

16 Steps to Improvement

A rating system

Rating System "16 steps"

The following is prepared to assist in "rating" the improvement process within the client's organization. The "16-step" framework is used for this.

The improvement process meant here is directed at improving the "general health" of the client's organization, through the development and implementation of "standing plans" (also referred to as "Management systems" or "care systems"). Solution of specific problems (through "single use plans") are outside the scope of this scoring system, although they could be dealt with through a similar step-process - within a limited time period.

Purpose of the rating is to have an instrument available to indicate to the client what his relative changes are for improvement success. As such, this rating instrument can be an important means of communication.

We are convinced that the possibilities for success will increase with an also increasing score. While this is true, it is also true that a maximum score for certain steps is a prerequisite for the success of some other steps in the process. For example: the process can only succeed if the proper basis, in the form of leadership from the top, is there.

In the attached guidelines are given to assist in providing a score for each of the 16 steps. A total score can be obtained by adding up the individual step scores. The maximum is 100 points.

Overall purpose

The overall purpose of the improvement process is:

"to assist client Management (LEADERSHIP) to develop a Management system (standing PLAN) to be implemented (DO) by knowledgeable people (TRAIN) in order to efficiently obtain desired results"

Main Purpose of Process Steps

1. Top Manager Leadership

Improvement - positive change - can only result from top-management leadership. In fact the greatest guarantee for success lays with the Director himself, through his personal leadership, commitment and actions.

Step 1 will clarify for the Director that personal leadership at the top, transformed into commitment and actions, is a must to obtain the desired success.

Purpose of this step is to make sure that the individual leadership, commitment and support is given by the senior executive of the unit being considered. (The "unit" here would most likely be a site or location.)

2. Top Management Team leadership

The improvement process must be carried by the entire management team, from senior management to supervisory level. All levels are important but the involvement of the group which directly reports to the Director is critical. This is the first level where strategy and policy are being transferred into the Management System for further detailing and implementation at lower levels in the organization.

Purpose of this step is to make sure that the individual leadership, commitment and support is given by all members of the Management team. (The "Management team", as meant here, consist of the Managers directly reporting to the senior executive.)

3. Project Improvement Team (PIT)

Coordination at the top of the organization provides for the high level power source that is required to get the improvement process started and on its way to success. This is the management team that will set the strategy and steer the process. This team will lead and support, decide on main actions to be taken, evaluate progress and stimulate the entire organization to the desired level of excellence. Here the management team can be pro-active to identify, evaluate and control to-morrows problems. An important function of the MIT is

also to periodically review Management System implementation in relation to expected result and to stimulate the process of continuous improvement.

Purpose of this step is to make sure that leadership and coordination for the overall improvement process is structured at senior Management level.

4. Internal Expertise

In-house coordination and expertise must be available to assist management in the improvement process. This house expertise should preferably consist of several persons to allow for the necessary continuity. This in-house expertise is necessary in all stages of the process.

Purpose of this step is to make sure that in-house expertise is provided to coordinate the development and implementation of the Management system(s) to be set up as part of the improvement process.

5. Written Plan communicated

Leadership needs to be transmitted into demonstrated commitment if it is to "pull and push" the organization in the desired direction. There is no better way than letting everybody in the organization know what the plans are, what activities can be expected to be introduced and when. Leadership becomes tangible when put on paper and shared with everyone involved, from top to bottom. Leadership transferred into commitment is necessary in order to obtain the desired goal(s).

Purpose of this step is to assure demonstrated senior Management leadership and commitment by communicating to everyone in the organization through which process (including the process steps) the improvement will be obtained.

6. Opinion Survey

To further demonstrate the commitment and the desire to make things work, an opinion survey is a tremendous tool to find out how other people in the organization - at all levels - feel about the related aspects in the plant. Normally such a survey will be carried out at senior (top and middle) management, supervisory and operator level. It is a strong indication that management wants to hear how other think and feel. If well done, it helps to "loosen up" the organization, to lessen the resistance to change at a later stage of the process and provides further information about areas which may need special attention.

Purpose of this step is to collect subjective/objective information about the actual situation/culture as related to the improvement process. To also "loosen" up the organization for the improvement process to come.

