Department of Commerce • Technology Administration • National Institute of Standards and Technology
Baldrige National Quality Program

Scorebook

for Business, Education, and Health Care

accomplishment

recognition

Malcolm Baldrige National Quality Award

Scorebook

for Business, Education, and Health Care

Examiner Name _____ Number of Hours Worked _____

Application Number _____

Sent to Examiner _____
date

Return Scorebook via overnight mail

before _____
due date

Return Scorebook to:

Malcolm Baldrige National Quality Award
American Society for Quality
611 East Wisconsin Avenue
Milwaukee, WI 53202
(800) 248-1946, ext. 7205

Process Stage:

☐ Stage 1 Independent Review ☐ Stage 2 Consensus Review ☐ Stage 3 Site Visit Review

Criteria, Score Summary Worksheet, and Scoring Guidelines Used:

☐ Business ☐ Education ☐ Health Care

Malcolm Baldrige National Quality Award

Contents

Page	
1	Introduction and General Instructions
1	Introduction
1	Timeliness
1	Confidentiality
1	Scorebook Completion and Return — Stage 1
2	Flowchart — Scorebook Development Process
3	Recommended Processes for Evaluating Applications and Completing Scorebooks
3	Step 1: Prepare
3	Step 2: Evaluate
6	Step 3: Finalize
7	Step 4: Return
8	Comment Guidelines
9	Worksheet Format Essentials
10	Key Factors Worksheet
11	Key Themes Worksheet
12	Item and Category Worksheets
38	Scoring Guidelines — Business Criteria
39	Score Summary Worksheet — Business Criteria
40	Scoring Guidelines — Education Criteria
41	Score Summary Worksheet — Education Criteria
42	Scoring Guidelines — Health Care Criteria
43	Score Summary Worksheet — Health Care Criteria
44	Checklist and Conflict of Interest Statement

Contents (continued)

Page

45 Stage 3, Site Visit Review

46 Introduction and General Instructions — Stage 3, Site Visit Review

46 Introduction

46 Key Factors Worksheet at Stage 3, Site Visit

46 Key Themes Worksheet at Stage 3, Site Visit

46 Site Visit Issue Worksheet

47 Item Worksheet at Stage 3, Site Visit

47 Category Worksheet at Stage 3, Site Visit

47 Summary of Sites Visited

47 Score Summary Worksheet — Site Visit

47 Signature Statement

47 Site Visit Scorebook Composition

48 Requirements for a Good Scorebook

48 Site Visit Scorebook Submission

49 Site Visit Issue Worksheet

50 Summary of Sites Visited

51 Score Summary Worksheet — Site Visit

52 Signature Statement

Introduction and General Instructions

Introduction

This Scorebook provides Examiners with a concise, organized, and standardized method to record their comments and scores as they evaluate an applicant for the Malcolm Baldrige National Quality Award. In Stage 1, this Scorebook is used to record the individual Examiner's findings. In Stages 2 and 3, the Scorebook is used to record the findings of the Examiner Team.

A suggested process for Scorebook completion (beginning on page 2) illustrates a systematic method for evaluating an applicant.

Timeliness

The cooperation of Examiners in adhering to due dates in the application review process is critical to the success of the program in every stage of the process.

Confidentiality

The application, the Scorebook, all notes, computer files, and all other information relating to the applicant are highly confidential. Examiners should be cautious that they do not conduct their review in the presence of others or leave any applicant-related documents where other people can have access to them.

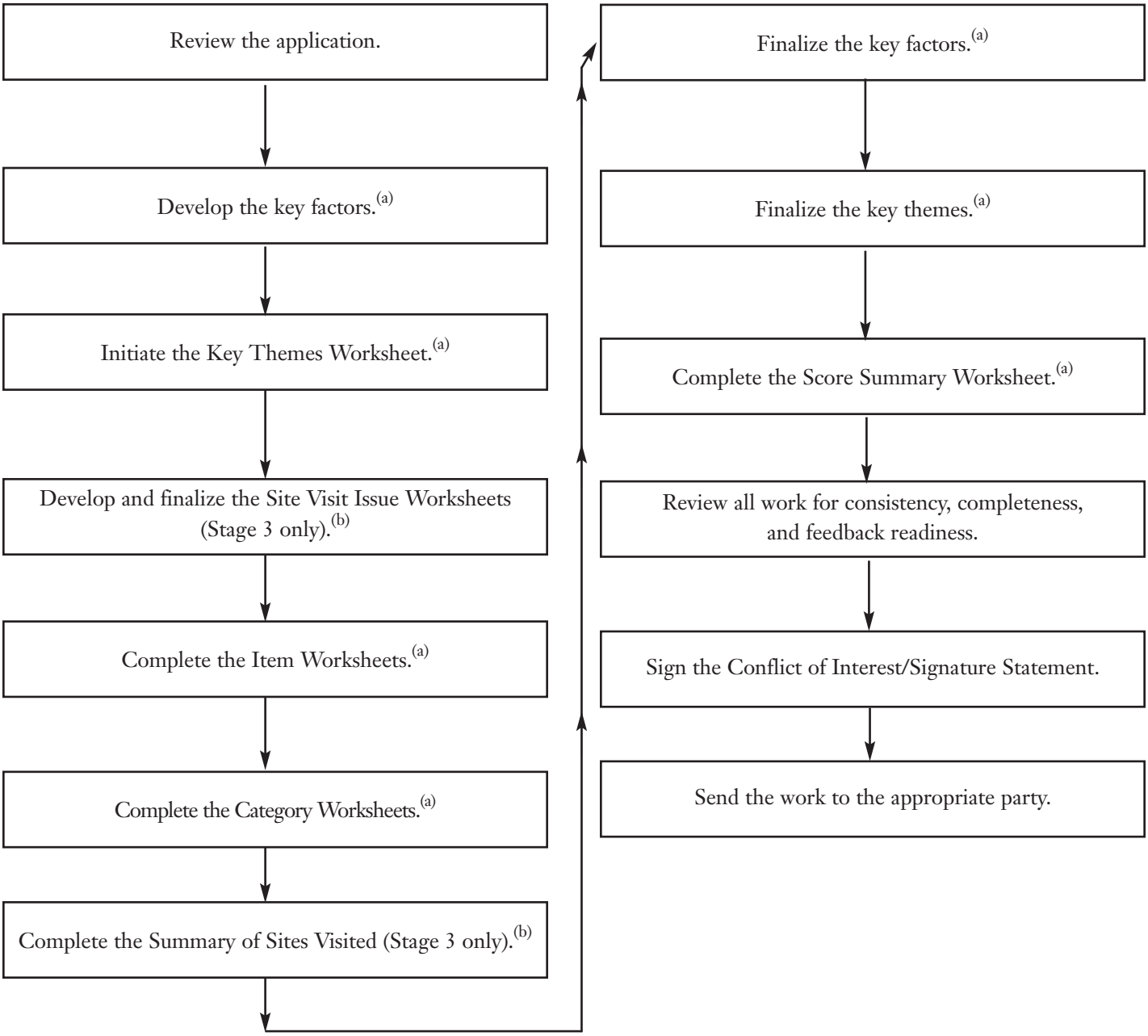
Scorebook Completion and Return — Stage 1

A copy of this Scorebook can be downloaded from the NIST Baldrige National Quality Program website at http://www.quality.nist.gov/00scorebook.htm.

