2012

Site Visit Manual

With Quick Start Guide—see page 3!

BALDRIGE
Performance Excellence Program

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SECTION 1

THE SITE VISIT PROCESS

Overview

Process

The Site Visit Review is a critical phase of the evaluation process. Site visits entail a team of Baldrige examiners traveling to an applicant's site(s) to more fully understand how well the organization is applying the Baldrige Criteria and concepts. The ultimate purpose of the site visit is to verify the team's understanding of key strengths and to clarify its understanding of key vulnerabilities. For each selected applicant that receives a site visit, the team will (1) communicate findings to the judges, (2) determine the feedback that is most relevant for the applicant, and (3) help ensure that the applicant can demonstrate role-model practices to the public should it be named an award recipient.

The Site Visit Team produces one deliverable: a Site Visit Scorebook. This scorebook represents the team's products, including Item Worksheets, Site Visit Issue (SVI) Worksheets, the Score Summary Worksheet, the Summary of Sites Visited, and the Key Themes, Key Factors, and Highest-Ranking Official (HRO) Worksheets. Through the production of this scorebook, the team reaches agreement on the applicant's strengths and opportunities for improvement (OFIs), the resulting scoring range for each item, and the overall scoring band for process items as well as for results items. The work of the team is accomplished through planning, focusing on what is most important to the applicant, communicating effectively among the team members and with the applicant, and contributing to a shared understanding of the applicant's key strengths and vulnerabilities.

The site visit includes planning, on-site, and post-site activities. The on-site and post-site activities require five-to-seven days, depending on the size and complexity of the applicant. Before the site visit, the team leader (in conjunction with team members) does extensive planning, which is conducted primarily by telephone and through the Baldrige Online Scoring Solution (BOSS). On the Sunday before the first day on-site, all team members meet at their hotel to finalize strategies, plans, and assignments and to review documents. The next day, the team visits one or more of the applicant's locations. Later in the week, after the on-site portion of the site visit ends, team members have no further contact with the applicant—yet they continue to work together to complete the scorebook.

The Site Visit Scorebook is finally submitted to the Panel of Judges. The scorebook, along with a conference call between the panel and team leader, forms the basis for the panel's decision on whether or not to recommend the applicant for the award. The scorebook is also the basis of the feedback report for the applicant.

The Site Visit Team

A Site Visit Team typically consists of at least seven members from the Board of Examiners. The number and composition of team members depend on the size of the applicant and the anticipated complexity of the site visit.

The team includes at least two senior or alumni examiners—typically, one serves as team leader and the other serves as the backup team leader—who have received training on the site visit process. Often examiners who have participated in the Consensus Review for the applicant are assigned to the Site Visit Team. Additional team members are selected based on experience, sector knowledge, and availability. Roles such as scorebook editor, Criteria cop, and process checker are assigned to various team members. Also participating in the site visit is a National Institute of Standards and Technology (NIST) monitor, who does not take part in the evaluation process but helps to ensure that a consistent review process is followed for all site visits.

Preparation: Quick Start for Team Members

Step	Action	Reference/Background
	Upon notice by August 30 that your applicant is selected to receive a site visit…	
1	Work with the NIST monitor and your team to make travel arrangements.	See page 19.
2	Attend all planning calls.	The team leader (TL), NIST monitor, and the Baldrige Program's contractor ASQ share critical information and guidance during these calls.
3	Review site visit materials on the Examiner Resource Center, including those under Site Visit Review and On the Board.	The Examiner Resource Center: http://www.nist.gov/baldrige/examiners/resource_center/
4	In this manual, scan the Table of Contents to learn about available resources, and review the sample calendars for site visit planning and the flow charts of the site visit.	See pages 1-2 and 7–11.
5	Read carefully the first two sections of this manual: The Site Visit Process and Preparing the Site Visit Scorebook.	These sections start on pages 3 and 24, respectively (also available online in the Examiner Resource Center).
6	Review the entire Consensus Scorebook for your applicant—not just the items you will lead.	Access the Consensus Scorebook on BOSS.
7	For your assigned process and results items, BOSS will transfer the comments from the first column on the Consensus Review Worksheets to the process or results Item Worksheets for site visit.	You can find additional information on process and results Item Worksheets for site visit in the Examiner Resource Center.
8	On BOSS, draft high-level site visit issues (SVIs) on the process Item Worksheets to verify and clarify Consensus Review comments, especially bolded comments and all OFIs, and share with your team.	See page 34.
9	Using the Strategy Tool on BOSS, draft strategies to resolve SVIs for process items.	See pages 39 and 40.
	List staff members or groups in the applicant's organization whom you wish to interview and the questions you will ask them to help resolve the SVI.	This list will be used by the TL to develop a plan for the interviews.
	Develop a list of documents that you wish to review. Remember to include all documents referenced in the application.	BOSS will aggregate the document requests into a consolidated list of requested key documents. This list will be submitted to the applicant.

	Develop 1–2 walk-around questions about key processes and the use of data and information from the items that you lead, and use them to randomly question the applicant's employees at all levels of the organization.	This is generally a good approach to verify effective deployment of data, information, and key processes.
10	Develop 2–3 cross-cutting questions for the senior leadership meeting that are relevant to the items you lead. Also, if needed, share with the TL questions that you would like the highest-ranking official (HRO) to answer.	This meeting generally follows the opening meeting with the applicant.
11	Depending upon the complexity of the site visit, identify which sites you wish to physically visit and which will be accessed through video/telephone conferences. Determine which work shifts the team should visit to cover a thorough cross section of employees.	Share this with your TL or designee for planning purposes. Selecting sites to physically visit to check deployment and other operations is a strategic decision made by the TL in consultation with the applicant and the NIST monitor.
12	Using the feedback panel in BOSS, review the SVIs and strategies of other team members.	Provide feedback as needed. Pay attention to the accuracy of results information (e.g., figure numbers, names, and data) captured on the worksheets.
13	Review the applicant's updated results, and reassess your analyses based on these updates *in advance* of the site visit.	Updated results will arrive about one week before the site visit. Update your results SVI Worksheet(s), as appropriate.
14	Pack your bags! All of the prework done above will save you much time and energy on-site. Remember to take comfortable shoes, good pens and paper, and, very important, a sense of humor.	

2012 Week 1 Site Visits (HC, Mfg., Service)

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
August 26	27	28	29	30	31	September 1
	Labor Day		**Judges' Meeting 8/29/12**	9/6—Call with Judge and Team Leaders (for those unable to be on the 9/5 call)		
—Ongoing— NIST monitor contacts team leader, monitors team's processes.			9/5—Call with Judge and Team Leaders			—Ongoing— Team leader & NIST monitor continue contact with OCP.
	3	4	5	6	7	8
	Team receives site visit materials.	Team members review just-in-time materials on Examiner Resource Center & scorebooks from BOSS.				
		Team leader & NIST monitor contact applicant's official contact point (OCP).		Team members develop SVIs, SVI Worksheets, and Strategy Tools for assigned items on BOSS.		
		Team leader & backup continue planning process, create schedule, & finalize assignments for item leads & backups.				
9	10	11	12	13	14	
This week, team leader & backup team leader coordinate planning calls, logistics, & schedule (including travel).		Team members develop SVIs, SVI Worksheets, and Strategy Tools on BOSS.				
16	17	18	19	20	21	22
		Team members review each other's Strategy Tools & SVI Worksheets.		Examiners receive updated results.		
—Ongoing— Team leader & team members conduct at least 3 planning calls.			Applicant submits updated results.	Team leader sends 1st-day interview schedule & document request list to OCP.		
	24	25	26	27	28	29
	Team members review each other's Strategy Tools & SVI Worksheets.			Team downloads PDFs of Item Worksheets, SVI Worksheets, and Strategy Tools to take to site.		Team members travel to hotel.
		Team leader sets tentative agenda for Sunday planning meeting.				
30	October 1	2	3	4	5	6
Team meets at noon at hotel to review strategies and documents and finalize plans.						

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2012 Week 2 Site Visits (Ed., SB, NP)

8/30 – 8/31 NIST finalizes Site Visit Teams (assigning "new adds" when necessary).

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
September 2 — Judges' Meeting 8/29/12	3	4	5 — 9/5—Call with Judge and Team Leaders	6 — 9/6—Call with Judge and Team Leaders (if unable to be on the 9/5 call)	7	8

Team receives site visit materials.

Team leader & NIST monitor contact applicant's official contact point (OCP).

Team members review just-in-time materials on Examiner Resource Center & scorebooks from BOSS.

—Ongoing— NIST monitor contacts team leader, monitors team's processes.

9	10	11	12	13	14	15

Team leader & backup continue planning process, create schedule, & finalize assignments for item leads & backups.

—Ongoing— Team leader & NIST monitor continue contact with OCP.

16	17	18	19	20	21	22

This week, team leader & backup team leader coordinate planning calls, logistics, & schedule (including travel).

Team members develop SVIs, SVI Worksheets, and Strategy Tools for assigned items on BOSS.

23	24	25	26	27	28	29

Applicant submits updated results.

Examiners receive updated results.

Team leader sends 1st-day interview schedule & document request list to OCP.

—Ongoing— Team leader & team members conduct at least 3 planning calls.

	October 1	2	3	4	5	6

Team reviews updated results and revises Strategy Tools and SVI Worksheets, as appropriate.

Team downloads PDFs of Item Worksheets, SVI Worksheets, and Strategy Tools to take to site.

Team leader sets tentative agenda for Sunday planning meeting.

Team members travel to hotel.

7	8	9	10	11	12	13

Team meets at noon at hotel to review strategies and documents and finalize plans.

Site Visit Process Sequence of Tasks

Planning Phase

Days Out
NIST finalizes Site Visit Teams (assigning "new adds" when necessary).

30+ Days
NIST identifies Site Visit Team leaders, backups, & NIST monitors.

Ongoing
NIST monitor contacts team leader & monitors team processes.

27 to 25 Days
Team members review just-in-time materials on the Examiner Resource Center.

27 Days
Team receives site visit materials.

27 to 25 Days
Team leader & NIST monitor contact applicant's official contact point (OCP).

27 to 25 Days
Team leader requests that applicant assemble documents referenced in application; reminds applicant to submit updated results.

27 to 23 Days
Team leader & backup begin planning & create schedule.

Ongoing
Team leader & NIST monitor continue contact with OCP.

27 to 23 Days
Team leader & backup coordinate:
- planning calls
- logistics
- Site Visit Issues (SVIs)
- site visit schedule (including travel).

23 Days
Team leader & backup finalize assignments for item leads & backups.

23 to 20 Days
Team members access scorebooks on BOSS.

23 to 0 Days, at Least 3 Calls
Team leader & team members conduct planning call(s):
- review key factors
- review key themes
- provide guidance on SVI development, including Strategy Tools
- discuss/finalize schedule
- discuss/finalize logistics
- discuss/finalize travel plans.

23 to 14 Days
Team members develop SVI Worksheets and Strategy Tools for assigned items on BOSS.

Sept. 5
Team leader has conference call with chair of Judges Panel.

Sept. 6
Makeup call with chair of Judges Panel

14 to 10 Days
Team members review each other's Strategy Tools and SVI Worksheets.

10 Days
Team members revise Strategy Tools and SVI Worksheets on BOSS.

10 Days
10 days before site visit, team leader sends 1st- day interview schedule & 1st document request to OCP.

10 Days
Applicant submits updated results.

8 Days
Examiners receive updated results.

7 Days
Team reviews updated results & revises SVI Worksheets – Results, as appropriate.

7 to 3 Days
Team leader sets tentative agenda for Sunday planning meeting.

7 to 3 Days
Team downloads BOSS documents as PDFs to take to site.

1 Day Out
Team travels to site visit city.

0 Days Out
Team meets Sunday noon at hotel to review strategies, finalize plans, and review documents.

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On-Site Phase

On-site: team conducts opening meeting. → Team caucus → Team leader, backup, & NIST monitor meet with highest-ranking official (HRO). → Team members meet with applicant category leads; request documents.

Team members conduct other meetings, as appropriate; request documents.

Every Day
If possible, team caucuses at least twice. Review documents, etc., & identify missing information. NIST monitor meets with OCP at end of day to debrief.

Walk the Wall

Every Evening
Conduct debrief meeting at hotel or via conference call:
- review documents
- identify missing information
- prepare/revise next day's schedule
- complete SVI Worksheets & post on wall (proceed with "Walk-the-Wall" steps).

All team members review & provide input, including NIST monitor.

Team members finalize SVI Worksheets based on feedback. → Team members revise Item Worksheets & post on wall for review. → All team members review & provide input, including NIST monitor.

Last day on-site?

No

Yes

Team conducts closing meeting; no additional information is gathered from applicant after this meeting. → Go to next page

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Post-Site Phase

Team Collaboration & Walk the Wall

Team members finalize Item Worksheets. → Team members discuss & finalize key factors & key themes; post on wall for review. → Team members review & provide input. → Team revises key factors & key themes based on review.

Team completes Score Summary Worksheet & Summary of Sites Visited. → Team consolidates computer files. → Team assembles scorebook. → Examiners sign scorebook signature page. → Team leader & backup keep an electronic copy of the Site Visit Scorebook.

NIST monitor collects applicant documents, calls OCP, contacts shipping services, and arranges for shipment of materials. → Monitor returns to NIST with electronic file of scorebook and optional hard copy. → Team leader imports worksheets and posts documents to BOSS and revises, as needed, by midnight Eastern Monday after site visit. → To prepare for Judges' Meeting & tech edit call w/ lead judge & NIST monitor, team leader reviews Site Visit Scorebook as needed.

Team leader & backup provide NIST with contact information for days of Judges' Meeting. → Team leader gathers contact information for all team members for days of Judges' Meeting. → Team leader continues to prepare for Judges' Meeting & tech edit call. → Judges' Meeting: team leader participates.

Team leader participates in tech edit call with lead judge & NIST monitor:
- Review judges' recommended changes to scorebook.
- Provide two-way feedback on Judges' Meeting.

→ NIST generates feedback report & sends to applicant.

2012 Timeline

August 29	Judges meet to select applicants to receive site visits.
August 29	Applicants and team leaders are notified.
August 30 - September 3	New team members are assigned; team members receive packages with site visit materials.
August 30 - September 9	Team leaders and NIST monitors initiate and maintain regular contact with the applicants' official contact points (OCPs).
September 5	Site visit team leaders conference call with Chuck Chada, chair of the Panel of Judges, Harry Hertz, and BPEP from 4 pm to 5 pm Eastern
September 6	For team leaders unable to attend the September 5 conference call and for backup team leaders, a conference call is conducted with Chuck Chada from 4 pm to 5 pm Eastern
August 29 - September 29	Teams plan site visits to health care, manufacturing, and service organization
August 29 - September 29	Teams plan site visits to education, small business, and nonprofit organizations
September 30 - October 8	Site visits to health care, manufacturing, and service organizations take place.
October 7 – 13	Site visits to education, small business, and nonprofit organizations take place.
November 5 – 9	Judges meet to recommend award recipients.
After judging…	Lead judge, team leader, and NIST monitor review the final Site Visit Scorebook.

Roles and Responsibilities

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
TEAM LEADER (TL)	• Serves as contact point for OCP and NIST monitor • Manages completion of scorebook components • Works closely with backup TL to help the team work effectively • Assigns leads and backups for all items (if possible, TL does not lead any items, allowing more time to back up and coach the entire team)	• Calls team members and OCP • Drafts tentative site visit plan and shares plan with team and NIST monitor • Works with the team to develop and finalize SVIs, focusing on issues of central importance to Criteria and applicant • Prepares a list of documents for team review, aggregated in BOSS, to request from the OCP, as well as a tentative interview schedule. If appropriate, interview requests include staff at multiple locations • Keeps OCP apprised of plans during regularly scheduled telephone calls • Notifies NIST monitor of intersite travel, if applicable • Completes and forwards necessary forms to ASQ • Develops a timeline to help manage the work of the team throughout all phases of the Site Visit Review • Downloads all items, SVI Worksheets, and Strategy Tools as PDFs to take to site	• Leads development of, reviews, and finalizes site visit strategy, agendas, document requests, and interview schedules • Sends OCP the document request list and a tentative agenda for day one of the site visit ten days in advance • Prepares for opening meeting, featuring NIST slides • Reviews requested documents	• Begins opening meeting using NIST slides and providing brief remarks • Makes adjustments to the site visit plan as required • Monitors progress on completion of SVI Worksheets • Keeps the team on task and on schedule • Plans and conducts caucuses to help keep the team focused on key themes and other important issues • Informs OCP of changes and needs • Conducts HRO interview, with NIST monitor, and completes HRO Interview Worksheet • Ensures that the team has all relevant information and documents to close out each SVI before ending the on-site phase • Ends the site visit with a short "thank you" and next steps, using NIST slides, at the closing meeting at the applicant's location	• Provides the team with a time frame for completion • Facilitates discussion of findings and review of scorebook components • Reviews scorebook and provides edits as necessary • Ensures that SVI, Item, and Key Themes Worksheets are appropriately prepared, reviewed, finalized, and imported to BOSS • Retains an electronic copy of all Item Worksheets and SVIs in PDF and other documents in Word. (Keeping a paper copy is optional.) • Reviews and edits the scorebook as necessary after leaving the hotel, using BOSS or importing any changes to BOSS, by midnight PDT on Monday after site visit • Prepares for the judges' call in November • Responds to and works with NIST and judges to address questions/ comments on Site Visit Scorebook after Judges' Meeting

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
BACKUP TEAM LEADER	• Steps in for the TL if the TL is unable to go on-site • Works closely with TL to plan, coordinate, and communicate with the team • Serves as a mentor for team members on-site and assists as needed to keep the team on track • May not have items to lead in order to help coach team members	Assists TL as needed. For example, the backup TL could • review the draft site visit plan • review other team members' SVIs and give feedback on improvements • schedule planning calls • suggest item and other team assignments • draft call agendas • take the lead in site visit logistics planning • join TL/NIST monitor on planning call(s) • review the initial document request and edit as needed • orient new team members • review confidentiality requirements • participate in planning calls with TL and OCP • review, manage, and track the leadership questions, walk-around questions, and/or interview requests	Assists TL as needed. For example, the backup TL could • draft the agenda for the team's Sunday planning meeting at the hotel • coordinate the initial document request • mentor less-experienced teammates • review requested documents	Assists TL as needed. For example, the backup TL could • mentor less-experienced teammates • take the lead on the Key Factors Worksheet, Key Themes Worksheet, and/or Summary of Sites Visited • track progress on completion of SVIs • keep team on task and on schedule • lead daily debrief and/or caucus discussions • take leadership role for traveling teams so TL can remain at headquarters	Assists TL as needed. For example, the backup TL could • facilitate the discussion of findings and review of scorebook components • review the scorebook and provide edits as necessary • ensure that SVI, Item, and Key Themes Worksheets are appropriately prepared, reviewed, and finalized • retain an electronic copy of the Site Visit Scorebook (a paper copy is optional) • help TL prepare for the judges' call in November

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
TEAM MEMBERS	• Plan, maintain focus, contribute, and communicate effectively in performing assigned site visit tasks • Meet TL's and backup TL's schedules and deadlines	• Arrange transportation to and from the site (between home and hotel) and provide travel details to ASQ • Review evaluation materials • Review online training materials • Working with item backup, develop SVIs and start work on SVI Worksheets and Strategy Tools • Review rules of conduct • Complete other assignments (consolidate document requests, establish interview schedule, etc.) • Provide feedback on team's SVIs and Strategy Tools • Exports all assigned documents as PDFs to take to site	• Finalize interview plans, the list of required documents, and strategies for SVI Worksheets and Strategy Tools by the deadlines established by the TL • Attend and participate in Sunday planning meeting at hotel • Review requested documents	• Work in pairs for 2–4 days on-site • Gather information to clarify and verify assigned SVIs • Conduct interviews with applicant's representatives • Review documents and data • Attend all team caucuses and meetings • Take thorough notes • Record findings and conclusions on SVI Worksheets as site visit progresses • Have all documents needed to close out all SVIs before the closing meeting, which marks the end of the on-site phase	• Share findings with team at team caucuses/meetings • Update SVI Worksheets, seeking shared understanding among team members • "Walk the wall" to review and provide feedback for all SVI, Item, and Key Themes Worksheets • Complete scorebook components, building on content of the Consensus Scorebook • Review scorebook components of other team members • Stay with team until scorebook is completed and signed by all team members (2-to-3 days after the on-site phase)

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
SCOREBOOK EDITOR (TL, backup TL, or another team member)	Ensures that the scorebook adheres to Criteria requirements and follows the Comment Guidelines	SAME AS TEAM MEMBERS	SAME AS TEAM MEMBERS	SAME AS TEAM MEMBERS	In addition to team member responsibilities, - clarifies and aligns the language among item comments and key themes - eliminates any conflicts between strengths and OFIs within and between items and key themes - ensures that all statements such as "it is not clear," "it does not appear that," and "it is not evident" are changed to reflect the findings of the site visit - revises scorebook as necessary to ensure that comments adhere to Comment Guidelines

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
NIST MONITOR	• Assists the team and TL in planning and conducting the site visit • Assists the applicant in under-standing the site visit process and serves as a contact for the applicant to address issues and concerns	• Monitors the process • Supports TL in planning the site visit • Answers questions • Provides coordination and guidance • Contacts OCP to explain the process and answer questions • Reviews draft SVI Worksheets and Strategy Tools • Participates in planning calls • Coordinates with OCP delivery of documents requested before Sunday planning meeting • Downloads all documents as PDFs before leaving for site	• Supports TL • Stays in contact with OCP • Ensures that all necessary equipment and supplies are available before the beginning of the Sunday planning meeting • Ensures that the team room is set up appropriately • Coordinates arrival of applicant materials at team room before the Sunday planning meeting • Attends Sunday planning meeting to monitor the process and provide logistical assistance	• Attends HRO meeting with TL • Attends team meetings • Answers process questions from applicant and team • Keeps OCP apprised of plans and answers questions each day • Provides logistical support for team (hotel issues, food, etc.) • Serves as the contact person to deal with on-site problems or issues • Coordinates pickup of the applicant's materials at the end of the visit • Reinforce new Category Best Recognition requirements to OCP	• Assists team with logistics of BOSS, printing, and posting • "Walks the wall" to review the work of the team and provides feedback related to the process and Comment Guidelines • Reviews the Site Visit Scorebook, checking comments for consistency with Comment Guidelines • Prepares summary of applicant's highlights for Judges' Meeting • Prepares summary of applicant used in briefing the Secretary of Commerce about award recommendations • Provides copies of the Site Visit Scorebook to TL and backup TL and retains an electronic copy (also retaining a paper copy is advisable) • Ensures that all applicant materials are returned to OCP at completion of the site visit

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & SUNDAY PLANNING MEETING	ON-SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
JUDGES	• Recommend applicants to receive the award	• Chair conducts training conference call for TLs			• Review scorebooks after site visits • Lead judge for each applicant: prepare highlights for briefing other judges • Recommend award recipients & Category Best Recognition • Conduct evaluation of judges' process • Review and edit feedback reports
OCP or ALTERNATE OCP	• Works with TL and NIST	• Coordinates arrangements, including on-site meeting space • Works with TL on scheduling and logistics for interviews • Provides information to TL and NIST monitor • Schedules intersite travel and travel of team to/from hotel, as needed • Provides updated data for results charts and graphs	• Based on TL's request, compiles documents and arranges meetings for first day of site visit • Ensures applicant documents arrive at the hotel conference room before Sunday planning meeting • Arranges logistics and prepares for opening meeting presentation	• Works with TL to schedule interviews • Provides intersite transportation • Provides additional requested documents • Coordinates adjustments to schedule as needed • Informs NIST monitor of any concerns or questions about Site Visit Team interactions	• At the completion of the site visit, picks up all materials from NIST monitor

Logistics

Airlines

To and from the Site

Each examiner reserves and purchases his/her airline tickets to and from the site. The team leader, in conjunction with the NIST monitor, provides guidance on airports and the latest arrival and earliest departure times that may be scheduled. Please ensure that arrival and departure times are sufficient to arrive before the Sunday planning meeting begins, and *do not plan to depart* **until after the Site Visit Scorebook is complete**, e.g., late Saturday afternoon. Examiners may be reimbursed for travel expenses incurred during the site visit. Airline tickets are reimbursed at the coach fare advance-purchase price. Inform your NIST monitor if you will require reimbursement.

Intersite Travel

Airline travel between sites is the applicant's responsibility. **Examiners do not purchase airline tickets for travel between sites**. ASQ will make all hotel reservations and cover the hotel payment for your intersite travel.

Rental Cars

The team leader and the NIST monitor determine the number of rental cars needed and which team members may be reimbursed for rental cars. Without approval by NIST before the site visit, payment for rental cars will be the examiner's responsibility.

Ground Transportation

Between Home and Airport

The following are acceptable modes of ground transportation:

- a privately owned vehicle: mileage will be reimbursed at the rate of $0.555 per mile
- taxis and shuttles

Inform your NIST monitor if you will require reimbursement.

