2004

SITE VISIT MANUAL

2004 Site Visit Changes

- **The development of draft SVIs** is now optional at Stage-2. However, this is a mandatory activity during the planning phase of Stage 3.
  - Each site visit team must draft and reach consensus on 2-4 site visit issues (SVIs) per Item that the team will clarify or verify when on site. The team leader has the discretion to decide **when** and **who** will carry out the site visit issue development process (drafting, reviewing, and revising draft SVIs). **(Guidance provided on pages 7-1 & 7-2 in the Site Visit Manual)**
  - Guidance from the Panel of Judges, concerning which comments should be clarified and verified for the site visit; include all OFI comments, double ++ comments, and all other comments that are link to the Key Themes. **(See "Just In Time" Materials, and pages 7-4 through 7-7)**

- **The Site Visit Issue Worksheet** has been updated to reflect the Judges guidance. In addition, the revised worksheet clarifies instructions to tighten the linkage among consensus comments, SVIs, site visit findings, and final site visit comments.

- **Scoring -** Site visit teams are now expected to capture the most appropriate scoring range for each Item based on the teams' findings and the final comments. The Item scoring ranges should be captured on the Item Worksheets as well as the Score Summary Worksheet. Once the scorebook is complete the team must ensure that the Score Summary Worksheet is appropriately completed, including capturing whether the scoring range from the site visit represents a higher, lower, or same range as the consensus score. (**See pages 3-13 through 3-15, 7-5, 7-6, 7-9 & 7-10 in the Site Visit Manual)**

- **Document Request one-week prior to site visit:** To help the applicant prepare for the site visit, the Team Leader will provide a list of requested documents to the OCP. These include Documents referred to in the application (e.g., strategic plan) and information showing deployment in and results from representative sites, and sites not visited. The documents requested will be made available to the team immediately following the opening meeting. Please note that after the opening meeting, the team will have the opportunity to request additional documentation. **(See pages 3-5 through 3-7, 3-21, 4-13 & 4-14,)**

- **Day one Schedule one-week prior to the site visit:** To assist the applicant in the arranging for the availability of key people, one-week prior to the start of the site visit the team leader will submit the day-one interview schedule for the On-Site Phase of the site visit. **(See pages 3-5, 4-13 & 4-14, and optional sample Agenda's for day-1 on pages 5-18, 5-20, and 5-22)**

2004 SITE VISIT MANUAL

TABLE OF CONTENTS

SECTION 1:

SITE VISIT TIMELINE

2004 Stage 3 - Site Visit Review Timeline

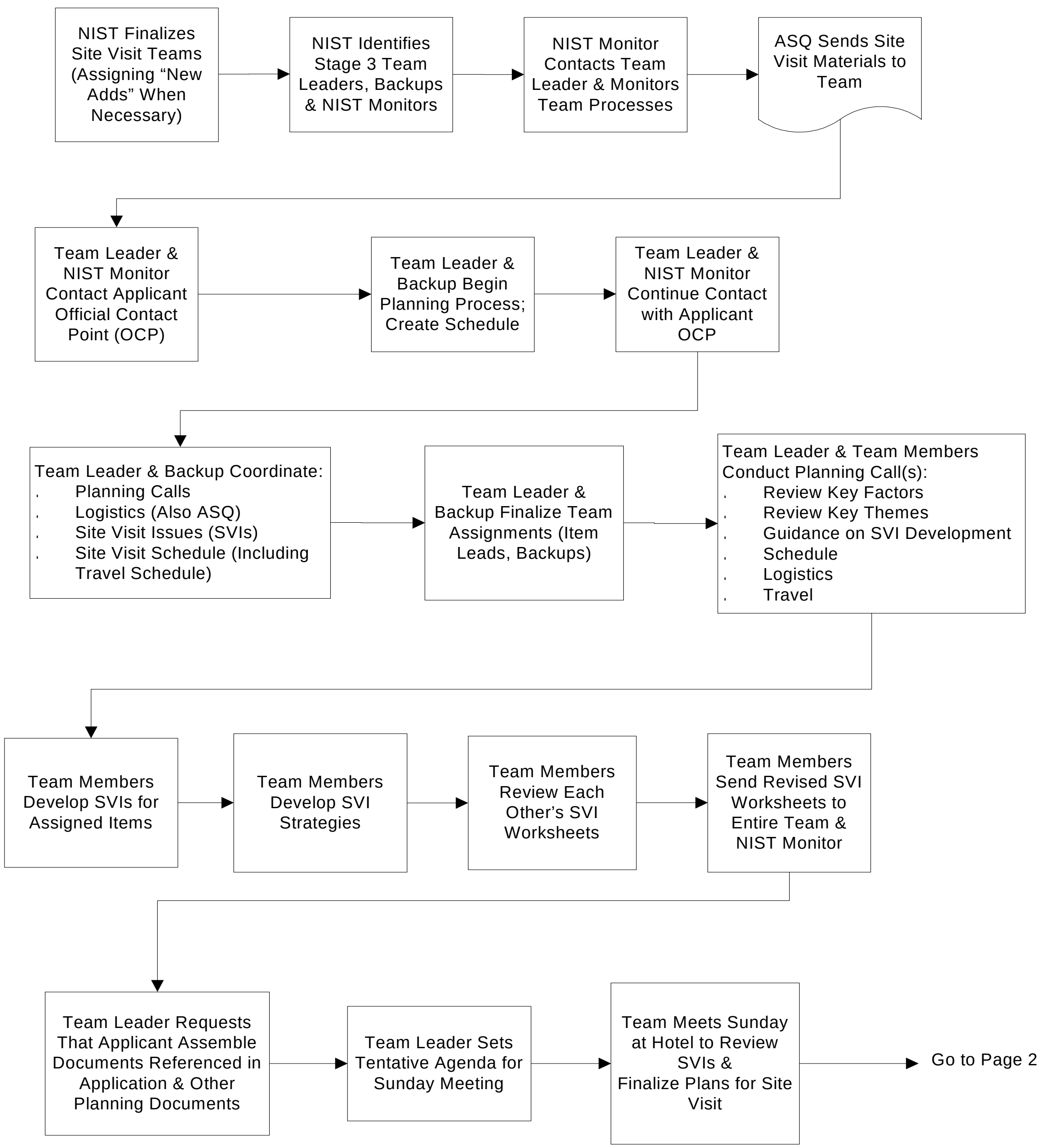
September 17	Judges meet to select applicants to receive site visits
September 17-20	Applicants and team leaders are notified
September 20 -	Team leader initiates and maintains regular contact with the applicant OCP
September 20-30	New team members are assigned and receive packages from ASQ
September 22 & 23	Team Leader, Harry Reedy, and Harry Hertz Conference call
September 23 - October 15	Team planning for Health Care, Service, and Small Business site visits
September 23 - October 22	Team planning for Education and Manufacturing site visits
October 16	Planning Meeting for Health Care, Service and Small Business
October 17-23	Health Care, Service, and Small Business site visits conducted
October 23	Planning Meeting for Education and Manufacturing
October 24-30	Education and Manufacturing site visits conducted
November 16-19	Judges meet to recommend award recipients
November 19	Lead Judge, Team Leader & NIST Monitor review Final Site Visit Scorebooks

SECTION 2:

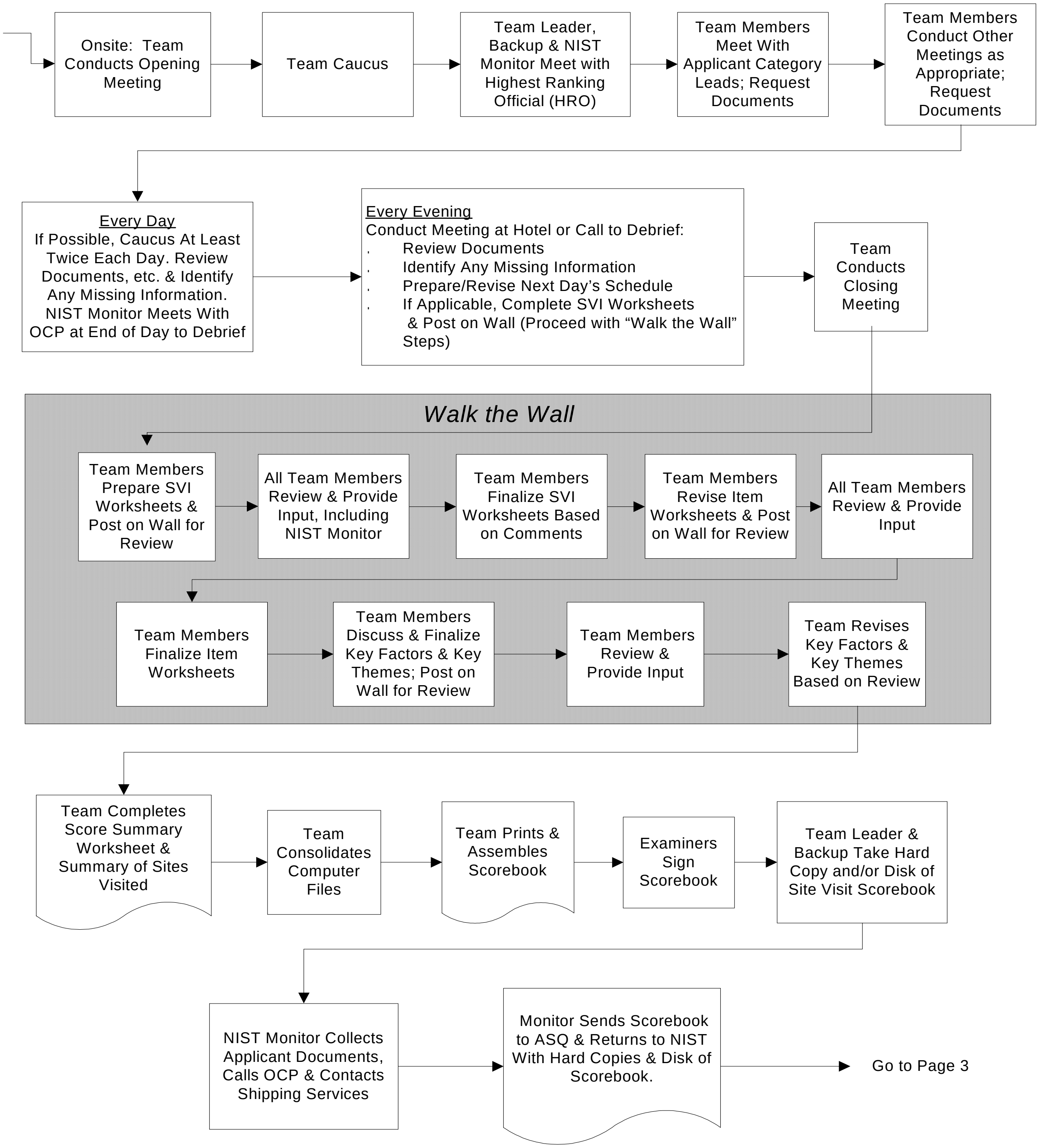
SITE VISIT REVIEW

PROCESS FLOWCHART
AND
PROCESS DESCRIPTION

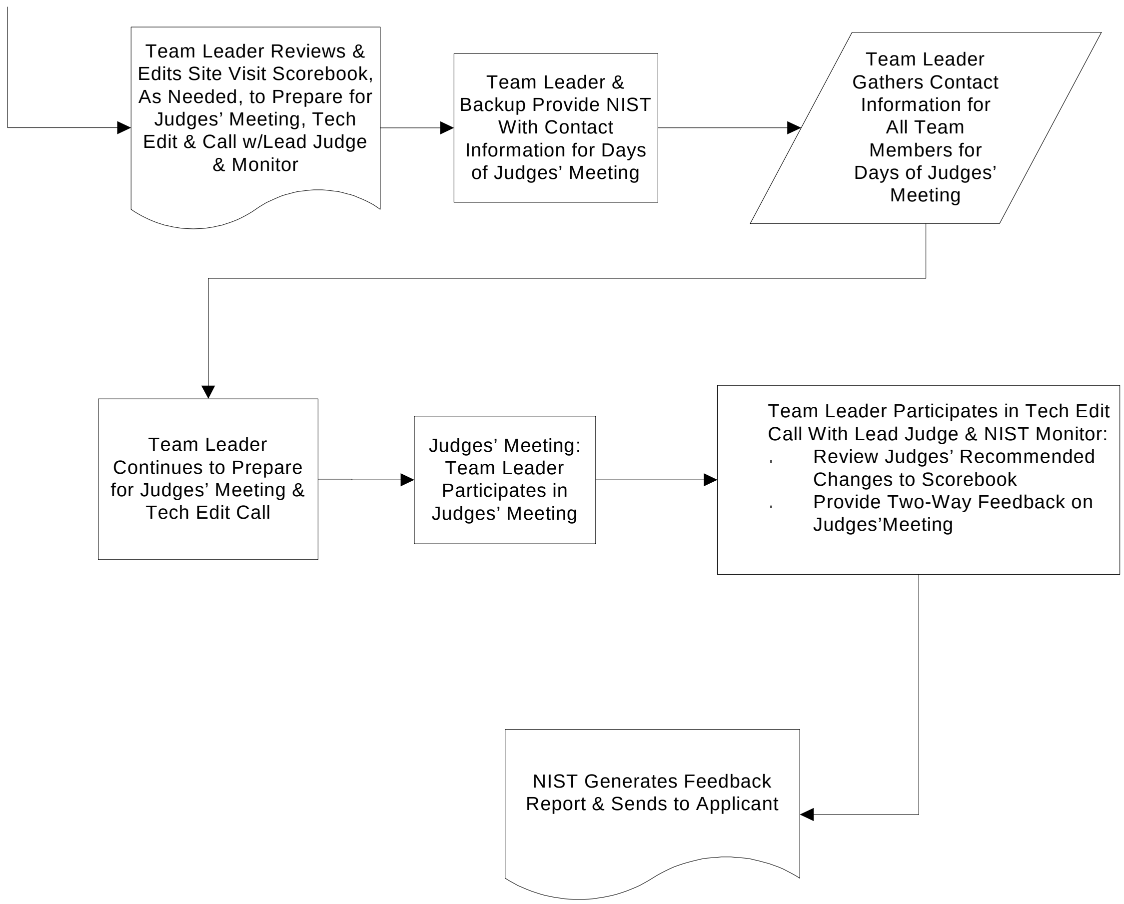
MBNQA Stage 3 Process — Planning



MBNQA Stage 3 Process — On Site



MBNQA Stage 3 Process — Post Site



THE PURPOSE AND THE OVERVIEW OF THE SITE VISIT

The purpose of Stage 3, the site visit review, is to clarify uncertain points in the applications and to verify that the information presented by the applicant is correct. During the site visit review, a team of Examiners reaches agreement on the applicant's strengths and opportunities for improvement (OFIs), the resulting scoring ranges for each Item and the overall-scoring band for the application. The Stage 3 Scorebook is used by the Panel of Judges to determine the recipients of the Malcolm Baldrige National Quality Award.

Assignment of Site Visit Teams

See page 3-20

After the consensus review, discuss the team size with your NIST's Monitor using the "Guidelines for Determining Team Size & Length of Site Visit" table as a guide. If the team needs new members, identify what strengths or category coverage is needed and convey this information to your NIST Monitor.

A Site Visit Team includes a team leader, a backup team leader, and a combination of Examiners (Senior, returning, new, and, in some cases, alumni). Whenever possible, team members are selected from Examiners who completed the original Stage 1 and/or Stage 2 review of the application. Team leaders and backup team leaders are Senior Examiners who have received additional training on the Baldrige Award's purposes and processes. One team member will serve as the scorebook editor. Additional roles for team members include computer expert, Criteria cop, and process checker.

The Site Visit Review Process

Site visit is a team decision about Site Visit Issues, comments (Items and Key Themes), Key Factors, scoring ranges for each item, and a scoring band that reflects the team's view of the applicant. Prior to the site visit, the team leader (in conjunction with team members) must do extensive preplanning; most of which is conducted by telephone, fax, and mail. The site visit includes visits to one or more of the applicant's locations. At the start of the site visit, all team members meet off site to finalize strategies, procedures, and assignments. The On-site Phase begins and ends with the opening and closing meetings. To conclude the site visit process, the team meets off site again to complete its site visit scorebook. The team leader is ultimately responsible for ensuring that the site visit scorebook is complete and submitted to NIST by the specified deadline. The site visit scorebook is submitted to the Panel of Judges and forms the basis for the Panels' decision whether or not to recommend the applicant for the Award. It is also the basis of the feedback report for all Stage 3 applicants.

SECTION 3:

TEAM LEADER GUIDANCE
AND
ROLES & RESPONSIBILITIES FOR THE SITE VISIT REVIEW

SITE VISIT ROLES AND RESPONSIBILITIES

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & PLANNING MEETING	ON SITE	PREPARATION OF THE STAGE 3 SCOREBOOK
TEAM LEADER	• Serves as contact point for OCP, ASQ, & monitor • Performs team leader tasks	• Focuses on issues of central importance to Criteria and applicant • Drafts tentative site visit plan and shares plan with team and NIST monitor • Work with team to develop & finalize SVIs • Provides OCP a list of documents for team review and a tentative interview schedule especially for out-of-town staff one week prior to site visit • Keeps OCP apprised of plans during regularly scheduled telephone calls • Notifies ASQ of inter-site travel, if applicable • Complete & forward necessary forms to ASQ • Attends conference call with Chair of the Panel of Judges	• Leads and finalizes site visit strategy, agendas, document requests, and interview schedules • One week before the site visit, send applicant 1st Document request, and tentative agenda for Day-1 of the site visit • Prepares for Opening Meeting using NIST overheads	• Begins opening meeting with NIST overheads and brief remarks. • Works with teammates on site visit activities and tasks • Makes adjustments to the site visit plan as required • Keeps team on task and on schedule • Keeps OCP informed of changes and needs • Ensures team has all relevant information and documents to close out each SVI before closing meeting • Ends site visit at applicant location with a short thank you and next steps using NIST overheads at the closing meeting	• Provides timeframe for completion of Stage 3 scorebook and ensures completion before leaving the hotel • Facilitates discussion of findings and review of scorebook components • Reviews scorebook and provides edits as necessary • Retains a copy of the Stage 3 scorebook • Responds to and works with NIST and Judges' to address questions/comments on Stage 3 scorebook • Ensures SVI, Item & Key Theme Worksheets are appropriately prepared, resolved and finalized
TEAM MEMBERS	• Perform assigned site visit tasks	• Arrange transportation to and from the site (between home and hotel) and provide information to ASQ and NIST monitor • Review evaluation materials • Working with backup, develop and start work on Site Visit Issue Worksheets • Work with team leader to strategize approaches and issues • Review rules of conduct • Complete other assignments (consolidate document requests, interview schedule, etc.) • Complete & forward necessary forms to ASQ	• Finalize interview plans, list of required documents, and finalize strategies for Site Visit Issue Worksheets • Attend and participate in planning meeting at hotel	• Work in pairs for 2-4 days on site • Gather information to clarify and verify assigned site visit issues • Conduct interviews with applicant representatives • Review documents and data • Attend all team caucuses and meetings • Take thorough notes • Record findings & conclusions on site visit Issue Worksheets concurrent with site visit • Have all documents needed to close out all SVIs before the closing meeting	• Share findings with team • Complete scorebook components, building on content of consensus scorebook • Review scorebook components of other team members • Stay until scorebook is completed and signed by all team members (2 to 3 days after the On-Site Phase) • Scorebook Editor retains a copy of the Stage 3 Scorebook and uses it to draft Final Stage 3 Scorebook • Walk the wall to review and provide feedback for all SVI, Item and Key Themes Worksheets • Record findings & conclusions on Site Visit Issue Worksheets concurrent with site visit
SCOREBK EDITOR (Could be the Team Leader, Back Up Team leader, or another team member)	• Ensures scorebook follows the Comment Guidelines & Worksheet Essentials	SAME AS TEAM MEMBERS	SAME AS TEAM MEMBERS	SAME AS TEAM MEMBERS	SAME AS TEAM MEMBERS • Ensures scorebook follows the Comment Guidelines & Worksheet Essentials • Clarify and standardize the language between Items and Key Themes • Eliminate any conflicts between strengths and OFIs within and between Items and Key Themes • Ensure that all statements such as "it is not clear,", it does not appear that," and it is not evident" are changed to reflect the findings of the site visit • Revises work in process for well written comments

SITE VISIT ROLES AND RESPONSIBILITIES - continued

	ROLE	INITIAL PLANNING PREPARATION	FINAL PREPARATION & PLANNING MEETING	ON SITE	PREPARATION OF THE SITE VISIT SCOREBOOK
NIST MONITOR	• Assists the team & T L in planning & conducting the site visit • Assist the applicant in understanding the Site Visit process & provides a contact for the applicant to address issues & concerns	• Monitors process • Supports team leader in planning site visit • Answers questions • Provides coordination and guidance • Contacts OCP to explain process and answer questions • Reviews draft SVI's • Participates in planning calls	• Supports team leader • Checks-in with OCP • Ensures all necessary equipment and supplies are available prior to the beginning of the planning meeting • Ensures room for planning meeting is set up appropriately • Attends planning meetings to monitor process & provide logistical assistance	• Attends HRO meeting with team leader • Attends team meetings • Answers process questions from applicant and team • Keeps OCP apprised of plans and answers questions • Provides logistical support for team (hotel issues, food, snacks, etc.) • Serves as the contact person to deal with on-site problems or issues • Make arrangements with OCP on pick-up of applicant materials.	• Assists team with logistics of word processing, printing, copying, posting • Ensures all applicant materials are returned to OCP at completion of the site visit. • Reviews the Stage 3 scorebook, checking comments for consistency with Comment Guidelines • Prepares summary of applicant's highlights for Judges meeting • Prepares Summary of applicant used in briefing Secretary of Commerce about award recipients • Provides copy of Stage 3 scorebook to team leader, backup team lead, and ASQ. NIST monitor retains original copy.
ASQ	• Coordinates logistical and administrative support for the team and the applicant	• Distributes team list and hotel/travel information • Makes hotel and ground travel arrangements • Works with OCP/Alternate OCP on arrangements for intersite travel • Supplies OCP/alternate OCP with list of team members and affiliations	• Finalizes contracts for hotel and printing equipment prior to team's arrival • Ensures logistical requirements are available for opening meeting • Ships office supplies package and support items to hotel • Provides contracts to NIST monitors	• Provides support for logistical contracts	• Provides support for logistical contracts
JUDGES	• Select and recommend applicants to receive the Award	• Chair of the Panel of Judges has conference call with all Stage 3 team leaders			• Post-site visit review of scorebooks • Lead Judge prepares highlights for briefing to other Judges • Recommend Award recipients • Conduct evaluation of Judges' process • Reviews and Edits Feedback Report
OCP or ALTERNATE OCP	• Works with team leader, NIST, and ASQ	• Coordinates arrangements, including meeting space, on-site • Makes suggestions regarding locations and scheduling • Provides information to team leader & NIST monitor • Schedules inter-site travel as needed and travel of team to & from hotel.	• Updates charts and graphs from application with current data • From team leader, Prepares document request and arranges meetings for first day of site visit • Arranges logistics, and Prepares for opening meeting presentation	• Provides welcome and introduction at Opening meeting • Works with team leader to schedule interviews • Provides updated data and information • Provides inter-site transportation • Provides required documents • Coordinates adjustments to schedule as needed • Keep NIST monitor informed of any concerns or questions about the Site Visit Team interactions	• At the completion of site visit, OCP picks up all materials from NIST monitor

Resources available, the Purpose, and the Overview of the Site Visit

The three phases of the site visit review process are **planning**, **on-site visit**, **and post-site visit**. The site visit review process, which is also known as Stage 3, is intense. Team members are encouraged to use this document as a guide throughout the site visit review process. It contains requirements and helpful tips for all three phases of the site visit review process. Additional resources that are available to team members are Just-In-Time Training Materials, the Examiner and Senior Examiner preparation course materials, the NIST Award Process Team members, the NIST site visit monitor, and the American Society for Quality.