7. Base-line Assessment

No improvement process can really start before an organization determines where it is. This means an evaluation of the present level of management activity; an "audit". Such an evaluation will provide a picture of the management activities taking place. This will provide the management team with a clear view of the strength and development needs and is a valuable tool to select specific activities for the first action plan.

Purpose of this step is to obtain a good picture of the present situation as related to the Management system(s) involved.

8. Selection of Activities

The base-line audit will provide management with a good picture of where they are, the next step is to select specific activities for inclusion into the Management System. This is "what" needs to be done. These activities will most likely be part of the first action plan.

Such activities may include: preparation for emergencies, planned inspections, problem/incident investigation, group and personal communications and task analysis, as well as: engineering controls, purchasing of goods and services and selection and placement of personnel and the management of contractors.

Purpose of this step is the selection of activities (or system "elements") to be part of the first action plan (the beginning of the development of the Management system), based on perceived effectiveness and on "visibility" of these elements.

9. Management Introduction Training

At this step the philosophy, concepts, models etc. are conveyed to all management, including supervision. These management "introductions" are not intended to generate any specific action. Proper information of all people in leadership positions is of vital importance for the success of the following steps in the program. These sessions are intended also to bring the necessary leadership further down the organization. Such leadership is very much needed at the level "point of control manager" (normally the "supervisor"). These sessions are also an excellent vehicle to demonstrate the leadership and commitment through senior management participation and to eliminate any major concerns at management and supervisor levels.

Purpose of this step is to make sure that all Management, supervision and relevant staff are aware of the improvement process, knows the terminology, models, concepts, etc. To "put the noses in the same direction". (This introduction is not intended to generate any specific activity. See 13 for that.)

10. Activity Coordination Team

Once the specific activities are selected (step 8), these need to be further detailed to become meaningful for implementation. This would normally take place in a "Element Coordination Team (ECT)" consisting of middle managers taking personal responsibility for development of one or two elements. As many levels in the organization as practical should be included to assist the element leader. This will "guarantee" ownership and involvement throughout the organization and facilitate implementation at a later stage. In fact the detailing of those activities can be accomplished through a "cascading team" set-up, including worker participation where relevant, under the coordination of, and directed by, the MIT (Management Improvement Team)

Purpose of this step is to establish coordination for development of Manager system elements as well as for the implementation thereof. Preferably this would include teams rather than individuals.

11. Activity Coordination Team Training

This is vital training for a vital team. This Coordination Team will be the authority when it comes to setting up the Management System and this in turn will be the reference for the improvement process. If things go wrong here, they go wrong all the way.

Good knowledge of what is expected of this team is essential and a lot of unnecessary work can be avoided if these people are properly trained. The team members will learn what is expected of them, what they help to set up and coordinate. They will act as focal points in the detailing of the selected activities for which they have been given special responsibility.

Purpose of this step is to assure training of the individuals or team(s) involved in element coordination (development and successful implementation).

12. System Activities Development

Here is where the basis is laid for doing the selected right things in the right way. Clear performance standards - supported by appropriate guidelines - must be set up for the selected specific activities. For example: how inspections should be done, how to go about task analysis, how to investigate accidents, etc. After answering the "what and why" done during step 6, this details the "how, whom and when".

While all steps are important in the overall process, this step is vital as it forms the basis for success which can only come from doing the right things in the right way. This is where the Management System gets meaning and will act as a reference for implementation, after the approval of the Management Improvement Team (MIT)

Purpose of this step is the development of Management system elements (ref. 8) by the element coordination teams until approval by the MIT has been obtained.

13. Practical Element Training

After detailed guidelines have been set up for implementation of specific activities (as established during step 8), relevant persons must be provided with the necessary skill training. This would mainly include supervision, middle management and specialist staff.

This training is essential and should only be given after step 12 has been concluded. This will then create the best position for proper implementation: motivated and knowledgeable people ready to carry out the work that is requested of them through the Management System.

Purpose of this step is to assure proper training for execution of the element activities (ref. 8 and 12).

