2021

EXAMINER TEAM LEADER GUIDE

Kentucky Center for Performance Excellence

2021 Version 1

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The KYCPE Team Leader

Thank you for accepting your KYCPE team leader assignment! As a team leader, you play a critical role in meeting the expectations of our customers (the applicants) and our workforce (your team members).

I

If you have been a team leader in the past, you know what a demanding and fulfilling job this can be. If this is your first experience as a team leader you have likely been a team member with more than one team lead in the past and you have thought about what this role entails. This role is an exceptional opportunity to improve your leadership skills and deepen your understanding of the Baldrige *Criteria for Performance Excellence*. This guide can help you lead your team efficiently and effectively. In addition, we hope it will help you manage any anxiety and stress during the team assessment process. Based on a collection of lessons learned and best practices that have been gathered from some of our most effective team leaders, it is designed to give you guidance along the way, using the insight of your peers.

If you encounter a situation that you're not sure how to handle, don't hesitate to contact your team coach (if one is assigned), or Dan Dufresne (502) 472-8882 . We will do whatever we can to help you be successful.

Your Voice

As you complete this year's assignment, please take note of experiences that can help future team leaders, and send them to KYCPE to help build our organizational knowledge.

Chapter 1

Remember

Team Leader Key Objectives

- Help the applicant improve their organization
- Keep the team engaged and informed. This will help with…
- Getting the required outputs done on schedule and at a high quality

Team Lead Strategy

- Communicate with the team on a weekly basis and share discussion amongst the team members so everyone is engaged
- While communicating, reinforce the training they already had. NERD format with nuggets that are criteria based, etc.
- Follow the process and use the tools provided as suggested below. Using the suggested workbook and scorecard, for example, will save you countless hours of combining the work of the team.

There is a difference in the process for different application levels. The Level 1 process is significantly different than Levels 2, 3 and 4. Although many of the items in section 1 through 6 of this document are relevant to Level 1 the unique information for Level 1 is in the level 1 examiner workbook on the KyCPE website.

Interest Level 1	Commitment Level 2	Achievement Level 3	Excellence Level 4
Simplified Organizational Profile	Organizational Profile (5 pages max.)	Organizational Profile (5 pages max.)	Organizational Profile (5 pages max.)
Self Evaluation with the guidance of two KyCPE examiners	Application 7 Categories (15 pg. max.)	Application 7 Categories 17 Items (35 pg. max.)	7 Categories 17 Items 33 Areas (50 pg. max.)
Feedback: 7 Categories	Feedback: 7 Categories 17 Items	Feedback: 7 Categories 17 Items 33 Areas	Feedback: 7 Categories 17 Items 33 Areas

First Steps

Please follow these guidelines to get your team started on the assessment process when you receive your application. While numbered, all these steps should be done right away, and some overlap – so read through them all and start planning now (you'll be glad you did). As you follow the steps, employ the "Tips on Keeping Your Team Focused and Productive," outlined on page 26

1 Contact team members & request info

Hopefully you have established contact with all team members at training. Team members should have already read the application's Organizational Profile to determine if they have a conflict of interest and returned the No Conflict – Non Disclosure form to KYCPE. If a conflict has been identified you may have one or more new team members that you will have to get to know. **You may have to send an introductory email to any new members of the team.**

If possible, generate the key factors list before the full application is delivered so you can send it out with the application.

When the application arrives tell all team members to begin to read the entire application. They can read result first, or cover to cover. Whatever they feel will work best for them. It is best to start right away since the schedule time for IR is limited. Now is your opportunity to review the assessment process, set clear expectations, and role model the attitude you want to see from the team. It is also appropriate in this email to establish a status review plan. All team members should do IR and scoring for each all 17 items of the entire application. **You should request a biography of each team member**. **Also request feedback on what days of the week are good for a weekly conference call.**

Best Practice

A best practice has been to set up a weekly conference call at lunch time one weekday. If you have a big team you may have to pick two days (one of which each member can attend regularly) with the team so you can get a feel for how everyone is doing and the team can share thoughts about the applicant/application. A schedule should be created (At least one section each week is needed to meet the overall schedule) so everyone has a target for how far along they should be at each week's call. During the call, share an example feedback comment and have others critique it for NERD, etc. Continue by having team members do the same for one of their feedback statements. Remember this is the **independent** review period so the goal here is to help with writing good feedback comments and/or to answer any how-to questions. Make sure you hear some feedback or status comments from everyone. If you find some team members struggling this is the time to provide help, if that is all they need.