PHASE 1:

PLANNING

The planning phase of the site visit begins after the team leader is notified by NIST that the applicant will be receiving a site visit. In this section the following topics are presented: Communication with the applicant, the site visit team, NIST, ASQ; and Organizing the Site Visit.

Team Leader Communication with the Applicant

Initial call with the applicant's OCP.
The team leader should contact the applicant's OCP within 72 hours of being notified by NIST that the applicant will receive a site visit. Before calling the OCP, the team leader should be sure the applicant has been notified by NIST.

NOTE: Only the team leader, backup team leader and the NIST monitor may talk to the applicant's OCP. The applicant can identify an alternate OCP who can also communicate with the team leader. Communication with the applicant in the planning phase **is limited** to the OCP and any designated alternate(s).

During the initial call, the team leader should discuss/provide the following:

- Congratulations for being selected to receive a site visit.
- Your name and employer
- Provide the OCP with
  - ® your telephone number(s). Remind the OCP not to leave any messages that could reveal "the who" and "the where" of the site visit.
  - ® the name and telephone number(s) of the backup team leader and an explanation of his/her role.
- Confirm with the OCP
  - ® the team leader, NIST monitor, and OCP are the only points of contact unless it is necessary for the backup team leader and/or alternate OCP to communicate.
  - ® the week of the site visit is:

Team Leader Communication with the Applicant

(continued)

October 17 – Health Care, Service & Sm. Business
October 24 – Education and Manufacturing

® the Site Listing Descriptors provided on the *Additional Information Needed Form* are complete, and if not, obtain updates.

- Review with the OCP
  - ® The primary purpose of the site visit is to verify & clarify the contents of the application.
  - ® The primary products of the process are a report for the judges to use in decision-making on which applicants could be recommended as award recipients, and a feedback report for the applicant.

- Ask the OCP
  - ® Any questions you have already identified.
  - ® What questions he/she has for you.
  - ® What dates and times to schedule future telephone conversations. A weekly telephone call is recommended, so that regular communication is established. Also, establishing a set time each week to talk. This can help reduce the stress level for the applicant.

Subsequent Team Leader Communication with the Applicant

Subsequent calls with the applicant's OCP.
During the regularly scheduled weekly calls with the OCP, more information is obtained and used for planning the site visit. Also, these weekly calls help the OCP understand the site visit review process and provide the opportunity for the OCP to ask questions.

The following topics should be covered with the OCP as early in the planning process as possible.

See pages 3-4, 3-11, 4-13, & 4-14

- Review the opening and closing Meeting processes, including expectations of both the applicant and the Site Visit Team

See page 3-6, & 4-14

- Remind the OCP of the site visit boundaries:
  - ® The site visit team cannot meet with any suppliers or customers.
  - ® The Examiners can accept no gifts.
  - ® No data or documents will be asked for or accepted by the Site Visit Team after the Closing Meeting.
  - ® No feedback of any type is provided by the Site Visit Team during the site visit.

See pages 3-9, 4-7, 4-10 & 4-11

- Provide Site Visit Team travel plans to the OCP and ASQ for team members traveling to other locations as soon as possible, but no later than <u>two weeks</u> prior to the start of the visit.

Note: The applicant is responsible for providing

Subsequent Team Leader Communication with the Applicant (Continued)	transportation to other locations, and the OCP will appreciate as much lead-time as possible for arranging travel between locations.
See pages 3-21, 4-11 & 4-13	• Request information on lunch options. Ask about what is appropriate clothing for the team to wear while visiting the applicant site(s).
See pages 3-7, 3-21 & 4-13	• Confirm the availability of key people and ask for a list of the applicant's point of contact for each of the seven Criteria Categories.
See pages 4-13 & 4-14	• Discuss the on-site portion of the site visit schedule, which begins with the opening meeting and ends with the closing meeting.
See pages 4-13, 4-14, & sample Day 1 Agenda(s) on pages 5-18, 5-20, & 5-22.	To assist the applicant in the arranging for the availability of key people for interviews, one week prior to the start of the site visit, discuss your preferred interview schedule for day 1 of the On-Site Phase of the site visit.
See pages 3-6, 3-21, 4-13 & 4-14	• Prepare a list of documents the team will need to have available on Day 1 of the on-site visit portion of the site visit, and give the list to the OCP one week prior to the start of the site visit.
Team Leader Communication with NIST	A member of the NIST staff will be assigned as a site visit monitor. Include the NIST monitor in your planning efforts and maintain regular contact with the monitor. The NIST monitor is included in all team calls and is a recipient of all team communications. The NIST monitor can, but is not required to, participate in the weekly telephone calls between the team leader and the OCP. The NIST monitor also establishes a regular schedule for calls with the OCP (the team leader does not participate in these calls).
Team Leader Communication with the Chair of the Judges Panel	On September 22nd and the 23rd, from 4-5p.m. EST there will be a conference call between the Chair of the Panel of Judges and all Site Visit Team Leaders. Each team leader must attend one of these conference calls. The agenda will include guidance on the HRO interview, judges' expectations to include a clear audit trail from the Consensus Scorebook through the Site Visit Scorebook, a review of the call between the team leader and the lead Judge during the final Judges' meeting, and Post Judges' meeting call activities.
Team Leader Communication with Team members **See page 5-9**	During the planning phase, the Site Visit Team needs to conduct regular conference calls. These calls are used to keep the team informed, to cover all aspects of the planning activities, and to ensure all necessary tasks are being completed by the team members (e.g., develop SVIs and start work on SVI Worksheets, travel

Team Leader Communication with Team members (continued)	arrangements to and from the site, etc.). The planning that is done before reaching the applicant's location is essential for ensuring an effective site visit.
Team Leader Communication with ASQ **See pages 4-1 through 4-5**	An ASQ representative assists the team in setting up the logistics for the site visit. These include hotel and conference room reservations near the applicant's site; any inter-site travel; transportation from the airport to the hotel, and from the applicant's headquarters, conference calls, planning meeting food, and printers. Examiners will need to provide credit card information to the ASQ representative so that hotel reservations can be made for hotel rooms at the applicant's headquarters and any inter-site hotel requirements. Responsiveness to ASQ's requests for planning is essential to ensure all the logistical requirements are in place before the site visit begins.
Team Leader Communication – Requests for Information, Documents, Materials, and Facilities **See pages 3-21, 4-13 & 4-14**	There are three types of requests for information, materials, etc. from the applicant. These include: • Requests for materials for the site visit planning (provided to the OCP during regularly scheduled calls). • Request from the team leader one-week in advance of the site visit. • Requests from the team immediately upon completion of the opening meeting and during the On-Site Phase. Some materials cannot be reviewed in advance and are requested 1-week in advance and once the Examiner team is on-site with the applicant. Please refer to the "Site Visit Document Request" checklist for guidance in what to request and when the items should be available.
Team Leader Communication – Additional Guidelines **See pages 3-21, 4-11 & 4-13** **See page 4-18**	**The applicant can be told** • Examiners will verify and clarify contents of the written application. • If there will be intersite travel, which Examiners will travel, where, and when. (The applicant is responsible for making these arrangements) • Examiners will review updates to charts and graphs in the application and will review the source documents for the data in the charts and graphs. • Examiners will be addressing specific site visit issues and will *not* verify everything in the application. **The applicant may not be told** • Specific information about team members, such as, what types of experience they have or what their backgrounds are. The applicant receives a team listing

Team Leader Communication – Additional Guidelines

(continued)

See pages 3-21, 4-7, 4-13 & 4-14

- from ASQ that will include the Examiners names and their employers only.
- Specific site visit issues, and specific site visit themes.

The applicant may be asked to have

- Updated tables and graphs that were part of the application and the applicable source documents.
- Specific people from remote or foreign sites to be interviewed. Indicate the person by name, title, or function. The interview(s) may also be done by audio or video teleconferencing.

Deployment and results information from representative sites not visited (including remote offshore/foreign sites).

Team Leader Guidance Team Tasks

(See pages 5-1 through 5-26)

- Tell the team when and where they should arrive and depart from the applicant's site. Travel plans must not adversely affect the team or the evaluation of the applicant.
- Use the backup team leader to help plan and carry out tasks.
- Develop team assignments and instructions for the site visit. Discuss the plan with team members and the NIST monitor.
- Assign team members in pairs. Teams should be made by pairing experienced with non-experienced Examiners, sector experience with non-sector experience, and with a gender mix.
- Ensure all team members are ready, have completed their assignments, and have exchanged appropriate materials with each other before the start of the site visit.
- Send a copy of all correspondence with the team to the NIST site visit monitor, and ask the team members to do the same. Include the NIST monitor on all conference calls.
- Set expectations and develop a work schedule with all team members.
- Remind the team all materials are confidential.
- Stress to the team all assigned tasks need to be completed prior to the beginning of the site visit.

Team Leader Guidance Computer Use Planning

Team members have the option of bringing their laptops to the applicants' site. However, their use is **restricted to**

See pages 6-9 & 6-10 **Team Leader Guidance Computer Use Planning** **(Continued)**	**<u>the team conference room</u>**. Remember, the focus while at the applicants site should be interviewing employees, and reviewing documents to close out SVIs. Identify a team member to coordinate computer use during the site visit. This team member will need to: • Determine the types and versions of computers and software team members will be bringing. • Determine team members' ability to export and import documents and their compatibility with disk, CD, and memory sticks, ect. • Ensure compatibility of printers with computers. ASQ will work with a contractor to secure two printers for the team. ASQ will provide information about the type of printers to the team so the team members can ensure they have the correct printer drivers. • Identify team member(s) who are unable to bring a computer to the site visit, or who have hardware and/or software compatibility issues, and discuss with the NIST monitor.
Team Leader Guidance Site Visit Issue Planning **See pages 7-1 through 7-7**	If not already done, As part of the planning for the site visit, the TL, BUTL or team members should complete their preparation work. To do this, they should: • Start with the consensus scorebook. • Consider key themes, and Key Factors. • Develop site visit issues (SVIs) to clarify and verify the key issues. See guidance on options of who develops SVIs • Draft strategies for each SVI on SVI Worksheets. • Circulate Site Visit Issue Worksheets to each team member and the NIST monitor. • Review all the SVI Worksheets and provide feedback. • As a team, agree on all SVIs.
Team Leader Guidance Logistics Planning **See page 3-21**	Identify potential sites to visit by asking team members for important issues and at what facilities they need to visit. Determine • What is done where. • What percentage of sales/revenues/budgets or employees/faculty/staff each site represents. • The age of the facilities.

Team Leader Guidance
Logistics Planning

(continued)

- How long the applicant has owned or operated the facility.
- The type of products/services/technologies (new/old)
- The type and distribution of employees/faculty/staff.
- The type and distribution of work.

The following additional actions need to be taken:

- Select sufficient sites to visit to ensure that the team tests deployment and that the applicant feels the evaluation was thorough.
- Determine sites to visit in person and sites that can be "visited" via video or teleconferencing too effectively obtain the needed information and reduce intersite travel.
- Calculate costs in time vs. benefit(s) and importance of traveling to another site.
- Identify those sites where the team can best verify and clarify important issues. Work with the team to get ideas and buy-in.
- Identify which team members to send to which site and on what days and when to hold conference calls. Notify ASQ to arrange for speakerphones and to make conference call arrangements. ASQ requires an 8-hour notice to set up conference calls.
- Decide the number of days and the dates to be spent with the applicant at site. Coordinate with NIST.

Provide ASQ, the NIST monitor, and the OCP with the schedule of the sites to be visited, the dates of the visits, and who will be traveling where.

Team Leader Guidance
Planning Meeting

See pages 5-15 & 5-16

The planning meeting occurs the day before (usually on Sunday, typically noon) the opening meeting with the applicant. Agree on a start time for the planning meeting and provide this information to the NIST monitor and to ASQ. The following actions and items need to be completed and discussed during the planning meeting:

- Develop an agenda of the items and issues to be addressed.
- Finalize the site visit schedule.

See pages 6-5 through 6-7

- Discuss demeanor, interview skills, and wording of questions for site visit interviews - remind team members to respect the applicant's culture and

Team Leader Guidance Planning Meeting

(continued)

environment, including behavior and dress code.

- Discuss strategy to prioritize site visit issues.
- Develop a system for monitoring the receipt of additional materials from the applicant.
- Each Category/Item Lead prepares a list of specific requests for their Category counterparts the day of the site visit. Requests typically include additional documents, data, and people to interview. This provides the team the opportunity to request other documents and data that it feels is necessary, as well as preparing the applicant to provide personnel for interviews scheduled for days 2, 3, and possibly 4 of the site visit.

See page 6-8

NOTE: To prepare the applicant for the first day on site, you requested a list of documents and data, as well as an interview schedule one week prior to the site visit.

- From the SVI strategies, develop a list of walk around questions, and prepare a schedule to ask the questions.
- Prepare questions and the process to use for the Team interview with the applicant's leadership after the opening meeting.
- Prepares for the meeting with the highest ranking official (only the team leader and NIST monitor may attend this meeting).

ON- SITE PHASE:	The ***on-site phase*** of the site visit review begins with the opening meeting at the applicant's site and ends with the closing meeting at the applicant's site. The entire site visit process is not complete until the site visit scorebook is finished and signed by each team member (the timeframe for completion of the scorebook usually takes two to three days after the closing meeting with the applicant). **NOTE:** The site visit typically starts and ends at the applicant's headquarters. Exceptions to those locations, made on a case-by-case basis, require approval by NIST and the applicant.
Conducting the Site Visit – Opening Meeting	The opening meeting is held for employees /faculty/staff of the applicant and the site visit team. The applicant will discuss any deviation(s) from this guideline with the team leader and the NIST monitor. **NOTE:** If Examiner are asked to introduce themselves, they provide only their name and current employer. Examiners are ***NOT*** to provide additional background information, such as MBNQA experience, credentials, title, work experience, or specialty in their organization. The key components of the opening meeting are: • Presentation by the applicant (up to one hour). • introductions of the site visit team members and an overview of the Baldrige Award and the site visit review process, presented by the site visit team leader (five minutes), using overheads provided by NIST NOTE: The order of the presentation is optional. **Photographs and/or Videotape parameters**. The applicant may take pictures prior to the opening meeting. The opening meeting may also be videotaped. The applicant is asked not to photograph or videotape the Examiner team. Pictures and videotape are restricted to <u>internal use only</u> by the applicant.
Conducting the Site Visit – Additional Meetings	After the opening meeting, a meeting is held with applicant's senior leaders or with the Category counterparts. The Examiners, in teams of two, conduct interviews and review documents. Examiners are not permitted to interview customers, suppliers, patients, students, parents, and non-employees.
See page 4-13	**Applicant Materials** All Examiners need to track all materials they receive from the applicant. It is very important to keep in mind the time constraints of the site visit and only request the necessary information. The applicant should provide

Conducting the Site Visit – Additional Meetings

(continued)

some type of name card to attach to the materials or the originator should write his/her name on the material. The site visit team needs to develop a tracking system to ensure that all materials are accounted for and returned to the applicant. The NIST Monitor will coordinate with the OCP for the return of all the requested materials

Team Meetings
Daily Team meetings. These meetings are scheduled each day, preferably mid-morning and mid-afternoon, to exchange information and make any needed adjustments to the schedule. For those site visits where Examiners are at several different locations, the team leader should work with the NIST monitor and ASQ to schedule conference calls so that all Examiners participate in these meetings.

Evening team meetings. Team members debrief everyone on his/her assigned Items and the related site visit issues during the evening team meeting. These evening meetings are conducted each night and should include a discussion of progress on closing out SVIs, any concerns, any needed adjustments to strategies and interviews, and any new site visit issues identified.

Agenda for a typical evening meeting is on page 5-24.

Evening team meetings are used also so that the team leader can monitor how all team members are progressing on closing out their SVIs and to check on the progress of the team's assignments. If any of the Examiners are not making progress, it may be necessary for the team leader or other team members to provide assistance.

During the on-site and post-site phases, it is important for team members to keep all notes of their interviews and meeting. This will aid the Examiners to properly document findings and conclusions on SVI Worksheets. These notes are given to the monitor for destruction at the close of the site visit.

Last Chance.
Before the closing meeting at the applicant's site, it is vital that the site visit team identify any ***IMPORTANT*** site visit issues that remain and discuss how to get the needed information to close them. If necessary, reassign team members to address critical issues. This is normally done on the evening before the day of the closing meeting.

Throughout the site visit, remember to follow your site visit plan, but be flexible and expect surprises and adjust as necessary.

Be sensitive to the applicant's reactions. If the applicant indicates the team is missing the point, make time to listen. If a team member behaves inappropriately, immediately confer with the NIST site visit monitor and take the necessary action.

Conducting the Site Visit Closing Meeting

See page 4-14

The closing meeting signifies the end of the on-site phase of the site visit with the applicant. This meeting, like the opening meeting, can be photographed and/or videotaped with the same restrictions.

The closing meeting can last from 15 minutes to one hour. The team leader will discuss the content of the closing meeting with the OCP at least one day prior to its occurrence. If the applicant would like to provide additional information on an unsettled issue, the OCP and team leader should reach agreement on the topic, the length of time, and the presenter. At the end of the meeting, the team leader presents a brief 5-minute closing, using overheads provided by NIST.

Following the closing meeting, no data or information may be accepted, and the team will have **no** further contact with the applicant. The team will depart for the hotel to complete the site visit scorebook.

POST-SITE VISIT PHASE

The post-site visit phase consists of two major components. The first is the completion of the site visit scorebook by the site visit team. The second involves the team leader conference call with the Panel of Judges during the November Judges meeting (16^{th}-19^{th}), and the Technical Edit conference call with the Lead Judge and the NIST Monitor at the conclusion of the November Judges Meeting.

Site Visit Scorebook

Sample SVI Worksheets are provided in the Just-In-Time materials

For sample agenda for completion of Scorebook see page 5-24

The site visit scorebook is based on the content of the consensus scorebook and is updated as a result of the findings from the site visit. The scorebook provides the Judges with an audit trail of the results of the site visit, and they use it to recommend Award recipients.

Completing the site visit scorebook is the culmination of the site visit review. Keep in mind, that ***completing the scorebook requires a significant amount of time and energy***. To make the process more efficient and less stressful, team members should update their SVI Worksheets throughout the week, and not wait until the on-site portion of the site visit is completed (***remember that updating the SVI worksheets is an ongoing process throughout the visit***). This also helps the team to track the progress of the SVIs and ensures that all needed information is obtained before the closing meeting at the applicant's site. Typically, it takes **28-35 work hours** to complete the scorebook after the on-site phase is completed.

Site Visit Scorebook

(continued)

Instructions for Worksheets are provided on pages 7-4 through 7-11

The site visit scorebook is compiled in the following order:

- Cover Sheet
- Summary of Sites Visited Worksheet
- Key Factors Worksheet
- Key Themes Worksheet
- 19 Item Worksheets (Items 1.1 – 7.6)
- Site Visit Issue Worksheet(s) (1.1-1 – 7.6-#)
- Appropriate Score Summary Worksheet
- Signature Page

Site Visit Scorebook

Preparation of the Key Factors, Site Visit Issue, and Item Worksheets

- Team members provide all data/observations relevant to SVIs or additional Key Factors to the team member responsible for writing up the appropriate SVIs and Item Worksheet.

- Team members complete their assignments and SVI worksheet(s) with updated findings.

- Team members share their findings on each SVI with the team. This should occur daily during the on-site and the post-site phases.

"Walk the wall" see pages 5-25 & 5-26

- Team members post their draft SVI Worksheets, review all worksheets, and provide input on the information on the worksheet. There are usually several iterations of this process. One suggested method to accomplish this review is to post each SVI Worksheet on the walls around the team meeting room. This is known as "walk-the-wall." For more information.

- Team members finalize their SVI Worksheets based on the input from the team and their concurrence.