14. Management Briefings

To properly carry out their leadership and support function, senior management must know what the critical points are to evaluate the progress made. Asking the right questions about planned progress stimulates activity as it shows where management puts the priority. It focuses attention on result related factors.

Purpose of this step is the briefing of (higher) Management levels on the critical aspects of the management/coaching, etc. of the execution of the Management System elements concerned. (ref. 8 and 12).

15. Carrying out Element Activities

This is where people go to work in accordance with Management System standards and guidelines set. This is where it all comes together. Here and only here is where practice is turned into success, all the other steps are there to provide the best opportunity for this step to become successful.

Here is where policy turns into commitment ultimately affecting behavior and attitude, creating a new company culture. If it fails here, everything else has been futile but if done properly, success is imminent. Here is where leadership by example gets meaning.

Evaluation of activities and their results are vital in this part of the process as well as the continuous improvement that comes from that.

Purpose of this step is to carry out the activities as intended by the element description (ref. 8 and 12).

16. Extend Process

No Management System can be built and made operationally effective through issuing one action plan. And no performance can be kept at a high level without periodic evaluation.

This is why step 16 includes repeating a number - not all - of the previous steps to bring the performance of the Management System up to the desired level. Once it is there, periodic evaluations need to take place to secure continuous improvement of already implemented activities.

Purpose of this step is the extension of Management system to include further elements through relevant steps indicated above.

Rating System

The following (relative) scores are provided to each of the 16 steps:

Steps	Brief description	Maximum Score
1.	Top Manager Leadership	5
2.	Management Team leadership	5
3.	Project Improvement Team	5
4.	Internal Expertise	5
5.	Written Plan communicated	6
6.	Opinion Survey	5
7.	Base-line Assessment	5
8.	Selection of Activities	5
9.	Management Introduction Training	6
10.	Activity Coordination Team(s)	7
11.	Activity Coordination Team Training	6
12.	System Activities Development	8
13.	Practical Element Training	8
14.	Management Briefing	6
15.	Carrying out Element Activities	10
16.	Extend Project	8
		<hr/>
Total Score		100

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To make sure that the individual leadership, commitment and support is given by the senior executive (CEO) of the unit being considered. (The "unit" here would most likely be a site or location.)

1. Top Manager Leadership

- . policy statement signed by CEO
- . CEO chairing Management Improvement Team (MIT) (3)
- . Written Plan (5) signed by CEO and communicated
- . signatures on system elements developed (12)
- . periodic related site tours made by CEO
- . prepares related site tours
- . knows and applies behavior observation techniques
- . personal compliance to relevant rules
- . periodic related communications issued by CEO to (all) employees
- . CEO promoting externally in related activities, meetings, seminars
- . CEO addressing related issues during important internal meetings
- . all important related training sessions opened by CEO
- . attended senior Management briefing (14)
- . recognizes outstanding performance of individuals or groups
- . makes necessary resources available to carry out activities

NB. "related" as used here means relevant to the improvement subject i.e. Quality, Safety, Environment or any combination

Assessor's notes

Score 0 - 5

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To make sure that the individual leadership, commitment and support is given by all the members the Management team. (The "Management team", as meant here, consist of the Managers reporting to the senior executive.)

2. Management Team leadership

- . all senior Managers have attended the senior Management workshop (2)
- . contents of workshop
- . individual leadership statements by individual members
- . senior Managers chairing element coordinating teams (10)
- . periodic site tours carried out by senior Managers
- . prepare for site tours
- . personal compliance to related rules
- . know and apply behavior observation techniques
- . attended senior Management briefings (14)
- . chairing related meetings with their sub-ordinates
- . participating in related external events
- . participation on Management Improvement Team (MIT) (3)
- . participating in important Management system activities

Assessor's notes

Score 0 - 5

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To structure leadership and coordination for the overall improvement process at the senior Management level.

3. Project Improvement Team

- . Management Improvement Team (MIT) established
- . chaired by CEO
- . senior Managers on team
- . description of tasks, objectives of team
- . participation of related experts (as needed)
- . training of Management Improvement Team (MIT) Members on:
 - . subject matter
 - . implementation process
 - . measurement (ref. 14)
- . meeting agenda
- . meeting frequency
- . minutes of meetings (contents, action lists, etc.)
- . Management System Elements discussed (and approved) by MIT
- . specific initiatives by MIT to support program activities

Assessor's notes

Score 0 - 5

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To provide in-house expertise to coordinate the development and implementation of Management or care system to be set up as part of the improvement process.

