2020-2021

Florida Sterling

Case Study Preparation

Process

Case Study Evaluation (ADLI+I)
Evaluation Comments
Scoring

Purpose

The case study preparation is a follow-on assignment to reinforce what you learned during the "Evaluating Applications" training and to introduce you to the processes required of Sterling Examiners that are assigned to an applicant evaluation team.

Getting Started

All new Sterling Examiner candidates are assigned an experienced Sterling Examiner as a mentor to assist you throughout examiner training activities. If you do not yet have a mentor, contact the Florida Sterling Council.

Set aside adequate time to complete the case study assignments. Follow the instructions in this Guide to help ensure successful completion of all tasks. Working with your mentor be sure to complete all assignments on time and be open to feedback from your mentor; don't hesitate to contact your mentor if you encounter roadblocks.

The key deliverable is completion of the *Case Study Scorebook* file that must be emailed to the Sterling office by Wednesday, October 14, 2020 (refer to page 2 in the *Case Study Scorebook* file). This includes feedback comments (Strengths and OFIs), the Scoring Matrix for each Item, and your responses to the Questions on the last page of the *Case Study Scorebook* file.

Instructions

Key Steps	*Details*
Download needed files	• Go to the Sterling Website at www.floridasterling.com , click on *Learning & Development* in the selection ribbon, and select *Examiner Document Downloads*. • Download the *Case Study Key Factors Worksheet* and the *Case Study Scorebook* files. • "Save As" the *Case Study Scorebook* file and include your initials in the title after a dash (e.g., "Case Study Scorebook–ADH"). • Click through the *Case Study Scorebook* to become familiar with the content and follow the instructions on the first page for setting up the file.
Read the Entire Case Study	• Do a quick read of the entire case study, including the Organizational Profile, all the Process Categories, the Results in Category 7. • Make notes of significant processes and where you might expect to see results related to the process.
Item Evaluation	• You may complete each case study Category Item (*feedback comments and scoring*) in the *Scorebook* file in any order; perhaps complete Item 6.1 first (to understand the organization's key processes) or Item 2.1 (to understand the organization's strategies). • Complete both your feedback comments <u>and</u> scoring of an Item (e.g., 6.1) prior to starting the next Item. **Note**: Your mentor may assign you a particular Item to submit before you continue to evaluate the entire case study. The feedback from this assignment helps ensure that you are on the right track, and avoid work that might have to be re-done.

Read the Item Criteria Requirements	• Read the Criteria questions for each Category Item just prior to reading the case study responses. • Highlight key Criteria words/phrases to help you focus on the responses you would expect to find in the case study.
Select Key Factors	• For each Item, based on the Item criteria, select the most important and relevant 4 to 6 Key Factors from the *Case Study Key Factors Worksheet*. • Copy each of your selected Key Factors (the number and the description); • Paste into the Item page (Key Factors section at the top) in the *Case Study Scorebook*. • **Note**: Key Factors will vary among the Items depending on that Item's Criteria.
Read the Item's Responses in the Case Study	• Read the case study responses to the Criteria Item; do not use the Criteria as a checklist, rather as a foundation for the responses and based on the Key Factors. • As you read the responses, make notes of key information that will help in your evaluation of the thoroughness of the responses to the Criteria. • Keep in mind the Key Factors you selected for the Item.
Evaluate the Responses	• Note what the organization is, or is not, doing relative to the Criteria. • Note any relevant measures/results you might expect to see. • Evaluate the responses using the ADLI+I Evaluation Factors.

Evaluation Factors (ADLI+I)	***Approach (A):*** *refers to the methods used by an organization to address the Criteria Item questions in Categories 1-6. Approach includes the appropriateness of the methods to the Item questions.*
	▪ Is the approach systematic; i.e., repeatable steps, inputs, outputs, timeframes?
	▪ Is there evidence that the approach is effective?
	▪ Is this approach (or collection of approaches) a key organizational process?
	▪ Is the approach important to the organization's overall performance?
	
	Deployment (D): *the extent to which an approach is applied to address the Item questions. Evaluate deployment based on the breadth and depth the approach is applied to relevant work units and/or people throughout the organization.*
	▪ Is deployment addressed?
	▪ What evidence is presented that the approach is in use in all appropriate work units, facilities, locations, shifts, organizational levels, and so on?
	
