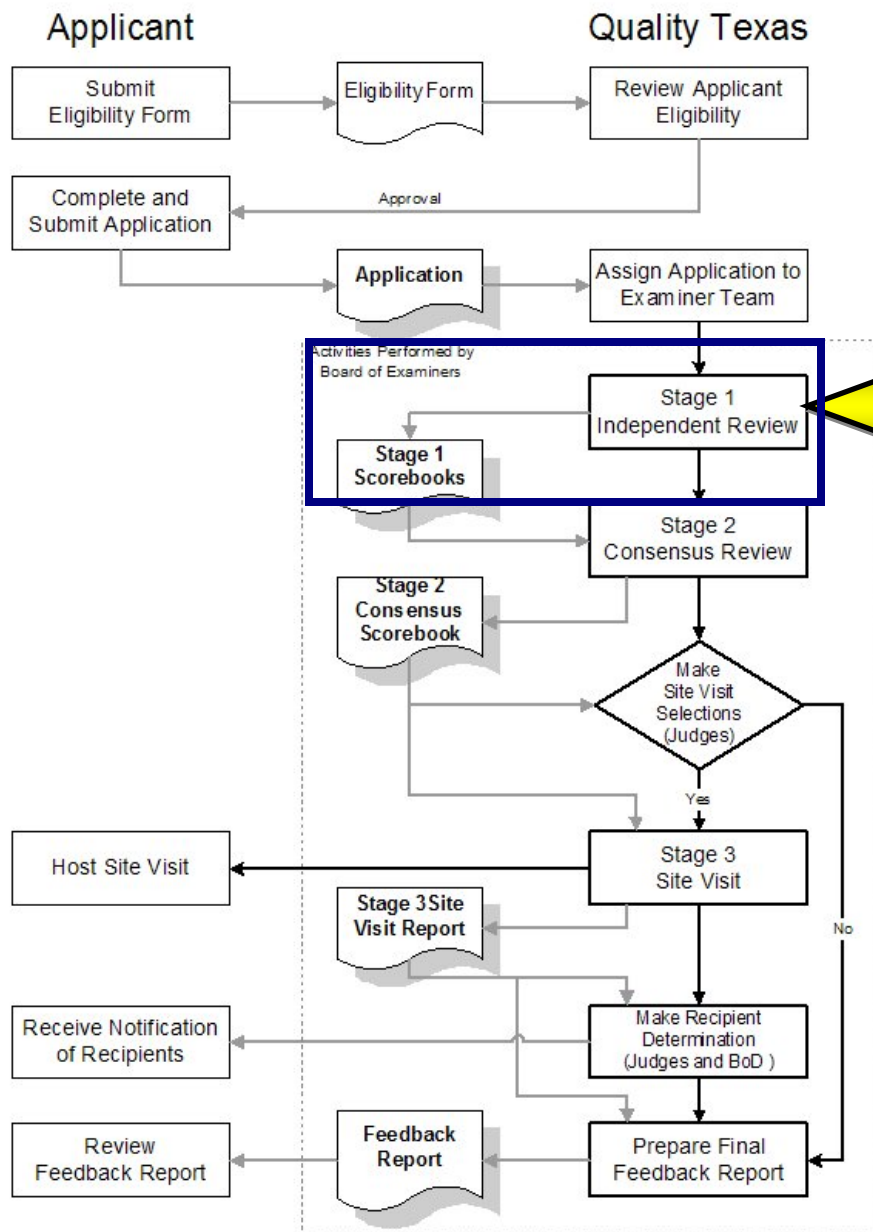# What Examiners Look For

How Quality Texas Examiners Review an Application

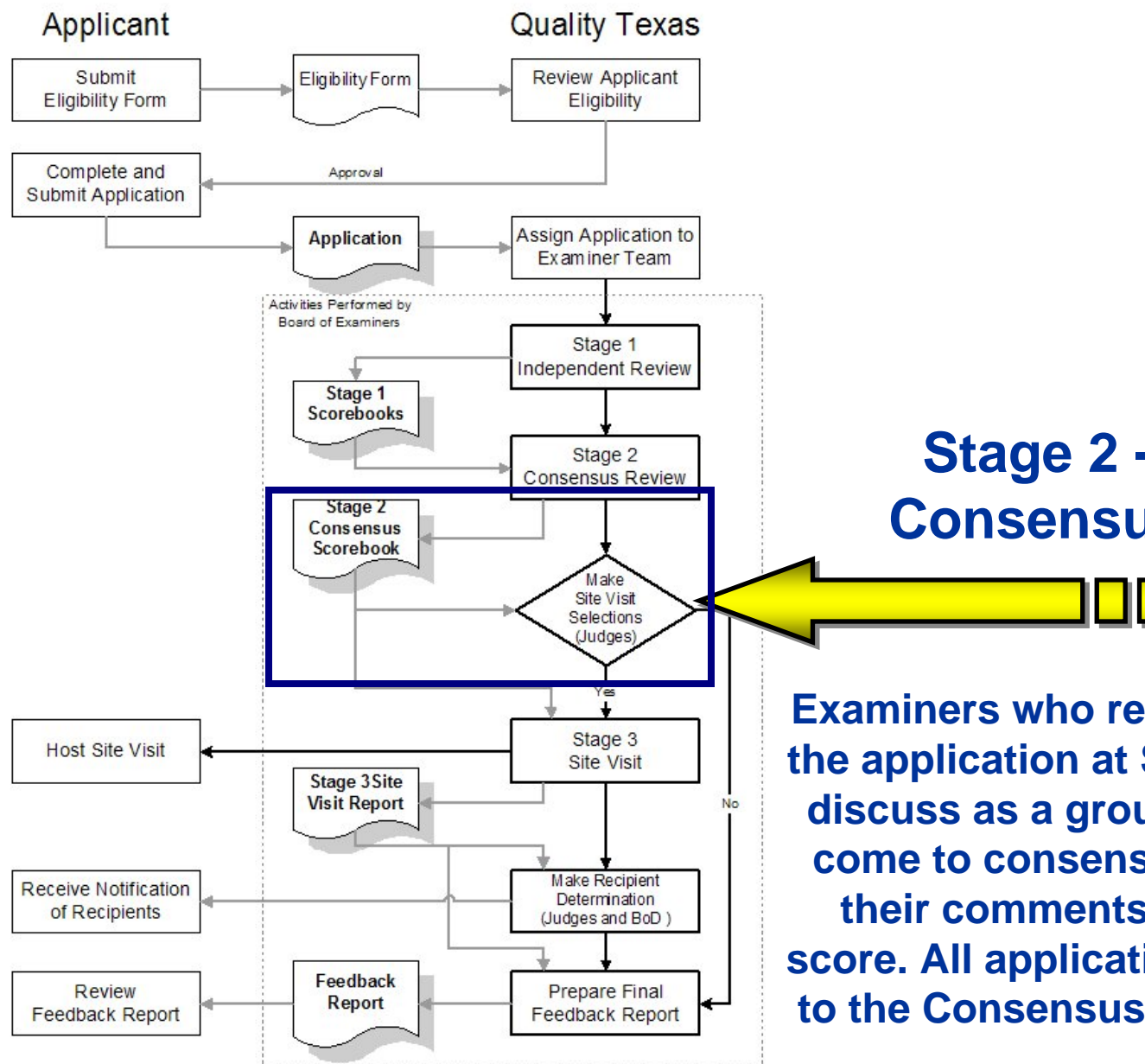# The Review Process Has Three Stages

- **Stage 1 – Independent review**

- **Stage 2 – Consensus**

- **Stage 3 – Site visit**

- *This presentation focuses on how Examiners assess applications in Stage 1*

Applicant

- Submit Eligibility Form
- Complete and Submit Application

Quality Texas

- Review Applicant Eligibility
- Assign Application to Examiner Team

Eligibility Form

Approval

Application

Activities Performed by Board of Examiners

- Stage 1 Independent Review
- Stage 1 Scorebooks
- Stage 2 Consensus Review
- Stage 2 Consensus Scorebook
- Make Site Visit Selections (Judges)
- Host Site Visit
- Stage 3 Site Visit
- Stage 3 Site Visit Report
- Yes
- No
- Receive Notification of Recipients
- Make Recipient Determination (Judges and BoD)
- Review Feedback Report
- Feedback Report
- Prepare Final Feedback Report

Stage 1 - Independent Review

Each Examiner assigned to that application reviews and scores it individually.