- Team members revise and post their Item Worksheets with updated comments resulting from the findings and the conclusions noted on the SVI Worksheets. Team members review all Item Worksheets, and provide input on the comments on the worksheet – there are usually several iterations of this process (the same walk-the-wall process used for the SVI worksheets is suggested)

- Team members finalize their Item Worksheets for each assigned Item based on the input from the team and each team member indicating their concurrence

Site Visit Scorebook

Score Summary Worksheet

See pages 7-5, 7-9 & 7-10

- Team members recommend a scoring range for each Item based on Site visit findings and conclusions. The team members are asked to indicate one of the following for each Item:

Site Visit Scorebook **Score Summary Worksheet** **(continued)**	• Higher Range – The Site Visit team is recommending a scoring range for an Item that is higher than the scoring range at consensus • Same Range – The Site Visit team is recommending the same scoring range for an Item as in consensus • Lower Range – The Site Visit team is recommending a scoring range for an Item that is lower than the scoring range at consensus
	• Team member complete the Score Summary Worksheet for Site Visit, transfer the Item Range from the Item Worksheets to this page, indicating whether the scoring range would change due to site visit findings
See pages 7-10	• Team members refer to the Scoring Band Descriptors and determine which band descriptor most accurately reflects the team's view of the applicant and then records the band number on the Score Summary Worksheet**.** The Scoring Band descriptor is used in the opening paragraph of the applicant's feedback report

Site Visit Scorebook **Key Themes Worksheet, Summary of Sites Visited Worksheet, and Signature Page**	• Team member revise and post the Key Themes Worksheet with updated comments resulting from the findings and the conclusions noted on the SVI and Item Worksheets. Team members provide input on the comments on the Key Themes worksheet – there are usually several iterations of this process (the same "walk-the-wall" process used for the SVI and Item worksheets is suggested)
	• team member finalize the Key Themes Worksheet based on the input from the team and each team member indicating their concurrence
Sample page 7-8	• The assigned team member drafting the Summary of Sites Visited Worksheet, share with team members
	• Team members provide an electronic file on diskette to the scorebook editor and/or team leader to use in preparing the site visit scorebook
See sample 7-11	• All team members sign the Signature Page
	• Team members (except team leader, and the backup Team leader) leave ***ALL*** materials including the Application(s) with the site visit monitor.
	At the conclusion of the site visit, a disk and paper copy is printed for NIST and ASQ. A paper and/or electronic copy of the scorebook is printed for the team leader, and

Site Visit Scorebook **(Continued)**	the BU team leader. The NIST monitor mails hard copy and an electronic copy to ASQ, along with a paper copy of the signed signature page
Final Scorebook Production Process STEP 1: Team Leader and Scorebook editor work with Category/Item Leads	During the site visit, the team leader and scorebook editor works with each Category/Item lead to be sure that the comments contained in the Item and Key Themes Worksheets meet the Criteria requirements and the Comment Guidelines. • Clarify and standardize the language between Items and Key Themes (such as the name of the applicant, process, etc.). • Eliminate any conflicts between strengths and OFIs within and between Items and Key Themes. • Check that all comments conform to the Comment Guidelines (avoid jargon, prescription, prediction, negative tone, and include specific examples, figure references, focus on major objectives of the Criteria, etc.). • Ensure that all statements such as "it is not clear," "it does not appear that," and "it is not evident" are changed to reflect the findings of the site visit.
STEP 2: Retain a copy of the site visit scorebook on paper	At the conclusion of the site visit, a paper copy of the Stage 3 scorebook is printed for the team leader and the BU team leader. A CD and/or disc copy A CD or disk, and a paper copy are printed for NIST and ASQ. The NIST monitor mails a paper copy, and a CD or disk copy to ASQ, along with a signed copy of the signature page. The monitor returns to NIST with paper, and CD or disk to NIST.
STEP 3: Save the completed scorebook	Save the revised worksheets as a single Word for Windows 95 6.0 file. Do not save the individual Items or Categories as separate files. Label the file "SVXXapplicant's number.A" (Example:SVXX001.A). If you cannot save the file in Word for Windows 95 6.0, save the file in whatever format you have, and NIST will convert it. Please label the disk indicating which format you used to create the scorebook, e.g., Word for Windows 95 6.0, WordPerfect 5.1, Microsoft Word for the Mac, etc. Check the CD or diskette to ensure that it does not contain a virus. If using a CD, be sure it is formatted in such a way that it can be read and accessed by any computer. Many CD writable drives come with software that prohibits/access by other software unless specifically formatted to allow access.

STEP 3: Save the completed scorebook **(continued)**	Make a copy of the file on a CD or diskette, and keep it in a place where only you have access to it. The scorebook file cannot remain on your hard drive if others have access to the hard drive. Do not destroy the scorebook file until you are notified by NIST that the feedback report has been sent to the applicant.
STEP 4: **Team Leader edits Site Visit Scorebook comments**	After all phases of the site visit are complete and the Examiners have returned home, the team leader prepares for the conference call with the Panel of Judges and the technical edit call with the Lead Judge and the NIST monitor. In preparation for the call with the Panel of Judges, the team leader should focus on understanding the whole report. For preparation of the technical edit call, the team leader should focus on edits to the Item and Key Themes Worksheets (legible pen or pencil changes are preferred).
STEP 5: **Team leader forwards report package to NIST**	If extensive edits are noted, use the Federal Express package **addressed to NIST** and send a paper copy of the revised worksheets (again, handwritten corrections on the paper copy are preferred). Please send them to your NIST monitor by November 15th. If edits are not extensive, communicate your edits to your NIST monitor by secure phone. After the technical edit conference call with your Lead Judge, the monitor will incorporate them into the feedback report to the applicant. Keep an electronic copy of the scorebook and a paper copy (if desired) with any handwritten revisions until notified that the feedback report has been sent to the applicant. Do <u>not</u> send the application at this time. ASQ sends notification when it is time to return the application. Keep the sender copy of the Federal Express air bill in the event the package needs to be traced.
STEP 6: **Team leader discussion with the Judges**	To decrease the time for producing feedback reports for site-visited applicants, the Judges will receive and review the scorebook prior to the Judges' November 16-19 meeting. Judges may raise issues relating to the scorebook on the conference call with the team leader. Furthermore, the Judges will finalize their review of all scorebooks on the last days of the meeting (November 18-19). The team leader must be available to answer the Lead Judge's questions and to resolve issues relating to the scorebook, including any substantive changes made between the comments in the scorebook prepared at site visit and those made in the final scorebook submitted to NIST.

The Team Leader Call with the Panel of Judges

Team leaders are required to participate in a conference call with the Judges during the November judges meeting. NIST will request team leaders contact information as to how and where he/she can be reached during the four days of the Judges' meeting. Because of your schedule, NIST might need to contact you by pager or a cell phone. As a reminder, just as in Consensus and Site Visit, a cell phone may not be used for the conference call with the Panel of Judges. If the team leader is not available to take the conference call with the judges, the back-up team leader needs to be available to participate on the call. Also, the team leader should have the same type of contact information for each team member in case the team leader needs to contact any of the team members to clarify any questions the judges might have.

The Judges plan to review the applicants by Category in this order: Health Care, Service, Sm. Business, Education, and Manufacturing. NIST will inform the team leader which day the call is likely to occur. However, since the Judges may reconsider an applicant at any time during their four-day meeting, it is important that NIST know how to reach you during all four days of the Judges' meeting.

NIST will notify the team leader 15-60 minutes before the Panel of Judges are ready for discussion. This will provide the team leader an opportunity to go to a secure office and secure phone to spread out reference materials.

When the Judges are ready to talk to the team leader, NIST will call the team leader and connect him/her to the telephone in the Judges' meeting room. The conference call may vary in length depending on the issues. Last year, the call length varied from 30 to 90 minutes, and the average call was 50 minutes long.

Preparation. To prepare for the call with the Panel of Judges, review the Site Visit Scorebook and make notes of any special issue(s) that the team found on the site visit or any that may not be adequately conveyed in the Site Visit Scorebook. In addition, prepare to address the following:

- Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?
- What are the most important strengths or outstanding practices of potential value to other organizations that the team identified?
- What are the most significant concerns, risks, or vulnerabilities that the team identified?
- Considering the applicant's Key Factors, what are the most significant strengths, vulnerabilities, and/or gaps

The Call with the Judges

(continued)

- (data, comparisons, and linkages) found in Category 7?
- If the site visit team recommended a Scoring Band change, what were the key drivers for that change?

In addition, the team leader should review the site visit scorebook (this is the copy of the scorebook that the Judges receive) and be prepared to discuss issues, including any substantive modifications or clarifications that you feel should be made to the scorebook

The Call. One Judge serves as "Lead Judge" for each applicant. He/she will have summarized the key issues for the Judges before the call, but not act as an advocate for the applicant. The Lead Judge begins the process by asking the standard questions (page 3-18) and other questions prepared by the Judges.

When the Judges are satisfied that all issues have been addressed, they will thank the team leader and conclude the call. However, other issues could arise at any time during the four-day meeting and this could require an additional call with the team leader.

If an additional call is necessary, NIST will call and inform the team leader and establish a time for the call. If this additional telephone call occurs, the steps above are repeated. Once the Judges are satisfied that all questions or issues have been addressed and do not need to talk to a team leader again, NIST will call the team leader to let him/her know that no additional calls are necessary.

Team Leader Final Site Visit Scorebook Conference Call with the Lead Judge

On Thursday or Friday, November 18^{th}–19^{th}, the lead judge reviews the final site visit scorebook(s) for his/her assigned applicant(s). As a result of the conference call with the Panel of Judges, the lead judge and the NIST monitor calls the team leader and discusses any changes to the Stage 3 Scorebook with the team leader. During this call, the judge will provide input on changes to the comments. Therefore, the team leaders must also be available to discuss the final site visit scorebooks with the lead judge on these days. There are instances when this call can occur during the following week due to scheduling conflicts.

Team Leader Feedback with the Lead Judges

- At the conclusion of the final site visit scorebook discussion, the Lead Judge will provide feedback to the Team Leader concerning the call with the judges and the site visit scorebook. Feedback includes the following:
  - Presentation - did the team leader conduct an effective presentation of the most significant strengths, OFIs, and results questions?
    - Clear voice, succinct, articulated

Team Leader Feedback with the Lead Judges

(continued)

- Concise, with well prepared comments
- Maintain control of the presentation
- Provide credible descriptions

- Objectivity - in responding to questions from the panel of Judges, did the team leader provide unbiased insight that enabled the judges to reach closure on the issues?
  - Responses all based on facts established throughout the evaluation cycle
  - Clear, concise responses
  - Focused on specific questions at hand
  - Asked clarifying questions to ensure understanding
- Did the SV Report present an integrated view of the applicant?
  - Integration of all materials
  - Reflected collective input and perspective of entire team
  - Audit trail-conclusions could be traced back to origin and evidence
  - Enabled fair voting among judges

Guidelines for Determining Team Size and Length of the On-Site Phase of the Site Visit

	Complexity		
Applicant Size	**Low**	**Medium**	**High**
Small	4-7 team members *2 days	5-7 team members *2 – 2.5 days	6-7 team members *2.5 – 3 days
Medium	6-7 team members *2.5 days	6-7 team members *3 days	7 team members *3 – 3.5 days
Large	7 team members *3 days	7 team members *3.5 – 4 days	8 team members *4 days

*The length of time shown is for the time with the applicant and does not include time for planning or scorebook writing

Site Visit Document/Material/Facility Requests

Documents that can be requested prior to site visits - for use in planning strategy

Changes - Documents regarding changes in the organization since the application was submitted (e.g., site acquisitions, sales, and organization chart). **Notify NIST monitor if such has occurred.**
Organization Charts - More detailed organization charts, including key functions and personnel
Individual location details **Facilities** - types of facilities/what's done where - location of special facilities such as R&D - age of sites - length of ownership of different sites **Maps** - of facilities with buildings marked with type of activity (e.g., administrative offices, lab or manufacturing facilities, cafeterias, break areas) **Safety** - considerations for which Examiners need to be prepared (e.g., shoes, clothing, etc.)
Employee demographics - #, type (e.g., supervisory, blue collar, research, etc.) - Recent increases/decreases in employees - bargaining unit information (different units, #members, leadership, stewards, etc.) - work hours for employees - shifts, if any, and time of shift changes - Non-applicant workers on site and how to distinguish from employees of applicant
Parent Relationship - Definition of mix of activities parent vs. applicant and parent/corporate services not noted in the application
Travel time - between sites (ASQ will work with the applicant on logistics).
Foreign sites - functions performed, key people and duties performed, potential availability of people and data from those locations
Contractors - generally contract employees are NOT interviewed. **Prior to requesting information about contract employees, discuss with NIST.** - by location - contractor name - number of contract employees - duties performed - how to distinguish from applicant employees and other contractor employees at same location - number at each location - duties performed for the applicant - contractor name
Category Contacts (name, address, phone, location)
Specific people/key personnel from remote or foreign sites (by name, title, or function to be interviewed during site visit) (Such interviews may be done by video conferencing rather than on-site.)

Team leader requests in advance for applicant to make available to each team member at hotel

Opening Meeting Attendees List- (should be applicant employees only)

Team leader requests 1 week in advance, but not available to team until after the opening meeting

Updates ***(8 copies)*** of all results figures/charts/graphs *that were part of the application*
Documents referred to in the application (e.g., strategic plan) and information showing deployment in and results from representative sites, and sites not visited.
Site Visit Facility needs – 1) conference room with overhead projection capability for opening and closing meetings; 2) 2-3 small meeting rooms for interviews and for team to work/caucus; 3) access to telephone, FAX, copier, if on-site; 4) luncheon arrangements (paid arranged by applicant) in employee cafeteria, if available; 5) **NO word processing or typing assistance**
Miscellaneous needs - name tags or tent cards for employees who meet with Examiners; lunch options for Examiners while on site; business cards or some form of identification to return documents requested.

Additional documents may be requested after the opening meeting.

SECTION 4

SITE VISIT CORRESPONDENCE FROM ASQ

ASQ Letter to Examiners

September xx, 200x

Dear:

Enclosed is important information that you will need for your site visit. This package contains:

- Site Visit Scorebook (draft) containing Consensus Scorebook information (diskette and paper)
- Roster of site visit team members
- Confirmation letter sent to Applicant
- Flight Details Form
- MBNQA Examiner Expense Form
- Site Visit Manual

The site visit for applicant #XX-___ has been set for the week beginning XXXXXXXX. As soon as I have more details specific to this visit, I will let you know. In the meantime, other information you should know includes:

Travel:
You must make your own travel arrangements from home to the site visit and return. I will give you information about your airport destination and what type of ground transportation is available from the airport to the hotel. Please make your reservations at least two weeks prior to the site visit if possible. Then, please complete and return the enclosed **Flight Details Form via fax to me at (414) 765-7214.** If you have any questions, you can reach me by phone at (414) 765-7205.

Remember that arriving late and/or leaving early causes extreme hardship on your team. Please check with your team leader to know when you should arrive and depart so as not to inconvenience your team or to adversely affect the evaluation of the applicant.

Please **DO NOT** make airline reservations for travel between sites during the site visit.   The applicant will make these arrangements after the team leader has provided final travel plans for all team members.

Lodging/Meals:
ASQ will make hotel reservations for the team during the site visit and send you this information when the arrangements are complete. You must confirm your room with your own credit card. ***We ask that you pay for your own room when you check out***. You are responsible to pay for your meals not provided by the Award Program. Examiners approved for reimbursement (see provision below on reimbursement) will submit an expense report to cover these expenses, and will be reimbursed in accordance with Federal Travel Regulations.   ASQ will also reserve a meeting room at the hotel for the team's use during the site visit.

Reimbursement:

The Award Program attempts to reduce site visit expenses; therefore, Examiners are encouraged to obtain support from their employers to the maximum extent possible. The NIST monitor will poll the team prior to the site visit to determine who will need reimbursement. Once approved for reimbursement, you must submit a MBNQA Examiner Expense Report form with receipts to ASQ to be reimbursed for the expenses.

Reimbursable expenses - will be provided to those approved for reimbursement:

<u>Airlines</u> - It is the Examiners' responsibility to book airline tickets to and from the site visit. Tickets should be purchased in advance with the most economical airline available. Reimbursement will be made at the coach airfare rate. For applicants with multiple sites, Examiners **are not to** purchase airline tickets for inter-site travel; this is the applicant's responsibility.

<u>Mileage</u> - Should you choose to drive to the site, mileage will be reimbursed at .375 cents per mile, not to exceed the cost of coach airfare.

<u>Ground Transportation</u> - Other ground transportation methods, including taxis and airport shuttles will be reimbursed. Car rental fees are generally not necessary. If it is necessary to rent a car, this should be coordinated through the team leader and NIST.

<u>Meals/Incidental Expenses</u> - You are responsible for your own meals. You will be reimbursed for meals not provided by the Award Program and incidentals up to the per Diem based on the Federal Travel Regulations. We will provide you with your per diem rates as site visit cities are chosen.

<u>Phone Calls</u> - The Award Program will pay for phone calls related to site visit planning. For the team's planning conference calls, ASQ will make the arrangements for the calls and will provide the call information to the team members. During the site visit, the program will pay for site visit-related phone calls.

<u>Expense Report Processing</u> – In order to expedite processing of expense reports sent to ASQ, please remember:

1. Inform NIST before submitting an expense report to ASQ
2. Submit to ASQ <u>*all* receipts</u> with your expense report
3. Attach receipts to paper to prevent loss of receipts
4. Fill out expense reports completely and accurately
5. Do not exceed the per diem rate (meals and incidentals) provided

Overnight Mail:
The Award Program will pay for any expenses incurred when sending correspondence and packages to other team members. To avoid incurring charges to your address, please:

1. Use Federal Express.
2. Enter the MBNQA Federal Express account number, 1795-1300-5 in the airbill "Payment" Section.
3. Enter your site visit team number in the "Reference Info" section.

***Name Badge**:*
Please bring your Malcolm Baldrige name badge on your site visit. If your name badge has been damaged or you are unable to find it, please notify me at least two weeks before your site visit starts. Do not wear it in the hotel or airport.

Planning:
Please remember that the purpose of the site visit is to verify the contents of the application and to clarify any areas in the application report where the information may not be complete in relation to the Criteria.

The team leader will be contacting you to discuss details of the site visit agenda. As soon as I have more information, I will pass it on to you. In the meantime, if you have any questions about the site visit, please call me at (414) 765-7205. **Do not call** the contact person at the organization. Any information for the organization should be passed through the NIST monitor, the team leader, or myself.

Have a fun visit!

Sincerely,

MBNQA Program

Enclosures:
1. Site Visit Scorebook (disk and paper)
2. Roster of site visit team members
3. Confirmation letter sent to Applicant
4. Flight Details Form
5. MBNQA Examiner Expense Form
6. Site Visit Manual

PLEASE COMPLETE AND FAX TO - (414) 765-7214

FLIGHT DETAILS FORM

Examiner Name:______________________________________

Applicant Number:________________

Method of Travel: ☐ Airline ☐ Private Car*

☐ Other (describe) ____

DEPARTS TO SITE	Airport:	
	Date:	
	Time:	
	Airline/Flight #:	
	******Time: Connecting:	
	******Airline/Flight #: Connecting:	

ARRIVES AT SITE	Airport:	
	Date:	
	Time:	

DEPARTS FROM SITE	Airport:	
	Date:	
	Time:	

*** If you are driving, please note your planned arrival and departure times from the site visit hotel**

****Complete only if traveling on connecting flights.**

Provide Credit Card Number for Hotel Reservation:

____EXP:_______TYPE:__________

If you have questions, call 414/765-7205.

2004 MBNQA Examiner Expense Report

Application #__________
(If applicable)

ASQ USE ONLY

Name (please print) ______________________________

CHECK PAYABLE TO ______________________________

Check to be mailed to ______________________________

____

____

This report details expenses for: ______________________________

	Sunday	*Monday*	*Tuesday*	*Wednesday*	*Thursday*	*Friday*	*Saturday*
Dates:	______	______	______	______	______	______	______

TRANSPORTATION

TOTALS ***CATEGORY***

Airfare	______	______	______	______	______	______	______	____
Taxi	______	______	______	______	______	______	______	____
Parking	______	______	______	______	______	______	______	____
Rental Car	______	______	______	______	______	______	______	____
Tolls	______	______	______	______	______	______	______	____
POV mileage	______	______	______	______	______	______	______	____
Shuttle	______	______	______	______	______	______	______	____

TRANSPORTATION – TOTAL______

LODGING

Hotel	______	______	______	______	______	______	______

LODGING – TOTAL______

MEALS

Breakfast	______	______	______	______	______	______	______
Lunch	______	______	______	______	______	______	______
Dinner	______	______	______	______	______	______	______
Daily Total	______	______	______	______	______	______	______

MEALS – TOTAL ______

MBNQA SUPPORT EXPENSES

Telephone	______	______	______	______	______	______	______
Fax	______	______	______	______	______	______	______
Other	______	______	______	______	______	______	______

SUPPORT EXPENSES – TOTAL______

Mail this completed form and receipts to:

ASQ/MBNQA Examiner Reimbursement
P.O. Box 3005
Milwaukee, WI 53201-3005
Questions ? (414) 765-7205

TOTAL OF ALL EXPENSES__________

Examiner Signature/Date: ______________________________

ASQ USE ONLY
"NOTE FOR RECORD"

____

____

Signature

ASQ Letter to the OCP

September XX, 20XX

Dear [OCP]

Congratulations on your organization being selected for a site visit as part of the Malcolm Baldrige National Quality Award (MBNQA) review process. Previous applicants have told us a site visit can be an exciting, energizing, and rewarding event.

Your site visit is scheduled for the week of October xx – xx, 20XX.

The purpose of the site visit is to verify and clarify the information presented in the application report. Site visits are conducted by members of the MBNQA Board of Examiners, and are led by a Senior Examiner. A site visit may last two to four days and consists primarily of a review of pertinent records and data, and interviews with people within your organization. A representative from the MBNQA Program Office will accompany the site visit team.

If your organization has received a previous site visit from the Baldrige National Quality Program you will find that a new site visit team has been assigned to review your organization this year. In preparation for its visit the new team will be given only the information that your organization provided in this year's application. We do this purposely, to ensure that your organization gets a "fresh look" with a different set of eyes each year you apply. Consequently, this year's site visit team will not necessarily investigate the same issues or operate in the same manner as the previous team(s).

Before and during the site visit, the MBNQA Program office representative will be available to answer questions, to assist your organization in understanding the site visit process, and to address any concerns you may have. The MBNQA Program office representative will also provide the site visit team with guidance in planning and conducting the site visit. If you have additional concerns, contact the MBNQA Program office at 301-975-8789.

We will work closely with the team of Examiners to plan and prepare for your site visit.

The enclosed information identifies the action items you must complete in preparation for the site visit. A separate document titled 'Overview of the Site Visit Process' includes recommendations and reference materials to help you anticipate and manage the site visit details.

We look forward to working with your organization in the coming weeks.

Sincerely,

Peter LaBonte, MBNQA Program

Enclosures:

1. Action Items with the following four attachments:
   - Attachment A: Addendum #1 to the Application
   - Attachment B: Addendum #2 to the Application
   - Attachment C: Site Visit Information Form
   - Attachment D: Instructions for Completing the Site Visit Information Form
2. Flow chart – Award Process Review Cycle Critical Dates for 2004
3. Overview of the Site Visit Process
4. References for Examiners
5. Code of Ethical Standards
6. Examiner Statement

ACTION ITEMS

1. **Send the addendum's and biography described below by overnight carrier to arrive** no later than September 22, 2004 to:

   NIST
   The Malcolm Baldrige National Quality Award Program
   Attn: Mark Shapiro
   100 Bureau Drive, Bldg. 101 Room A600
   Gaithersburg, MD 20899
   301-975-3621

   a. **Addendum #1 to the Application:**
   The Secretary of Commerce and the Director of NIST conduct a records check on potential Award recipients to ensure the Award's integrity (see pages 3 & 4 of the *2004 Baldrige Award Application Forms*). Please prepare a release on your organization's letterhead, signed by two organizational officials or corporate officers, in accordance with the example provided in Attachment A, to allow the Internal Revenue Service to provide information to Department of Commerce officials.

   b. **Addendum #2 to the Application:**
   The Secretary of Commerce and the Director of NIST conduct a records check on the highest-ranking official of potential Award recipients to ensure the Award's integrity. Please complete the enclosed form, Special Agreement Checks for Site Visited Applicants (Attachment B) and **have the highest-ranking official sign and date the form.**

   c. **Biography**
   Prepare a one-page biography of the highest-ranking official of the applicant organization.