	Learning (L): *in Evaluation Factor context, refers to new knowledge or skills acquired through evaluation, study, experience, and innovation.*
	▪ Has the approach been evaluated and improved? If it has, was it conducted in a fact-based, systematic manner—e.g., was it regular, recurring, data driven?
	▪ Is there evidence of organizational learning—evidence that the learning from this approach is shared with other organizational units/other work processes?
	▪ Is there evidence of innovation and refinement from organizational analysis and sharing; evidence that the learning is used to drive innovation and refinement?
	
	Integration (I): *As a process Evaluation Factor, integration covers the array from alignment of approaches in the lower scoring ranges to integration of approaches in the higher ranges.*
	    Alignment refers to consistency of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. It requires complementary measures and information use to plan, track, analyze, and improve at three levels: organization, key process, and work unit.
	    Integration refers to harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. Effective integration goes

	beyond alignment and is achieved when individual performance management system components operate as a fully interconnected unit. ▪ How well aligned is the approach with the organizational needs identified in other Criteria Items and the Organizational Profile? ▪ Are complementary measures and information used to plan, track, analyze, and improve on three levels: organizational, key process, and department or work-unit? ▪ How well is the approach integrated with organizational needs—strategic challenges, objectives, related action plans; mission, vision, goals; key processes and measures; key customer/market segments and requirements; and employee groups and requirements. ***Innovation (+I):*** *Making meaningful change to improve products/services, processes, or organizational effectiveness and create new value for stakeholders. Innovation is especially important for higher-scoring organizations.* ▪ Is there a consistent process or methods to encourage out-of-the-box thinking? ▪ Does the organization adopt or adapt ideas that lead to significant (rather than incremental) beneficial change? ▪ Is there evidence of calculated risk-taking?

Develop 5 to 8 Key Ideas	• Make a list of key ideas for Strengths and OFIs for the Category Item.
	
	• Prioritize your list into the 5-8 most relevant/significant ideas (Strengths and OFIs); these provide the basis for feedback comments.
	    o Take into account the organization's Key Factors;
	    o Consider the Evaluation Factors (ADLI+I).
	
	• Each idea/comment should be strongly linked to the ==Criteria language== (in <u>yellow highlight</u>).
	    o <u>Example</u>: *"The organization has a systematic process for ==determining key factors that affect workforce engagement==."*
	• Similar thoughts may be combined.
	    o <u>Example</u>: *"Methods for ==determining key factors that affect workforce engagement== and survey devices used for ==assessing engagement and satisfaction== include……"*
	• If there is an apparent gap (OFI) in a single Evaluation Factor (such as "<u>L</u>earning"), you may develop a single comment on just that Evaluation Factor for the Item.

Case Study Scorebook File	• Open the *Scorebook* file; read and follow the general instructions on page 2. • Note especially the due date and the address to submit your file. • **Read and follow the instructions in the Case Study Scorebook!** • Pay particular attention to pages 4 through 6: comment instructions and samples.
Write Case Study Comments	• The case study comments are a statement of your findings – a set of fragment or bulleted statements – based on your 5-8 key ideas. **Note**: The Criteria have been pre-populated in the left-hand column in the *Scorebook* file. ***Do Not Delete***! Copy, then Paste the Criteria words and phrases that you will use in your feedback comment. • Keep all comments in Criteria Item Reference Number order (e.g., 3.1a(1), 3.1a(2), etc.).

	• <u>**Copy**</u> the Criteria words/phrases that indicate the topic of each comment and paste into your comment. ***Do Not Delete the Criteria***!
	• <u>Retain the yellow highlight</u> for all Criteria words/phrases.
	• All text in an OFI comment is in <u>red font</u> (not red highlight). Click to the left side of OFI comments to easily change all text.
	• If there is no response in the case study to A, D, L, or +I, enter "N/A" or "None" in the appropriate *Scorebook* column.
	• You may have <u>both a Strength and OFI comment</u> for the same Criteria Area to Address [e.g., 3.1a (1)], <u>but</u> for different parts of the Criteria.
	o Example 3.1a(1) may have a Strength for interacting with customers and an OFI for not varying listening methods.
General Comment Guidelines	• Each comment should cover a single, complete thought that clearly states the strength or opportunity for improvement (OFI).
	• Use a polite, professional, and positive tone.
	• Use active voice and present tense.
	• Use specific application language where appropriate. For example, if the Applicant calls employees "team members," use that term.
	• Never use the organization's name or acronym. Use the term "organization" and refer to the organization as "it" (not "they").
	• Focus on substantive strengths and OFIs; prioritize into 5 to 8 key comments per Item based on the Key Factors.
	• It is possible to have a strength and an OFI for the same Criteria reference item, but you must clearly define what part of the Criteria is the strength and what part is the OFI.
	• Comments do not need to be complete, grammatical sentences; you may list, or summarize.
	• Be non-prescriptive. Do not use words, such as, "should," "would," or "fail" in comments.
	• Be non-judgmental. Do not use terms, such as, "impressive," "bad," "ineffective," "inadequate," "outstanding," etc. State observations factually.
	• Be reasonably actionable—use Scoring Guideline language to improve action-orientation in comments.
Strength Comment Structure	• Start the comment with the Criteria words and a summary of the organization's methods that support the Criteria.
	• Include enough detail and examples so that others reading the comment will understand the intent of the comment.
	• Summarize the comment with a link to a Key Factor that addresses the methods.
OFI Comment Structure	• Start OFI comments with, "It is not clear…" or "It is not evident…"
	• Provide a specific example of the gap relevant to the Criteria.
	• End OFI comments with a "so what" – what might occur because of the gap <u>and</u> based on the organization's Key Factors.