Applicant

Submit Eligibility Form → Eligibility Form → Review Applicant Eligibility

Complete and Submit Application ← Approval

Application → Assign Application to Examiner Team

Activities Performed by Board of Examiners

Stage 1 Independent Review

Stage 1 Scorebooks

Stage 2 Consensus Review

Stage 2 Consensus Scorebook

Make Site Visit Selections (Judges)

Host Site Visit ← Stage 3 Site Visit

Stage 3 Site Visit Report

Receive Notification of Recipients ← Make Recipient Determination (Judges and BoD)

Review Feedback Report ← Feedback Report ← Prepare Final Feedback Report
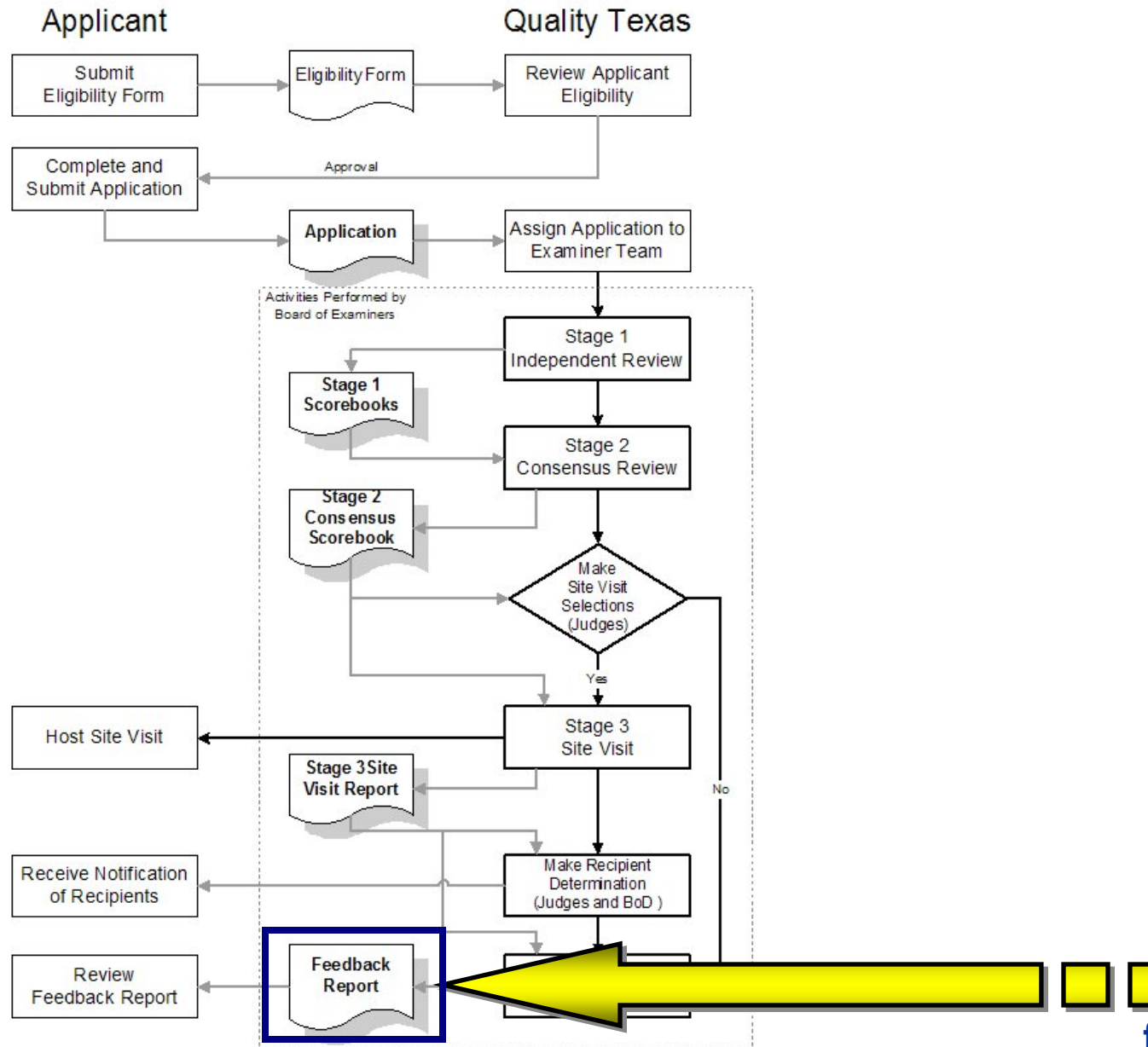
Quality Texas

