2020-2021
Florida Sterling

Site Visit
Phase

Team Lead Handbook

Site Visit Preparation, Site Visit (Virtual or In-Person)**, and Post-Site Visit**

To contact the Florida Sterling Council for information or to comment, please call (850) 922-5316.
Inquiries should be addressed to:
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www.floridasterling.com

Site Visit Phase

Site Visit Preparation

Purpose

To prepare the team for an efficient, effective, and professional Site Visit.

Time Commitment

9-18 Hours

Customers

Applicant
Sterling Staff
Fellow Team Members
Judges

Key Duties

Mentor - Team Leader

Site Visit Preparation:
Issues, People & Documents, Questions

Applicant Communication

Results Calls: New Results
Site Visit Logistics
Site Visit Schedules

Examiner Assignments

Site Visit Worksheets
Interview Scripts

Prepare Site Visit Schedules & Agendas

Pre-Site Planning Meeting (Sun)
Opening Meeting (Mon)
Interviews (Mon – Tue)
Daily Executive Debrief (Mon, Tue, Thu)
Evening Team Meetings
Site Visit Consensus (Wed, Fri)
Executive Out-Brief (Fri)

Key Deliverables

Document Request List
Interview Request List
Key Schedules & Agendas

Site Visit Phase

Site Visit Preparation "At-A-Glance"

- ❑ Transition **the Apex-Stratex system** to the Site Visit stage.
- ❑ Applicant Virtual Presentation and Roundtable
- ❑ Review *Site Visit Strat*egies and *Interview Scripts* and provide feedback to Examiners.
- ❑ Prepare *Interview Request List*.
- ❑ Conduct organization conference calls
- ❑ Prepare Site Visit Schedules and Agendas: Applicant-Team Interview Schedules and Team Meetings.
- ❑ Update the *Project Plan*.

Site Visit Preparation

Continue Frequent Contact

At the conclusion of the Consensus calls with the applicant the team will have about two weeks to prepare for the Site Visit. Virtual Site Visit interviews will follow about the same process as the Consensus interviews with the Applicant.

Continue to communicate frequently with both the applicant and the team.

Applicant: Topics for the organization's Point-of-Contact may include, if not previously addressed:

- Updates or more detailed organization charts
- Organizational changes?
- Normal working hours; number of shifts and the shift hours
- If more than one facility, the name and address of each facility, the number of employees at each, shift times, etc.
- Union relationships
- Interview schedules, dates and times for the Opening Meeting and the Executive Out Brief, and who will attend

Team: Stay in frequent contact with your team during Site Visit Preparation.

- Provide the team information on the Site Visit length and agendas, interview schedules, post-call team meetings, and final Consensus.
- Remind them of the typical work hours for a Site Visit (8:00 a.m. to at least 10:00 p.m.) with interviews during the day and team call each evening.

Applicant Virtual Presentation & Roundtable

Immediately after the Consensus Phase there will be an opportunity for the organization to provide an overview or tour of their facility and respond to questions provided by the Sterling Office. This will be followed by a Roundtable discussion with the organization and the team. This virtual meeting replaces the Opening Meeting used in the past.

Interview Request List

After the team Consensus Meeting, collaborate with the Point-of-Contact to start scheduling Site Visit interviews.

Ask the Point-of-Contact to provide you with names and job titles where the team has identified a function for an interview – such as the "Strategic Planning Expert".

Site Visit Overview

At the conclusion of the Applicant-Team calls for Consensus, each Examiner must prepare a Site Visit Strategy.

- Provide a brief Site Visit review – enough for Examiners to understand the basic Site Visit activities and the time commitment.
- Use the sample agendas provided for typical work hours. This ensures the Examiners understand that the Site Visit requires long days.

Conduct Site Visit

It is important that all Examiners understand how to develop Site Visit Strategy within **Apex-Stratex** to create the *Interview Scripts*.

Site Visit Phase

Preparation Training	• Consensus Comments must be addressed (verified or clarified and amplified) during Site Visit. • Discuss how to synthesize Strength and OFI comments into a Site Visit Strategy that focuses on the vital few versus the trivial many. • Examiners should complete at least a draft strategy for all issues/comments in their assigned Items within a few days. • Review Examiners' work to be sure that everyone understands the process. • Examiners will use the **Site Visit Issues** within **Apex-Stratex** to create and document the strategy. • The Results Lead will continue to assist Process Category Leads develop questions to validate the correlation between process comments and results. • After Interview Scripts training, have Examiners develop questions using the strategies they developed. • Discuss how the *Site Visit Schedule* is prepared and how to base interview scripts on the proposed schedule – longer interviews the first day and shorter interviews the next day(s).
Pre-Site Visit Team Planning Meeting	Determine what topics need to be discussed in the Pre-Site Planning Meeting and prepare the agenda. • Review Key Themes. • Prepare any last-minute questions for the organization. • Review the overall schedule, organization facility(s), and shift coverage.
Preparation Timeline	Set the timeframe to complete Site Visit Preparation – from the conclusion of Consensus to the start of Site Visit will usually be 1 or 2 weeks prior to Site Visit. Allow time for: o Team Lead / Backup to review and provide feedback, and o Work with the organization's Point-of-Contact to set up interview schedules.
Site Visit Strategies & Questions	Site Visit Strategies must appropriately address the Consensus comments and Criteria. Check that all interviews and questions of the strategy can realistically be accomplished during the Site Visit. Check that the questions for each person to interview are appropriate to the comment, the organization, the strategy, and the person being interviewed. • Look for: o Open ended questions. o Questions do not "lead" the interviewee to a desired answer. o The order is appropriate to enable a drill-down from the general to the specific, as well as importance.
People to Interview	Ensure appropriate people will be interviewed. • The person appears to be the correct source to address the issue and strategy. • There is representation across the organization and at all levels (from senior management to frontline personnel).
Facility Location(s)	To ensure coverage of the entire organization, request the following information from the applicant's Point-of-Contact if you do not already have it: Name of each location that might be included for interviews. Hours of operation (different shifts); number and type of employees at each location and on each shift.
Worksheets and Files	You may want to make a copy – or file – of the Below-the-Line entries for a quick reference if you run out of OFIs during Site Visit. • Complete the *Executive Summary Worksheet* based on consensus. • The better the quality of the Consensus comments, the less rewriting will be required during Site Visit.

Site Visit Schedules

Site Visit Phase

Site Visit Schedules	Site Visits (Virtual or In-Person) will be two to three days depending on the size and complexity of the organization. • Work with the Point-of-Contact to schedule the Applicant Interviews based on the applicant's hours of operation. Typically interviews will start in the morning and align with the organization's opening and end at the end of the organization's day. • If there is more than one shift, be sure to schedule interviews with representatives from those shifts; this is especially important to check for deployment. • Check the org chart to be sure you include representatives from all departments as much as possible. • Try to include many of the organization's personnel that the team has not previously interviewed. • Schedule evening Team Status Meetings after each day of interviews; this is to briefly review findings and determine that strategies are on course to get the needed information.
Interview Schedules	Prepare interview schedules for the entire two or three days of the Site Visit. • Avoid multiple interviews with the same individual as much as possible • If Interview teams need to interview the same person, determine if one team can do the interview and include the few questions for another Examiner. • Make it easier for the organization to understand the purpose of the interview by providing some brief information about the Criteria, or process, that will be discussed during each interview.
Team Caucus	It is important to keep in frequent contact with the Examiner team; this includes caucus during the days of interviews and an evening status meeting. • Schedule time for team caucuses; just prior to or at the end of the lunch break may work best. Caucuses are usually scheduled for half an hour. • The team will use its own call/video platform. • It is critical that no one from the organization be on the call during team caucuses.
Evening Team Status Meetings	Schedule sufficient time between concluding interview and dinner break before starting the evening status meetings giving Examiners time to eat, rest, and prepare for the Status Meeting. The first night's meeting will probably be the longest. It is critical to ensure that issues are being clarified and determine if any changes in strategy, questions, and/or people to interview are needed.
Executive Brief	• You may want to schedule a brief conversation with the chief executive to go over the day's interview progress.

Review Examiner Preparations

Examiner Preparations	It is critical to review the strategy and interview questions each Examiner has prepared to ensure that all issues left after Consensus are addressed. Most remaining issues should be primarily to verify/clarify OFIs and the deployment of processes. • Pay particular attention to the strategy and interview scripts developed by newer Examiners, as the preparation process can be difficult for those who have not yet done a Site Visit. • Do not assume that all Examiners have Site Visit experience; some returning Examiners may not have been on a Site Visit. • Provide feedback to each Examiner. In the **Site Visit Issues** within **Apex-Stratex**, there is a text box for Team Lead Notes in which to provide feedback to the Examiner.
Strategy Review	Ensure strategies appropriately address the Issue and the related Consensus Comments and the Criteria.

