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Site Visit Team Responsibilities

- ▶ Participate in Virtual Site Visit preparations, including:
 - ▶ Contributing to agenda and document request
 - ▶ Preparing Site Visit Issues Worksheets for assigned categories
 - ▶ Preparing walk around questions
- ▶ Gather data needed to verify/clarify Site Visit Issues, feedback, and scores while being minimally intrusive to applicant organization

Team Leader Responsibilities

In addition to the Site Visit Team Responsibilities...

- ▶ Lead preparations for the Virtual Site Visit
- ▶ Serve as a coach to other Site Visit Team Members
- ▶ Communicate with applicant prior to Virtual Site Visit
- ▶ Ensure development of the Feedback Report

Applicant Point-of-Contact Responsibilities

- Primary contact person during Virtual Site Visit
- Review the Virtual Site Visit guidelines and distribute applicant guidelines to staff
- Coordinate the agenda with staff liaison and team leader
- Ensure requested documents, data, and updated Cat 7 results are provided
- Assign Category leaders
- Ensure requested applicant staff members are made available

Applicant Senior Leadership Responsibilities

- ▶ Participate in the opening meeting
- ▶ Participate in relevant interviews with members of Site Visit team
- ▶ Participate in the closing meeting

Confidentiality

- ▶ Site Visits are confidential; participants should not:
 - ▶ Disclose the name of the facility
 - ▶ Share information gathered
 - ▶ Disclose the names of individuals interviewed
 - ▶ Make copies of any materials gathered
- ▶ Participants should gather only needed information to clarify/verify strengths, OFIs, and other information presented in the application or criteria

Preparing for the Site Visit



Preparing for the Site Visit

Site Visit Examiner Team

- ▶ Develop Site Visit Issues Worksheets (be realistic with time)
- ▶ Develop Virtual Site Visit Agenda
 - Assign primary for Site Visit Issues
 - Develop list of staff interviews
- ▶ Develop Document Request List

What are Site Visit Issues?

- ▶ Information that is missing or vague
- ▶ Deployment of approaches
- ▶ Cross-cutting issues or themes
- ▶ Site Visit Issues
 - 15 total SVIs, or about 1-2 per category, are recommended
 - Broad enough to verify or clarify the comments in the feedback report
- ▶ There should be no “it is unclear if” statements in the feedback report after the Site Visit

Example Site Visit Issues

- ▶ Role and personal involvement of senior leadership
- ▶ Workforce capability and capacity
- ▶ Reliable and accessible data and information
- ▶ Use of facts in decision-making
- ▶ Focus on customers
- ▶ Learning and development system: effectiveness and on-the-job reinforcement

Example Site Visit Issues

- ▶ Use of strategic objectives, action plans, and related measures to align work at all levels—links to performance feedback and employee rewards
- ▶ Evidence of evaluation and improvement
- ▶ Key work processes, requirements, and management
- ▶ Supplier involvement in performance improvement activities
- ▶ Unclear or missing results and continuing trends

Key Factors

- ▶ Use KFs to guide SVI development
- ▶ Consider KFs as you develop interview tactics
- ▶ Frame interview questions about gaps:
 - Approach – relevance? applicability?
 - Deployment – breadth and depth in organization?
 - Learning – context for evaluation, improvement, and innovation?
 - Integration – alignment with key requirements, challenges, etc.

Practice: Site Visit Issue (SVI) Worksheet

Site Visit Issue Worksheet - Process

Application Number:

Worksheet Number:

Issue to Verify/Clarify A SVI should be an important Strength to verify as a possible role model practice or a significant OFI that must be clarified (either it is a real gap or it was a perceived gap that has been resolved at the Site Visit). To the extent possible, SVIs should be related to Key Themes that cut across the application. For more information, see the example provided.

Criteria Item Reference:

Is this a Key Theme? Yes/No

Was this originally evaluated at consensus? Yes/No

Comment(s) Affected (a SVI may address one or more comments within the feedback report):

Strategy (methods to obtain information for analysis)

Findings (list the information that was actually obtained)

Interview(s):

1) (Interviewee)

- (Question)
- (Question)
- (Question)

2) (Interviewee)

- (Question)
- (Question)
- (Question)

3) (Interviewee)

After the interviewee explains how a process works, ask a follow-up question to check "Assess and Refine" such as, "have you always done it that way? Why did you change? What ongoing changes are being made?"