Stage 2 - Consensus

Examiners who reviewed the application at Stage 1 discuss as a group and come to consensus on their comments and score. All applications go to the Consensus stage.
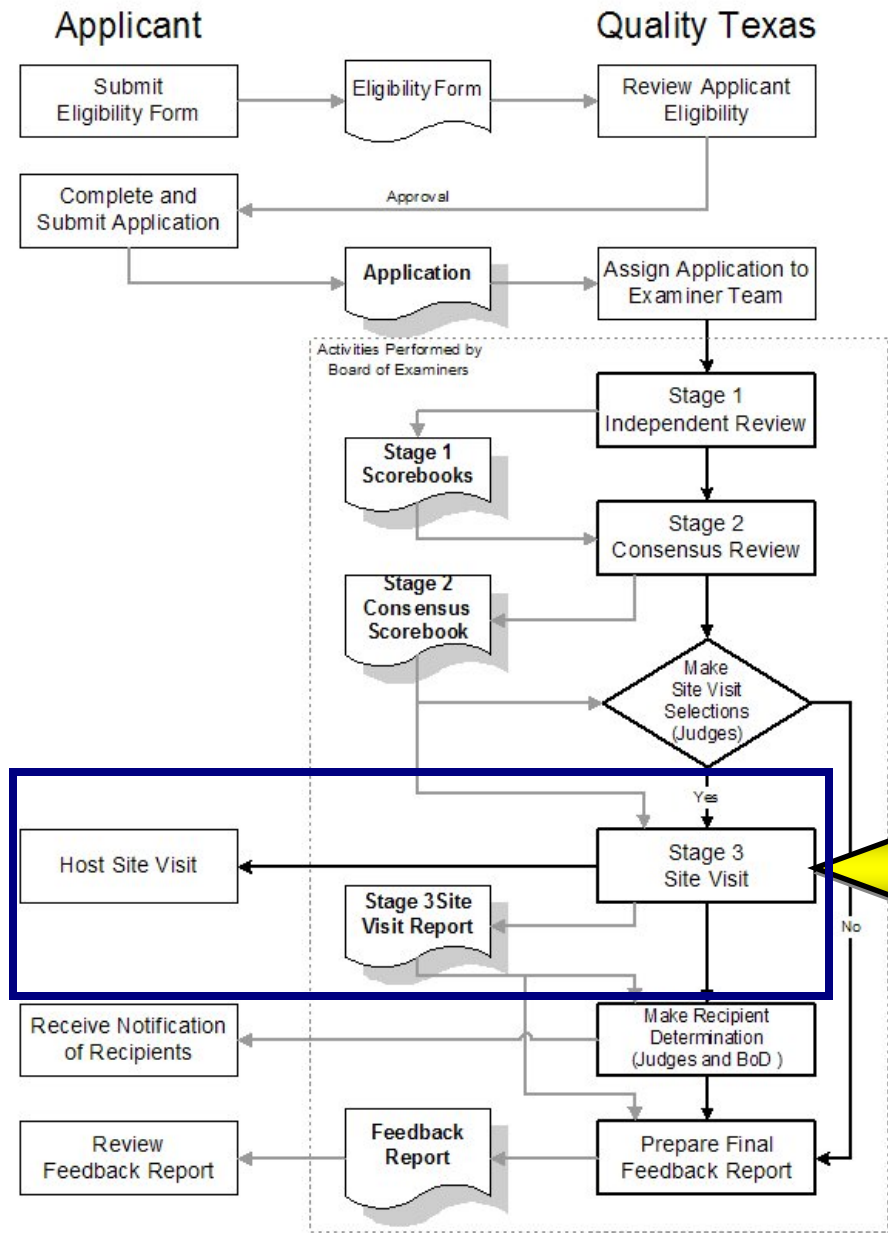
Stage 3 - Site Visit