Not long into the IR you should narrow in on date(s) for the team consensus meeting (and a site visit, where applicable).
If a site visit applies the team lead must contact the applicant and dates discussed/settled as early as possible. It is best to maintain frequent contact with a site visit applicant so they know what to expect and any schedule issue can be raised immediately.

Find resources on the Examiner Resources page of the KYCPE website under Independent Review, Consensus Review or Team Leader
http://www.kycpe.org/examiner-resources

The overall schedule for the 2020-2021 cycle is on the KyCPE website here. Use this to keep you and your team on schedule so all the steps of review by the ERB, judging, and the required scorebook changes as a result of that, can be done on schedule.

Finally, point out that it is critical to meet all team deadlines. If something catastrophic happens in a team member's life and he or she can't meet a deadline, impress upon the team members to notify you as soon as possible.

Follow-up call

After an initial email, we recommend you at least call each examiner individually and multiple times if weekly conference calls are not possible for that examiner or you haven't heard from them in a while. A phone call is more personal and usually provides better two-way communication. It's also particularly reassuring to new examiners.

Note

Encourage team members to respond to your communications quickly throughout the process.

Recommendation: Do not tell team members about their actual category/item assignment until all have completed their independent reviews. Early notification may encourage members to concentrate strictly on their own assigned items.

Communicating with New Examiners

We suggest you communicate more frequently with new examiners to check in and offer encouragement. One team leader suggests having the team leader or the team's scorebook editor provide feedback on the initial feedback comments from each new examiner's independent review. This can also be done after the weekly conference call. If an examiner's work is off-track, an early correction will prove helpful for the team in the long run. Reviewing some feedback comments in the weekly conference call will provide training reinforcement to all.

Checklist

During your initial contacts with examiners:

- ❐ Set a positive tone for the team. Role model the behavior you want to see from your team members.
- ❐ Confirm contact information and determine the best method to contact individual examiners.
- ❐ Tell examiners to start independent review right away by first reading the application from cover to cover
- ❐ Set expectations: give the team a target due date for when they should be completing IR for each section.
- ❐ Give the team a deadline for filling out the **Biography Request** form**.** The bios come in useful for helping decide who may be the best item lead for a particular item.
- ❐ Give the team a deadline for completing the **Dates Unavailable** form and/or making a decision on the key consensus (and site visit) dates.
- ❐ Remind examiners to respond quickly to all team communications.
- ❐ Establish an email protocol for the team: when an email is sent to the entire team, ask members to "reply to all" to expedite communications and ensure that everyone receives the same message.
- ❐ Ask team members to think about what Items they would like to lead in consensus and site visit (they can number their choices 1 through 6, with 1 being their first choice).

2 For Applicants Receiving a Site Visit: Contact the Applicant –

Get in touch with the point-of-contact listed on the application form.
During this conversation, introduce yourself and review the assessment process.
Discuss potential site visit dates, using KYCPE's recommended dates:

Establish the site visit date as quickly as possible – this gives you and the applicant a target to work toward – and ask the applicant whether he or she prefers to communicate by email or telephone.

Script: First contact with the applicant

"I've been assigned by KYCPE to lead the team that is assessing your application. I'm looking forward to working with you. How do you prefer that I communicate with you (email or phone)?

"Here is what you can expect from your examiner team over the next few months:

"First, you and I will determine site visit dates. Since you are applying for a Level (3,4) award, examiners will be on site at your facilities for x days.

"At least one week before this date, I will send a list of questions we are looking to answer during the site visit. We will likely include a list of documents we want to review and employees we want to interview.

"I will provide details about the site visit and what you can expect when we get closer to the date. In the meantime, if you need to get in touch with me, here is my phone/email. I'll check back with you on ________, but feel free to call me before then."

Maintain regular contact with the applicant, assuring that the team is working and where you are in the process. A quick email or phone call every week or so is an easy way to go about this. For example, an email might read:

- *"Hi [Applicant Contact], I just wanted to let you know that the examiners assigned to your application are in the process of completing their independent reviews. This is the first stage of the assessment process when we review your application, identifying potential strengths and gaps in relation to the Baldrige Excellence Framework." Or*

- *"Dear [Applicant], Just a quick note to let you know where we are. Your KYCPE examiner team is meeting next week for its consensus meeting. There, team members will consolidate their independent review findings, eventually coming to agreement on their assessment of your application, and identifying areas we want to learn more about on site."*

Newer applicants may need more frequent phone calls to allay fears and answer questions. In general, you will contact the applicant with greater frequency as the Site Visit approaches.

Best Practice

When talking with the applicant's contact, mention when you will be in touch again. This keeps the applicant from wondering if it has been forgotten. Mark your calendar as a reminder to contact the organization when you said you would.