- Check that strategy components can realistically be accomplished during the Site Visit timeframe.
- Every person type has a separate script (CEO, manufacturing managers, financial managers, frontline supervisors, teams, frontline employees).
- People to interview represent various levels, departments, and shifts (if appropriate) to cover the breadth and depth of the organization.
- Ensure the people to be interviewed appear to be the correct sources to address the issue and strategy.
- Questions are appropriate for the person to be interviewed (Manager versus a Technician).
- Questions do not stray from the issue or criteria.
- Questions are open-ended and related to the Issues, Criteria, and Key Factors.
- The number of questions is appropriate for the length of the interview.

Sample Site Visit Interview – Planning Guidelines

- There is no guarantee examiners will interview exactly who they want, when they want. Work with the Point-of-Contact to prepare the best schedule for all.
- Request that examiners refer to the Organization Chart in the application to understand the organization's structure and department terminology. Have them request the employee type to interview and include the location/department if it is important to their strategy.
- Do not schedule interviews during time slots used for Team Caucus, lunch, and Deployment Questions.
- Schedules will change; remain flexible.

Sample Interview Plan

Day-1 Interviews

- **Senior Leader Meeting:** The Team Lead may schedule time to meet/interview the organization's senior leaders with the entire team; the Category 1 Lead will conduct the interview.
- **Interviews:** Following the interview with senior leaders, Examiners will conduct individual interviews mostly with 2nd level management.
- **Schedule**: Hour-long time slots if you need them (30 or 45-minute if you don't) to verify / clarify processes.

Day 2 Interviews

- **Interviews:** Complete verify / clarify all Item issues.
- **Schedule**: 15 to 30-Minute time slots.
  - Schedule interviews with 3rd shift (in the early am) and/or 2nd shift (late afternoon).
  - The team will do deployment questions at 3:00.
  - Try to leave at least one "open" slot in case you need an unplanned interview.
- **Interview Topics**: Primarily to get additional process information and interview first-levels of management and employees in key processes

Day 3 Interviews

- The last chance to interview; this is the schedule most likely to change.
- **Interview Topics**: primarily for missing details – tie up loose ends – and deployment.
- **Schedule**: 15-minute time slots (if needed).
  - Team Caucus and Lunch at 12:00. No interviews scheduled after lunch unless there is some significant, "Oh no, I forgot!" situations.

Sample Team Schedules & Agendas

Interviews are on the Applicant's platform / Team Caucuses are on the Team's platform
Interviews are primarily to get recent examples and thoroughly clarify OFIs
Interviews may be scheduled in any order and may be shorter or longer as needed

Day-1

Site Visit Phase

60-minute interviews (or less as needed)

Time	Day-1
8:00 – 8:30	Opening In-Brief (virtual)
	Interview / Topic (Applicant's platform)
8:30 – 9:30	Category 2: Recent changes to the SPP process Processes used to address strategic challenge #4
9:30 – 10:30	Category 3:
10:30 – 10:45	**15-Minute Break &** **Team Caucus** (Team's Platform)
10:45 – 11:45	Category 4:
11:45 – 12:45	Category 5:
12:45 – 1:30	**45-Minute Lunch &** **Team Caucus** (Team's platform)
1:30 – 2:30	Category 6:
2:30 – 3:30	Category 7:
3:30 – 4:30	Category 1:
4:30 – 4:45	**15-Minute Break &** **Team Caucus** (Team's Platform)
4:45 – 5:00	Executive Debrief: Team Lead and Backup

Day-2:
Morning 30-minute interviews
Afternoon 15-minute interviews & Deployment

Time	Day-2
	Interview / Topic (Applicant's platform)
8:30 – 9:00	Category 1:
9:00 – 9:30	Category 2:
9:30 – 10:00	Category 3:
10:00 – 10:30	Category 4:
10:30 – 10:45	**15-Minute Break &** **Team Caucus** (Team's Platform)
10:45 – 11:15	Category 5:
11:15 – 11:45	Category 6:
11:45 – 12:15	Category 7:
12:15 – 1:00	**45-Minute Lunch &** **Team Caucus** (Team's platform)
1:00 – 1:15	Category 1:
1:15 – 1:30	Category 2:
1:30 – 1:45	Category 3:
1:45 – 2:00	Category 4:
2:00 – 2:15	Category 5:
2:15 – 2:30	Category 6:

2:30 – 2:45	Category 7:
2:45 – 3:00	**15-Minute Break &** **Team Caucus** (Team's Platform)
3:00– 4:00	Deployment Questions

Sample Schedules – Team Evening Meeting

Day-1 Evening		
5:00 – 7:00 pm	**Individual Preparation and Dinner**	
7:00 – 11:00 pm	**Team Meeting**	
7:00 – 7:15	Record people interviewed (Department and Level / Title)	
7:15 – 7:30	Discuss Unexpected Changes / Surprises	
7:30 – 9:40	20 minutes for each Category and related Results. Many Comments (especially key Strengths) should be validated with solid examples; Review OFIs lost or gained. Need to look at other areas of the Criteria not covered by Consensus Comment? Issues for Tuesday	
	7:30 – 7:50	7.1 Results / Category 6 Status and Issues
	7:50 – 8:10	7.4b & 7.5 Results / Category 2 Status and Issues
	8:10 – 8:30	7.2 Results / Category 3 Status and Issues
	8:30 – 8:50	Results / Category 4 Status and Issues
	8:50– 9:10	7.4a Results / Category 1 Status and Issues
9:10 – 10:30	**Individual Work** Document Findings and Comment Impact Prepare for Day-2 Interviews	

Sample Evening Team Meeting Schedules

Day-2 Evening		
5 pm – 7:30 pm	**Individual Preparation and Dinner**	
7:30 pm – 10:30 pm	**Team Meeting**	
7:30 – 7:45	Record people interviewed (Department and Level / Title)	
7:45 – 8:00	Discuss Significant Changes	
8:00 – 9:40	Many Comments (especially key Strengths) validated with solid examples OFIs lost or gained Need to look at other areas of the Criteria not covered by Consensus Comment? Plan for unresolved issues	
	8:00 – 8:20	7.1 Results / Category 6 Status and Issues
	8:20 – 8:40	7.4b & 7.5 Results / Category 2 Status and Issues
	8:40 – 9:00	7.2 Results / Category 3 Status and Issues
	9:00 – 9:20	Results / Category 4 Status and Issues
	9:20– 9:40	7.4a Results / Category 1 Status and Issues
9:40 – 10:30	**Individual Work:** Open issues, Document Findings, Conclusions, Comment Impact, Prepare for final day, Write Site Visit Comments	

Sample Team Correspondence

Cc: Sterling Office

Team:

Thanks again for a great Consensus meeting! This note is to confirm the actions we discussed on our February 23 call and lay the groundwork for our March 10 call.

Complete the Site Visit Worksheets for your assignment. Read the Examiner Handbook, Site Visit Preparation, instructions and samples. Remember:

- Use the Criteria sentence from the related comments as your Site Visit Worksheet(s).
- Identify the people (by responsibility or position) to interview. Your consolidated interview list is due by March 10.
- Develop questions to verify and clarify including “all employee” and “all management” questions to check deployment.
- Include any documents that you may need to review on site. Your requests are due to me by March 10.
- It is helpful to document the page number and/or figure number that is the basis for the issue. This helps you to refer back to the application.

You are responsible for resolving and documenting all of your issues during our two days on site so make sure you can accomplish your strategy (allowing time for your interview partner). It will help if you prioritize your issues as high, medium, or low based on how the issue impacts the score.

If you believe the Lead for another category could verify a strength or opportunity for improvement in your category, indicate that on your Site Visit Worksheet so we can make sure it gets covered.

All Site Visit Worksheets must be completed no later than Friday, March 8, before 3:00 pm. I will be identifying cross-cutting issues, verifying that all issues from Consensus are covered, and looking at strategies to determine if they are reasonable and will result in verification or clarification of the issues.

Read the Examiner Handbook, Site Visit section, to be familiar with the expectations during the Site Visit.

Our next call is Wednesday, March 10 from 9:00-11:00 am., and the topics will include:

- Discuss redundancies or missing items in the Site Visit Worksheets.
- Review the agendas for the Site Visit.

If you have any questions as you prepare for Site Visit, please call me or our Backup Lead.

Team Lead

Site Visit

Purpose

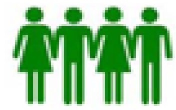
To verify and clarify the applicant's Sterling application.