Walk-Around/Focus Group Questions:

- (Question)
- (Question)
- (Question)

Documents to Review:

(List)

Effect on Comments:

Effect on Consensus Score of the Related Item:

Practice: Site Visit Issue (SVI) Worksheet

- ▶ Share pre-site visit SVI Worksheet

Site Visit Issues Strategies

Acceptable techniques

- Reviewing data, reports, documents, presentations (hard-copy or electronic) as provided directly by the applicant
- Interviewing individuals and teams
- Asking focus group questions to check deployment and communication

Site Visit Issues Strategies

▼ Unacceptable techniques

- Conducting surveys, or interviews with customers, suppliers, or other non-staff. *Note: you can interview volunteers if they are identified as part of the workforce by applicant.*
- Anything that disrupts work processes
- Interviewing sources or collecting data beyond that provided by the applicant
 - *This includes conducting library or internet research and visiting web sites.*

Focus Group Questions

- ▶ Can you describe a Performance Improvement Project you have participated on?
- ▶ How do you communicate with your supervisor, co-workers, other shifts?
- ▶ How would you describe the culture of your organization?
- ▶ Tell me one thing that you have accomplished at your organization that you are proud of?
- ▶ Are you offered continuing education? How about career advancement opportunities?

Sample Site Visit Issues Worksheet- Results

7.2

During stage 1 Independent Review, complete only the Expected Results table for assigned Items in category 7.

Title of Expected Result	Source Reference (pg in app where you found it)	Cat 7 Reference (where in Cat 7 it belongs)	Figure # (where found in in Cat 7)	Segmentation (Names of segments)	Trend & Time (From x to y level in a to b timeframe)	Perf vs comp (Position and type of comparison)	Comment Theme	Site Visit Updated Perf. Level	Effect on Comments
Senior Leader Communication Effectiveness	Fig. 2.1-4	7.2	7.2-1	By senior leader	3.2 to 4.5 out of 5 from 2011 to 2015	Top National Quartile based on Leadership Survey, Inc.	1		
Legal Regulatory Compliance	Fig. 2.1-4	7.2	7.2-5	None	98% compliance rating	CMS top level rating	1		
Ethics Violations	Fig. 2.1-4	7.2	7.2-2	None	3 to 2 from 2011 to 2015	Missing	2		
Strategy Implementation	Fig. 2.1-4	7.2	7.2-3	None	8 out of 12 strategic objectives at or ahead of schedule 4 are missing	NA	3		



Document Request Template

- ▶ Provided to applicant *in advance* of the Virtual Site Visit
- ▶ Must be shared and reviewed during prep call with applicant
- ▶ Includes:
 - ▶ Guidance to applicants
 - ▶ Best practices for preparing documents
 - ▶ Template for adding requested document
- ▶ Don't ask for everything you can think of. Ask for what is important to make your decisions.

Meet and Greet Agenda

1. Introduction of Site Visit Team
2. Introduction of Applicant Organization Staff
3. Applicant Organization Highlights

Sample Day 1 Agenda

Time	Agenda Item	Site Visit Team Members	Applicant Staff (include titles)	Virtual Meeting Link
8:00 am	Opening meeting <ul style="list-style-type: none"> ▶ Intro Comment by Site Visit Team Leader ▶ Review of timeline ▶ Questions 	All	Applicant Point of Contact and Senior Leadership Team	
8:30 am	Quick tour of facility – via FaceTime or Mobile WebEx, Mobile Zoom, etc.	All	Applicant Point of Contact	
9:00 am – 9:15 am	BREAK			
9:15 am	Category 1 Leadership – Results 7.4	Team Member #1 and 2	Category 1 leads	
	Focus Group (1st shift)	Team Member #3	Focus Group	
10:15	BREAK			
10:30 am	Team Caucus	All		
10:45 am	Category 5 Workforce Focus – Results 7.3	Team Member #2 and 3	Category 5 leads	
	Document review	Team Member #1		
12:30 pm	Lunch			
1:30 pm	Category 6 Operations Focus – Results 7.1	Team Member #1 and 3	Category 6 Leads	
	Document review	Team Member #2		
3:00	BREAK			
3:15 pm	Category 2 Strategic Planning	Team Member #2 and 3	Category 2 Leads	
	Focus Group (2nd shift)	Team Member #1	Focus Group	
5:15 pm	Meet with Point of Contact to confirm agenda for next day	Team Leader & Staff Liaison	Applicant Point of Contact	
5:30 pm	Adjourn for day			

Sample Day 2 Agenda

Time	Agenda Item	Site Visit Team Members	Requested Staff (include titles)	Virtual Meeting Link
7:00 am	Focus Group (3 rd shift)	All	Focus Group	
8:00 am	Category 3 Customer Focus – Results 7.2	Team Member #2 and 3	Category 3 Leads	
	Review of requested documents	Team Member #1		
9:15 am	BREAK			
9:30 am	Team Caucus	All		
9:45 am	Category 4 Measurement, Analysis and Knowledge Management	Team Member #1 and 2	Category 4 Leads	
	Review of requested documents	Team Member #3		
11:00 am	Focus Group (1 st shift)	All	Focus Group	
Noon	Lunch			
1:00 pm	Financial and Market Outcomes – 7.5	All	Applicant Leads	
2:00 pm	Team Caucus	All		
2:15 pm	Follow-up meetings/questions (as needed)	All	TBD	
3:00 pm	Follow-up meetings with identified Cat. Leads/teams	TBD	TBD	
4:30 pm	One-on-one with the administrator/executive director	Team Lead Staff Liaison	Applicant Administrator	
	Follow-up meetings (as needed)	Team Members #2 and 3	TBD	
5:00 pm	Closing meeting	All	Applicant Point of Contact and Senior Leadership Team	
5:30 pm	Adjourn			

Preparation Calls

- ▼ The applicant POC and Team Lead discuss the following during preparation calls:
 - Introduction of the Site Visit Team
 - Introduction of the Site Visit process
 - Review agenda and confirm the availability of key people
 - Review the document request list
 - Address questions from the applicant organization

Performing the Site Visit



Meet and Greet

- Process for the applicant and Site Visit Team to become familiar with each other and start building a relationship.
- Opportunity to test out video calls.

