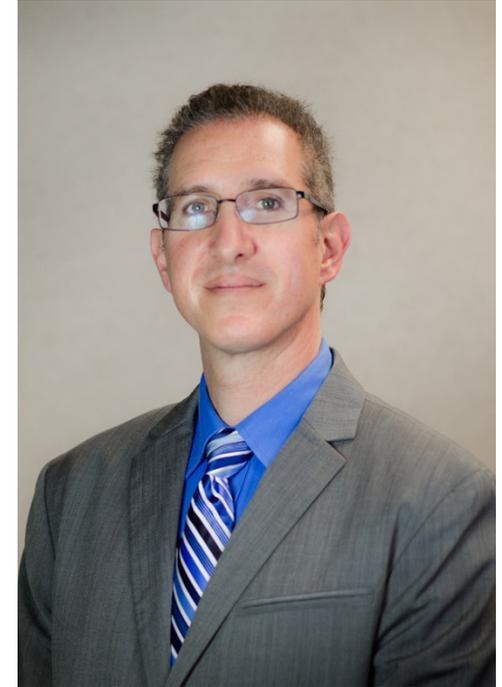


Advancing Through the KyCPE Program



Faculty Profile – Kenneth Maxik

- Mr. Maxik is the Director of Patient Safety and Pharmacy Compliance for CompleteRx Ltd. He brings over 20 years of hospital operations, management consulting, and healthcare executive experience to the firm. He is a Certified Master Black Belt in Lean Six Sigma, ISO 9001 Provisional Auditor, Senior Member of the American Society for Quality, and a Fellow in the American College of Healthcare Executives.
- He has managed a broad spectrum of engagements throughout the US in the areas of general operations improvement, pharmacy compliance, patient safety initiatives, and hospital benchmarking.
- Prior to joining CompleteRx, Mr. Maxik was a Regional Vice President for a pharmacy management firm. Mr. Maxik's professional experience also includes consulting work for a fortune 50 firm, and experience in hospital administration.
- He is a member of the Executive Committee for the Kentucky Association for Healthcare Quality and a member of the Board of Directors for the Kentucky Center for Performance Excellence.
- Mr. Maxik has a Masters in Business Administration from Syracuse University and a Bachelors of Science in Pharmacy from Albany College of Pharmacy.