Time Commitment

11-17 Hours
+ 7 Days

Customers

Applicant
Sterling Staff
Fellow Team Members
Judges



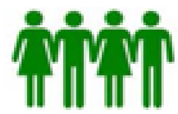
Key Duties

Mentor - Team Leader

Communicate Site Visit Requirements, Conduct, & Expectations.
Observe each Examiner during an Interview

Applicant Communication

Frequent Updates with Point-of-Contact
Daily Executive Debriefs



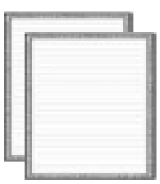
Examiner Assignments

Site Visit Worksheets
Findings Documented
Final Comments
Final Scores

Manage the Site Visit

Frequent Updates with Team & Applicant
Revise Schedules as Needed
Stay on Schedule – Interviews & Meetings
Facilitate Team Consensus
Prepare & Present Executive Out Brief
Prepare Sterling Intl. Best Practice

Key Deliverables



Feedback Report – Key Factors, Executive Summary, Comments, and Scoring
Site Visit Team Scoring Summary
Executive Out Brief
Sterling Best Practice

Site Visit "At-A-Glance"

Key Steps

- ❑ Facilitate Pre-Site Planning Meeting, review Site Visit conduct.
- ❑ Monitor interview schedules, facilitate team caucuses, and provide status to the organization's Point-of-Contact and Senior Leaders.
- ❑ Facilitate team evening meetings, track comment verification / clarification, amplification, and new examples.
- ❑ Prepare and deliver the Executive Out Brief.
- ❑ Complete *Comment Tracking*.
- ❑ Complete final feedback comments.
- ❑ Complete the *Team Scoring Summary*, and *Sterling Best Practice*
- ❑ Update Project Plan

Key Deliverables

- *Executive Out Brief*
- *Site Visit Feedback Report*
  Executive Summary, Process and Results Comments, and Scores
- *Team Scoring Summary*
- *Comment Tracking Worksheet*
- *Sterling Best Practice*
- *Examiner Feedback Evaluations*
- *Project Plan*

Site Visit Guidelines

- Keep the **organization's Senior Leader(s) informed.** At the end of each interview day, schedule a briefing with the Senior Leader to provide findings (general strengths & opportunities) and to ask if there are any issues or questions about the Site Visit. Remember, there should be no surprises during the Out Brief.
- **Do not give the organization any feedback**. With the exception of the above Senior Leader Briefings, do not give any feedback. If asked, "How are we doing?", your response should focus on the information-gathering process – "Thank you, everyone is cooperating, and we are getting the information we need".
- Keep the **organization's Point-of-Contact informed** on the latest interview schedule; work together to address changing interview needs.
- **Stick to interview schedules** as much as possible; remind the team how important it is. Late Examiners will disrupt the schedule for the remainder of the day. If an Examiner needs more time with an individual or team, work with the Point-of Contact to schedule a time.
- **Be flexible**. Schedules may change several times a day, especially in a large, complex organization.
- **Have some fun**! Site Visit needs to be meaningful and fun for all Examiners. A joke, a funny story, Examiner recognition (serious or silly) at the evening meeting. Never lose your sense of humor.
- **Keep track of people interviewed** each day, the areas/departments and levels (employee, supervisor, manager, CEO, etc.). Make sure the team is getting a true cross-section of the organization.
- Keep Examiners focused on the issues, Criteria, and Key Factors – the vital few versus the trivial many.

Deployment Interview Guidelines

- Remind Examiners:
  - First, pu.t the person at ease, emphasize that questions are not a test
  - Have a few direct questions to ask and allow the person to briefly explain their thoughts.

After Site Visit, do not have any discussions with the organization about the team's findings. If you see an employee after the Site Visit, you can be friendly but do not discuss any aspect of the Site Visit or the Feedback Report. If the organization starts asking questions, ask them to discuss the concerns or questions with the Sterling Office.

Site Visit Phase

Forever maintain organization confidentiality.
You can never tell anyone, including other Examiners, what organization teams you have been on or what you found during Site Visits.

Site Visit

Pre-Site Planning Meeting	At the start of Site Visit (virtual or in-person); the purpose of the planning meeting is to put final touches on Site Visit preparations – not begin the Site Visit planning process. • Ensure Examiners have a clear understanding of the expected meeting outcomes. • Review the overall Site Visit Schedule and expectations. • Review Interview Schedules to ensure all departments and locations are suitably covered for a good cross-section – where on the map, how many employees, what work shifts, what Examiner Interview Team will cover (where and when). The planning meeting should conclude as early as possible. Examiners must get dinner, review all requested documents, prepare for the next day, and get a good night's sleep.
Examiner Preparation	Ensure all Examiners actively participate in the planning meeting and are getting their questions answered. • If an Examiner is not participating or appears to be puzzled, use break time to talk to him/her. If it is a lack of confidence, provide encouragement; if it is lack of understanding assign a more experienced Examiner as a mentor. • Set expectations: "*on your own"* time is not relaxation time. It is to synthesize what was learned that day to be ready for evening meetings, and prepare for the next day**.**
Deliver Training	Deliver Site Visit training using the *Site Visit Training* PowerPoint file. • Review the requirements to update the Site Visit Worksheets. Ensure each Examiner understands how the Site Visit process provides the findings that impact the final Site Visit Comments. • Review the Site Visit guidelines in to ensure Examiners clearly understand appropriate Site Visit conduct and ethics. • Allow time to role-play the interview process. Role-playing teaches Examiners how to ask follow-up questions to probe for specific examples, and everyone learns from the feedback among team members.
Point-of-Contact	During the time with the organization's Point-of-Contact and Senior Leaders: • Review the schedule for any changes; resolve any last-minute issues or questions. • Verify employee shifts and lunch schedules and breaks.

In-Person Site Visit

In some cases, organizations may want to give the team a facility tour.
Politely decline unless you feel it will provide significant value to the team; remind them that team members will visit most organizational areas.
If the organization insists on a tour, minimize time and politely end the tour to stay on schedule.

Site Visit Guidelines

Site Visit Phase

Opening Meeting	The Opening Meeting for the Sterling Team is a brief (10 -15 minute) start to the virtual Site Visit process. The Team Lead will … • Use the *Site Visit In-Brief* PowerPoint to briefly cover the Site Visit process. • Emphasize the hours of effort the team and the Applicant already invested to this point. • Allow the senior leaders to ask questions they may have about the Sterling process.
Daily Brief	Daily briefings with the organization's leadership are intended to share information regarding the status of the evaluation and begin building a better understanding regarding the nature and the significance of the organization's potential opportunities for improvement - for both the team and the organization. • The briefings are most effective when using a two-way conversational approach rather than simply "reporting" opportunities. • To maintain focus on several key issues, the Team Lead should discuss with the Point-of-Contact that it is strongly recommended participation be limited to key Senior Leaders representing the organization. • It is ultimately up to the applicant who they wish to include in these discussions. • The Team Lead should include the Backup, and may include the Results Lead, as well as other "leaders in training" on the team. • To be effective, these discussions must be open, frank, and include the necessary detail to clarify the issues raised.

Day-1 & Day-2 Status Briefs	• The status debriefs should be two-fold.
	  ○ First, review the team's progress (i.e. how it is going or any issues or questions about the process).
	  ○ Have each Category/Item Lead to highlight findings that verified/clarified issues; and review the still unresolved issues to determine if the next day's interviews will resolve.

Day-3 Status	• Schedule this status review at the end of the last day on site to ensure the team has had adequate time to process information gathered, and there are no outstanding issues to resolve. • Site Visit Comments (Process and Results) should be finalized.
Daily Team Caucuses	Hold frequent team caucuses – usually 15 to 30 minutes. • Lunch and end of the interview day are the best times. The team will need to use its own communication platform. • Caucuses are used to share issues and information, to ask questions, to update interview schedules, and a time to get back on schedule. • The caucus provides a needed break for Examiners to help them catch their breath, update notes, straighten out papers, eat, and prepare for the next interviews.
Communicate with Point-of-Contact	As Lead, you must communicate frequently with the Point-of-Contact each day. • At the start of each day, review the schedule to ensure it is correct and that the people the team needs to interview are still available. • Review and update the schedule for the next day. • At the end of each day, discuss what is going well and what is not going well. You are responsible to ensure that the point of contact is satisfied with Site Visit progress, and feels comfortable the team is providing a thorough, accurate, and professional Site Visit.

Evening Team Status Meetings

A team status meeting is held each evening after the site visit interviews.
All status discussions must be held using the team's platform.
The entire team will meet as soon as they have had about two (2) hours to decompress, eat, get ready for the evening meeting, etc.

- The Team Lead will need to determine the amount of free time.
- Examiners review, and type their interview notes into the *Interview Script-Notes* file before the end of each day.