3 Set the Team Calendar

As soon as you receive **Dates Unavailable** from all team members and, talk to the applicant (as appropriate), grab a calendar and set up an assessment schedule for your team. Rely on the major milestone dates established by KYCPE as shown earlier.

Checklist

Your team calendar should include the following deadlines and events:

- ❐ Team leader distributes application Organization Profile and makes sure all team members have turned in forms for documenting no conflict of interest and bio. **Do this ASAP**
- ❐ Team leader completes key factors and distributes with the Excel Worksheet. Make sure you are using the worksheet version that has compilation tabs. This will save you (the team lead) a lot of time when independent review is done and you have to send out the compilation to everyone. **Do this ASAP**
- ❐ Team members complete one assigned item to be reviewed by team lead prior to their continued work on independent review (if desired). This applies to the entire team. **Do this ASAP**
- ❐ Complete independent review **(3/1/2021**) - – applies to team.
- ❐ Complete category/item lead assignments **(by 3/7/2021**). Send compiled comments and observations to the team.- applies to team lead
- ❐ Complete synthesis for all assigned categories **(by 3/14/2021**) – applies to item team leads and backups. This includes:
    - Synthesize team members' independent review observations.
    - Draft comments and score each assigned item.
    - Receive and provide feedback with your item backup.
    - Rewrite comments, incorporating backup feedback.
    - Prepare to present assigned items at team's consensus meeting.
- ❐ Consensus meeting completed (**3/21/2021)** – applies to team.
- ❐ Item leads send final scorebook for their items to the team lead **(3/28/2021)**
- ❐ Non Site Visit -Team Leader notifies ERB that Final Scorebook is complete (**4/18/2020**)

Best Practice

As the assessment progresses, it's a good idea to send team members a weekly reminder email on Thursday (allowing time to work on assignments over the weekend), especially during weeks when there is no other correspondence among team members. Keep it short and sweet:

"Dear [Examiner] Hope all is well. Your next deliverable is ______ and it is due on _______." Please let me know if you have any questions, I'm here to help."

Don't over-manage – but *do* stay in touch. Minimal contact and follow-up are required if everyone is on schedule.

If deadlines are missed, make compensating adjustments, but once you're in the throes of the assessment, it is nearly impossible to change the consensus meeting date.

4 Send calendar to the team

When your calendar is set, email it, including a list of all deliverables and due dates (use the **Examiner Deliverables Checklist** as a guide), to team members for review. Remind examiners to respond quickly to any correspondence from the team. Make sure this calendar includes:

- Independent review due date
- Consensus meeting date
- Site visit dates, as appropriate
- Final Feedback Report complete

5 Prepare team assignments

When you have received team members' completed **Biography Request** forms and have had a chance to get to know everyone, you can assign team roles:

- **Scorebook Editor.**, The scorebook editor consolidates key factors, captures and finalizes key themes, coaches team members on comment writing during consensus, backs up team leader's comments, and works with the team leader to edit the final scorebook. (This is typically a returning examiner or an examiner who has good writing expertise).
- **Back-up Team Leader.** Fills in if a team leader cannot fulfill responsibilities. Keeps close tabs on the assessment process in case he/she needs to step in. This may be the scorebook editor.
- **Results Guru.** A team member who easily makes sense of category 7 and can help the team evaluate results during the site visit or during the consensus meeting – both from a category perspective and from a holistic viewpoint. This is typically someone who likes numbers, graphs and auditing tasks.
- **Criteria Cop.** Keeps the team focused on the Criteria requirements . There will be feedback comments that unfortunately do not reference the items in the criteria (it always happens).

- **Time Keeper**. During team meetings and site visit, keeps the team on track to complete the task within the allotted schedule.

For smaller teams, an examiner may have more than one role.

You may want to have team co-leads (Team Lead and Backup Lead) with different duties. The lead (you) manages team meetings, progress checks, and delegation issues (only reading the application and making personal notes). Your backup team leads (sub team leaders) could focus on key themes, category owner/backup assistance and consensus facilitation.

6 Assign Category/Item Leads

You will assign Item leads and backups **after** your team completes its Independent Review. Don't do this too soon – you want all members to work on every item before they focus on their assigned items. You have access to three resources that will help you make these assignments: the examiners' category preferences (captured earlier), their biographies and their Independent Review work. A review of examiners' individual scorebooks will give you insights into their strengths as category leaders. When assigning items, try to give new examiners their Item preferences because these are the Items they feel most comfortable and confident working with. Have them serve as backups on their weaker Items or the other Item in the Category. Once you determine process Item leads, assign corresponding results items, as well (note that not every results Item corresponds with a process category/Item).

