2009 AHCA/NCAL National Quality Award Program
- Step III Overview -

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- **Organizational Profile**
  - What you do, how you operate, key challenges you face

- **Core Values and Concepts**
  - Embedded beliefs and behaviors found in high performing organizations

- **Criteria for Performance Excellence**
  - Framework that any organization can use to improve overall performance
MBNQA – Core Values

- Visionary leadership
- Patient focused excellence
- Organizational and personal learning
- Valuing staff and partners
- Agility

- Focus on the future
- Manage for innovation
- Management by fact
- Social responsibility
- Focus on results
- Systems Perspective
MBNQA – Health Care Criteria for Performance Excellence

- Leadership
- Strategic Planning
- Focus on Patients, Other Customers and Markets
- Measurement, Analysis, Knowledge Management
- Workforce Focus
- Process Management
- Results
Steps Toward Mature Processes

(1) Reacting to Problems

- Characterized by activities mostly responsive to immediate needs or problems rather than by processes
- Goals are poorly defined
Steps Toward Mature Processes

(2) Early Systematic Approaches

- Beginning stages of using operating processes with repeatability, evaluation, improvement, and coordination
- Strategy and quantitative goals are being defined
Steps Toward Mature Processes

(3) Aligned Approaches

- Systematic processes in place that are regularly evaluated for improvement
- Learning from processes shared
- Organizational units are coordinated
- Processes address well defined strategies and goals
Steps Toward Mature Processes

(4) Integrated Approaches

- Systematic processes in place that are regularly evaluated for change and improvement in collaboration with other affected organizational units
- Efficiencies across units sought and achieved through analysis, innovation, and sharing
- Processes and measures track progress on key strategic and operational goals
Step 1 Requirements

Responses to 20 criteria in six areas:
- Basic Description of the Organization
- Stakeholder Requirements
- Supplier and Partnering Relationships
- Competitive Environment
- Organizational Opportunities and Challenges
- Measures
Step I Award Recipients

Step I Award recipients respond to each criterion in a way that demonstrates that:

- They understand the core values and concepts of quality; and
- They can see the relationship between their organization’s characteristics, key challenges, and performance measurements, and the ability to achieve performance improvement.
Step II Requirements

Organizational Profile (2.0)

Responses to eight Step II criteria based on the 11 Baldrige core values and concepts.

Objective: To demonstrate that the organization’s leaders are able to learn the principles of performance improvement and apply them to their operating and service delivery systems using the context of the mission, characteristics, and challenges described in the Step I responses.
Step II Award Recipients

Step II Award recipients are able to:

- Describe systematic approaches to demonstrate that they have embraced each of the core values and concepts;
- Describe how key approaches are deployed to levels beyond senior leadership;
- Show significant improvement and/or good levels of performance over time across a balanced set of measures that represent key stakeholder interests; and
- Show that the identified approaches, performance measures, and organizational and process results are linked to the key customer requirements, success factors, and challenges identified in Step I responses.
- Results do not have to be “best-in-class,” but they must be good or improving as a result of the process improvements.
The “Leap” to Step II Requires...

- Commitment to learning and new way of thinking
- Considerable time throughout the year
- Greater staff involvement
- Systems approach
- Key performance results measured and improved over time
- Good understanding of Baldrige National Quality Program
The “Leap” to Step II Requires...

- Consistent alignment with diverse customer requirements, business goals, strategic goals, and its performance management system.
- Customer needs that are reflected in the strategic plan, performance metrics and business outcomes.
Step III Requirements

- Translate the Step II (2.0) criteria response into the Baldrige “Organizational Profile.”

- Address the seven Baldrige Health Care Criteria for Performance Excellence.

- Host a satisfactory site visit.