For applications that score high in Consensus, the Judges ask for a site visit to verify/clarify comments in the consensus report.

Applicant　　　　　　　　　　　　**Quality Texas**

Submit Eligibility Form → Eligibility Form → Review Applicant Eligibility

Complete and Submit Application ← Approval

Application → Assign Application to Examiner Team

Activities Performed by Board of Examiners

Stage 1 Independent Review

Stage 1 Scorebooks

Stage 2 Consensus Review

Stage 2 Consensus Scorebook

Make Site Visit Selections (Judges)

Yes

Host Site Visit ← Stage 3 Site Visit

Stage 3 Site Visit Report

No

Receive Notification of Recipients ← Make Recipient Determination (Judges and BoD)

Review Feedback Report ← Feedback Report

All applicants receive a detailed feedback report

The Examiners' Process: Stage 1 Independent Review

Prepare to Evaluate	Evaluate the Application	Finalize the Scorebook

- Check for Conflicts of Interest

- Assemble Materials

- Review Criteria

- Read the Application

- **Develop Key Factors Worksheet**

- Prepare for Item Evaluation and Scoring

- Evaluate Processes or Results

- Write Item Comments

- Score Item Worksheets

- Develop K Worksheet

- Review for Consistency

- Finalize Remaining Worksheets

- Forward Completed Scorebook

> This is a list of important facts that help the Examiners understand the unique issues related to the applicant. It is derived primarily from the Organizational Profile.

Stage 1 Independent Review

Prepare to Evaluate	→	Evaluate the Application	→	Finalize the Scorebook

- **Check for Conflicts of Interest**

- **Assemble Materials**

- **Review Criteria**

- **Read the Application**

- **Develop Key Factors Worksheet**

- **Prepare for Item Evaluation and Scoring**

- **Evaluate Processes or Results**

- **Write Item Comments**

- **Score Item Worksheets**

- **Develop Key Themes Worksheet**

- **Finalize Remaining Worksheets**

- **Forward Completed Scorebook**

> **Examiners identify 4 – 6 Key Factors that are relevant to the specific Item response being evaluated. These Factors are used to develop objective, actionable feedback comments.**

Stage 1 Independent Review

Prepare to Evaluate	→	Evaluate the Application	→	Finalize the Scorebook

Prepare to Evaluate
- Check for Conflicts of Interest
- Assemble Materials
- Review Criteria
- Read the Application

Evaluate the Application
- Develop Key Factors Worksheet
- Prepare for Item Evaluation and Scoring
- Evaluate Processes or Results
- Write Item Comments
- Score Item Worksheets

Finalize the Scorebook
- Develop Key Themes Worksheet
- Review for Consistency
- Finalize Worksheets
- Forward Completed Scorebook

Examiners evaluate the Item responses, using defined evaluation factors for both Process (Categories 1 – 6) and Results (Category 7) Items (see following slides for details).

In Evaluating Processes (Categories 1 – 6), Examiners Look At:

Approach –　　How the applicant addresses the Criteria requirements (what systematic processes are in place?)