The Evening Status Meetings must include:

- Discussions of Findings, Conclusions, Comment Impact and new examples using the *Comment Tracking* file.
- Review what's closed, what's still open, issues or concerns.
- All feedback comments will be based on the *Comment Tracking* file content.
- It is critical that every Examiner be actively involved during discussions, documenting, and scoring.
- Summarize Findings and document Conclusions as soon as enough evidence is available.
- Review any documents gathered during the day's interviews.
- Review the next day's interview schedule and determine what each Examiner's focus will be.

Tips:

- Document a list of examples including process improvements. This will help avoid overusing one example and help ensure that the most appropriate example is used in feedback comments.
- Stay focused! Otherwise meetings may be extremely long. Follow your agenda and schedule.

Revisit Site Visit Scoring

As soon as an Item has Findings, Conclusions, and Impact for all comments, score the Item.
Changes to the Item scores are driven by findings at site.

- If significant OFIs are now strengths, the score would be raised.
- If significant strengths, and/or "benefit of the doubt" strengths, are now OFIs, the score would be lowered.
- Don't be afraid of the higher Scoring Ranges.
- If you are at the top end of a Scoring Range ask, *"What is keeping this from the next highest Score Range?"*
- To score above 50-65% there must be specific examples of Innovation.
- If the Score Range changes from Consensus to Site Visit, you must provide rationale for the Judges.
- Utilizing the **Evaluation Dashboard within Apex-Stratex**, ensure all team members have submitted scores for their respective items.

Update Interview Scripts and Schedules

If there are Site Visit issues / comments that are not yet adequately verified or clarified, the interview schedule must provide the opportunity to gather the needed evidence to close those unresolved Issues.

- Work with the Point-of-Contact to help determine if the interview schedule contains the appropriate experts, or if there are additional documents available that contain the necessary evidence to close out the issues.
- Following discussions, Examiners should review / edit *Interview Scripts* for the next day as needed.

Once the Sterling Team concludes the Site Visit (in-person, leaves the organization's site), no additional interviews or questions can be asked, and no additional documents may be requested.

Continue to Work as a Team

- Check to ensure that Examiners remain productive, and if anyone needs help.
- The evening meetings are a key team-building element.
- If an Examiner is not participating, or seems unsure, the Lead or Backup should talk to the Examiner to determine the level of help needed.
- Ask an experienced Examiner, or the Examiner who is the furthest along in his/her work, to help the struggling Examiner.

- Be sure individual Examiners do not work longer hours than the rest of the team. If someone mentions being up until 3:00 am when everyone else quit at midnight, that's a sign of difficulty.

Site Visit Consensus

Site Visit Consensus

Consensus during site visit is achieved primarily through the Evening Team Meetings.

- The majority of comments / issues should have completed Findings, Conclusion, and Impact by end of Day-1.

Final Feedback Comments

Revise final feedback comments as issues are resolved during site visit.
The team will draft all final feedback comments, as a team, using the **Revised Comments** portion of the **Site Visit Comment within Apex-Stratex**, to guarantee the final **Feedback Report** will pull appropriately from the system.

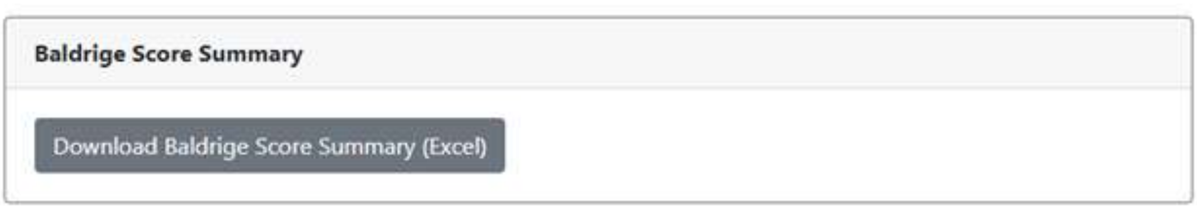
- Set a schedule and stick to it.
- Assign roles:
  - Executive Summary Monitor
  - Timekeeper
  - Criteria Monitor
  - Organization Champion
  - Scorekeeper
  - *So-What* Monitor (ensures diverse and appropriate Key Factor use).
- Ensure that all comments contain:
  - **Bold** Criteria,
  - specific examples that illustrate the strength or opportunity, and
  - that every Process Item OFI comment has a relevant so-what statement describing the potential negative impact.
- If the organization participated in the Sterling process in the last two years, the Team Lead will have a copy of a previous Feedback Report.
  - This cannot be shared with anyone other than the Backup Examiner.
  - It is used only as a sanity check to ensure the current evaluation comments and scores are reasonable compared to those from the previous report.
  - If there is a significant discrepancy, discuss it with the Sterling representative.
- Focus on a precise Criteria statement and specific examples to support the thought.
  - Restrict discussions to relevant information, agree on substance, and do not "wordsmith."
  - If one person is refusing to give up on a point, ask the whole team, "How do others feel about this?" to try to conclude the discussion.
  - You may allow each Examiner to lead / document, or you may choose the best "typist" to document.

The Team Lead is ultimately accountable for the accuracy and quality of the Feedback Report.

Final Scoring

Review the scoring and verify that the feedback comments reflect the scores.

- **Baldrige Score Summary** – download the scores as they are currently set in the system. You will be able to see the change from Consensus to Site Visit per item in the excel file.
- Once you have selected "Baldridge Score Summary" from the Evaluation dropdown menu, you are able to download the scores. Click on the "Download Baldrige Score Summary (Excel)" button. It is important to note Baldrige Score Summary is synonymous with Sterling/Oglethorpe scores.



Application Number: Second Test Applicant Demo — 10/8/2019 - 2:26 PM CST

SCORE SUMMARY WORKSHEET

Summary of Criteria Items	Total Points Possible Column A	Consensus Percentage Score 0–100% Column B	Consensus Score (A x B) Column C	Final Percent Score 0-100% Column D	Final Score (A x D) Column D	Scoring Band Column E
Category 1 (Process)						
1.1	70	35%	25	35%	9	
1.2	50	0%	0	0%	0	
Category Total	120		25		9	
Category 2 (Process)						
2.1	45	0%	0	0%	0	
2.2	40	50%	20	50%	10	
Category Total	85		20		10	

This is necessary when Category Items have individual ADLI or LeTCG factors that fall into more than one scoring range.

Update Key Factors and Executive Summary	Update the *Key Factors* (if needed) and **Key Themes** within **Apex-Stratex** to reflect any new information resulting from the Site Visit.

Key Themes

- Select "Key Themes" from the Evaluation dropdown menu.
- Type in the text box.
- Select whether it is a Strength or OFI.
- Select whether it is process of results related.
- Select a number in sort to depict the order you would like the themes to be presented.
- Click save.
- When generating the final feedback report, be sure to check the radial button to include Key Themes.

Step 3 - Select the **Report Sections** that will be included in your report.

Check the boxes for the report sections that you would like to include in the report.

☑ Include Original Comments — ☐ Include Revised Comments*

*Only valid for Site Visit.

☑ Include Key Themes — ☐ Include Key Factors

Executive Out Brief

Prepare Executive Out Brief

The purpose of the Executive Out Brief is to provide a preliminary, high-level summary of strengths and OFIs found through the examination process.

- The Executive Out Brief is intended for a broader audience and includes an overview of the Sterling process.
- The Executive Out Brief is presented in an hour or less.
- Use the *Site Visit Out Brief* PowerPoint as a template.

Executive Out Brief Content

The Executive Out Brief presentation should include the Key Themes, the key strengths, and the most significant opportunities for improvement from each Category – including Results.
However, the format of the presentation should not be by Category.
It should be presented similar to the format used for the *Executive Summary*.
This will require the team to identify, and the Lead to talk through the linkages identified by the team for both strengths and opportunities.
Make it "real" to the organization by telling the organization's story using the Criteria and the team's findings.

- Include:
  - Some examples in your verbal presentation, but not in the PowerPoint file.
  - Information on:
    - the number of employees interviewed.
    - locations interviewed (virtual) or visited (in-person),
    - any other information that conveys the Site Visit breadth and depth.
  - Some Site Visit stories / anecdotes / "Cool Quotes" that might personalize the Site Visit, provide some humor, and/or demonstrate what you really learned about them.
    - Before sharing stories, understand the organizational culture, as some organizations are very formal and may not appreciate the humor.
  - A reminder that the Feedback Report must still go through a final review and comments may change.
- Do not include:
  - Every strength or opportunity cited in the report.
  - Scoring Ranges.
  - Potentially controversial Opportunities for Improvement
  - Thank the organization for their cooperation and hospitality, thank the Point-of-Contact and other individuals that were a key part of the Site Visit by name

Deliver the Executive Out Brief

The Team Lead or Backup presents the Executive Out Brief.

The entire Sterling Team should attend but are not part of the presentation.