The Baldrige Program discourages the use of private limousine services if more reasonably priced alternatives are available.

Airport to Hotel

If the applicant offers to provide transportation to the hotel, team members may accept it. Otherwise, team members make their own arrangements for taxis or shuttles. The team leader will provide guidance.

Hotel to Site

The applicant is responsible for providing transportation for the team (e.g., a professional shuttle service or an applicant-supplied vehicle with a driver). Team members *may not* drive vehicles provided by the applicant.

Hotel to Airport

Team members are responsible for arranging their own transportation to the airport. Team members may coordinate their travel to the airport if several are departing at the same time. ASQ and the monitor will provide guidance.

Hotel

Hotel Rooms

All hotel rooms are billed to the master account. A block of rooms will be reserved at the chosen hotel. Examiners do not need to reserve or pay for the rooms.

> If an examiner is traveling to another site, will need a hotel at that site, and has requested reimbursement, the examiner must check out of the hotel room at the home site and re-register upon return. ASQ will make reservations at the home site hotel for the days the examiner will be there. Federal travel regulations will not permit reimbursement to an examiner for two hotel rooms for the same day. *It is essential that team leaders inform NIST of all intersite travel plans so that hotel reservations can be made.*

Conference Room
ASQ secures a conference/meeting room for the team to work in throughout the Site Visit Review and scorebook writing process.

Meals/Refreshments at Your Site Visit Hotel
Meals and refreshments will be delivered to the conference room. Meals taken in the conference room are billed directly to the master account. Individual examiners must pay for all other meals. For examiners who will be reimbursed by the Baldrige Program, itemized receipts—not solely a credit card receipt—are required, and the reimbursement rate will not exceed the meal per diem rate for that location.

Telephone Calls
The Baldrige Program will reimburse one daily phone call to the examiner's home. Telephone calls made in direct support of the Site Visit Review are reimbursed for the full amount. Assistance will be provided to set up conference calls required by the team to meet during and/or at the end of the day.

Expense Reimbursement
Examiners requesting reimbursement *must* inform their NIST monitor in advance. Those submitting expenses for reimbursement must complete the 2012 MBNQA Examiner Expense Report (available in the [Examiner Resource Center](#)); attach clear, legible copies of the original receipts; and submit to ASQ for reimbursement.

All expense requests must be submitted no later than 30 days after the site visit's completion.

Nonreimbursable Expenses
The following expenses are not reimbursable: alcohol; tips for curbside airline check-in, housekeeping, concierge, and bellhop services; and wireless Internet charges in guestrooms.

Office Supplies
Office supplies will be provided for the team at the hotel.

Computer Use Instructions

During a planning conference call, the team will discuss the following practices and considerations relating to personal computer use. Please follow this guidance in preparing for the site visit.

In General
- Bring your own laptop computer and flash drive on the site visit. The NIST monitor will inquire about the availability of laptop computers and appropriate software before the site visit.
- Ensure that your virus software is the most recent version and that it will scan all files automatically for viruses (verifying through the software's options setting).
- Keep the laptop computer secured in such a way as to preclude tampering with and removal of components and/or files.
- Save files frequently to avoid the loss of critical data.
- Back up! Back up! Back up computer files!
- When not using the computer, close all applications and shut it down properly to avoid lost files.
- Always secure and protect applicant-specific data.

Preparing for the Site Visit
- Review just-in-time learning modules in the Examiner Resource Center.
- Export from BOSS into PDFs all items that you lead: Item Worksheets, SVI Worksheets, and Strategy Tools.

While in Transit
- Do not pack the computer in a suitcase.
- Always carry the computer with you onto an aircraft; do not check it as luggage.
- When traveling in a car, store the computer in the locked trunk if you leave the vehicle. However, excessive heat or cold could damage it and/or result in the loss of data integrity.

While at the Applicant's Site(s)
- You may use your laptop while on the applicant's site. However, its use is *restricted to the team conference room.*
- Do not use your laptop while interviewing employees. Do not use your computer while asking walk-around questions. Team Leader will determine use of laptops in this manner. If yes, OCP will need to approve.
- Do not use the applicant's computers. If data are needed, request the data, but do not extract or retrieve the data yourself.
- Do not remove any data files from the applicant's site.

While at the Hotel
- Leave computers in the most secure location and out of general view.

Dos and Don'ts

DOs
- Do come prepared for a heavy schedule; expect 14- to 18-hour work days. The agenda is full, the schedule hectic, and the environment intense.
- Do review the applicant's key factors, including important issues, the size of the organization, and the nature of its markets/operations.
- Do plan to stay for the entire site visit. Everyone must remain through the completion and signing of the Site Visit Scorebook.
- Before the site visit, do ask the team leader to request items or information that will require special preparation by the applicant (e.g., requests for interviews with staff members in remote locations or for data that will need compilation or other preparation).
- Do exercise common sense when scenarios arise that you have not encountered. Do what makes sense and is consistent with the principles reinforced in the Examiner Preparation Course and through the Code of Ethical Conduct. Discuss issues with your NIST monitor.
- Do ask for whatever information is needed to clarify or verify your assigned issues. Ask spontaneous questions. However, be realistic, and do not place an undue burden on the applicant by requesting anything unnecessary.
- Do work in pairs during interviews. Walk-around questions may be conducted either in pairs or by individuals. The NIST monitor may be the second person, although he/she doesn't ask questions or participate in the evaluation process.
- Do adhere to the agenda items, but be flexible. It is vital for the applicant to feel there were sufficient opportunities to "tell its story."
- Do be alert to any response or lack of response that may affect the Site Visit Team's agenda or approach. Let the team leader know of the findings so that a change in the agenda or approach can be considered. However, avoid appearing indecisive by requesting too many changes.
- Do be prompt for all appointments.
- Do take thorough notes for documenting the findings. Note the kinds of things that will help the applicant via the feedback report and will assist the judges in understanding the applicant's processes and results. When backing up another examiner during an interview, offer to take notes for him/her.
- Do have originators of documents attach business cards or place their names, locations, and phone numbers on the front of all documents so they can be returned to the correct people.
- Do participate in daily meetings and debriefings to share information and impressions, to ensure that all relevant information is obtained, to ask questions of other examiners about their interviews, and to adjust strategy as needed.
- Do arrange with the NIST monitor for the return or disposal of all materials after the site visit. All applicant materials must be returned to the applicant (exception: the team leader and backup team leader retain a copy of the scorebook, application, and updated results to prepare for the judges' call). All notes, drafts, Consensus Scorebooks, drafts of SVI Worksheets, applications, and flip charts must be given to the NIST monitor. All digitally stored material about the site visit must be deleted. The team leader will advise you when files should be deleted.
- Do bring your Baldrige name badge and represent yourself as a Baldrige examiner when at the applicant's site(s).
- Do wear comfortable clothing appropriate for the types of facilities you will visit and the off-site team sessions where discussion and writing occur.

DON'Ts

- Don't bring or wear clothing or other items that feature Baldrige logos.
- Don't contact the applicant before the site visit unless you are the team leader or backup team leader.
- Don't depart before the Site Visit Scorebook is finished and signed.
- Don't take cameras or video recorders to the applicant's site(s).
- Don't discuss any of the following with the applicant:
    - personal or team observations, findings, conclusions, or decisions, whether in a critical or complimentary way
    - practices of other applicants
    - team observations about other applicants
    - names of or any other information about other applicants
    - your personal or professional qualifications
    - information about your own organization
- Don't drink alcohol until the Site Visit Scorebook is completed.
- Don't give verbal or nonverbal feedback during interviews. Do not let the applicant's representatives know your evaluation of their answers.
- Don't interview consultants, customers/students/patients, or suppliers unless an exception has been identified by your team leader in consultation with the NIST monitor.
- Don't hold debriefings, meetings, or discussions of the site visit in an open area.
- Don't take applicant materials, reports, documentation, etc., off-site unless doing so is essential and the applicant agrees to allow the materials off-site.
- Don't write on any of the applicant's materials.
- Don't leave for home with any of the applicant's materials.
- Don't accept gifts of any sort.
- Don't bring family members or friends on site visit trips.
- Don't interact with the applicant after leaving the site.

SECTION 2

PREPARING THE SITE VISIT SCOREBOOK

Introduction and General Instructions

The Site Visit Scorebook is your final deliverable. You will begin preparing it as soon as you are notified that your team will be going on-site, and the process will continue through the course of the visit. As a member of your team, you will be an important contributor to the scorebook's content and quality, as both a writer and a reviewer. The judges will read the scorebook to learn your conclusions from your interviews with staff and your review of various documents and data. Your scorebook is the basis for the judges' recommendations regarding your applicant. It will also be the foundation of the feedback report for the applicant.

Scorebook Requirements
The goal of the Site Visit Scorebook is to provide a well-documented, nonbiased trail of evidence that demonstrates how the final scorebook conclusions relate to information obtained from the written application and the site visit. The trail of evidence

- is captured in the Item Worksheets, which include consensus comments, a summary of conclusions, and updated comments to clearly show the evolution of comments based on findings;
- flows from the SVI Worksheets, which contain more-detailed evidence of findings leading to changes in the Item Worksheets and scores;
- is reflected in the Key Themes Worksheet, which flows from the Item Worksheets; and
- shows the appropriate key factors that are reflected in the comments.

The next page presents a graphic overview of the steps involved in developing the scorebook.

To prepare the Site Visit Scorebook, you will start your work in BOSS by identifying the site visit issues (SVIs) based on the consensus review of the applicant. Next, you will determine strategies to clarify and verify the SVIs in order to develop meaningful feedback for the applicant. BOSS includes worksheets to capture the issues and strategies.

As you finish your planning and prepare to leave for the site, you will export all of your worksheets from BOSS and save them as PDF documents. During the on-site phase, you will document your findings and revise the worksheets in their PDF format. You will review other team members' work and receive their feedback during "walk the wall." Once finalized, the scorebook will be imported back into BOSS to prepare for the judges' review and the feedback report.

BOSS for Site Visit
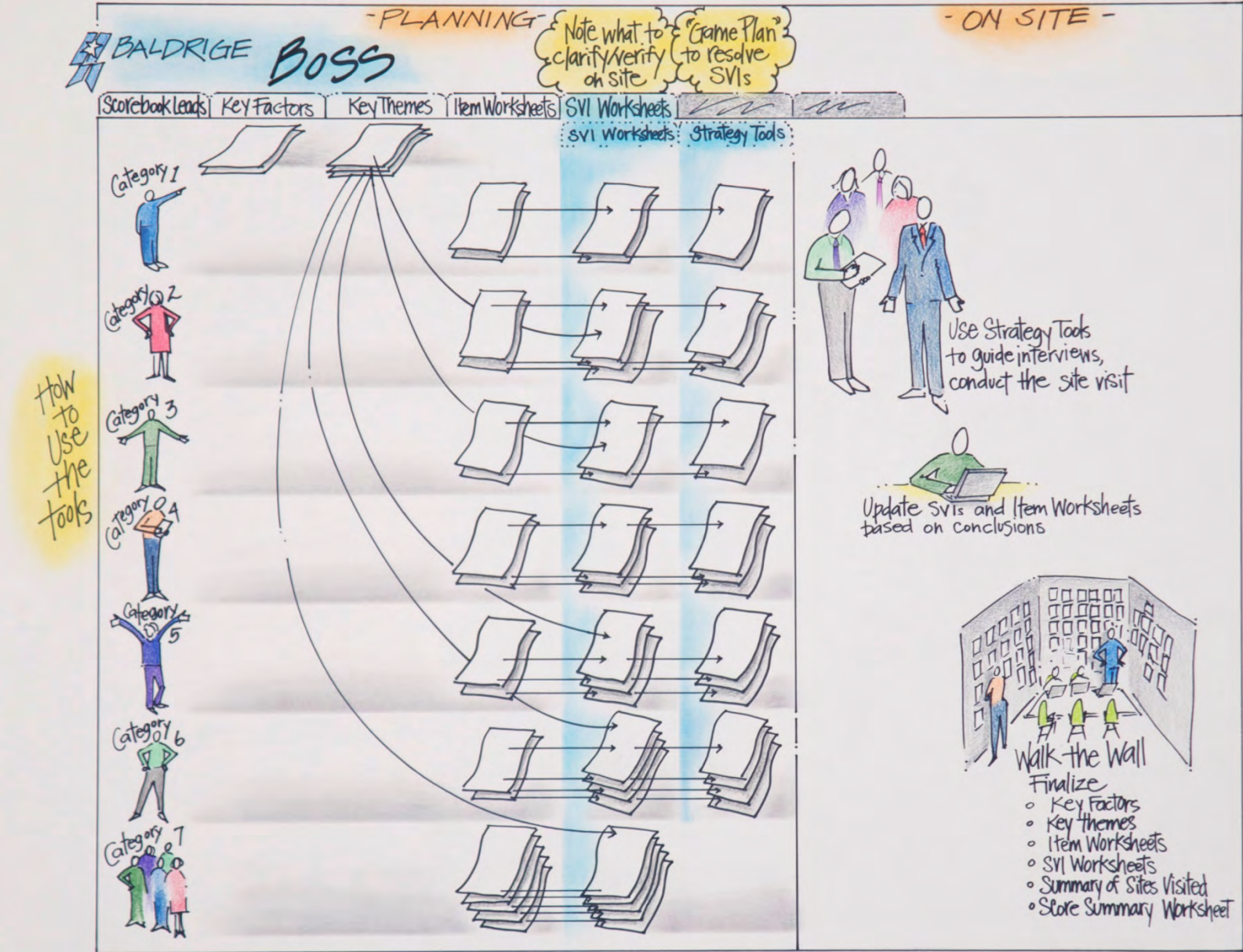
Building the Site Visit Scorebook

The Site Visit Scorebook consists of a combination of BOSS worksheets and scorebook forms in PDF. When completed, the PDF forms are posted to Team Files on BOSS, and the PDF worksheets are imported back to BOSS.

Sample worksheets and an explanation of the flow from one step of scorebook preparation to the next begin on page 37.

The components of the Site Visit Scorebook are listed below:

BOSS worksheets		Scorebook forms
• Key Factors Worksheet		• Summary of Sites Visited
• Key Themes Worksheet		• HRO Interview Worksheet
• Item Worksheets		• Signature Page
• SVI Worksheets		
• Strategy Tools		
• Score Summary Worksheet		

Key Factors Worksheet
The Key Factors Worksheet records the key business/organization factors that the team considered in evaluating the applicant. Key factors 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 key factors are essential to the proper conduct of a site visit evaluation. **In anticipation of the team leader's discussion with the Panel of Judges, the team provides the consensus key factors, which remain the same in the body of the worksheet, and completes the question at the bottom: "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?"**

Key Themes Worksheet
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 Review.

Key themes are based on the overall context provided by the evaluation framework (the Criteria categories) and the core values and concepts (found in the *Criteria for Performance Excellence* booklets). The Key Themes Worksheet does not just repeat the findings given in the Item Worksheets. Rather, it puts them in perspective, taking into account category linkages, key factors, and core values.
The Key Themes Worksheet responds to the following questions:
   a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified in the applicant's response to process items?
   b. What are the most significant opportunities, concerns, or vulnerabilities identified in the applicant's response to process items?
   c. Considering the applicant's key business/organization factors, what are the most significant strengths (related to data, comparisons, linkages) found in its response to results items?

d.   Considering the applicant's key business/organization factors, what are the most significant opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to results items?

Key themes comments for questions a. and b. address the evaluation factors of approach, deployment, learning, and integration (ADLI). The comments for questions c. and d. address levels, trends, comparisons, and integration (LeTCI), including segmentation, as well as linkage to the applicant's organizational requirements and gaps.

Item Worksheets
This worksheet, pictured on page 37, is the record of your final evaluation of the applicant for each of the Criteria items. The worksheet contains six columns: "ID," "Item Ref," "Comments at CR" (strengths and OFIs), "SVI," "Summary of Conclusions and Impact on Comments (to be completed on-site)," and "Comments after Site Visit (to be completed on-site)." Each worksheet also contains a scoring grid, which you use to capture and communicate scoring information.

As you clarify or verify *all* OFIs and *all* strengths that are bolded and/or appear in the key themes, capture the findings and conclusions on this worksheet. All other comments, whether fully investigated or not, are included on the Item Worksheet. If you discover nothing related to one of these comments, you may indicate on the worksheet "not investigated on-site." By the end of the site visit, "it is unclear," "it is not apparent," or similar words must not remain in *any* comment.

BOSS automatically transfers Consensus Review comments, their rationales, and their item references into the appropriate columns of the Item Worksheets for the Site Visit Scorebook and assigns each comment a unique number (ID). Information gaps or lack of understanding must be resolved through the site visit, using SVI Worksheets and Strategy Tools.

You will complete the "Summary of Conclusions and Impact on Comments" column on-site, after the strengths and opportunities have been verified and clarified through the accomplishment of the SVI strategy for the item. Then, you integrate these findings into a revised set of strengths and OFIs for each item. These revised, feedback-ready comments are included in the sixth column.

If new information arises during the site visit, you may add comments to the item worksheet. Similarly if your findings remove a strength or an OFI, you may delete a comment. Describe the findings leading to new or deleted comments in the appropriate SVI Worksheets so that the judges understand how the comments emerged or were deleted.

For items that you lead, indicate in the scoring section your recommendation for the item scoring range. Scoring ranges, not individual item scores, are provided to site-visited applicants. After your team mates individually review and provide feedback on your recommended score, the team will discuss scoring as a final step. Any differences not resolved during the team review process can be resolved during this discussion.

SVI Worksheets
You use SVI Worksheets to track the major/important issues that need to be verified or clarified during Site Visit Review. Remember to clarify *all* OFIs and verify *all* strengths that are bolded and/or appear in the key themes.

SVI Worksheets are the judges' major vehicle for understanding what you heard and saw on your site visit. The judges look for clear "audit trails" from the Consensus Review comments to the site visit conclusions and scores, which are based on your interviews and document and data reviews. Since the judges do not receive your Strategy Tools, they look for the essence of that information on the SVI Worksheets.

For process items: Issues for on-site *verification* of strengths and *clarification* of OFIs include the applicant's approach, the extent of the approach's deployment, organizational learning, and alignment or integration related to the approach. For example, if a strength comment discusses the existence of a systematic process, you would verify that the process exists and operates as presented in the written application. During the site visit, you verify that appropriate credit was given during the Consensus Review of the written application. This is particularly true when the Consensus Team gave the applicant the benefit of the doubt.

During the planning phase of the site visit, you develop two or three SVIs per process item. When you list comments in the "Comments Affected" column of an SVI Worksheet for process items, BOSS will list them in the space provided on the Item Worksheets. These SVIs focus on key processes so that your investigation of each of them provides information needed to finalize more than one comment. Each SVI has its own SVI Worksheet and uses the Strategy Tool to develop a plan for addressing it.

For results items: The SVI Worksheet for results items differs from the one for process items. Each results item has one SVI Worksheet that includes the strengths that require verification and the OFIs that require clarification. You select a strength or OFI comment, write a brief summary, and then list the figures associated with it, as well as its beneficial trends and favorable comparisons. Analyses indicate whether the data represent (1) good-to-excellent levels, beneficial trends, and favorable comparisons; (2) segmented results to measure performance across customer groups, products, and/or services, market segments, and workforce groups; and (3) data derived from the applicant's updated results received one week before the site visit.

You will complete the "Summary of Conclusions and Impact on Comments" column on-site. This is a summary rather than a written transcript. However, be sure to provide sufficient data and clear conclusions for the judges. These data and analyses will be reflected in the "Comments after Site Visit" column.

Before the site visit, export your SVI Worksheets into PDF documents. You may want to print copies of the partially completed worksheets in order to make notes on them during on-site meetings. Each evening of the site visit, you will review your team mates' notes and electronically record these findings on master copies of the SVI Worksheets. Final SVI Worksheets will be part of the Site Visit Scorebook to inform the judges in their decisions.

In team meetings, you and your team mates will use their SVI Worksheets to discuss preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that may lead to revised comments. Conclusions indicate how the findings affect item comments. Until the site visit ends, preliminary conclusions are subject to change as new information becomes available. Your team's discussions and preliminary conclusions will help guide your work during the site visit.

Strategy Tools
Use a Strategy Tool for each process SVI Worksheet. This tool helps you identify people or groups to interview, detail questions to ask, define documents to review, and develop walk-around questions to ask to clarify and/or verify an SVI. This information constitutes the strategy for closing the SVI. It will provide your starting point during the site visit. The documents and interviews requested as well as the walk–around questions will be aggregated into single lists for the team leader to use in planning and communicating with the applicant. As interviews are completed and documents reviewed, summarize the findings on the SVI Worksheet.

Score Summary Worksheet—Site Visit
BOSS transfers the percent score and scoring range for each item and the overall score from the Consensus Review Score Summary Worksheet to the Site Visit Review Score Summary Worksheet. As scores are refined through site visit findings, you finalize the scoring range for each item and record resulting changes (higher range, lower range, same range). Finally, you and the team use the Scoring Band Descriptors to determine which descriptor for process items and which descriptor for results items best reflect the team's view of the applicant, and the scorekeeper inputs these band numbers on the Score Summary Worksheet.

Summary of Sites Visited (Team Files)
The Summary of Sites Visited contains information about the extent and thoroughness of the site visit. The team lists the major locations it visited and describes any important aspects of the sites that are not apparent from the Site Listing and Descriptors section of the Eligibility Certification Form. For example, the list might include "oldest facility," "site with a major reduction in force," "location where the newest product will be manufactured," or "telephone or data service center that runs three shifts." In addition, examiners describe approaches they used to evaluate sites that they did not visit, including sites outside the United States.

This worksheet also contains any other information about the team's strategy for a thorough site visit, such as

- "Interviewed employees on all three shifts"
- "Interviewed categories/types of employees [specify categories/types]"
- "Visited at least one location in each of the operating regions"
- "Did a sampling at all levels and in all locations of the organization's critical data systems"

HRO Interview Worksheet (Team Files)
This worksheet's purpose is to summarize key role-model discussions during the conversation among the team leader, NIST monitor, and HRO. It is used to share information within the Site Visit Team.

A discussion of the content of this worksheet typically occurs in the evening after the HRO interview has taken place. Based on this discussion, you and your team mates decide which issues require further investigation or need documentation in the scorebook.

Signature Page (Hard Copy)
The final requirement of the Site Visit Team is completion of the signature page of the scorebook. The page includes the following statement: "I support the findings of the Site Visit Team contained in this scorebook." In the spaces provided, you and your team mates each prints their name and then signs the form.

The NIST monitor brings this form to the site and returns with it signed by the team members.

Site Visit Scorebook Composition
At the end of the site visit, data from the Item Worksheets, SVI Worksheets, Key Factors Worksheet, the Key Themes Worksheet, and the Score Summary Worksheet in PDF form are imported into BOSS. The Summary of Sites Visited and the HRO Interview Worksheet are posted directly to the Team Files.

Site Visit Scorebook Submission
At the conclusion of the site visit, **three electronic versions** of the Site Visit Scorebook are made—one each for the NIST monitor, the team leader, and the backup team leader. In addition, the NIST monitor retains a paper copy of the signature page.

Based on Internet availability, all documents may be imported and posted to BOSS before leaving for home. In other cases, the team leader can import the documents to BOSS after returning home. If the scorebook has not been uploaded to BOSS, it is advisable for the monitor to retain a paper copy of the entire Site Visit Scorebook. Paper copies of the scorebook are optional for the team leader and the backup team leader.

The team leader may review and make final refinements to the scorebook on BOSS by midnight (PDT) on the Monday immediately following the site visit's completion. This review is not intended to encourage or even permit the team leader's extensive editing of the report; its purpose is to ensure that the scorebook is complete and accurate. For example, it is not uncommon for one or more worksheets to be missing, for comments to be misplaced or included more than once, for words such as "it is not clear" to be missed in comments, or for scoring information to be missing or inaccurate. All team members must watch for these sorts of edits to give the judges an accurate representation of the team's findings and conclusions. Tweaking comments for grammar and style is not appropriate at this time.

Instructions and Examples

The following pages contain detailed instructions on preparing the various components of your team's Site Visit Scorebook, as well as graphics illustrating the process and examples of the content. These documents will help you provide the judges with a product that reflects your thinking and conclusions while you were on-site, as well as thoughtful and helpful feedback to your applicant.

