KEYSTONE HUMAN SERVICES
"Advancing the Human Spirit"

UNIVERSITY OF Cincinnati

Tactics for Maintaining Expected levels of Performance in an Increasingly Complex Regulatory Environment

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  - Residential and Community Settings
  - Intellectual Disabilities, Mental Health, Autism Spectrum Disorders
  - Lifespan services
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  - Residential and Community Settings
  - Intellectual Disabilities, Mental Health, Autism Spectrum Disorders
  - Lifespan services

Presentation Overview

- A New Approach
- Getting to Know You
- DMAIC
- Stakeholder Engagement
- Control Revisited
- Managing the Game of Hot Potato
- Auditing and Active Management

Active Learning

Changes from YOUR Feedback

- Broad, Proven Concepts with a Deeper Dive on 1-2 Ideas
- Trace a Successful Project
- Balance Between Didactics and Activities

Successful Organizations

- Understand what their customers want
- **Understand how they are measuring up**
- **Can describe, monitor and adjust processes**
- Can examine and support employee performance and functions
- **Can quickly identify and respond to internal and external demands**

Successful Organizations Use DMAIC

Define

Measure

Analyze

Improve

Control

DMAIC

Define

Measure

Analyze

Improve

Control

What Compliance Issue Keeps You Up at Night?

DMAIC

Define

Measure

Analyze

Improve

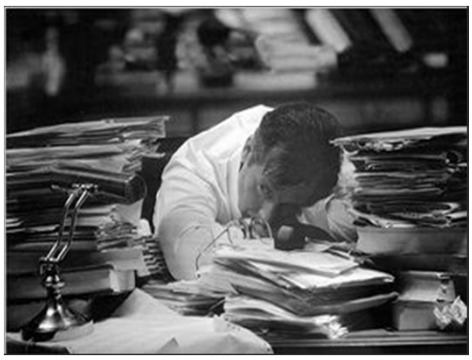
Control

Find a way to make the important measurable instead of making the measurable important

Where the Journey Begins: Data

Why Data?

- You Cannot Manage what You Cannot Measure



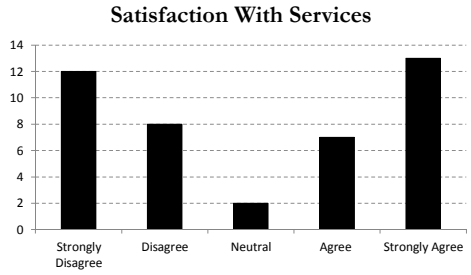
- Data →Information → Knowledge → Wisdom

"In God we trust.
All others, bring data."

-W.E. Deming

Measurement 101: "Eyeball your data"

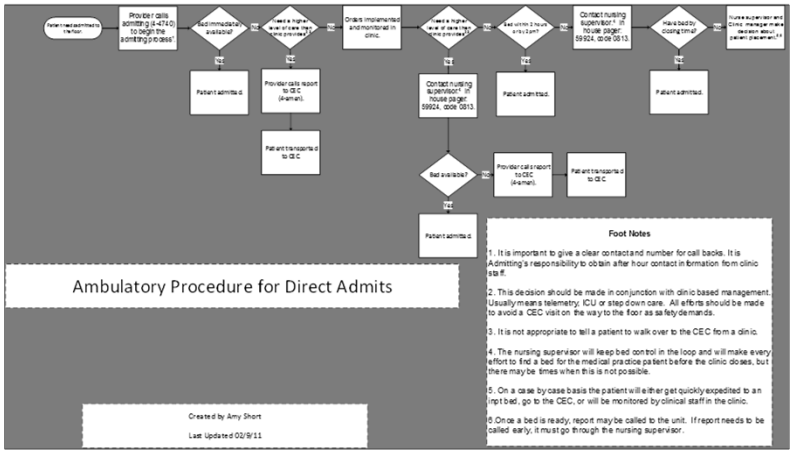
- The Importance of Visual Inspection
- First Step in Analyzing and Understanding Your Data



Shhhhh….It's a Secret

Measure

The Process Map



Process Mapping in a Nutshell

"Every system is perfectly designed to get the results it gets."