- Encourage the organization to continue on its performance excellence journey; give the organization confidence about the Sterling process.
- Explain the next step – the Feedback Report will be sent within about six (6) weeks and the organization will be notified by the Sterling Office if it is recommended to receive the Sterling Award.
- At the end of the Executive Out Brief, ask the Senior Leaders what questions they may have and/or if they heard any surprises.
  - Remember, the content should not contain any surprises to the Senior Leaders, as this is the purpose of the Daily Briefs.

The Executive Out Brief is not an opportunity to debate the feedback. It is intended to provide the leaders a final opportunity to communicate to the team an important point or fact that was missed or misunderstood.

If this is the case, the Examiner should assure them that it will be considered during the final Feedback Report edit.

Site Visit Completion

Complete the Sterling Best Practice

Reach team consensus on one (1) to three (3) candidate practices for Sterling Best Practice recognition.

The purpose of the Best Practice is to recognize role model practices that enable an organization to achieve superior results in key stakeholder areas.

The organization may still lack maturity or deployment in other management system components.

Use the following criteria when selecting candidate practices:

- ✓ The practice is documented, repeatable, measurable, and can be readily linked to a desirable result.
- ✓ The practice may have determined as a Double Strength (++) comment.
- ✓ If scored as a stand-alone item, it would attain a minimum score of 50%.
- ✓ The organization is willing to share the practice with external organizations.
- ✓ The practice would not reflect unfavorably on the Sterling Award, Sterling, or its processes.
- ✓ If applied by another organization, the practice would be reasonably assumed to produce a predictable result.

Complete the *Sterling Best Practice* form.

The Sterling Office submits final recommendations to the Judges for determination of recipients.

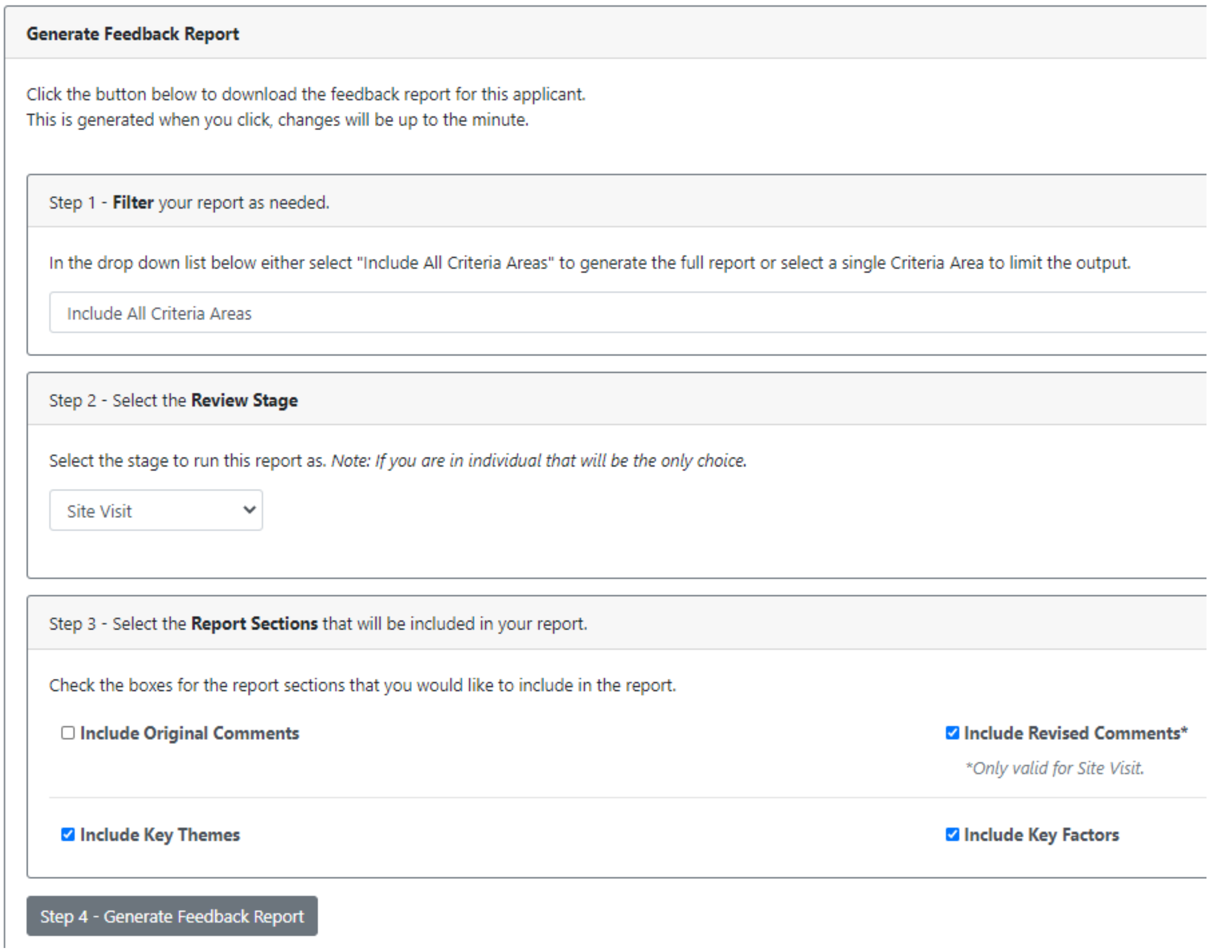
Examiner Notes and Materials

- Examiners must keep any notes, scripts, etc. to help answer Team Lead, Sterling Office, and/or Judges questions.
- After the Judges' Meeting, you must instruct all team members to shred any paper notes, etc., and delete all electronic files on their personal computers - including the all "Recycle" or "Trash" files.

Deliverables: Apex-Stratex Quality Check

At the conclusion of Site Visit, provide the following deliverables to the Sterling Office:

- *Feedback Report*
  - Select **Feedback Report** in **Apex-Stratex** from the Evaluation dropdown menu.
  - Include Revised Comments.
  - Include Key Themes.
  - Include Key Factors.
  - Click "Generate Feedback Report."



- *Executive In Brief* PowerPoint
- *Executive Out Brief* PowerPoint
- *Interview Scripts-Notes*

Site Visit Quality Check – as the Team Lead, you will want to ensure you complete a series of quality checks before ending the Site Visit.

- Utilizing the **Feedback Report**, ensure Site Visit level comment have been crafted for ALL comments and the team has utilized **Revised Comments** for the final comments.
- Utilizing the **Baldridge Score** Summary, save the scoring report showing the score changes from Consensus to Site visit.

Say Good-Bye

The team has been working together for several months, and in most cases, have become close friends. Provide some gesture of a genuine and warm good-bye to each Examiner.

Post-Site Visit "At-A-Glance"

- ❑ Prepare Examiner Feedback Evaluations.
- ❑ Mail a Thank You note to each team member.
- ❑ Be available to answer questions from the Sterling Office and/or Judges.
- ❑ Ensure the team shreds all applicant notes, and completely deletes all files when instructed.

Post Site Visit

After Site Visit …	Within ten (10) days after Site Visit, provide the following deliverables to the Sterling Office: • *Feedback Report-Final*, including the *Executive Summary* • *Key Factors Worksheet-Final* • *Sterling Best Practice* (there could be more than one) • *Examiner Evaluation* forms
Complete Examiner Evaluations	Your honest Examiner Evaluation is a critical step in the Sterling process. The Sterling Office uses your evaluation to: • establish balanced teams for upcoming assessments. • consider Examiners for promotions, or leadership roles. • determine Examiners who may not be asked to return. Complete the *Examiner Evaluation* form while on site. • It will take approximately 20 minutes per Examiner. • Print a copy of each Examiner's feedback • Be sure to delete the second page – the assessment for Sterling – before giving to Examiner. • Share your feedback with each Examiner face-to-face at the end of the Site Visit, and give them the signed form. • Examiners, particularly those new to the process, are anxious to receive some feedback on their performance. • Send the entire *Examiner Evaluation* form to the Sterling Office.
Be Available to Answer Questions	Maintain documentation you will need to answer questions from the Sterling Office and the Judges as they determine the Sterling Award recipient(s). • Turnaround time is critical when responding to questions from the Sterling Office during the review, editing, and judging processes. • The Examiner or Backup Examiner must be available and able to respond, as required. • You may need to call upon individual team members for clarification and/or input. • <u>Do not email</u> any questions resulting from the review, editing, and judging processes.
Send Thank You Notes	Write a personal note to each Examiner and send via mail service (not e-mail) as soon as possible after Site Visit • It is important to give Examiners encouragement and recognition for the hard work they put into the assessment process. • Do not email a message to the team as a whole.