For both process items and results items, a chart is provided that shows the overall flow that begins with your Consensus Scorebook and finishes with your completed Site Visit Scorebook. It is followed by instructions and examples showing how to complete the Item Worksheets (a three-step process), the Site Visit Issue (SVI) Worksheets, and the Strategy Tools. One process item (item 5.1) and one results item (item 7.3) are used to demonstrate the process for developing one SVI, illustrating the progression of the Item Worksheets through your site visit. (The examples are based on the 2012 Tillingate Living Case Study.)
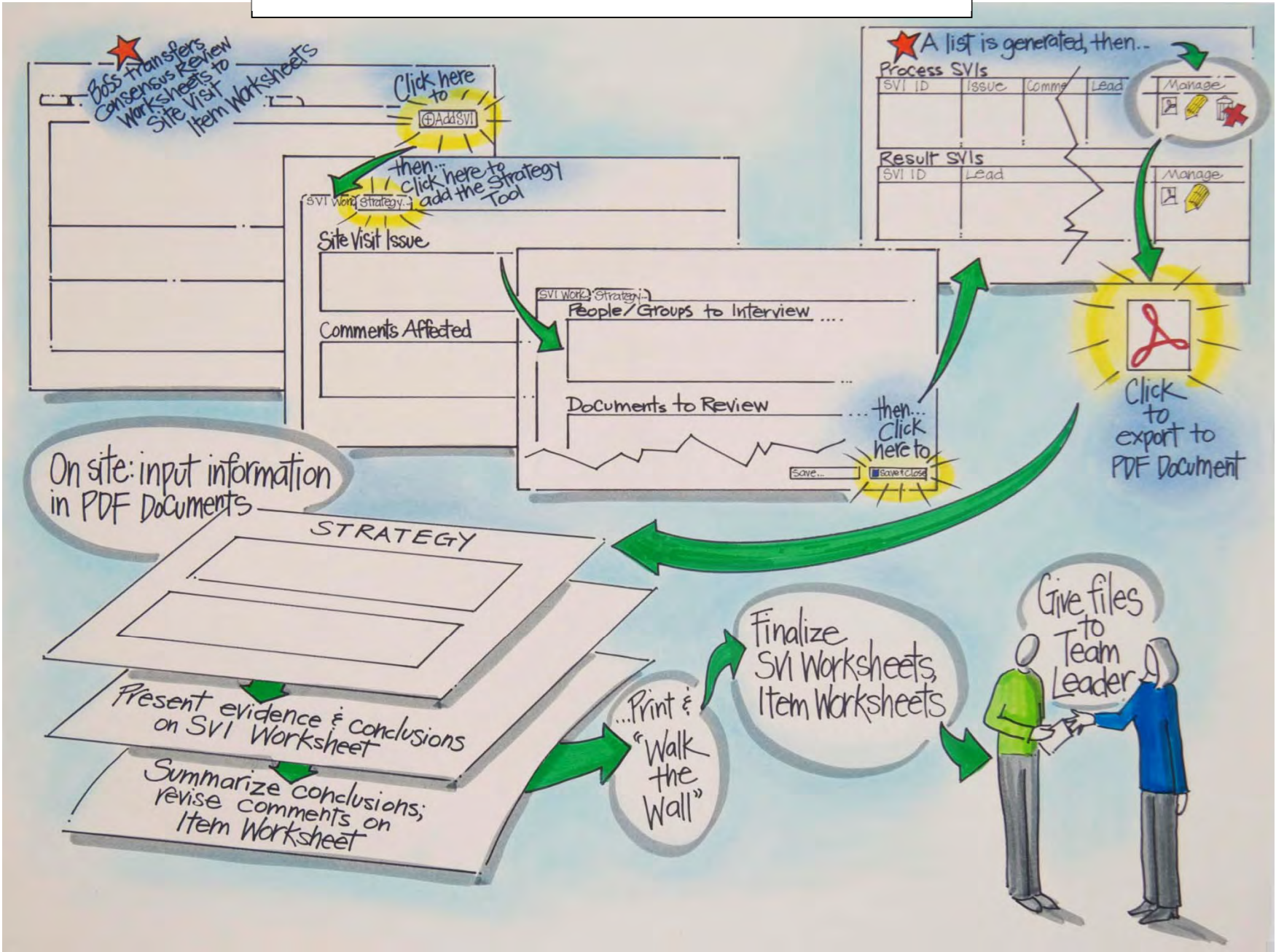
How to Prepare Process Item Worksheets and SVI Worksheets

During the site visit planning phase (through the Sunday planning meeting)
In preparation for the site visit, each team member will be named the item lead for several process items and/or results items. Two major types of documents—the Item Worksheets and the SVI Worksheets—will become part of the scorebook submitted to the judges.

1. When your team moves from Consensus Review to Site Visit Review, BOSS constructs a seven-column Item Worksheet for each item. The first columns are headed with "ID," "Item Ref," Comments at CR," and "SVI." The final columns are "Summary of Conclusions and Impact on Comments," and "Comments after Site Visit," which will be completed on-site. As BOSS populates each Item Worksheet with comments from the Consensus Scorebook, it assigns a unique ID to each comment and loads the corresponding item reference. The last column has a pencil icon to click to open the comment for editing.

2. Start by developing one-to-three SVIs at the key process level for each item. (See the example on page 40.) Here is one way to start an SVI:

   a. To understand the key processes involved, review the key inputs to the item (e.g., Criteria requirements, key factors, and comments).

   b. Select one OFI comment, since all must be clarified, and determine to which key process it relates. Consider in your SVI the process evaluation factors (approach, deployment, learning, and integration [ADLI]) addressed in the comment.

   c. Review other OFIs and strengths to determine if the issues related to that key process can be clarified and verified through one integrated SVI.

   > **Integration within an SVI is not the same thing as combining issues.** It can be tempting to put as many issues as possible into a single SVI. This is not helpful when those issues are not related to the same key process. This creates a patchwork SVI Worksheet that will confuse the team and the judges. If the issues will not be investigated through the same methods (e.g., talking to the same people, reviewing the same documents, making the same observations), it is probably not appropriate to integrate them.

   d. When you have addressed all OFIs, check to see if the SVIs also verify first, all bolded (significant) strengths and then, the remaining strengths. Every comment should be addressed by an SVI. If not, you may need to craft a separate SVI.

3. To add an SVI, open an SVI Worksheet. Click the "Add SVI" button on the top right of the Item Worksheet, or click the "Add Process SVI" button on the list at the "SVI Worksheets" tab. Note that the SVI is numbered automatically and sequentially.

4. Describe the SVI that you are developing, indicating which processes you will clarify or verify.

5. Click the button labeled "Edit Comments Affected." All comments and key themes in the scorebook are available for selection; you can display a comment's full text by clicking on it. When you click "Add," the comment ID will be displayed under "Selected Comments." Select the appropriate evaluation factors for this comment or key theme. Click the "Save" button to complete the "Comments Affected" section.

> SVIs may involve elements of the key themes. The team leader must ensure that the collective SVIs verify and clarify the key themes.

6. Define the core questions to resolve the SVI in the "Analysis Required" section. Design the questions to elicit information that verifies or clarifies the original comments in the scorebook. Craft these core questions to address the process evaluation factors (ADLI) included in the comments. Click "Add a Question" to enter the question on the SVI Worksheet. After you enter the question, select the appropriate evaluation factors. You will complete the "Evidence" and "Conclusions" on-site.

7. Click the "Strategy Tool" tab on the SVI Worksheet to strategize how to investigate the core questions. (Teams use this tool in planning and executing the site visit, but it is not given to the judges.) As you add an interview, a prompt will ask you for the people or group to talk with and the specific questions. You will also list documents that you want to review and walk-around questions to determine deployment. **List each document or question separately**, by clicking the "Add" button. BOSS will aggregate the list of documents and walk-around questions for the team leader to use in planning the site visit.

> SVIs can be a key source of shared understanding for the team. If the entire team is involved in developing and vetting SVIs and Strategy Tools before leaving for the site, team members will enter the site visit with a common view of their understanding of the applicant and how to fill gaps. Use the feedback panel, similar to consensus review, to give a team member feedback on an SVI or strategy. Allowing individual team members to "own" particular issues can lead to difficulties in reaching consensus. Therefore, spend time as a team examining and critiquing SVIs and Strategy Tools during planning, the Sunday planning meeting, and throughout the visit.

8. As you prepare to leave for the site visit, export from BOSS into PDF documents the Item Worksheet and the SVI Worksheets (which include the Strategy Tools) for each item that you lead. On the Item Worksheet, the PDF icon is at the top right of the worksheet. Click the "SVI Worksheets" tab. Select the SVI(s) that you wish to export, and click the PDF icon.

> To download the complete scorebook of all item worksheets, SVI Worksheets, and other documents, go to the "Import/Export" tab. This is a button you can use to export the complete scorebook into a .zip file. You would then extract the documents you wished to review or modify.

9. Export the PDF documents onto the laptop computer you are taking to site or onto a flash drive. Before you leave, open and navigate in the PDF documents to develop your comfort level. If you have any questions or concerns, contact your monitor or:

Award Process Hotline Telephone: 877-237-9064, Option 3
Award Process Hotline E-Mail: bossmail@nist.gov

To read and work in these PDF documents, you will need to have Adobe Reader installed on your computer. If you get a warning when you open the PDF, you may need to update to the latest version. Determine which version of the Reader you have on your system by checking "Help."

On-site (between the opening and closing meetings at the applicant's location[s])

10. After you interview the applicant's employees/staff/faculty/volunteers and review documents, summarize the evidence needed to support a conclusion to the core questions on the SVI Worksheets, now in PDF. This evidence guides you in determining when you have collected enough information.

11. In presenting this evidence, be sure to provide your teammates and the judges with enough detail that they are able to evaluate your conclusion. Include brief citations of the source of the data, such as "in interview with seven hiring managers," "through analysis of the past three years' SPP input documents," and "during walk-around interviews with approximately 24 staff members from all levels and departments."

12. Next, draft a succinct conclusion that responds to the core question and draws on the evidence presented. You must be able to answer each SVI's core questions, thus "closing" the SVI, before the closing meeting. Your conclusion directly indicates any changes you need to make in the original comments on the Item Worksheets.

During this phase, you will post the SVI Worksheets for your team members to review during "walk the wall." You may edit the SVI for clarity or to add information and then print and repost for another "walk the wall."

Post-site (after the closing meeting)

12. Working in your PDF documents, copy your conclusions from the SVI Worksheet to the Item Worksheet in the column labeled "Summary of Conclusions and Impact on Comments."

13. In the last column of the Item Worksheet, revise comments as appropriate to reflect these conclusions. Check the box if the comment should be doubled/bolded. If you have a new comment, click the appropriate "Add Comment" button for a strength or OFI and enter the text directly in the "Comments after Site Visit" column.

14. Go to the last page of the PDF and review the consensus score and scoring range, determine whether the scoring range needs to change, and document the rationale.

The Item Worksheet will also be printed and posted for review during "walk the wall." Based on the team's feedback, you may edit the Item Worksheet comments or score and then undergo another round of "walk the wall."

15. After all work is complete and the team is ready to sign off on the Site Visit Scorebook, the team leader will gather all Item Worksheets and SVI Worksheets and import them back to BOSS.

The following pages are samples of the Item 5.1 Worksheet, the SVI Worksheet 5.1-1, and the Strategy Tool 5.1-1 for process items as they would look on BOSS at the end of the planning phase. Please note that the samples may contain less content than the actual worksheets developed for a site visit but are provided to show how information flows through BOSS.

Process Item Worksheet for Planning Phase

File   Edit   View   Favorites   Tools   Help

Favorites   NIST Inside NIST Homepage   https--delos.nist.gov-Bald...

Site Visit Review: TST2012   Logged in as: NJO99055   7/16/2012

CR Scorebook   Log Time   Team Files   Scorebook Summary   Suggestion Box   Help   Logout

Overview   Conflict of Interest   Scorebook Leads   Key Factors   Key Themes   **Item Worksheets**   SVI Worksheets   Import/Export   Score Summary

Select Item: 5.1 Workforce Environment   Invite Feedback

Comments   Score

OFI-1	a,b	It is unclear how volunteers are trained and managed to accomplish their work safely and effectively. Deployment of approaches to precepted students or credentialed physicians is also not evident. Assuring that volunteers, physicians, and students are organized and managed to fully support the work of the organization may enhance the applicant's ability to engage all workforce groups in delivering high-quality care and services and in maintaining a safe, secure environment. Rationale: With 700 volunteers providing functions such as transportation and surveys, it is unclear whether this important part of the workforce is trained and managed to accomplish their work safely and effectively. Further, not clear whether the workforce policies/benefits are tailored to meet the needs of a diverse workforce, such as physicians and students, as well as volunteers.	5.1-3
OFI-2	a(4)	A systematic process to prepare the workforce for changing capability and capacity needs is not evident. Examples were provided, such as workforce changes made to address acquisition of the Bellburn Care Group. But it was unclear that there is a repeatable, defined process to ensure that the applicant is able to address its strategic challenge of "right-sizing for performance excellence." Rationale: The applicant addresses changes, including changes in health care overall as indicated in two examples provided, one being the acquisition of Bellburn Care Group. Not clear that this was repeatable, systemic process.	5.1-1
OFI-3	a(2)	It is unclear if the applicant has a systematic process to recruit, hire, place, and retain new workforce members. Additionally, it is unclear how the organization ensures a workforce that represents the diversity of the hiring and patient community. Without a systematic approach, the applicant may be unable to meet their objective to "be the preferred employer in communities served." Rationale: There does not appear to be a systematic approach in place to prepare the workforce for changes in capacity and capability needs. For example, the hiring process appears to be limited to performing background checks, and no other skill-based hiring practices were described for non-clinical staff. Did not include conflicting statement: "Systematic approaches are used to recruit and retain employees that will support the accomplishment of organizational needs. A system-wide orientation serves as a key way of familiarizing new employees with system values and needs, and multiple approaches are used to organize and equip staff to the applicant's agility value."	5.1-2
OFI-4	a,b	There is little evidence of a fact-based method of evaluation to build and continually improve an effective workforce environment. For example, there is no evidence of refinement or innovation to approaches to address capability and	5.1-2

SVI Worksheet during the Planning Phase

Strategy Tool during the Planning Phase

Favorites | NIST Inside NIST Homepage   https--delos.nist.gov-Bald...

Site Visit Review: TST2012 Logged in as: NJ099055 7/13/2012

CR Scorebook   Log Time   Team Files   Scorebook Summary   Suggestion Box   Help   Logout

Overview   Conflict of Interest   Scorebook Leads   Key Factors   Key Themes   Item Worksheets   SVI Worksheets   Import/Export   Score Summary

SVI Worksheet   Strategy Tool

SVI 5.1-1

Not evaluated at consensus: ☐

Strategy: List the information you need and how you intend to obtain it (i.e. persons to interview, specific questions to ask each person, including walk-around questions to check deployment), specific documents to review and for what purpose, and observations to make. Be sure your strategy will address the overall issue, as well as the specific consensus comments.

People/Groups to Interview:

Name/Group	Corporate Leadership Team	Title
Location		Interviewers
Note		

Edit   Delete

Questions

1: How does the CLT decide which new facilities to acquire? Please walk us through the decision making process for the last acquisition as an example.   Are there acquisitions in the planning phase and if so, please describe.

2: If not specifically addressed in the first response, then ask "Describe how the Bellborn Group acquisition went and if there were any lessons learned."

Name/Group	Human Resources (Category 5) Team	Title
Location		Interviewers
Note		

Edit   Delete

Questions

1: Describe the capacity and capability planning process (show them Figure 5.1-1 as a reminder).

2: Which parts of the planning process are managed at a corporate level and which at the facility level? Describe any lessons learned and/or cycles of refinement with how the process is managed.

3: Are there aspects of the capacity or competency planning process you consider to be best-in-class? Describe.

4: What "keeps you up at night" when it comes to staffing levels, assuring competency, and/or the upcoming need to continue staff new facilities across multiple states?

Name/Group	Employee Focus Group(s)	Title
Location		Interviewers
Note		

Edit   Delete

Questions

1: What do you think of the organization's growth? Has it affected you? How are changes communicated? Any suggestions for the company's leaders?

Save & Continue Editing   Save & Close

Done | Local intranet | Protected Mode: Off | 100%

12:03 PM
7/13/2012

Preparing to Go On-Site

The following pages are samples of the Item 5.1Worksheet, the SVI Worksheet 5.1-1, and the Strategy Tool 5.1-1 that have been completed through the planning phase and exported to PDF documents for the work on-site. The samples of the strengths and OFIs contain only the first page of the PDFs on BOSS.

5.1   Applicant #: 2012   **Site Visit: Item Worksheet**

Strengths [Add New]

ID	Item Reference	Strength Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	++	
STR-1	a(1)	The applicant systematically assesses workforce capability and capacity, including daily staffing levels, as shown in Figure 5.1-1. The five capability and four capacity approaches, which are integrated with the APEX scorecard and the SPP, support the workforce in accomplishing the applicant's strategic objectives.	Figure 5.1-1 shows continuous loop for assessment of capability and capacity, including competency assessments, consideration of SPP and APEX scorecards. Formal planning occurs during annual budgeting (Fig 2.1-1). Staffing levels monitored on facility APEX scorecards, with assessment/adjustment on every shift at each facility per resident acuity. Formal capability assessment is completed through APEX.	5.1-1				X
STR-2	a(3)	The applicant uses interdisciplinary Collaborative Care Teams within Skilled Nursing Facilities, and cross-trained universal employees within Assisted Living Facilities to provide relationship-based care. Collaborative Care Teams cover daily care planning for residents, and address personal and environmental needs of residents as well. These approaches assist the organization in leveraging its core competency "to support various lifestyles and deliver excellent clinical outcomes."	APEX value of agility supports workforce in responsiveness to residents and families. Clinical Excellence Group developed acuity-based staffing system, with use of float pools in SNFs & universal, cross-trained employee position in many ALFs.	5.1-2				X
STR-3	b(1)	The applicant uses a variety of methods and associated goals	Multiple approaches are used to maintain a safe and secure	5.1-3				

Strengths continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

Page 1 of 5   Exported From BOSS on 07/16/2012 10:56:53 AM

		accomplish their work safely and effectively. Deployment of approaches to precepted students or credentialed physicians is also not evident. Assuring that volunteers, physicians, and students are organized and managed to fully support the work of the organization may enhance the applicant's ability to engage all workforce groups in delivering high-quality care and services and in maintaining a safe, secure environment.	transportation and surveys, it is unclear whether this important part of the workforce is trained and managed to accomplish their work safely and effectively. Further, not clear whether the workforce policies/benefits are tailored to meet the needs of a diverse workforce, such as physicians and students, as well as volunteers.				
OFI-2	a(4)	A systematic process to prepare the workforce for changing capability and capacity needs is not evident. Examples were provided, such as workforce changes made to address acquisition of the Bellburn Care Group. But it was unclear that there is a repeatable, defined process to ensure that the applicant is able to address its strategic challenge of "right-sizing for performance excellence."	The applicant addresses changes, including changes in health care overall as indicated in two examples provided, one being the acquisition of Bellburn Care Group. Not clear that this was repeatable, systemtic process.	5.1-1			X
OFI-3	a(2)	It is unclear if the applicant has a systematic process to recruit, hire, place, and retain new workforce members. Additionally, it is unclear how the organization ensures a workforce that represents the diversity of the hiring and patient community. Without a systematic approach, the applicant may be unable to	There does not appear to be a systematic approach in place to prepare the workforce for changes in capacity and capability needs. For example, the hiring process appears to be limited to performing background checks, and no other skill-based hiring practices were described for non-clinical staff.	5.1-2			X

Not evaluated at consensus: ☐

Issue: Verify, as a distinctive strength, the approaches (Figure 5.1-1) used to assess workforce capability and capacity and how these are integrated/aligned with the strategic planning process and HR plans. Also, clarify how these and other methods enable the applicant to effectively assess and prepare for changes such as the Bellburn Care Group acquisition.

Comments Affected:

Item	Comment	Key Theme	Evaluation Factors	
5.1 ▾	STR-1 ▾	▾	☒ A ☐ D ☐ L ☒ I	X
5.1 ▾	STR-3 ▾	▾	☐ A ☐ D ☐ L ☐ I	X

Add Comments Affected

Analysis Required: *Based on the above, what core questions must be answered in order to draw conclusions about the accuracy of the comments affected?*

1   X

Question: How has the strategic challenge "right sizing for performance excellence" been addressed?

Evaluation Factors: ☒ A   ☐ D   ☒ L   ☒ I

Evidence:

Conclusions:

2   X

Question: How has the CLT and facility leaders effectively monitored action plans and goals for all aspects of workforce relocations, including just in time adjustments to action plans?

Evaluation Factors: ☒ A   ☒ D   ☒ L   ☒ I

Evidence:

Conclusions:

Add Analysis Question

Effect on Comments: *For each comment addressed by this SVI, indicate any changes to the comment as follows: (1) Cut and paste the Consensus Review comment here. (2) Write the "Summary of Conclusions and Impact on Comments." (3) Write the revised comment. (Note: After review by the team, you will paste (2) and (3) into the Item Worksheet.)*

List the information you need and how you intend to obtain it [i.e., persons to interview; specific questions to ask each person, including walk-around questions to check deployment]; specific documents to review and for what purpose; and observations to make. Be sure your strategy will address the overall issue, as well as the specific consensus comments.

Not evaluated at consensus: ☐

Issue: Verify, as a distinctive strength, the approaches (Figure 5.1-1) used to assess workforce capability and capacity and how these are integrated/aligned with the strategic planning process and HR plans. Also, clarify how these and other methods enable the applicant to effectively assess and prepare for changes such as the Bellburn Care Group acquisition.

Interviews:

Corporate Leadership Team

Human Resources (Category 5) Team

Employee Focus Group(s)

Physician meeting

Volunteer Lunch or Informal Meeting

Questions To Ask:

Name or Group: Corporate Leadership Team [X]

Questions	
How does the CLT decide which new facilities to acquire? Please walk us through the decision making process for the last acquisition as an example. Are there acquisitions in the planning phase and if so, please describe.	[X]
If not specifically addressed in the first response, then ask "Describe how the Bellborn Group acquisition went and if there were any lessons learned."	[X]

Add Question To Ask

Name or Group: Human Resources (Category 5) Team [X]

Questions	
Describe the capacity and capability planning process (show them Figure 5.1-1 as a reminder).	[X]
Which parts of the planning process are managed at a corporate level and which at the facility level? Describe any lessons learned and/or cycles of refinement with how the process is managed.	[X]
Are there aspects of the capacity or competency planning process you consider to be best-in-class? Describe.	[X]
What "keeps you up at night" when it comes to staffing levels, assuring competency, and/or the upcoming need to continue staff new facilities across multiple states?	[X]

Add Question To Ask

Name or Group: Employee Focus Group(s)

SVI   5.1-1   Applicant #   2012   **Strategy Tool**

Questions

What do you think of the organization's growth? Has it affected you? How are changes communicated? Any suggestions for the company's leaders?   [X]

Add Question To Ask

Name or Group: Physician meeting

Questions

In what ways do you find out about the organization taking on a new facility? How are physicians engaged in processes related to assuring adequate medical coverage for the ALF patients? Is there anything you'd like us to know or consider?   [X]

Add Question To Ask

Name or Group: Volunteer Lunch or Informal Meeting

Questions

What is it like to volunteer here/what is the organization structure for volunteers (informally check to see if capacity and competency criteria apply to this group)?   [X]

As the organization continues to grow, have there been any changes that affect you?   [X]

Add Question To Ask

Add Interview

Documents to Review:

Document	
Action plans related to staffing transition with Bellburn Care Group acquisition	[X]
Capacity planning documents for last acquisition, Bellburn, and any acquistions taking place in now	[X]
Projections of future staffing needs	[X]

Add New

Walk-Around Questions:

Question	
Specific walk around question at Bellburn acquisition facility location for front line staff: "Were you working here during the acquisition? How did it go?"	[X]
General walk around question for staff and managers: Is the organization doing anything to avoid layoffs during the current recession? If you could give advice to the senior leadership team on this topic, what would it be?	[X]

Add New

Completed SVI and Item Worksheets

When you have finished your interviews and reviewed the requested documents, you complete the fields on the SVI Worksheets. After reviews by your team, you revise the comments on the Item Worksheets. The samples shown here are completed and ready to be imported back into BOSS.

SVI   5.1-1   Applicant #   2012   **Process SVI**

Not evaluated at consensu☐ ☐

Issue: Verify, as a distinctive strength, the approaches (Figure 5.1-1) used to assess workforce capability and capacity and how these are integrated/aligned with the strategic planning process and HR plans. Also, clarify how these and other methods enable the applicant to effectively assess and prepare for changes such as the Bellburn Care Group acquisition.

Comments Affected:

Item	Comment	Key Theme	Evaluation Factors	
5.1	STR-1		☒ A ☐ D ☐ L ☒ I	X
5.1	OFI-2		☐ A ☐ D ☐ L ☐ I	X

Add Comments Affected

Analysis Required: *Based on the above, what core questions must be answered in order to draw conclusions about the accuracy of the comments affected?*

1

Question: How has the strategic challenge "right sizing for performance excellence" been addressed?

Evaluation Factors: ☒ A ☐ D ☒ L ☒ I

Evidence: As evidenced by an interview with CLT & Sandy Perry, VP of Strategy and Marketing: During the strategic planning cycle, they review market projections and population projections to determine statistically where there is "best-fit" for growth areas. They map the targeted areas for growth and which facilities and competencies are needed to staff the new facilities. Staffing models determine the right size and then they determine if the need will be filled with new hires or offered to staff from other facilities whose positions are projected to be abolished.