The only way to get different results is to change the system

Why Process Map?

- You Can't Fix a Problem Until You Understand the Present State
  - … How It REALLY Works
  - …. Everyone Shares the Same Understanding
- Process Maps Reveal Where Improvement Is Needed Most
- Process Mapping Helps Keep a Project in Scope

Process Map Errors

- Only Working with Those Distal to the Process
- Mapping the Improved Process First
- Mapping the Way a Process is "Supposed to Work"
- Incorrect Level of Abstraction
- Not Verifying Accuracy

DMAIC

Define

Measure

Analyze

Improve

Control

Analyze

- Walk the Process Map and Refine It
  - Spend Time with the People Who Do the Work
- Re-scope if Needed
- Capture Cycle Times
- Brainstorm Ideas for Improvement
  - Fishbone Diagrams
  - Affinity Diagrams

DMAIC

Define

Measure

Analyze

Improve

Control

Piloting Improvement and Change

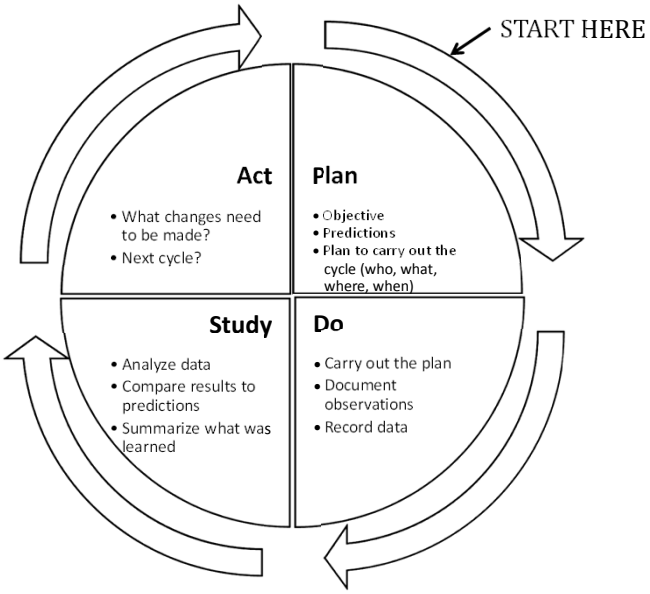
We must remember…

All Improvements stem from change, but not all changes are improvements

&

Hope is not an improvement strategy

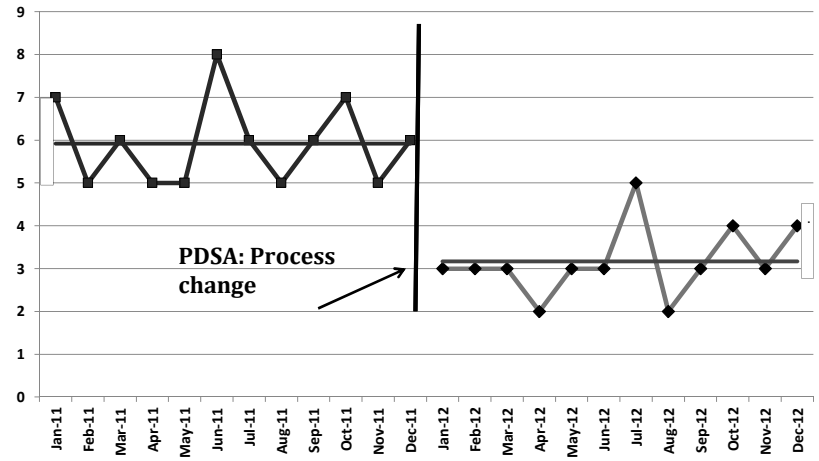
The Engine for Innovation & Change: PDSA Cycle



Hoorah for PDSA!