4. Internal Expertise

- . presence, number and qualifications of coordinators (overall system as well as related -staff - specialists)
- . job/task description of individual(s)/department
- . place in the organization (reporting lines to CEO)
- . type and quality of training they received
 - . subject matter
 - . implementation process
 - . measurement/auditing
 - . specialist training
- . formal basic education
- . experience
- . participation on Management Improvement Team (MIT)
- . participation in Management system evaluations

Assessor's notes

Score 0 - 5

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To demonstrate senior Management leadership and commitment by communicating to everyone in the organization through which process (including process steps) the improvement will be obtained.

5. Written Plan communicated

- . written plan for improvement process prepared (less than one year ago)
- . contents of plan including all major steps/activities
- . time schedule included in plan
- . plan discussed with all Management levels (prior to communication to all employees)
- . plan discussed with (and having consent of) employees representation
- . plan communicated to, and discussed with, all personnel
- . plan signed by CEO
- . (yearly) updates of plan
- . plan properly resourced
- . steps carried out according to plan

Assessor's notes

Score 0 - 6

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To collect subjective/objective information about the actual situation/culture as relevant to the improvement process. To also "loosen" up the organization for the improvement process to come.

6. Opinion Survey

- . opinion survey done (not less than 3 years ago)
- . formal questionnaire used
 - . factual information of system performance
 - . subjective information on quality aspects
 - . use of ratings to allow quantification of opinions
- . all levels in organization involved
- . sample used representative for population
- . carried out by unbiased person
- . anonymity
- . done verbally and/or written
- . results analyzed and published
- . action plan prepared (as applicable) and executed

Assessor's notes

Score 0 - 5

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To obtain a picture of the present situation as related to the Management system(s) involved.

7. Base-line Assessment

- . base-line assessment carried out
- . adequate evaluation reference used directed at Management system
 - . including "what is being done"
 - . including "structure how to implement"
 - . effectiveness of (element) activities included
- . assessment done by qualified, unbiased, person(s)
- . broad participation of staff in assessment
- . report made and properly distributed
- . action plan prepared and executed

Assessor's notes

Score 0 - 5

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Selection of activities (or system "elements") to be part of the first action plan (part of development of the Management system) based on perceived effectiveness and on "visibility" of these elements.

8. Selection of Activities

- . activities selected
- . proper priorities for control of relevant issues and "visibility"
- . realistic selection as related to timely execution
- . proper resourcing considered
- . expected results indicated

Assessor's notes

Score 0 - 5

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation. (This introduction is not intended to generate any specific activity. See 13 for that.)

Main purpose of step

To make sure that all Management, supervision and relevant staff is aware of the improvement process, knows the terminology, models, concepts, etc. To "put the noses in the same direction".

9. Management Introduction Training

- . Management introduction training provided (within last 3 years)
- . program included at least two days
- . contents, hand-out and lesson plan appropriate for introduction
 - . basic models, concepts, philosophies
 - . improvement process ("how to get results")
 - . objectives of process ("what results to get")
 - . main system elements and their expected results
 - . follow-up included ("what will follow introduction")
- . provided by experienced instructors
- . provided to all Management, supervisors, related staff
- . opened by CEO

Assessor's notes

Score 0 - 6

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

To establish coordination for development of Management system elements as well as the implementation thereof. Preferably this would include teams rather than individuals.

10. Activity Coordination Team(s)

- . Element Coordination set up for each selected element (8)
- . to includes all levels in organization
- . cascade set-up as necessary/desired
- . proper chairperson (senior Managers/middle Managers) with proper authority
- . task descriptions of coordinators or teams to include development and implementation
- . reporting lines of coordinators or team(s) clear

Assessor's notes

Score 0 - 7

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Training of the individuals or team(s) involved in element coordination (development and successful implementation).