The applicant has fully deployed daily management of staffing patterns and required competency verification processes. On site, examples of the staffing documents were reviewed, computer-based learning records were reviewed, and discussions in director meetings indicated that a portion of every day is allocated to adjusting shift staff levels.

Documentation of staffing ratios at new sites indicate that there are 35 open FTEs and that recruitment efforts have been partially unsuccessful, especially for having enough occupational therapists at Bellburn Care since they opened. They continue to use contingent staff and mandate overtime at the new facilities, which employees in the staff interview and during walk arounds stated was a dissatisfier.

Conclusions: The applicant has a systematic approach which is deployed at established locations. However, new facilities do not demonstrate deployment or integration with long term challenges for growth and right sizing. The strategic challenge of right sizing continues to be a potential threat for their expansion strategy.

Completed SVI Worksheet
continues on the next page

2   [X]

Question: How has the CLT and facility leaders effectively monitored action plans and goals for all aspects of workforce relocations, including just in time adjustments to action plans?

Evaluation Factors: [X] A   [X] D   [X] L   [X] I

Evidence: Review of HR goals and action plans that supplement Figure 2.1-3 indicate that leaders and managers monitor the progress on action plans, including short term plans to attract employees through partnership with the local colleges. The gap with attracting workforce qualified to work with brain injury patients is an applicant identified vulnerability being addressed in action plans but after two years, no progress is being made at increasing staffing competency and capability in this area. When discussed with senior leaders, they discussed a cycle of refinement to their action plan that is aimed at paying for college for nurses/OTs/PTs interested in this field in exchange for three years of employment at one of the new facilities. No students have enrolled in this program yet since it has been available less than a year.

Conclusions: Action plans for workforce relocation support the process for managing capacity and new competencies. Although early in deployment, the cycle of refinement for attracting new hires has had some positive impact.

[Add Analysis Question]

Effect on Comments: *For each comment addressed by this SVI, indicate any changes to the comment as follows: (1) Cut and paste the Consensus Review comment here. (2) Write the "Summary of Conclusions and Impact on Comments." (3) Write the revised comment. (Note: After review by the team, you will paste (2) and (3) into the Item Worksheet.)*

Effect on Comments
Consensus Comment: The applicant systematically assesses workforce capability and capacity, including daily staffing levels, as shown in Figure 5.1-1. The five capability and four capacity approaches, which are integrated with the APEX scorecard and the SPP, support the workforce in accomplishing the applicant's strategic objectives.   Summary of Conclusions and Impact on Comments: Review of staffing ratios for all locations over the past year, review of competency assessments, discussions with senior leaders and HR directors verify that processes and action plans support capacity planning. Comment remains but is reworded to focus on assessment of daily activities (see related OFI-2 on longer-term)   Site Visit Comment: The applicant systematically assesses daily workforce capability and capacity needs by adjusting staffing levels for each shift and ensuring that staff maintain required skill levels. The assessment process is integrated with the APEX scorecard and the SPP, which supports the workforce in accomplishing the applicant's strategic objectives.
Consensus Comment: It is unclear if the applicant has a systematic process to recruit, hire, place, and retain new workforce members. Additionally, it is unclear how the organization ensures a workforce that represents the diversity of the hiring and patient community. Without a systematic approach, the applicant may be unable to meet their objective to "be the preferred employer in communities served."   Summary of Conclusions and Impact on Comments:

Copy and paste Summary and Comment on Item Worksheet

Completed SVI Worksheet continues on the next page

Review of demographics for the four states with a comparison of the applicant's workforce demographics demonstrated several disparities.

Discussion with CLT clarified that they also note this as an opportunity for partnership with the communities/markets they strategically plan to enter.

OFI rewritten to focus on diversity.

Site Visit Comment:

The applicant does not have a systematic process to ensure that the workforce represents the diversity of the resident and stakeholder community. For example, the community in Oneville, Kentucky is comprised of 25% Hispanic residents, yet, none of the workforce being hired and transferred in to staff the new facility have this cultural context.   Adding diversity may assist with "being the preferred employer in communities served."

X

Add Effect on Comments

48

Copied and pasted from the SVI Worksheet

Strengths

Add New

ID	Item Reference	Strength Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	++	
STR-1	a(1)	The applicant systematically assesses workforce capability and capacity, including daily staffing levels, as shown in Figure 5.1-1. The five capability and four capacity approaches, which are integrated with the APEX scorecard and the SPP, support the workforce in accomplishing the applicant's strategic objectives.	Figure 5.1-1 shows continuous loop for assessment of capability and capacity, including competency assessments, consideration of SPP and APEX scorecards. Formal planning occurs during annual budgeting (Fig 2.1-1). Staffing levels monitored on facility APEX scorecards, with assessment/adjustment on every shift at each facility per resident acuity. Formal capability assessment is completed through APEX.	5.1-1	Review of staffing ratios for all locations over the past year, review of competency assessments, discussions with senior leaders and HR directors verify that processes and action plans support capacity planning. Comment remains but is reworded to focus on assessment of daily activities (see related OFI-2 on longer-term)	The applicant systematically assesses daily workforce capability and capacity needs by adjusting staffing levels for each shift and ensuring that staff maintain required skill levels. The assessment process is integrated with the APEX scorecard and the SPP, which supports the workforce in accomplishing the applicant's strategic objectives.		X
STR-2	a(3)	The applicant uses interdisciplinary Collaborative Care Teams within Skilled Nursing Facilities, and cross-trained universal employees within Assisted Living Facilities to provide relationship-based care. Collaborative Care Teams cover daily care planning for residents, and address personal and environmental needs of residents as well. These approaches assist the organization in leveraging its core competency "to support various lifestyles and deliver excellent clini	APEX value of agility supports workforce in responsiveness to residents and families. Clinical Excellence Group developed acuity-based staffing system, with use of float pools in SNFs & universal, cross-trained employee position in many ALFs.	5.1-2	Discussions with two care teams and SNF and two care teams at ALF verified relationship-based care model is used at all facilities in all states. Comment remains.	The applicant uses interdisciplinary Collaborative Care Teams within Skilled Nursing Facilities, and cross-trained universal employees within Assisted Living Facilities to provide relationship-based care. Collaborative Care Teams cover daily care planning for residents, and address personal and environmental needs of residents as well. These approaches assist the organization in leveraging its core competency "to support various lifestyles and deliver excellent clinical outcomes."		X
STR-3	b(1)	The applicant methods and	ches are used fe and secure	5.1-3	Discussion with Director of Workplace Health verify that	The Safety Committee maintains oversight for ensuring workplace		X

Strengths continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

ID	Item Reference	Strength Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	++	
		(Figure 5.1-2) to ensure workplace health, safety, and security. These methods include a systemwide Safety Committee that meets monthly to review progress toward goal, unexpected events, and best practices. Daily rounding of Collaborative Care Teams helps to identify potential safety hazards. These approaches assist the applicant in achieving its customer requirement for a "safe and secure environment."	work environment, and include having a Risk Management Safety Officer, a Safety Committee, Collaborative Care Teams, and an Emergency Preparedness Plan. Exec dir of each facility=risk management/safety officer, serve on systemwide Safety Committee. Review all facility/system health, safety, security policies and procedures. Meet monthly to review key measures.		processes are in place. Review of logs/incidents demonstrate that processes are effective. Staff, volunteer and physician interviews indicate that the workforce feels safe and secure.	health, safety, and security by monitoring progress toward goals, unexpected events, and best practices. Daily rounding of Collaborative Care Teams helps to identify potential safety hazards. These approaches assist the applicant in achieving its customer requirement for a "safe and secure environment."		
STR-4	b(2)	The applicant organizes support of the workforce via services, benefits and policies around five identified factors related to employee satisfaction and engagement [P.1a (3)]. The array of offerings cover the major areas identified and allows for individualization to support the needs of a diverse workforce and to contribute to employee retention, a recognized strategic advantage.	Multiple approaches are used to maintain a safe and secure work environment, and include having a Risk Management Safety Officer, a Safety Committee, Collaborative Care Teams, and an Emergency Preparedness Plan, A cafeteria-style benefits plan is available.	5.1-3	Review of workforce demographics showed that the 8% Hispanic portion of the workforce are all located in one state. During the employee interview, staff disclosed that the policies are not in their primary language. A review of the benefits appeared to be industry standard and did not rise to the level of a stand alone strength.	This strength was eliminated.		X

OFIs								Add New
ID	Item Reference	OFI Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	- -	
OFI-1	a,b	**It is unclear how volunteers are trained and managed to**	With 700 volunteers providing functions such as	5.1-3	No safety training records were available for students,	Processes, such as mandatory training, that ensure work safety		X

		accomplish their work safely and effectively. Deployment of approaches to precepted students or credentialed physicians is also not evident. Assuring that volunteers, physicians, and students are organized and managed to fully support the work of the organization may enhance the applicant's ability to engage all workforce groups in delivering high-quality care and services and in maintaining a safe, secure environment.	transportation and surveys, it is unclear whether this important part of the workforce is trained and managed to accomplish their work safely and effectively. Further, not clear whether the workforce policies/benefits are tailored to meet the needs of a diverse workforce, such as physicians and students, as well as volunteers.		physicians, and volunteer bus drivers. The HR directors clarified that training currently does not extend to these groups and that the system-wide safety committee does not focus on these groups. Volunteers and bus drivers do not have access to the Event Reporting System. OFI remains.	do not currently include all physicians, students, and volunteer bus drivers. Including the entire workforce in safety processes may enhance the applicant's ability to engage all workforce groups in maintaining a safe, secure environment.		
OFI-2	a(4)	A systematic process to prepare the workforce for changing capability and capacity needs is not evident. Examples were provided, such as workforce changes made to address acquisition of the Bellburn Care Group. But it was unclear that there is a repeatable, defined process to ensure that the applicant is able to address its strategic challenge of "right-sizing for performance excellence."	The applicant addresses changes, including changes in health care overall as indicated in two examples provided, one being the acquisition of Bellburn Care Group. Not clear that this was repeatable, systemtic process.	5.1-1	Discussion with senior leaders and documentation of staffing ratios at new sites verify that capacity issues at new facilities remain a gap (e.g. inadequate staffing of occupational therapists at Bellburn Care since they opened). Employees in the staff interview and during walk arounds stated was a dissatisfier.	Processes for capacity planning for new facilities are not fully implemented. As examples, there are 35 open FTEs at new sites such as Bellburn Care Group and the cycle of refinement involving partnership with local colleges is in its first year of recruitment. Fully addressing changing needs for staffing at new facilities may assist the applicant with addressing its strategic challenge of "right-sizing for performance excellence."		X
OFI-3	a(2)	It is unclear if the applicant has a systematic process to recruit, hire, place, and retain new workforce members. Additionally, it is unclear how the organization ensures a workforce that represents the diversity of the hiring and patient community. Withou systematic approach, the	There does not appear to be a systematic approach in place to prepare the workforce for changes in capacity and capability needs. For example, the hiring process appears to be limited to performing background checks, and no	5.1-2	Review of demographics for the four states with a comparison of the applicant's workforce demographics demonstrated several disparities. Discussion with CLT clarified that they also note this as an opportunity for partnership with the communities/markets they	The applicant does not have a systematic process to ensure that the workforce represents the diversity of the resident and stakeholder community. For example, the community in Oneville, Kentucky is comprised of 25% Hispanic residents, yet, none of the workforce being hired and transferred in to staff		X

OFIs continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

SCORING

Consensus Overall Scoring Range 50-65%

Item Score at Consensus 50

Site Visit Overall Scoring Range 50-65%

Provide a rationale for the change to the overall Item scoring range (if appropriate).

No change in score is proposed.

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How to Prepare Results Item Worksheets and SVI Worksheets

During the site visit planning phase (through the Sunday planning meeting)
The format of the Item Worksheet for results items is the same as for process items. However, there is only one SVI Worksheet for each item in category 7. The SVI Worksheet is organized by comments in the Item Worksheet and documents the figures included within the comments. On the SVI Worksheet, you will also list any interviews required or additional documents to review.

1. When your team moves from Consensus Review to Site Visit Review, BOSS constructs not only the Item Worksheet but also the SVI Worksheet for each results item. BOSS links each comment automatically to the SVI Worksheet for that item. Click the SVI link in the column next to the comments or select the "SVI Worksheets" tab, scroll to the bottom listings of the result SVIs, and click the related pencil icon.

2. As you open the SVI, you will see several fields, as shown in the example on page 57. Under "Verify," list all strength comments with information about the figures included in the comment. Under "Clarify," do the same for all OFI comments. Complete the sections headed "People/Groups to Interview" and "Documents to Review" as you did for process items, listing each on a separate line. The sections for "(To be completed on-site) New Data Found On-Site" and "(To be completed on-site) Newly Recognized Gaps Discovered On-Site" later.

3. Under "Verify," click "Add Strength." Select the ID of the strength from the drop-down list. BOSS will display the text of the strength for your review. Some comments are preceded by ++ or, for OFIs, indicate if the comment was doubled/bolded during Consensus Review.

4. Click "Continue." BOSS displays a window where you can enter information about the strength, as seen in the example on page 56. Start by entering a "Brief Summary," perhaps a tag line you would use to describe it. (Note that you have a spell-check function for this and other fields.)

5. After you enter the brief summary, list the figures included in the comment. Separate the figures by commas.

6. Check whether the figures show "Good-to-Excellent Levels."

7. To list any "Beneficial Trends," click the "Add Trend" button. Summarize the trend data by the appropriate figure number. Use the "Notes" field to expand on results or other findings that you might explore during the site visit.

8. Follow the same process with "Comparisons" and "Segmentation/Linkages."

9. When you have completed entering information about the results for this comment, click "Save," and BOSS will return you to the SVI page for this item.

10. Once you have completed data for each individual strength and OFI, consider the "People/Groups to Interview" and the "Documents to Review." Consider which people and documents would answer your questions. Complete each of these sections and click "Save and Close" to return to the main SVI list. This information will be useful for you in preparing for the site visit, but it will not be given to the judges.

Upon receipt of updated results (one week before the site visit)

11. When you receive updated results from the applicant, select each results SVI and then each comment within the SVI. Complete the three fields for each comment under "List Updated Results." Not all results will have updates, but the data received may lead to a new OFI or help clarify an existing OFI.

12. Before you leave home for the site visit, export the Item Worksheet and SVI Worksheet for each results item that you lead into a PDF document. On-site, use the PDF documents to record your findings, analyses, conclusions, and revised comments.

On-site (at the applicant's location[s])

13. Complete the "Summary of Findings and Impact on Comments" for each comment on the SVI Worksheet while on-site, after you have verified and clarified the strengths and opportunities by accomplishing your SVI strategy for this item. This is a summary of your findings rather than a written transcript. However, provide sufficient data and clear conclusions to give the Panel of Judges a clear trail from Consensus Review comments to site visit conclusions to site visit comments and, finally, to scores.

14. One page of the results SVI Worksheet in PDF is titled "Results SVI – Summary." To update the data for each comment on this read-only page, click the "Refresh Summary" button for each section. If you add more information to the editable pages, click "Refresh Summary" again.

15. Complete the final sections on the SVI Worksheet: "New Data Found On-Site" and "Newly Recognized Gaps Discovered On-Site." Write as much detail as necessary for the Panel of Judges to understand your findings and their impact on the related comments.

Post-site (after the closing meeting)

16. Working in your PDF documents, copy your conclusions for each comment from the SVI Worksheet to the Item Worksheet in the column labeled "Summary of Conclusions and Impact on Comments."

17. In the last column of the Item Worksheet, as appropriate, revise comments to reflect these conclusions. Check the box if the comment should be doubled/bolded. If you have a new comment, click the appropriate "Add Comment" button for a strength or OFI and enter the text directly in the "Comments after Site Visit" column.

18. Go to the last page of the Item Worksheet PDF and review the consensus score and scoring range, determine whether the scoring range needs to change, and document the rationale.

> The Item Worksheet will be posted for review during "walk the wall." Based on the team's feedback, you may edit the Item Worksheet comments or score and then undergo another round of "walk the wall."

The following pages are samples of the Item 7.3 Worksheet and the SVI Worksheet 7.3-1 at the end of the planning phase. They are followed by sample PDFs of SVI Worksheet 7.3-1 prepared for the site visit, the completed SVI Worksheet 7.3-1, and the Item 7.3 Worksheet.

Results Item Worksheet for Planning Phase

Continued from previous page

Site Visit Review: TST2012 Logged in as: NJ099055   7/30/2012

CR Scorebook   Log Time   Team Files   Scorebook Summary   Suggestion Box   Help   Logout

Overview | Conflict of Interest | Scorebook Leads | Key Factors | Key Themes | **Item Worksheets** | SVI Worksheets | Import/Export | Score Summary

Select Item: **7.3 Workforce-Focused Outcomes**   Invite Feedback

Comments Score

		the nursing hours in labor and the percentage of personnel with products below, as the labor value has declined to a level that is near the top decile benchmark (Figure 7.3-1). Also, Employee Back Injury (7.3-2) shows declining costs associated with worker's compensation, declining trend in injuries reported, approaching best decile, and Influenza Vaccination Rate for Employees (7.3-3) has improving trends (below goal and state quality award receipient).	
OFI-1	a	**Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.** Rationale: With the exception of the RN / LPN distinction made in Figure 7.3-1, no other form of segmented workforce-focused results are presented. For example, no physician or volunteer specific results were presented, even those these two groups make up a key percentage of the workforce. Also, given the multiple sites, relatively diverse workforce, dual service lines, and staff dependent core competencies that exist, additional segmentation of the workforce-focused results presented is needed to determine the degree to which most areas of importance have been addressed.	7.3-1	
OFI-2	a(2,4)	**The applicant is missing most workforce climate and development results, including workforce health, safety and security. Results were not reported for tuberculosis screening, injuries unrelated to resident care, or injury from agitated resident (Figure 5.1-2), which could impact the applicant's ability to ensure a safe and secure environment. Also, the applicant does not provide training effectiveness results in support of its core competency "developing clinical and service competencies."** Rationale: Results for workplacer health, safety, and security results, Figure 5.2-1, are largely missing. Feedback from item backup reinforced this OFI.	7.3-1	
OFI-3	a(1)	Results for workforce capability and capacity are missing. No results are provided on competencies or skill levels and results for capacity are limited to staffing ratios exceeding the national average since 2005, with the exception of Nursing Care Hours to Selected Outcomes (Figure 7.3-1). Without measures to understand capability and capacity, as well as staffing levels and appropriate skills, the applicant may be challenged in achieving its strategic objectives and goals. Rationale: The applicant offers only one workforce capability and capacity measure (Relation of Nursing Care Hours to Selected Outcomes, Figure 7.3-1). It is not clear how this one measure provides sufficient information to ensure effective staffing for high performance. Measures of key processes referenced in Figures 5.1-1 and 2.1-1, and tied to staffing adjustments per acuity levels, might assist the applicant in meeting the requirement for high-quality, resident-centered care and services.	7.3-1	

Results SVI Worksheet for the Planning Phase

Results SVI Worksheet: 7.3-1

Verify

Comment	Brief Summary	Good-To-Excellent Levels?	Manage
STR-1	Employee satisfaction and engagement	true	
STR-2	Workforce-focused results	true	

Add Strength

Clarify

Comment	Brief Summary	Poor Levels?	Manage
OFI-1	Segmented Nursing Results	true	
OFI-2	Most workforce climate and development results are missing	true	
OFI-3	Missing results for workforce capabilities and capacities	true	

Add OFI

People/Groups to Interview

Person/Group	Manage
Category 5 results team	

Add Interview

Documents to Review

Document	Manage
All updated results and missing results on workforce segmentation, capacity/competency, security	

Preparing to Go On-Site

The following pages are samples of the SVI Worksheet 7.3-1 that has been completed through the planning phase and exported to a PDF document for the work on-site. The samples of the strengths and OFIs contain only the first page of the PDFs on BOSS.

Results SVI

SVI ID:	7.3-1		Applicant #:	2012

VERIFY STRENGTHS

Comment ID: STR-1

Consensus Comment: Overall Employee Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Employee Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2011 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."

Brief Summary: Employee satisfaction and engagement

Figures: 7.3-4, 7.3-5, 7.3-6

Good-to-Excellent Levels?: ● Yes ○ No

List Beneficial Trends:

Figure	Beneficial Trends	Del
Figure 7.3-4	Favorable trend from 2006 to 2009. Sustained top decile 2009 to 2011. Projection that 2012 will also sustain top performance.	X
Figure 7.3-5	"I would be proud to refer a friend" favorable improvement trend from 2007 to 2011 with top decile performance last three years	X

Add Beneficial Trend

Notes (Trend Issues to Explore On-Site):

See OFI on segmentation - explore whether all facilities and job classes have best-in-class performance.

List Favorable Comparisons:

Figure	Favorable Comparisons	Del
Figures 7.3-4 through 7.3-6	Top decile reported	X

Add Favorable Comparison

Notes (Favorable Comparison Issues to Explore On-Site):

Check on the benchmark to better understand if it is state or national comparison. Need to check if this is just a nursing NursQM is the only one listed in P.2-1. Need to check on results for the other 24% of the 3,718 employees (e.g. therapists, support staff, etc).

List Appropriate Segmentation and Linkages:

Figure	Segmentation and Linkages	Del
Figures 7.3-5 and 7.3-6	Segmentation of elements of employee engagement Linkage to employee key requirements (e.g. benefits)	X

Add Segmentation/Linkages

Notes (Appropriate Segmentation/Linkage Issues to Explore On-Site):

Need to explore trends and comparisons for segmented data if provided on site.

List Figures **With No**

Updated Results:	
List Figures **With** Updated Results:	Figure 7.3-4 Overall Employee Satisfaction; Figure 7.3-5 Employee Satisfaction: Elements; Figure 7.3-6 Employee Engagement
Describe Changes:	Employee Engagement (7.3-4 thru 7.3-6 is from a nursing survey) All trends were consistent with updated results. Segmentations was provided for facilities, states, and nursing clinical staff (except physicians and students)

Summary of Findings and Impact on Comments:

For each comment addressed by this SVI, indicate any changes to the comment as follows: (1) Cut and paste the Consensus Review comment here. (2) Write the "Summary of Conclusions and Impact on Comments." (3) Write the revised comment. (Note: After review by the team, you will paste (2) and (3) into the Item Worksheet.)

