



EXAMINER TRAINING

Part 2: Independent Review


Topic 3: Evaluating **Results** Items

**Step 4:
Identifying and
Documenting
Strengths & OFIs**

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Analyzing a Results Item



Current & Past Performance →

← **Most Important Outcomes**

- ✓ Organizational Profile
- ✓ Process Items
- ✓ Criteria

← **Not Important**

2

Step 4: Develop Around 6 Total Strengths and OFI's

and Supporting Evidence



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Independent Analysis Worksheet Category Item: 7.4

Key Factors: (consider ~ 4-6) that are relevant to this item

1. MVV + C Mission:
2. Regulatory Environment Mandatory:
3. Org Structure:
4. Customer & Stakeholder Key Requirements
5. Strategic Challenges
6. Strategic Advantages
7. Workforce Profile

Key Factors from Step 2

Item #	Observations: What you think you know about the applicant's current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results to key organizational performance measures. To add rows, go to the end of the last table row and press the Tab key	Relevant Evaluation Factors (ADU or LeTCI)
7.4a(1)	Leader Communication (Fig 7.4-1) is steady; (-) is below top quartile benchmarks (Excel Employee Engagement) in each year provided (2016-18)	Le, C
7.4a(2)	+ Board Self Assessment (Fig 7.4-2) shows relative good performance to Boardinfo benchmark data provided. (-) Figure reflects adverse or mixed trends for all elements provided	C
7.4a(2)	+ External Financial Audits (Fig 7.4-2) have yielded highest rating of "unqualified" for each year (2013-2017)	Le
7.4a(3)	+ Regulatory & Legal Compliance Key Measures (Fig 7.4-3) have accreditation/certification from all voluntary accrediting bodies; compliance/ no issues with regulatory and legal mandates	
7.4a(4)	+ Ethical behavior: 100% of workforce & BOD is CCP trained	
7.4a(4)	+ beneficial trends in 2 of 4 Board Ratings of CEO (Fig 7.4-5) improved from 2016 – 2018 + Board Trust of CEO demonstrates a beneficial trend from 3.0 on the three point scale in 2018	

What do you think you know?

Item #	Observations: What further evidence do you need to see or understand about the applicant's current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results to key organizational performance measures. To add rows, go to the end of the last table row and press the Tab key	Relevant Evaluation Factors (ADU or LeTCI)
7.4a(1)	Is Leader Communication segmented by organizational units or work group. What is that segmentation?	I
7.4a(4)	Reported Corporate Compliance Hotline Issues (Fig 7.4-6) may have an unfavorable trend with 0 Complaints in 2014-15; 1 in each of 2016 – 18; and 4 YTD 2019. Is this a trend or an isolated occurrence?	T
7.4a(4)	Fig 7.4-5 – what are all of the elements provided. Only identifies Strategic Planning and Financial Management	
7.4a(5)	Fig 7.4-8 Deaths on Local Waiting List. Why is this trend dynamic? How does compare to other organ procurement organizations performance? Is this data segmented?	T, C, I
A(1, 3, 4, 5)	Results expected but not provided - Rounding for Outcomes (1.1a(1)) - Communication/Engagement with partners/customers - Audit deviation forms (indicated in 1.2b(1)) - Number of substantiated corporate compliance hotline issues - Recycling and reduction in energy consumption (1.2a(2), c(1))	I

What do you need to know?

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Evaluating Results

Results Provided Analysis Worksheet – Item number 7.X

Figure	Area to Address	Both Improving Trends & Good Levels	Improving Trends	Good Levels	Both Declining Trend & Poor Levels	Declining Trend	Poor Levels	Missing Data (S)	Inconclusive No or Mixed Trends (T) Performance Levels (Le)

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Example – Evaluating Results Provided

Results Provided Analysis Worksheet – Item number 7.4 2019 Case Study

Figure	Area to Address	Both Improving Trends & Good Levels	Improving Trends	Good Levels	Both Declining Trend & Poor Levels	Declining Trends	Poor Levels	Missing Data (S)	Inconclusive No or Mixed Trends (T) Performance Levels (Le)
7.4-1	A(1)						X*	S	LE: flat
7.4-2	A(2)			X		X			
7.4-3	A(3)			X					
7.4-4	A(2)			X					
Text	A(4)			X**					
7.4-5	A(4)		X						LE – no comparative. Orange & purple bars not identified.
7.4-6	A(4)					X			
7.4-7	A(4)		X						
7.4-8	A(5)								LE: No external comparative T: Mixed

*Levels below provided benchmark; however benchmark is trending adversely while applicant trend remains flat

**100% COI signed & CCP training

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Definition: Results Strengths & OFIs

Results Strengths

Outputs and outcomes achieved by the applicant that demonstrate desired performance in support of objectives, goals, or mission

Results OFIs

Outputs and Outcomes (or lack of these) achieved by the applicant that demonstrate performance not supportive of, or detrimental to its objectives, goals, or mission.

In the context of

- ✓ the Criteria [Including LeTCI and BOM]
- ✓ the applicant's Key Factors and *Processes* [Performance Important to the Applicant]
- ✓ The Scoring Guidelines [supports identification of maturity]

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Strengths and OFIs: Key Factors

2019 LOTS Case Study Item Worksheet —Item 7.4

Leadership and Governance Results

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, APO, UNOS/OPTN (Figure P.1-5). Local environmental/regulatory for fire/sanitation, biohazard trash disposal local/state regulations.
3. **Org Structure:** 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—Baldridge business model; workforce—supportive culture
7. **Workforce Profile** 150 employees, decentralized, segmented by work system/department.