2. To assist in making logistical arrangements, complete the Site Visit Information Form (Attachment C) by providing information about airports, ground transportation, and hotels. Send the Site Visit Information Form via fax to ASQ at (414/765-7214) by ______. For additional details, see the Site Visit Information Form - Instruction Sheet (Attachment D).

3. Mail one hard copy of your Updated Category 7, charts, tables, and results from your original submission of your application by overnight carrier to ASQ to arrive no later than the Monday of your site visit week _________. See more information in the enclosed Overview of the Site Visit Process.

4. Review the Baldrige National Quality Program Code of Ethical Standards by__________. If you have other requirements above and beyond the MBNQA Program Code of Conduct, please identify those areas and submit them to us so that we can forward them to your Site Visit Team.

Attachment A

Addendum to the Application for the Malcolm Baldrige National Quality Award required of Site-Visited Applicants.

To be typed on company letterhead and signed by two company officials or corporate officers (must be signed by the Highest Ranking Officer (HRO) principal officer, partner or owner and attested to by the secretary or other authorized officer).

In connection with the above-named company's application to the Department of Commerce for the Malcolm Baldrige National Quality Award, we hereby authorize (Pursuant to Internal Revenue Code Section 6103(c)) the Internal Revenue Service to provide the appropriate officials of the Department of Commerce with tax information pertaining to the company, limited to the following:

1. Has this company failed to file a Federal income tax return for any of the last three years for which filing of a return might have been required? (If the filing date, without regard to extensions and normal processing period for the most recent year's return, has not yet elapsed on the date IRS receives this waiver, and IRS records do not indicate a return for the most recent year, the "last three years" will mean the three years preceding the year for which returns are currently being filed and processed.)
2. Is there any tax, penalty or interest liability for which the IRS gave notice of the amount due and requested payment that has been outstanding for more than 90 days and that this company has not yet paid?
3. Is this company now or has it ever been under investigation by the IRS for possible criminal offenses?
4. Has any civil penalty for fraud been assessed against this company during the current or last three calendar years?

I authorize the IRS to release any additional relevant information necessary to respond to the questions above.

In order to assist you in locating the Federal tax information regarding this company, I am voluntarily disclosing the company's Employer Identification Number (EIN), which is ______________________________.

If this company has filed consolidated corporate income tax returns for any of the last 10 years, listed below are the name, address and Employer Identification Number of the corporation under which the consolidated returns were filed and the specific years involved:

Name of Parent Company: ____

Address of Parent Company: ____

____

EIN of Parent Company: ____

Year(s): ____

____

Name (Signature of HRO)	Attested: Name (Signature)
Title **HRO**(Must be principal officer, partner or owner)	Title (Secretary or another authorized officer)
	Date

Baldrige National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

Special Agreement Checks for Site Visited Applicants

Please complete all of the Items (if not applicable, indicate "NA")

1.HIGHEST RANKING OFFICIAL'S FULL NAME				**2.DATE OF BIRTH**		
LAST NAME	FIRST NAME	MIDDLE NAME	ABBREV.	MONTH	DAY	YEAR

3.PLACE OF BIRTH (USE THE TWO LETTER CODE FOR THE STATE)				**4.SOCIAL SECURITY NUMBER**
CITY	COUNTY	STATE	COUNTRY (If not in United States)	

4.HOME ADDRESS			**5.TELEPHONE NUMBER (include area code)**
Street			
CITY	STATE	ZIP CODE	

6.OTHER NAMES USED AND DATES WHEN USED		**7.SEX**
NAME	MONTH/YEAR TO MONTH/YEAR	☐ **MALE** ☐ **FEMALE**
NAME	MONTH/YEAR TO MONTH/YEAR	
NAME	MONTH/YEAR TO MONTH/YEAR	
NAME	MONTH/YEAR TO MONTH/YEAR	

OFFICIAL NAME AND TITLE (PRINTED)	**SIGNATURE**	**DATE**

SITE VISIT INFORMATION FORM **Attachment C** (See Attachment D for instructions)

CITY, STATE________________________ TEAM #______________________

AIRPORT INFORMATION

AIRPORT #1

NAME_____________________________

LOCATION_________________________

____

DISTANCE FROM SITE_______________

MISC INFO________________________

____

____

AIRPORT #2

NAME_____________________________

LOCATION_________________________

____

DISTANCE FROM SITE_______________

MISC INFO________________________

____

____

SPECIAL EXAMINER INSTRUCTIONS

GROUND TRANSPORTATION INFORMATION

COMPANY TRANSPORTATION

____

____

____

____

____

____

PUBLIC TRANSPORTATION

SHUTTLE_____________________________

____

____

TAXI_____________________________

____

____

MISCELLANEOUS INFORMATION

HOTEL INFORMATION

HOTEL #1

NAME_____________________________

ADDRESS__________________________

____

CONTACT

NAME_____________________________

PHONE____________________________

FAX______________________________

RATE_____________________________

____

HOTEL #2

NAME_____________________________

ADDRESS__________________________

____

CONTACT

NAME_____________________________

PHONE____________________________

FAX______________________________

RATE_____________________________

____

HOTEL #3

NAME_____________________________

ADDRESS__________________________

____

CONTACT

NAME_____________________________

PHONE____________________________

FAX______________________________

RATE_____________________________

____

Allowable Hotel Cost (for sleeping rooms):______________________________HOTEL MUST HAVE A CONFERENCE ROOM (MINIMUM 800 SQ.FT.) AVAILABLE

Site Visit Information Form - INSTRUCTIONS

AIRPORT INFORMATION

Most Examiners will arrive at the site visit by airplane. Please list the most convenient airport to your headquarters site. If there is a second airport, also please list it. Keep in mind that the Examiners may be flying in from all parts of the country.

GROUND TRANSPORTATION

Airport to Hotel:
During the site visit, ground transportation will be used from the airport to the hotel. Several modes of transportation are possible (i.e. shuttle, taxi and limousine). In the past, some organizations that received site visits have volunteered to provide transportation from the airport to the hotel. Please indicate if your organization will provide transportation from the airport. If not, please provide information on other means of transportation from the airport to the hotel.

Hotel to Company Site:
The applicant must provide transportation from the hotel to the organization site.

Site to Site:
For site visits that include multiple sites, applicants must provide transportation between the sites. Please note: for any not-for-profit organization selected to receive a site visit, the Award Program will arrange and incur the cost for any site to site transportation for the site visit team.

HOTEL INFORMATION

The Examiners will stay at a hotel convenient to your site(s). The hotel must have conference room facilities measuring at a minimum 800 square feet and room service available. This room must be able to be secured (locked). In an attempt to keep site visit costs down, the rates must be in accordance with Federal Travel Guidelines. Please list two or more hotels near your headquarters. If you know the name and phone number of a contact person at the hotel, please provide that information. If the site visit team visits other sites, the MBNQA Program will be in contact with you later to obtain your suggestions on hotels near the other sites.

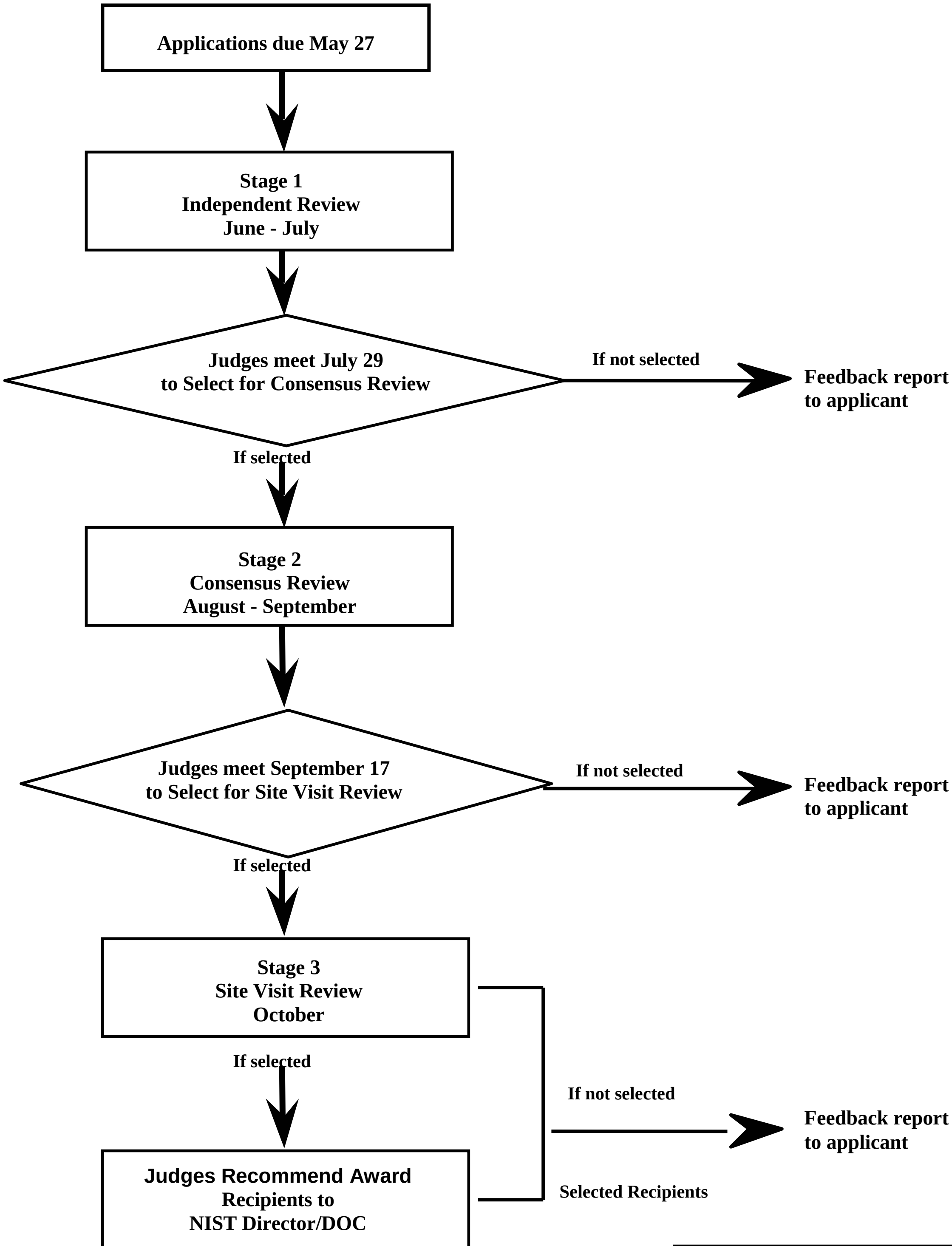
SPECIAL EXAMINER INSTRUCTIONS

Occasionally, special conditions relating to applicant sites require special instructions (e.g. safety policies, dress codes, etc.) to the Examiners prior to the start of the site visit. If any special instructions should be relayed to the site visit team, please provide them.

MISCELLANEOUS

In this space please provide any additional information that might be useful to the MBNQA Program in arranging your site visit.

Award Process Review Cycle
Critical Dates for 2004



Questions?
Call the Award Process Team
in the Baldrige Office at:
1-800-898-4506.

OVERVIEW OF THE SITE VISIT PROCESS

Site Visit Planning and Preparation

Your organization will be sent a list of the Examiners on the site visit team. The Examiners have been selected based on their expertise in your organization's area, their expertise in the Baldrige Criteria Categories, and the absence of any conflicts of interest. However, if your organization has any questions about a particular person or affiliation, contact NIST – MBNQA Program Office at 301-975-8789. All of the Examiners will reaffirm their willingness to abide by the Award Program's Code of Ethical Standards. A copy of the signed Examiner Statements will be provided to your organization at the site visit.

Please provide the Examiners with the following:

- Conference room on-site with overhead projection capabilities for the opening and closing meetings.
- Two or three small meeting rooms on site with suitable furnishings for Examiners to work comfortably. One room will be needed for the Examiner Team to caucus. If possible, one or two additional rooms are needed for interviews.
- Access to telephone, copy machine, and fax on-site, if available.
- Luncheon arrangements are made: on site at employee cafeteria, if available.
- Transportation from the hotel to your site and from site to site.
- No typing, word processing, or secretarial assistance is to be provided.

For site visit planning purposes, the Team Leader may request and should receive the following information in advance of the site visit. At this point of the process **DO NOT** include information about your company's approach, deployment, or results relative to the Criteria for Performance Excellence. The first set of document request concerning your approach, deployment, and results will be made 1 week in advance of your site visit.

- Changes since your submission of your Award application– e.g., site acquisitions, sales, and organization chart.
- Employee demographics - e.g. number, type, recent increases/decreases in employees, work hours, shifts, non-applicant workers on site, contractors.
- List of your organization's key personnel, including location and title.
- Parent relationship – Definition and mix of activities parent vs. applicant, and parent/corporate services not noted in the application.
- List of attendees for the opening meeting (must be limited to the site visit team and employees of your organization).
- "Primary Point of Contact" for each of the seven Criteria Categories to be evaluated (name, title, telephone number, and location).
- More detailed Organization chart(s).
- Schematic or map of your facilities (all sites and process/production operations).
- Policies/requirements above and beyond the Baldrige National Quality Program Code of Conduct.

In addition, one week prior to the site visit the Team Leader will provide a list of requested documents that will help clarify or verify your organization's processes and results. The documents requested should be made available to the team immediately following the opening meeting. The Team Leader will also provide you with a tentative schedule for the first day of the site visit. Please note that once the site visit begins, additional documentation and interviews will be requested.

During the Site Visit

The site visit will start with an opening meeting. Your organization may make a presentation that should not exceed more than one hour. The site visit team leader will also make a short presentation. Attendees at this meeting must be limited to employees of your organization, the Examiners, and the Baldrige Award Program representative.

At the conclusion of the opening meeting the Examiners will generally retire to the conference room where they should find 8 copies of the updated results you sent to ASQ and the documents requested by the Team Leader one week in advance of the site visit. Shortly thereafter the team will begin interviewing employees and requesting additional data and information, frequently beginning with the leadership team. The site visit team will only interview employees of your organization, therefore it would be helpful to ensure that employees are readily identifiable and distinct from customers/students/patients, suppliers, or employees not a part of the applying organization (for example, parent or other division employees).

The site visit will end with a brief closing meeting, which may include a short presentation by your organization. The site visit team leader will make a short presentation describing the next steps of the process. The team will accept no information or materials relating to the application after the closing meeting.

Following the Site Visit

The Examiners will prepare a Site Visit Scorebook that will be submitted to the Panel of Judges for review at its November 16-19 meeting. Your organization will receive its feedback report by the end of December.

The Baldrige Award Program Representative will return all materials that you provided to the Examiners after the Examiners have completed the Site Visit Scorebook.

Your organization will be provided with an invoice from ASQ for reasonable costs associated with the site visit.

We expect the 2004 Award recipients to be announced by the Secretary of Commerce in late-November. The announcement will be made public the next working day after the Secretary has given the news to the top executive of each Award recipient. A ceremony honoring the 2004 Award recipients will be held in Washington, D.C. in the winter timeframe. We expect the Secretary of Commerce and the President or Vice President to attend the Award Ceremony and congratulate the winners.

The Quest for Excellence Conference, featuring the 2004 Award recipients, will be held in Washington, DC, April 10 – April 13, 2005.

Site Visit Guidelines

The Opening and Closing meetings may be videotaped and/or photographs may be taken. **We ask that the Examiners not be shown in the video or photographs** and that the taping process not detracts from the purpose of the meeting. The videotape and/or pictures may be used internally only. Please discuss any photography and/or videotaping plans with the Baldrige Award Program representative and the team leader prior to the site visit. The remainder of the site visit may not be videotaped, audiotaped, or photographed.

The site visit team cannot accept any gifts including entertainment or meals, except for the following: light refreshments (such as coffee, tea, soft drinks, fruit, or cookies) and lunch.

A press release from NIST will announce the number of applicants selected for site visits. The names of all applicants, including those that are site visited, are confidential. Although the Baldrige Award Program will not release any applicant information, your organization may publicize the fact that it has been selected to receive a site visit. Do not publicize the teams' actual presence, except at the organization's site(s). Hotels used by the site visit examiner teams are instructed not to announce or publicize the site visit on any schedule or marquee.

REFERENCES FOR EXAMINERS

2004 Handbook for the Board of Examiners

The Handbook provides the Board of Examiners with a summary of basic information about the Award and about the processes used to evaluate applicants. Its intent is to serve as a resource document to help ensure fair and thorough evaluations of applicants. The 2004 Handbook for the Board of Examiners is available at the following web address:
http://www.baldrige.nist.gov/Examiner_Handbook.htm

2004 Scorebook for Business, Education, and Health Care

The Scorebook provides Examiners with a concise, organized method to record applicant evaluations during site visits. Worksheets used only at Stage 3, Site Visit Review, are located in a special section of the Scorebook. Instructions for the worksheets and for the site visit scorebook composition are included.
The 2004 Scorebook is available at the following web address:
http://www.baldrige.nist.gov/04scorebook.htm

Code of Ethical Standards

Malcolm Baldrige National Quality Award Board of Examiners agrees to abide by the Code of Ethical Standards. Examiners voluntarily disclose, to the Award Program, the identity of employers and clients, past, present, or potential, whose interest might be favorably or unfavorably affected by the actions they will undertake while acting as a member of the Board of Examiners. See attachment

Examiner Statement

All site visit team members will reaffirm their willingness to abide by the Award Program Code of Ethical Standards by signing an Examiner Statement. These statements, prepared by BNQP staff, will be available for signature during the Sunday afternoon site visit planning session prior to the start of the site visit, and will be presented to the OCP before the start of the Opening meeting. See attachment.

2004 Examiner Statement

As a member of the 2004 MBNQA Board of Examiners, I have voluntarily disclosed to the administrators of the Award Program the identity of employers and clients – past, present, or potential – whose interest could be favorably or unfavorably affected by my actions while acting as a member of the Board. This includes disclosure of:

- Organizations in which I have financial holdings
- Affiliations which may present or seem to present a conflict of interest

I confirm the accuracy of the submissions I have made and I reaffirm my willingness to abide by the Code of Ethical Standards (attached).

In preparation for my participation in a site visit to:

____
(Name of applicant)

I reaffirm that I am not aware of any personal conflict of interest with this applicant. I will not disclose any information gained through the evaluation of the applicant about the applicant or applicant's clients, competitors, customers, suppliers or any other person or organization to anyone other than those in the Malcolm Baldrige National Quality Award program directly involved with the evaluation of the applicant.

Signature of Examiner: __________________________________Date: ____________

Program Concurrence: ___________________________________Date: ____________

Code of Ethical Standards

Declaration of Principles

Members of the Malcolm Baldrige National Quality Award Board of Examiners pledge to uphold their professional principles in the fulfillment of their responsibilities as defined in the administration of Public Law 100-107, the Malcolm Baldrige National Quality Improvement Act of 1987, which establishes the Malcolm Baldrige National Quality Award.

In promoting high standards of public service and ethical conduct, board members:

- shall conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility to the public
- shall not represent conflicting or competing interests, nor place themselves in such a position where the Board member's interest may be in conflict, or appear to be in conflict, with the purposes and administration of the Award
- shall safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- shall not offer confidential information or disclosures which may in any way influence the Award integrity or process, currently or in the future
- shall not serve any private or special interest in fulfillment of the duties of a Judge or Examiner, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or of which a consulting arrangement is in effect or anticipated
- shall not serve as Examiner of a primary competitor, customer or supplier of any organization or subunit of an organization of which he/she is an employee, has a financial interest or is involved in, or anticipates a consulting arrangement
- shall not intentionally communicate false or misleading information which may compromise the integrity of the Award process or decisions therein
- shall never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship
- if approached by an organization they have evaluated, shall not accept employment from that organization for a period of five years after the evaluation.

Furthermore, it is pledged that as a member in good standing of the Malcolm Baldrige National Quality Board of Examiners, each board member shall strive to enhance and advance the Malcolm Baldrige National Quality Award as it serves to stimulate American companies and organizations to improve quality, productivity, and overall performance.

ASQ letter to OCP with Site Visit Team Member Information

Date

[OCP Name & Address]

Dear <<title>> <<Last_Name>>:

Planning continues for the 20XX Malcolm Baldrige National Quality Award (MBNQA) site visits.

Enclosed is a list of the site visit team members who have been assigned to your organization. The team was selected for its expertise in your organization's area and the seven Baldrige Categories – while avoiding conflicts of interest. Please review the attached list. If you have questions about a particular team member or an affiliation, please contact the MBNQA Program Office at 1-800-898-4506.

Sincerely,

[Signature]
MBNQA Program

Enclosure: Site Visit Team Member Listing

SECTION 5

SAMPLE TEAM CORRESPONDENCE

This section contains the following samples of team correspondence:

A. Notification Letter
B. Item and Conference Call Time Preference Fax
C. Team Leader Letter to Team on Site Visit Preparation
D. Introductory Letter – Existing Team, Large Applicant/High Complexity
E. Introductory Letter – New Team Member
F. Conference Call Agenda
G. Team Member Assignments
H. Site Visit Preparation Work Process
I. Proposed Ground Rules for the Site Visit
J. Sample Document Log
K. Site Visit Planning Meeting Agenda – Large Applicant/High Complexity
L. Fax to Point Out Strategies for Locations that Cannot Be Site Visited
M. Site Visit Schedule – Large Applicant/High Complexity
N. Site Visit Schedule – Medium Applicant/Low Complexity
O. Site Visit Schedule – Small Applicant/Low Complexity
P. Sample Agenda – Evening Meeting
Q. Sample Agenda – Completion of Scorebook during the Post-Site Phase
R. Proposed Report Preparation Process

A. Notification Letter

To: #0XX Team Members
From: Team Leader
Subject: Site Visit - #0XX
cc: NIST Monitor

This letter is sent to let each of you know that our applicant will advance to the site visit review stage. We will have a short conference call to begin organizing for the site visit. It is likely we will add # more Examiner to our team, so this will be a short call to touch base on key planning requirements (computers and printers, future conference call schedule, preparations, expectations, etc.) and broad site visit issues. We will leave more detailed discussions until after the new team member has had time to read the application and the consensus scorebook.