Comment ID:	STR-2
Consensus Comment:	Most of the applicant's reported workforce-focused results have improved over the past five or six years. For example, Figure 7.3-2, Employee Back Injury, reflects the reduction in both back injuries and workers' compensation costs that have been realized by the applicant over the past four years, with performance approaching top decile in 2010 and 2011. Positive workforce results support an engaged workforce to achieve organizational success.
Brief Summary:	Workforce-focused results
Figures:	
Good-to-Excellent Levels?:	● Yes ○ No

SVI ID: Applicant #:

CLARIFY OFIs

Comment ID:	OFI-1
Consensus Comment:	Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.
Brief Summary:	Segmented Nursing Results
Figures:	See list of figure below for segmentation by employee group (other than nursing) that is missing. No facility segmentation is provided. There is no segmentation by service offering.
Poor Levels?:	● Yes ○ No

List Adverse Trends:

Figure	Adverse Trends	Del
Figure 7.3-7	Although listed as top decile, turnover rate appears to be flat - check to see if there are any unfavorable trends by facility	X

Add Adverse Trend

Notes (Adverse Trend Issues to Explore On-Site):

Check for brain injury and other clinically relevant segments for clinical outcomes

List Unfavorable Comparisons:

Figure	Unfavorable Comparisons	Del
Figure 7.3-7	Check to see what the comparison is for the top decile performance for volunteers	X

Add Unfavorable Comparison

Notes (Unfavorable Comparison Issues to Explore On-Site):

Identify Lack of Segmentation and Linkages:

Figure	Lack of Segmentation and Linkages	Del
Figures 7.3-2 to 7.3-6 + 7.3-8	No segmentation by employee group, facility, or service offering	X

Add Segmentation/Linkage

Notes (Lack of Segmentation/Linkage Issues to Explore On-Site):

Look for key patient groups (e.g. brain injury)

List Figures **With No** Updated Results:	Figure 7.3-8 Tuition Waivers Figure 7.3-9 Performance Incentives
List Figures **With** Updated Results:	Figure 7.3-1 Nursing Care Hours to Outcomes Figure 7.3-2 Employee Back Injury

VERIFY

Refresh Summary

| Comment #	Brief Summary	Figures	Good-to-Excellent Levels	Beneficial Trends	Favorable Comparisons	Appropriate Segmentation/ Linkage	Updated Results Yes (change?) No	Summary of Findings and Impact on Comments
STR-1	Employee satisfaction and engagement	7.3-4 7.3-5 7.3-6	X	Figure 7.3-4: Favorable trend from 2006 to 2009. Sustained top decile 2009 to 2011. Projection that 2012 will also sustain top performance. Figure 7.3-5: "I would be proud to refer a friend" favorable improvement trend from 2007 to 2011 with top decile performance last three years (See OFI on segmentation - explore whether all facilities and job classes have best-in-class performance.)	Figures 7.3-4 through 7.3-6: Top decile reported (Check on the benchmark to better understand if it is state or national comparison. Need to check if this is just a nursing NursQM is the only one listed in P.2-1. Need to check on results for the other 24% of the 3,718 employees (e.g. therapists, support staff, etc).)	Figures 7.3-5 and 7.3-6: Segmentation of elements of employee engagement Linkage to employee key requirements (e.g. benefits) (Need to explore trends and comparisons for segmented data if provided on site.)	No: Yes: Figure 7.3-4 Overall Employee Satisfaction; Figure 7.3-5 Employee Satisfaction: Elements; Figure 7.3-6 Employee Engagement Change: Employee Engagement (7.3-4 thru 7.3-6 is from a nursing survey) All trends were consistent with updated results. Segmentations was provided for facilities, states, and nursing clinical staff (except physicians and students)	
STR-2	Workforce-focused results		X				No: Yes: Change:	

Strengths continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

CLARIFY

Comment #	Brief Summary	Figures	Poor Levels	Adverse Trends	Lack of or Unfavorable Comparisons	Lack of Segmentation/ Linkage	Updated Results Yes (change?) No	Summary of Findings and Impact on Comments
OFI-1	Segmented Nursing Results	See list of figure below for segmentation by employee group (other than nursing) that is missing. No facility segmentation is provided. There is no segmentation by service offering.	X	Figure 7.3-7: Although listed as top decile, turnover rate appears to be flat - check to see if there are any unfavorable trends by facility

(Check for brain injury and other clinically relevant segments for clinical outcomes) | Figure 7.3-7: Check to see what the comparison is for the top decile performance for volunteers | Figures 7.3-2 to 7.3-6 + 7.3-8: No segmentation by employee group, facility, or service offering

(Look for key patient groups (e.g. brain injury)) | No: Figure 7.3-8 Tuition Waivers Figure 7.3-9 Performance Incentives

Yes: Figure 7.3-1 Nursing Care Hours to Outcomes Figure 7.3-2 Employee Back Injury Figure 7.3-3 Influenza Vaccine Figure 7.3-4 Overall Employee Satisfaction Figure 7.3-5 Employee Satisfaction: Elements Figure 7.3-6 Employee Engagement Figure 7.3-7 Turnover Rates

Change: Segmentation available by facility and location. Brain injury segmented clinical outcome | |

OFIs continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

PEOPLE TO INTERVIEW

Person or Group	Del
Category 5 results team	X
	Add New Interview Resource

DOCUMENTS TO REVIEW

Document	Del
All updated results and missing results on workforce segmentation, capacity/competency, security	X
Ask for segmented data for employee injury from agitated patients	X
Volunteer and physician engagement by state and facility; if available, student engagement	X
	Add New Document

Completed SVI Worksheet and Item Worksheet

When you have finished your interviews and reviewed the requested documents, you complete the fields on the SVI Worksheets. After reviews by your team, you revise the comments on the Item Worksheets. The samples shown here are completed and ready to be imported back into BOSS.

Results SVI

SVI ID:	7.3-1		Applicant #:	2012

VERIFY STRENGTHS

Comment ID: STR-1

Consensus Comment: Overall Employee Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Employee Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2011 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."

Brief Summary: Employee satisfaction and engagement

Figures: 7.3-4, 7.3-5, 7.3-6

Good-to-Excellent Levels?: ● Yes ○ No

List Beneficial Trends:

Figure	Beneficial Trends	Del
Figure 7.3-4	Favorable trend from 2006 to 2009. Sustained top decile 2009 to 2011. Projection that 2012 will also sustain top performance.	X
Figure 7.3-5	"I would be proud to refer a friend" favorable improvement trend from 2007 to 2011 with top decile performance last three years	X

Add Beneficial Trend

Notes (Trend Issues to Explore On-Site):

See OFI on segmentation - explore whether all facilities and job classes have best-in-class performance.

List Favorable Comparisons:

Figure	Favorable Comparisons	Del
Figures 7.3-4 through 7.3-6	Top decile reported	X

Add Favorable Comparison

Notes (Favorable Comparison Issues to Explore On-Site):

Check on the benchmark to better understand if it is state or national comparison. Need to check if this is just a nursing NursQM is the only one listed in P.2-1. Need to check on results for the other 24% of the 3,718 employees (e.g. therapists, support staff, etc.).

List Appropriate Segmentation and Linkages:

Figure	Segmentation and Linkages	Del
Figures 7.3-5 and 7.3-6	Segmentation of elements of employee engagement Linkage to employee key requirements (e.g. benefits)	X

Add Segmentation/Linkages

Notes (Appropriate Segmentation/Linkage Issues to Explore On-Site):

Need to explore trends and comparisons for segmented data if provided on site.

List Figures With No

SVI ID: 7.3-1   Applicant #:   2012

Updated Results:

List Figures With Updated Results: Figure 7.3-4 Overall Employee Satisfaction; Figure 7.3-5 Employee Satisfaction: Elements; Figure 7.3-6 Employee Engagement

Describe Changes: Employee Engagement (7.3-4 thru 7.3-6 is from a nursing survey)
All trends were consistent with updated results.
Segmentations was provided for facilities, states, and nursing clinical staff (except physicians and students)

Summary of Findings and Impact on Comments:

For each comment addressed by this SVI, indicate any changes to the comment as follows: (1) Cut and paste the Consensus Review comment here. (2) Write the "Summary of Conclusions and Impact on Comments." (3) Write the revised comment. (Note: After review by the team, you will paste (2) and (3) into the Item Worksheet.)

Consensus Review comment:

Overall Employee Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Employee Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2011 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."

Summary of Conclusions and Impact on Comment:

Updated results verified. Since the employee satisfaction results were isolated to a nursing survey, the comment was reworded to reflect this segment of the workforce. Updated to 2012.

Site Visit comment:

Overall Nursing Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Nursing Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2012 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."

Copy paste the Summary and SV Comment to the Item Worksheet

Comment ID: STR-2

Consensus Comment: Most of the applicant's reported workforce-focused results have improved over the past five or six years. For example, Figure 7.3-2, Employee Back Injury, reflects the reduction in both back injuries and workers' compensation costs that have been realized by the applicant over the past four years, with performance approaching top decile in 2010 and 2011. Positive workforce results support an engaged workforce to achieve organizational success.

Brief Summary: Workforce-focused results

Figures:

Good-to-Excellent Levels?: ⦿ Yes   ○ No

Strengths continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

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CLARIFY OFIs

Comment ID:	OFI-1

Consensus Comment: Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.

Brief Summary: Segmented Nursing Results

Figures: See list of figure below for segmentation by employee group (other than nursing) that is missing. No facility segmentation is provided. There is no segmentation by service offering.

Poor Levels?: ● Yes   ○ No

List Adverse Trends:

Figure	Adverse Trends	Del
Figure 7.3-7	Although listed as top decile, turnover rate appears to be flat - check to see if there are any unfavorable trends by facility	X

Add Adverse Trend

Notes (Adverse Trend Issues to Explore On-Site):

Check for brain injury and other clinically relevant segments for clinical outcomes

List Unfavorable Comparisons:

Figure	Unfavorable Comparisons	Del
Figure 7.3-7	Check to see what the comparison is for the top decile performance for volunteers	X

Add Unfavorable Comparison

Notes (Unfavorable Comparison Issues to Explore On-Site):

Identify Lack of Segmentation and Linkages:

Figure	Lack of Segmentation and Linkages	Del
Figures 7.3-2 to 7.3-6 + 7.3-8	No segmentation by employee group, facility, or service offering	X

Add Segmentation/Linkage

Notes (Lack of Segmentation/Linkage Issues to Explore On-Site):

Look for key patient groups (e.g. brain injury)

List Figures **With No** Updated Results:	Figure 7.3-8 Tuition Waivers Figure 7.3-9 Performance Incentives
List Figures **With** Updated Results:	Figure 7.3-1 Nursing Care Hours to Outcomes Figure 7.3-2 Employee Back Injury

Figure 7.3-3 Influenza Vaccine
Figure 7.3-4 Overall Employee Satisfaction
Figure 7.3-5 Employee Satisfaction: Elements
Figure 7.3-6 Employee Engagement
Figure 7.3-7 Turnover Rates

Describe Changes: Segmentation available by facility and location. Brain injury segmented clinical outcome results show unfavorable trends.

Summary of Findings and Impact on Comments:

For each comment addressed by this SVI, indicate any changes to the comment as follows: (1) Cut and paste the Consensus Review comment here. (2) Write the "Summary of Conclusions and Impact on Comments." (3) Write the revised comment. (Note: After review by the team, you will paste (2) and (3) into the Item Worksheet.)

Consensus Review comment:

Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.

Summary of Conclusions and Impact on Comment:

OFI was clarified on site. The applicant does not currently measure engagement of students, volunteers, and physicians. Segmentation by service offering and location were provided on site. Bold was removed since segmentation for many results were provided on site.

OFI was reworded to focus on workforce segments. Moved safety training/education segmentation from OFI-2 to include with engagement.

Site Visit comment:

Segmented results for volunteers, credentialed physicians, and student engagement and training are not available. Without measuring and improving engagement and training of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.

> Copy paste the Summary and SV Comment to the Item Worksheet

Comment ID: OFI-2

sus Comment: The applicant is missing most workforce climate and development results, including workforce health, safety and security. Results were not reported for tuberculosis screening, injuries unrelated to resident care, or injury from agitated resident (Figure 5.1-2), which could impact the applicant's ability to ensure a safe and secure environment. Also, the applicant does not provide training effectiveness results in support of its core competency "developing clinical and service competencies."

Brief Summary: Most workforce climate and development results are missing

Figures:

> OFIs continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

SVI ID: 7.3-1   Applicant #:   2012

VERIFY

Refresh Summary

Comment #	Brief Summary	Figures	Good-to-Excellent Levels	Beneficial Trends	Favorable Comparisons	Appropriate Segmentation/ Linkage	Updated Results Yes (change?) No	Summary of Findings and Impact on Comments
STR-1	Employee satisfaction and engagement	7.3-4 7.3-5 7.3-6	X	Figure 7.3-4: Favorable trend from 2006 to 2009. Sustained top decile 2009 to 2011. Projection that 2012 will also sustain top performance. Figure 7.3-5: "I would be proud to refer a friend" favorable improvement trend from 2007 to 2011 with top decile performance last three years (See OFI on segmentation - explore whether all facilities and job classes have best-in-class performance.)	Figures 7.3-4 through 7.3-6: Top decile reported (Check on the benchmark to better understand if it is state or national comparison. Need to check if this is just a nursing NursQM is the only one listed in P.2-1. Need to check on results for the other 24% of the 3,718 employees (e.g. therapists, support staff, etc).)	Figures 7.3-5 and 7.3-6: Segmentation of elements of employee engagement Linkage to employee key requirements (e.g. benefits) (Need to explore trends and comparisons for segmented data if provided on site.)	No: Yes: Figure 7.3-4 Overall Employee Satisfaction; Figure 7.3-5 Employee Satisfaction: Elements; Figure 7.3-6 Employee Engagement Change: Employee Engagement (7.3-4 thru 7.3-6 is from a nursing survey) All trends were consistent with updated results. Segmentations was provided for facilities, states, and nursing clinical staff (except physicians and students)	Consensus Review comment: Overall Employee Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Employee Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2011 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees." Summary of Conclusions and Impact on Comment: Updated results verified. Since the employee satisfaction results were isolated to a nursing survey, the comment was reworded to reflect this segment of the workforce. Updated to 2012. Site Visit comment: Overall Nursing Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Nursing Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2012 (Figure 7.3-6). Low vacancy and turnover

Strengths continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

| OFI-1 | | See list of figure below for segmentation by employee group (other than nursing) that is missing. No facility segmentation is provided. There is no segmentation by service offering. | X | Figure 7.3-7: Although listed as top decile, turnover rate appears to be flat - check to see if there are any unfavorable trends by facility

(Check for brain injury and other clinically relevant segments for clinical outcomes) | Figure 7.3-7: Check to see what the comparison is for the top decile performance for volunteers | Figures 7.3-2 to 7.3-6 + 7.3-8: No segmentation by employee group, facility, or service offering

(Look for key patient groups (e.g. brain injury)) | No: Figure 7.3-8 Tuition Waivers Figure 7.3-9 Performance Incentives

Yes: Figure 7.3-1 Nursing Care Hours to Outcomes Figure 7.3-2 Employee Back Injury Figure 7.3-3 Influenza Vaccine Figure 7.3-4 Overall Employee Satisfaction Figure 7.3-5 Employee Satisfaction: Elements Figure 7.3-6 Employee Engagement Figure 7.3-7 Turnover Rates

Change: Segmentation available by facility and location. Brain injury segmented clinical outcome results show unfavorable trends. | Consensus Review comment: Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities. Summary of Conclusions and Impact on Comment: OFI was clarified on site. The applicant does not currently measure engagement of students, volunteers, and physicians. Segmentation by service offering and location were provided on site. Bold was removed since segmentation for many results were provided on site. OFI was reworded to focus on workforce segments. Moved safety training/education segmentation from OFI-2 to include with engagement. Site Visit comment: Segmented results for volunteers, credentialed physicians, and student engagement and training are not available. Without measuring and improving engagement and training of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities. |
| | Segmented Nursing Results | | | | | | | |

OFIs continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

NEW DATA FOUND ON-SITE

New Data	LeTCI Description	Impact	Del
Training records for staff other than volunteers, doctors, and students.	Reviewed the last ten years of training records.	OFI is no longer bolded.	X
Competency and staff ratios	Found that a daily assessment was conducted since 2007,	No impact; this supports the OFI.	X
		Add New Data	

NEWLY RECOGNIZED GAPS DISCOVERED ON-SITE

New Gap	Description	Impact	Del
			X
		Add New Gap	

Site Visit: Item Worksheet

Copied and pasted from the SVI Worksheet

Strengths

[Add New]

ID	Item Reference	Strength Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	++	
STR-1	a(3)	**Overall Employee Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Employee Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2011 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."**	Comment supported by 5 examiners: JJ, SC, KM, RRuhl, RR		Updated results verified. Since the employee satisfaction results were isolated to a nursing survey, the comment was reworded to reflect this segment of the workforce. Updated to 2012.	Overall Nursing Satisfaction has been favorable to the top decile since 2008 (Figure 7.3-4). Nursing Engagement for survey questions on "proud to work at applicant" and "I would recommend applicant to a family member" were also at top decile levels in 2010 and 2012 (Figure 7.3-6). Low vacancy and turnover rates (Figure 7.3-7) help the organization sustain its strategic advantage of "high retention of employees."	✓	X
STR-2	a(2)	Most of the applicant's reported workforce-focused results have improved over the past five or six years. For example, Figure 7.3-2, Employee Back Injury, reflects the reduction in both back injuries and workers' compensation costs that have been realized by the applicant over the past four years, with performance approaching top decile in 2010 and 2011. Positive workforce results support an engaged workforce to achieve organizational success.	Comment supported by three examiners. SW, KM, RRuhl		Updated results verified. These results included all clinical providers (nurses, OT, PT, care associates) except students and physicians. Added in cost savings provided on site.	Many of the applicant's reported workforce-focused results have improved over the past 7 years. For example, Figure 7.3-2, Employee Back Injury, reflects the reduction in both back injuries and workers' compensation costs that have been realized by the applicant over the past four years, with performance approaching top decile since 2010. Total cost savings to the organization has surpassed $5 million. Positive workforce results support an engaged workforce to achieve organizational success.	▪	X

OFIs   Add New

ID	Item Reference	OFI Comments at Consensus	Rationale at Consensus	SVI	Summary of Conclusions and Impact on Comments	Comments after Site Visit	--	
OFI-1	a	Segmentation of workforce results is missing. For example, engagement by service offering, facility, and state are not provided. Also, results for volunteer, credentialed physician and student engagement are missing. Without measuring and improving engagement of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.	Comment supported by five examiners: JJ, SC, SW, KM, RRuhl		OFI was clarified on site. The applicant does not currently measure engagement of students, volunteers, and physicians. Segmentation by service offering and location were provided on site. Bold was removed since segmentation for many results were provided on site. OFI was reworded to focus on workforce segments. Moved safety training/education segmentation from OFI-2 to include with engagement.	Segmented results for volunteers, credentialed physicians, and student engagement and training are not available. Without measuring and improving engagement and training of all segments of the workforce, the organization may be unable to achieve their vision to be among the top 10% of facilities.	X	
OFI-2	a(2,4)	The applicant is missing most workforce climate and development results, including workforce health, safety and security. Results were not reported for tuberculosis screening, injuries unrelated to resident care, or injury from agitated resident (Figure 5.1-2), which could impact the applicant's ability to ensure a safe and secure environment. Also, the applicant does not provide training effectiveness results in support of its core competency "developing clinical and service competencies."	Comment supported by two examiners: JJ, KM		Results of training for staff members other than volunteers, physicians, and students were provided on site. Bold removed since many results were provided on site. New results seen on site demonstrated unfavorable trends with care coordination for brain injury patients, with unfavorable performance to the mean in Pennsylvania. OFI reworded to focus on unfavorable trend.	Several outcomes measures for brain injury patients demonstrate unfavorable trends compared to the state mean. For example, there has been a 50% decline in "progress with care plan" from 2008 to 2011 in the Pennsylvania facilities. Likewise, resident family complaints for this patient group has doubled in the last two years for the issue of "coordination of care plan." Improving coordination of care for this group of residents may assist with strategic positioning for future growth.	X	

OFIs continue but are not shown here. To view the complete sample, visit the Examiner Resource Center.

SCORING

Consensus Overall Scoring Range   30-45%

Item Score at Consensus   35

Site Visit Overall Scoring Range   30-45%

Provide a rationale for the change to the overall Item scoring range (if appropriate).

Scoring range did not change as a result of the findings on site.

Summary of Sites Visited

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

Length of the site visit (number of days with the applicant)

3 days

Sites visited (List the applicant's major sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Eligibility Certification Form.)

- Corporate Office—Baldrigeville, Maryland
- Regional Offices—Annapolis, Maryland; Richmond, Virginia; Asheville, North Carolina; Morgantown, West Virginia
- Manufacturing Plants/Transportation Hubs—Annapolis, Maryland; Richmond, Virginia; Asheville, North Carolina; Morgantown, West Virginia
    - The Morgantown plant currently is being upgraded to reduce emissions. The Morgantown plant also is the only facility that does not have a third shift.
    - The Annapolis plant was a recent acquisition (six months ago).

Approaches used to evaluate sites not visited, including sites outside the United States (if appropriate)

- Video conferences were used at manufacturing plants and retail units in Tampa and Orlando, Florida (these plants are managed by the Asheville, North Carolina, Regional Office and represent 8% of the applicant's sales and retail operations, as well as 10% of the manufacturing operations).
- The Tampa and Orlando plants were called twice in order to cover two of the three shifts, and the applicant's sales and retail operations were called during their daytime hours.

Other information on the team's strategy for a thorough site visit (e.g., categories, types, and shifts of employees interviewed)

- All sites visited were selected by the Site Visit Team based on observing 90% of the applicant's manufacturing operations, 100% of the corporate/management and support staff, 92% of the retail and sales operations, and 100% of its transportation hubs.
- Data-gathering methods consisted of document reviews and employee interviews that included meeting settings, lunchroom settings, and walk-around questions at all sites visited.
- The team interviewed all categories of employees: 23% of manufacturing (all three shifts), 22% of sales and retail, 32% of corporate/management and support, 23% of transportation hub (all three shifts), and 6% of distribution.
- The team interviewed 251 of the applicant's 1,012 employees. (Note: A low percentage of the drivers were interviewed because of the nature of their jobs. Most of the drivers are dispersed throughout the East Coast. These unavailable employees were represented by available employees at their home sites.)

Site Visit: Score Summary Worksheet

BOSS has supplied the percent score and scoring range for each Item and the overall scores for Process and Results Items from Consensus. Select the scoring ranges determined at Site Visit for each Item. BOSS will determine the relative changes due to Site Visit findings. Using the scoring band descriptors, determine which descriptor best reflects the team's view of the applicant's performance in Process and Results Items and select the appropriate band numbers.

	Consensus Percent Score	Consensus Scoring Range	Site Visit Scoring Range	Change Due to Site Visit Findings		
				Higher Range	Same Range	Lower Range
Item 1.1	45%	30-45%	50-65%	X		
Item 1.2	55%	50-65%	50-65%		X	
Item 2.1	40%	30-45%	50-65%	X		
Item 2.2	50%	50-65%	50-65%		X	
Item 3.1	35%	30-45%	50-65%	X		
Item 3.2	40%	30-45%	30-45%		X	
Item 4.1	65%	50-65%	70-85%	X		
Item 4.2	75%	70-85%	70-85%		X	
Item 5.1	50%	50-65%	50-65%		X	
Item 5.2	50%	50-65%	30-45%			X
Item 6.1	70%	70-85%	70-85%		X	
Item 6.2	75%	70-85%	70-85%		X	
Process Total Score	296 points 4 (261-320 points)	Based on the site visit findings, the most accurate Scoring Band Descriptor for the Process Items for this applicant is the descriptor for band number				5 (321-370)
Item 7.1	70%	70-85%	70-85%		X	
Item 7.2	70%	70-85%	70-85%		X	
Item 7.3	40%	30-45%	50-65%	X		
Item 7.4	55%	50-65%	50-65%		X	
Item 7.5	50%	50-65%	70-85%	X		
Results Total Score	263 points 5 (256-300 points)	Based on the site visit findings, the most accurate Scoring Band Descriptor for the Result Items for this applicant is the descriptor for band number				5 (256-300)
Grand Total Score	559					

Additional Tools

Document Log

NAME: _____   CATEGORY

DOCUMENT	CATEGORY	SOURCE	RETURNED

Interview Log

	Names of Individuals *(Please Print)*	Work Location	Workforce segment	Workforce segment	Workforce segment	Workforce segment	Workforce segment	Workforce segment	Workforce segment
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
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25									
26									
27									
28									
29									
30									

2011-2012 Scoring Band Descriptors

Band Score	Band Number	PROCESS Descriptors
0–150	1	The organization demonstrates early stages of developing and implementing approaches to the basic Criteria requirements, with deployment lagging and inhibiting progress. Improvement efforts are a combination of problem solving and an early general improvement orientation.
151–200	2	The organization demonstrates effective, systematic approaches responsive to the basic requirements of the Criteria, but some areas or work units are in the early stages of deployment. The organization has developed a general improvement orientation that is forward-looking.
201–260	3	The organization demonstrates effective, systematic approaches responsive to the basic requirements of most Criteria items, although there are still areas or work units in the early stages of deployment. Key processes are beginning to be systematically evaluated and improved.
261–320	4	The organization demonstrates effective, systematic approaches responsive to the overall requirements of the Criteria, but deployment may vary in some areas or work units. Key processes benefit from fact-based evaluation and improvement, and approaches are being aligned with overall organizational needs.
321–370	5	The organization demonstrates effective, systematic, well-deployed approaches responsive to the overall requirements of most Criteria items. The organization demonstrates a fact-based, systematic evaluation and improvement process and organizational learning, including innovation, that result in improving the effectiveness and efficiency of key processes.
371–430	6	The organization demonstrates refined approaches responsive to the multiple requirements of the Criteria. These approaches are characterized by the use of key measures, good deployment, and evidence of innovation in most areas. Organizational learning, including innovation and sharing of best practices, is a key management tool, and integration of approaches with current and future organizational needs is evident.
431–480	7	The organization demonstrates refined approaches responsive to the multiple requirements of the Criteria items. It also demonstrates innovation, excellent deployment, and good-to-excellent use of measures in most areas. Good-to-excellent integration is evident, with organizational analysis, learning through innovation, and sharing of best practices as key management strategies.
481–550	8	The organization demonstrates outstanding approaches focused on innovation. Approaches are fully deployed and demonstrate excellent, sustained use of measures. There is excellent integration of approaches with organizational needs. Organizational analysis, learning through innovation, and sharing of best practices are pervasive.