Site Visit Phase

Shred and/or Delete Files	• After the Judges Meeting, the Sterling Office will send you a note to destroy all remaining documents and files related to the organization. • You must send a notification to every team member with instructions to permanently delete / destroy all files and documents, the date by which destruction must take place, and instruction to send you an email confirming that this has been done. • Once all team members have confirmed destruction of all files and documents, send an email to the Sterling Office, attaching all Examiners confirmation emails.

Site Visit Checklist

- ❑ Perform a quality check on the entire report prior to submittal to the Sterling Office
- ❑ Work with Backup Lead to prepare Feedback to each Examiner on the team
- ❑ Write a personal Thank You note to each team member
- ❑ Within 2 weeks of Site Visit; complete evaluations for each Examiner (call each Examiner to discuss feedback - two-way communication)
- ❑ Make yourself available for the Judges Meeting
- ❑ After Judges meeting, send email to team for final destruction of all notes and files.

Customers of Site Visit Deliverables

Sterling Office	Judges
Feedback Shell-Final Sterling will review, edit, approve, and provide to the Judges	*Interview Scripts-Notes*
Team Scoring Summary-Final Sterling will review, approve, and provide to the Judges	*Results Analysis Worksheet-Final*
Examiner Evaluations	*Final Applicant Results* (pdf provided by applicant)
Sterling Best Practice	*Comment Tracking-Final*
Site Visit In Brief PowerPoint	*Key Factors-Final*
Site Visit Out Brief PowerPoint	
Project Plan-Final	
Examiner Contact Information	

Sample *Executive Summary Worksheet – Final*

The Sterling Staff and Judges use the Executive Summary Worksheet to identify potential Sterling Award recipients. This Executive Summary will be sent to the organization with the Feedback Report after a Sterling and Judges editing process.

The Executive Summary Worksheet provides an overall summary of the key points in the evaluation and is an assessment of the key themes to be explored during Consensus and Site Visit. A key theme is a strength or opportunity for improvement that addresses a central Criteria requirement, is common to more than one Item or Category (cross-cutting), is especially significant in terms of the organization's Key Factors, and/or addresses a Criteria Core Value.

Key Themes

Process

The most important strengths or outstanding practices (of potential value to other organizations) are as follows:

- Senior leaders approach customer-driven excellence as a strategic concept through the Executive Management Committee's deployment of the organization's leadership system (TLS). The TLS, which includes strategic planning, communication, engagement, design, measurement, and improvement, integrates with the organization's continuous improvement processes and is measured through its key performance indicators. Through the TLS, senior leaders focus on changes in the regulatory environment, as well as on agility. The organization uses numerous methods to deploy its mission, vision, and values (MVV) and key leadership processes, including its Legendary Leader Development Program (LLDP) for identified leaders, and its pledge to deliver Legendary Service, which helps senior leaders guide the entire organization in alignment with the MVV.

- The organization's Performance Measurement System has evolved from measuring regulatory and banking metrics to including all measures that align with and measure the success of the Strategic Planning Process (SPP). Data are selected for running the business, changing the business, and measuring strategic action plans through a 10-step process, which begins with determining what needs to be known, how measures link with the SPP, and if there is alignment with the Enterprise Process Model (EPM). T-Dashboards for process-related metrics and Individual Performance Plans (IPPs) link to specific performance measures, and a Plan-Do-Check-Act approach ensures that measures are relevant and current, which supports fact-based decision making.

- The organization supports its strategic advantage of a loyal and stable workforce through several systematic approaches. For example, it encourages high performance through the Performance Management and Development Process (PMDP), which cascades to all associates, and the structured, organization-wide associate recognition program (TEAR), which includes rewards for innovation and community service. The 47 branches and the DirectServe Center are empowered to select measures best suited to their economic and market environment. Emergency buttons and cameras that videotape customer areas, as well as cash-dispensing kiosks, address workforce security, a key concern for associates at branches. Workforce climate is further enhanced via a flexible, competitive benefits package containing discounted services. The Associate Capability and Capacity Planning Process (ACCPP), which anticipates short- and longer-term human resource needs creates projections for training and development. Capability planning aligns and integrates with performance management and development, which has enabled the organization to increase workforce capability without increasing staffing levels.

- The organization focuses on customer-driven excellence through its listening mechanisms, systematic Voice-of-the-Customer (VOC) Process, and customer profiling matrices. Varied listening and learning methods collect actionable information from each customer group. These methods are organized by purpose and align with the primary business proposition to build multiproduct, lifelong relationships with customers. Associates use these methods to study customer behavior, anticipate customer needs, and manage customer relationships using the Customer Life Cycle Matrix and Customer Engagement Cycle to retain current customers, meet their requirements, and exceed their expectations at each stage. The Legendary Service Department analyzes data received through the organization's website as input for the strategic planning and continuous improvement processes. Annual focus groups with customers and non-customers help ascertain their requirements for financial products and services. These approaches support the organization's customer-focused culture and align with its core competency of understanding and exceeding customer expectations.

The most significant opportunities, concerns, or vulnerabilities are as follows:

- The organization does not have a systematic approach for the evaluation and refinement of many key processes. This includes processes related to leadership, such as approaches for innovation, enhancement of leadership skills, and legal and ethical issues; governance and societal responsibility, such as transparency in operations, audit independence, and community support processes; TriView Operational Excellence (TOE) and strategy development; strategy deployment; managing data, information, and knowledge; and ensuring that the organization benefits from the diverse ideas, culture, and thinking of its workforce. For example, methods de [illegible] n, Hardware, and Software, as well as the deployment step in the SPP, lack a systematic review for learning an [illegible] uation of its key processes, the organization may have difficulty remaining agile in its changing environment, as well as sustaining or improving key outcomes for plans and strategies.

Note the removal of "not" or "not evident" in the comments.

- The organization does not have a systematic method to ensure its work processes/system and other approaches incorporate and capitalize on all of its core competencies and other key elements. For example, key processes do not include the emerging competency of mergers and acquisitions, which may require incorporating numerous processes within the overall work system. Also, the 2011 Strategic Plan—Sustain Scenario does not address considerations such as a potential surge in retirees, and a systematic approach is not in place for organizing and managing the workforce to capitalize on core competencies, accomplish the work of the organization, or achieve strategic objectives. Without systematic consideration of these elements, the organization may find it difficult to maintain the process discipline and performance improvement that enables the organization to process transactions better than competitors at a lower cost, a strategic advantage.
- The organization does not have a systematic process in several areas related to achieving Legendary Service. For example, there is not a method to determine how the organization's listening/learning approaches and its methods for determining satisfaction and engagement vary for customer segments during the Customer Life Cycle or the Customer Engagement Cycle. In addition, a systematic process is not in place to use this or other customer and marketing information to pursue customer groups and market segments for future products and identify opportunities for innovation. Without a systematic process to use such information, the organization may have difficulty remaining agile and realizing its value of innovation in products and services as it applies to each customer segment.
- The organization does not have systematic approaches in place in several workforce-focused areas. A systematic approach for career progression is not in place for those associates not in the LLDP, and some elements of the organization's learning and development system are in early stages of deployment, including organizational performance improvement and innovation, transfer of knowledge, and reinforcement of new knowledge and skills on the job. Also, the Hiring the Best program or other approaches are not systematically used to recruit, hire and retain associates. In addition, the organization does not relate associate engagement survey findings to key business results. For example, results from a 2011 associate engagement retreat and the associate engagement survey are not used to correlate business and engagement results and implement improvements. The lack of systematic approaches in these areas may affect the organization's success factor of an engaged and highly satisfied workforce, as well as its strategic advantage of a loyal and stable workforce.