Attached is a list of possible conference call dates to help in the planning of both the introductory call and additional site visit planning calls.

To help us prepare, I am attaching several documents that we will use in our introductory call and during subsequent activities. Please consider these as drafts that can be revised by the team. Included are:

- proposed ground rules
- Item(s) and other assignments
- work process (leading up to the site visit)
- agenda for introductory call
- agenda for site visit planning call
- agenda for team planning meeting

Please read through this material prior to our introductory call. It will be a pleasure to see each of you and I look forward to working with you on this visit. If you have any questions, do not hesitate to call me at 123-456-7890.

Thank you,

Team Leader

Enclosures

B. Item and Conference Call Time Preference Fax

Please return this fax to (team leader's name) at fax number (123) 456-0987 by 3:00 p.m. Monday, (date).

Examiner's Name ______________________________

My preferences for site visit issue development for the Criteria Items are in the rank order shown. (Please put a 1, 2, or 3 in the blanks with 1 indicating most preferred and 3 indicating least preferred.)

___ Item 1.1, 1.2
___ Item 2.1, 2.2
___ Item 3.1, 3.2
___ Item 4.1, 4.2
___ Item 5.1, 5.2, 5.3
___ Item 6.1, 6.2

My preferences for site visit issue development Category 7 Items are in the rank order shown. (Please put a 1, 2, or 3 in the blanks with 1 indicating most preferred and 3 indicating least preferred.)

___ Item 7.1
___ Item 7.2
___ Item 7.3
___ Item 7.4
___ Item 7.5
___ Item 7.6

The dates that I am available and that I can participate in a conference call are:

Please put an OK if you can and a NO if you cannot

Introductory Call (approximately one hour)

___ October x (8 p.m. Eastern time)
___ October x (4 p.m. Eastern time)

Site Visit Planning Call 1 (call of approximately __ hours)

___ October x (8 p.m. Eastern time)
___ October x (10 a.m. Eastern time)
___ October x (2 p.m. Eastern time)

Site Visit Planning Follow-up Call(s) (call of approximately __ hours)

___ October x (8 p.m. Eastern time)
___ October x (1 p.m. Eastern time)

C. Team Leader Letter to Team on Site Visit Preparation

October 1, 20XX

To: Members of Site Visit Team for Applicant # ____
Re: Preparation

We now have our complete site visit team. I have talked with everyone individually, and I am looking forward to our first whole-team conference call on October X at X:xx ET. I am pleased to lead this strong team of Examiners and appreciate your readiness to assemble on site from October xx to xx. I think NIST has done a super job of gathering a lot of talent for this team. I am also looking forward to putting some faces to the voices I have been hearing over the phone! I think we will have fun, even though we have a lot of ground to cover before, as well as during the visit itself.

The key to a successful site visit is **planning and preparation**. We need to start working well in advance, so that we can devote our full time on site to VERIFYING and CLARIFYING what the applicant has told us. Since XXX has many locations in cities around the country, we will have a lot of traveling to do to fully evaluate deployment. The traveling teams will be lead by:

Theo	Juanita
California	East Coast

We need to meet with as many employees as necessary from a cross-section of the organization in order to ensure that we have verified and clarified all our strengths and opportunities for improvement.

The rest of the team and I will be staying at headquarters and will be coordinating the remaining Items. The Category/Item lead and backup assignments are as follows:

Item(s)	Leader	Backup
Item 1.1, 1.2, 7.6	Jane	Thomas
Item 2.1, 2.2, 7.3	Chen	Howard
Item 3.1, 3.2, 7.1, 7.2	Debbie	Theo
Item 4.1, 4.2	Howard	Chen
Item 5.1, 5.2, 5.3, 7.4	Theo	Jane
Item 6.1, 6.2, 7.5	Thomas	Debbie
Key Factors	Juanita	(where needed)

I will be responsible for the Site Visited Worksheet, the Key Themes Worksheet, the Score Summary Worksheet, and overall site visit scorebook coordination.

In addition to your primary and backup assignments, you will also be responsible for gathering data for other members of the team as needed.

Team Leader Letter to Team on Site Visit Preparation - continued

Here is what I would like each of you to do:

- Develop 2 to 4 Site Visit Issues for each of your Items. Make a detailed listing of the site visit issues, the evidence required to satisfy the investigation, and the source of evidence (documentation, interviews with specific people, etc.). Refer to your *2004 Examiner Preparation Course* notebook and Section # of the *Site Visit Manual*. Soon after the opening meeting with the applicant on Monday, October xx, we will break into teams with XXX's Category counterparts to outline our additional documents needed and interviews to be set up for the following days of the site visit. Please think about requests for evidence from the Category leaders they have access to during their interviews or document reviews.

  Note that an electronic version of the 2004 Site Visit Scorebook will be on the BNQP web site and can be accessed at http://www.baldrige.nist.gov/04Scorebook.htm

  - Prioritize your site visit issues (SVIs), remembering to look at XXX from a 5,000-foot level.

  - Contact your backup and begin exchanging information on the site visit issues. Please send me and the NIST site visit monitor copies of your work. I would expect that each team member will have a complete copy of ALL SVIs by October xx.

  - Prepare a list of three to five questions that you can give to the other team members that they can use for your Items. This might be one for each Item. Remember that they will be very busy acting as the eyes and ears of the rest of the team as well as taking care of their own Items.

  - Prepare an Item Worksheet for each assigned Item. Refer to your Examiner preparation course materials for guidance. Please let me know if you need a sample and I will send one to you. *Save your work on a diskette preferably using Microsoft Word 6.0.*

- Having all of your Site Visit Issue and Item Worksheet drafts completed before the site visit begins, should decrease the amount of time needed to complete the site visit scorebook after the on-site phase of the site visit is complete. Please begin work as soon as possible. This task is very intensive and requires a lot of time.

  - We will have a conference call or meeting each night with ALL the sub-teams to review the
    progress and look at additional evidence we might need.

  - Each team will return to the home location for a 9 or 10 p.m. meeting on Wednesday night.

  - Obviously, the traveling teams will not have a lot of time at headquarters, only a few hours Monday and some time in the morning on Thursday, so be thinking how the Home Team can help you out.

The Consensus Scorebook on diskette will be provided to the team.

Please feel free to call me with any questions. I can be reached at 123-456-7890.

D. Introductory Letter
Existing Team, Large Applicant/High Complexity

October 1, 20XX

To: John Smith
Jim Doe
Etc.

Dear Team Members:

We have an exciting and challenging site visit coming up. Detailed below is what we need to do to ensure a successful and thorough site visit.

- Please make your plane reservations for flights to and from ABC airport. We will receive details regarding our transportation between the airport and the hotel at a later time. I would like all members to be at the hotel by noon on Sunday, October xx, for the planning meeting. Lunch will be at 1:00 PM and the planning meeting will take most of Sunday. Return flights should be planned no earlier than xx:00 p.m. on Saturday, October xx. Please provide a copy of your travel arrangements to ASQ, the NIST monitor, and myself.

- Prepare Site Visit Issues (SVIs) Worksheets for your Item(s) and share with your backup. The site visit scorebook provides an explanation how these forms are developed and used. Please use the Consensus Scorebook Item and Key Themes Worksheets. Revise the list, prioritize the most important SVIs, and develop a strategy for verifying or clarifying the prioritized issues. *An electronic version of the 01XX Site Visit Scorebook is on the BNQP Web site and can be accessed at* http://www.baldrige.nist.gov/04Scorebook.htm

- Please give some thought to which sites we ought to visit and why.

- For those sites that will be visited by other members of the team, please identify the site visit issues to be addressed at each site and your recommended strategies for addressing them at these remote sites. Be specific in terms of documents to review, information to look for, people/positions to interview, and questions to ask to obtain the necessary information. During our planning calls we will review the site visit issues. You will also need to provide a copy of the Site Visit Issue Worksheets to all the team members.

As always, your recommended improvements and comments are welcome.

E. Introductory Letter - New Team Member

October 1, 20xx

To: John Smith
Jim Doe
Etc.

From: Team Leader

Subject: Team Site Visit Planning – Applicant XXX

We now have a complete team. Pete Harris from DEF, Inc. has joined us and will be participating in our next conference call. I will let Pete introduce himself at that time.

As we discussed during our last conversation, this memo is to outline the site visit team assignments and some preparatory instructions. For the site visit, the Item assignments and teams are as follows.

Site Visit Item Focus						
	1.1, 1.2	2.1, 2.2	3.1, 3.2	4.1, 4.2	5.1, 5.2	6.1, 6.2
	7.6	7.3	7.1 & 7.2		5.3, 7.4	7.5
Examiner:						
Jane	**L**				**BU**	
Chen		**L**		**BU**		
Debbie			**L**			**BU**
Howard		**BU**		**L**		
Theo			**BU**		**L**	
Thomas	**BU**					**L**
Juanita						

Legend: **L** = Lead or Primary Responsibility **BU** = Back-up Responsibility

We should plan on finishing so we will be able to leave by 0:00 p.m. Saturday at the earliest. The site visit is not complex; we simply need to be focused and organized.

In order to prepare for our conference call on October 2 (9:00 - 10:30 a.m. Eastern Time), please do the following:

- Review the entire application, your notes, and the Consensus Scorebook.
- Review Item and the Consensus Key Themes Worksheets. Develop your list of Site Visit Issues, make a list of proposed sites to visit and why those sites are preferred.

Introductory Letter - New Team Member - continued

- For your Item, make a detailed listing of site visit issues, the information required to satisfy the investigation, and the source of that information (specific documentation, interviews with specific people, etc.). One format could be:

Site Visit Issues __________ Item _________

Site Visit Issue #	Information Required	Source/Site	Notes
-	-	-	-
-	-	-	-
-	-	-	-

The Notes column could include any requests for information that the other Category leads may have access to during their interviews or document reviews and also any specific questions to ask. For those who have not yet been on a site visit, it is common for each subteam to be the eyes and ears for other subteams to avoid duplication in interviews and document requests.

- Remember, this information should also be found on the appropriate SVI Worksheets.

- Contact your back up and begin exchanging the above information. Please send me copies of the information and copies to the NIST monitor.

During our call on October xx, we will discuss:

- The process for developing and refining the site visit issues; progress being made and any questions or problems arising in the development and refinement of site visit issues for each Item; the process for capturing the key issues and identifying effective ways of resolving these issues; and the status of our progress and preparations to date

- The Key Themes Worksheet developed thus far and any other overall information we should consider

- The proposed list of sites to visit and the reasons why; finalizing the list of sites to visit; the schedule for travel to other sites; and who will visit each site

- The logistics and planning issues, such as the hotel arrangements, transportation coordination, computers and other equipment; initial planning meeting and so forth.

A follow-up call has been scheduled for Thursday, October xx at xx:00 a.m. Eastern Time to deal with any unresolved issues and finalize our planning. We will meet at the hotel in XYZ City at noon on Sunday, October xx to finalize our site visit preparations.

If you have any questions, comments, or concerns, please let me know. Again, my telephone number is 123-456-7890 and my fax number is 123-456-0987. Thank you.

F. Conference Call Agenda

October x, 20XX
2:30 p.m. Eastern Time

1. Welcome and introduction of team members
2. Review purpose of the site visit
3. Confirm agenda
4. Discuss/modify ground rules (to include organizational culture)
5. Share new information
6. Overview of work process
7. Team assignments
8. Key Themes Worksheet
9. Assignments
    a. Site visit issues
        - Process for developing and drafting strategies for site visit issues
        - Progress to date and any issues/concerns
        - Key issues
    b. Site visit issues for other sites
    c. Organization Category lead information/interview requests
    d. Draft Item Worksheets
    e. Questions for walk-around interviews
10. Site visit logistics
    a. Hotel information and arrival times
    b. Airport and ground transportation plans
    c. Remote site travel and team work
    d. Team meeting times
    e. Video/audio conference needs
    f. Dress code
    g. Baldrige badge
    h. Dietary restrictions
    i. Confidentiality, Code of Conduct & Ethical Standards
    j. Examiner name and current employer
11. Hardware/software requirements
12. Questions and answers
13. Wrap-up

G. Team Member Assignments

Team Assignments for Site Visit

Thanks again for your flexibility and indulgence. We have had to change category assignments to reflect the changing composition of our team.

Examiner Name	Category Lead	Backup	Cross-Cutting Issue	Other
Jane	1.1, Key Factors, Key Themes, Sites Visited Worksheets		• Corporate Support • Leadership System • Deployment	• Team Leader • Senior Executive Interview • Scorebook Editor
Chen	2.1, 2.2, 7.3	4.1, 4.2	• Strategic Planning	• Backup Team Leader • Logistics
Debbie	3.1, 3.2, 7.1, 7.2	1.1, 1.2, 7.6	• Customer Relationships	• Senior Executive Interview Questions (coordinate)
Howard	4.1, 4.2	2.1, 2.2, 7.3	• Management by Fact	• Meeting Coordination during Site Visit • Computer expert
Theo	5.1, 5.2, 5.3, 7.4	6.1, 6.2, 7.5	• Decentralized Management • Workforce Empowerment	• Driver for Final Report • Walk Around Questions (draft)
Thomas	6.1, 6.2, 7.5	5.1, 5.2, 5.3, 7.4	• Process Focus	• Scribe (as needed)
Juanita	1.2, 7.6	3.1, 3.2, 7.1, 7.2	• Organizational Results	• Criteria Cop

H. Site Visit Preparation Work Process

- **Travel**: When making travel arrangements, you should time your arrival to that you allow enough time to check in before the start of the planning meeting (Sunday, October XX at 12:00 Noon. You should not plan on returning home earlier than xxx the following Saturday/Sunday (October XX). ASQ is responsible for securing a hotel and making reservations. You do need to provide credit card information to ASQ so the hotel room can be reserved for you.

- **Review Application**: Please review and be familiar with the entire application.

- **Review Consensus Scorebook**: Please review and be familiar with the entire consensus scorebook, paying particular attention to cross-cutting issues identified in the Key Themes Worksheet and the Cross-Cutting Issues Matrix (attached).

- **Review Materials from NIST**: Review the information from NIST, including the *Site Visit Manual*, the scorebook, the *Just In Time Training Module*, and other materials.

- **Develop Site Visit Issues**: List the top two to four site visit issues per Item. Please use the format defined in the scorebook. Put them in priority order considering the following:
    - cross-cutting issues
    - strengths and OFIs to be verified and clarified
    - relevance to Criteria requirements, Key Factors, and Core Values

- **Draft Site Visit Issue Strategies**: For each SVI, draft a strategy to explain how you will obtain the information to "close out" the SVI. The strategies may change as we obtain more information. You should determine who you will interview (if possible), what documents you need, and any other information you may need.

- **Draft Cross-Cutting Issue Strategies**: For your assigned SVIs, determine what other subteams will be verifying and clarifying similar SVIs. In that they have a common theme. Consider how these SVIs might be explored (e.g., interviews, walk-around questions, data review).

- **Senior Executive Interview Question**: Each team member prepares one cross-cutting question to ask the senior executive team during the interview after the opening meeting. The purpose of these questions is to gather information from the leaders that can be validated during the remainder of the on-site phase of the site visit.

- **Discuss with Backup**: Discuss the SVIs you propose with your backup prior to our planning call.

- **Send to Team**: No later than the day before our planning call, fax or use Federal Express to send your draft SVI Worksheets, proposed cross-cutting issues, and proposed site visit strategies to other team members and to the NIST monitor. During our planning call we will briefly review the list of SVIs and agree on them.

Site Visit Preparation Work Process - continued

- **Interview List**: Prepare a list of the people you would like to interview, the topic(s) to be discussed. Estimate the length of time needed and the preferred day to conduct the interview(s). Have this information prepared for _______, who will coordinate our interview requests so that we will not be asking the applicant to have people in two places at once. Please remember that day one of the site visit will include a meeting with the leadership team, and your Category counterparts.

- **Document List**: Prepare a list of the documents you would like to review and provide to _________ by _________. We will coordinate our first set of document request document with the applicant one-week in advance of the site visit. This will assist the applicant to prepare for the site visit, and so the materials will be available to you at the close of the opening meeting. You will have the opportunity to request more documents after the opening meeting with the applicant.

- **Draft Final Documents**: There will not be a copier machine at the hotel, please bring eight copies of your drafts of all worksheets with you to the planning meeting. During the site visit, you will be updating these worksheets. Keep in mind this is an evolving process and these worksheets will be updated numerous times.

- **Walk Around Questions**: Prepare eight to ten walk-around questions and send them to __________ by __________. These questions will be consolidated into a master list. We will review the list and finalize the questions at our planning meeting on Sunday.

I. Proposed Ground Rules for the Site Visit

Here are some proposed ground rules. Please review them and be prepared to discuss them in our planning call. We will modify them as necessary.

- **Working as a Team:** Our objective is to conduct an effective and objective site visit by using all the expertise of each of the team members. This means we should listen carefully to each other and take full advantage of the diversity of our collective thinking and the broad experience of the team. It also means we will be flexible to pitch in and help each other throughout the process. None of us will leave until the job is complete. Working as a team also means that we will present a uniform and united front during all interactions with the applicant.

- **Customers:** We have at least two customers. The first customer is the Panel of Judges who are looking for our objective evaluation of the applicant compared with the Award Criteria, so that they can determine if the applicant is a national role model. The second is the applicant who is looking for insightful, nonprescriptive feedback that will help reinforce strengths and identify OFIs.

- **Feedback-Ready Comments:** As we complete our work, we will make every effort to draft consolidated comments that are feedback-ready. That means we should imagine that the applicant is reading the comments as we write, and understanding how they are applicable. We need to make it easy for the Judges to follow the trail from:

  Application
  ∑ Consensus Scorebook
  ∑ Site Visit Issues
  ∑ Item Worksheets
  ∑ Key Themes Worksheet

- **Item Ownership:** No one "owns" any Item. Instead, we are trying to get the best collective thinking. Cross-sharing of observations and input will be a necessity.

- **Time Management:** We try very hard to begin and end on time. We stick to the overall schedule of events that have been agreed to. It is important to document as you go. Site Visit Issue Worksheets must be kept up-to-date. If we get behind, it will be difficult to catch up!

- **Facilitation:** We all have a responsibility for facilitation. For example, if we get away from the more important points and into minutia, call a "process check" to help us get back on track.

- **Active Listening and Consensus:** We listen to other points of view, particularly those which are different, in addition to expressing our own. We can and should respectfully disagree, but we are striving for consensus. Consensus means we have heard, have been heard, and thus can and will support the team's conclusions.

- **Role Model Behavior:** We want the applicant to feel that we were prepared, listened well, and thoroughly understood their organization.

- **Have Fun and Learn from Each Other:** We intend to have fun and encourage humor at the same time that we are working. We can even share some humorous moments with the applicant, as we get to know them during the site visit.

- **Personal Info**: You may only communicate your name & the organization that you work for.

- **Other:** Collective ownership and responsibility for the site visit scorebook. Please no souvenirs (pens, stationary, etc.) from the applicant's site, as well as the hotel.

J. Sample Document Log

MONDAY – DOCUMENT LOG

NAME ____ CATEGORY ____________

DOCUMENT	CATEGORY	SOURCE	RETURNED

K. Site Visit Planning Meeting Agenda

Sunday, October , 20XX
NOON – Working Lunch

- Introduction
- Examiner statements
- Team assignments for site visit
- Team roles for the day: scribe, timekeeper, etc.
- Review of overall purpose of the site visit
- Expectations – what would we like the applicant to say about our site visit?
- Review of final output of the site visit.
    - Each Stage 3 Worksheet and its purpose
    - Examples of completed Stage 3 – Just In Time materials and SV Manual Section 7
    - Point out the need for a connected story. Consensus Scorebook + Site Visit Issue Worksheets + Summary of Sites Visited + Score Summary Worksheet = Site Visit Scorebook. Judges must be able to follow and fully understand the story.
    - "Walk the Wall," see pages 5-25 & 5-26

1:00 p.m.

- Review site visit schedule
- Identify special lunch interviews to schedule in advance
- Discuss each step and address questions
- Highlight things to expect and requirements of each team member, such as applicant research on team members (It is not uncommon for the applicant to do research on team members); long intense week; do not write on applicant documents; keep all notes confidential; do not share issues with applicant except for the ones provided in advance of the site visit; *NO FEEDBACK* to applicant (verbal or nonverbal), but always be gracious; stick to your agenda; provide only your name & org. that you work for; etc.
- Point out special importance of:
    - Group meeting times – be prompt
    - Back-up meeting – because traveling teams schedules change and land line phone availability, it may be necessary to schedule Back-up team meeting
    - Keeping up with SVI Worksheet documentation
    - Buddy system – always interview in pairs and do give one another feedback
    - Team Meetings

1:45 p.m.

- Use of laptops (if brought to site, can only use in team conference room), printers, virus checking, reminder about no cellphone use while at site, etc.

2:45 p.m.

- Meet with backup to discuss comments or finish any details (if team thinks this is necessary)

3:30 p.m.

- If not done so, team reviews each SVI for input by Item to
  - reduce duplication
  - ensure key issues are covered
  - ensure all key organizational units of applicant are interviewed
  - suggest any strategy enhancements
  - evaluate and determine which of the SVIs, if answered, will allow the team to thoroughly prepare the final product for the Judges
  - Identify any cross-category linkage items and modifications to SVI's to address these
  - Identify a composite list of executive questions and who will ask them in the executive review, and a composite list of walk-around questions for the team to use.
  - compare lists of documents needed to address site visit issues. Eliminate duplication. Determine which team members will request the documents and when the document(s) are needed to answer a Site Visit Issue
  - be prepared to eliminate or combine issues and to prioritize issues for each Item. Given limited time, priority issues need to be addressed first. Statements such as "it is not clear…." cannot appear in the final scorebook.

5:00 p.m.

- Breakout into subteams. Each group prepares detailed schedule of places and organizational units to visit based on SVIs.
  - Consider coverage of unique operations at each location as they relate to resolving SVIs.
  - Develop the plan for which pair to go where, how, and when.
  - Schedule visits for 24-hour operations, if applicable

6:00 p.m. – Working Dinner

- Each subteam presents its plan for input. Final products are a detailed schedule for each day for each pair, and the related package of SVIs.

6:45 p.m.

- Prepare random walk-around-questions for each Item with no more than three to five questions that relate to SVIs. Consolidate the list of walk around questions for common use by all team members.

7:15 p.m.