Band Score	Band Number	RESULTS Descriptors
0–125	1	A few results are reported responsive to the basic Criteria requirements, but they generally lack trend and comparative data.
126–170	2	Results are reported for several areas responsive to the basic Criteria requirements and the accomplishment of the organization's mission. Some of these results demonstrate good performance levels. The use of comparative and trend data is in the early stages.
171–210	3	Results address areas of importance to the basic Criteria requirements and accomplishment of the organization's mission, with good performance being achieved. Comparative and trend data are available for some of these important results areas, and some beneficial trends are evident.
211–255	4	Results address some key customer/stakeholder, market, and process requirements, and they demonstrate good relative performance against relevant comparisons. There are no patterns of adverse trends or poor performance in areas of importance to the overall Criteria requirements and the accomplishment of the organization's mission.
256–300	5	Results address most key customer/stakeholder, market, and process requirements, and they demonstrate areas of strength against relevant comparisons and/or benchmarks. Improvement trends and/or good performance are reported for most areas of importance to the overall Criteria requirements and the accomplishment of the organization's mission.
301–345	6	Results address most key customer/stakeholder, market, and process requirements, as well as many action plan requirements. Results demonstrate beneficial trends in most areas of importance to the Criteria requirements and the accomplishment of the organization's mission, and the organization is an industry* leader in some results areas.
346–390	7	Results address most key customer/stakeholder, market, process, and action plan requirements. Results demonstrate excellent organizational performance levels and some industry* leadership. Results demonstrate sustained beneficial trends in most areas of importance to the multiple Criteria requirements and the accomplishment of the organization's mission.
391–450	8	Results fully address key customer/stakeholder, market, process, and action plan requirements and include projections of future performance. Results demonstrate excellent organizational performance levels, as well as national and world leadership. Results demonstrate sustained beneficial trends in all areas of importance to the multiple Criteria requirements and the accomplishment of the organization's mission.

* "Industry" refers to other organizations performing substantially the same functions, thereby facilitating direct comparisons.

SECTION 3

GUIDANCE FOR TEAM LEADERS

Planning Phase

Overview

The planning phase of the site visit begins after NIST notifies the team leader that the applicant will be receiving a site visit. This section addresses planning essentials.

Contact the Applicant

The team leader contacts the applicant's OCP within 72 hours after the August 29 Judges' Meeting.

> Only the team leader, backup team leader (as appropriate), and NIST monitor may talk to the OCP. The applicant may identify an alternate OCP who also may communicate with the team leader. The team's communication with the applicant in the planning phase is limited to the OCP and any designated alternate(s).

During the initial call, the team leader provides the following:
- congratulations on the selection
- his or her name and employer
- his or her telephone number(s), reminding the OCP not to leave any messages that could reveal "the who" and "the where" of the visit
- the name and telephone number(s) of the backup team leader and an explanation of his or her role
- dates of the site visit:
    - September 30 – October 6 for health care, manufacturing, and service organizations
    - October 7 – 13 for education, small business, and nonprofit organizations

The team leader discusses/reviews the following with the OCP:
- The team leader, NIST monitor, and OCP are the only points of contact unless it is necessary for the backup team leader and/or alternate OCP to communicate.
- The site listing descriptors provided on the Eligibility Certification Form and the organizational chart(s) must be current. If not, the team leader obtains updates.
- The Organizational Profile must be current. If not, the team leader obtains updates, such as a new parent company, location, customer segment, etc.
- The site visit's primary purpose is to verify and clarify the application's contents.
- The primary products of the process are (1) a report the judges use to make decisions to recommend award recipients and (2) a feedback report for the applicant.

The team leader asks the OCP the following:
- any additional questions that the team leader has identified
- whether the OCP has any questions about the process
- what dates and times to schedule future telephone conversations (A weekly telephone call at a set time each week is recommended. This can help reduce the applicant's stress level.)

Establish Ongoing Communication with the Applicant

During the weekly calls with the OCP, obtain further information for planning the site visit. These calls also help the OCP understand the Site Visit Review and provide the opportunity for the OCP to ask questions.

Early in the Planning Process

Review the opening and closing meeting processes, including expectations of both the applicant and the Site Visit Team. (NIST will provide you with PowerPoint presentations for both the opening and the closing meetings with the applicant.) (See *Opening Meeting,* 92, and *Closing Meeting,* page 93–94.)

- Remind the OCP of the site visit boundaries (*See Request Information and Materials,* page 86–87):
    - In most cases, the Site Visit Team cannot meet with any suppliers or customers/students/ patients. Examiners should check with the NIST monitor for guidance.
    - Examiners must not accept gifts.
    - No data or documents will be asked for or accepted by the Site Visit Team after the closing meeting.
    - No feedback of any type (verbal or nonverbal) is provided by the Site Visit Team during the site visit.
- Request information on lunch while the team is on-site (to be arranged and provided by the applicant in the employee cafeteria, if available).
- Ask about appropriate clothing for the team to wear while visiting the applicant site(s).
- Confirm the availability of key people, and ask for a list of the applicant's points of contact for each of the seven Criteria categories.
- Discuss the on-site portion of the site visit schedule, which begins with the opening meeting and ends with the closing meeting. To assist the applicant in arranging for the availability of key people for interviews, discuss and send your preferred interview schedule for day one of the on-site phase at least ten days before the start of the site visit.
- Prepare a list of documents the team will need to have immediately available in the hotel conference room for the Sunday planning meeting at noon, and give the list to the OCP at least ten days before the start of the site visit. Clarify that the team will request additional documents during the site visit.
- *The OCP has been notified to have all documents referenced in the application available for the team to review but not necessarily in the hotel conference room waiting for the team's arrival. The OCP also has been notified to provide the Site Visit Team with updated results at least one week before the site visit.*
- Discuss other team needs, for example,
    - an on-site conference room with projection capability for the opening and closing meetings
    - an on-site, small, private meeting room in which the Site Visit Team can work, caucus, and/or conduct interviews
    - on-site access to a telephone, fax, and copier, if needed
    - name tags or tent cards for employees who meet with examiners
    - business cards or some form of identification attached to all documents requested
- Clarify that no word-processing assistance for the Site Visit Team is allowed.

Develop the Initial High-Level Plan

Determine the following to finalize the plan for sites to be visited and to begin work on the day one schedule (see sample schedules for the site visit, beginning on page 110*)*:

- what operations are conducted and where (e.g., the type and distribution of work and the types of products/services/technologies)
- the percentage of sales/revenues/budgets or employees/faculty/staff each site represents
- the age of the facilities
- how long the applicant has owned or operated the facility

- the type and distribution of employees/faculty/staff

Provide the team's intersite travel plans to the OCP and the NIST monitor as soon as possible but no later than two weeks before the start of the visit.

> The applicant is responsible for providing transportation to and from its locations, and the OCP will appreciate as much lead time as possible for arranging this travel. Travel from the airport to the hotel may be provided by the applicant but is not expected.

The day one schedule is to be delivered to the OCP ten days in advance of the site visit.

Communicate with NIST
A member of the NIST staff is assigned as a site visit monitor (i.e., NIST monitor). The team leader includes the NIST monitor in planning efforts and maintains regular contact. The NIST monitor is included in all team calls and is a recipient of all team communications. The NIST monitor may, but is not required to, participate in the weekly telephone calls between the team leader and the OCP. The NIST monitor also establishes a separate, regular schedule for calls with the OCP (the team leader does not participate in these calls).

Participate in Team Leader conference call
NIST will conduct a conference call for Site Visit team leaders on Wednesday, September 5 from 4-5pm Eastern time. For team leaders who are unable to attend the September 5 training and for backup team leaders, a second conference call will take place with the chair of the Panel of Judges on September 6 from 4-5 p.m. Eastern time. Each team leader must participate in one of these events. The call is optional for backup team leaders.

Communicate with Team Members *(See Planning Phase Documents, starting on page 107)*
During the planning phase, the Site Visit Team conducts weekly conference calls. These calls keep the team informed, review just-in-time materials, and cover all aspects of the planning activities to ensure that team members are completing all necessary tasks (e.g., determining strategies to close out SVIs, developing SVI Worksheets, and discussing travel arrangements). The team's advance planning applicant's location is essential for ensuring an effective site visit.

Request Information and Materials
The team leader may request information and materials from the applicant at only three times:
- *During site visit planning*, the team leader requests and secures from the OCP materials needed to plan the strategy for the site visit, including
  - **applicant changes**, such as site acquisitions and changes in facilities or workforce numbers *(Please notify NIST of such changes.)*
  - **updates** to organizational charts
  - **individual facility details**: maps of facilities with buildings marked according to activity type, age of site(s), length of ownership, and travel time between sites
  - **definition of activities and services provided by the parent organization**
  - **foreign site information:** the functions performed and the availability of key people and data

- **safety considerations for which examiners need to be prepared and at which sites** (e.g., shoes and clothing)
- **employee information not included in the application, such as work hours, shifts, and times of shift changes; bargaining unit specifics, such as leadership, types, and numbers; and how to distinguish employees from others in facilities**
- **the role of contractors** (*who generally are not interviewed—consult with NIST if you have questions*)

- *Ten days in advance of the site visit*, the team leader submits to the OCP a list of documents to be available in the hotel conference room for the Sunday planning meeting. The NIST monitor coordinates with the OCP to ensure the materials are available.
- *Immediately upon completion of the opening meeting and during the on-site phase of the site visit*, the team leader and team members may request additional documents.

> After the closing meeting, no further materials or information may be requested from the applicant.

Ensure That You Have Communicated Appropriately

- If there will be intersite travel, provide where, when, and who will travel. (The applicant makes these arrangements.)

Inform the applicant that, during the site visit, examiners will
- verify and clarify elements of the written application.
- review updates to the charts and graphs and, in many cases, review the source documents for the data in the charts and graphs.
- address specific site visit issues.

Do not tell the applicant
- specific information about team members, such as professional experience or backgrounds. (The applicant receives a team listing that will include the examiners' names and their employers only.)
- specific site visit issues and themes.

Ask the applicant to provide
- time for interviews with people from remote or foreign sites (The team leader indicates the person by name, title, or function. Interviews may be done in person, by telephone or video conferencing, or through other media.)
- deployment and results information from representative sites not visited (including remote offshore and foreign sites)

Direct, Support, and Mentor the Team
The team leader's role includes the following tasks:
- Tell team members when and where they should arrive and depart from the hotel. Individual travel plans must not adversely affect the team or the evaluation of the applicant.
- Ask the backup team leader to help plan and carry out tasks.

- Develop team assignments and instructions for the site visit. Discuss the plan with team members and the NIST monitor.
- Assign team members in pairs; match examiners who have sector experience with those who do not. In addition, consider Baldrige experience.
- Send a copy of all team correspondence to the NIST monitor, and ask the team members to do the same. Include the NIST monitor in all conference calls.
- Set expectations, and develop a work schedule with all team members.
- Remind the team that all materials are confidential.
- Stress that all assigned planning tasks need to be completed before the beginning of the site visit.
- Ensure that all are ready, have completed their assignments, and have exchanged appropriate materials with each other before arriving at the applicant's site.

Develop a Detailed Draft Agenda *(See sample site visit schedules, starting on page 110)*
Follow these steps to draft the on-site agenda:
- Determine the numbers and types of employees to interview to ensure that the team can adequately assess the organization's maturity, deployment, and consistency.
- Select sufficient and appropriate sites to visit, based on examiners' requests documented in their Strategy Tools (i.e., related to their most important site visit issues), balanced by the applicant's need to experience a thorough evaluation.
- Determine sites to visit in person and sites that can be "visited" via telephone or video conferencing to effectively obtain the needed information and reduce intersite travel.
- Calculate costs in time versus the benefit(s) and importance of traveling to another site.
  - Identify those sites where the team can best verify and clarify important issues. Work with the team to get ideas and buy-in.
  - Identify which team members to send to which site, on what days, and when to hold conference calls. Notify your NIST monitor to arrange for speaker phones and to confirm the availability of existing conference call accounts for these calls.
  - Decide the number of days and the dates to be spent with the applicant on-site. Coordinate with NIST.
  - Provide the NIST monitor and the OCP with the schedule of the sites to be visited, the dates of the visits, and who will be traveling where.
- In addition to the day one agenda that you will provide to the OCP ten days in advance, develop a projected agenda for the remainder of the on-site portion of the visit. Although it must remain flexible, an initial plan will save time as the site visit evolves.

Conduct the Sunday Planning Meeting *(See the sample agenda on page 120.)*
This meeting occurs on Sunday, which is usually the day before the opening meeting with the applicant. The team agrees on a start time (usually noon), and the team leader provides this information to the NIST monitor. The following actions need to be completed during the Sunday planning meeting. *The more work that is done prior to arrival, the more likely the team will be fully prepared and rested before the opening meeting.*
- Refine the team's strategy to address SVIs, as appropriate.
- Refine the site visit schedule for days two and three, knowing it may change as the site visit unfolds.
- Discuss demeanor, interview skills, and wording of questions for site visit interviews. Remind team members to respect the applicant's culture and environment, including behavior and the dress code.

- Explain a conservative approach for requesting information and materials (i.e., ask the applicant to find the specific information in question and take back to the hotel only the materials that you intend to review).
- Inform team members that they should ask the document owner to attach his/her business card to any materials they take and that they are responsible for tracking these materials and returning them to the NIST monitor.
- Throughout the site visit, have each category/item lead prepare a list of specific requests for the applicant's category counterpart and give this list to the team leader. Requests typically include additional documents, data, and people to interview. *These ongoing lists are in addition to the list of documents that were requested in advance of the site visit.*
- Finalize the schedule for the walk-around questions that the team developed to test deployment of the various approaches identified in the SVIs. This step will ensure that the team is clear on what and when questions will be asked.
- Prepare questions and describe the process the team will use during the team interview with the applicant's senior leaders after the opening meeting.
- If time permits, have the team review the documents that the applicant has provided before the Sunday planning meeting.
- Offline, with the NIST monitor, prepare for the meeting with the HRO.
- Offline, prepare for the opening-meeting slide presentation.

Guidelines
on Team Size and Length
of the On-Site Phase

Applicant Size	Complexity		
	Low	**Medium**	**High**
Small	7 team members *2 days	7–8 team members *2–2.5 days	7–8 team members *2.5–3 days
Medium	7–8 team members *2.5 days	8 team members *3 days	8 team members *3–3.5 days
Large	8 team members *3 days	8 team members *3.5–4 days	8 team members *4 days

*Average time spent with the applicant (i.e., the on-site portion of the site visit), not including time for planning or scorebook writing.

ON-SITE PHASE

The on-site phase of the Site Visit Review begins with the opening meeting and ends with the closing meeting, which both take place at the applicant's site. The entire site visit process is complete when the Site Visit Scorebook is finished and signed by each team member (completion of the scorebook usually takes two-to-three days after the closing meeting with the applicant).

Opening Meeting
The opening meeting is held for employees/faculty/staff of the applicant and the Site Visit Team. The applicant will discuss any deviation(s) from this guideline with the team leader and the NIST monitor.

> If examiners are asked to introduce themselves, they provide only their name and current employer. Examiners are NOT to provide additional background information, such as their Malcolm Baldrige National Quality Award experience, credentials, title, work experience, or specialty in their organization.

The key components of the opening meeting are
- a presentation by the applicant (up to one hour) and
- introductions of the Site Visit Team members and, using visuals provided by NIST, a presentation by the Site Visit team leader (five minutes) about the Baldrige Award and the Site Visit Review

The order of the presentations is optional.

Photographs and/or Videotape Parameters
The applicant may take pictures before the opening meeting. The opening meeting also may be videotaped. The applicant is asked not to photograph or videotape the examiner team. Pictures and videotapes are restricted to internal use only by the applicant.

Consideration of Prior Baldrige Feedback
Two methods are allowed for the applicant to share previous feedback findings: (1) the Highest-Ranking Official (HRO) may present strengths and/or opportunities from previous reports in his/her opening meeting remarks, and (2) the applicant may voluntarily share its most recent feedback report with the team, provided the report was received within the past two years. However, the team does not request the report.

If a Site Visit Team receives a previous feedback report, the team is not obligated to review the report; the team should use its discretion in deciding whether to conduct a review and, if so, to what extent. If the team chooses to use the report, it must consider the report along with all other data collected on the site visit.

Emphasis on Changes to Key Factors
While on-site, many teams identify new or expanded understandings of the applicant's organization and environment. These changes are considered in the investigation of site visit issues (SVIs). These new key factors are recorded at the bottom of the Key Factors Worksheet, and the team considers their impact, if any, on the organization. The team considers carefully the question on the worksheet, "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?" The team leader will expand on these insights during the judges' call.

Additional Meetings with the Applicant

After the opening meeting, the team meets with the applicant's senior leaders and/or with the applicant's category counterparts. In addition, the examiners conduct interviews in pairs, and they review documents. In most cases, examiners are not permitted to interview customers, suppliers, patients, students, parents, or nonemployees (except for volunteers who are supervised by the applicant). Site Visit Teams check with their NIST monitor for guidance. The HRO interview is limited to the HRO, team leader, and NIST monitor. Each day the team leader checks in with the official contact point (OCP) to finalize the schedule for the next day and to discuss any emerging issues.

Applicant Materials

Examiners need to track all materials they receive from the applicant. *The team needs to keep in mind the site visit's time constraints and request only necessary information.* The applicant is asked to attach a business card or to write the originator's name on each separate document. The Site Visit Team develops a tracking system to ensure that all materials are accounted for and returned to the applicant. The NIST monitor will coordinate with the OCP the return of all the materials taken to the hotel.

Team Meetings

Daytime. These meetings are scheduled each day at the applicant's site, preferably midmorning and midafternoon, to exchange information and adjust the schedule. When examiners are at multiple locations, the team leader works with the NIST monitor to schedule conference calls so that all examiners can participate in these meetings.

Evening. Team members debrief on their assigned items and the related SVIs during the nightly team meeting. These meetings include discussion on key themes, concerns, needed adjustments to strategies and interviews, and any newly identified SVIs.

The team leader also uses the evening meetings to monitor team members' progress on closing out their SVIs and on their assignments. If any examiners are not making sufficient progress, it may be necessary for the team leader to determine who will provide assistance to them.

During the on-site and post-site phases, team members keep all notes of their interviews and meetings. This helps the examiners to properly document findings and conclusions on SVI Worksheets. These notes are given to the NIST monitor for shredding at the close of the site visit.

Last Chance

Before the closing meeting at the applicant's site, the Site Visit Team must identify any important, remaining site visit issues and discuss what information is needed to close them. It may be necessary to reassign team members to address critical issues. This is normally done on the evening before the day of the closing meeting. Throughout the site visit, the team follows the site visit plan but is flexible, expects surprises, and adjusts as necessary.

The team needs to be sensitive to the applicant. If the applicant says the team is missing the point, the team must make time to listen. If a team member behaves inappropriately, the team leader must immediately confer with the NIST monitor and take the necessary action.

Closing Meeting

The closing meeting signifies the end of the on-site phase of the site visit. This meeting, like the opening meeting, can be photographed and/or videotaped, with the same restrictions.

The closing meeting may last from 15 minutes to one hour. If the applicant would like to provide additional information on an unsettled issue, the OCP and team leader reach agreement on the topic, length of time, and the presenter. At the end of the meeting, the team leader presents a five-minute closing, using visuals provided by NIST.

After the closing meeting, the team may not accept any data or documents, and it has no further contact with the applicant. The team immediately departs for the hotel to complete the Site Visit Scorebook.

POST-SITE PHASE

The post-site visit phase consists of two major components. The first is the completion of the Site Visit Scorebook by the Site Visit Team. The second involves the team leader's conference call with the Panel of Judges during the Judges' Meeting **(November 5-9)** and the technical edit conference call with the lead judge and the NIST monitor at the conclusion of the Judges' Meeting.

Deliverable: the Site Visit Scorebook (*See Introduction and General Instructions, page 25.*)
- The scorebook shows the progression of comments from Consensus Review to Site Visit Review in order to provide the judges with an audit trail of the team's findings and conclusions. The judges use what they learn from this scorebook, in combination with the call to the team leader, to determine which applicants they will recommend as award recipients.

- Completing the Site Visit Scorebook is the culmination of the Site Visit Review. Team members should keep in mind that *completing the scorebook requires a significant amount of time and energy*. To make the process most efficient and effective, *team members must update their SVI Worksheets throughout the week*. This helps the team track their progress and ensures that all needed information is obtained before the closing meeting at the applicant's site. Typically, it takes 28–35 work hours to finish the scorebook after the on-site phase is completed (see page 126).

Work Process Essentials
All team members complete the following tasks:
- Share key data or observations relevant to SVIs or key factors *daily* with the team member responsible for writing the appropriate SVI and Item Worksheets.
- Update SVI Worksheets *daily*.
- As necessary because of data sharing, update strategies.
- Post all draft SVI Worksheets.
- Review all other SVI Worksheets, and provide input on the information or conclusions they contain. (One suggested review method is to post the worksheets on the walls around the team meeting room so that team members may manage their own time in reviewing the documents. This is known as "walk the wall.")
- Finalize SVI Worksheets based on the team's input.
- Summarize findings and conclusions, and transfer them to Item Worksheets.
- Revise comments, as appropriate.
- Confirm or adjust scores to align with the findings and conclusions.
- Post the completed Item Worksheets for others to review.
- Review all other Item Worksheets, and provide input on the summaries and comments.
- Finalize Item Worksheets for each assigned item based on the team's input, and indicate their concurrence with each final Item Worksheet.

The team leader helps the team maintain focus on key processes and results and, most important, the refinement of key themes.

Site Visit Scoring
As a final step in the evaluation process, the team works as a group to confirm the scoring range for each item and to determine the overall bands for process items and for results items.
- As a first step, the team leader or designated member completes the Score Summary Worksheet by transferring the item scoring ranges from the Item Worksheets.
- During "walk the wall," item leads propose and receive feedback on recommended scoring ranges.

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- Finally, the team leader conducts a scoring discussion to confirm the ranges or to come to consensus if needed. A designated team member indicates on the Score Summary Worksheet whether the scoring range changed due to site visit findings. It is important for the team to ensure that the scores on the Item Worksheets and the Score Summary Worksheet match.
- The team then refers to the Scoring Band Descriptors and determines which band descriptor for process items and which for results items most accurately reflects the team's view of the applicant. *If the team is considering a scoring band change, the discussion must include reasons for that change (the team leader records the reasons to share during the first call at the November Judges' Meeting).* These scoring band numbers are included on the Score Summary Worksheet. The Scoring Band Descriptors are used in the opening paragraph of the applicant's feedback report.

Completing the Scorebook (before leaving the site visit)
- The scorebook editor or team leader revises and uploads to Team Files the final Key Themes Worksheet with updated comments resulting from the findings and the conclusions noted on the SVI and Item Worksheets. Team members provide input on the comments on the Key Themes Worksheet through ongoing discussion and "walk the wall." To finalize key themes, just as for scoring, the team leader facilitates a team discussion.
- Upload the Key Themes Worksheet to Team Files.
- The team leader cuts and pastes the key themes from the Word document into the Key Themes Worksheet on BOSS.
- The assigned team member drafts the Summary of Sites Visited, shares it with team members, and uploads it to Team Files.
- Team members copy the PDF files of their completed Item Worksheets and SVI Worksheets to one flash drive or laptop.
- The team leader imports the Item Worksheets and SVI Worksheets into BOSS. Copies of the scorebook are made for the backup team leader and the monitor.
- *Important:* The team prints the scorebook and checks it against the worksheet files on BOSS.
- All team members sign the signature page of the paper version.
- Team members (except the team lead*er and bac*kup team leader) leave all materials, including the application, with the NIST monitor.

Conducting Final Checks (may be performed on-site or after returning home)
- Clarify and standardize the language of the item comments and the key themes (e.g., names of the applicant and processes).
- Eliminate any conflicts between strengths and OFIs both within and between items and key themes.
- Ensure that all comments conform to the Comment Guidelines (e.g., avoid jargon, prescriptive sentences, and negative tone; include specific examples and figure references; focus on the Criteria requirements).
- Verify that all statements such as "it is not clear," "it does not appear that," and "it is not evident" are changed to reflect the site visit findings.

Making Copies
- The team leader and backup team leader leave the site visit with an electronic copy of the scorebook. Paper copies are optional.

- The NIST monitor returns to NIST with an electronic copy of the scorebook and the team's signature page. NIST recommends that the monitor also bring back a printed copy of the scorebook, if the scorebook has not been posted to BOSS.

Checking and Refining Comments in the Site Visit Scorebook
- The team leader may make additional edits after the site visit, posting the scorebook on BOSS by midnight Pacific Time on the Monday following the site visit.
- After the site visit has been completed and the examiners have returned home, the team leader prepares for the November conference call with the Panel of Judges and the technical edit call with the lead judge and the NIST monitor. The team leader reviews the report for significant corrections and clarifications. This may take place after the deadline for posting to BOSS and, if revisions are needed, they are discussed on the call with the Panel of Judges.
- After the technical edit call with the lead judge and NIST monitor, the team leader may be asked to make additional edits.

Participating in the Call with the Panel of Judges
Scheduling and logistics
- Team leaders are required to participate in two conference calls with the judges during the November 5–9 Judges' Meeting.
- NIST will request information on how to contact team leaders during the five days of the Judges' Meeting. Because of team leaders' schedules, NIST might need to contact them by pager or cell phone. The judges may reconsider an applicant at any time during their five-day meeting,
- If the team leader is not available for the conference call with the judges, the backup team leader needs to participate on the call. *Also, the team leader knows how to reach each team member during this time in case he/she needs to contact any of them to clarify the judges' questions.*
- NIST will notify the team leader 15–60 minutes before the Panel of Judges is ready to discuss the applicant. This will enable the team leader to go to a secure office and secure phone, if necessary.