Ken

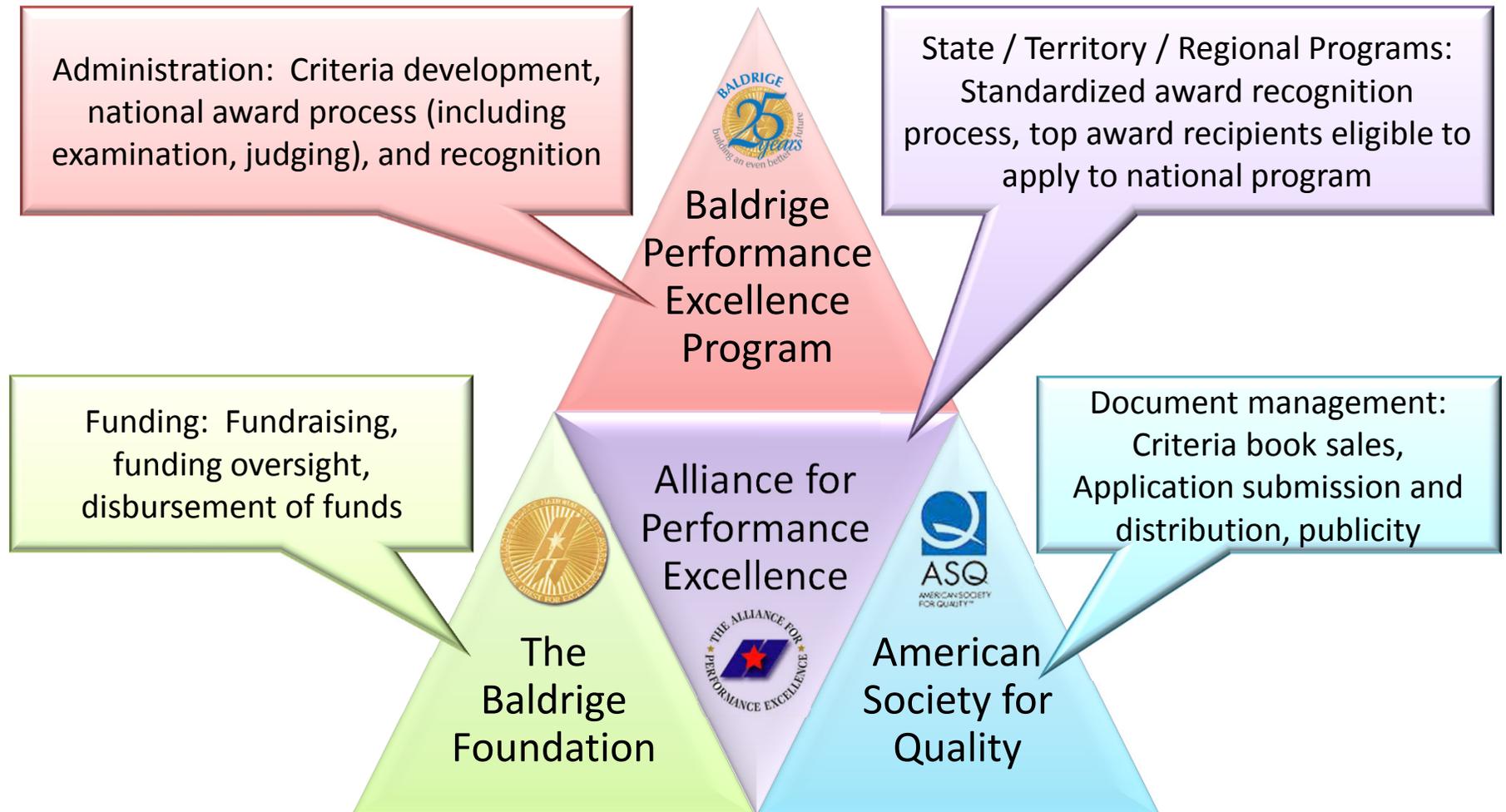
Objectives

- **Enhance understanding of the Performance Excellence program and the impact on organizations**
- **Be able to locate Process level and Results level items and how to begin**
- **Identify trends in advancing through the various levels of performance excellence**

Baldrige Program History

- The Malcolm Baldrige National Quality Improvement Act of 1987, Public Law 100-107
- Public-Private Partnership to promote business excellence by:
 - *Establishing criteria for evaluating improvement efforts*
 - *Identifying/recognizing role-model businesses*
 - *Disseminating/sharing best practices*
- Expanded to **health care and education (1999)**
- Expanded to **nonprofit / government (2005)**
- No longer publicly funded (2012)