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Strengths				
Relevant KFs	++	Strength	Evidence	Item Ref.
2, 5		Several law and regulation, ethics, and society results show good performance levels and beneficial trends. <i>Le, T</i>	<ul style="list-style-type: none"> Results for Regulatory and Legal Compliance Key Measures (Figure 7.4-3) show performance at the highest possible level. <i>M</i> Five consecutive "unqualified opinion" determinations for the applicant's external financial audit (Figure 7.4-4) <i>M</i> BOD Trust of CEO (Figure 7.4-7), which reached nearly 3.00 on a 3-point scale in 2017. <i>M, T</i> The percentage of action plans completed (Figure 7.4-9), which has been sustained above 85% for four years. <i>S</i> <p><i>NOTE this in Item 7.5 where question has been moved in 2019 Criteria</i></p>	a(2, 3, 4)
1, 3		Governance results for Board Self-Assessment <i>S</i>	<ul style="list-style-type: none"> (Figure 7.4-2) show performance better than the BoardInfo benchmarks in all four key areas for 2016–2018. 	a(2)

Item #	Observations: What you think you know about the applicant's current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results to key organizational performance measures. To add rows, go to the end of the last table row and press the Tab key.	Relevant Evaluation Factors (AEI or LEI)
7.4a(1)	Leader Communication (Fig 7.4-1) is steady; (1) below top quartile benchmarks (Excel Employee Engagement) in each year provided (2016-18).	Le, C
7.4a(2)	Board Self Assessment (Fig 7.4-2) shows relative good performance to BoardInfo benchmark data provided; (1) Figure reflects adverse or mixed trends for all elements provided	C
7.4a(2)	External Financial Audits (Fig 7.4-2) have yielded highest rating of "unqualified" for each year (2013-2017)	Le
7.4a(3)	Regulatory & Legal Compliance Key Measures (Fig 7.4-3) has maintained full accreditation/certification from all voluntary accrediting bodies w/ industry & compliance/ no issues with regulatory and legal mandates	Le
7.4a(4)	Ethical behavior: 100% of workforce & BOD is CCP trained	Le
7.4a(4)	Beneficial trends in 2 of 4 Board Ratings of CEO (Fig 7.4-5) (2016-18). All have improved from 2016 – 2018 Board Trust of CEO demonstrates a beneficial trend from 2016 – 18 and is close to the 3.0 on the three point scale in 2018	T, Le

Both Improving Trends & Good Levels	Improving Trends	Good Levels
		X
		X
		X
	X	X**
	X	

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Opportunities for Improvement				
Relevant KFs	--	Opportunity for Improvement	Evidence & Potential Impact	Item Ref.
4, 5	X	Some results related to the applicant's approaches to leadership, law and regulation, ethics, and societal well-being and support are missing. Propose this is significant due to the diversity of the examples and the limited number of Leadership and Governance results reported <i>I -- expected results not provided</i>	<ul style="list-style-type: none"> No results included for • Rounding for Outcomes • Leaders' communication/engagement with partners and customers • The number of deviation forms resulting from audits (indicated in 1.2b(1)) • the number of substantiated corporate compliance hotline issues • recycling and reduction in energy consumption. <p>Potential Impact: Monitoring results in these areas may address the societal responsibility strategic challenge of increasing registry</p>	a(1,3,4,5)
5, 7		Poor relative performance and no segmentation for satisfaction with leader communication with workforce. <i>C, I (segmentation)</i>	<ul style="list-style-type: none"> (Figure 7.4-1) performance against the Excel Employee Engagement benchmark 2016 – 2018 No segmentation for relevant workforce groups – work system, department, clinical, nonclinical <p>Potential Impact: Segmentation by workforce groups may help identify specific actions to improve the performance of leader communication (staff connection to mission, benefits, and relationships with coworkers) address the workforce strategic challenge of retention</p>	a(1)
3		Some governance results show adverse or mixed trends related to BOD requirements and to compliance. <i>T</i>	<ul style="list-style-type: none"> The BOD's self-assessment of strategic oversight and financial oversight shows declines from 2016 to 2018 (Figure 7.4-2) the other areas of self-assessment show mixed trends (Figure 7.4-2) Reported Corporate Compliance Hotline Issues (Figure 7.4-6) shows an increase from 0 or 1 in 2014–2018 to 4 in 2019 YTD. <p>Potential Impact: May indicate need to mitigate potential issues in perception of community-based board on things like following the mission, and financial, strategic & CEO oversight Need to address increasing compliance hotline issues to understand trend/potential spike</p>	a(2,4)

Both Declining Trend & Poor Levels	Declining Trends	Poor Levels	Missing Data (S) Segmentation
	X	X*	S
	X		

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Key Points from This Module

- **Use Worksheet to evaluate results provided**
 - Documents each Figure and Associated Text (LeTCI)
 - Provides picture of potential Strengths & OFIs
- **Strengths and OFIs in same format as Process Items**
- **Results Feedback focus**
 - Outcomes and Outputs achieved (or not achieved)
 - Demonstrate performance in support of objectives, goals or mission
 - In Context of Criteria and Scoring Guidelines

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Assignment and Next Steps

Assignment:

Step 4: Identify and Document Strengths & OFIs

Next Module:



Step 6: Determine the Score for the Item



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