11. Activity Coordination Team(s) Training

- . training of element coordinators or teams provided
- . contents of training:
 - . subject matter(s)
 - . how to write proper Management system element
 - . what activities need to be done (as part of element)
 - . tools to be developed
 - . "how to implement structure"
 - . implementation process
 - . how to measure, monitor, review, continuous improvement
- . provided by knowledgeable instructors
- . training handout

Assessor's notes

Score 0 - 6

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Development of Management system elements by the element coordination teams until approval by the Management Improvement Team (MIT) has been obtained.

12. System Activity Development

- . elements developed as selected (8)
- . including input from users
- . approved by senior Manager or Management Improvement Team (MIT)
- . elements developed including "how to implement structure":
 - . *management statement*
 - . *coordination*
 - . *review of legislation/standards*
 - . *implementation ("standing") plan*
 - . *employee participation*
 - . *specific element training*
 - . *data collection and analysis*
 - . *communication*
 - . *periodic monitoring/auditing*
 - . *periodic review*
- . proper detail for effective action
- . tools/forms provided
- . effectiveness criteria established for proper review
- . including description of involvement of all levels (as appropriate) of organization in the execution of the element activity

Assessor's notes

Score 0 - 8

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Training for execution of the element activity.

13. Practical Element Training

- . training provided after approval of elements (12)
- . training provided to users
- . handout provided
- . training to include:
 - . subject matter
 - . element detail and tools/forms
 - . element objectives and criteria for effectiveness measurement
 - . critical criteria for element Management (14)
 - . follow-up on non-compliance issues noted during execution
- . training provided by qualified instructors
- . sufficient time and practice allowed during training

Assessor's notes

Score 0 - 8

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Briefing of (higher) Management levels on critical aspects of element Management.

14. Management Briefings

- . Management briefing provided
- . to all middle and senior Managers
- . provided to supervisors
- . handout provided
- . contents of briefing:
 - . main objectives of elements
 - . critical criteria set up for element Management
 - . criteria for element effectiveness measurement
 - . related to (client's) own system elements
- . provided by qualified instructors

Assessor's notes

Score 0 - 6

Rating this Client

The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Carrying out the activities as intended by the element description.

15. Carrying out Element Activities

- . activities carried out for elements developed (12)
- . activities carried out by properly trained people (13)
- . proper stimulation by Management using critical criteria (14)
- . tools/forms properly used
- . results assessed, evaluated and reported
- . periodic monitoring to assess activities according to element plan (12)
- . periodic reviews to measure effectiveness of element
- . effectiveness reviews done by people involved plus unbiased facilitator
- . continuous improvement plan(s) developed from monitoring/review activities

Assessor's notes

Score 0 - 10

Rating this Client



The following is provided to help the assessor to establish the proper score for the step concerned. All or most items need to be considered to allow final judgment but not all may apply to the specific client situation.

Main purpose of step

Extension of Management system to include further elements through relevant steps indicated above.

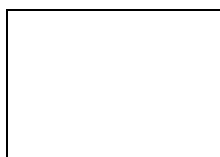
16. Repeat Process

- . extension of system to include additional elements
- . improvement process repeated for additional elements to include steps 7, 8, 10,11, 12, 13, 14 and 15

Assessor's notes

Score 0 - 8

Rating this Client



RATING THIS CLIENT

Steps	Brief description	Maximum Score	Actual Score
1.	Top Manager Leadership	5	_____
2.	Management Team leadership	5	_____
3.	Management Improvement Team	5	_____
4.	Internal Expertise	5	_____
5.	Written Plan communicated	6	_____
6.	Opinion Survey	5	_____
7.	Base-line Assessment	5	_____
8.	Selection of Activities	5	_____
9.	Management Introduction Training	6	_____
10.	Element Coordination	7	_____
11.	Training Element Coordination	6	_____
12.	System Elements Development	8	_____
13.	Practical Element Training	8	_____
14.	Management Briefing	6	_____
15.	Carrying out Element Activities	10	_____
16.	Repeat Process	8	_____
Total Score		100	_____

Actual Total Improvement Score This Client

Date of assessment _____

Assessor: _____