The independent review (IR) includes assessing the entire application. After the IR is completed by all, an assignment for consensus is made. The assignment being examiners each assigned at least one process item and the related results item for presenting at consensus.

Results Items that correspond with Process Categories

Process Category	**Process Items**	**Corresponding Results Item (Category 7)**
Category 1 *Leadership*	1.1, 1.2	item 7.4
Category 3 *Customer Focus*	3.1, 3.2	item 7.2
Category 4 *Measurement, Analysis*	4.1, 4.2	item 7.5
Category 5 *Workforce Focus*	5.1, 5.2	item 7.3
Category 6 *Operations Focus*	6.1, 6.2	item 7.1
Category 2 Strategic *Planning*	2.1, 2.2	

Chapter **2**

Independent Review

You and your team should start the first steps of independent review (reading the full application and your key factors inputs.) as soon as the KYCPE application packet arrives and after you and your team members have determined that there is no conflict of interest. Much of your independent review work will overlap with the scheduling and team leader tasks outlined in the previous chapter. It is key that you set a team schedule in the earliest stages of the assessment process.

http://www.kycpe.org/examiner-resources

Find resources referred to in bold on the Examiner Resource page of the KYCPE website

Key Factors

The first steps of independent review are to read the full application. Team leaders should have already entered the key factors into the Workbook. The Workbook used should be the new one.

Item Evaluations

Encourage team members to complete their work on time. Remind examiners to use you as a resource if they get stuck. If team members are slow getting started, ask how you can help. Be sure to communicate with each team member in the method preferred by that member.

Remind everyone to:

- Start all comments with the Item number (e.g. 1.1a(1)
- Provide a Strength and OFI feedback ready comment. If they believe it is a very strong Strength they should note it with a ++ (e.g. ++1.1a(1))
- Use the NERD format. The nugget must be criteria based.
- Score all items in the top left corner on the worksheet
- Put initials on the top left of the 1.1 Tab by typing over the words "your initials". The initials will automatically be replicated on all other tabs. This helps a lot when all the team members work is compiled.

Chapter **3**

Consensus

A face-to-face consensus meeting helps build the team. A conference call meeting can be effective if well planned for and managed. See the many resource aids under Examiner Resources, Consensus Review.

Before the Consensus Meeting

Have the team members send their workbooks to you for processing. Combine all the feedback comments and review comments into one file per the instructions that are at the top of the compilation tabs. Send the merged feedback comment master list from the workbooks back to the team members so that they can synthesize the work for their assigned items. Encourage item leads and backups to work together.

Remind team members to follow these steps:

1. Review the Criteria requirements for the assigned item(s)
2. Assign 4 – 6 key factors from the team's master list
3. Review team members' Independent Review workbooks when needed
4. Using the Consensus Scorebook, synthesize team members' observations about 6 nuggets (about 4 for level 2). *Develop and document a rationale for the choices that were made that can be shared at consensus.*
5. Capture observations not used into "Below the line" observations or mark them in red and indicate they are not being used.
6. Draft an appropriate number of feedback ready comments <u>based on the nuggets</u>. *Balance strengths and OFIs consistent with the score.*
7. Score the item based on your consensus review – *score should reflect the balance of comments*
8. Revise comments based on feedback from your backup. *Provide feedback to your partner.*
9. After revising comments, share your assigned category/item with your team members per your team leader's directions (the team lead may want to do this to make sure they are all done). Do this before the consensus meeting.
10. Prepare to present your items during the team's consensus meeting

Best Practice

The consensus meeting will be more effective and efficient if you have the team members share their work with the entire team prior to the Consensus meeting. This allows team members the opportunity to read and consider the recommendations the other team members are proposing and be prepared to discuss any item.

Consensus by Phone

In some cases, a team member or the entire team may need to participate in the consensus meeting via teleconference, so be flexible. **A potential resource for conducting a teleconference is FreeConference.com which offers up to 6 hours of free conference call time.**

If you must conduct the consensus meeting by telephone, be sure the call is structured. Provide team members a format or **Consensus Script** to use for their reports; and use a round robin approach to ensure consensus after each discussion point and inclusion of all team members.

Some team leaders use Google Docs during consensus calls to keep everyone on track. If you do this, be sure you are familiar with Google Docs before the call.