- Review questions for leadership meeting – Prioritize questions and determine who will ask each question

7:45 p.m.

- Meet with backup to review documentation and interview requests for applicant counterpart. Please remember the need for caution and to keep your data requests reasonable. Ask the applicant to flag relevant portions of the data requested. Finalize specific questions for the interviews to be conducted on the first day.

8:00 p.m.

- Finalize schedule for the next day, might consider tentative schedule for day 2

9:30 p.m.

- Agree on gathering time and place for morning
- Adjourn and ***REST !!!***

L. Fax to Point Out Strategies for Locations that Cannot Be Site Visited

DATE: October xx, 20XX

TO: Site Visit Team XXX

FROM: Team Leader

SUBJECT: Site Visit Strategy

NUMBER OF PAGES (INCLUDING COVER PAGE): 1

Thanks for your time and efforts today. I felt we accomplished a lot.

As you prepare your site visit strategies, please consider these concerns.

- Plan for telephone interviews of employees in foreign locations, such as
    - Europe/ME/Africa ………. Brussels
    - Manufacturing location ….. France

  The Official Contact Point (OCP) says we will be able to interview English-speaking personnel at these two locations. I will ask for some organization charts for these areas. (*Note: the Far East is very difficult to schedule due to time zones differences.*)

- Plan how to have representation of the sites that you will not be able to visit.
    - you can ask them to meet at a central location or region
    - you can set up a conference call or teleconference to ask them the various questions, etc.

- With so many different locations, we need to have a sampling of those sites in addition to the sites we are able to physically visit.

- Let's plan to discuss this briefly on our conference call of October xx.

M. Site Visit Schedule – Large Applicant/High Complexity

Sunday, October xx, 20XX

Noon Site Visit Team meets in XYZ Hotel for planning meeting – see pages 5-15 & 5-16

Monday, October xx, 20XX

7:30 a.m. Team is picked up at hotel
8:00 Arrive at headquarters
8:15 Opening meeting (no more than 1 hour)

- Organization Overview by HRO/OCP
- MBNQA Program overview by team leader

9:30 Team caucus
9:45 Team meeting with leadership team - Address executive questions
11:00 Meet with organization Category leads to request additional documentation and set up tentative interviews for days 2, 3, and 4
12:00p.m Lunch
1:00 Item/Category leads interviews with Category counterparts and data gathering and or review at headquarters. Team leader and NIST monitor meets with HRO.
2:15 Item/Category leads interviews with Category counterparts and data gathering and or review at headquarters
3:30 Team caucus
4:00 Additional interviews and data review
5:15 Team caucus and debrief - Review agenda for the evening
6:30 Depart for airport to visit other sites – update SVI Worksheets, prepare interviews for next day, and review applicant materials

- Marcia and Mark depart for Site 2
- Herb and Louise depart for Site 3
- Rona and Larry depart for Site 4

6:30 – At Headquarters Ellen, Jamie, & NIST monitor - dinner and interviews with plant manager's leadership team
6:30 While traveling update SVI Worksheets, prepare interviews for second day, review applicant materials. Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings. **Note to Team Leader**: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!
8:00 – close (10:00 – 12:00) Each team member review results of their activities for the day with their respective travel team member, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.

Tuesday and Wednesday

Morning Team interviews/walkaround questions and data gathering

- Site Headquarters – Ellen and Jamie
- Site 2 - Marcia and Mark
- Site 3 - Herb and Louise
- Site 4 – Rona and Larry

10:30 a.m. Team caucus conference call – team meeting
11:45am Lunch interviews at all sites
Afternoon Team interviews and data gathering
Team interviews/walk-around questions & data gathering at headquarters & sites
4:00pm Team caucus conference call – team meeting
4:45pm Team interviews/walk-around questions at headquarters and all sites

Evening Interviews/walk-arounds/closing out SVIs
6:00pm Dinner interviews with employees at all sites
7:00–11:00pm Complete documentation/close out SVIs
7:00pm Tuesday – **Site 2 and 3** only, interviews/walk-around questions for 3rd shift
7:00pm Wednesday – **Site 4** only, interviews/walk-around questions for 3rd shift
7:00 – 8:00 Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings.
Note to Team Leader: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!
8:00 – close (10:00 – 12:00) Each member review results of their activities for the day with the rest of the team, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.
9:00pm Team caucus call– See agenda page 8-24

<u>Thursday, October xx, 20XX</u>
Morning Team interview and data gathering

- Headquarters – Ellen and Jamie
- Site 2 - Marcia and Mark
- Site 3 - Herb and Louise
- Site 4 - Rona and Larry

10:30 a.m. Conference caucus call – Team meeting
11:00 All Examiner teams travel back to headquarters

Afternoon Team interviews and data gathering
2:30 p.m. All teams arrive from other sites to headquarters
2:30 Team meeting
3:00 If needed, final interviews and document request – need to ensure that the team can close all SVIs before the closing meeting
3:30 Closing meeting
4:15 Team departs for hotel
6:00 Team meets to plan report writing
Evening ***Working dinner***

- Team debrief
- Exchange findings for site visit issues
- Completion of SVI documentation

<u>Friday, October xx, 20XX</u>
Team prepares and finalizes Site Visit Scorebook
Inventory/prepare materials for return to applicant

<u>Saturday, October xx, 20XX</u>
Team prepares and finalizes Site Visit Scorebook
Inventory/prepare materials for return to applicant
10:00 p.m. Earliest departure time

N. Site Visit Schedule – Medium Applicant/Low Complexity

<u>Sunday, October xx, 20XX</u>
Noon Site Visit Team meets in hotel for planning meeting – see pages 5-15 & 5-16

<u>Monday, October xx, 20XX</u>
7:45 a.m. Team picked up at hotel
8:00 Arrive at site
8:15 – 9:15 Opening meeting (no more than 1 hour)

- Organization overview by HRO/OCP
- MBNQA Program overview by team leader - 5 minutes

9:30 Meet with applicant Category leads to request additional documentation & tentative interviews for days 2 and 3
10:30 Team caucus
11:00 Team meeting with senior leadership team - Address executive questions
12:00 Lunch – applicant cafeteria
1:00 p.m. 1st round of Category interviews and HRO interview
2:15 2nd round of Category interviews
3:30 Team Caucus - Review agenda for the evening
4:00 Additional Interviews/data review
5:30 Depart site
6:30 Working dinner – Evening meeting - Update SVI Worksheets, prepare interviews for second day, review applicant materials. Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings. **Note to Team Leader**: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!
8:00 – close (10:00 – 12:00) Each member review results of their activities for the day with the rest of the team, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.

<u>Tuesday, October xx, 20XX</u>
6:30 a.m. Night shift employee interviews
8:00 Category interviews and/or data review
10:30 Category interviews and/or data review
Noon Luncheon roundtable with three production teams
1:00 p.m. Team meeting
1:30 Category interviews and/or data review
2:30 Category interviews and/or data review
4:00 Category interviews and/or data review
Evening shift employee interviews
5:30 Depart site
6:30 Dinner
7:00 – 8:00 Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings. Note to Team Leader: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!
8:00 – close (10:00 – 12:00) Each member review results of their activities for the day with the rest of the team, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.

Site Visit Schedule – Medium Applicant/Low Complexity - continued

Wednesday, October xx, 20XX

8:00 a.m.	Focus on clearing up final questions and details
10:30	Interview with HRO
Noon	Luncheon roundtable with three support teams
1:00 p.m.	Team meeting – final check on materials requested – need to ensure that the team can close all SVIs before the closing meeting
1:30	Closing meeting
2:30	Applicant farewell
3:30	Team meeting – report preparation plan
	Prepare report

Thursday, October xx, 20XX

Team prepares and finalizes site visit scorebook
Inventory/prepare materials for return to applicant

Friday, October xx, 20XX

Team prepares and finalizes site visit scorebook
Inventory/prepare materials for return to Applicant

10:00 p.m.	Earliest possible departure time

O. Site Visit Schedule – Small Applicant/Low Complexity

<u>Sunday, October xx, 20XX</u>
Noon		Site Visit Team meets in hotel for planning meeting – see pages 5-15 and 5-16

<u>Monday, October xx</u>
7:45 a.m.	Team picked up at hotel
8:00		Arrive at site
8:15		Opening Meeting

- Organization overview by HRO/OCP
- MBNQA Program overview by team leader (*Note:the overheads are provided by NIST*)

9:30		Meet with applicant Cat leads to request documentation and interview requests
10:00		Team meeting
10:30		Team meeting with senior leaders - Address executive questions
11:30		Lunch – applicant cafeteria
1:30 p.m.	Category interviews
2:30		Category interviews and/or data reviews
4:00		Category interviews and/or data reviews
		Evening shift employee interviews
5:00		Depart site
6:30		Working dinner – Evening meeting - Update SVI Worksheets, prepare interviews for second day, review applicant materials. Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings. **Note to Team Leader**: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!
8:00 – close (10:00 – 12:00) Each member review results of their activities for the day with the rest of the team, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.

<u>Tues and/or Wednesday, October xx, 20XX</u>
6:30 a.m.	Night shift employee interviews
8:00		Category interviews and/or data review
10:00		Team meeting
10:30		Category interviews and/or data review
Noon		Luncheon roundtable with three production teams
1:00 p.m.	Category interviews and/or data review
		Focus on clearing up final questions and details
2:00		Team meeting
		Check on applicant materials requested
2:30		Category interview and/or data review
3:45		Team meeting – any final interviews and document request – need to ensure that the team can close all SVIs before the closing meeting
4:00		Closing meeting
4:45		Depart site
6:30		Dinner
7:00 – 8:00	Individual work to summarize notes for the day and review documentation received. Objective is to determine how many SVI's can be closed, what additional interviews need to be done, and any conclusions that can be made to Item worksheets based on the days findings.
Note to Team Leader: From the conclusions of this work, you should be able to determine who is asking the right questions, getting the required data, and being able to draw conclusions. If one or two of the team cannot form conclusions, this is a good time to review their approach and give them some help!

Site Visit Schedule – Small Applicant/Low Complexity - continued

8:00 – close (10:00 – 12:00) Each member review results of their activities for the day with the rest of the team, and conclusions they have drawn. Identify emerging themes, surprises, and things that have been reinforced, and areas to address over the next couple of days.

Wednesday, October xx, 20XX
Team prepares and finalizes site visit scorebook
Inventory/prepare materials for return to applicant

Thursday and possibly Friday, October xx, 20XX
Team prepares and finalizes site visit scorebook
Inventory/prepare materials for return to applicant

2:00 p.m. Earliest departure time

P. Sample Agenda – Evening Meeting

- Record applicant materials received

- Update key findings –
  - Key factors
  - Site Visit Issues by Item
  - Key Themes Worksheet
  - Role model strengths
  - Vulnerabilities

- New issues

- Identify modifications to plan, if needed

- Site Visit Issues closed

- Walk-around questions for next day

- Agenda for next day: who, when, where, what
  - Reminder, no verbal or non-verbal feedback to the applicant

- Team leader/OCP discussion items

- **If last evening before the closing meeting with the applicant, consider what information and documents the team needs to close out each Site Visit Issue before the completion of the On-Site Phase of the Site Visit.**

Q. Sample Agenda - Completion of Scorebook during the Post-Site Phase

• Complete first draft of SVI Worksheets (started during the on-site phase)	8 hours
• Review and Revise SVI Worksheets	4 hours
• Finalize SVI Worksheets	1 hour
• Revise Item Worksheets	6 hours
• Review/further revise Item Worksheets	4 hours
• Finalize Item Worksheets	1 hour
• Discuss key themes and key factors	2 hours
• Revise key themes and key factors	2 hours
• Finalize key themes and key factors	1 hour
• Finalize summary of sites visited	1 hour
• Complete Score Summary Worksheet	1 hour
• Consolidate files/assemble scorebook	2 hours
• Print and Sign Completed Scorebook	1 hour
TOTAL TIME	34 hours

R. Proposed Site Visit Scorebook Preparation Process

- Copies of the Key Factors Worksheet, Key Themes Worksheet, SVI Worksheets, and Item Worksheets are provided to all team members for the planning meeting.

- Assigned team member(s) revise the Key Factors Worksheet, the Key Themes Worksheet, and the Summary of Sites Visited Worksheet. **Remember that updating these worksheets is an ongoing process throughout the visit.**

- Team members close out assigned Site Visit Issues Worksheets and revise Item Worksheets. **Remember that updating worksheets is an ongoing process throughout the visit.** Occasionally, new SVIs do arise as a result of additional information gathered during the site visit.

- Starting with the planning meeting and throughout the site visit team members present an oral summary of their site visit issues and discuss how the Item Worksheets have changed from the consensus scorebook. The team discusses, revises, and agrees. After discussion and edits to the SVI Worksheets, each member of the team agrees to the findings and the conclusions for each SVI. One suggested approach for accomplishing this review is to post each SVI Worksheet on walls around the team meeting room. This way, each team member has the opportunity to comment on all SVI Worksheets. This is commonly known as "walk the wall" (see page 8-26). There are usually several iterations of this process.

- Based on team's input, team members modify and finalize their Site Visit Issue Worksheets. Typically, a final "walk the wall" takes place for the Site Visit Issue Worksheets.

- Team members post their draft Item Worksheets with updated comments, and recommend a scoring range resulting from their respective Site Visit Issue Worksheets. Team members review all Item Worksheets and provide input on the comments directly on the Item Worksheets. The same "walk-the-wall" process for the SVI worksheets is suggested. Again, there are usually several iterations. Later in the process the team will agree on a scoring range for each Item, again based on comments and impacts of the SVIs.

- Based on other team members' input, individuals make modification to their Item Worksheets. Typically, a final "walk the wall" takes place for the Item Worksheets.

- Based on the findings from the site visit, an assigned team member prepares a draft of the Key Themes Worksheet.

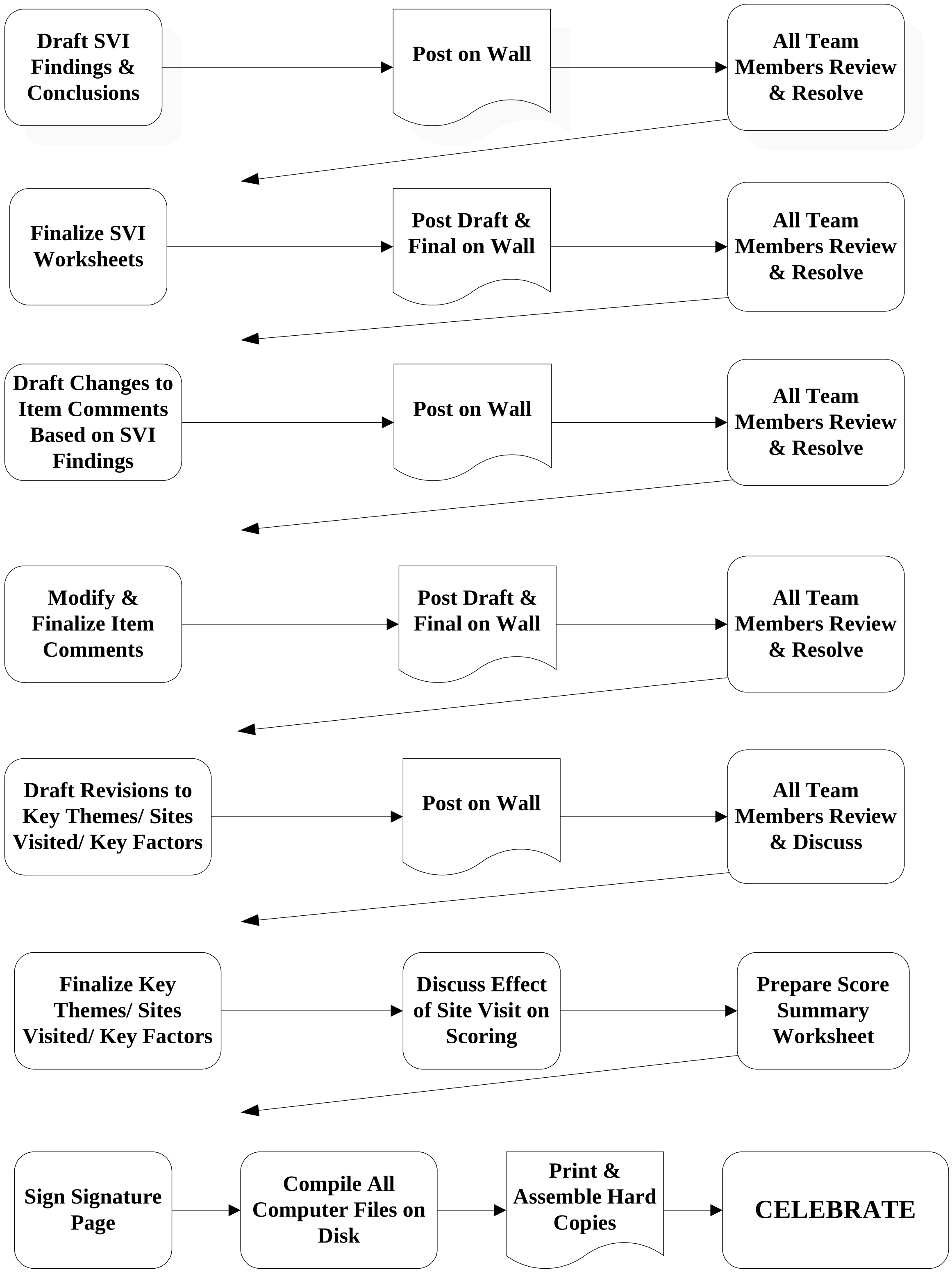
- Team discusses Key Themes Worksheet. The assigned team member makes final edits.

- Utilizing the Score Summary Worksheet, the Item Lead recommends either a higher, same or lower range for each Item based on the scoring range identified earlier. Also, the team discusses and comes to agreement on the overall scoring band. This determination is based on results from the findings and its implications on the Item Worksheets.

- Based on any final discussion of the Site Visit Scorebook, remaining corrections are made on the spot and all sign the scorebook. See pages 3-14 & 7-4 for Worksheet order of scorebook. CELEBRATE, CELEBRATE, DANCE TO THE MUSIC!

Note: During the site visit scorebook preparation process, the NIST monitor will establish a collection procedure for all documents that are to be returned to the applicant and to ASQ. Examiners (except the team leader, backup team leader, and scorebook editor) will not take any applicant materials, the application, or scorebook documents with them. For distribution of the SV Scorebook, see page 3-15 & 3-16.

Walk the Wall Process



SECTION SIX

INFORMATION AND GUIDANCE TO AID TEAM DURING THE SITE VISIT PROCESS

Site Visit Logistics

Transportation

Airlines

<u>To and From the Site</u>
Airline reservations/tickets to and from the site are the responsibility of the Examiner. Ensure arrival and departure times are sufficient so that all Examiners arrive before the planning meeting begins and *do not depart* until after the site visit scorebook is complete. The Examiner can be reimbursed for travel expenses incurred during the site visit. Airline tickets will be reimbursed at the coach fare advance purchase price. Request for reimbursement must be made in advance (the NIST monitor will obtain the requests for reimbursement on the planning calls).

<u>Between Sites</u>
Airline travel between sites is normally the responsibility of the applicant. It is the team leader's responsibility to provide the applicant any inter-site travel requirements at least two weeks prior to the site visit. ***EXAMINERS DO NOT PURCHASE AIRLINE TICKETS FOR TRAVEL BETWEEN SITES***.

Rental Cars

The team leader and the NIST monitor determine the number of rental cars and which team members will have rental cars. Payment for rental cars is normally the responsibility of the Examiner. However, in certain situations, reimbursement can be requested in advance and must be approved by NIST prior to the site visit.

Ground Transportation

<u>Home to/from Airport</u>
If the Examiner has requested reimbursement from the Award Program, the following modes of ground transportation is acceptable:
- Personal vehicle, mileage will be reimbursed at the rate of $.375 per mile
- Taxis and shuttles
- The Award Program discourages the use of private limousine services if other Reasonable cost alternatives exist for ground transportation.

<u>Airport to Hotel</u>
If offered, team members can accept transportation by the applicant to the hotel upon their arrival. If the team leader requests other arrangements, ASQ will provide general transportation information on local taxis/shuttles.

<u>Hotel to Site</u>
The applicant is responsible for providing transportation for the team (e.g., a professional shuttle service or an applicant-supplied vehicle with a driver). Team members ***may not*** drive vehicles provided by the applicant.

<u>Hotel to Airport</u>
Team members are responsible for arranging their own transportation back to the airport unless the team leader asks ASQ to make arrangements because several team members are departing at the same time.

Hotel

<u>Sleeping Rooms</u>
ASQ works with the applicant and requests information on local hotels in the area that are convenient to the applicant's site and meet federal travel regulations. These requirements are:

- Hotel rate must be in accordance with federal requirements.
- Hotel should have room service or restaurant or restaurant facilities close by.
- Hotel must have a conference/meeting room available for the team to use.

It is the responsibility of each Examiner to guarantee his/her room. ASQ requests that a block of rooms be reserved, but the Examiner must guarantee the reservation with a credit card and pay for the room. If reimbursement for expenses is requested and approved in advance, the Award Program will reimburse the Examiner for the hotel room after completion of the site visit.

NOTE: If an Examiner has to leave and stay over at another site and has requested reimbursement, the Examiner must check out of the hotel room at the home site and register again when returning to the home site. ASQ will ensure that the reservations are made at the home site hotel for the days the Examiner will be there. Federal travel regulations will not permit reimbursement to an Examiner for two hotel rooms for the same day. ***It is essential that ASQ be aware of all intersite travel plans so that hotel reservations can be made accordingly.***

Conference Room

A conference/meeting room is secured for the team to gather and work throughout the site visit review and scorebook writing process. This room is essential and is one of the determining factors in selecting the hotel. Conference room specifications are:

- Approximately 800 square feet with overhead lighting
- table space – (approximately eight square feet per Examiner)
- table space for NIST monitor
- table space to accommodate documents, printers, supplies, and refreshments
- ASQ will contract for two laser jet printers to be used by the team.

Meals/Refreshments

The NIST monitor works with ASQ to arrange for meals and refreshments to be delivered to the conference room. Meals taken in the conference room are charged to the direct bill account. Individual Examiners must pay for all other meals. For Examiners who will be reimbursed by the Award Program, receipts are required, and the reimbursement rate will not exceed the meal per Diem for that location.

Telephone Calls

For Examiners requesting reimbursement, the Award Program will reimburse one daily phone call to their home. Telephone calls made in direct support of the site visit review process are reimbursed for the full amount. Conference calls required by the team to meet during and/or at the end of the day are set up by ASQ.