- Action-oriented Learning
- Scientific Process
  - Hypothesize
  - Experiment
  - Evaluate
  - Synthesize
- Avoid "Analysis Paralysis"
- Lessons in STUDY and ACT Become Public Knowledge and Speeds Generalization
- Minimal Expenditures $$
- Vertical Team Facilitates Buy-in

Test the Change



DMAIC

Define

Measure

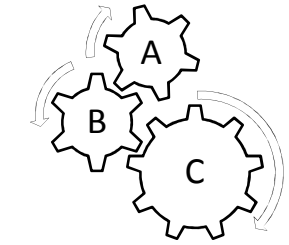
Analyze

Improve

Control

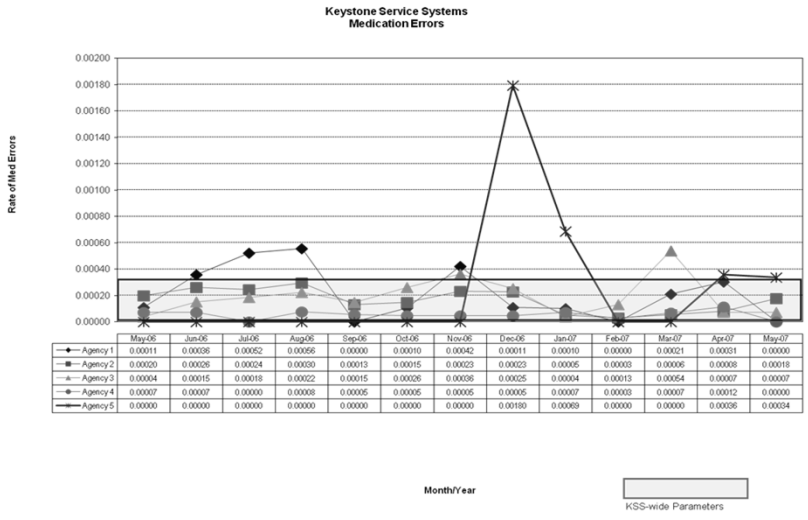
Now What?

C O N T R O L



- "Surface" Key Process and Outcome Measures
- Timely Data Entry = "Knowable" Individual and Group Performance
- Embed Use of Data into Management Repertoire

CONTROL



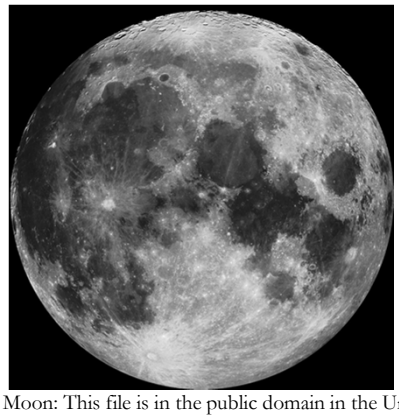
	May-06	Jun-06	Jul-06	Aug-06	Sep-06	Oct-06	Nov-06	Dec-06	Jan-07	Feb-07	Mar-07	Apr-07	May-07
Agency 1	0.00011	0.00036	0.00052	0.00056	0.00000	0.00010	0.00042	0.00011	0.00010	0.00000	0.00021	0.00031	0.00000
Agency 2	0.00020	0.00026	0.00024	0.00030	0.00013	0.00015	0.00023	0.00023	0.00005	0.00003	0.00006	0.00008	0.00018
Agency 3	0.00004	0.00015	0.00018	0.00022	0.00015	0.00026	0.00036	0.00025	0.00004	0.00013	0.00054	0.00007	0.00007
Agency 4	0.00007	0.00007	0.00000	0.00008	0.00005	0.00005	0.00005	0.00005	0.00007	0.00003	0.00007	0.00012	0.00000
Agency 5	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00000	0.00180	0.00069	0.00000	0.00000	0.00036	0.00034

