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

Kristine Koontz, PhD, SSGB
Amy Diane Short, MHSA, CSSBB
Vicki Hoshower, BA
Lindsay Lebo, CHC

Kristine Koontz, Ph.D.

• Clinical Psychology—Science Practitioner
• Six Sigma Green Belt
• Vice President of Quality and Clinical Services
• Oversight of Behavioral Health Organization
  • Residential and Community Settings
  • Intellectual Disabilities, Mental Health, Autism Spectrum Disorders
• Lifespan services
• USA: PA, DE & CT
• International: Moldova, India
Amy Short, MHSA

- BS Psychology
- MHSA (Master's Health Services Administration)
- Certified Six Sigma Black Belt
- Operational Oversight of Hospital Functions
- QI Leadership of Implementation Research at Academic Health Center
- Patient Advisory Council Mentor
- University of Cincinnati IRB Member
- Associate Director of the University of Cincinnati Evaluation Center

Vicki Hoshower

- Assistant Director of Quality
- Intellectual Disability, Mental Health and Autism Services varied roles for Keystone Human Services in PA and DE
- Presentations at State-wide conferences in PA
- 28 years of experience
Lindsay Lebo

- Director of Compliance
- Certified in Health Care Compliance
- Provide Compliance Support to:
  - 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

![Bar chart showing satisfaction levels with services]

Shhhhh....It’s a Secret

![Text: PROCESS > OUTCOME]
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
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

START HERE

Act
- What changes need to be made?
- Next cycle?

Plan
- Objective
- Predictions
- Plan to carry out the cycle (who, what, where, when)

Do
- Carry out the plan
- Document observations
- Record data

Study
- Analyze data
- Compare results to predictions
- Summarize what was learned

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

PDSA: Process change

DMAIC

Define
Measure
Analyze
Improve
Control
Now What?

CONTROL

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

CONTROL
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)

• What Happens in this Phase?

• Pick the Right Control Method (Checklists, Monitoring, Reporting)

• What is Acceptable Variance?

• Document the Response Plan

Project Example

Moon: This file is in the public domain in the United States.
Baseballs and Softballs: By THOR - originally posted to Flickr as Baseball Softball Love Festival, CC BY 2.0, https://commons.wikimedia.org/w/index.php?curid=10178702
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

<table>
<thead>
<tr>
<th>Major Action Step</th>
<th>Find and Correct</th>
<th>Date Due</th>
<th>Date Completed</th>
<th>Form Revision Due</th>
<th>Date Completed</th>
<th>System Revision Due</th>
<th>Date Completed</th>
<th>Lead Staff Responsible</th>
<th>Start Date</th>
<th>Planned End Date</th>
<th>Evidence of Completion</th>
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Lessons Learned
Strategies for Effective and Sustainable Quality Improvement

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

Project Selection

- Project 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

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

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<table>
<thead>
<tr>
<th>Project Charter</th>
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<tbody>
<tr>
<td><strong>Problem Statement</strong></td>
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<tr>
<td><strong>Goal/Objectives</strong></td>
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<td><strong>Benchmark/Target/Standards</strong></td>
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<td><strong>Time Line</strong></td>
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<td><strong>Scope of Work</strong></td>
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<td><strong>Exec Champion</strong></td>
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<td><strong>Team Leader</strong></td>
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<td><strong>Team Membership</strong></td>
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<td><strong>Measurements</strong></td>
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<td><strong>Approval Process</strong></td>
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<td><strong>Stakeholders</strong></td>
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<tr>
<td><strong>Communication Plan</strong></td>
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</tbody>
</table>
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

• 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

<table>
<thead>
<tr>
<th>Category</th>
<th>Score</th>
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<tbody>
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<td>Leadership Skills/Experience</td>
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<tr>
<td>Fund Raising</td>
<td>13</td>
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<tr>
<td>Interpersonal Skills</td>
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<tr>
<td>Vision</td>
<td>10</td>
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<tr>
<td>Community Relations</td>
<td>9</td>
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<td>Integrity</td>
<td>6</td>
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<tr>
<td>Social Services Background</td>
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<tr>
<td>Communication Skills</td>
<td>1</td>
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<tr>
<td>Cultural Competence</td>
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</tbody>
</table>

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

Behavior-Based Interview - First Round

Q: 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

Active Management vs. Auditing
### Active Management vs. Auditing

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

**Whoever Owns the Process, Shoulders the Responsibility**