Deployment –　　The extent to which the applicant's processes are used and followed across the organization

Learning –　　How processes systematically are evaluated and improved; how the organization learns

Integration –　　How individual components of the system operate as a fully interconnected unit (e.g., output from one process is used as input to other processes)

In Evaluating Results (Category 7), Examiners Look At:

Levels – Numerical data that place an organization's performance on a meaningful measurement scale

Trends – Numerical data that shows the direction and rate of improvements over time

Comparisons – Shows the significance of results by their relationship to performance of other organizations for the same or similar measures

Linkages – Connections to important customer, product /service, process, or action plan performance requirements

Gaps – Missing information or data that may be called for in the Organizational Profile or elsewhere in the Criteria

Segmentation* – Results are presented by appropriate customer, employee, market sub-groups to demonstrate relative performance across all important sub-groups

* Segmentation is a sub-set of the other evaluation factors, I.e., observations about segmentation may be included within comments about levels, trends, comparisons, linkages or gaps.

Stage 1 Independent Review

Prepare to Evaluate	**Evaluate the Application**	**Finalize the Scorebook**

Prepare to Evaluate
- Check for Conflicts of Interest
- Assemble Materials
- Review Criteria
- Read the Application

Evaluate the Application
- Develop Key Factors Worksheet
- Prepare for Item Evaluation and Scoring
- Evaluate Processes or Results
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- Score Item Worksheets

Finalize the Scorebook
- Develop Key Themes Worksheet
- Review for Consistency
- Finalize Remaining Worksheets
- Forward Completed Scorebook

Examiners write 6 – 10 comments, both Strengths and Opportunities For Improvement (OFIs)

Feedback Comments

- **Provide applicants an external view, grounded in the Criteria.**

- **Communicate current level of achievement and guidance to reaching the next level of performance.**

- **Comments are in a polite, professional tone without judgmental or prescriptive language.**

- **Comments are based solely on the applicant's Key Factors, the Criteria, and the scoring guidelines. Personal opinions or prescriptive feedback is not allowed.**

- **All OFI comments include actionable information that helps the applicant understand where to focus attention to move forward; a "so what" also is included explaining the importance of the gap to the applicant.**

- **Comments are aligned with and support the score assigned to each Item.**

Sample Process Strength Comment

Approach

Senior leaders create a focus on action to accomplish the organization's objectives, improve performance, and attain their vision through a <u>variety of performance metrics based on the FOCUS scorecard</u>. These include trend charts, control charts, and the <u>ability to drill down</u> to a specific clinic, CM, group, payor, provider, and /or team. Metrics are <u>communicated and deployed</u> through cross-functional teams referred to as "Data Docs." The senior leadership team reviews and approves all key organizational performance indicators that will be part of the scorecard. The <u>OASIS Improvement Model</u> is utilized to improve performance and accomplish the organization's objectives.

Deployment

Integration

Learning

Sample Process OFI Comment

Approach

Although the applicant's <u>Service Experience Survey</u> <u>and Service Recovery Process</u> allow follow up with some of its patients to receive prompt and actionable feedback, it is not clear how the other survey approaches enable the applicant to receive prompt feedback from its <u>other customer segments</u>, such as the community, partners, and payors.

Deployment

Sample Results Strength Comment

Levels   **Trends**   **Comparisons**

Results for community confidence (Figures 7.2-8a through 7.2-8c) show improving results over the last three years among users and nonusers in all counties, with overall, pediatric, and senior care performance that is the best in the state for 2005. These results demonstrate the applicant's progress toward the key customer and stakeholder requirement of the applicant having a "reputation as a high-quality health center."

Linkage

Sample Results OFI Comment

Gap

Linkage

No data are provided related to nine of the 14 programs to support the key communities identified in **Figure 1.2-5**. In addition, no results are provided on the impact of the applicant's actions to build community health (e.g., the actual weight loss and fitness of children participating in the "Healthy Body" Program rather than the number of children participating). Without such results, it is **not clear how the applicant determines the impact of its efforts** and ensures that its resources are being used effectively.

