


EXAMINER TRAINING

Part 2: Independent Review

6-Step Process: Process Items

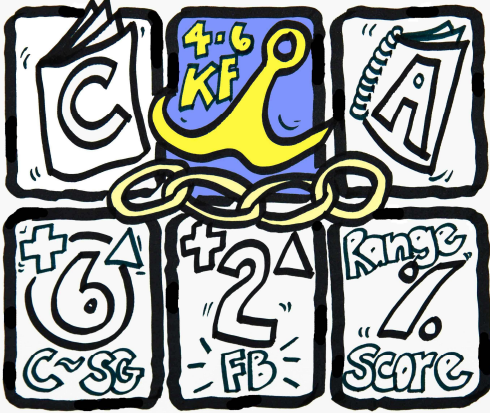
Step 2:
Determine 4 – 6
Key Factors
for an Item



THE ALLIANCE FOR
PERFORMANCE EXCELLENCE
Learn. Share. Connect.

1

Step 2: Key Factors



Select the Key Factors that are most important for
this applicant in this item

2

2019 LifeBridge Organ and Tissue Sharing Case Study

Key Factors Worksheet

Master List

P.1a Organizational Environment

Organizational Context 1 of 58 federally designated, nonprofit, regional organ/tissue procurement organizations (OPO) in U.S. for 20+ years. Serves 3.2 million people in federally designated territory (42 counties in North Dakota (ND) and South Dakota (SD). Located in Columbia, MT.

Product Offerings Main offering: facilitation of organ/tissue donation, through two work systems: organ and tissue. Delivery for both requires coordination of partners, collaborators, key suppliers via Partnership Model (P.1-2).

M/V & C Mission Live save and improve lives. Vision: Organs and tissues are always available. Values: compassion, team-work, honesty, quality, improvement. Culture: strong drive to meet mission. M/V is foundation for culture, basis for how applicant is managed.

Core Competency Mission-driven workforce. Care/compassion delivered by "human touch." Staff actions/behaviors linked to creating positive donation experience for donor family/collaborators.

Workforce Profile 150 employees, decentralized, segmented by work system/department. 10% leadership. Tenure: 20% 1 year or less, 41% 2-5 years, 21% 6-10 years, 18% 11+ years. 88% female. Ethnicity: 70% white, 20% African American (AA), 10% other (OSA 5%). No workforce reductions. No organized bargaining units. Expanding clinical/nonclinical staff due to increased donations. No volunteers. Key requirements: staff connection to mission (M/V), employee benefits, relationships with co-workers.

Assets Custom-built facility with critical care unit and fully equipped operating room (OR). Key clinical technologies/equipment: key ultrasound, typical OR equipment. Leases plane equipped with medical equipment. Technology: EMR system, reporting services for customized reports.

Regulatory Environment Mandatory: CAP, CMS, EEOC, FDA, DOL, IRS, OSHA, Voluntary AATB, AOPQ, UNOS/OPTN (Figure P.1-5). Local environmental/regulatory for the sanitation, scheduled team disposal local/state regulations.

P.1b Organizational Relationships

Org Structure Private, nonprofit 501(c)(3). Voluntary, community-based governance. 15-member BOD composed of hospital executives, physicians, donor family members. Key donor hospitals (partners) and transplant center (customers) representatives are appointed, allowing them to represent customer/partner requirements. CEO reports to BOD and directs ELT of CMIO, CHRO, CFO and CDO. LT = ELT: directors, managers, supervisors. BOD evaluates CEO performance. CEO evaluates direct reports, reports evaluate directors, directors evaluate managers/other staff members.

Customer & Stakeholder Key Requirements Organ transplant centers—maximize donation, information, competence. Tissue processors—maximize donation, information, accountability. Stakeholders/requirements: communities within service area—comply with legal, ethical, regulatory requirements while providing quality organ/tissue; workforce—connection with M/V, excellent benefits, co-workers, BOD—strategic planning, administration, financial management.