CONTROL

- This is the Most Difficult Phase in DMAIC
- Maintaining the Gains
- Safeguards: What Will Be Done to Keep this on Track?
- Responsibility Rests on the Process Owner (Role of KPI)

- <u>What Happens in this Phase?</u>
  - Pick the Right Control Method (Checklists, Monitoring, Reporting)
  - What is Acceptable Variance?
  - Document the Response Plan

Project Example



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Internal Self-Audit

- The internal audit was conducted prior to the annual licensing visit with the intent of:
  - Fulfilling assessment of those programs identified as being 'high risk' as indicated on the organization risk assessment
  - To assess programmatic due-diligence in preparation for an external audit

Internal Self-Audit continued

- Probe
- Larger Sample Size: Decision points based on sample assessed:
  - Determine if reimbursement to the funder is needed based upon an identified overpayment versus;
  - Determine pervasiveness of non-compliances that are directly related to reimbursement

Initiation of the Self-Report Process

- Self-reporting process after internal audit findings found to be in alignment with the self-reporting criterion for providers
  - Legal counsel be consulted at the onset of the self-reporting process
  - Obligation to act as a compliance professional when such findings are of note;
  - Potentially less penalties with good-faith reporting as part of organizational due-diligence and transparency

Organizational Benefits

Global assessment of program and other like programs in order to assess/address risk

Cultural issues

Regulatory indicators for an overall programmatic assessment

Challenges

- Organizational Culture
  - Fight
  - Flight
  - Freeze
- Uncharted Waters
- Limited Resources

Integrated Framework

- Compliance and Quality
  - Detailed Improvement Plan and Associated Work plan
  - Communication
    - External
    - Internal
      - Weekly Check-ins
      - Regular Reporting
  - Workforce development and Transformation

Sample Work Plan

Major Action Step:	Find and Correct	Date Due	Date Completed	Form	Revision	Date Due	Date Completed	System Revision	Date Due	Date Completed	Lead Staff Responsible	Start Date	Planned End Date	Evidence of Completion

Lessons Learned

Strategies for Effective and Sustainable Quality Improvement

- Project selection
- Team engagement
- Building a culture of continuous improvement

Project Selection

- Project in in alignment with organizational goals and objectives
- Project has an executive champion
- Baseline data defines the problem

Project Selection

- Team involved with definition and selection
- Project appropriately scoped
- Data available to track improvement in real time

Project Alignment and Executive Champion

- Your project's goals MUST match those of your organization
- Executive champion clears the road

Baseline Data Defines the Problem

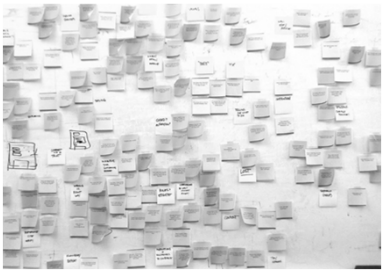
- No data, no project
  - Is there even a problem?
  - How will you know if you have improved?

Baseline Data Defines the Problem

- This is **NOT** data:
  - MD Hand washing is inconsistent at the hospital
  - Customer's wait too long on the phone
  - Documentation is incomplete
- How would you fix these?

Project Definition and Selection

- Have the right people at the table
  - Stakeholder analysis
- Hone in on the root causes
  - Fish Bone
  - Affinity Diagram



Project Definition and Selection

- Look for break through opportunities
  - Resource/Impact Matrix
- Have a formal plan
  - Project Charter

