

Site Visit Issue Worksheet

(Record only one issue per page)

Item Reference: _____

Issue or process
addressed: _____

For a Level 4 applicant, each Item will normally around 3 SVI's. A Level 2 applicant will normally have around 3 SVIs per Category. The SVI is "owned" by the Lead for the Item referenced on this page.

Comment(s) affected: SVIs address one or more comments. List the comments found in the consensus scorebook that are addressed by the findings and conclusions concerning this issue. (*e.g., 1.1 first +, 1.1 first OFI, KTa.2, and 5.2 second +*)

STRATEGY: What information do you need, and how do you intend to obtain it, i.e., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make? Be sure your strategy will address the overall issue as well as the comments listed above, and that it is based on the components of the A-D-L-I and Le-T-C-I models. Use these models to identify improvement opportunities for the applicant. Refer to the back of this sheet for additional details.

Be as complete and specific as possible so that another examiner can carry out your strategy during the site visit if necessary. If the issue you have identified is an OFI (in consensus) and has been clarified or resolved, look at the next higher scoring block and formulate questions using the evaluation factors (A-D-L-I or Le-T-C-I) to determine if the process or results can support that scoring block. Unless you plan to score the Item at 100%, the applicant will expect you to identify its OFIs for the Item. The Scoring Guidelines for the evaluation factors are an excellent resource for identifying potential OFIs.

FINDINGS: What observations, specific answers, and/or updated results did you find during the site visit? Be specific and include data as appropriate. What is the resolution of this site visit issue based on your findings? For each comment listed above, indicate "delete," "modify," or "no change" and the specific findings that led you to that conclusion.

This provides a paper trail of your findings for the Panel of Judges. Provide specific information (e.g., documents reviewed, interviews conducted, specific responses to questions, actual data observed). Based on your findings, what is the conclusion? Is the approach systematic and effective? Are there gaps in deployment? Are benchmarks and comparisons used and are they appropriate? Before the closing meeting with the applicant, ensure that your findings answer the issue and permit you to clarify and/or verify all of the consensus comments referenced in "Comments affected" above.

FINAL COMMENT(s): Write the comment as it will appear in the final scorebook. If a new comment is required it should be included in this section.

Are any comments no longer appropriate? The balance of strength and OFI comments should support the score. If you have deleted OFI comments, do you need to create new comments? Include your new and/or edited comments in this section.

The site visit findings indicate that the processes and/or results investigated would have the following effect on scoring:

raise ____, no effect on ____, or lower ____ the c

How have your findings affected the scoring for this Item when compared to the consensus score? Verifying existing strengths does not necessarily result in a "raise."

For **PROCESS Items**, the site visit interview can be used to determine at which stage of the A-D-L-I model the applicant has the greatest opportunity for improvement. This becomes the basis of an OFI comment in the final scorebook. For example: the issue is to clarify deployment of an approach. The applicant has evidence that the approach is deployed. Rather than stopping here, the examiner clarifies whether the applicant improves the approach through cycles of learning. If the answer is yes, then the examiner clarifies integration.

APPROACH (A) refers to the methods used by an organization to address the Criteria Item requirements in Categories 1-6. Approach includes the appropriateness of the methods to the Item requirements.

DEPLOYMENT (D) refers to the extent to which an approach is applied in addressing the requirements of a Criteria Item. Deployment is evaluated on the basis of the breadth and depth of the application of the approach to relevant work units throughout the organization.

LEARNING (L) refers to new knowledge or skills acquired through evaluation, study, experience, and innovation.

INTEGRATION (I) refers to the harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. Effective integration goes beyond alignment* and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

For **RESULTS Items**, the site visit interview can be used to determine at which stage of the Le-T-C-I model the applicant has the greatest opportunity for improvement. This becomes the basis of an OFI comment in the final scorebook. For example: the performance level is above goal. The issue is to clarify if performance trends are positive. The applicant has evidence that performance is improving. Rather than stopping here, the examiner clarifies whether appropriate comparisons are tracked and whether results are segmented by important requirements.

PERFORMANCE LEVELS (Le) refer to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals and appropriate comparisons.

TRENDS (T) refer to numerical information that shows the direction and rate of change for an organization's results. A minimum of three data points generally is needed to begin to ascertain a trend.

COMPARISONS (C) refer to how the applicant's results compare with the results of other organizations. Comparison can be made to the results of competitors, organizations providing similar products and services, industry averages, or best-in-class organizations. The maturity of the organization should help determine what comparisons are most relevant

INTEGRATION (I) refers to the extent to which results measures (often through segmentation) address important customer, product and service, market, process, and action-plan performance requirements identified in the Organizational Profile and in Process Items; include valid indicators of future performance; and are harmonized across processes and work units to support organization-wide goals.

* **Alignment** refers to the consistency of plans, processes, information, resource decisions, actions, results, and analyses to support key organization-wide goals. It requires the use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: organization, key process, and work unit.