The Baldrige Enterprise



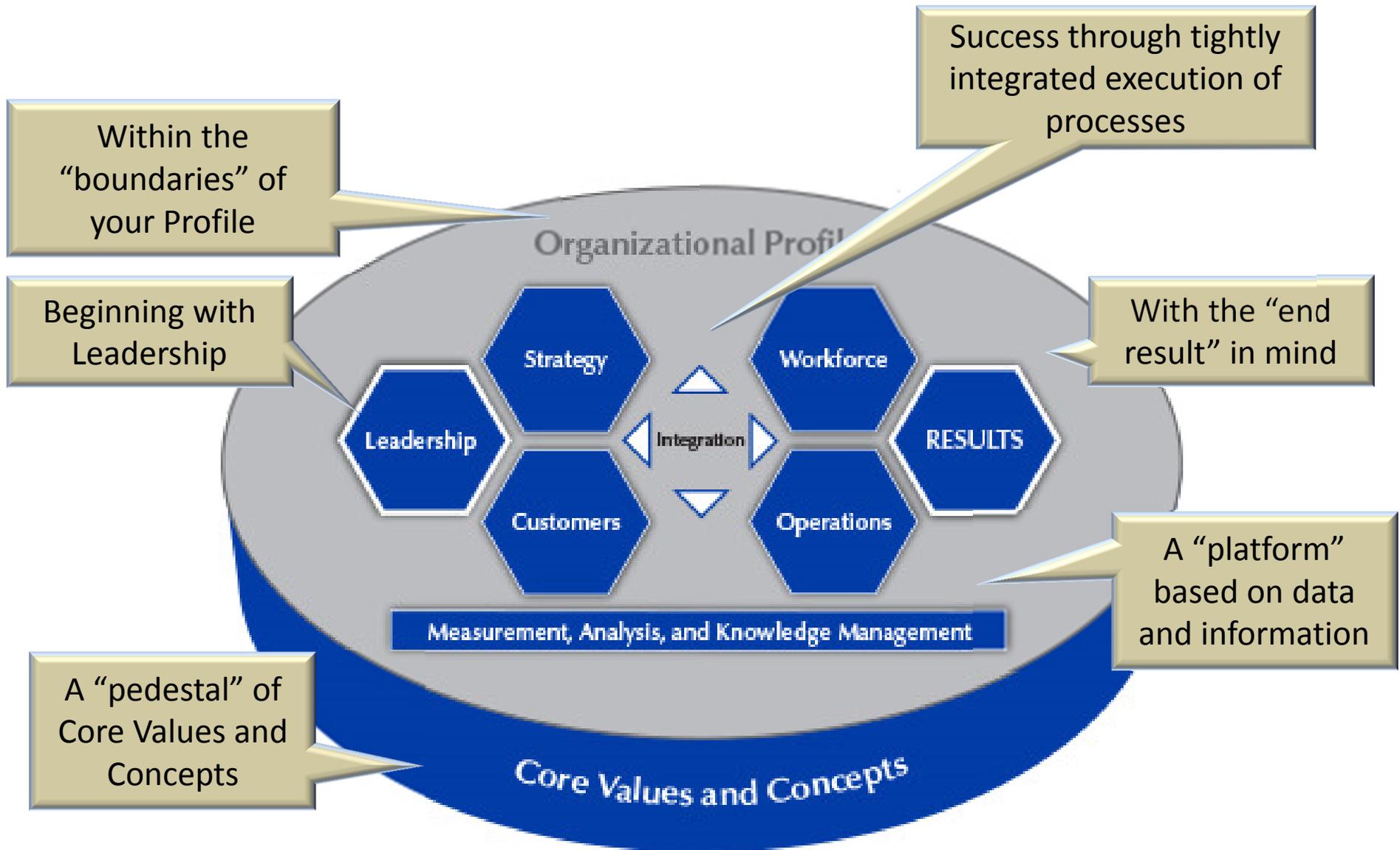
The Alliance for Performance Excellence website links to the National Baldrige Program website, State / Territory / Regional programs websites, and the Foundation.
www.baldrigepe.org www.kycpe.org

The Baldrige Framework is a very helpful tool:

- Promotes holistic thinking
- Breaks down silos and barriers
- Focusing Energy & Resources



The Framework



HOW TO ADVANCE THROUGH THE PERFORMANCE EXCELLENCE PROGRAM

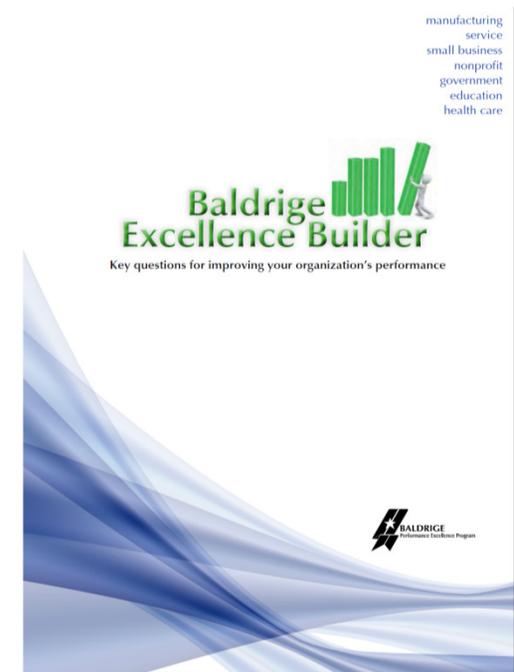


Criteria Overview

- 17 “Items” arranged in 7 “Categories”
 - Organizational Profile – 2 Items (not scored)
 - Who we are and what we do
 - What is important to us
 - Processes – 12 items in 6 Categories (550 points)
 - How we do what we do
 - Results – 5 Items in 1 Category (450 points)
 - How well we do what is important to us
 - How we know how well we’re doing