Examiners should use word processing software to prepare their Scorebook. It is important that Examiners:

1. Use a format similar to that in the Scorebook, including the Key Factors Worksheet, the Key Themes Worksheet, all Item and Category worksheets, the appropriate Score Summary Worksheet (Business, Education, or Health Care), the Checklist, and the Conflict of Interest Statement.
2. It is strongly recommended that all Scorebook worksheets be prepared or saved in Word 6, 12 point, Times New Roman.
3. Check that all Item and Category worksheets are complete and that they are collated correctly.
4. Record the scores on the appropriate Score Summary Worksheet (Business, Education, or Health Care).
5. Read the checklist on page 44.
6. Read and sign the Conflict of Interest Statement on page 44.
7. Return a complete paper copy of the Scorebook to the American Society for Quality (ASQ), which includes the following:
   - Cover Sheet
   - Key Factors Worksheet
   - Key Themes Worksheet
   - One Category Worksheet for each Category
   - One Item Worksheet for each Item
   - Score Summary Worksheet
   - Checklist and signed Conflict of Interest Statement

Scorebook Development Process



Notes:

[a] Stage 1 — Individual Examiners complete, develop, and finalize for all Items/Categories.
Stages 2 and 3 — Assigned team members develop and finalize for specific Items/Categories.

[b] Stage 3 Only — Assigned team members develop and finalize.

Recommended Processes for Evaluating Applications and Completing Scorebooks

Examiners receive and evaluate an application and communicate their findings in a Scorebook. The Scorebook Development Process is depicted in the flowchart on page 2. The following is a description of the continuum of activities from evaluating an application to completing the Scorebook.

Step 1: Prepare

A. Check to confirm there is no conflict of interest with the applicant by reading the applicant's eligibility determination form and Business/Organization Overview with particular attention to the applicant's organization chart, customers, competitors, and suppliers. Examiners must notify the National Institute of Standards and Technology (NIST) immediately if they identify any situation, including business, personal, or financial relationships, that could be perceived as affecting their ability to review the applicant fairly and objectively.

B. Assemble supplies. To complete an evaluation, Examiners will need the following:

- Appropriate Criteria for Performance Excellence booklet (Business, Education, or Health Care)
- Application report
- Scorebook for Business, Education, and Health Care
- Calculator
- Writing implements/marking tools
- Watch or clock

Evaluating an application typically takes from 30-40 hours. Therefore, Examiners must plan for large chunks of time for the process. Examiners should keep track of their time and record the total hours worked on the front cover of the Scorebook.

C. Mark the organization chart and glossary of the application for easy reference.

D. Review the appropriate Criteria for Performance Excellence booklet (Business, Education, or Health Care). The process requires a working knowledge of all sections (e.g., Criteria, Scoring System, Core Values and Concepts, and Glossary) in order to evaluate an applicant properly.

E. Read the entire application report from cover to cover, including the eligibility determination form, the Business/Organization Overview, and the applicant's response to the Criteria Items, to gain a comprehensive understanding of the organization.

F. Reread the Business/Organization Overview and eligibility determination form, noting (with highlighters or margin notes) the points that are particularly relevant and important to the proper evaluation of the applicant as well as any emerging key themes. The applicant's responses throughout the application and the Examiner's evaluation should reflect the key business/organization factors (KFs) identified by the applicant in its Business/Organization Overview and in the "Key Business/Organization Factors" section of the applicant's eligibility determination form.

Key Factors Worksheet

Application Number_____ Examiner Initials_____

To begin the evaluation process, review the applicant's Business/Organization Overview and the eligibility determination form. List the key business/organization factors for this applicant using the headings and the order presented in the "Preparing the Business/Organization Overview" section of the appropriate Criteria for Performance Excellence booklet.

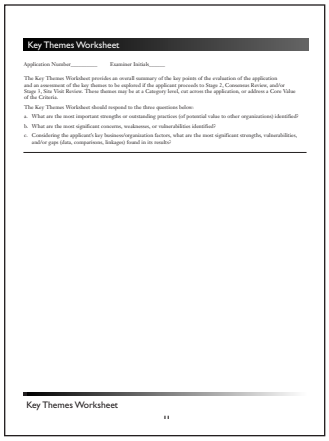
Key Factors Worksheet

10

Step 2: Evaluate

A. Prepare the **Key Factors Worksheet** by listing the key business/organization factors (KFs) for the applicant. The purpose of the Key Factors Worksheet is to give a concise summary of the most important aspects of the applicant. Each KF describes a significant fact or aspect about the applicant (e.g., number of employees, location, competitive situation). The Key Factors Worksheet is generally 1-2 pages in length. It consists of phrases delineated by a bullet. The phrases are arranged into five sections similar to those used in the Business/Organization Overview section of the application. The headings and order for these sections are presented in the "Preparing the Business/Organization Overview" section of the Criteria for Performance Excellence booklets.

B. Begin to prepare the **Key Themes Worksheet**. This worksheet provides an overall summary of the key points


Key Themes Worksheet

Application Number_____ Examiner Initials_____

The Key Themes Worksheet provides an overall summary of the key points of the evaluation of the application and an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review. These themes may be at a Category level, cut across the application, or address a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
b. What are the most significant concerns, weaknesses, or vulnerabilities identified?
c. Considering the applicant's key business/organization factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in its results?

Key Themes Worksheet

11

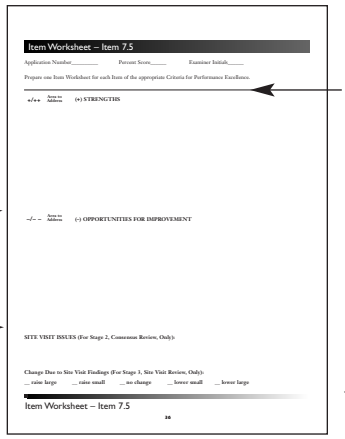
of the evaluation for the feedback report and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review. A key theme is a strength or opportunity for improvement (OFI) that is common (cross-cutting) to more than one Category, is especially significant in terms of the applicant's KFs, or addresses a Core Value of the Criteria.