Opening Meeting

- ▶ Review of review process and timeline
- ▶ Review the agenda and the Virtual Site Visit process
- ▶ The applicant will highlight their organization
- ▶ Process related questions

Team Activity During Virtual Site Visit

- ▶ Conduct interview meetings, questions, and collect data
- ▶ Document findings using Site Visit Worksheets
- ▶ Accept information provided by applicant as accurate
- ▶ Seek to ensure Strengths and OFIs that remain in the feedback report are accurate

Interview Structure

- ▼ Begin the interview with:
 - Introduce yourself and why you're there
 - We will respect confidentiality of information
 - We will be looking for both Strengths and OFIs
 - This is not the same as a regulatory survey - *the findings we deliver are strictly for your facility's use!*
 - There are no right or wrong answers
 - Ask if they have questions about the interview
 - Explain why you are taking notes
- ▼ End the interview with:
 - Do you have any questions for me?
 - Thank them for their time and honesty
- ▼ *Remember to have your webcam on!*

Effective Interviewing Tips

- ▶ Ask open-ended questions, probe when necessary, bring it to a conclusion
- ▶ Script your lead and follow-up questions
- ▶ Maintain eye contact and relaxed body language
- ▶ One person interviews; backup takes notes
- ▶ Backup may clarify or ask missed point
 - ▶ Remember if you aren't asking questions, stay on mute!
- ▶ Refocus when they ramble – remind them of time limits
- ▶ Be frank and respectful
 - ▶ Use the applicant's terminology
 - ▶ Actively LISTEN to the applicant
- ▶ Be patient with shy interviewees

Asking Questions

Use open-ended questions

- Tell me about ...
- How do you ...
- Help me understand ...
- Please walk me through ...

•Have you always done it this way?

- Why did you change?
- How did you know what to change?

•How do you determine how frequently to check this process?

•How do you know customer requirements are correctly defined?

Avoid Leading questions.

- Why don't you –
- At my organization we do it this way. What do you do?

•Don't you think it would be a good idea to re-do your performance improvement process?

•Why do you only audit this process every two years?

•Why don't you involve customers in your improvement teams?

Policy on Interview Participation

- ▶ The Site Visit Team will schedule interviews related to specific Criteria Categories
- ▶ Interviews should only include those directly involved in the subject under discussion
- ▶ Corporate staff, leadership, or any other staff not directly involved in the subject should not participate
- ▶ Examiners should confer with ALPEX staff if questions arise

Do's/Don't Examples

Do

- ▶ Do have a laptop or computer accessible for the Virtual Site Visit and plan on turning on your camera.
- ▶ Do ask for whatever information is needed to clarify or verify your assigned issues. Ask spontaneous questions. However, be realistic, and do not place undue burden on the applicant by requesting anything unnecessary.

Don't

- ▶ Do not disclose any personal information beyond your first and last name; this includes not disclosing the name or information about your own organization or your professional qualifications or information.
- ▶ Do not contact the applicant directly before the Site Visit; all direct contact should go through Team Lead and ALPEX staff

One-on-One with Highest Ranking Official

- ▶ The Team Leader must have a discussion with the HRO at the organization regarding potential organizational issues
- ▶ Looking for any significant problems or issues, that if the organization were to be named an ALPEX award recipient, would diminish the credibility and cause embarrassment for the program or applicant
- ▶ Examples could be substantiated instances of fraud or abuse, negative media, pending legal action, etc.
- ▶ The applicant is expected to be forthcoming and honest about any potential issues

Closing Meeting

- ▶ Thank the applicant for allowing the Virtual Site Visit
- ▶ Respond to any questions the applicant may have about the process
- ▶ Allow applicant to provide additional information on any unsettled issue
- ▶ After the closing meeting, the team may not accept any data or additional documents and has no further contact with the applicant

Post Site Visit



Adjusting the final score

- ▼ The Site Visit Team can agree to:
 - ▼ Keep the Item score the same
 - ▼ Increase OR decrease an Item score
- ▼ All changes to scores will be in increments of 5%
- ▼ Feedback reports should be checked for comment-score alignment

Site Visit Report

- ▼ The team will provide the following:
 - The Site Visit Issues Worksheets (process and results);
 - A revised final Scorebook and Comment Matrix;
- ▼ These will be sent to ALPEX program for judging