Suppliers, Partners, and Collaborators Suppliers/expectations: Guardian Ambulance, Virgil Brothers Charter, TT, Transplant Technologies, Columbia Cremation—accurate information, service quality, timely communication. Partners/requirements: 80 donor hospitals/clinical staff, nonhospital referral organizations (ME, hospice offices) within CSA—respect/variety, information, service quality. Collaborators/requirements: Donor families, compassion, life-saving of gift, honor donor, funeral homes—communication, service.

P.2a Competitive Environment

Competitive Position No traditional organ procurement competitors, regulated "monopoly." Must meet CMS national standards. CMS could award CSA to another OPO. Reassignment based on performance to standards. For TPO, donor hospitals required to report all deaths to applicant but may contract with another tissue bank. Applicant has tissue recovery contracts with at least 80 donor hospital partners. Partners with eye bank, VisionMax, ensure eye donation opportunities for families in CSA. 40% of 58 OPOs in population within CSA. Growth in donation must come from increase in medically eligible candidates within CSA, increase in number of families who authorize donation, or ID of nonhospital referral sources. Constraints of limited service area reinforce importance of maximizing donation for each donor.

Competitiveness Changes how staff affect competitive position. Affordable Care Act changes to OPO industry uncertain. Decided to focus on ability to improve and rely on mission-driven workforce (CC) to achieve cost effectiveness and efficiencies to place itself in strong financial position (SA) to manage future challenges. Key factors influencing success: mission-driven workforce that is highly motivated and engaged in saving lives (CC); strong relationships through partnering/collaboration.

Comparative Data Figure 4.1-4. National benchmarks available through multiple sources, lead time before availability can be many months. Comparative data more limited for tissue processors provide monthly feedback for saved results in scorecards. Rates on sharing comparative data with other OPOs, AOPQ, OPTN/DRTR, Tissue processors, BoardInfo, CHSIS, US DOL.

P.2b Strategic Context

Strategic Challenges Business—industry changes, operational—authorization, societal responsibility—increased registry, workforce—retention.

Strategic Advantages Business—donor/recipient satisfaction, strong financial position (7.9 text), operational—facilities and equipment, societal responsibility—Baird's business model, workforce—supportive culture.

Strategic Opportunities Registry enrollment & customer satisfaction.

Strategic Objectives Maximize donation & optimize stakeholder relationships.

P.2c PERFORMANCE Improvement System

Performance Improvement System Leadership System (Figure 1.1-1), Communication Process (Figure 1.1-3). Continuous process improvement environment. Baird's Criteria business model and foundation for performance improvement (PI). Operational improvements identified/implemented through GPP and Operational Management (Figure 1.1-1). Performance improvement staff part of Quality/Regulatory department. PIIS (Figure 4.1-1) used to monitor success. Plan-Do-Study-Act (PDSA) problem-solving methodology embedded in improvement processes.

Key Factors for each Item

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

3

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Selecting Key Factors

Select From Key Factors Worksheet

Base on Criteria Item Requirements

A tool to help Examiners focus on best feedback for in each Item

Organizational Profile & Criteria Items

What 4-6 Key Factors are most relevant to this Item?
(or – which Key Factors do you most want to keep in mind as you evaluate this Item)

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Item 1.2 Questions

1.2 Governance and Societal Contributions: How do you govern your organization and make societal contributions? (50 pts.)

a. Organizational Governance

(41) **Governance System** How does your organization ensure responsible GOVERNANCE? How does your GOVERNANCE system review and adjust the following?

- Accountability for SENIOR LEADERS' actions
- Accountability for strategy
- Fiscal accountability
- Transparency in operations
- Selection of GOVERNANCE board members and disclosure policies for them, as appropriate
- Independence and EFFECTIVENESS of internal and external audits
- Protection of STAKEHOLDER and stockholder interests, as appropriate
- Succession planning for SENIOR LEADERS

(42) **Performance Evaluation** How do you evaluate the PERFORMANCE of your SENIOR LEADERS and your GOVERNANCE board? How do you use PERFORMANCE evaluations in determining executive compensation? How do your SENIOR LEADERS and GOVERNANCE board use these PERFORMANCE evaluations to advance their development and improve the effectiveness of leaders, the board, and the LEADERSHIP SYSTEM, as appropriate?

b. Legal and Ethical Behavior

(43) **Legal and Regulatory Compliance** How do you address current and anticipate future legal, regulatory, and community concerns with your products and operations? How do you

- address any adverse societal impacts of your products and operations,
- anticipate public concerns with your future products and operations, and
- prepare for these impacts and concerns proactively?