Results

The most important strengths or outstanding practices (of potential value to other organizations) are as follows:

- Multiple product and process outcomes show success in supporting customer requirements and operational excellence. For example, overall process effectiveness is demonstrated through action plan accomplishment higher than 90% from 2008 to 2010 and sustained improvement in the impact of the plans (Figure 7.1-19). Internal process efficiency is shown in results for Time to Complete Financial Reports (Figure 7.1-13), which currently equal or outperform two benchmarks. Other key examples are an increase in branches with extended hours (Figure 7.1-2), declines in breaches in data security (Figure 7.1-1), and improvement and favorable comparisons for accuracy of consumer, small business, and commercial transactions, as well as for time and demand deposit statements (Figure 7.1-5).
- Results for workforce and leadership and governance approaches indicate the organization's success in sustaining its strategic advantage of a loyal and stable workforce and supporting its value of integrity. Workforce absenteeism (Figure 7.3-7) has remained at less than half of the industry average since 2006. Results for workforce climate, such as the Occupational Safety and Health Administration Total Recordable Rate (OSHA TRR; Figure 7.3-8), the number of workers' compensation claims (Figure 7.3-9), and satisfaction with workplace security (Figure 7.3-10), outperform the comparisons provided. For the past four years, overall workforce satisfaction (Figure 7.3-1) has steadily increased, surpassing the 75th percentile benchmark each year, with similar increases for associate engagement levels and willingness to refer a friend (Figure 7.3-2). In addition, results for Regulatory, Legal, and Ethical Processes (Figure 7.4-8) show sustained high performance and/or improving trends since 2006 and favorable comparisons to the top 10% of credit unions.
- The organization demonstrates excellence in measures of financial and marketplace performance, reporting results that reflect favorably against best comparisons despite economic upheaval. For example, market share by assets and by loans (Figures 7.5-7 and 7.5-8) has exceeded the top-quartile regional comparisons since 2007 and, with the Widmark acquisition, increased to the best-comparison megabank level in 2010. Market share has grown steadily in all regions and is at or above the best comparisons in two of the three regions (Figure 7.5-9). Overall Return on Equity (ROE; Figure 7.5-1) has exceeded the top-quartile comparisons since 2005 and is approaching the best-comparison megabank, while ROE by Customer Group (Figure 7.5-2) currently is meeting or exceeding best-comparison benchmarks. Net Interest Margin (Figure 7.5-6), a key earnings indicator, has surpassed pre-2007 levels, exceeding the Community Alliance of Bankers (CAB) average and approaching the CAB benchmark. These results illustrate the organization's ability to capitalize on its success factors of being well-capitalized, taking reasonable risks, and quickly moving on opportunities.

The most significant opportunities, concerns, or vulnerabilities are as follows:

- The organization does not report relevant comparisons for multiple measures identified as key to achieving its mission, vision, and strategy. Examples include customer-focused results for overall satisfaction (Figure 7.2-2), problem resolution (Figure 7.2-8), and complaints (Figure 7.2-10), as well as workforce-focused outcomes, such as training hours per associate (Figure 7.3-5) and security incidents/near misses (Figure 7.3-11). Further, limited comparisons are reported for leadership and governance outcomes, such as results for regulatory and legal compliance (Figure 7.4-5), legal and ethical behavior (Figure 7.4-7), environmental performance (Figure 7.4-11), and charitable contributions (Figure 7.4-10).
- Results are not reported or limited for several measures related to the workforce, leadership, and governance. For example, results do not show the effectiveness of workforce development approaches in addressing learning and development needs, such as technical knowledge to satisfy increasingly demanding customers, and workforce capacity results are limited to the vacancy rate. Limited results are reported for several senior leadership approaches, including communication and engagement with the workforce. Results for encouragement of two-way communication (Figure 7.4-2) include only attendance measures, and no results are reported for PMDP deployment, Trust Team involvement, rounding, job shadowing, or associates receiving health benefits for community service. In addition, no results are reported for the Community One Initiatives to support social structures or to support the economy (Figure 1.2-3).
- Results for multiple measures do not include segmented data. For example, in product and process effectiveness outcomes, results for Breaches in Data Security (Figure 7.1-1), Convenience through Extended Hours (Figure 7.1-2), and Teller Wait Time (Figure 7.1-3) are not segmented by location, and those for Satisfaction with Advocacy (Figure 7.1-8) are not segmented by customer group. Similarly, workforce-focused outcomes that do not include segmented data are Associate Engagement (Figure 7.3-2), Training Hours per Associate, Vacancy Rate, Absenteeism Rate, OSHA TRR, and Number of Workers Compensation Claims (Figures 7.3-5 through 7.3-9).
- Suboptimal results related to the integration of the organization's recent acquisition may reflect unfavorably on the developing core competency in mergers and acquisitions. For example, several results show that the acquisition had an adverse impact on levels of customer satisfaction. Results for customer satisfaction with Customer Service Representative (CSR) knowledge show declining levels in all markets (Figure 7.2-6), satisfaction with problem resolution show low results for mortgage customers (Figure 7.2-8), and complaints by product (Figure 7.2-10) show that mortgage customers are dissatisfied. Also, the acquisition contributed to deteriorating performance in the nonperforming asset ratio (Figure 7.5-4), with the most unfavorable levels in five years occurring in 2010, and the liquidity ratio (Figure 7.5-3), where results fell below the top quartile CAB comparison for the first time in 2009 and 2010.

Sample *Feedback Report – Final Comments*

1.1 Senior Leadership
Scoring Range: 70% - 85%

This section of the criteria asks your organization to describe how senior leaders' actions guide and sustain the organization, communicate with the workforce, and encourage high performance.

Item Reference	Strengths
1.1a(1)	Senior leaders set the organization's vision and values and deploy them through its leadership system to the workforce, key suppliers, partners, customers, and other stakeholders using systematic processes that are aligned with the national Center for Disease Control and Prevention essential public health services. Establishment and improvement of the mission, vision and values (MVV) is built into the strategic planning process which is conducted every three years. Deployment to the workforce is accomplished through multiple methods that include: leadership role modeling, the annual employee meeting, monthly program specific meetings, the new hire orientation process, the recruiting and pre-screening process, as well as through the inclusion of the MVV on workforce badges. Deployment to suppliers occurs as part of the acquisitions and contract management and maintenance process. The MVV is built into the goals of collaborative efforts between partner organizations. Customers are exposed to the MVV through direct contact with staff and can access information on the organization's website, and in print materials such as the *Healthy Stories* book series compiled by representatives of the organization.
1.1a(1)	Senior leaders demonstrate their commitment to the organization's values through actions and involvement in the community, by developing relationships and partnerships through community outreach events, and by strongly advocating for services that are aligned with the mission and values. For example, every year hundreds of thousands of residents and visitors visit the county's beaches. When the Healthy Beaches Program that monitors water quality along the coastline and other high risk use areas lost its external funding source, the organization believed so strongly that this was a key function directly related to its vision and mission to protect and promote the health of all residents and visitors, that it implemented initiatives with community partners and identified process efficiencies in order to continue offering this service. In doing so, it recognized that this was an investment in protecting the community's reliance on tourism, which is its main job and revenue stream. Without healthy beaches, the community would suffer economically as well as health-wise, which would result in additional downstream challenges and implications to the organization.
1.1a(2)	Senior leaders' actions demonstrate and promote their commitment to legal and ethical behavior through role modeling and the adoption of a zero-tolerance policy. In support of this zero-

Item Reference	Strengths
	tolerance policy, senior leaders have adopted and deployed ethical principles throughout the organization with its Code of Ethics and a focus on the protection of personally identifiable information. Senior leaders also personally brief new employee candidates on ethical expectations prior to hire and require that new employees complete the on-boarding Code of Ethics orientation requirements. Additionally, all employees are required to complete mandatory legal and ethical training and acknowledge an understanding of these requirements by annually signing the Confidentiality and Security Statement of Understanding. As a result of these practices, senior leaders have been able to sustain an environment with no ethical breaches over the past five years.
1.1a(3)	Senior leaders create a sustainable organization and an environment for performance improvement through established processes and initiatives that are aligned with its mission, vision and values**.** Evidence of the cultural adoption of the Sterling / Baldrige management model as well as creative quality and Six Sigma Lean practices focused on continuous improvement and increased efficiency and effectiveness are deployed throughout the organization. A focus on organizational sustainability and performance improvement is an integral part of the 17 step strategic planning process and is reinforced in numerous ways that include a focus on: cross departmental team based improvements, community and partner consortiums, business reviews, program and committee meetings, process maps, team charters and training materials. Furthermore, the Senior Leadership Team, middle managers, and staff team members demonstrate competencies in the use of the Plan-Do-Check-Act methodology for evaluating and improving processes. For example, senior leaders frequently convene Strike Force Teams for focused and rapid response to unfavorable health indicators in an attempt to improve key community health and prevent additional health outbreaks. Recently, senior leaders implemented a Strike Force Team focused on decreasing Syphilis levels in the community. These efforts have resulted in a 13% decline of Syphilis rates during 2011.
1.1a(3)	Senior leaders create an environment for organizational and workforce learning through mentoring, cross-training, educational and staff development opportunities. Due to restrictions in funding allocations, staff are encouraged to mentor and cross train under managers and senior leaders in order to ensure organizational sustainability. Such cross training has not only led to employee advancement and growth, but has also aided the organization when staff assume roles of other public health representatives during the course of their work. For example, the environmental health water management field representatives will oftentimes alert facility management and address facility concerns when an issue is discovered during their normal tour of duties. In another situation, the organization did not have funding to send all staff through the Lean Methodology training so senior leaders developed an initiative to pick key staff to attend “train-the-trainer” Lean Methodology classes. While not formerly “trainers” these cross-trained, employees have completed their Lean coursework and have established a timeline to train the

Item Reference	Strengths
	rest of the organization. Staff are also encouraged to pursue advanced degrees in work-related fields to enhance workforce knowledge. There are multiple examples of workforce members who have completed advanced degrees and have been promoted to leadership positions within the organization including several individuals who have achieved master and doctorate level degrees. Additionally, one individual who is currently pursuing her doctorate degree, has aspirations of becoming the Administrator of a public health department.
1.1b(2)	Senior leaders create a focus on action to accomplish the organization's objectives, improve performance, and attain its vision using established processes. For example, action plans for the three strategic priorities of Prevention and Preparedness, Return on Investment, and Service Excellence are established, assigned an owner, and aligned with the strategic plan. These plans are reviewed regularly by the owner and the specific program's team representatives. Information and data from these reviews bubble up to the monthly business review meetings where they are evaluated by the department or program specific teams, along with the Senior Leadership Team. For instance, due to data and information reviews and a focus on innovative continuous improvements, the Applied Epidemiology and Research Team received the Davis Productivity Award and the NACCHO (National Association of City and County Health Officials) Model Practice Award for creating two automatic surveillance alert systems during the H1N1 outbreak.