Meeting Location and Time

Location - This is up to you. Some team leads do it at their house. Some find a room at their work location. Regardless you will need:

- Table space and chairs
- Some coffee and drinks
- Some snacks
- A light lunch plan. You might want to ask for team ideas, allergies, etc.
- Power for everyone's computer
- A large monitor (or Google Docs) or hardcopies so everyone can see the comments being discussed.
- A speaker phone connection for those that may have to attend remotely

Time- Start early, 8 or 8:30am (consider travel time). The meeting will take 4 to 8 hours. "It depends" on team preparedness, communication and discussion skills. This is also team bonding time. It is hard to rush Consensus and Key Themes (and Site Visit Worksheet) discussion.

Meeting Day

Although team members will be leading different portions of consensus, you are responsible for the overall meeting. Start the day by defining/reviewing objectives, agenda, schedule, and ground rules.

See the **Sample Consensus Schedule** for ideas. It's also nice to start with a simple ice breaker. An easy one is to ask examiners to introduce themselves and offer what they think will help the group stay on task during the meeting.

Consensus Reports

Once the pleasantries are over, it's time to get down to business. Using their prewritten reports, each examiner will lead the discussion of his or her assigned categories/items.

Best Practice

An effective way to ensure everyone has an opportunity to provide input is to have only one person at a time talking. Make this a rule. Go around the room in a Round Robin technique to get comments. Remember it doesn't have to be perfect. "Can you live with it".

The team leader or an experienced examiner should handle the first report-out to demonstrate the process. During these reports, the scorebook editor should capture ideas for key themes. The criteria cop must check for criteria language in the Nuggets. The timekeeper must provide a method to key everyone aware of the time.

Consensus is not the time for wordsmithing. In fact, make this a ground rule. The consensus meeting should only address comments that are *not* used if the team member who made the comment wants to discuss it. Agree on the "meat" of what should be included; the item leader can finalize the comment **after** the meeting. The prudent use of ELMO (Enough, Lets, Move, On) can be used to keep the team on schedule.

Timekeeping

As you develop a consensus meeting agenda, we suggest you schedule 20 minutes per item with a list of what the team should and shouldn't cover. If you are conducting a site visit, schedule 45 minutes for site visit issue discussion and prepare **Site Visit Issue Worksheets**. During this time, include a review of what to expect at site visit and the things that examiners should NOT say and do. You can review the KYCPE **Rules of Conduct and Code of Ethical Standards** in the **Examiner Handbook** as a refresher.

In order to manage time and stay on task, keep a clock running where everyone can see it (i.e., on an iPad or laptop) if you are meeting in person. .

Key Themes

Make sure you allow time on the agenda to discuss and agree on Key Themes. Ask team members to be thinking about appropriate key themes as the consensus discussion takes place.

Wrapping up Consensus

Before the consensus meeting closes, identify a deadline for finalizing consensus comments. Use the dates from the KyCPE website and earlier in this document.

The team lead may have to make final edits from everyone's consensus items so that the report, including key themes sounds like "one voice", has no contradictory comments, etc..
The team appointed scorebook editor should give the Final Feedback Report a final review to ensure that it complies with KYCPE guidelines before it is sent to the ERB.

Chapter 4

Site Visit

Site Visit is your team's opportunity to see the applicant at work. It provides you an opportunity to clarify and verify; and an opportunity for the applicant to tell its story. Your team is there to learn and help the applicant improve – not put it through the wringer.

Site Visit Training

When a team is assigned to an applicant that will receive a site visit, specific training will be provided to the team by the Kentucky Examiner Team from KYCPE.
The training will provide detailed instruction concerning how to conduct a site visit, including the documentation that is needed.

Site Visit Issues (SVIs)

During the consensus meeting your team will agree on site visit issues. Category leaders should come to the meeting prepared to recommend SVIs for their items. There should be an SVI for every OFI(clarify) and ++Strength (verify). When SVIs are identified, discuss site visit issue strategies and develop a list of questions to present to the applicant. It is helpful to phrase site visit **questions** as statements. Be specific in regards to what you need to see. Determine what **material should be reviewed** and, if applicable, decide what on-site meetings and **with whom**, individual team members will attend. Also, it is okay to use the words "verify" and "clarify" when referring to strengths and OFIs in order to prepare the applicant for your visit. Remember, site visit issues should be relevant to the applicant. They are important points that need to be verified or clarified on site; they are related to key factors; and they must be linked to comments. You may consider using a list of interview questions that all team members ask during walk-around interviews (a sample set of **Walk-Around Questions** that will be provided to you in advance.). Select pre-set questions based on site visit issues that cut across categories.

Prepare Examiners for Site Visit

An important aspect of the consensus meeting is preparing team members – especially new examiners – for the upcoming site visit. Train team members to treat the site visit like a sales call – NOT like a police interrogation. Tell them to practice active listening and let the applicant tell its story. Use the site visit to clarify, verify, and learn all you can about the applicant. Ask them to review **Site Visit Do's and Don'ts** and **Site Visit Interview Tips and Techniques** that you will be provided in advance of the site visit.