Preparation
To prepare for the call with the Panel of Judges, the team leader reviews the Site Visit Scorebook and makes notes of any special issues that the team found on the site visit or any that may not be adequately conveyed in the scorebook.

Team leaders must avoid advocating for or against the applicant organization—rather, it is their job to provide the team's facts, findings, and conclusions.

During call one, the team leader presents changes in key factors; an overview of the key themes—particularly potential role-model practices and key vulnerabilities; changes to the scoring ranges; and any major discrepancies discovered in the scorebook after it was posted for the judges' review. After this call, the judges deliberate on this information and develop follow-up questions. During call two, the judges ask any questions that emerged during their deliberations.

Call one
- The team leader focuses on responding to the question at the bottom of the Key Factors Worksheet that asks, "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?" The team leader describes

to the judges any new or expanded understandings of the applicant's organization and environment.

- After sharing these insights, the team leader provides a presentation on the key themes that aims to convey key strengths and vulnerabilities without simply reading the text. This presentation helps the judges to better understand any possible role-model practices or key areas of vulnerability for the applicant in both process and results areas.
- If the Site Visit Team recommended a scoring band change, the team leader explains the key drivers for that change (see Site Visit Scoring, pages 96 and 97).
- Finally, if the team leader discovers any major discrepancies, such as conflicts or missing information, he or she shares this information with the judges.

Call two
The team leader answers any questions that the judges formulated during their discussion following call one.

Participating in the Editing Call with the Lead Judge
After the judges have concluded their review of an applicant, the lead judge and the NIST monitor call the team leader and discuss any recommended changes to the Site Visit Scorebook. During this call, the judge provides input on changes to the comments, including insights gained during the judges' discussions. The team leader incorporates these changes into the final Site Visit Scorebook.

Receiving and Providing Feedback on the Process
At the conclusion of the final Site Visit Scorebook discussion, the lead judge provides feedback to the team leader concerning the calls with the judges and the Site Visit Scorebook. Specific feedback and related comments may include the following:

- Did the team leader conduct an effective presentation of insights related to the Organizational Profile, key themes, and scoring changes?
- In responding to questions from the Panel of Judges, did the team leader provide unbiased insight that enabled the judges to reach closure on the issues? This question includes the following elements:
  - All responses were based on facts established throughout the evaluation cycle.
  - Responses were clear and concise.
  - Responses focused on specific questions at hand.
  - The team leader asked clarifying questions to ensure understanding.
- Did the scorebook present an integrated view of the applicant? This question includes the following elements:
  - All materials were well integrated.
  - The scorebook reflected the collective input and perspective of the entire team.
  - Through the "audit trail," conclusions could be traced back to origin and evidence.
  - The scorebook enabled fair voting among the judges.

  In addition, the lead judge asks the team leader for input/feedback on the judges' process and conference call. Team leaders are encouraged to be honest and forthright in their comments, as this feedback helps improve the judging process.

APPENDIX

SAMPLE CORRESPONDENCE AND TOOLS

Planning Phase

Site Visit Preparation

- **Make travel arrangements:** Schedule your arrival so that you allow enough time to check in and be ready with your computer and files in the team room before the start of the Sunday planning meeting (September 30 or October 7 at 12:00 noon). Most team members travel on Saturday. The team leader and NIST monitor will provide guidance on when you may plan to leave for home on the following Friday, Saturday, or Sunday. Remember that the entire team must stay until the scorebook is completed and the signature page is signed by all examiners. Your hotel reservations will be made for you.

- **Review the application:** Review and be familiar with the entire application.

- **Review the Consensus Scorebook:** Review and be familiar with the entire Consensus Scorebook, paying particular attention to cross-cutting issues identified on the Key Themes Worksheet.

- **Review materials from NIST:** Review the information from NIST, including this manual, the online site visit toolkit, and the just-in-time training module.

- **Follow instructions for developing a set of worksheets:** Begin by opening the Item Worksheets for site visit and review the format. For process items, develop 1-3 SVI Worksheets to clarify and verify comments. For results items, there will be to one Results SVI Worksheet per item. Use this SVI worksheet to describe the figures and results included in the comments for that item..

- **Follow instructions to draft SVI strategies:** Use the Site Visit Strategy Tool to draft a strategy to "close out" each SVI for process items and the Site Visit Issue Worksheet for results items. The strategies may change as team members obtain more information. Determine whom you will interview (if possible), questions to ask, documents you need, and walk-around questions that will help test the extent of deployment.

- **On the Strategy Tool, develop the list of people or groups to interview:** Prepare a list of the people you would like to interview and the topic(s) to be discussed. Estimate the length of time needed and the preferred day to conduct the interview(s). Have this information prepared for the team leader, who will coordinate the interview requests so that the team will not be asking the applicant to have people in two places at once. Please remember that day one of the site visit will include a meeting with the leadership team and your category counterparts.

- **On the Strategy Tool, list the documents to review:** Prepare a list of the documents you would like to review. BOSS will aggregate this list of documents from all strategy tools for the team leader. The team leader will scrub the list for duplicates, etc., and send the document list to the applicant ten days before the site visit. This will help the applicant to have the materials available to you at the hotel conference room before the team's Sunday planning meeting. You will be able to request more documents after the opening meeting at the applicant's site.

- **On the Strategy Tool, prepare walk-around questions:** Prepare one-to-three walk-around questions for each item that you lead. BOSS will aggregate them into a master list for the team leader. The team will review the list and finalize the questions at the Sunday planning meeting.

- **Export your documents to PDF to test that process.** Update the version of your PDF Adobe Reader, if needed.

- **Plan how to represent sites you will not be able to visit:** If the applicant has overseas sites, the team needs to plan how to interview staff members from those sites. The OCP will help. Strategies include meeting the staff members at a central location or region or via telephone or video conferencing. If the applicant has many U.S. locations, the team might visit a sampling of the sites depending on locations, products, and/or services provided.

- **Draft cross-cutting issue strategies:** For your assigned SVIs, determine whether other team members will be verifying and clarifying similar SVIs that have a common theme. Work together on how to explore these SVIs (e.g., through interviews, walk-around questions, data review).
- **Prepare an interview question for the applicant's senior leaders:** Each team member prepares one cross-cutting question to ask the senior executive team during the interview that follows the opening meeting. The information gathered from these questions is validated during the remainder of the on-site phase.
- **Discuss SVIs with backup:** Discuss your proposed SVIs with your backup before the team's planning call.
- **Share drafts with the team:** Draft your Item Worksheets for site visit, SVI Worksheets with proposed cross-cutting issues, and proposed site visit strategies on BOSS for review by your team and the NIST monitor. This needs to be done no later than the September deadline set by your team leader. The team will briefly review the list of SVIs and agree on them during the planning call.
- **Review updated results:** One week before the site visit, the team will review copies of the applicant's updated results. Be sure to include any updates in the fields for the appropriate comments on the results SVI Worksheets.
- **Finalize the draft documents:** Bring PDF files of the most current drafts of your Item Worksheets, SVI worksheets, and Strategy Tools with you to the Sunday planning meeting at the hotel. You will update your worksheets throughout the site visit.

Scorebook Preparation

- After you have updated all your assigned SVIs and Strategy Tools, export them, with your Item Worksheets, to PDF documents.

- For the Sunday planning meeting, bring copies for all team members of the PDF versions of your SVI Worksheets and Strategy Tools for your assigned items.

- Assigned team member(s) revise the Key Factors Worksheet (scroll to the bottom of the worksheet), the Key Themes Worksheet, and the Summary of Sites Visited. Updating these worksheets continues throughout the visit.

- During the on-site phase of the site visit, team members close out assigned SVI Worksheets and revise Item Worksheets. Remember that updating worksheets continues throughout the visit. Occasionally, new SVIs arise because of additional information gathered during the site visit.

- Starting with the Sunday planning meeting and throughout the site visit, team members present an oral summary of their SVIs to the team and, later, discuss how the Item Worksheets have changed from the Consensus Scorebook. The team discusses, agrees, and revises. After discussion and edits to the SVI Worksheets, each member agrees to the findings and the conclusions for each SVI. By posting each SVI Worksheet on walls around the team meeting room, each team member has the opportunity to comment on all SVI Worksheets. Commonly known as "walk the wall," this process usually has several iterations.

- Team members modify and finalize their SVI Worksheets based on the team's input.

- Team members post their draft Item Worksheets with updated comments, and they recommend a scoring range resulting from their respective SVI Worksheets. Using "walk the wall," team members review all Item Worksheets and provide input on the comments directly on the worksheets. Again, this process usually has several iterations. The team will later agree on a scoring range for each item, again based on comments and impacts of the SVIs.

- Team members modify their Item Worksheets based on the team's input.

- An assigned team member refines the Key Themes Worksheet on an ongoing basis.

- The team conducts a final discussion on the Key Themes Worksheet. The assigned team member makes final edits.

- An assigned team member transfers scores from each Item Worksheet to the Score Summary Worksheet. To finalize scoring, the team discusses the selected range determined during "walk the wall" for each item and whether the range is higher, the same, or lower than at Consensus Review. Also, the team discusses and comes to agreement on the overall process items and results items scoring bands. These determinations are based on results from the findings and their implications on the Item Worksheets. If the team is considering a change in a scoring band, it should discuss the key drivers behind this decision.

- Based on any final discussion of the Site Visit Scorebook, remaining corrections are made on the spot, and all sign the signature page of the scorebook.

- CELEBRATE, CELEBRATE…. DANCE TO THE MUSIC!

> During Site Visit Scorebook preparation, the NIST monitor collects all documents that are to be returned to the applicant. Examiners (except the team leader and backup team leader) will not take any applicant materials, the application, or scorebook documents with them.

Proposed Ground Rules

Here are some proposed ground rules. Please review and prepare to discuss them during our planning calls. We will modify them as necessary.

- **Working as a Team:** Our objective is to conduct an effective and objective site visit by using all the expertise of our team members. This means we listen carefully to each other and take full advantage of our broad experience and the diversity of our collective thinking. It also means we are flexible about pitching in and helping each other throughout the process. None of us leaves until the job is completed. Working as a team also means that we present a uniform and united front during all interactions with the applicant.
- **Customers:** We have at least three customers. Our immediate internal customers are team members, who need to understand oral and written communication and benefit from each of our contributions. Another internal customer is the Panel of Judges, which is looking for our objective evaluation of the applicant based on the award Criteria. The judges in turn determine if the applicant has national role-model practices to share. The applicant is the primary external customer, which is looking for insightful, nonprescriptive feedback that helps reinforce its strengths and identify actionable OFIs.
- **Feedback-Ready Comments:** As we complete our work, we make every effort to draft consolidated comments that are feedback ready. That means we imagine that the applicant is reading the comments as we write and can understand how each comment is applicable and actionable. In addition, we need to make it easy for the judges to follow the trail from the
  (1) application *to*
  (2) the Consensus Scorebook *to*
  (3) Site Visit Issue Worksheets *to*
  (4) Item Worksheets *to*
  (5) the Key Themes Worksheet
- **Item Ownership:** No one "owns" any item. Instead, we are trying to get the best collective thinking. Cross-team sharing of observations and input is a necessity.
- **Time Management:** We try very hard to begin and end on time. We stick to the agreed-upon overall schedule of events. It is important to document as we go. Site Visit Issue Worksheets must be kept up-to-date. If we get behind, it will be difficult to catch up!
- **Facilitation:** We all have a responsibility for facilitation. For example, if we get away from the more important points and into minutia, anyone can call a "process check" to help us get back on track.
- **Active Listening and Consensus:** We listen to other points of view, particularly those that are different, in addition to expressing our own. We can and do respectfully disagree, but we are striving for consensus. Consensus means we have heard, have been heard, and thus can and will support the team's conclusions.
- **Professional Behavior:** We want the applicant to feel that we are prepared, listen well, and thoroughly understand its organization.
- **Have Fun and Learn from Each Other:** We intend to have fun and encourage humor at the same time that we are working. We can even share some humorous moments with the applicant, as we get to know its staff members during the site visit.
- **Personal Information:** We may tell the applicant only our name and the name of our organization, not professional expertise and experience with Baldrige.
- **Other:** We all take collective ownership and responsibility for the Site Visit Scorebook. In addition, we do not take any souvenirs (pens, stationery, etc.) from the applicant's site or from the hotel.

Generic Walk-Around Questions

- In what part of the organization do you work? How long have you been with the organization? How long have you been in your current position?

- What are the most significant changes that you have personally experienced in the last two to three years? Why?

- Do you have direct interactions with your customers and/or stakeholders? How often? Could you describe a couple of examples of these interactions? In general, do you know what your customers and/or stakeholders expect from you?

- What departments or groups do you depend on to do your job? How is the work allocated to you? Do you provide these groups feedback on what improvements could be made? How often? How (formal/informal feedback)?

- Are you involved in community activities? Do these involve time off from work? Does the organization allow you time or pay you while you volunteer?

- Are you currently participating on any work teams? How long have you been a member? What is the team's mission/role? Are your team activities worth the time you spend? Why?

- How do you share information with others or receive information from others to help you do your job?

- When was the last time you attended a formal training class? Topic? Length? What knowledge from the training were you able to use back on your job?

- Do you receive information about the organization's key strategic objectives? How (e-mail, newsletters, group meetings, etc.)? Which method is most effective? Are there other ways you would like to get information and/or other information you would like to have?

- Do you receive information on key organizational results? How do you use this information to make decisions?

- How often do you see your direct supervisor? His or her supervisor? His or her supervisor? Under what circumstances?

- If you could change one thing about this place, what would it be and why?

- Who are your major competitors? What do they do better than you? Are you aware of any efforts to improve in these areas?

- What concerns do you have about the future of this organization? Have you shared these with your senior leaders? Have they asked you for input? How/how often?

- How do you fit into the organization's strategic plan?

Weekly Planning Call Agenda
(Not all items need to be discussed at each meeting.)

October X, 2011
X:XX p.m. Eastern Time

1. Welcome and introduce team members.
2. Confirm the agenda.
3. Review the purpose of the site visit.
4. Discuss/modify ground rules (consider organizational culture).
5. Share new information.
6. Provide an overview of the work process.
7. Discuss team assignments.
8. Discuss Key Factors and Key Themes Worksheets.
9. Review just-in-time training materials.
10. Review assignments:
    a. site visit issues (SVIs) and SVI Worksheets
       - the process for capturing the key issues and identifying effective ways of resolving these issues
       - the process for refining or introducing new SVIs
       - progress being made and any questions or problems arising in the development and refinement of SVI Worksheets for each item
    b. Strategy Tools that include questions to be used in resolving SVIs, as well as:
       - document requests
       - interviews requests
       - walk-around questions
    c. draft Item Worksheets for site visit

1. Discuss site visit logistics:
    a. hotel information and arrival times
    b. airport and ground transportation plans
    c. remote site travel and teamwork
    d. team meeting times
    e. video/telephone conference needs
    f. dress code
    g. Baldrige badge
    h. dietary restrictions
    i. confidentiality, Code of Ethical Conduct
    j. limiting personal information shared with applicant to examiner's name and current employer
2. Discuss hardware/software requirements.
3. Discuss exporting worksheets from BOSS to PDF before leaving for site visit.
4. Allow time for questions and answers.
5. Wrap up discussion.

Team Member Assignments—7-Member Team

Here are the team assignments for the site visit.

Thanks again for your flexibility and indulgence. We have had to change category assignments to reflect the changing composition of our team.

Examiner Name	Category Lead	Backup	Cross-Cutting Issue/ Key Process	Other
Nancy	Key Factors & Key Themes Worksheets, Summary of Sites Visited, HRO Interview Worksheet		• Corporate support • Leadership system • Deployment • Organizational succession planning	• Team leader Leadership team interview • Scorebook editor • HRO interview • Daily check-in with OCP • Document request list
Mark	2.1, 2.2	4.1, 4.2, 7.5	• Strategic planning	• Backup team leader • Logistics
Cristin	3.1, 3.2, 7.2	1.1, 1.2, 7.4	• Customer relationships	• Senior executives' interview questions (coordinate)
Harry	4.1, 4.2, 7.5	2.1, 2.2, 7.3	• Management by fact • FOCUS Scorecard	• Meeting coordination during site visit • Computer expert
Ellen	5.1, 5.2, 7.3	6.1, 6.2, 7.1	• Decentralized management • Workforce empowerment	Walk-around questions (draft) • Process checker and timekeeper
Renée	6.1, 6.2, 7.1	5.1, 5.2, 7.3	• Operations Focus	• Scribe (as needed)
Sandra	1.1, 1.2, 7.4	3.1, 3.2, 7.2	• Organizational results	• Criteria cop

Team Member Assignments—8-Member Team

Here are the team assignments for the site visit.

Thanks again for your flexibility and indulgence. We have had to change category assignments to reflect the changing composition of our team.

Examiner Name	Category Lead	Backup	Cross-Cutting Issue/ Key Process	Other
Mark	Key Factors Worksheet, Summary of Sites Visited, HRO Interview Worksheet		• Parent interaction • Leadership system • Overall deployment	• Team leader duties Leadership team Interview questions (coordinate) • Scorebook editor • HRO interview • Daily check-in with OCP Document request list (coordinate) • Daily schedule
Nancy	Key Themes		• Board governance	Backup team leader duties • Logistics • Daily team meetings (coordinate)
Bob	3.1, 3.2, 7.2	1.1, 1.2, 7.4	• Customer and patient relationships	• Timekeeper
Harry	4.1, 4.2, 7.5	2.1, 2.2	• Management by fact	• Computer expert
Dawn	5.1, 5.2, 7.3	6.1, 6.2, 7.1	• Decentralized management • Workforce empowerment	• Walk-around questions (coordinate) • Process checker
Christine	6.1, 6.2, 7.1	5.1, 5.2	• Process focus	• Scribe (as needed)
Cristin	1.1, 1.2, 7.4	3.1, 3.2, 7.2	• Organizational succession planning	• Criteria Cop
Renée	2.1, 2.2	4.1, 4.2, 7.5	• Strategic planning	• Clinical perspective

On-Site Team Schedule

Monday

		Subteam 1	Subteam 2	Subteam 3	Subteam 4
7:30 a.m.	Leave hotel for opening meeting	X	X	X	X
8:00–8:30	Arrive Move to opening meeting	X	X	X	X
8:30–9:45	Opening meeting	X	X	X	X
9:45–10:15	Senior leaders' meeting	X	X	X	X
10:15–10:45	Team caucus	X	X	X	X
10:45–11:45	Category meetings for logistics and scheduling	X	X	X	X
11:45–12:00	TL and monitor meet with OCP re: schedule adjustments and additional documents needed				
11:45 - 12:30	Lunch and Caucus				
12:35–1:30	Team interviews and data gathering	Site #1 (names)	Category 2 (names)	Category 1 (names)	Category 3 (names)
1:35–2:30	Team interviews and data gathering	Category 5 (names)	Site #1 (names)	Category 4 (names)	Category 7 (names)
2:35–3:30	Team interviews and data gathering	HRO meeting (names)	X Committee (names)	Site #1 (names)	Site #1 (names)
3:35–4:30	Team interviews and data gathering	HR Staff (names)	Item 7.3 (names)	Item 7.2 (names)	Item 7.5 (names)
4:35–4:50	Team caucus	X	X	X	X
4:50–5:00	TL and monitor meet with OCP to discuss needs for next day and coordination				
5:00–6:00	Return to hotel Prepare for working dinner	X	X	X	X

Tuesday

		Subteam 1	Subteam 2	Subteam 3	Subteam 4
7:30 a.m.	Leave hotel	X	X	X	X
8:00– 9:00	Team interviews and data gathering	X Staff (names)	Category 1 (names)	Site #2 (names)	Process owners (names)
9:05– 10:00	Team interviews and data gathering	Managers' group (names)	Web/intranet (names)	Site #2 (names)	Site #2 (names)
10:05– 11:00	Team interviews and data gathering	Site #2 (names)	Category 2 (names)	Category 4 (names)	X Staff (names)
11:05– 12:00	Team interviews and data gathering	Category 3 (names)	Safety Comm. (names)	Item 7.4 (names)	Item 7.1 (names)
12:05– 1:00	Lunch and discussion	X	X	X	X
12:45– 1:00	TL and monitor meet with OCP re: schedule adjustments and additional documents needed				
1:05– 2:00	Team interviews and data gathering	Site #1 (names)	Category 2 (names)	Category 1 (names)	Category 3 (names)
2:00– 2:25	Team caucus	X	X	X	X
2:30– 3:00	Team interviews and data gathering	Travel to site #1	Travel to site #1	Call center (names)	Category 6 (names)
3:05– 4:00	Team interviews and data gathering	Follow up with HRO (names)	Site #1 (names)	Document review (names)	Site #2 (names)
4:05– 5:00	Team interviews and data gathering	Site #1 (names)	Document review (names)	Site #2 (names)	Document review (names)
5:00– 6:00	Return to hotel Prepare for working dinner	X	X	X	X

Wednesday

		Subteam 1	Subteam 2	Subteam 3	Subteam 4
7:30 a.m.	Leave hotel	X	X	X	X
8:00–9:00	Team interviews and data gathering (ensure that all SVIs can be closed out)	Finalize categories & items	Finalize categories & items	Finalize categories & items	Finalize categories & items
9:05–10:00	Team interviews and data gathering (ensure that all SVIs can be closed out)	Finalize categories & items	Finalize categories & items	Finalize categories & items	Finalize categories & items
10:05–11:00	Team interviews and data gathering (ensure that all SVIs can be closed out)	Finalize categories & items	Finalize categories & items	Finalize categories & items	Finalize categories & items
11:05–11:25	Team caucus (ensure that all SVIs can be closed out)	X	X	X	X
11:10–11:25	TL and monitor meet with OCP re: schedule adjustments and additional documents needed				
11:30–12:00	Closing meeting	X	X	X	X
12:00–1:00	Return to hotel Prepare for working lunch	X	X	X	X

Site Visit Schedule: Large Applicant/High Complexity

<u>Sunday, October XX, 2011</u>
Noon   Team meets in XYZ Hotel for planning meeting (see page 120 for a sample agenda).

<u>Monday, October XX, 2011</u>
7:30 a.m.   Team is picked up at hotel.
8:00   Team arrives at applicant's headquarters.
8:15   Opening meeting (no more than one hour)
         • Organization overview by the HRO/OCP
         • Baldrige Program overview by the team leader
9:45   Team meets with the senior leadership team and asks questions.
10:45   Break and fast caucus
11:00   Team meets with applicant's category leads to request additional documentation and set
       up tentative interviews for days two, three, and four.
12:00 p.m.   Lunch in team room or cafeteria
1:00–3:30   Item/category lead and partner interview category counterparts. Team gathers data and reviews
       them at headquarters. Team leader and NIST monitor meet with the HRO.
3:30   Team caucus
4:00   Additional interviews and data review
5:15   Team conducts caucus and debrief and reviews agenda for the evening. Team leader, monitor,
       and OCP discuss adjustments to schedule and additional documents needed.
6:30   Team members depart for hotel. Traveling teams, if needed, depart for airport to visit other sites.
         • Marcia and Mark depart for Site 2.
         • Herb and Louise depart for Site 3.
         • Rona and Larry depart for Site 4.
       All team members update SVI Worksheets, prepare interviews for next day, and review applicant
       materials.
6:30   At headquarters, Allen, Bev, and NIST monitor eat dinner and conduct interviews via conference
       call with plant manager's leadership team.
6:30   While traveling, team members update Site Visit Issue Worksheets, prepare interviews
       for the next day, and review applicant materials. They individually summarize notes for the day
       and review documentation received. The objective is to determine how many SVIs can be closed,
       what additional interviews are needed, and what conclusions can be made to Item Worksheets
       based on the day's findings.
8:00–close   Team members review with their respective traveling team members the results of their activities
       for the day and conclusions drawn. All identify emerging themes, surprises, and issues that have
       been reinforced, as well as areas to address over the next several days. Whole team caucus call
       may take place.

<u>Tuesday and Wednesday, October XX–XX, 2011</u>
Morning   Team conducts interviews/walk-around questions and data gathering.
         • Site Headquarters–Allen and Bev
         • Site 2–Marcia and Mark
         • Site 3–Herb and Louise
         • Site 4–Rona and Larry
10:30 a.m.   Team holds caucus conference call or team meeting.
11:45   Lunch interviews at all sites

Large Applicant/High Complexity (*continued*)

Afternoon	Team conducts interviews, including walk-around interviews, and gathers data.
4:00 p.m.	Team holds caucus conference call or team meeting. Team leader, monitor, and OCP discuss schedule adjustments and additional documents.
4:45	Team conducts interviews, including asking walk-around questions, at all sites.
Evening	Interviews, walk-arounds, closing out of SVIs
6:00	Dinner interviews with employees at all sites
7:00–11:00	Team completes documentation and closes out SVIs.
7:00	Tuesday—Sites 2 and 3 only: interviews, walk-around questions for third shift
7:00	Wednesday–Site 4 only: interviews, walk-around questions for third shift
7:00–8:00	Team members individually summarize notes for the day and review documentation received. The objective is to determine how many SVIs can be closed, what additional interviews need to be done, and what conclusions can be made to Item Worksheets based on the day's findings.