Sample Score Summary Worksheet – Site Visit

The Sterling Office and Judges use the Scoring Summary. It is not provided to the organization.

Application Number: Second Test Applicant Demo

10/8/2019 - 2:26 PM CST

SCORE SUMMARY WORKSHEET

Summary of Criteria Items	Total Points Possible Column A	Consensus Percentage Score 0–100% Column B	Consensus Score (A x B) Column C	Final Percent Score 0-100% Column D	Final Score (A x D) Column D	Scoring Band Column E
Category 1 (Process)						
1.1	70	35%	25	35%	9	
1.2	50	0%	0	0%	0	
Category Total	120		25		9	
Category 2 (Process)						
2.1	45	0%	0	0%	0	
2.2	40	50%	20	50%	10	
Category Total	85		20		10	

Site Visit Summary Score

Summarize significant changes from Consensus to Site Visit,

By Item, summarize significant changes including:

- **Explain Key Theme changes:** The only key theme change was the key theme OFI on innovation was removed. Innovation was not a key theme strength but innovation was embedded as an element in the key theme strength on delivering value and results (changing business model to focus on customers with greatest impact on the return on investment measures).
- **Explain significant Score changes:** Several Process items moved from the 30-45% scoring range to 50-65% scoring range as we clarified approach OFIs and moved these to learning OFIs. Also learned that some OFIs were outside the control of and not relevant to this organization.
- **Provide any Notes to Judges:** Presentation of results was extremely complicated and difficult to follow. In many cases, there were multiple results provided for the same metric. The results analysis worksheet may provide the best path in following these. These notes are not provided to the applicant; however, be careful not to get prescriptive or make recommendations.

Sample:

Item 1.1	Eliminated OFI regarding senior leaders' participation in developing future leaders; amplified most of the leadership approaches. Scoring increased by one range.
Item 1.2	Changed the approach OFI in performance evaluation to a learning OFI and amplified all strengths to show the robustness of the governance system and added a strength for community support. Verified the OFI regarding ethical monitoring. Scoring remained in the same range but moved from L to H.

Sample *Sterling Best Practice*

Applicant Number: PS03-01 **Examiner Name:** Sue Sample

Sterling Best Practice Form

The Sterling Staff use the SBP to identify organizations with processes worthy of recognition.

The form is not provided to the applicant.

(Use One Form for Each Recommended Practice)

1	Applicant Number	**PS03**
2	Category/Item where the Best Practice is referenced	The involvement of the Executive Management Team and the Strategic Planning Services Unit is referenced directly or indirectly in most categories and items as key factors in support of the strategic plan, action plans, and improved organizational performance.
3	Name of Best Practice:	Leading an Action-oriented, Results Focused Work Culture

4 **Description of the Best Practice**

Senior leaders create a focus on accomplishment of the organization's mission, vision, purpose, focus and values through the integration and deployment of the organization's strategic planning process, balanced scorecards, action plans, and the use of performance improvement groups to design, improve, and document key work processes. Approaches used by senior leaders to institutionalize these initiatives in the everyday work of staff at all levels of the organization are varied and include personal involvement and role modeling by senior leaders and systematic multi-level performance reviews designed to ensure employee engagement and to continuously monitor progress on key initiatives, goals, and objectives.

A focal point of senior leader's integration and deployment strategy was the creation of the Strategic Planning Services Unit in 2003. The unit serves as a gatekeeper for many of the organization's key initiatives and was charged with coordinating the strategic planning process, development and deployment of the organization's balanced scorecards, design and deployment of surveys for several customer groups and employees, and the deployment of the Define, Measure, Analyze, Design, Verify (DMADV) and Define Measure Analyze, Improve Control (DMAIC) methods and tools to all bureaus and work units. The Strategic Planning Services Unit was staffed by a diverse group of employees with a wide array of knowledge, skills, and abilities ranging from extensive process mapping and problem-solving skills, experience and training in survey instrument design and protocols, and extensive quality management experience including certified six sigma black belts and systems assessment experience. It was this advanced skill set that provided the necessary technical capacity and capability to move these initiatives forward while these processes were deployed and continued to mature in the workplace.

Senior leaders' varied approaches including the creation and use of the Strategic Planning Services Unit as a catalyst to deploy and integrate key quality initiatives, have yielded positive results and helped to create and maintain an environment that is mission-driven, focused on personal and organizational accountability, and results in performance improvement. Key work processes have been documented and standardized. Key action plans and corresponding performance measures have been successfully cascaded throughout the organization using the balanced scorecard. Improvements have been achieved by more than 30 separate performance improvement work teams and projects ranging from improved communication to the automation of several key work processes. In addition, these approaches led to improvements on key organizational measures including the percentage of action plans completed timely, the percentage of measures meeting or exceeding target, and key efficiency and cost savings metrics.

5 *Identify results indicators in Category 7 that may be directly attributable to the Best Practice (Include figure numbers and application page)*	Results for key measures of accomplishment of organizational strategy are positive. For example: • "*Timely Completion of Strategic Action Plans*" (Figure 7.1-16) improved from 65% in FY 2011-2012 to 87% in FY 2012-2013, which exceeds the reported performance of a 2012 Governor's Sterling Award (GSA) recipient of 80% in FY 2011-2012. • "*Performance Indicators Meeting Target*" (Figure 7.1-22) improved from 62% in FY 2010-2011 to 71% in FY 2011-2012 to 91% in FY 2012-213. The organization's results on this measure closed the gap with the comparison organization, a 2013 GSA recipient, which reported 88% in FY 2011-2012 and 94% in FY 2012-2013. Process effectiveness results regarding the licensing renewal process show favorable performance levels and trends. For example: • *Cost Savings From On-Line Renewals* (Figure 7.1-8) results show favorable trends from $270,000 in FY 2011-2012 to $752,000 in FY 2012-2013, a 179% increase in savings. Performance results in FY 2012-2013 exceeded the established target of $500,000. • *Percentage of Timely Renewals* (Figure 7.1-11) show favorable trends from 48% in FY 2010-2011 to 74% in FY 2011-2012, and projected to meet the organization's 75% target in FY 2012-2013. • *Percent of On-Line Renewals* (Figure 7.1-12) show favorable trends from 49% in FY 2009-2010 to 74% in 2012-2013. Performance exceeds a similar State Government comparison that was 14% in FY 2011-2012. Customer satisfaction results show good to excellent performance levels and trends, evaluated against comparisons: • Overall Customer Satisfaction (Figure 7.2-14) results were 93% in FY 2012-2013 which is approaching the 2012 Baldrige Winner comparison at 94%. The organization determined overall satisfaction rates for the first time in FY 2010-2011 using satisfaction data from new licenses, candidates, and public records requests.
Examiner Approval:	Don Quixote *Phone:* 321-987-6543
Sterling Staff Representative Approval:	Suz E. Sample *Phone:* 850-922-5316
Nominator(s):	Good E. Two-Shoes *Phone:* 704-555-4321

Sample Examiner Feedback / Evaluation

Examiner Name: **Team Lead Name:**

Key Strengths:

•

Key Opportunities for Improvement:

•

Date Discussed with Team Member: ______ Team Lead Signature: _______

Recommendations to the Sterling Office

The following is not provided to the Examiner

5=Strongly Agree, **4**=Agree, **3**=Neutral, **2**=Disagree, **1**=Strongly Disagree, **NA**=Not Applicable

	SA A N D SD NA	COMMENTS
I would be willing to have this Examiner on my team again.	5 4 3 2 1 NA	
I recommend as a Backup Examiner	5 4 3 2 1 NA	
I recommend as a Team Leader	5 4 3 2 1 NA	
Please add any additional comments that will help the Sterling Office determine the overall performance, effectiveness, and potential development (Senior, Lead, Master) of this Examiner, and describe any specific problems/concerns with the Examiner's performance:		