Expense Reimbursement

Examiners requesting reimbursement must provide their names to their NIST monitor. Reimbursement will only be provided to those Examiners who have requested reimbursement in advance.

Examiners submitting expenses for reimbursement must complete the MBNQA Examiner Expense Form and attach all receipts.

All expense requests must be submitted to ASQ no later than 30 days after the completion of the site visit.

Office Supplies

See the following checklist of supplies that will be available for each site visit team.

Site Visit Supplies Checklist

Checked?	Quantity	Item	For ASQ Use Only
	10	#2 pencils (sharpened)	
	2	Pencil sharpeners	
	24	Black pens	
	2	Blue highlighters	
	4	Green highlighters	
	2	Yellow highlighters	
	2 packs	Assorted color highlighters	
	4	Multiple permanent markers	
	1 pack	Multi-colored transparency markers	
	2 sets	Flip chart markers	
	1	12-pack 3” x 3” multicolored post-its	
	1	12-pack 3” x 3” yellow post-its	
	1	12-pack Small yellow post-its	
	25	Confidentiality stickers	
	20	Blank FedEx labels	
	20	FedEx packs	
	24	Fed Ex airbill pouches	
	20	Fed Ex labels addressed to ASQ (gov’t delivery)	
	8	Fed Ex labels addressed to NIST	
	4	CD/Disk mailers	
	5	Large kraft envelopes labeled “Site Visit Scorebook”	
	4	Extension cord	
	3	Six-outlet power strips (with surge protection)	
	2 boxes	Small binder clips	
	1 box	Large binder clips	
	2 boxes	Large paper clips	
	2	Staple removers	
	2	Stapler	
	1 box	Staples	
	2	Three-hole punch	
	1 roll	Shipping tape	
	5 rolls	Transparency tape	
	2 rolls	Masking tape	
	2 pack	Tape Flags- Red	
	2 pack	Tape Flags- Green	
	2 pack	Tape Flags- Yellow	
	2 pack	Tape Flags- Blue	
	2 pack	Tape Flags- Purple	

		Miscellaneous Supplies	
	2 boxes	Computer disks formatted IBM & Compatible 2HD	
	15	Blank CD's	
	10	Memory Sticks	
	1 box	Laser transparencies/overheads	
	12 pads	Lined paper	
	30	File folders	
	6	Label tags	
	10	Clips for name badges	
	1	Organizer Tray for Supplies	
	1box	Push Pins	
	1 bag	Rubber bands	
	2 bottles	White out	
	2 pairs	Scissors	
	1 box (10)	Zip-lock plastic bags – quart size (for paper clips, etc.)	
	2 rolls	Duct tape	
	1 box (10)	Trash bags - large size	

Effective Interviewing Steps

Establish the Goal - Since the interviewing teams need to gather a lot of information in a very short time period, the teams should establish their goals before beginning the interviews. Make sure that each team has a clear picture of what is to be accomplished with each of the interviews. To establish the goals, the Examiners should ask, "What do I want to receive from this interview" and "What specifically am I looking for?"

Analyze the Audience - Knowing who the people are and what their respective positions are within the organization will help the Examiners prepare for the interviews. This knowledge will also help the Examiners decide how to conduct the interviews and determine the approach to use to develop rapport with the interviewees so they will feel comfortable and talk freely. Examiners need to be sensitive and alert to the interviewees' nonverbal feedback to the questions. Examiners should listen with their eyes as well as their ears. Also, Examiners need to be aware of their own comfort level with the interview process and how their perceptions and attitudes can influence the questions asked.

Prepare the Questions - Develop specific questions based on the site visit issues and Criteria Items. Identifying questions in advance creates the framework for the interview process. Some site visit issues can be " closed out" by asking closed-ended questions and can be answered with specific, fact-based answers. Open-ended questions should be developed to gather information on whether or not the mission, vision, and values as well as processes are deployed throughout the organization. Open-ended questions allow the interviewees the opportunity to share their thoughts, beliefs, and examples of specific behaviors.

The ultimate goal of all the questions is that the team is able to generalize the findings across the organization.

Diagnose the Environment - Before starting the interview, Examiners need to be aware of the environment to ensure it is conducive to the interview process and for data gathering. The Examiners need to consider the location of the interview, the amount of time for the interview, and the number and who the interviewees are. The size of the interviewee pool will influence the type of the interview (focus group or one-on-one interviews). If there are a large number of interviewees focus groups are typically more effective and efficient.

Review the Information - To ensure that the Examiners have heard and understood the answers to the questions, they should quickly review the information with the interviewees. If for some reason, the information obtained was misunderstood, reviewing it provides an opportunity for the interviewees to clarify what was meant. This also provides the interviewees an opportunity to provide additional information that they believe is important. Reviewing the information also provides a mechanism for closing the interview.

Capture the Information - After leaving the interview, Examiners should review their notes once more for clarity and to ensure that the needed information is being obtained. Examiners can make notes about linkages or other areas to explore in the next interviews. The Examiner pairs should also review the information with each other to identify any changes needed.

General Guidelines for Asking Questions
Interview Tips and Techniques

- Be prompt in starting the interview.

- Introduce yourself. Hello, I'm __________ from the Baldrige site visit team. Ask the person's name if it is not offered. Ask the person some questions about his/her background to help put them at ease.

- If the site visit monitor is observing your interview, explain his/her role as an observer of the interview process.

- Begin the interview by telling the applicant that Examiners are not looking for right answers, but that they are trying to fully understand processes and approaches.

- Ask, if anyone else from the site visit team has spoken to the interviewee?

- Let him/her know you will be taking notes.

- Keep a separate page for each person with whom you talk. Note their name, their department or unit, and other pertinent information. Keep a separate page for each SVI. This permits easier sharing of information among the Examiners

- Ask simple, straightforward questions. Ask questions using the applicant's language. Avoid Baldrige or other types of jargon.

- Do not ask leading questions and be careful not to inadvertently prompt answers. For example, you should ask, "How often does the planning team meet?" rather than "Does the planning team meet every week?"

- Avoid giving any indication about how the site visit is going, either verbally or non-verbally. You may be asked, "How are we doing?" Examiners are not allowed to answer that. The response should be: "We are not permitted to discuss the progress of the site visit, but as you probably know, we are here to clarify and verify what is in the application, and we thank you for your cooperation." You may compliment them on their hospitality, flexibility, and cooperation.

- Ask the person if they have anything they would like to add. You may have missed something the applicant feels is vital.

- Thank the interviewee for his/her time and communicate appreciation for the applicant's efforts.

- Record materials requested and received.

Sample Interview Log

Interview Log		
Name(s) of Individuals & Groups	**Position/Job description** *(President, Vice President, Director, Manager, Supervisor, Employee, Other)*	**Number of People/Site, location**

Sample Generic Walk Around Questions

- In what part of the organization do you work? How long have you been with the organization? In your current position?

- What are the most significant changes that you've personally experienced in the last two to three years? Why?

- Do you have direct interactions with your customers and/or stakeholders? How often? Could you describe a couple of examples of these interactions? In general, do you know what your customers and/or stakeholders expect from you?

- What departments do you depend on to do your job? How is the workload/volume given to you? Do you provide these groups feedback on what improvements could be made? How often? How (formal/informal feedback)?

- Are you involved in community activities? Do these involve time-off from work? Does the organization allow you time/pay you while you volunteer?

- Are you currently participating on any work teams? How long have you been a member? What is the team's mission/role? Are your team activities worth the time you spend? Why?

- How do you share information with others or receive information from others to learn methods to assist you in performing your job?

- When was the last time you attended a formal training class? Topic? Length? What from the training were you able to use back on your job?

- Do you receive information about the organization's key strategic objectives? How (e-mail, newsletters, group meetings, etc.)? Which is most effective? Are there other ways you would like to get information, and/or other information you would like to have?

- Do you receive information on key organizational results? How do you use this information to make decisions?

- How often do you see your direct supervisor? His/her supervisor? His/her supervisor? Under what circumstances?

- If you could change one thing about this place, what would it be and why?

- Who are your major competitors? What do they do better than you? Are you aware of any efforts to improve in these areas?

- What concerns do you have about the future of this organization? Have you shared these with your senior leaders? Have they asked you for input? How/how often?

- How do you fit into the organization's strategic plan?

Computer Use Instructions for Site Visits

Computer use and computer files are an important element of the site visit. During one of the team's planning calls, discuss the following practices and considerations relating to personal computer use on site visits. Identify someone on the team to coordinate computer use and to ensure compatibility among the computer files that are generated.

Although there are no hard and fast rules, all controls and protections should be consistent with the associated risks involved.

In general	• Check ALL diskettes/CDs for computer viruses, including the hard drive. Ensure that the virus software is the most recent version and that it will scan all files for viruses (verifying through the software's options setting). • Ensure that printer drivers needed are loaded on laptops before arriving on site. (ASQ will provide support) • Backup! Backup! Backup! • Keep the portable/laptop/notebook secured in such a way as to preclude tampering with and removal of internal boards. • Bring a printer cable that is compatible with the laptops. Additional printer cables will be provided by ASQ. • If available bring a surge protector. Additional surge protectors will be provided by ASQ. • Ensure that all files used have up-to-date backups created. • Ensure that backup files are kept on separate diskettes and that write-protect tabs are in place, if appropriate. • Close all applications & shut down properly to avoid lost files. • Shut the computer down before adding or removing peripheral devices (e.g., plugging or unplugging CD-ROM, floppy drive, etc.) to avoid damaging the unit. • Save frequently to avoid loss of critical data.
Preparing for the Site Visit	• Develop a plan of computer requirements and usage. • Determine who is responsible for which pieces of hardware, application and system software, and primary and backup files. • Create an inventory of equipment to be taken on the site visit, including make, model, and serial number. • Identify sensitive files, including those to be developed. Set up procedures to protect the files from unauthorized access by those that do not have permission to view, modify, or delete them (accidental or deliberate destruction). • Identify/document sources and final destination of each piece of hardware, application and system software, and primary and backup files. • Ensure extra diskettes/CDs are formatted for use in writing the site visit scorebooks. • Develop a plan to produce compatible computer output (files). Use the Examiner forms-only web version of the site visit scorebook for each of the forms. The plan should include: - Word processing software version and diskette format to save shared files and file names (e.g., Word 6.0/95)

While in transit	• You may have to operate the computer to assure the airport personnel that it truly is a computer. Make sure the battery is charged. • Regardless of the mode of transportation, keep the portable computer in its travel case, as it is best suited to protect the equipment during travel. • Do not pack the computer system in a suitcase. • When preparing the computer for travel, remove diskette or CD before you shut the computer down. • Always carry the computer with you onto an aircraft; do not check it as luggage. • When traveling in an automobile, the computer should be stored in the locked trunk. • Do not store diskettes or other magnetic storage media in the trunk, as excessive heat will damage them and/or cause them to lose data integrity.
While at applicant's site(s)	• You may use your laptop while on the applicants' s site. However, its use is **<u>restricted to the team conference room</u>**. • Do not use your laptop while interviewing employees. Do not use your computer while performing walk-around questions. • Do not use the applicant's computers. If data are needed, request the data, but do not extract or retrieve the data yourself • Do not remove any data files from the applicant's site.
D*uring stay at a Hotel/motel:*	• Leave portable/laptop/notebook computers in the most secure location. Choices include; conference room, hotel room, or with the hotel security. • If you need to plug the computer into the wall outlet, either to use the computer or to charge battery, first turn the computer off, plug the adapter into the computer, and then plug it into wall outlet. To preserve the life of the battery, run it completely down before you recharge, unless otherwise specified by the manufacturer. • If filtered power or a surge suppresser is not available, use battery power when operating the computer, but backup frequently and check the battery gauge to avoid unexpected shut down. • Do not leave the computer in the trunk of the automobile while staying at a hotel/motel.
Finally	• Remove any files with the Baldrige material from the hard disk when instructed to do so. This includes backup files produced by the system or application software when the team has completed the site visit scorebook. Empty the recycle bin on the notebook/ portable/laptop

SECTION 7

SITE VISIT SCOREBOOK GUIDANCE

Development of Site Visit Issues

Each site visit team must draft and reach consensus on 2-4 site visit issues (SVIs) per Item that the team will clarify or verify when on site. The team leader has the discretion to decide when **and** who **will carry out each step of the site visit issue development process (drafting, reviewing, and revising draft SVIs).**

1. Options for **WHEN** SVIs are developed:
   - **The traditional process occurs during Step 2**. Each Item lead drafts 2-4 SV issues per Item during the consensus planning phase. The drafts are reviewed by Item backups and then revised by the Item leads before the consensus calls. During the consensus calls, the team discusses and reaches consensus on all SVIs for all Items. Use of this traditional process is optional. Team leaders who are relatively confident that their consensus applicant will move on to a site visit may wish to continue this process. Others may wish to wait until they are certain that their applicant is moving on to Stage 3. The disadvantage of waiting is that it will increase the amount of work the site visit team must accomplish during the Stage 3 planning phase.

   - **Between Stage 2 and Stage 3 (September 14-17).** After the submission of the team's Stage 2 scorebook, there are few days before the Judges' meeting (where decisions are made concerning which applicants will receive a site visit). Team Leaders can use this time for the development of site visit issues. Possible options for who should prepare the SVIs are discussed below.

   - **Early in Stage 3 planning phase**. Team Leaders may wait to develop SVIs until they learn if their applicant will receive a site visit. This decision will be made at the Judges' meeting on September 17. Waiting until this time will increase the amount of work that must be accomplished during the site visit-planning phase, but it will guarantee that the site visit issues will be used. Possible options for who should prepare the SVIs are stated below.

2. Options for **WHO** participates in the phases of SVI development**:**

- **DRAFTING SVIs**: The Team Leader may draft all of the SVIs, have the BU TL draft all of the SVIs, have Item leads draft SVIs for their assigned Items, or assign a combination of team members to draft them.

   - **REVIEWING DRAFT SVIs**: The Team Leader will assign one or members of the team to review the SVIs and give feedback to the drafter(s). The reviewers can be one or more team members, e.g., TL, BU TL, the Item backups from the consensus stage, seniors on the team, etc.

   - **REVISING DRAFT SVIs**: The original drafter(s) will revise the SVIs based on feedback from the reviewer(s).

   - **REACHING CONSENSUS ON SVIs** – The entire team must reach consensus on all of the SVIs. This can be done during the consensus calls, the period between Stages 2 and 3, or during the early part of the Stage 3 (site visit) planning process.

THE USE OF THE ITEM WORKSHEET AND THE SVI WORKSHEET

SVIs should appear on the appropriate Item Worksheet in the section labeled **"Site Visit Issues (For Stage 3, Site Visit Use)."**

If the applicant is selected for a site visit, each Item/Category lead will copy and paste each SVI issue onto its own SVI Worksheet and develop a strategy (e.g., documents to review, people to interview, questions to ask) for resolving the issue while on site.

Development of Site Visit Issues (continued)

When	Who Drafts?	Who Gives Feedback?	Who revises?	Who Reaches consensus? NOTE: In all options, all team members must reach consensus on all SVIs
Traditional process During consensus stage	Item lead drafts 2-4 SVI/assigned Item	Backup Item Lead gives feedback during consensus planning phase	Item lead revised based on feedback from backup Item lead	Whole team reaches consensus on all SVIs during consensus calls
Between submission of Consensus scorebook (due to NIST 9/14) and the Judges' meeting (9/17)	TL develops 2-4 SVIs for each Item	BU TL gives FB on draft SVIs	TL revises.	Whole team reaches consensus on all SVIs during SVI planning calls
	BU TL develops 2-4 SVIs for each Item	TL gives FB on drafts	BU TL revises	
	Combination of TL, BU TL, seniors, etc. draft 2-4 SVIs for assigned Items	Assigned backups review and comment on drafts	Original drafter revised	
During Site Visit planning stage	TL develops 2-4 SVIs for each Item	BU TL gives FB on draft SVIs	TL revises.	Whole team reaches consensus on all SVIs during SVI planning calls
	BU TL develops 2-4 SVIs for each Item	TL gives FB on drafts	BU TL revises	
	Combination of TL, BU TL, seniors, etc. draft 2-4 SVIs for assigned Items	Assigned backups review and comment on drafts	Original drafter revised	

Hints for Preparing Site Visit Issues

To prepare SVIs that can be successfully closed out, Examiners might keep the following in mind:

- Develop an issue statement that is very clear relative to the comment(s) that are to be verified or clarified.
- Understand the approach the applicant uses. This can be obtained from the written application and during interviews by asking how a process works.
- Check deployment. Identify individuals or groups who should be using a process and ask them questions regarding how they make it work.
- "How" questions are open-ended questions and should be linked to a site visit issue in order to check approach and deployment. The answers should contain the following components:
  - Who is involved in the process?
  - How often it is done?
  - What inputs is used in the process?
  - What are the steps in the process to complete the task or the analysis that is done?
  - Provide an example
- To verify/clarify results in Category 7, Examiners should request documents/reports that support the graphs and results presented in the application. This can include reviewing the source document for the data presented and also interviewing individuals to determine what information they use to make decisions.
- If the applicant includes benchmark data, Examiners should understand why the data were selected and how the data are used to manage the organization.
- Identify any cross-cutting issues across Items to ensure that the issues are addressed by one of the Examiner teams.

Introduction and general instructions—Stage 3, Scorebook

The scorebook at Stage 3, Site Visit Review contains the following forms and worksheets:

- cover sheet
- Summary of Sites Visited
- Key Factors Worksheet
- Key Themes Worksheet
- Item Worksheets
- Site Visit Issue Worksheets
- Score Summary Worksheet—Site Visit
- signature page

The Summary of Sites Visited, Site Visit Issue Worksheet, Score Summary Worksheet—Site Visit, and signature page are all specific to Stage 3, Site Visit Review. The Site Visit Team may download copies of the scorebook from the Baldrige Web site at www.baldrige.nist.gov/04scorebook.htm. The worksheets are described below.

Key Factors Worksheet at Stage 3, Site Visit

The Key Factors Worksheet records the key business/organization factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the consensus scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation. In anticipation of the team leader's discussion with the Panel of Judges, the team not only provides the KFs but also completes the question at the bottom of the form, "Thinking about the questions in the Organizational Profile, did the team have any new insights about the applicant as a result of the site visit?"

Key Themes Worksheet at Stage 3, Site Visit

The Key Themes Worksheet provides key points and an overall summary of the Site Visit Team's evaluation of the applicant. It is an update of the Key Themes Worksheet from Stage 2, Consensus Review. Please limit the summary to 2–3 pages.

This information is based on the overall context provided by the evaluation framework (the Criteria Categories) and the Core Values and Concepts (found in the appropriate *Criteria for Performance Excellence* booklet) that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets. Rather, it should put them in perspective, taking into account Category linkages, KFs, and Core Values.

The Key Themes Worksheet should respond to the following questions.

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?
b. What are the most significant opportunities, concerns, or vulnerabilities that the team identified?
c. Considering the applicant's KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

Key Themes comments for questions a and b should address the evaluation factors of approach, deployment, learning, and integration. The comments for question c should address favorable and unfavorable levels and trends, comparisons, segmentation, linkage to the applicant's organizational requirements, and gaps.

Item Worksheet at Stage 3, Site Visit

This worksheet is the team's record of its final evaluation of the applicant for each of the Criteria Items. During the planning phase of a site visit, Examiners are asked to record site visit issues in the space provided on the Item Worksheet. These are major/important issues that will need to be verified or clarified during Stage 3, Site Visit Review. Issues for on-site **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would verify that the process exists and operates as presented in the written application. During the site visit, the Site Visit Team would verify that appropriate credit was given during the consensus review of the written application. This is particularly true in instances where the Consensus Team gave the applicant the benefit of the doubt.

Issues for **clarification** include those that were unclear or not addressed in the application but have been determined to be central to the Item requirements and relevant and important to the applicant's organization. This information gap may have prevented the Consensus Team from fully or fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data but the data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, how they are used and what the data show about the applicant's reported results relative to other organizations.

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: (1) the consensus scorebook, (2) conclusions resulting from the resolution of the site visit issues, and (3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges' deliberations and for the feedback report.

The Site Visit Team will be asked to indicate what scoring range the team believes most appropriately describes the applicant's achievement level for each Item, the impact of its findings on the consensus score for each Item, and which scoring band most accurately describes the applicant's overall performance. The impact is captured by selecting one of the following options: higher range, same range, or lower range. As each Item Worksheet is completed, the team records the original consensus score for the Item at the bottom of the form (from the consensus scoresheet), captures the teams determination of what scoring range they feel most appropriately represents the applicant's performance level, and checks the appropriate space to indicate what change, if any, the site visit findings have on the consensus scoring. Teams make these determinations based on the wording in the Scoring Guidelines.

Site Visit Issue Worksheet

The Site Visit Issue Worksheet is used initially to describe an issue that needs verification and/or clarification during the site visit and outlines the strategy to be used to obtain the information needed for verification/ clarification. Site visit issues are identified and refined by the team during the site visit planning process. Team members target those issues that will best contribute to their understanding of the performance of the applicant relative to the Criteria requirements.

Each team member indicates the Item addressed by the site visit issue under "Item Reference." Only one site visit issue is recorded per worksheet. During the site visit, any new issue identified is recorded on a separate worksheet and recorded as not having been evaluated during consensus

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening while on the site visit, Examiners review their notes and electronically record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the site visit scorebook to assist the Judges in their decision making.

In team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that clearly relate to the resolution of the site visit issue and may lead to revisions of the Item Worksheet comments. Conclusions indicate how the findings affect Item comments; they do not include value judgments. Until the site visit is complete, preliminary conclusions are subject to change as new information becomes available. The team discussions and preliminary conclusions will help guide the team's work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item's score (i.e., raise, no effect, lower) and places a check at the bottom of the form to indicate its decision.

Summary of Sites Visited

The Summary of Sites Visited contains information about the extent and thoroughness of the site visit. The team will list the major locations of the applicant that they visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form. Examples of such aspects might include the oldest facility, the site with a major reduction in force, the location where the newest product will be manufactured, or the telephone or data service center that runs three shifts. In addition, Examiners describe approaches they used to evaluate sites that they did not visit, including sites outside the United States.

This worksheet also contains any other information on the team's strategy for a thorough site visit. Examples might include such information as the following:

- "Interviewed employees on all three shifts."
- "Interviewed categories/types of employees."
- "Visited at least one location in each of the operating regions."
- "Did a sampling at all levels and in all locations of the organization's critical data systems."

(A sample of the Summary of Sites Visited Worksheet may be found in the Site Visit Manual.)