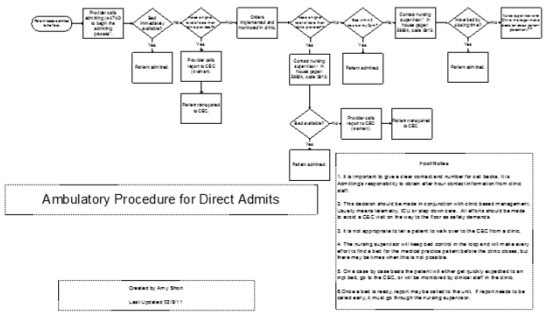
Project Charter	
Problem Statement	What is wrong, where it happens, when it happened, to what extent (data).
Goal/Objectives	
Benchmark/Target/ Standards	
Time Line	
Scope of Work	
Exec Champion	
Team Leader	
Team Membership	
Measurements	
Approval Process	
Stakeholders	
Communication Plan	

Project Appropriately Scoped

- Avoid "world hunger"
- Many projects hide inside a big problem
- Resist scope creep

Suggested tools:

- Process Map
  - Macro and Micro
- Project Charter



Smart AIM Statements

Aim Statements

What are we trying to accomplish?

- **S - Specific**
- **M - Measurable**
- **A – Actionable**
- **R – Relevant**
- **T – Time bound**

We will increase physician hand washing, prior to entering a patient's room on unit 7NW, from 60% to 90% by May 30th, 2014.

Back to Data

- Data needs to be real time
- Needs to be resource appropriate

Team Engagement

- The harsh light of reality
- Attitude matters
- Everyone should be involved in improvement
- Everyone should be feel valued

The Harsh Light of Reality

- What you think VS what they know

Attitude Matters

- Align with informal leaders
- Work with nay-sayers to keep you honest
- Use ground rules

Involving Everyone – Core Team

Group Formation

Forming
Storming
Norming
Performing

Involving Everyone – Larger Group

Everyone Should Feel Valued

- This must be honest and sincere
- All team members participate
- "The window and the mirror"
  -Good to Great, Jim Collins

A Culture of Continuous Improvement

- "Culture eats processes for lunch!"
- The right environment
- Doing the hard work

Culture Eats Process for Lunch!

- "Culture does indeed devour massive amounts of well-intended process change throughout corporate America. This leaves some unaware teams scratching their heads as they stare in amazement at the smoking wreckage of what was anticipated to be a simple process improvement."

  –Jeff Cole

The Right Environment?

- Job interview based on tasks
- Fill open positions ASAP
- Focus on managing problem staff
- Avoid discipline

The Flip Side

- Hiring talented jerks
- Hiring untalented jerks
- Mediocre staff never grow; Stars leave
- No one motivated to perform; Stars leave

Doing the Hard Work

- Include behavioral interview questions that hone in on the kind of environment you want to promote
  - Also use peer interviewing
  - Spend time with references
- Hold out for the superstars-it's much easier to hire right than coach when it comes to behaviors

Super Star Interview

Categories Sorted by Vote*	
Leadership Skills/Experience	16
Passion For AIDS	15
Business Acumen/Operational Experience	14
Fund Raising	13
Interpersonal Skills	10
Vision	10
Community Relations	9
Integrity	6
Social Services Background	3
Communication Skills	1
Culturally Competent	0

*Each participant was given 10 votes to distribute among key characteristics. Votes were obtained from Helen, Art, Ryan, Mike, Jerry, Amy, Karen, Philecia, Dennis, Rebeca, and Darlyne.

Behavior-Based Interview- First Round

ion: CEO; Stop Aids

rvisor: Board of Trustees

Created: 4/14/08 **Date Last Edited:** 5/01/08

licant Name:_____

rveiwers:_____

w time for questions about the resume or the essay.

ngth 1: Leadership Skills/Experience

g Average Poor NA

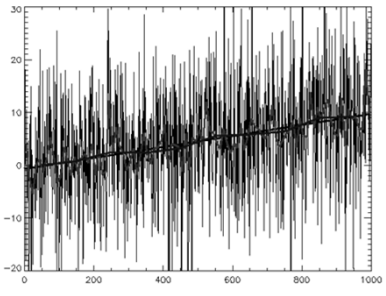
1. Tell me about a time you had to motivate someone or a group in order to get them to perform at a higher level.