Plus, a “Baldrige Excellence Builder”

- Free download
- Full Profile Questions
- Overall level of the Criteria
- No Notes
- Different Scoring
- Abbreviated glossary
- Core Values & Concepts only listed, not described



Compare:

Full Item 4.2

Builder Item 4.2

4.2 Knowledge Management, Information, and Information Technology: How do you manage your organizational knowledge assets, information, and information technology infrastructure? (45 pts.)

In your response, include answers to the following questions:

a. Organizational Knowledge

- (1) **Knowledge Management** HOW do you manage organizational knowledge? HOW do you
 - collect and transfer WORKFORCE knowledge;
 - blend and correlate data from different sources to build new knowledge;
 - transfer relevant knowledge from and to CUSTOMERS, suppliers, PARTNERS, and COLLABORATORS; and
 - assemble and transfer relevant knowledge for use in your INNOVATION and strategic planning PROCESSES?
- (2) **Organizational LEARNING** HOW do you use your knowledge and resources to embed LEARNING in the way your organization operates?

b. Data, Information, and Information Technology

- (1) **Data and Information Quality** HOW do you verify and ensure the quality of organizational data and information? HOW do you manage electronic and other data and information to ensure their accuracy and validity, integrity and reliability, and currency?
- (2) **Data and Information Security** HOW do you ensure the security of sensitive or privileged data and information? HOW do you manage electronic and other data and information to ensure confidentiality and only appropriate access? HOW do you oversee the cybersecurity of your information systems?
- (3) **Data and Information Availability** HOW do you ensure the availability of organizational data and information? HOW do you make needed data and information available in a user-friendly format and timely manner to your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, and CUSTOMERS, as appropriate?
- (4) **Hardware and Software Properties** HOW do you ensure that hardware and software are reliable, secure, and user-friendly?
- (5) **Emergency Availability** In the event of an emergency, HOW do you ensure that hardware and software systems and data and information continue to be secure and available to EFFECTIVELY serve CUSTOMERS and business needs?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 47–54).

Notes

4.2a(1). Blending and correlating data from different sources may involve handling big data sets and disparate types of data and information, such as data tables, video, and text. Furthermore, organizational knowledge constructed from these data may be speculative and may reveal sensitive information about organizations or individuals that must be protected from use for any other purposes.

4.2b(2). Managing cybersecurity (the security of electronic data) includes, for example, protecting against the loss of

sensitive information about employees, customers, and organizations; protecting assets stored in the cloud or outside your organization's control; protecting intellectual property; and protecting against the financial, legal, and reputational aspects of data breaches.

For additional guidance on this item, see the Category and Item Commentary (http://www.nist.gov/baldrige/publications/business_nonprofit_criteria.cfm).

PROCESS

4.2 Knowledge Management, Information, and Information Technology: How do you manage your organizational knowledge assets, information, and information technology infrastructure?

- (1) HOW do you manage organizational knowledge?
- (2) HOW do you use your knowledge and resources to embed LEARNING in the way your organization operates?
- (3) HOW do you verify and ensure the quality of organizational data and information?
- (4) HOW do you ensure the security of sensitive or privileged data and information?
- (5) HOW do you ensure the availability of organizational data and information?
- (6) HOW do you ensure that hardware and software are reliable, secure, and user-friendly?
- (7) In the event of an emergency, HOW do you ensure that hardware and software systems and data and information continue to be secure and available to EFFECTIVELY serve CUSTOMERS and business needs?

Terms in SMALL CAPS are defined in the Glossary of Key Terms (pages 16–18).