What are your KEY compliance PROCESSES, MEASURES, and GOALS for meeting and surpassing regulatory and legal requirements, as appropriate? What are your KEY PROCESSES, MEASURES, and GOALS for addressing risks associated with your products and operations?

(44) **Ethical Behavior** How do you promote and ensure ETHICAL BEHAVIOR in all interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for promoting and ensuring ETHICAL BEHAVIOR in your GOVERNANCE structure, throughout your organization, and in interactions with your WORKFORCE, CUSTOMERS, PARTNERS, suppliers, and other STAKEHOLDERS? How do you monitor and respond to breaches of ETHICAL BEHAVIOR?

c. Societal Contributions

(45) **Societal Well-Being** How do you consider societal well-being and benefit as part of your strategy and daily operations? How do you contribute to the well-being of your environmental, social, and economic systems?

(46) **Community Support** How do you actively support and strengthen your KEY communities? What are your KEY communities? How do you identify them and determine areas for organizational involvement? How do your SENIOR LEADERS, in concert with your WORKFORCE, contribute to improving these communities?

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4-6 Key Factors are requested at the top of every Item Worksheet

2019 LOTS Case Study Item Worksheet—Item 1.2 Governance and Societal Contributions



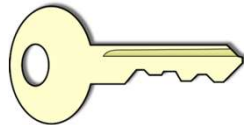
Relevant Key Factors

1. **MVV + C Mission:** We save and improve lives. Vision: Organs and tissues are always available. Values: compassion, teamwork, honesty, quality, improvement. Culture: strong drive to meet mission. MVV are foundation for culture, basis for how applicant is managed.
2. **Regulatory Environment Mandatory:** CAP, CMS, EEOC, FDA, DoL, IRS, OSHA; Voluntary: AATB, AOPO, UNOS/OPTN (Figure P.1-5). Local environmental/regulatory for fire/sanitation, biohazard trash disposal local/state regulations.
3. Voluntary, community-based governance: 15-member BOD composed of hospital executives, physicians, donor family members. Key donor hospitals (partners) and transplant center (customers) representatives are appointed, allowing them to represent customer/partner requirements. CEO reports to BOD and directs ELT of CMO, CHRO, CFO, and COO. LT = ELT, directors, managers, supervisors. BOD evaluates CEO performance. CEO evaluates direct reports, reports evaluate directors, directors evaluate managers/other staff members.
4. **Customer & Stakeholder Key Requirements** Organ transplant centers—maximize donation, information, competence. Tissue processors—maximize donation, information, accountability. Stakeholders/requirements: communities within service area—comply with legal, ethical, regulatory requirements while providing quality organs/tissues; workforce—connection with VMV, excellent benefits, coworkers; BOD—strategic planning, administration, financial management.
5. **Strategic Challenges** Business—industry changes, operational—authorization, societal responsibility—increase registry, workforce—retention
6. **Strategic Advantages** Business—Stakeholder satisfaction, strong financial position (7.5 text); operational—facilities and equipment; societal responsibility—Baldrige business model; workforce—supportive culture

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Key Factors – Hints and Tips

- All Key Factors do not have to be used in Items
- Some Key Factors may be used multiple times
- Can be changed at any time
- Process Variation
 - Identify Key Factors for all 17 Items

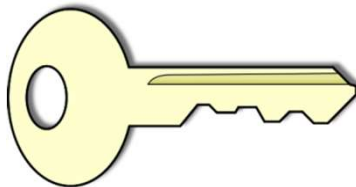


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Key Factors – Summary

Key factors are KEY for a reason

- Using wording from the Criteria Item Questions can be very useful.
- Envision what you would expect to see.
- Ask yourself – will this key factor make a difference?



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Review of This Module

Assignment:

Step 2: Choose 4 – 6 Key Factors for the assigned Item(s).

Next Module:



Step 3: Analyze the Application Item