Doing the Hard Work

- Get out of the "valley of coaching hell"
  - aka stop begging people to work
  - Spend more time developing middle performers
  - Spend more time challenging stars
- Hold folks accountable
  - Stepwise discipline
  - Works in union shops too!

Takeaways

- Careful project selection is the foundation of success
- Team engagement will lead you to better, more sustainable solutions
- Unhealthy work environments will undo your good work
- Data drives your changes (We can't say it enough)



Key Performance Indicators (KPIs)

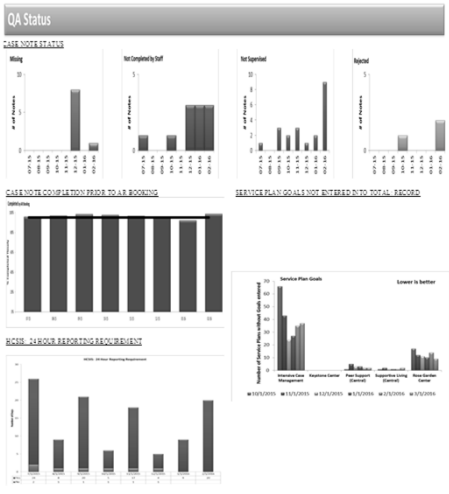
- How do you measure success
- Type of performance measurement
- Help an organization define and measure progress
- Linked to an organization's mission and vision
- Should include regular examinations of goals/expectations

Are We Consistently Meeting Stakeholders Service Expectations And Goals?

Why Are KPIs Important?

- Sustainability in a new era
- Performance information is front and center
- Increase the pace of effective decision-making
- Decisions need to be targeted and informed
- Use of KPIs embedded into management will enable these abilities

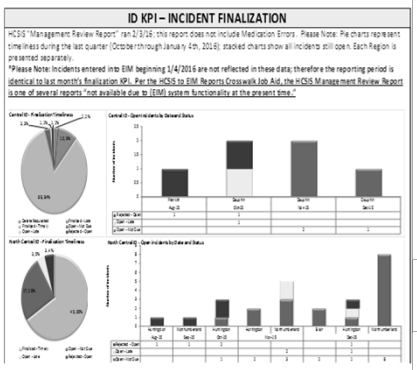
Scorecard



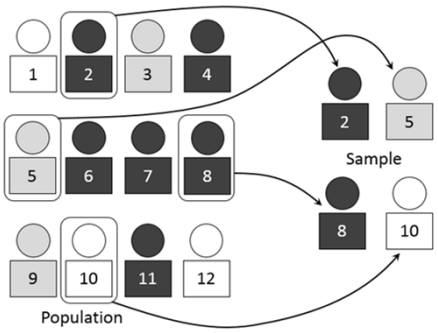
January 2016 - Acme ID Services – 2/9/16 KPI meeting

Action Item(s) Follow-Up from last month:

What	From whom	By when
Finalize all rejected-open and open-late incidents	DDs	1/31/2016 - DONE
Discuss guidance to provide to PPs re: med error (abbreviated incidents) finalizations in EIM	Regional IM committee	1/19/2016 – DONE; need to standardize
DDs embed KPI scorecard review/actions into meetings using team mtg agenda format. Minutes will be created for all mtgs: leadership, division, service area, management, team/program	RD & DDs	Month from now – 2/12/2016
Try, again, to acquire EIM role definitions	QPM	1/19/2016 - DONE
EIM Point Person training – need more info to determine standardized guidance before we can develop this	EIM Workgroup	TBD



Active Management vs. Auditing



Active Management vs. Auditing

Component	Active Management with Data	Auditing
Scale	Population	Sample
Time	Close to real time	Retrospective
Opportunities to examine Performance Status	Frequent	Dependent on audit schedule
Focus	Current and Future	Retrospective and Future
Organizational Risk	Catch issues quickly	Depends on Audit timeframe

Whoever Owns the Process, Shoulders the Responsibility