- † Same Title and Basic-level Question
- † Same Overall Questions
- † “Small caps” font for glossary terms
- No point value
- No sub-item level (a, b, c)
- No item notes

Schedule

- November 2017 Intent to Apply due from Level 2-4 Applicants
- January 4, 2018 Application due from Level 1 Applicants wishing to be recognized at June 2018 Awards Conference
- January 5, 2018 Application due from Level 2-4 Applicants
- January - April 2018 Examination process
- May 2018 Applicants receive feedback report from Examiner Team
- June 2018 Annual Awards & Best Practice Sharing Conference

P.1 Organizational Description: What are your key organizational characteristics?

Describe your operating environment and your **KEY** relationships with **CUSTOMERS**, **suppliers**, **PARTNERS**, and **STAKEHOLDERS**.

In your response, answer the following questions:

a. Organizational Environment

- (1) **Product Offerings** What are your main product offerings (see the note on the next page)? What is the relative importance of each to your success? What mechanisms do you use to deliver your products?
- (2) **VISION and MISSION** What are your stated **PURPOSE**, **VISION**, **VALUES**, and **MISSION**? What are your organization's **CORE COMPETENCIES**, and what is their relationship to your **MISSION**?
- (3) **WORKFORCE Profile** What is your **WORKFORCE** profile? What are your **WORKFORCE** or employee groups and **SEGMENTS**? What are the educational requirements for different employee groups and **SEGMENTS**? What are the **KEY** elements that engage them in achieving your **MISSION** and **VISION**? What are your **WORKFORCE DIVERSITY** and job **DIVERSITY**? What are your organized bargaining units? What are your organization's special health and safety requirements?
- (4) **Assets** What are your major facilities, technologies, and equipment?
- (5) **Regulatory Requirements** What is the regulatory environment under which you operate? What are the applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and product regulations?

b. Organizational Relationships

- (1) **Organizational Structure** What are your organizational structure and **GOVERNANCE** system? What are the reporting relationships among your **GOVERNANCE** board, **SENIOR LEADERS**, and parent organization, as appropriate?
- (2) **CUSTOMERS and STAKEHOLDERS** What are your **KEY** market **SEGMENTS**, **CUSTOMER** groups, and **STAKEHOLDER** groups, as appropriate? What are their **KEY** requirements and expectations of your products, **CUSTOMER** support services, and operations? What are the differences in these requirements and expectations among market **SEGMENTS**, **CUSTOMER** groups, and **STAKEHOLDER** groups?
- (3) **Suppliers and PARTNERS** What are your **KEY** types of suppliers, **PARTNERS**, and **COLLABORATORS**? What role do they play in your **WORK SYSTEMS**, especially in producing and delivering your **KEY** products and **CUSTOMER** support services? What role do they play in enhancing your competitiveness? What are your **KEY** mechanisms for communicating with suppliers, **PARTNERS**, and **COLLABORATORS**? What role, if any, do these organizations play in contributing and implementing **INNOVATIONS** in your organization? What are your **KEY** supply-chain requirements?

P.2 Organizational Situation: What is your organization's strategic situation?

Describe your competitive environment, your **KEY STRATEGIC CHALLENGES** and **ADVANTAGES**, and your system for **PERFORMANCE** improvement.

In your response, include answers to the following questions:

a. Competitive Environment

- (1) **Competitive Position** What is your competitive position? What are your relative size and growth in your industry or the markets you serve? How many and what types of competitors do you have?
- (2) **Competitiveness Changes** What **KEY** changes, if any, are affecting your competitive situation, including changes that create opportunities for **INNOVATION** and collaboration, as appropriate?
- (3) **Comparative Data** What **KEY** sources of comparative and competitive data are available from within your industry? What **KEY** sources of comparative data are available from outside your industry? What limitations, if any, affect your ability to obtain or use these data?

b. Strategic Context

What are your **KEY STRATEGIC CHALLENGES** and **ADVANTAGES** in the areas of business, operations, societal responsibilities, and **WORKFORCE**?

c. PERFORMANCE Improvement System

What are the **KEY** elements of your **PERFORMANCE** improvement system, including your **PROCESSES** for evaluation and improvement of **KEY** organizational projects and **PROCESSES**?