1. The Key Themes Worksheet should respond to three questions:
   a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
   b. What are the most significant concerns, weaknesses, or vulnerabilities identified?
   c. Considering the applicant's KFs, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in its Results?
2. The Key Themes Worksheet is generally 2-3 pages in length and consists of comment responses to the Key Themes questions. Comments should follow the Comment Guidelines given on page 8. A comment is composed of 2-3 complete, declarative, and non-prescriptive sentences. Each comment should be delineated by a bullet, and there should be a double space between comments.
3. Several iterations of the Key Themes Worksheet will be made throughout the evaluation process.
4. The contents of the Key Themes Worksheet will be revised as part of the consensus review and/or the site visit review if an applicant proceeds to Stage 2 or Stage 3.

C. Prepare the **Item Worksheet**. Start by reading the Criteria requirements for the Item being reviewed, noting if the Item requests the applicant to discuss an approach and its deployment, or the results of approaches discussed in other parts of the application.

1. Review the applicant's KFs. These KFs should already be included on the Key Factors Worksheet.
2. Read the applicant's response to the same Item. It is helpful to make notes by highlighting key information and writing margin notes and to assess what is written and reasonably supported in the application. If the applicant provides cross-references or relevant information elsewhere in the application report, Examiners should consider that information in their assessment of the Item. However, Examiners should be careful not to make assumptions, positive or negative, that cannot be supported by the information presented in the application report.
3. Synthesize from your notes the most important observations into 5-8 comments about the applicant's approach/deployment or results for the Item.
4. Record the comments as strengths or OFIs in the space provided on the Item Worksheet for that Item. The 5-8 comments:
   a. Consist of 1-3 complete, declarative, and non-prescriptive sentences that use specific examples from the application and relate to the major Item requirements. The comments should link to the applicant's KFs or Criteria Core Values, as appropriate.
   b. Answer the "so what" question, indicating the significance of the comment in relation to the effectiveness of the applicant's performance excellence system.
   c. Include an OFI on any Area to Address to which the applicant has not responded.
   d. Are well written and follow the Comment Guidelines presented on page 8.
   e. Are prefaced with a (+ or ++) sign for strengths or a (– or ––) sign to indicate OFIs. Double ++ and –– indicate particularly important observations that have a major impact on the applicant's score for the Item and/or particular significance to the applicant's performance management system. Examiners should designate comments concerning important missing information with a (– or ––). For both strengths and OFIs on each Item, use a, b, c, (1), (2), (3), to indicate the corresponding Area to Address found in the Item. An example of the use of these signs and typical comments is provided on the following page.
5. Record the application number, percent score, and the Examiner's initials in the spaces provided on the Item Worksheet.
6. **(For Stage 2, Consensus Review, Only)** Record site visit issues in the space provided on the Item Worksheet. These are major/important issues that need to be verified or clarified on site in the event that the applicant goes to Stage 3, Site Visit Review. Issues for on-site **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would verify that the process exists and operates as presented in the written application. During the site visit, the Examiner Team will verify that appropriate credit was given during the consensus review of the written application. This is particularly true in instances where the Consensus Team gave the applicant the benefit of the doubt.

Issues for **clarification** include those that were unclear or not addressed in the application, yet have been determined to be central to Item requirements and relevant and important to the applicant's organization. Lacking this information may have prevented the Consensus Team from fully or fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data, but those data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, how they are used and what the data show about the applicant's reported results relative to other organizations. (Examples of site visit issues are shown below.)


Item Worksheet – Item 7.5

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

a/+a Agree w/ Addition (+) STRENGTHS

–/– – Agree w/ Addition (–) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.5

16

7.5 Strengths

++ a The applicant has established internal product and service quality measures that are directly linked to the key requirements of its customers and has shown consistent improvement over the past five years on many of them, including Mean Time Between Calls, Parts Availability, Product Liability and Accrual, and Telephone Answering Time (Figures 7.5-1 and 7.5-3 through 7.5-5).

+ a Non-industry comparisons are provided for Parts Availability, Telephone Answering Time, and Technical Response Time (Figures 7.5-3, 7.5-5, and 7.5-6). The applicant's current year performance is better in all three cases.

+ a The applicant has made substantial improvement in on-time performance since 1994 and is achieving more than 96% on-time performance for all products and plants.

Opportunities for Improvement

– a Neither direct competitive comparisons nor benchmarks are provided for any non-price product and service quality measures presented in the application, making it difficult for the applicant to assess its performance relative to its competition or industry best.

– a Except for on-time performance, results are not segmented (e.g., by location or product), limiting the applicant's ability to assess the consistency of performance across business and field units.

Site Visit Issues (For Stage 2, Consensus Review, Only)

- Verify the results presented, and clarify results/trends for all key indicators from application to date.
- Clarify whether segmented results (e.g., by location and/or product) and additional competitive data exist and, if so, the performance shown.
- Verify on-time shipments, and validate industry averages and benchmark results.

7. **(For Stage 3, Site Visit Review, Only)** Please see the Site Visit Review section found at the back of this book for instruction on the use of the Item Worksheets during Stage 3, Site Visit Review.

8. Begin to score an Item by reviewing comments, the relative importance of the strengths and OFIs, and the Item requirements.

9. Read the description of the scoring ranges in the appropriate Scoring Guidelines on pages 38, 40, and 42 of this Scorebook to assign a percentage score for the Item. The Scoring Guidelines are divided into two parts: the left side contains scoring dimensions for Approach/Deployment Items, and the right side contains scoring dimensions for Results Items. Note: Approach/Deployment Item scoring ranges are determined by the strength of the applicant's approach, deployment, improvement, and integration. Results scoring ranges are determined by levels, trends, comparisons, and relevance to improving the organization's performance.

10. Determine the scoring range (0%, 10-20%, 30-40%, 50-60%, 70-80%, 90-100%) which best reflects the comments written about the applicant's level of performance on this Item. Each Item will be scored independently; the scoring range or impressions on one Item should not influence evaluations and scoring of other Items. Applicants will typically be stronger in some Items than others.

11. Determine an appropriate score within the scoring range. For Stage 1, Independent Review, only multiples of 10 (i.e., 10%, 20%, not 15%, 28%) are used.

    For Stage 2, Consensus Review, Examiners may use any whole number when coming to a consensus score. If using the average, round the percent score to the nearest whole number. Also, round the point scores to the nearest whole number.

    At Stage 3, Site Visit Review, no rescoring is done.