	• OFIs generally address only one Evaluation Factor (A, or D, or L).
Correlate Comments with Results	• For each comment (Strengths <u>and</u> OFIs) determine what key results you would expect to see in Category 7.
	• Review charts and information in Category 7 and enter the Figure Number(s) and a brief description in the Results column.
	• If results would not be expected for the comment, enter "N/A" in the Results column.
	• Note: If the results do not align with your comment, you may need to reconsider your comment.
	o Example the 3.1a(1) OFI comment for not varying listening methods; results found show a very favorable result related to the variety of listening methods.

Typical Results Locations (exact locations in Category 7 will vary be organization)

Process Category	*Results Typically Found In…*
Category 1 - Leadership	**7.4:** Leadership and Governance Results (leadership, governance, laws/regulations, ethics, societal, strategy implementation).
Category 2 - Strategy	**7.5:** Financial, Market, and Strategy Results.
Category 3 - Customers	**7.2:** Customer Results
Category 4 - Measurement, Analysis, Knowledge Management	**7.1 thru 7.5:** Organizational Performance & Improvement Results
Category 5 - Workforce	**7.3:** Workforce Results (capability/capacity, climate, engagement, development)
Category 6 - Operations	**7.1:** Product, Service, and Process Results (customer-focused product/service outcomes, work process effectiveness/efficiency, safety/emergency preparedness, supply-chain management)

Score the Item	• Determine the Item Score **Range**.
	o Review the Criteria questions and your comments; note the balance <u>and</u> importance of the strengths and OFIs.
	o Read the Scoring Guidelines for each Evaluation Factor (A, D, L, and I), starting with Approach.
	o Start at the 50-65% range; then read the next highest and next lower Score Range to determine which range best fits. **<u>Note</u>**: if there is no evidence of Innovation, the Item cannot score higher than the 50-65% range.
	o Place H, M, or L in the appropriate box to indicate the relative position within the Score Range.
	• Determine the Item Score **Overall Range.**
	o Determine the relative importance of each of the A, D, L, I factors and whether scores were at the higher or lower end of the range.
	o Place H, M, or L in the appropriate box for the Overall Score Range.
	• Note: The organization need not satisfy all four Evaluation Factors in a given Score Range. Rather select the range that is most descriptive of its level of achievement for the Item.
Complete All Items	• Complete all Items the *Case Study Scorebook* file: Key Factors, Comments, and Scoring.

Review Your Work	• **Comments**:
	o <mark>Criteria words are highlighted in yellow</mark> and include <u>only</u> the Criteria elements that your comment addresses;
	o Specific example/s for A, D, L, and/or +I (as appropriate) as they relate to the Criteria;
	o Relevant Key Factor identified in the Integration column for each comment;
	o No conflicts between Strengths and OFIs;
	o OFI comment rows in red text;
	o Results column completed for each comment, as appropriate;
	o Innovation column completed for each Strength comment, either a specific example of innovation, or "N/A" if there is no evidence.
	Scores:
	• Scoring Matrix completed for all Category Items 1.1 through 6.1.
Submit the Case Study Scorebook *File*	• Go to Page 3 in the *Scorebook* file and complete the Deliverables checklist.
	• Go to the last page in the *Scorebook* file and answer the 4 questions for the Case Study Debrief.
	• Check that your name is in the Header on all pages of the *Scorebook* file.
	• Email the *Case Study Scorebook* file to the Sterling Office: examiner@floridasterling.com