KYCPE Program Application and Recognition Levels



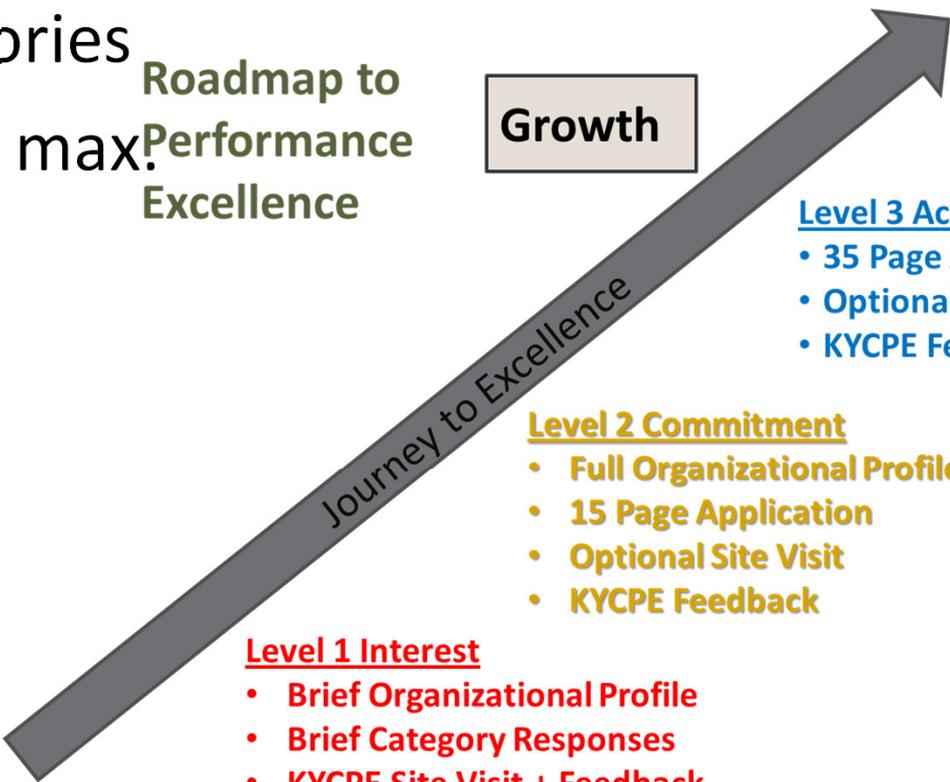
Continuing The Journey

- Level 2 – Complete Organizational Profile

- 7 Categories
- 15 page max!

Roadmap to
Performance
Excellence

Growth



- Level 4 Excellence
- 50 Page Application
 - Site Visit Required
 - KYCPE Feedback

- Level 3 Achievement
- 35 Page Application
 - Optional Site Visit
 - KYCPE Feedback

- Level 2 Commitment
- Full Organizational Profile
 - 15 Page Application
 - Optional Site Visit
 - KYCPE Feedback

- Level 1 Interest
- Brief Organizational Profile
 - Brief Category Responses
 - KYCPE Site Visit + Feedback



Baldrige Express – Self Assessment
Cross functional Survey, Feedback Report, Sector Comparison