    The comments and the score for an Item should be consistent, both in terms of the number of comments distributed between the strengths and the OFIs, and the weight and substance of the comments themselves. For example, the 5-8 comments for an Item scored at 20% would appear predominantly in the OFI section of the Item Worksheet.

12. Reread the comments to ensure they are consistent with the score and the language of the scoring range. Alter the language/score as necessary.

13. Record the application number, Item score, and Examiner initials in the spaces provided on the Item Worksheet.

D. Prepare the **Category Worksheet**.

1. Based on the set of Item Worksheets that constitutes a Category, complete a Category Worksheet by identifying the most important and/or cross-cutting strengths and OFIs for that Category. For example, the worksheets for Items 1.1 and 1.2 should be completed before writing the Category Worksheet for Category 1.

   The Category Worksheet is a summary of the Examiner's evaluation of each Criteria Category. The summary does not repeat the individual findings given in the Item Worksheets, but uses the Item findings in the perspective of the whole Category. The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's KFs are useful in identifying Category-level observations of the applicant's strengths and OFIs.

2. Typically, there are 5-8 comments per Category. Prepare your Category level comments according to the Comment Guidelines given on page 8. A comment is 2-3 sentences long and consists of complete sentences. The balance of strengths and OFIs should reflect the scoring over the entire Category.

3. (**For Stage 3, Site Visit Review, Only)** Please see the Site Visit Review section found at the back of this book for instruction on the use of the Category Worksheets during Stage 3, Site Visit Review.

E. Repeat the above Evaluate steps for each Item and Category of the appropriate Criteria for Performance Excellence.

F. Complete the Key Themes Worksheet begun earlier in the evaluation process. Add any new themes that the Evaluate steps brought forward, and/or revise previously identified themes as necessary.

   The Key Themes Worksheet should not just repeat the findings given in the Category Worksheets. Instead, key themes offer a more comprehensive, higher-level perspective, based on strengths and OFIs common to more than one Category, Category linkages, KFs, and Core Values. The Key Themes Worksheet should provide information from the evaluation of the written application and, if applicable, the consensus and site visit review processes.

Step 3: Finalize

A. Review all Item and Category Worksheets and the Key Themes Worksheet ensuring that:

1. Comments are consistent within and among Items/Categories/Key Themes (e.g., an aspect of the application cannot be a strength in one Item/Category/Key Theme and an OFI in the same or another Item/Category/Key Theme); and

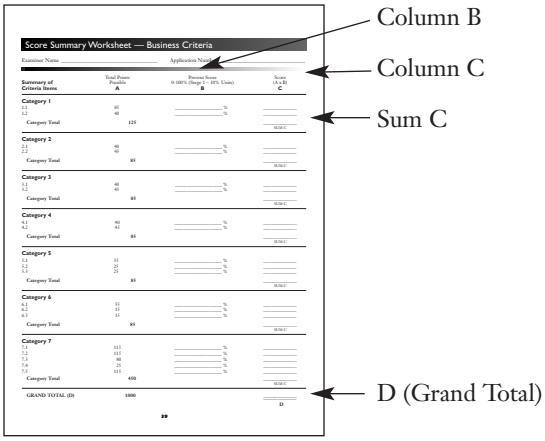
2. Comments cover the major points and objectives of the appropriate Criteria, reflect the Core Values, and focus on what is important to the applicant as determined by the KFs.

B. Provide the appropriate **Score Summary Worksheet** (Business, Education, or Health Care) with scores for each Category and Item.

1. Transfer the percent score from each Item Worksheet to Column B of the appropriate Score Summary Worksheet.

2. Compute and record the point score for each Item in Column C, rounding to the nearest whole number, as necessary.

3. Compute and record in Column C (Sum C) the Category score for each Category by adding together the Item points.

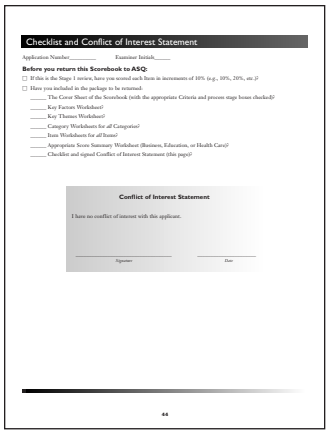


4. Compute and record at "D" a Grand Total by summing the Category point scores in Column C.

5. Verify scores and calculations.

C. Complete the Cover Sheet, indicating the number of hours spent completing the evaluation.

D. Sign the Conflict of Interest Statement, indicating that you have no conflict with this applicant, and complete the checklist on page 44.



Checklist and Conflict of Interest Statement

Application Number_____ Examiner Initials_____

Before you return this Scorebook to ASQ:

☐ If this is the Stage 1 review, have you scored each Item in increments of 10% (e.g., 10%, 20%, etc.)?

☐ Have you included in the package to be returned:

_____ The Cover Sheet of the Scorebook (with the appropriate Criteria and process stage boxes checked)?

_____ Key Factors Worksheet?

_____ Key Themes Worksheet?

_____ Category Worksheets for *all* Categories?

_____ Item Worksheets for *all* Items?

_____ Appropriate Score Summary Worksheet (Business, Education, or Health Care)?

_____ Checklist and signed Conflict of Interest Statement (this page)?

Conflict of Interest Statement

I have no conflict of interest with this applicant.

_____ Signature _____ Date

44

E. Assemble a paper copy of the Scorebook with the pages in the following order:

1. Cover Sheet
2. Key Factors Worksheet
3. Key Themes Worksheet
4. Category Worksheets for *all* Categories
5. Item Worksheets for *all* Items
6. Appropriate Score Summary Worksheet (Business, Education, or Health Care)
7. Checklist and signed Conflict of Interest Statement

Step 4: Return

A. Insert the completed Scorebook (*not* the application) in the return envelope provided by the due date on the front cover of the Scorebook, and return it as instructed.

1. ASQ will provide the overnight mail service account number to be used.
2. The package should be sent by overnight carrier to ASQ's street address:

   Malcolm Baldrige National Quality Award
   American Society for Quality
   611 East Wisconsin Avenue
   Milwaukee, WI 53202
   (800) 248-1946, ext. 7205

B. Contact ASQ if you do not receive a fax acknowledging receipt of the Scorebook.

C. Retain the application until notified by ASQ to return it, and then respond to that request immediately. ASQ will acknowledge receipt by fax.

D. After being notified by ASQ that the application has been received, the Examiner should destroy all computer files and notes relating to the application.