Wrapping up Consensus

After the consensus meeting, category leaders will finalize their **Site Visit Issue Worksheets** (which will be provided to you in advance). These worksheets, including strategies, should be sent to the team leader. They will be included in the Consensus Scorebook that goes to the KYCPE judges. That said, be sure to identify a deadline for completing SVI Worksheets before the consensus meeting breaks up. If you are in a time crunch, you may send site visit issue topics to the applicant *before* Site Visit Issue Worksheets are finalized. Past team leaders have found this to be an efficient sequence for consensus wrap-up:

1. Within 48 hours of the consensus meeting, team members finish their SVI Worksheets and deliver to team leader, so leader can provide feedback.
2. One to two weeks before site visit, team leader sends site visit questions, request for documents and request for meetings with specific interviewees to applicant. DO NOT send the SVI Worksheets themselves to the applicant.
3. Team members finalize their consensus comments at least three days before site visit and make a last review for what needs to be clarified and verified. Most importantly, get moving as soon as the consensus meeting is over, and make sure your team members know the deadlines they are expected to meet.

Coordinate

Decide when and where the team will meet for a final coordination meeting before going on site. Teams usually meet the night before the site visit, or for breakfast the morning of the first day. This is normally a short meeting. Arrive together for the site visit, and try to fit the group into as few cars as possible. This cuts down on last minute logistical issues and helps if there are limitations on parking.

Pre-Site Visit Checklist

❒ **Develop a tentative site visit schedule**, incorporating time for follow-ups and unplanned needs. Example **Site Visit Agendas** will be provided to you in advance.

❒**Send SVIs and tentative schedule to applicant.** At least one week before your site visit send the applicant your tentative site visit schedule, along with your team's site visit questions. Offer to talk with the applicant by phone to clarify any questions that may arise from these materials.

Sending the site visit questions at least a week before site visit is a firm commitment and every effort should be made to meet it. The applicant plans pre-site visit activities around this material. A back-up plan (or two) is needed in case information from team members is late.

Best Practice

Send your applicant site visit questions **two** weeks prior to site visit if possible. The earlier you prepare the applicant, the more productive your site visit will be. It is important to have regular contact with the applicant, so they do not become overwhelmed when they receive their site visit questions.

FYI

Examiners can develop additional **Site Visit Issue Worksheets** after site visit questions are sent to the applicant.

❒ **Contact the applicant.** The week before your team's site visit, finalize the site visit schedule and other site visit details with the applicant. Keep your team informed of any changes (an easy way to do this is to cc: team members on email correspondence with the applicant).

Pre-Site Visit Coordination Meeting

The first day of your site visit (before going on site) schedule some time to review final details with the team. This doesn't have to take long – you could do it over breakfast or coffee. The meeting gives you an opportunity to convene as a group away from the site, and review the site visit plan and team objectives. Check in, making sure everyone has what they need. Bring extra copies of **Site Visit Issue Worksheets** and other necessary information

Best Practice

Encourage team members to review the applicant's Organizational Profile before going on site to refresh their memories about the organization.

Site Visit Introductory Meeting

As team leader, you will lead the introductory meeting with the applicant on the first day of your site visit. You will be provided KYCPE organization **presentation material** by KYCPE in advance of the site visit. During the meeting, review the purpose of your visit, your team's schedule, ground rules and expectations. Answer questions regarding KYCPE and the assessment process. Provide time for an opening presentation from the applicant and a tour of the site. Prior to the site visit, reach agreement with the applicant on the length of this presentation and tour (typically around one hour for a three-day site visit, less for a two day visit). Walking around the site allows the applicant to become more comfortable with the team and the team to become acquainted with the facility, the people, the company culture and lingo.

Site Visit: Best Practices

As you launch into the nuts and bolts of your site visit, consider implementing these best practices collected from KYCPE's team leaders over the years:

Set the tone. In the pre-site visit meeting, ask the team "When it's all over, what do we want *them* to think of *us*?" Each night revisit this question and ask "where did we fall short today?" This will help keep the team focused on helping identify improvement opportunities for the applicant vs. conducting an audit.

Have all team members sit in/take notes for category 1. This gets all the team members on the same page. Plus, some of your SVIs for later categories may be answered, which will save time in the long run. One team leader likes to include all team members in this first meeting by assigning each team member to ask one of the pre-determined category 1 questions.

