periodically or many processes are in the early stages of deployment) • Highlight the most important findings, i.e., those that you want to communicate to the Applicant in your comments <p>Results Items</p>

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	<ul style="list-style-type: none"> • Review the completed LeTCI Worksheet for each Area to Address to identify your most important findings <ul style="list-style-type: none"> - What are the Applicant's KEY strengths in this area? Why? Are they related or independent? - What KEY opportunities for improvement (OFI) exist? Why? Are they related or independent? Are they related to a key strength? - Look for recurring strengths/OFIs across groups of results (e.g., consistent best-in-class performance or consistent lack of comparisons) • Highlight the most important findings, i.e., those that you want to communicate to the Applicant in your comments
5. Draft Item Comments	<ul style="list-style-type: none"> • Draft six to ten comments for the Item based on your most important findings in each Areas to Address, recording them on the appropriate Item Worksheet in the Independent Review Scorebook <ul style="list-style-type: none"> - Draft strength and OFI comments for each Area to Address at the same time to ensure clarity/avoid conflicting messages - If an OFI comment is related to a strength comment, you may reference the strength in the OFI comment, but DON'T REPEAT it - Use examples from the application to support strengths and clarify OFIs - Include a "so what" in all OFIs (If the Applicant understood why it is important, they'd probably be doing it!!!) • Apply general comment guidelines <ul style="list-style-type: none"> - Write two to three sentences per comment (clear, complete, and grammatically correct) - Use Applicant's terminology and Criteria language - Convey a professional, positive tone - Include Figure numbers when Figures are referenced in the comment <p><i>PLEASE REFER TO THE KAPE COMMENT GUIDELINES FOR MORE INFORMATION ON HOW TO WRITE COMMENTS</i></p>
6. Revise Item Comments	<ul style="list-style-type: none"> • When you have drafted your comments for an Item, review and revise them <ul style="list-style-type: none"> - What are the MOST IMPORTANT findings to communicate to the Applicant to validate progress and guide future improvement in this Item? - Are there opportunities to simplify or split complex thoughts, combine related thoughts, and/or eliminate duplicate or conflicting messages? • Revise your comments to reflect the most important findings to communicate to the Applicant • Use boldface type to identify findings of greatest significance to the Applicant: <ul style="list-style-type: none"> Process Items <ul style="list-style-type: none"> - A strength related to a mature process that is key to the Applicant's success (Key Factors/strategies), demonstrates one or more Core Values, and/or is a role model practice - An OFI that identifies a significant barrier to the Applicant's success (Key Factors/strategies) or a significant gap relative to the Criteria for the Item Results Items <ul style="list-style-type: none"> - Results that indicate significant improvement or sustained high levels relative to other leading organizations in an area that is key to the Applicant's success (Key Factors/strategies) - Negative trends or missing results in an area that is key to the Applicant's success (Key Factors/strategies) or a significant gap relative to the Criteria for the Item
7. Score the Item	<ul style="list-style-type: none"> • Use the Scoring Worksheet in the Examiner Notebook to select a Scoring Range

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	<ul style="list-style-type: none"> for each Evaluation Factor for the Item (ADLI or LeTCI) <ul style="list-style-type: none"> - Strengths: What put the Applicant in the scoring range you selected? - OFIs: What is keeping the Applicant from moving to the next higher range? • Check your comments to make sure that they communicate the factors you considered in selecting the Scoring Ranges • Select a score for the Item that reflects the Scoring Ranges you selected for the Evaluation Factors (ADLI or LeTCI) • Record your score on the Item Worksheet and on the Scoring Summary Worksheet in the Independent Review Scorebook
8. Review and Revise Item Worksheet	<ul style="list-style-type: none"> • Be sure that your comments <ul style="list-style-type: none"> - Incorporate Criteria Requirements, ADLI/LeTCI, Key Factors, Strategy, Core Values, and linkages, as appropriate - Do not simply repeat what the Applicant told you - Do not conflict with other comments - Are well-written • Check your comments and score for consistency and revise the comments and/or score, if necessary.
Repeat Steps 3 - 8 for each Item in the Criteria	
9. Identify Key Themes Definition: A Key Theme is a strength or OFI comment that addresses a central requirement of the Criteria, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the Applicant's Key Factors, and/or addresses a Core Value of the Criteria.	<ul style="list-style-type: none"> • Review the questions on the Key Themes Worksheet • Analyze comments across all Item Worksheets to identify the most important and recurring findings across all Categories <ul style="list-style-type: none"> - Review bolded comments, i.e., those comments that reflect strengths or OFIs most important to the Applicant - Look for similar strengths and OFIs that appear in multiple Items - Look for recurring mention of specific Core Values, Key Factors, or Strategies • Analyze the Scoring Summary Worksheet for patterns in Item Scores <ul style="list-style-type: none"> - Overall level of scores - Relatively high- or low-scoring Categories and Items - Inconsistencies in scores • Note your findings in bullet form in the appropriate section of the Key Themes Analysis Worksheet (i.e., Question a, b, c, or d) in the Examiner Notebook
10. Summarize/ Synthesize Key Themes	<ul style="list-style-type: none"> • For each question on the Key Themes Worksheet <ul style="list-style-type: none"> - Review the bullets you wrote and group them into related topics - Review each group, and simplify or split complex bullets, combine related thoughts, and/or eliminate duplicate or conflicting bullets - Review all of the groups of bullets within a Key Themes question and if necessary, revise them to combine related ideas and/or eliminate duplication - Prioritize the groups of bullets to identify the two or three most important findings to communicate to the Applicant
11. Draft Key Themes Comments	<ul style="list-style-type: none"> • For each Key Themes question, draft two or three comments to communicate your most important findings (based on the groups of bullets you selected), recording them in the appropriate section of the Key Themes Worksheet in the Independent Review Scorebook <ul style="list-style-type: none"> - Write the comment in paragraph (not bullet) form - Relate each comment to the Baldrige Core Values and/or the Applicant's Key Factors/strategies

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	<ul style="list-style-type: none"> - Do not copy comments from the Item Worksheet to the Key Themes Worksheet; Key Themes comments should be higher-level comments, encompassing information from comments in multiple Items and Categories • Apply general comment guidelines <ul style="list-style-type: none"> - Write two to four sentences per comment (clear, complete, and grammatically correct) - Use Applicant’s terminology and Criteria language - Convey a professional, positive tone - Include Figure numbers when Figures are referenced in the comment <p><i>PLEASE REFER TO THE KAPE COMMENT GUIDELINES FOR MORE INFORMATION ON HOW TO WRITE KEY THEMES</i></p>
12. Revise Key Themes	<ul style="list-style-type: none"> • Check the balance of comments across questions a, b, c, and d to ensure that they reflect your overall evaluation of the Items and the Applicant’s score (e.g., for a high-scoring Applicant, you would note more “a” Key Theme strengths than “b” opportunities for improvement and more “c” strengths than “d” opportunities for improvement. • Be sure that your Key Themes comments <ul style="list-style-type: none"> - Incorporate Core Values, Key Factors, Strategy, linkages, and ADLI/LeTCI, as appropriate - Do not simply repeat an Item-level comment - Do not conflict with other Key Themes comments - Are well-written