Comment Guidelines

A well-written comment:

1. Clearly specifies the strength (using specific examples from the application) or OFI (using specific omissions or problems identified from the application).
2. Addresses central requirements of the Criteria and does not go beyond the requirements of the Criteria.
3. Is relevant and important to the applicant based on its key factors.
4. Answers the "so what" question. It indicates the significance of the comment in relation to the effectiveness of the applicant's performance excellence system. It also provides actionable information to the applicant.
5. Draws linkages between Items/Categories or between an Item/Category and the applicant's Business/Organization Overview.
6. Is consistent:

   Within an Item/Category — Cannot be a strength and an OFI for the same Item/Category. This apparent discrepancy is seen most frequently in Approach/Deployment Items. In that case, it may be necessary to clarify that the applicant's approach appears to be a strength, but that deployment is not yet apparent or fully deployed.

   Across Items/Categories/Key Themes — Cannot be a strength in one Item/Category/Key Theme and an OFI in another Item/Category/Key Theme.

   With the Score for Items and Categories — When combined with the other strengths and OFIs for that Item or Category.
7. Is nonprescriptive. Refrain from using "could," "should," and "would."
8. Uses simple and grammatically correct language and complete sentences.
9. Uses the words "the applicant," "the organization," "the company," or "the school," etc., to refer to the applicant. The comments do not use the applicant's name except in the Stage 3 Scorebook.
10. Uses the applicant's terminology when appropriate, but does not "parrot" the application.
11. Uses a polite, professional, and positive tone.
12. States observations in a non-judgmental fashion, avoiding terms such as "good," "bad," or "inadequate."
13. Tells what is missing if something "is not clear" and does not use "It is not clear" for site-visited organizations.
14. Highlights an applicant's substantive strength or OFI, not its writing style or graphics. For example, it avoids phrases such as "should be addressed in Item 3.2," "x axis is not clear," or "is poorly described," because these are criticisms of the writing, not the applicant's performance system.
15. Identifies strengths or OFIs according to where the Item falls in the Criteria, not by where the applicant places the information in the application.
16. Uses vocabulary and phraseology from the Criteria, Core Values, and Scoring Guidelines.
17. Avoids jargon and acronyms, unless used by the applicant.
18. Provides a figure number when reference is made to information from a figure.

Worksheet Format Essentials

Key Factors Worksheet

- Organize into five sections using headings provided in the "Preparing the Business/Organization Overview" section of the appropriate Criteria for Performance Excellence.
- Key Factors Worksheet should be 1-2 pages in length.
- Use phrases rather than complete sentences.
- Delineate phrases with bullets.
- Use a single space between phrases.
- Use double spaces between sections.

Key Themes Worksheet

- Organize into three sections to address important strengths, significant concerns, and key results.
- Key Themes Worksheet should be 2-3 pages in length.
- Write 2-3 sentences per comment.
- Write comments that meet the Comment Guidelines.
- Use complete sentences.
- Delineate comments with bullets.
- Use double spaces between comments.

Category Worksheet

- Complete one worksheet for each Category.
- Organize into two sections addressing strengths and OFIs.
- Category Worksheets should be 1-2 pages in length.
- Provide 5-8 comments per Category.
- Write comments that meet the Comment Guidelines.
- Write 1-3 sentences per comment.
- Use complete sentences.
- Delineate comments with bullets.
- Use double spaces between comments.

Item Worksheet

- Complete one worksheet for each Item.
- Organize into two sections addressing strengths and OFIs.
- Item Worksheets should be 1-2 pages in length.
- Provide 5-8 comments per Item.
- Write comments that meet the Comment Guidelines.
- Write 1-3 sentences per comment.
- Use complete sentences.
- Use notations (a, b, c and +, ++, -, --) to delineate comments.
- Use double spaces between comments.
- Include a completed Site Visit Issues section only for Stage 2, but do not fill out this section for Stages 1 and 3.
- Include a completed Change Due to Site Visit Findings section only for Stage 3, but do not fill out this section for Stages 1 and 2.

Key Factors Worksheet

Application Number_____ Examiner Initials_____

To begin the evaluation process, review the applicant's Business/Organization Overview and the eligibility determination form. List the key business/organization factors for this applicant using the headings and the order presented in the "Preparing the Business/Organization Overview" section of the appropriate Criteria for Performance Excellence booklet.

Key Themes Worksheet

Application Number_____ Examiner Initials_____

The Key Themes Worksheet provides an overall summary of the key points of the evaluation of the application and an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review. These themes may be at a Category level, cut across the application, or address a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?

b. What are the most significant concerns, weaknesses, or vulnerabilities identified?

c. Considering the applicant's key business/organization factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in its results?

Item Worksheet – Item 1.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 1.1

Item Worksheet – Item 1.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 1.2

Category Worksheet – Category 1

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 2.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 2.1

Item Worksheet – Item 2.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 2

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 3.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 3.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 3

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 3

Item Worksheet – Item 4.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 4.1

Item Worksheet – Item 4.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 4.2

Category Worksheet – Category 4

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 5.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 5.1

Item Worksheet – Item 5.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 5.3

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 5

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 6.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 6.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 6.3

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 6

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.1

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.1

Item Worksheet – Item 7.2

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.2

Item Worksheet – Item 7.3

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.3

Item Worksheet – Item 7.4

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Item Worksheet – Item 7.5

Application Number_____ Percent Score_____ Examiner Initials_____

Prepare one Item Worksheet for each Item of the appropriate Criteria for Performance Excellence.

+/++ **Area to Address** **(+) STRENGTHS**

–/– – **Area to Address** **(–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Category Worksheet – Category 7

Application Number_____ Examiner Initials_____

Prepare one Category Worksheet for each Category of the appropriate Criteria for Performance Excellence (Business, Education, or Health Care). The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's key business/organization factors are useful in identifying Category-level observations.