Monitor the category sessions. During the site visit, category or Item leaders should lead the meetings that deal with the evaluation of their categories. As team leader, you should keep abreast of how these sessions are playing out. Emphasize the importance of team members starting meetings with applicant personnel when they said they would – it shows respect for our customer.

Schedule and lead team caucus sessions. Throughout the site visit, your team will need to schedule time to compare notes and discuss findings. These meetings should be incorporated into your site visit agenda. Guide these sessions so they are as efficient as possible, and make adjustments to the schedule and individual assignments based on what has been learned. Are team members clearing OFIs? If so, have "new" OFIs been identified? Remember that the applicant expects the examiner team to help identify its gaps.

Make use of your team's results/category 7 guru. Ask this team member to help review updated data and information provided by the applicant at site visit.

Assign a team member to "follow" the key themes.

The purpose of this is to have someone (often the scorebook editor) focused on validating, adding to, and revising the key themes using the most current information.

Monitor conduct and ethical issues. Make sure the **Rules of Conduct and Code of Ethical Standards** are being followed.

Lead evening review sessions. Make necessary adjustments to the schedule and individual assignments based on what has been learned. During this meeting, have each category lead take everyone's notes and quickly compile the SVI findings. (The SVI Worksheets may be finalized later.) Also, take this time to develop follow-up questions for the next day. It doesn't hurt to begin work on the Final Scorebook during these sessions.

Be aware of the team's biorhythms. One experienced team leader has noticed that on a three-day site visit, the team's energy takes a dip the evening of the second day. So he holds a brief (30 minute) team meeting the evening of day 2 and asks just one question: "What else do you need to know?" Then he dismisses the team to relax and rest up for day three.

Meet daily with the applicant. After the first day of your site visit, arrange to meet briefly one-on-one with the applicant's designated contact person. Use this time to touch base, review open issues, clear up any misunderstandings, and ask "Have you had the opportunity to tell your story?" Based on feedback from the applicant, make adjustments to the next day's schedule to ensure that the team's work adds value and meets the applicant's expectations.

Use the Site Visit Interview Summary. Keeping up with who is interviewed can help you determine areas that have not been addressed.

Return Documentation. Make sure your team is completing the site visit **Document Log** (a copy will be provided to you in advance of the site visit). It is imperative that documents reviewed by the team are tracked and returned to the applicant. If a document is requested, you must make sure that it is reviewed and returned. Every time you receive a document, attach the business card of the individual who gave you the document to ensure it is returned to the right person.

Ending the Site Visit

Schedule a quick caucus with your team before you leave the site. Has all documentation been returned? Did you get all your questions answered? If OFIs have been cleared, have new ones been identified? After this caucus, gather the team and the applicant and hold the closing meeting.

Keep it short and sweet. Quickly review confidentiality rules: If a team member and someone from the applicant organization happen to run into one another (at the KYCPE Best Practices Sharing Conference, for example), the examiner will not acknowledge the applicant *unless* the applicant approaches first. Examiners aren't being rude; they're just following protocol to protect confidentiality! Once confidentiality is covered, describe what the applicant can expect next, answer final questions and say good-bye.

Final Wrap-up Meeting (immediately after Site Visit)

As you begin the wrap-up meeting, define objectives, agenda, and ground rules for this final meeting. You can use the same report format and ground rules as you did in the consensus meeting.

Although team members will be leading different parts, you are responsible for the overall meeting. This is an important time when your team will finalize its Scorebook.

The following should take place at the wrap-up meeting:

- ❒ Item leaders guide discussion of their items, including changes to comments and recommendations to change the scoring band.
- ❒ Complete **Site Visit Issue Worksheets**. They need to be sent to the ERB but they don't need to be beautiful. The ERB just needs to see what changed as a result of the site visit (since they weren't there but they have read the application)
- ❒ Agree on key themes.
- ❒ Complete **Score Summary Worksheet – Site Visit** and compare with Scoring Band Descriptors.

If category/item comments are not completed during this time, establish a deadline within two days of the wrap-up meeting. Appropriate team members can work in sub-teams to complete the **SVI Worksheets** and final category content, and then report to the entire team. **<u>Don't try to refine wording at the meeting, but make sure wording is factual and accurate</u>**. Agree on what should be included. The category or item leader can refine as he or she prepares the finished report after the meeting.

Best Practice

Don't allow more than two days for your team to complete work after site visit. Get buy-in on a deadline before you leave the wrap-up meeting.

Chapter 5

Final Steps

Putting the "L" in A-D-L-I

It is helpful to KYCPE and to you as you grow in your role as an examiner to take time during the wrap-up meeting to discuss the process.