Criteria for Performance Excellence

Process

SAMPLE

Item Number

Points

Item Title

Basic Requirement

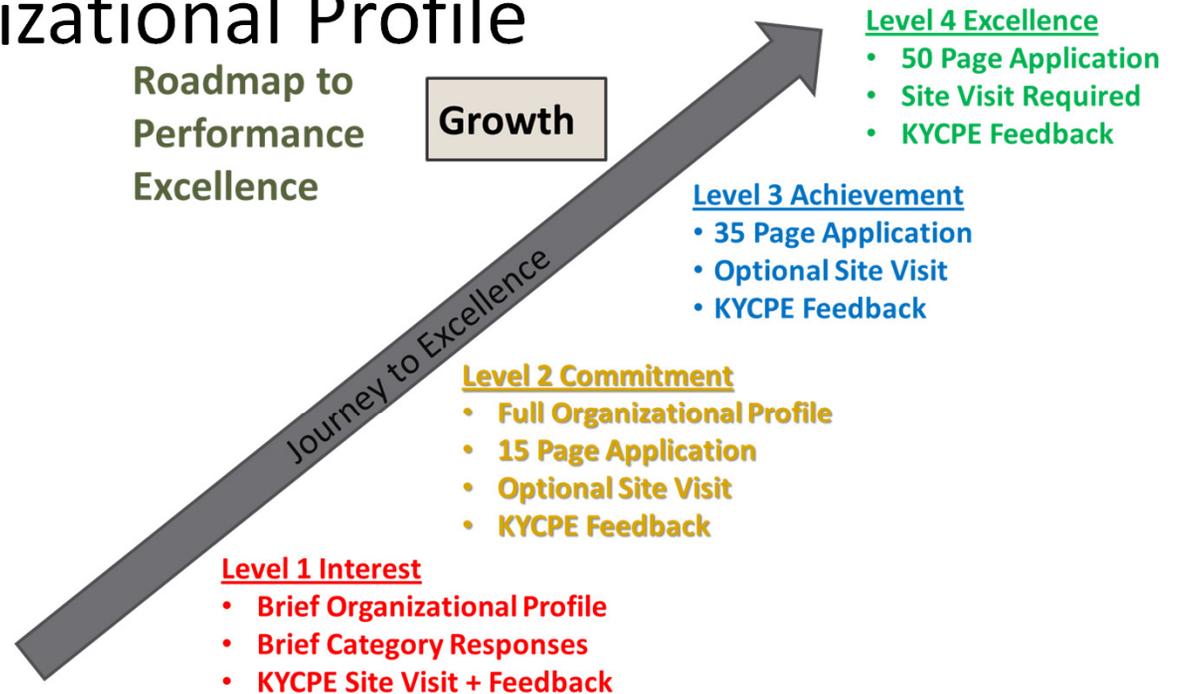
1.1 Senior Leadership (70 points)

**Describe how senior leaders guide and sustain your organization.
Describe how your senior leaders communicate with staff and encourage high performance.**

Continuing The Journey

- Level 3 - Organizational Profile

- 7 Categories
- 17 Items
- 35 page max.



Baldrige Express – Self Assessment

Cross functional Survey, Feedback Report, Sector Comparison

Criteria for Performance Excellence

1.1 Senior Leadership (70 points)

Describe how senior leaders guide and sustain your organization. Describe your senior leaders communicate with staff and encourage high performance.

Within your response, include answers to the following questions:

a. Vision and Values

- (1) How do senior leaders set organizational vision and values?
- (2) HOW do SENIOR LEADERS' actions demonstrate their commitment to legal and ETHICAL BEHAVIOR?
- (3) HOW do SENIOR LEADERS' actions build an organization that is successful now and in the future?

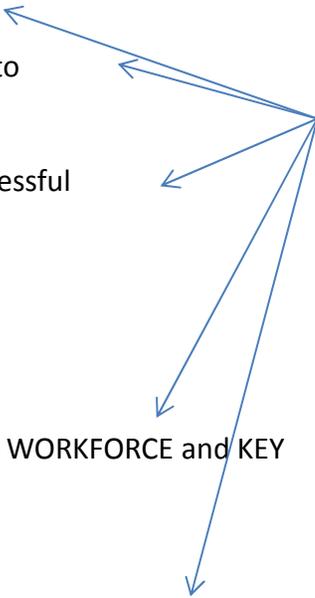
b. Communication and Organizational Improvement

- (1) HOW do SENIOR LEADERS communicate with and engage the entire WORKFORCE and KEY CUSTOMERS?
- (2) HOW do SENIOR LEADERS create a focus on action that will achieve the organization's MISSION?