STRENGTHS

OPPORTUNITIES FOR IMPROVEMENT

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

__ raise large __ raise small __ no change __ lower small __ lower large

Scoring Guidelines — Business Criteria

SCORE	APPROACH/DEPLOYMENT
0%	▪ no systematic approach evident; anecdotal information
10% to 20%	▪ beginning of a systematic approach to the basic purposes of the Item ▪ major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item ▪ early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	▪ an effective, systematic approach, responsive to the basic purposes of the Item ▪ approach is deployed, although some areas or work units are in early stages of deployment ▪ beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	▪ an effective, systematic approach, responsive to the overall purposes of the Item ▪ approach is well-deployed, although deployment may vary in some areas or work units ▪ a fact-based, systematic evaluation and improvement process is in place for basic Item processes ▪ approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	▪ an effective, systematic approach, responsive to the multiple requirements of the Item ▪ approach is well-deployed, with no significant gaps ▪ a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ▪ approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	▪ an effective, systematic approach, fully responsive to all the requirements of the Item ▪ approach is fully deployed without significant weaknesses or gaps in any areas or work units ▪ a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ▪ approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	▪ no results or poor results in areas reported
10% to 20%	▪ some improvements *and/or* early good performance levels in a few areas ▪ results not reported for many to most areas of importance to the organization's key business requirements
30% to 40%	▪ improvements *and/or* good performance levels in many areas of importance to the organization's key business requirements ▪ early stages of developing trends and obtaining comparative information ▪ results reported for many to most areas of importance to the organization's key business requirements
50% to 60%	▪ improvement trends *and/or* good performance levels reported for most areas of importance to the organization's key business requirements ▪ no pattern of adverse trends and no poor performance levels in areas of importance to the organization's key business requirements ▪ some trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of strength *and/or* good to very good relative performance levels ▪ business results address most key customer, market, and process requirements
70% to 80%	▪ current performance is good to excellent in areas of importance to the organization's key business requirements ▪ most improvement trends *and/or* current performance levels are sustained ▪ many to most trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of leadership and very good relative performance levels ▪ business results address most key customer, market, process, and action plan requirements
90% to 100%	▪ current performance is excellent in most areas of importance to the organization's key business requirements ▪ excellent improvement trends *and/or* sustained excellent performance levels in most areas ▪ evidence of industry and benchmark leadership demonstrated in many areas ▪ business results fully address key customer, market, process, and action plan requirements

Score Summary Worksheet — Business Criteria

Examiner Name _____ Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
Category 1			
1.1	85	_____ %	_____
1.2	40	_____ %	_____
Category Total	**125**		_____ SUM C
Category 2			
2.1	40	_____ %	_____
2.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 3			
3.1	40	_____ %	_____
3.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 4			
4.1	40	_____ %	_____
4.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 5			
5.1	35	_____ %	_____
5.2	25	_____ %	_____
5.3	25	_____ %	_____
Category Total	**85**		_____ SUM C
Category 6			
6.1	55	_____ %	_____
6.2	15	_____ %	_____
6.3	15	_____ %	_____
Category Total	**85**		_____ SUM C
Category 7			
7.1	115	_____ %	_____
7.2	115	_____ %	_____
7.3	80	_____ %	_____
7.4	25	_____ %	_____
7.5	115	_____ %	_____
Category Total	**450**		_____ SUM C
GRAND TOTAL (D)	**1000**		_____ **D**

SCORE	APPROACH/DEPLOYMENT
0%	▪ no systematic approach evident; anecdotal information
10% to 20%	▪ beginning of a systematic approach to the basic purposes of the Item ▪ major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item ▪ early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	▪ an effective, systematic approach, responsive to the basic purposes of the Item ▪ approach is deployed, although some areas or work units are in early stages of deployment ▪ beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	▪ an effective, systematic approach, responsive to the overall purposes of the Item ▪ approach is well-deployed, although deployment may vary in some areas or work units ▪ a fact-based, systematic evaluation and improvement process is in place for basic Item processes ▪ approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	▪ an effective, systematic approach, responsive to the multiple requirements of the Item ▪ approach is well-deployed, with no significant gaps ▪ a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ▪ approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	▪ an effective, systematic approach, fully responsive to all the requirements of the Item ▪ approach is fully deployed without significant weaknesses or gaps in any areas or work units ▪ a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ▪ approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	▪ no results or poor results in areas reported
10% to 20%	▪ some improvements *and/or* early good performance levels in a few areas ▪ results not reported for many to most areas of importance to key organizational requirements
30% to 40%	▪ improvements *and/or* good performance levels in many areas of importance to key organizational requirements ▪ early stages of developing trends and obtaining comparative information ▪ results reported for many to most areas of importance to key organizational requirements
50% to 60%	▪ improvement trends *and/or* good performance levels reported for most areas of importance to key organizational requirements ▪ no pattern of adverse trends and no poor performance levels in areas of importance to key organizational requirements ▪ some trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of strength *and/or* good to very good relative performance levels ▪ organizational performance results address most key student/stakeholder, market, and process requirements
70% to 80%	▪ current performance is good to excellent in areas of importance to key organizational requirements ▪ most improvement trends *and/or* current performance levels are sustained ▪ many to most trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of leadership and very good relative performance levels ▪ organizational performance results address most key student/stakeholder, market, process, and action plan requirements
90% to 100%	▪ current performance is excellent in most areas of importance to key organizational requirements ▪ excellent improvement trends *and/or* sustained excellent performance levels in most areas ▪ evidence of education sector and benchmark leadership demonstrated in many areas ▪ organizational performance results fully address key student/stakeholder, market, process, and action plan requirements

Score Summary Worksheet — Education Criteria

Examiner Name _____ Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
Category 1			
1.1	85	_____ %	_____
1.2	40	_____ %	_____
Category Total	**125**		_____ SUM C
Category 2			
2.1	40	_____ %	_____
2.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 3			
3.1	40	_____ %	_____
3.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 4			
4.1	40	_____ %	_____
4.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 5			
5.1	35	_____ %	_____
5.2	25	_____ %	_____
5.3	25	_____ %	_____
Category Total	**85**		_____ SUM C
Category 6			
6.1	55	_____ %	_____
6.2	15	_____ %	_____
6.3	15	_____ %	_____
Category Total	**85**		_____ SUM C
Category 7			
7.1	200	_____ %	_____
7.2	70	_____ %	_____
7.3	40	_____ %	_____
7.4	70	_____ %	_____
7.5	70	_____ %	_____
Category Total	**450**		_____ SUM C
GRAND TOTAL (D)	**1000**		_____ D

SCORE	APPROACH/DEPLOYMENT
0%	▪ no systematic approach evident; anecdotal information
10% to 20%	▪ beginning of a systematic approach to the basic purposes of the Item ▪ major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item ▪ early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	▪ an effective, systematic approach, responsive to the basic purposes of the Item ▪ approach is deployed, although some areas or work units are in early stages of deployment ▪ beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	▪ an effective, systematic approach, responsive to the overall purposes of the Item ▪ approach is well-deployed, although deployment may vary in some areas or work units ▪ a fact-based, systematic evaluation and improvement process is in place for basic Item processes ▪ approach is aligned with basic organizational needs identified in the other Criteria Categories
70% to 80%	▪ an effective, systematic approach, responsive to the multiple requirements of the Item ▪ approach is well-deployed, with no significant gaps ▪ a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ▪ approach is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	▪ an effective, systematic approach, fully responsive to all the requirements of the Item ▪ approach is fully deployed without significant weaknesses or gaps in any areas or work units ▪ a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ▪ approach is fully integrated with organizational needs identified in the other Criteria Categories