- What went well and what did not go so well?
- What lessons have been learned?

Capture these thoughts in writing and submit them to KYCPE.

Producing the Final Scorebook

Review the Final Scorebook as soon as you receive the final category reports from all your team members, and alert the scorebook editor so he or she can also review the Final Scorebook. Remember to get an **hours worked estimate** from each team member (this is needed for non-profit organization requirements).

After compilation, the Final Scorebook needs to read like ONE person wrote it (instead of six different category leads). This is where the scorebook editor comes in handy, particularly if he or she has strong writing skills. With an editor's polish, the report will appear more professional and add value to the applicant and credibility to our organization. Notify the KYCPE office that the Final Scorebook is complete and send KYCPE your team's SVI Worksheets and all the other required documentation. This should occur within two weeks of your consensus (or site visit, if applicable). Use the **Final Scorebook Checklist** (see KyCPE website) to be sure you are sending KYCPE all the required documents.

Final Steps

Celebrate! After everything has been turned in to KYCPE, provide your team closure by thanking members for a job well done. This announcement should be celebratory in tone. You worked hard and have every reason to congratulate one another!

Complete Evaluations. Remind team members to complete the individual and team evaluations as directed by KYCPE in coming weeks. This is an important part of each examiner's continuous improvement.

Destruction of Documents

After the Awards and Best Practices Sharing Conference KyCPE will send the team a copy of the Final Feedback Report that has been delivered to the applicant. Shortly after, the team will be notified to destroy all examination materials, including the application, the Final Feedback Report you just received, and all work documents. We take these measures to protect the confidentiality of our applicants.

Chapter **6**

Keeping the Team Focused & Productive

What does it take to run a strong, efficient KYCPE team? This chapter contains some general advice from KYCPE's legacy of team leaders. Remember, if you have any nuggets to add, please send them to KYCPE!

- **Set Clear expectations.** Tell team members what you expect from them, as well as what they should expect from each other.

- **If necessary, allow team members to bow out early.** The unexpected can always happen – family illness, job change, etc. Tell team members to ask for help as soon as they realize they're in trouble. Remind sooner you're aware of a situation that can hamper the team's progress, the easier it will be to deal with it. Ask if they can stay through consensus meeting to avoid a $275 training fee charge.

- **Mentor new examiners.** Do so from the start to finish of your team's assessment process. Ask other experienced examiners on the team to help new examiners. Touch base often with new examiners to see how they are doing. Expect questions and coach new examiners with respect to the process, procedure, expectations, and performance.

- **Keep the team informed.** Keep the team posted about new information and feedback received from outside sources throughout the process. Even if you have no news to share, stay in touch. For example, if you are waiting for information from the applicant or another team member, let everyone know.

- **Be accessible.** You expect team members to respond quickly. Treat them with the same respect. Keep up with email and phone messages.

- **Handle the "outlier."** After a review of Independent Review work, you may discover a team member who is not on task, doesn't "get it," or doesn't seem to take his or her position on the team seriously. While uncomfortable, it may be necessary to do a quick "sanity check" phone call with this person to see if he or she is going to help or hinder the team as time goes on. In extreme cases, a team member may need to be asked to step down from the team. If you think this is the case, please notify

KyCPE of the situation, and, if appropriate, KyCPE will ask the examiner to make a graceful exit.

Remind the team that OFIs are NOT negatives. Do this during consensus and subsequent team meetings. OFIs are defined as "opportunities for improvement." And opportunities are always a *good* thing. Think of it this way: The applicant is participating in the KyCPE program, presumably, to improve processes and results. If the applicant is committed to the process, it may set its sights on someday earning a Level 4 Award – or even national recognition through the Baldrige Performance Excellence Program. The applicant needs to understand its OFIs to help it get there.

Help us Improve!

We would love to hear how you think we can improve this Team Leader's Guide. The effectiveness of team leaders has a tremendous impact on whether examiners – and applicants – stick with the KYCPE program to drive organizational improvement. Please help us build our knowledge base, improve the effectiveness of team leaders, and retain these valuable resources!

There are many other resource documents on the KyCPE website examiners resource page. Many of them will reinforce this document and/or add more details to the entire examination process.

Chapter 7

Level 1 Application Team Steps

In general, Level 1 applicants:
- Have few personnel and limited resources
- Are not familiar with the Framework or its terminology
- May be overwhelmed by the amount of information in the feedback report… particularly the OFIs and recommendations!

For these reasons KyCPE has a totally different process for level 1 that involves two facilitators that help the applicant understand the questions and what they mean, while helping the applicant understand what is expected for ADLI and LeTCI.