Process

SAMPLE

Overall Requirements



KYCPE Tool

Leadership

1.1 Senior Leadership: How do your senior leaders lead the organization?

Criteria	A	D	L	I
Team Lead:	Team Members:			
(1) How do senior leaders set your organization's vision and values?				
(2) How do senior leaders' actions demonstrate their commitment to legal and ethical behavior?				
(3) How do senior leaders' actions build an organization that is successful now and in the future?				
(4) How do senior leaders communicate with and engage the entire workforce and key customers?				
(5) How do senior leaders create a focus on action that will achieve the organization's mission?				

Continuing The Journey

- Level 4 – Organizational Profile

- 7 Categories
- 17 Items
- 35 Areas
- 50 page max.

Roadmap to
Performance
Excellence

Growth



Level 4 Excellence

- 50 Page Application
- Site Visit Required
- KYCPE Feedback

Level 3 Achievement

- 35 Page Application
- Optional Site Visit
- KYCPE Feedback

Level 2 Commitment

- Full Organizational Profile
- 15 Page Application
- Optional Site Visit
- KYCPE Feedback

Level 1 Interest

- Brief Organizational Profile
- Brief Category Responses
- KYCPE Site Visit + Feedback

Baldrige Express – Self Assessment

Cross functional Survey, Feedback Report, Sector Comparison

Criteria for Performance Excellence

1.1 Senior Leadership (70 points)

Process

SAMPLE

Describe how senior leaders guide and sustain your organization. Describe your senior leaders communicate with staff and encourage high performance.

a. VISION, VALUES, and MISSION

(1) VISION and VALUES HOW do SENIOR LEADERS set your organization's VISION and VALUES? HOW do SENIOR LEADERS DEPLOY the VISION and VALUES through your LEADERSHIP SYSTEM; to the WORKFORCE; to KEY suppliers and PARTNERS; and to PATIENTS, other CUSTOMERS, and other STAKEHOLDERS, as appropriate? HOW do SENIOR LEADERS' personal actions reflect a commitment to those VALUES?

(2) Promoting Legal and ETHICAL BEHAVIOR HOW do SENIOR LEADERS' actions demonstrate their commitment to legal and ETHICAL BEHAVIOR? HOW do they promote an organizational environment that requires it?

(3) Creating a Successful Organization HOW do SENIOR LEADERS' actions build an organization that is successful now and in the future? HOW do they

- create an environment for the achievement of your MISSION, improvement of organizational PERFORMANCE, PERFORMANCE leadership, organizational LEARNING, and LEARNING for people in the WORKFORCE;
- create a WORKFORCE culture that delivers a consistently positive experience for PATIENTS and other CUSTOMERS and that fosters CUSTOMER ENGAGEMENT;
- create an environment for INNOVATION and INTELLIGENT RISK taking, achievement of your STRATEGIC OBJECTIVES, and organizational agility;
- participate in succession planning and the development of future organizational leaders; and
- create and promote a culture of PATIENT safety?

b. Communication and Organizational PERFORMANCE

(1) Communication HOW do SENIOR LEADERS communicate with and engage the entire WORKFORCE and KEY CUSTOMERS? HOW do they

- encourage frank, two-way communication, including EFFECTIVE use of social media, when appropriate;
- communicate KEY decisions and needs for organizational change; and
- reinforce HIGH PERFORMANCE and a PATIENT, other CUSTOMER, and health care focus by taking a direct role in motivating the WORKFORCE, including by participating in reward and recognition programs?

(2) Focus on Action HOW do SENIOR LEADERS create a focus on action that will achieve the organization's MISSION? HOW do SENIOR LEADERS

- create a focus on action that will improve the organization's PERFORMANCE, achieve INNOVATION and INTELLIGENT RISK taking, and attain its VISION;
- identify needed actions; and
- in setting expectations for organizational PERFORMANCE, include a focus on creating and balancing VALUE for PATIENTS, other CUSTOMERS, and other STAKEHOLDERS?

Level 2 - 4

The application process for Levels 2, 3 and 4 is a two stage process:

- File Intent to Apply
- Prepare and Submit Application Package

GETTING INVOLVED

7/28/2017

File Name Goes Here



24

Examiner Training

- <http://www.kycpe.org/examiner-resources>
- Application Due Oct 14, 2017



QUESTIONS