SCORE	RESULTS
0%	▪ no results or poor results in areas reported
10% to 20%	▪ some improvements *and/or* early good performance levels in a few areas ▪ results not reported for many to most areas of importance to key organizational requirements
30% to 40%	▪ improvements *and/or* good performance levels in many areas of importance to key organizational requirements ▪ early stages of developing trends and obtaining comparative information ▪ results reported for many to most areas of importance to key organizational requirements
50% to 60%	▪ improvement trends *and/or* good performance levels reported for most areas of importance to key organizational requirements ▪ no pattern of adverse trends and no poor performance levels in areas of importance to key organizational requirements ▪ some trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of strength *and/or* good to very good relative performance levels ▪ organizational performance results address most key patient/customer, market, and process requirements
70% to 80%	▪ current performance is good to excellent in areas of importance to key organizational requirements ▪ most improvement trends *and/or* current performance levels are sustained ▪ many to most trends *and/or* current performance levels — evaluated against relevant comparisons *and/or* benchmarks — show areas of leadership and very good relative performance levels ▪ organizational performance results address most key patient/customer, market, process, and action plan requirements
90% to 100%	▪ current performance is excellent in most areas of importance to key organizational requirements ▪ excellent improvement trends *and/or* sustained excellent performance levels in most areas ▪ evidence of health care sector and benchmark leadership demonstrated in many areas ▪ organizational performance results fully address key patient/customer, market, process, and action plan requirements

Score Summary Worksheet — Health Care Criteria

Examiner Name _____ Application Number _____

Summary of Criteria Items	Total Points Possible A	Percent Score 0-100% (Stage 1 – 10% Units) B	Score (A x B) C
Category 1			
1.1	80	_____ %	_____
1.2	45	_____ %	_____
Category Total	**125**		_____ SUM C
Category 2			
2.1	40	_____ %	_____
2.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 3			
3.1	40	_____ %	_____
3.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 4			
4.1	40	_____ %	_____
4.2	45	_____ %	_____
Category Total	**85**		_____ SUM C
Category 5			
5.1	35	_____ %	_____
5.2	25	_____ %	_____
5.3	25	_____ %	_____
Category Total	**85**		_____ SUM C
Category 6			
6.1	55	_____ %	_____
6.2	15	_____ %	_____
6.3	15	_____ %	_____
Category Total	**85**		_____ SUM C
Category 7			
7.1	200	_____ %	_____
7.2	75	_____ %	_____
7.3	75	_____ %	_____
7.4	25	_____ %	_____
7.5	75	_____ %	_____
Category Total	**450**		_____ SUM C
GRAND TOTAL (D)	**1000**		_____ **D**

Checklist and Conflict of Interest Statement

Application Number_____ Examiner Initials_____

Before you return this Scorebook to ASQ:

☐ If this is the Stage 1 review, have you scored each Item in increments of 10% (e.g., 10%, 20%, etc.)?

☐ Have you included in the package to be returned:

_____ The Cover Sheet of the Scorebook (with the appropriate Criteria and process stage boxes checked)?

_____ Key Factors Worksheet?

_____ Key Themes Worksheet?

_____ Category Worksheets for *all* Categories?

_____ Item Worksheets for *all* Items?

_____ Appropriate Score Summary Worksheet (Business, Education, or Health Care)?

_____ Checklist and signed Conflict of Interest Statement (this page)?

Conflict of Interest Statement

I have no conflict of interest with this applicant.

_____ _____

Signature *Date*

The Worksheets in This Section Are Used Only at Stage 3, Site Visit Review

Introduction

The Scorebook at Stage 3, Site Visit Review, contains the following forms and worksheets:

- Key Factors Worksheet
- Key Themes Worksheet
- Site Visit Issue Worksheet
- Item Worksheet
- Category Worksheet
- Summary of Sites Visited
- Score Summary Worksheet – Site Visit
- Signature Statement

The Site Visit Issue Worksheet, Summary of Sites Visited, Score Summary Worksheet — Site Visit, and Signature Statement are all specific to Stage 3, Site Visit Review.

The Site Visit Team may also download copies of the Scorebook from the Baldrige website at http://www.quality.nist.gov/00scorebook.htm or create similar worksheets on a word processor. The worksheets are described below.

Key Factors Worksheet at Stage 3, Site Visit

The Key Factors Worksheet records the key business/organization factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the Consensus Scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation.

Key Themes Worksheet at Stage 3, Site Visit

The Key Themes Worksheet provides key points and an overall summary of the Site Visit Team's evaluation of the applicant. It is an update of the Key Themes Worksheet from consensus. Please limit your summary to two to three pages.

This information is based on the overall context provided by the evaluation framework (the Criteria Categories) and the Core Values and Concepts [found in the appropriate Criteria for Performance Excellence (Business, Education, or Health Care)] that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Category Worksheets, but should put them in perspective, taking into account Category linkages, KFs, and Core Values.

The Key Themes Worksheet should respond to the following questions:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?

b. What are the most significant concerns, weaknesses, or vulnerabilities that the team identified?

c. Considering the applicant's KFs, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in its results?

Note: At the end of the site visit stage, during the conference calls with the Judges, team leaders will be asked to explain the site visit findings that led to the revisions in the Key Themes Worksheet from consensus.

Site Visit Issue Worksheet

The Site Visit Issue Worksheet is used initially to describe an issue that needs verification and/or clarification during the site visit and outlines the strategy to be used to obtain the needed information. Site visit issues are identified by the team during the consensus process and then reviewed and refined during site visit planning. Team members target those issues that will best contribute to their understanding of the performance of the applicant against the Criteria.

After site visit issues have been identified, but before the site visit begins, the issues are prioritized (e.g., high, medium, low). Record the priority at the top of the page. Record the consensus evaluation of the issue [i.e., whether it was a strength (+/++), opportunity for improvement (OFI) (–/––), or not evaluated during consensus].

Only one issue is recorded per worksheet. During the site visit, any new issue developed is recorded on a separate worksheet.

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening while on the site visit, Examiners review their notes and electronically record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the Site Visit Scorebook.

In team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that clearly relate to the resolution of the site visit issue and may lead to revisions of the Item and Category Worksheet comments. Conclusions indicate how the findings affect Category and Item comments and do not include value judgments. Until the site visit is complete, preliminary conclusions are subject to change as new information becomes available. These discussions and preliminary conclusions will help guide the team's work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item's score (i.e., raise, no

effect, lower) and places a check at the bottom of the form to indicate their decision.

Item Worksheet at Stage 3, Site Visit

This worksheet is the team's record of its final evaluation of the applicant for each of the Criteria Items.

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: 1) the Consensus Scorebook; 2) resolution of the site visit issues; and 3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges' deliberations and for the feedback report.