Requirements for a Good Scorebook

When completed, the site visit scorebook will contain a well-documented, nonbiased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will

- start with the consensus scorebook and site visit issues;
- show the strategy of the site visit, as illustrated by the sites visited, the site visit issues chosen, and the new findings;
- describe in the Site Visit Issue Worksheets how the site visit findings modify the conclusions drawn in the original consensus scorebook;
- show how the Item Worksheets are revised based on the site visit findings;
- show how the team's conclusions in the Key Themes Worksheet can be traced from the Item Worksheets; and show how the linkages identified in the Key Themes Worksheet are reflected in the Item Worksheets

Score Summary Worksheet—Site Visit

A member of the team transfers the percent scoring range from consensus using the consensus scoresheet and the percent scoring range based on the site visit findings for each Item. The team also indicates the changes due to the site visit findings (e.g., higher range, lower range, same range). Finally, using the Scoring Band Descriptors, the team determines which descriptor best reflects the team's view of the applicant and indicates the band number at the bottom of the Score Summary Worksheet— Site Visit.

Signature Page

The final requirement of the Site Visit Team members is the completion of the signature page of the scorebook. The statement reads, "I support the findings of the Site Visit Team contained in this scorebook." In the spaces provided, each Site Visit Team member should print his/her name and then sign the form.

Site Visit Issue Worksheet (Record only one issue per page.)

Item Reference: ____________________________ *Not originally evaluated at consensus* ______

Issue:

Each Item will normally have 2-4 SVI's. The SVI is "owned" by the Item Lead specified in this field.

Comment(s) affected: (An SVI addresses one or more comments in the consensus scorebook so that by the end of the site visit all OFI's, double pluses, and strength comments linked to a key theme in the final scorebook have been verified or clarified. 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 5.3 second +*)

All OFI's, all double pluses, and all strength comments linked to a key theme must be verified or clarified by the SV Team.

Strategy: (What information do you need, and how do you intend to obtain it, i.e., persons to interview, specific questions to ask each person [including walk-around questions to check deployment], 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.)

Be as complete and specific as possible so that you or another Examiner can carry out your strategy during the site visit. You may need to change some aspects of your strategy as the site visit proceeds depending on your findings. The Judges expect to see that the issue was thoroughly investigated and the methods used to investigate.

Findings: (What observations, specific answers, and/or updated results did you find during the site visit? Be specific and include data as appropriate.)

This is an audit trail of the findings. Based on the site visit issue and the strategy above, what was learned? Provide specific information (e.g., documents reviewed, interviews conducted, specific responses to questions, actual data observed). Before the closing meeting with the applicant, ensure that your findings answer the issue and permit you to verify and/or clarify all of the consensus comments referenced in "Comments affected" above.

Conclusions: (What is the resolution of this site visit issue based on your findings? For each comment referenced in "Comments affected" indicate; 1) the action you will take, e.g., delete/modify/no change; 2) the specific findings that lead you to that action, and 3) the final wording of the comment as it will appear in the site visit scorebook. If a new comment is required, it should be included in this section as well.)

Based on the findings above, what is the conclusion? Is the approach systematic and effective? Are there any gaps in deployment? Are results showing sustained positive trends? Are benchmarks and comparisons used and are they appropriate? Has the issue been resolved and have you verified or clarified the comments? Are any comments no longer appropriate? Do you need to create new comments?

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 consensus evaluation.

Site Visit Issue Worksheet

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".

Summary of Sites Visited

This worksheet conveys the extent and thoroughness of the site visit.

Length of the site visit (number of days with the applicant)

3 days

Sites visited (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Additional Information Needed Form.)

- Corporate Office – Baldrigeville, Maryland
- Regional Offices – Annapolis, Maryland; Richmond, Virginia; Asheville, North Carolina; Morgantown, West Virginia
- Manufacturing Plants/Transportation Hubs - Annapolis, Maryland; Richmond, Virginia; Asheville, North Carolina;
- Morgantown, West Virginia - Morgantown plant currently being upgraded to reduce emissions. Morgantown plant is also the only facility that does not have a 3rd shift.
- Annapolis plant was a recent acquisition (6 months ago)

Approaches used to evaluate sites not visited, including sites outside the United States (if appropriate)

- Video Conference Calls with Manufacturing Plants and retail units in Tampa and Orlando Florida (These plants are managed by the Asheville, North Carolina Regional Office and represent 8% of the applicants sales and retail operations, and represent 10% of the manufacturing operations).
- Tampa and Orlando Plants were called twice in order to cover 2 of the 3 shifts; and applicants sales and retail operations were called during their day time hours

Other information on the team's strategy for a thorough site visit (e.g., categories and types of employees interviewed and shifts)

- All Sites Visited were selected by the Examiner Team based on observing 90% aspects of the applicant's manufacturing operations; 100% corporate/management and support staff, 92% of the applicants retail and sales operations; and 100% of their transportation hubs.
- Data gathering methods consisted of document reviews and employee interviews that included meeting settings, lunchroom settings, and walk-around questions in all sites visited.
- The team interviewed all categories of employees. (23% Manufacturing employees (all 3 shifts); 22% sales and retail staff; 32% corporate/management and support staff; and 23% of the transportation hub warehouse workers (all 3 shifts) and 6% distribution drivers.
- Interviewed 251 of the applicants 1012 employees. (NOTE: A low percentage of the drivers were interviewed because of the nature of their jobs. Most of the drivers are dispersed throughout the East Coast. These employees were represented by those employees at their home sites who were available

Summary of Sites Visited

SCORE SUMMARY WORKSHEET—SITE VISIT

To complete this worksheet transfer the percent scores for each Item and the overall score from Consensus; determine the appropriate Scoring Range for the consensus percent score for each Item; enter the scoring ranges from Site Visit for each Item; and indicate with an "X" whether the effect was a score in a "higher range," "same range," or "lower range." Finally, using the Scoring Band Descriptors, determine which descriptor best reflects the team's view of the applicant, and indicate the band number in the space provided.

	Consensus Percent Score	Consensus Scoring Range	Site Visit Scoring Range	Changes Due to Site Visit Findings		
				Higher Range	Same Range	Lower Range
Item 1.1	**55**	**50-65**	*30-45*			**X**
Item 1.2	**55**	**50-65**	*50-65*		**X**	
Item 2.1	**55**	**50-65**	*70-85*	**X**		
Item 2.2						
Item 3.1						
Item 3.2						
Item 4.1						
Item 4.2						
Item 5.1						
Item 5.2						
Item 5.3						
Item 6.1						
Item 6.2						
Item 7.1						
Item 7.2						
Item 7.3						
Item 7.4						
Item 7.5						
Item 7.6						
Grand Total Consensus Score						

Based on the site visit findings the most accurate Scoring Band Descriptor for this applicant is the descriptor for band number_____.

Score Summary Worksheet—Site Visit

SCORING BAND DESCRIPTORS

Band Score	*Band Number*	*Descriptors*
0–275	1	The organization demonstrates early the stages of developing and implementing approaches to Category requirements, with deployment lagging and inhibiting progress. Improvement efforts focus on problem solving. A few important results are reported, but they generally lack trend and comparative data.
276–375	2	The organization demonstrates effective, systematic approaches responsive to the basic requirements of the Items, but some areas or work units are in early the stages of deployment. The organization has developed a general improvement orientation that is forward-looking. The organization obtains results stemming from its approaches, with some improvements and good performance. The use of comparative and trend data is in the early stages.
376–475	3	The organization demonstrates an effective, systematic approaches responsive to the basic requirements of most Items, although there are still areas or work units in early stages of deployment. Key processes are beginning to be systematically evaluated and improved. Results address many areas of importance to the organization’s key business requirements, with improvements and/or good performance being achieved. Comparative and trend data are available for some of these important results areas.
476–575	4	The organization demonstrates effective, systematic approaches to the overall requirements of the Items, but deployment may vary in some areas or work units. Key processes benefit from fact-based evaluation and improvement, and approaches are being aligned with organizational needs. Results address key customer/stakeholder, market, and process requirements, and they demonstrate some areas of strength and/or good performance against relevant comparisons. There are no patterns of adverse trends or poor performance in areas of importance to the organization’s key requirements.
576–675	5	The organization demonstrates effective, systematic, well-deployed approaches responsive to the overall requirements of the Items. The organization demonstrates a fact-based, systematic evaluation and improvement process and organizational learning that result in improving the effectiveness and efficiency of key processes. Results address most key customer/stakeholder, market, and process requirements, and they demonstrate areas of strength against relevant comparisons and/or benchmarks. Improvement trends and/or good performance are reported for most areas of importance to the organization’s key requirements.
676–775	6	The organization demonstrates refined approaches responsive to the multiple requirements of the Items. These approaches are characterized by the use of key measures, good deployment, evidence of innovation, and very good results in most areas. Organizational integration, learning, and sharing are key management tools. Results address many customer/stakeholder, market, process, and action plan requirements. The organization is an industry* leader in some areas.
776–875	7	The organization demonstrates refined approaches responsive to the multiple requirements of the Items. It also demonstrates innovation, excellent deployment, and good-to-excellent performance levels in most areas. Good-to-excellent integration is evident, with organizational analysis, learning, and sharing of best practices as key management strategies. Industry* leadership and some benchmark leadership are demonstrated in results that address most key customer/stakeholder, market, process, and action plan requirements.
876–1000	8	The organization demonstrates outstanding approaches focused on innovation, full deployment, and excellent, sustained performance results. There is excellent integration of approaches with organizational needs. Organizational analysis, learning, and sharing of best practices are pervasive. National and world leadership is demonstrated in results that fully address key customer/ stakeholder, market, process, and action plan requirements.

*Industry refers to other organizations performing substantially the same functions, thereby facilitating direct comparisons.

SIGNATURE PAGE

I support the findings of the Site Visit Team contained in this scorebook.

Name (Please print.)	Signature

SECTION 8

FAQs AND MATERIALS FROM THE EXAMINER HANDBOOK

8.0 STAGE 3, SITE VISIT REVIEW

Overview
The site visit is Stage 3 of the evaluation of applications for the Malcolm Baldrige National Quality Award. Applicants that receive a site visit are selected by the Panel of Judges at the end of Stage 2, Consensus Review. The purpose of the site visit is to *clarify* uncertain points in the application and to *verify* that the information presented by the applicant is correct. Prior to the site visit, the team leader (in conjunction with team members) must do extensive preplanning, most of which is conducted by telephone, fax, and mail. Estimated time required is shown on page 3-1. The site visit includes visits by the Site Visit Team to one or more of the applicant's locations. At the start of the site visit, all team members meet off site to finalize strategies, procedures, and assignments. To conclude the site visit process, the team meets off site again to complete the site visit scorebook. The site visit scorebook is submitted to the Panel of Judges and forms the basis for the Panel's decision whether or not to recommend the applicant for the Award. It is also the basis of the feedback report for the applicant.

Composition of the Site Visit Team
The Site Visit Team consists of six to eight members of the Board of Examiners. The number of board members on the team depends on the size of the applicant and the anticipated complexity of the site visit.

The team includes at least two Senior Examiners: one serves as team leader, the other serves as the backup team leader. Whenever possible, Examiners who participated in the consensus review are assigned to the Site Visit Team. Additional team members are selected on the basis of experience, industry knowledge, and availability. Also participating in the site visit is a NIST monitor. The NIST monitor does not take part in the evaluation process but helps to ensure that a consistent review process is followed for all site visits.

Site Visit Planning

1. Notification of Applicant
After the Panel of Judges selects applicants for Stage 3, Site Visit Review, NIST notifies the applicants, ASQ, and the team leader.

After notification by NIST, the team leader calls the applicant's Official Contact Point (OCP). The team leader explains the purpose of the site visit and the expectations of the applicant and of the Site Visit Team.

2. Initial Preparation for the Site Visit
ASQ sends initial instructions to the Site Visit Team members, along with logistical information and evaluation materials. The team leader works with the NIST monitor, ASQ, team members, and the applicant's OCP to establish the agenda of the site visit, the logistics and length of the visit, and the start and finish dates. The team leader drafts a tentative plan (e.g., agenda, list of site visit issues to resolve, thoughts on a methodology for approaching the site visit, and distribution of Category/Item assignments among team members), discusses the plan with the backup team leader and the NIST monitor, and sends the plan to the Site Visit Team.

Examiners individually review the evaluation materials, start the development of Site Visit Issue Worksheets, exchange Site Visit Issue Worksheets with other team members and the NIST monitor, review site visit issues for assigned backup Items, and perform tasks requested by the team leader. The team leader helps the team finalize the key issues for clarification and verification and the strategies for addressing the issues. The team ensures that a plan is in place to address adequately all key issues.

The team leader maintains regular, direct contact with the applicant's OCP to keep the applicant apprised of the site visit plans, answer any questions about the evaluation process, and obtain any additional information needed to prepare for the site visit. The team leader provides samples of site visit issues to the applicant's OCP.

3. Final Planning Meeting
The Site Visit Team holds a final planning meeting at a hotel located near the applicant. The purpose of the meeting is to finalize the strategy, agenda, interview schedule, and Site Visit Issue Worksheets that address the issues the team will clarify and/or verify. The team will also develop a list of documents to review and interviews to conduct so the applicant can be notified of these needs early in the site visit. The team will review and discuss Examiner professionalism.

Site Visit Execution

1. Conducting the Site Visit

The site visit begins with a one-hour opening meeting with the applicant at the applicant's headquarters, during which the team leader makes introductory remarks and introduces the Site Visit Team members. The team leader presents a brief overview of the Baldrige Award and site visit process and procedures, using visuals provided by NIST. The applicant then welcomes the team, introduces its representatives, and presents other material as it chooses.

Team members meet with applicant representatives and pursue the specific Items or issues to which the team members have been assigned. The team members will provide a list of needed documents and request updated graphs, charts, or data. Team members identify and schedule activities or individuals to be seen. The Site Visit Team meets as necessary during the time on site to assess how the chosen approaches are working and to alter plans as appropriate.

When the team leader and all team members are satisfied that all issues have been clarified or verified as needed, the team closes the site visit by holding a brief closing meeting with appropriate representatives of the organization. The team leader explains the next steps in the process using visuals provided by NIST, including preparation of the site visit scorebook and the decision making process used by the Panel of Judges; thanks the applicant for the hospitality shown to the Examiners; and commends the applicant for being selected for the site visit. The applicant also provides brief closing remarks. The NIST site visit monitor ensures that arrangements are set for returning applicant materials after the site visit scorebook is completed. After the meeting concludes, the team returns to the hotel to complete the site visit scorebook.

2. Completion of the Site Visit Scorebook

The site visit scorebook is based on the content of the consensus scorebook and updated with the findings from the site visit. It builds from the consensus scorebook to the Site Visit Issue Worksheets, the Item Worksheets, and the Key Themes Worksheet. Each worksheet provides the foundation for the findings of the next worksheet. These materials, combined with the completed site visit scorebook, provide the Judges with an audit trail of the results of the site visit for use in making Award recipient recommendations.

The Site Visit Team finalizes the Site Visit Issue Worksheets, recording findings for each site visit issue. Team members update strengths and OFIs for each Item on the specified Item Worksheet. All team members are responsible for providing information pertinent to site visit findings to the designated scorebook editor. The team prepares a Summary of Sites Visited, updates the KFs, and completes the Key Themes Worksheet and the scoring revisions on the Score Summary Worksheet. The team reviews and modifies, if necessary, all worksheets and summaries prior to signing the Signature Statement page of the site visit scorebook. **The entire site visit scorebook must be finished before the team members officially conclude the site visit.** At the conclusion of the site visit, an original paper copy of the site visit scorebook is printed for NIST. Four disk copies of the site visit scorebook are made—one each for NIST, the team leader, the backup team leader, and ASQ. The NIST monitor forwards a disk and paper copy to ASQ, along with a paper copy of the signature page.

Frequently Asked Questions About Stage 3, Site Visit Review

1. What will the team leader ask Examiners to do to prepare for the site visit?
Examiners will be asked to provide their

- expertise and preferences for Item assignments
- copies of their draft Site Visit Issue Worksheets
- suggestions, based on the site visit issues, for whom to interview, which sites to visit, what strategies and approaches to use, and for agenda items
- type of computer and software they will bring to the site visit
- travel, arrival, and departure plans

2. How many days will the site visit take?
The time needed for the site visit review process includes preparation time at the Examiner's home location, pre-site visit telephone calls, a one-day planning meeting at a hotel near the headquarters location of the applicant, two to four days at the applicant's site, and two to three days to write the site visit scorebook. The size and complexity of the applicant will influence the length of time spent at the site. Generally, Examiners can expect to spend six to seven days *at a site visit* in addition to the preparation time.

3. How are site visit issues reviewed and prioritized?
Examiners complete Site Visit Issue Worksheets for their assigned Categories and Items. Each Site Visit Issue Worksheet contains one issue. The issues are based on the need to clarify or verify strengths or OFIs listed in the consensus scorebook. Since the site visit is not an audit, Examiners are encouraged to be selective in the issues to be clarified or verified. Category/Item leads and backup partners review each other's Site Visit Issue Worksheets prior to the planning meeting, which usually occurs the Sunday before going on site. At the planning meeting, the team prioritizes and assigns the issues to the appropriate Examiners. The selection of issues or questions for clarification and/or verification during the site visit is crucial to an effective site visit.

Characteristics of a well-chosen site visit issue include the following:

- **It is an essential component of the score.** It focuses on factors that are important for the applicant, even if it is not important for all organizations. It may be one of the significant strengths or OFIs that requires verification (often the extent of deployment) and was identified at earlier stages of review, or it may be a significant issue for which information in the application is missing or unclear.
- **It is "cross-cutting."** It is the type of issue that affects, directly or indirectly, more than one Criteria Item. Also, it may include the degree to which an aspect of management is integrated throughout the applicant's organization.
- **It is part of the deployment determination.** The degree to which the applicant's approaches are deployed is often difficult to assess from the written application. The degree of deployment is often dependent upon the maturity of the program.
- **It is verifiable.** Acceptable techniques by which the team can get an answer to the issue are examining data sources, interviewing employees, or listening to presentations by the applicant. Unacceptable techniques include (1) interviewing customers, suppliers, or dealers unless they are a part of an official management or advisory structure or are serving as staff for the organization (e.g., customer service contractors); (2) conducting impromptu surveys; and (3) assessing individual customer complaints or student or patient records.

4. How can Site Visit Team members be contacted by their offices or families on the site visit?
In upholding the Rules of Conduct, it is important to maintain the confidentiality of the applicant. Prior to the site visit, Site Visit Team members are provided a contact list that may be shared to facilitate emergency contact. If necessary, the hotel telephone number may be provided for evening contact.

Site Visit Review: DOs and DON'Ts

- *Do* come prepared for a heavy schedule of activity beyond normal work hours. The agenda is full, the schedule hectic, and the environment intense.
- *Do* review the KFs of the applicant, including what issues are important, the size of the organization, and the nature of its markets/operations.
- *Do* plan to stay for the entire site visit, specifically through the completion of the site visit scorebook.
- Before the site visit, *do* ask the team leader to request items or information that will require special preparation by the applicant. Do not wait until the site visit starts to make requests such as

  - The team wants to interview a manager who is physically located at a site other than the one to be visited. The applicant will need to fly the manager in for the site visit or arrange for a telephone conference call.
  - The team will need data that have not been compiled or otherwise pulled together. Gathering the data would require substantial preparation by the applicant.

- *Do* exercise common sense when scenarios arise that you have not encountered previously. Do what makes sense and is consistent with the principles emphasized in this Handbook and reinforced in the Examiner Preparation Course. *Do* discuss issues with your NIST monitor.
- *Do* ask for whatever information is needed to clarify or verify your assigned issues. Ask spontaneous questions. However, be realistic and do not place an undue burden on the applicant by requesting things that are not necessary.
- *Do* adhere to the agenda items, but be flexible. It is vital that the applicant feels the opportunity was available to "tell its story."
- *Do* be alert to any response or lack of response that may affect the Site Visit Team's agenda or approach. Let the team leader know of the findings so a change in the agenda or approach can be considered. However, avoid appearing indecisive by requesting too many changes.
- *Do* be prompt for all appointments.
- *Do* take thorough notes for documenting the findings. Note the kinds of things that will help the applicant via the feedback report and will assist the Judges in understanding the applicant's processes and results.
- *Do* have originators of documents attach business cards or place their names, locations, and phone numbers on the front of all documents.
- *Do* participate in daily meetings and debriefings to share information and impressions, to ensure that all relevant information is obtained, to ask questions of other Examiners about their interviews, and to adjust strategy as needed.
- *Do* make arrangements with the NIST monitor for the return or disposal of all materials after the site visit. All applicant materials must be returned to the applicant. ***All*** notes, drafts, consensus scorebooks, drafts of Site Visit Issue Worksheets, applications, and flip charts must be given to the NIST monitor. All digitally stored material about the site visit must be deleted. (See Section 3.0 of this Handbook for more information about computer practices.)
- *Do* bring your Baldrige name badge and represent yourself as a Baldrige Examiner.
- *Do* wear comfortable clothing appropriate for the types of facilities you will be visiting and the off-site team sessions where discussion and writing occur.

- ***Don't*** contact the applicant prior to the site visit unless you are the team leader or backup team leader.
- *Don't* depart before the site visit scorebook is finished and signed.
- *Don't* take cameras, and video recorders, to the applicant's site.
- *Don't* discuss any of the following with the applicant:
  - personal or team observations, findings, conclusions, or decisions, whether in a critical or complimentary way
  - practices of other applicants
  - team observations about other applicants
  - names of or any other information about other applicants
  - your personal or professional qualifications
  - information about your own organization
- *Don't* drink alcohol until the site visit scorebook is completed.
- *Don't* show or give verbal or nonverbal feedback during interviews. Do not let the applicant's representatives know your evaluation of their answers.
- *Don't* interview consultants, customers, or suppliers other than the already identified exceptions under #3 of Frequently Asked Questions on page 8-3.
- *Don't* hold debriefings, meetings, or discussions of the site visit in an open area.
- *Don't* take applicant materials, reports, documentation, etc., off site unless it is essential and the applicant agrees to allow the materials off site.
- *Don't* write on any of the applicant's materials.
- *Don't* leave for home with any of the applicant's materials.
- *Don't* accept gifts of ***any*** sort.
- *Don't* bring family members or friends on site visit trips.
- *Don't* interact with the applicant after leaving the site.
- Don't take your cellphone to the applicant's site. However in the event that you need to be accessible for a known family emergency, you may carry your phone with you.

SECTION 9

OPENING AND CLOSING MEETING POWER POINT PRESENTATIONS

SECTION 10

SITE VISIT MANUAL INDEX

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