"So What"

Stage 1 Independent Review

Prepare to Evaluate	→	Evaluate the Application	→	Finalize the Scorebook

Prepare to Evaluate

- **Check for Conflicts of Interest**
- **Assemble Materials**
- **Review Criteria**
- **Read the Application**

Evaluate the Application

- **Develop Key Factors Worksheet**
- **Prepare for Item Evaluation and Scoring**
- **Evaluate Processes or Results**
- **Write Item Comments**
- **Score Item Worksheets**

Finalize the Scorebook

- **Develop Key Themes Worksheet**
- **Review for Consistency**
- **Finalize Remaining Worksheets**
- **Forward Complete Scorebook**

Examiners use a Scoring Guidelines table to determine the appropriate score for each Item

Why Scores Matter

- **Provides feedback to the applicant about the relative maturity of their processes or results**

- **Helps Examiners "calibrate" comment balance both in independent review and in consensus**

- **Used by Judges to determine Site Visit recipients**
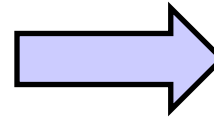
Evaluation Factors and Scoring

Evaluate Processes ➡ **Write Comments** ➡ **Assign Scores**

• Approach	• Approach	• Approach
• Deployment	• Deployment	• Deployment
• Learning	• Learning	• Learning
• Integration	• Integration	• Integration

Evaluate Results ➡ **Write Comments** ➡ **Assign Scores**
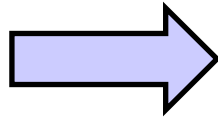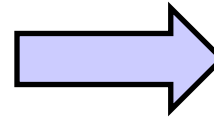
• Levels	• Levels	• Levels
• Trends	• Trends	• Trends
• Comparisons	• Comparisons	• Comparisons
• Linkages	• Linkages	• Linkages
• Gaps	• Gaps	• Gaps

How Examiners Score Item Worksheets

- **Find the "best fit" scoring band**
  - **Read the descriptors for Approach, Deployment, Learning and Integration in the Scoring Guidelines to determine the appropriate scoring band for Process Items (Categories 1 – 6).**
  - **Read the descriptors for Levels, Trends, Comparisons and Linkage in the Scoring Guidelines to determine the appropriate scoring band for Results Items (Category 7).**

- **Determine a 5% increment score within the band**

- **Verify the score against the balance of comments**

- **Record the Item score**

•Score	Approach	Deployment	Learning	Integration
•0% •or •5%	No systematic approach is evident; information is anecdotal.	Little or no deployment of an approach is evident.	An improvement orientation is not evident; improvement is achieved through reacting to problems.	No organizational alignment is evident; individual areas or work units operate independently.
•10% •15% •20% •or •25%	The beginning of a ~~systematic approa~~ **"Best Fit"** early ~~basic requirements~~ of the ~~Item~~ is evident.	in most areas or work units, inhibiting progress in achieving the basic requirements of the Item.	Early stages of a transition from reacting to problems to a general improvement orientation are evident.	The approach is aligned with other areas or work units largely through joint problem solving.
•30% •35% •40% •or •45%	An effective, systematic approach, responsive to the basic requirements of the Item, is evident.	The **approach is deployed,** although some areas or work units are in early stages of deployment.	The beginning of a systematic approach to evaluation and improvement of key processes is evident.	The approach is in early stages of alignment with basic organizational needs identified in response to the other Criteria Categories.
•50% •55% •60% or •65%	An effective, systematic approach, responsive to the overall requirements of the Item, is evident.	The approach is well deployed, although deployment may vary in some areas or work units.	A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes.	The approach is aligned with organizational needs identified in response to the other Criteria Categories.
70% 75% 80% or 85%	An effective, systematic approach, responsive to the multiple requirements of the Item, is evident.	The approach is well deployed, with no significant gaps.	Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing.	The **approach is integrated with organizational needs** identified in response to the other Criteria Items.

Stage 1 Independent Review

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Key Themes serve as the "Executive Summary" of the feedback report

Key Themes: Three Types of Comments

- **Strengths**
  - **What are the most important strengths or outstanding practices identified?**

- **Opportunities For Improvement**
  - **What are the most significant concerns, weaknesses, or vulnerabilities identified?**

- **Results**
  - **Considering the applicant's Key Factors, what are the most significant strengths, vulnerabilities, and/or gaps found in its results?**

What Examiners Look For

How Quality Texas Examiners Review an Application