As each Item Worksheet is completed, the team records at the bottom of the form the original consensus score for the Item and checks the appropriate space to indicate what change, if any, the site visit findings would have on the score.

Category Worksheet at Stage 3, Site Visit

This worksheet is used by the team to summarize its final evaluation of each Criteria Category. The summary does not repeat the individual findings given in the Item Worksheets, but uses the Item findings in the perspective of the whole Category. The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria Core Values and the applicant's KFs are useful in identifying the most important and relevant Category-level observations of the applicant's strengths and OFIs.

The Category Worksheet is based on the information gained from the site visit and the team's evaluation of the application.

The team decides together which line to check at the bottom of the form to indicate what change, if any, the site visit findings would have on the score.

Summary of Sites Visited

The Summary of Sites Visited conveys the extent and thoroughness of the site visit. The team will list the major applicant locations that were visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors form in the eligibility determination form. Examples of such aspects might include: the oldest facility; the site with a major reduction in force; the location where the newest product will be manufactured; or the telephone or data service center that runs three shifts. In addition, Examiners describe approaches they used to evaluate sites which they did not visit, including sites outside the United States.

This worksheet also notes any other information on the team's strategy for a thorough site visit. Examples might include: interviewed employees on all three shifts; interviewed categories/types of employees; visited at least one location in all of the operating regions; or did a sampling at all levels and in all locations of the organization's critical data systems.

Score Summary Worksheet – Site Visit

The scores and their revisions should be transferred from the Item and Category worksheets to the Score Summary Worksheet – Site Visit. Then check the appropriate space to indicate what change, if any, the site visit findings would have on the overall score.

Signature Statement

The final requirement of the Site Visit Team members is the completion of the Signature Statement page of the Scorebook. The statement reads: "I have no conflict of interest with the applicant, and I support this Scorebook of the Site Visit Team."

In the spaces provided, Site Visit Team members should print their names and then sign the Signature Statement form.

Site Visit Scorebook Composition

When the Site Visit Scorebook writing is finished, the Site Visit Team assembles the completed Scorebook in the following order:

1. Cover Sheet
2. Summary of Sites Visited
3. Key Factors Worksheet
4. Key Themes Worksheet
5. One Category Worksheet for each Category
6. One Item Worksheet for each Item
7. Site Visit Issue Worksheet(s) (number varies)
8. Score Summary Worksheet – Site Visit
9. Signature Statement

Requirements for a Good Scorebook

When completed, the Site Visit Scorebook will contain a well-documented, non-biased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will:

1. Start with the Consensus Scorebook and site visit issues;
2. Show the strategy of the site visit, as illustrated by the sites visited, the issues chosen, and the new findings;
3. Describe in the Category and Item worksheets how the site visit findings modify the conclusions drawn in the original Consensus Scorebook;
4. Show how the linkages identified in the Key Themes Worksheet are reflected in the Category and Item worksheets;
5. Show how the team's conclusions in the Key Themes Worksheet can be traced from the Category and Item worksheets; and
6. Show how the team's conclusions reflect the applicant's KFs.

Site Visit Scorebook Submission

At the conclusion of the site visit, the Site Visit Team makes four copies of the completed Site Visit Scorebook and sends the original via overnight mail to:

Malcolm Baldrige National Quality Award
American Society for Quality
611 East Wisconsin Avenue
Milwaukee, WI 53202
(800) 248-1946, ext. 7205

The team leader, backup team leader, and Scorebook editor will each retain a copy. The NIST monitor will hand-carry a copy of the report to NIST.

Site Visit Issue Worksheet

Application Number_____ Priority_____ (High, Medium, Low) Examiner Initials_____

Item Ref: _____ Issue **(Record only one issue per page.)**:

This worksheet explores an issue requiring verification and/or clarification at the site visit.

Consensus Evaluation: *Strength* ___ + ___ ++ *Opportunity for Improvement* ___ – ___ –– Not originally evaluated ___

Strategy (What information do you need, and how do you intend to obtain it, e.g., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make?):

Findings (Observations, specific answers, and/or updated results):

Conclusions (What is the resolution of this site visit issue based on your findings?):

Effect of Findings/Conclusions on Score: ___ raise ___ no effect ___ lower

(If more than one finding, put "" next to the most important one for the score change.)*

Summary of Sites Visited

Application Number_____

This worksheet conveys the extent and thoroughness of the site visit.

Length of the Site Visit (number of days with the applicant):

Sites Visited (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors form in the eligibility determination form.):

Approach Used to Evaluate Sites Not Visited, Including Sites Outside of the United States (if appropriate):

Other Information on the Team's Strategy for a Thorough Site Visit (e.g., categories and types of employees interviewed and shifts):

Score Summary Worksheet – Site Visit

Application Number_____

Summary of Scoring Revisions:

Instructions: Transfer the Item and Category scores and changes due to the site visit findings from the Item and Category Worksheets and then record the score revision for the application as a whole.

Consensus Item Percent Score	Consensus Category Percent Score	Changes Due to Site Visit Findings				
		raise large	raise small	no change	lower small	lower large
1.1		.....	.....	.....	.....	.....
1.2		.....	.....	.....	.....	.....
	1	.....	.....	.....	.....	.....
2.1		.....	.....	.....	.....	.....
2.2		.....	.....	.....	.....	.....
	2	.....	.....	.....	.....	.....
3.1		.....	.....	.....	.....	.....
3.2		.....	.....	.....	.....	.....
	3	.....	.....	.....	.....	.....
4.1		.....	.....	.....	.....	.....
4.2		.....	.....	.....	.....	.....
	4	.....	.....	.....	.....	.....
5.1		.....	.....	.....	.....	.....
5.2		.....	.....	.....	.....	.....
5.3		.....	.....	.....	.....	.....
	5	.....	.....	.....	.....	.....
6.1		.....	.....	.....	.....	.....
6.2		.....	.....	.....	.....	.....
6.3		.....	.....	.....	.....	.....
	6	.....	.....	.....	.....	.....
7.1		.....	.....	.....	.....	.....
7.2		.....	.....	.....	.....	.....
7.3		.....	.....	.....	.....	.....
7.4		.....	.....	.....	.....	.....
7.5		.....	.....	.....	.....	.....
	7	.....	.....	.....	.....	.....
Consensus Score	.....	.....	.....	.....	.....	.....

Signature Statement

Application Number_____

I have no conflict of interest with the applicant, and I support this Scorebook of the Site Visit Team.

Name (Please print)	Signature

Baldrige National Quality Program

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

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- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Business, Education, and Health Care (no cost)
- information on other Baldrige National Quality Program materials

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Web Address: http://www.quality.nist.gov

American Society for Quality
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