- Objective: To demonstrate superior performance in health care, customer satisfaction, financial, market, workforce, process, and leadership outcomes over time.
The 2008 Step III Criteria

- Leadership
- Strategic Planning
- Focus on Patients, Other Customers and Markets
- Measurement, Analysis, and Knowledge Management
- Workforce Focus
- Process Management
- Results
Baldrige Health Care Criteria Framework: A Systems Perspective
# Item Format for Baldrige

**Item Format**

<table>
<thead>
<tr>
<th>Item number</th>
<th>Item title</th>
<th>Item point value</th>
<th>Types of information users are expected to provide in response to this Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td><strong>Senior Leadership:</strong> How do your senior leaders lead? (70 pts.)</td>
<td></td>
<td>Describe how senior leaders guide and sustain your organization. Describe how senior leaders communicate with your workforce and encourage high performance. Within your response, include answers to the following questions:</td>
</tr>
</tbody>
</table>

- **Vision and Values**
  1. How do senior leaders set organizational vision and values? How do senior leaders ensure your organization's vision and values are communicated to the workforce, to key suppliers and vendors, to others and other customers, and to other stakeholders, as appropriate? How do senior leaders' personal actions reflect a commitment to the organization's values? |
  2. How do senior leaders personally promote an organizational environment that fosters, requires, and results in legal and ethical behavior? |
  3. How do senior leaders create a sustainable organization? How do senior leaders create an environment for organizational performance improvement, the accomplishment of your mission and strategic objectives, resource, competitive or risk management, leadership, and organizational agility? How do they create an environment for organizational and workforce learning? How do they personally participate in succession planning and the development of future organizational leaders? |
  4. How do senior leaders create and promote a culture of patient safety? |

- **Communication and Organizational Performance**
  1. How do senior leaders communicate with and engage the entire workforce? How do senior leaders encourage open and two-way communication throughout the organization? How do senior leaders communicate with dedication? How do senior leaders take an active role in reward and recognition programs to reinforce high performance and a focus on the organization, as well as on results and other customers? |
  2. How do senior leaders create a focus on action to accomplish the organization's objectives, improve performance, and sustain its values? What performance measures do senior leaders regularly review to inform them on needed actions? How do senior leaders include a focus on creating and maintaining safe environments, other customers, and other stakeholders in their organizational performance expectations? |

**Notes**

- N1. Senior leaders include the head of the organization and his or her direct reports. In health care organizations with separate administrative/operational and health care provider leadership, "senior leaders" refers to both sets of leaders and the relationships between those leaders. |
- N2. Organizational vision (1.1a[1]) should set the context for strategic objectives and action plans, which are described in items 1.1 and 1.2. |
- N3. A sustainable organization (1.1a[2]) is capable of addressing current organizational needs and possesses the agility and strategic management to prepare successfully for its future organizational and market environment. In this context, the concept of innovation includes both technological and organizational innovation to succeed in the future. A sustainable organization also ensures a safe and secure environment for the workforce and other key stakeholders. |

For additional description of this Item, see page 38.
Organizational Profile

- P.1 Organizational Description
- P.2 Organizational Challenges
1. Leadership (120 pts.)

Addresses Senior Leaders’ Roles, Governance, and Citizenship

1.1 Senior Leadership (70 pts.)

1.2 Governance and Social Responsibilities (50 pts.)
2. Strategic Planning (85 pts.)

Addresses Strategic and Action Planning and Deployment of Plans

2.1 Strategy Development (40 pts.)

2.2 Strategy Deployment (45 pts.)
3. Focus on Patients, Other Customers, and Markets (85 pts.)

Addresses How an Organization Seeks Knowledge, Satisfaction, and Loyalty of Customers

3.1 Patients, Other Customers, and Market Knowledge (40 pts.)

3.2 Patient and Other Customer Relationships and Satisfaction (45 pts.)
4. Measurement, Analysis, and Knowledge Management (90 pts.)

Addresses Analysis, Review, and Improvement of Organizational Performance and Management of Data, Knowledge, and Information

4.1 Measurement, Analysis, and Improvement of Organizational Performance (45 pts.)

4.2 Management of Information, Information Technology, and Knowledge (45 pts.)
5. Workforce Focus (85 pts.)

Addresses How an Organization Engages, Develops, and Manages Its Workforce and Builds an Effective Workforce Environment

5.1 Workforce Engagement (45 pts.)

5.2 Workforce Environment (40 pts.)
Session Two Content

- This session will cover the Process Management and Results sections of the Baldrige Healthcare Criteria and well as orienting participants to other Baldrige resources. Special attention will focus on techniques of appropriately selecting and reporting results.

- Technical and ethical requirements for submission will also be addressed.
For more information about the AHCA/NCAL National Quality Award Program, please visit our website www.ahcancal.org