> *Note to team leader: From a review of this work, you should be able to determine who is asking the right questions and getting the required data, as well as who can draw conclusions. If team members cannot form conclusions, this is a good time to review their approach and give them some help!*

8:00–close	Team members review findings, requested documents for the day, and the conclusions they have drawn with the rest of the team. They identify emerging themes, surprises, and issues that have been reinforced, as well as areas to address before the closing meeting.
9:00	Team holds caucus call. (See page 125 for a sample agenda of an evening meeting.)

Thursday, October XX, 2011

Morning	Team conducts interviews and data gathering.
	• Headquarters–Allen and Bev
	• Site 2—Marcia and Mark
	• Site 3—Herb and Louise
	• Site 4—Rona and Larry
10:30 a.m.	Team holds conference caucus call or team meeting. Team leader, monitor, and OCP discuss schedule adjustments and additional documents.
11:00	All examiner teams travel back to headquarters.
Afternoon	Team conducts interviews and data gathering.
2:30 p.m.	All teams arrive from other sites to headquarters.
2:30	Team meeting
3:00	If needed, final interviews and document requests take place. The team ensures that it can close all SVIs before the closing meeting.
3:30	Closing meeting
4:15	Team departs for hotel.
6:00	Team meets to plan scorebook writing.
Evening	Working dinner
	• Team debrief
	• Exchange findings for SVIs
	• Completion of SVI documentation

Friday and Saturday, October XX–XX, 2011Team assembles all on-site files and then uploads/imports them to BOSS.
Team takes inventory/prepares materials for return to applicant.

Sunday, October XX, 2011
8 a.m.   Earliest possible departure

Site Visit Schedule: Medium Applicant/Low Complexity

<u>Sunday, October XX, 2011</u>
Noon   Team meets in XYZ hotel for planning meeting (see page 120 for a sample agenda).

<u>Monday, October XX, 2011</u>
7:45 a.m.   Team is picked up at hotel.
8:00   Team arrives at site.
8:15–9:15   Opening meeting (no more than one hour)
   - Organization overview by the HRO/OCP
   - Baldrige Program overview by the team leader
9:30   Team meets with the applicant's category leads to request additional documentation and schedule interviews for days two and three.
10:30   Team caucus
11:00   Team meets with the senior leadership team and asks questions.
12:00   Lunch in team room or cafeteria
1:00 p.m.   First round of category interviews and HRO interview
2:15   Second round of category interviews
3:30   Team holds caucus and reviews agenda for the evening.
4:00   Additional interviews/data review
5:00   Team caucus
5:20   TL, monitor, and OCP discuss schedule adjustments and additional documents needed.
5:30   Team departs site.
6:30   Working dinner/evening meeting: Team updates Site Visit Issue Worksheets, prepares interviews for the next day, and reviews applicant materials. Team members individually summarize notes for the day and review documentation received. The objective is to determine how many SVIs can be closed, what additional interviews need to be done, and what conclusions can be made to Item Worksheets based on the day's findings.

> *Note to team leader: From a review of this work, you should be able to determine who is asking the right questions and getting the required data, as well as who can draw conclusions. If team members cannot form conclusions, this is a good time to review their approach and give them some help!*

8:00–close   Team members review results of their activities for the day and the conclusions they have drawn with the rest of the team. The team identifies emerging themes, surprises, and issues that have been reinforced, as well as areas to address over the next couple of days.

<u>Tuesday, October XX, 2011</u>
6:30 a.m.   Night-shift employee interviews
8:00   Category interviews and/or data review
10:30   Category interviews and/or data review
Noon   Luncheon roundtable with three production teams
1:00 p.m.   Team meeting
1:30   Category interviews and/or data review
2:30   Category interviews and/or data review
4:00   Category interviews and/or data review
                Evening-shift employee interviews
5:00   Team caucus
5:20   TL, monitor, and OCP discuss schedule adjustments and additional documents needed.

5:30	Team departs site.
6:30	Dinner

7:00–8:00 Team members individually summarize notes for the day and review documentation received. The objective is to determine how many SVIs can be closed, what additional interviews need to be done, and what conclusions can be made to Item Worksheets based on the day's findings. 8:00–close Team members review with the rest of the team results of their activities for the day and conclusions they have drawn. The team identifies emerging themes, surprises, and issues that have been reinforced, as well as areas to address the next morning.

<u>Wednesday, October XX, 2011</u>

8:00 a.m.	Team focuses on clearing up final questions and details.
10:30	Follow-up discussion with HRO
Noon	Luncheon roundtable with three support teams
1:00 p.m.	Team holds meeting and does final check on materials requested. The team ensures that it can close all SVIs before the closing meeting.
1:30	Closing meeting
2:30	Team departs for hotel.
3:30	Team meeting: scorebook preparation plan
	Team prepares the Site Visit Scorebook.

<u>Thursday and Friday, October XX–XX, 2011</u>

Team assembles all on-site files and then uploads/imports them to BOSS.
Team takes inventory/prepares materials for return to applicant.

<u>Saturday, October XX, 2011</u>

8 a.m.	Earliest possible departure

Site Visit Schedule: Small Applicant/Low Complexity

Sunday, October XX, 2011
Noon   Team meets in XYZ hotel for planning meeting (see page 120 for a sample agenda).

Monday, October XX, 2011
7:45 a.m.   Team is picked up at hotel.
8:00   Team arrives at site.
8:15   Opening meeting
                - Organization overview by the HRO/OCP
                - Baldrige Program overview by the team leader
9:30   Team meets with senior leaders and asks questions
10:30   Team meeting
10:45   Team meets with the applicant's category leads to request additional documentation and
                schedule interviews for days two and three.
11:30   Lunch in the applicant's cafeteria
1:30 p.m.   Category interviews and/or data reviews
4:00   Evening-shift employee interviews
5:00   Team caucus
5:20   TL, monitor and OCP discuss schedule adjustments and additional documents needed.
5:30   Team departs site.
6:30   Working dinner/evening meeting: Team updates Site Visit Issue Worksheets, prepares
                interviews for the second day, and reviews applicant materials. Team members
                individually summarize notes for the day and review documentation received. The
                objective is to determine how many SVIs can be closed, what additional interviews need
                to be done, and what conclusions can be made to Item Worksheets based on the day's
                findings.

> *Note to team leader: From a review of this work, you should be able to determine who
> is asking the right questions and getting the required data, as well as who can
> draw conclusions. If team members cannot form conclusions, this is a good time to
> review their approach and give them some help!*

8:00–close   Team members review with the rest of the team results of their activities for the day and
                the conclusions they have drawn. They identify emerging themes, surprises, and issues
                that have been reinforced, as well as areas to address over the next couple of days.

Tuesday, October XX, 2011
6:30 a.m.   Night-shift employee interviews
8:00   Category interviews and/or data review
10:00   Team meeting
10:30   Category interviews and/or data review
Noon   Luncheon roundtable with three production teams
1:00 p.m.   Category interviews and/or data review
                Team focuses on clearing up final questions and details.
2:00   Team meeting
                Team checks on applicant materials requested.
2:30   Category interview and/or data review

3:45	Team holds meeting and discusses the need for any final interviews and document requests. The team ensures that it can close all SVIs before the closing meeting.

Small Applicant/Low Complexity (*continued*)

4:00	Category interviews and/or data review
4:45	TL, monitor, and OCP discuss schedule adjustments and additional documents needed.
5:00	Team departs site.
6:30	Dinner
7:00–8:00	Team members work individually to summarize notes for the day and review documentation received. The objective is to determine how many SVIs can be closed, what additional interviews need to be done, and what conclusions can be made to Item Worksheets based on the day's findings.
8:00–close	Team members review results of their activities for the day and the conclusions they have drawn with the rest of the team. They identify emerging themes, surprises, and issues that have been reinforced, as well as areas to address the next morning.

Wednesday, October XX, 2011
8:00 a.m.	Team focuses on clearing up final questions and details.
9:30	Team holds meeting and does final check on materials requested. The team needs to ensure that it can close all SVIs before the closing meeting.
10:30	Closing meeting
11:30	Team departs for hotel.
12:30	Team meeting: scorebook preparation plan
	Team prepares the Site Visit Scorebook.

Thursday and possibly Friday, October XX–XX, 2011
	Team assembles all on-site files and then uploads/imports them to BOSS.
	Team takes inventory/prepares materials for return to applicant.

Friday, October XX, 2010
2:00 p.m.	Earliest possible departure

On-Site Phase

Sunday Planning Meeting Agenda

<u>Sunday, October XX, 2011</u>
Noon—Working Lunch
- Introduction
- Examiners sign confidentiality statements (one copy for NIST, one copy for the applicant).
- Review team assignments for site visit.
- Review team roles for the day: scribe, timekeeper, etc.
- Review overall purpose of the site visit.
- Review expectations: what would we like the applicant to say about our site visit?
- Review final output of the site visit—the Site Visit Scorebook.
- Review each Site Visit Worksheet and its purpose.
- Point out the need for a connected story from the Consensus Scorebook to the final Site Visit Scorebook to facilitate the judges' understanding.
- Discuss "walk the wall" (brief illustration follows).

1:00 p.m.
- Review the site visit schedule.
- Identify special lunch interviews to schedule in advance.
- Discuss each step and address questions.
- Highlight issues to expect (e.g., it is not uncommon for the applicant to research the team members) and requirements of each team member (e.g., surviving a long, intense week; not writing on the applicant's documents; keeping all notes confidential; not sharing issues with the applicant; providing no feedback to the applicant [verbal or nonverbal] and remaining gracious; sticking to your agenda; providing only your name and the name of your employer).
- Point out the special importance of the following:
  - Group meeting times: be prompt.
  - Backup meetings: because traveling teams' schedules change and land-line phones are not always available, it may be necessary to schedule backup team meetings.
  - Keep up with SVI Worksheet documentation.
  - Interviewing: review effective interviewing steps (page 122).
  - Buddy system: Interview in pairs and give one another feedback. Walk-around questions may be conducted by pairs or individuals.
  - Schedule regular team meetings throughout the day.

1:45 p.m.
- Discuss the use of laptops and printers, virus checking, restrictions on cell phone use on-site, etc.

2:00 p.m. (*Note: It is best if this step is completed through sharing on BOSS before this meeting.*)
- If the team has not already done so, review each site visit issue (SVI) by item to
  - reduce duplication
  - ensure that key issues are covered
  - finalize key themes

Sunday Planning Meeting Agenda (*continued*)

      − ensure that all of the applicant's key organizational units are interviewed
      − suggest any strategy enhancements
      − identify any cross-category issues and how to modify SVIs to address these
      − be prepared to eliminate or combine issues and to prioritize issues for each item (given limited time, priority issues need to be addressed first)

3:00 p.m.
- Break out into subteams. Each group prepares a detailed schedule of places and organizational units to visit based on SVIs.*
    - Consider coverage of unique operations at each location as they relate to resolving SVIs.
    - Develop the plan for which pair to go where, when and how.
    - Schedule visits for 24-hour operations, if applicable.

4:00 p.m.
- Each subteam presents its plan for input. Final products are (1) a detailed schedule for each day for each pair and (2) the related package of SVIs.

5:00 p.m.
- Review list of documents requested. *(Note: Feedback from OCPs said that it was a huge dissatisfier when examiners asked for documents already delivered to the team.)*

5:15 p.m.
- Schedule walk-around questions from the collated list downloaded from BOSS.

6:15 p.m.—Working Dinner
- Review questions for the leadership meeting. Prioritize the questions and determine who will ask each one.

6:45 p.m.
- Meet with item backup to finalize strategies for interviews with category leads. Determine specific questions for the interviews to be conducted on the first day. *
- Review interviewing.

7:00 p.m.
- Finalize the schedule for the next day. If time, consider a tentative schedule for day two.*

8:30 p.m.
- Agree on a gathering time and place for the morning. Adjourn and REST!!

Ideally, many of these tasks were completed before this planning meeting.

Effective Interviewing Steps
(Review during the Sunday Planning Meeting)

Establish the Goal: Since the interviewing pairs need to gather a lot of information in a short time, they need a clear picture of what each of the interviews aims to accomplish. They set goals by asking, "What do I want to receive from this interview?" and "What specifically am I looking for?"

Know the Audience: Knowing people's positions within the organization helps the examiners prepare for the interviews. This knowledge also helps examiners determine how to develop rapport with the interviewees so that they feel comfortable and talk freely. Examiners are sensitive and alert to the interviewees' nonverbal feedback to the questions; they listen with their eyes, as well as their ears.

Prepare the Questions: Develop specific questions based on the site visit issues and Criteria items. Identifying questions in advance creates the interview framework. Some site visit issues can be "closed out" by asking questions that can be answered with specific, fact-based answers. Open-ended questions gather information on whether or not the mission, vision, and values, as well as processes, are deployed throughout the organization. These questions also allow the interviewees the opportunity to share their thoughts, beliefs, and examples of specific behaviors. The ultimate goal of all the questions is to enable the team to generalize the findings across the organization. If, however, all planned questions were answered in advance of a scheduled meeting, it is best to cancel the meeting and use the time to better meet the team's needs.

Assess the Environment: Before starting, examiners need to assess the environment to ensure that it is conducive to the interview and data gathering. Consider the location, the amount of time, and who the interviewees are, as well as the total number of people being interviewed. The size of the interviewee pool will influence the type of the interview (e.g., focus group or one-on-one). Focus groups are typically more effective and efficient with a large number of interviewees.

Review the Information: To ensure that they have understood the answers to the questions, the examiners quickly review the information with the interviewees. This enables the interviewees to clarify what was meant and to provide additional information. Reviewing the information also provides a mechanism for closing the interview.
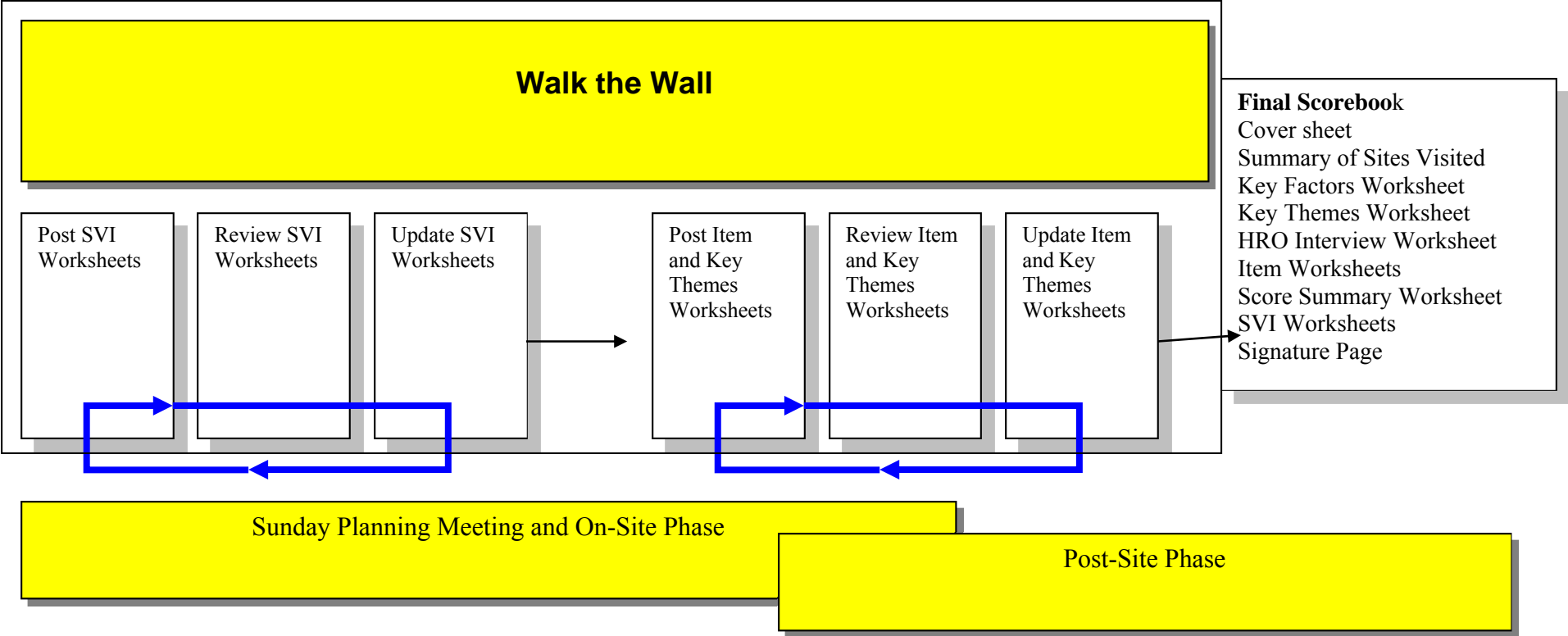
Capture the Information: One examiner leads the interview; the other captures the notes. After the interview, examiners review their notes once more to ensure that the needed information was obtained. Examiners can make notes about linkages or other areas to explore in the next interviews. The pair also reviews each other's notes to verify the information.

Be Self-Aware: Examiners need to be conscious of their own nonverbal communication to ensure that they do not send messages to the applicant. Also, they need to be aware of how their biases can influence the questions that they ask.

Interview Tips and Techniques

- Be prompt in starting the interview.

- Introduce yourself: "Hello, I'm _____ from the Baldrige Site Visit Team." Ask the person's name if it is not offered. Ask the person some questions about his or her background to help put him or her at ease.

- If the NIST monitor is observing your interview, explain his/her role as an observer.

- Begin the interview by saying that examiners are not looking for right answers but, rather, that they are trying to fully understand processes and results.

- Say that you will be taking notes.

- As appropriate and functional, keep a separate page for each meeting or person with whom you talk and for each SVI. This permits easier sharing of information within the Site Visit Team.

- Have interviewees fill out the interview log to track interviewees' names, job functions, department or unit, and site.

- Ask simple, straightforward questions using the applicant's language. Avoid Baldrige or other types of jargon.

- Do not ask leading questions, and be careful not to inadvertently prompt answers. For example, ask, "How often does the planning team meet?" rather than "Does the planning team meet every week?"

- Ask the interviewee if he or she would like to add anything. You may have missed something the applicant feels is vital.

- Thank the interviewee for his or her time, and communicate appreciation for the applicant's efforts.

- Record materials requested and received.

Applicants are typically interested in assessing their progress on a site visit and may ask, "How are we doing?" Simply tell the applicant that the team is still gathering information on its site visit issues and, as such, it is premature to answer. However, you can compliment the applicant's hospitality, flexibility, and cooperation in helping the team obtain the information it needs.

Walk the Wall

| Post SVI Worksheets | Review SVI Worksheets | Update SVI Worksheets | | Post Item and Key Themes Worksheets | Review Item and Key Themes Worksheets | Update Item and Key Themes Worksheets |

Final Scorebook
Cover sheet
Summary of Sites Visited
Key Factors Worksheet
Key Themes Worksheet
HRO Interview Worksheet
Item Worksheets
Score Summary Worksheet
SVI Worksheets
Signature Page

Sunday Planning Meeting and On-Site Phase

Post-Site Phase

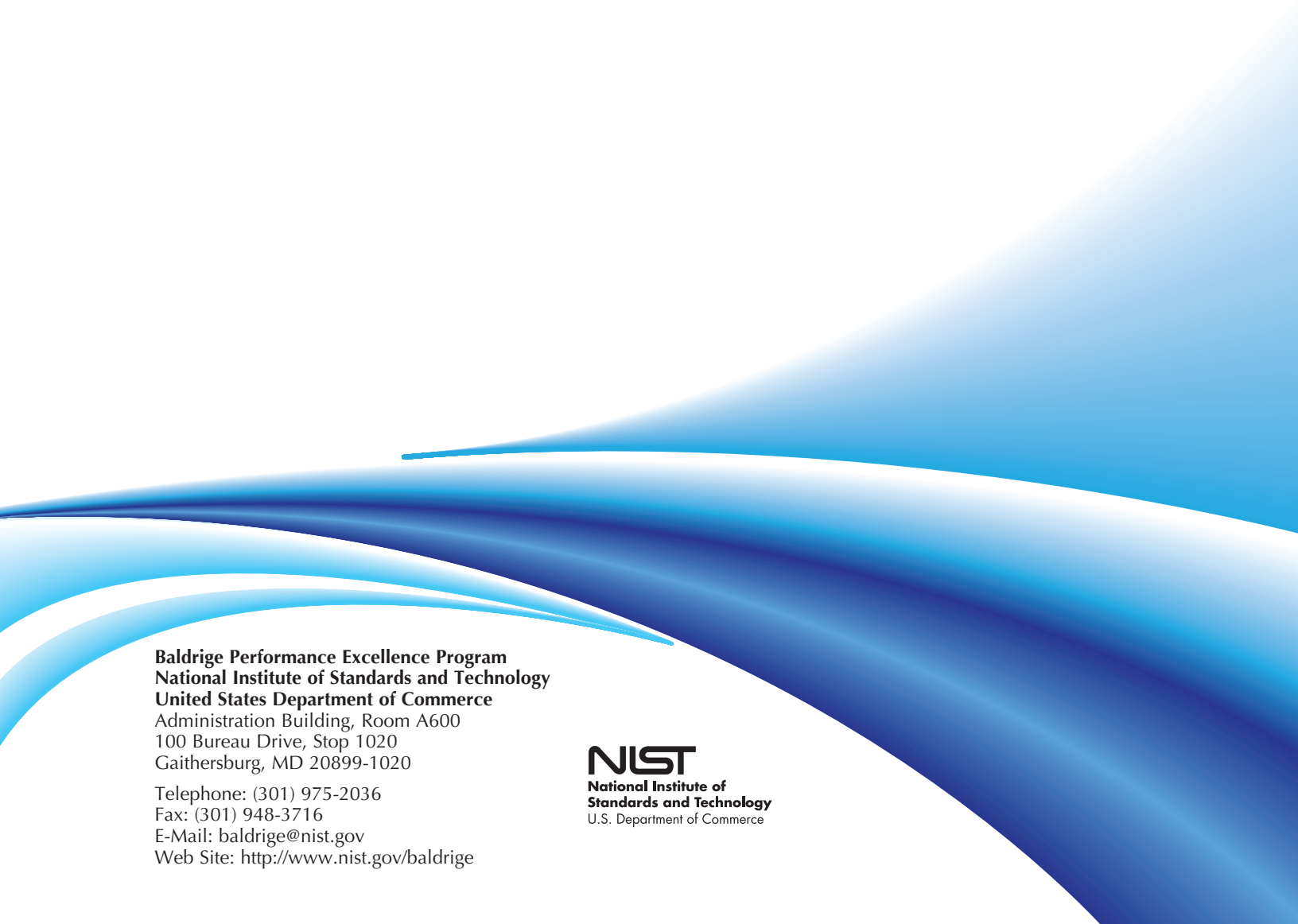## Agenda for Evening Meetings

- Record applicant materials received.
- Update key findings:
  - key factors
  - site visit issues by item (Each team member posts documentation on one SVI on Monday evening for the team leader to check detail and focus. Each team member completes one Site Visit Issue Worksheet by Tuesday evening.)
  - Key Themes Worksheet
  - role-model strengths
  - vulnerabilities
  - results
- Discuss new issues.
- Identify modifications to plan, if needed.
- Close site visit issues.
- Discuss walk-around questions for the next day.
- Set agenda for the next day: who, what, when, where.
  - Reminder: give no verbal or nonverbal feedback to the applicant
- Discuss issues raised by the OCP.
- **On the evening before the closing meeting with the applicant, consider what information and documents the team needs to close out each SVI before the on-site phase is completed.**

Post-Site Phase: Estimated Time to Complete the Scorebook

The following is estimated time.

TASK	HOURS
Complete first draft of Site Visit Issue (SVI) Worksheets (started during the planning phase).	8
Review and revise SVI Worksheets.	4
Finalize SVI Worksheets.	1
Revise Item Worksheets.	6
Review/further revise Item Worksheets.	4
Finalize Item Worksheets.	1
Finalize scoring for each item.	1
Discuss key themes and key factors.	2
Revise key themes and key factors.	2
Finalize key themes and key factors.	1
Finalize Summary of Sites Visited.	1
Complete Score Summary Worksheet, and identify the most appropriate overall process and results scoring bands.	1
Gather all documents in the scorebook and upload or import them to BOSS.	2
Print and sign completed scorebook.	1
TOTAL	**35**

Award Process Team
Baldrige Performance Excellence Program
National Institute of Standards and Technology
Gaithersburg, MD 20899

NIST
National Institute of
Standards and Technology
U.S. Department of Commerce