



Performance Excellence Program



## 2011 Examiner Application Packet

Examiner Packet submitted to AQA by: .....	May 13, 2011
✓ Completed Examiner Application	
✓ \$300 Fee for Stage 1, 2 & 3 Training (4 days); \$400 Fee for Introductory, Stage 1, 2 & 3 Training (5 days) ( <i>fully recoverable if the individual completes his/her duties as an Examiner less a \$50 processing fee.</i> )	
✓ Signed Code of Ethical Standards	
✓ Signed Conflict of Interest Form	
Examiner Notification of Selection Status .....	May 17, 2011

Thank you for considering the opportunity to serve as a member of the Arizona Quality Alliance Performance Excellence Program Board of Examiners. Being an examiner can be a powerful learning experience and a valuable professional development step for any individual. Benefits include:

- Develop or refine **YOUR** analytical, teamwork, interviewing, and consensus skills.
- Build and expand **YOUR** professional network and resume.
- Increase **YOUR** ability to assist **YOUR** organization in continually improving its management system to raise its performance to role model levels.
- Learn firsthand of innovative approaches utilized by leading organizations.

To be considered as a “potential examiner”, **submit an "Examiner Application" by May 13, 2011** for the 2011 program. Examiners who have previously served must apply each year. Notification will be emailed to all potential examiners by May 17, 2011, indicating their selection status.

The Board of Examiners supports and evaluates the performance improvement of all types of organizations from businesses to schools and hospitals to nonprofit organizations, including government agencies. Coverage and balance within these sectors are important factors in selecting examiners. Examiners make major contributions, both to the effort to recognize and promote performance excellence, and to their employing organizations that support their participation.

Serving as an examiner requires a significant amount of time, effort, and dedication. Examiners review applications, develop comments, score written applications, and prepare feedback reports to applicant organizations. Examiners also participate in consensus evaluations and site visits. *Note:*

*In this document, the term “Applicant” refers to an organization that is submitting an AQA Performance Excellence Program application.*

To make the process as convenient and educational as possible, you may draw upon the resources of the Arizona Quality Alliance (AQA), the Technical Integrity Council (TIC) and other experienced supporters. This document has been designed to answer many of your questions. You are encouraged to contact AQA for additional information or clarification.

## Examiner Time Commitment (approximate times base on averages)

1. Prepare and submit application to become Examiner..... 1-2 hours
  2. For Novice examiners (*less that 2 years as Examiner in the past 3 years*), complete Introductory Prep & Training..... 8-15 hours
  3. For all examiners, preparation and training for Stage 1 ..... 10-15 hours
  4. Complete Stage 1 - Individual Review ..... 40-60 hours
  5. Complete training for Stage 2 and 3 ..... 16-20 hours
  6. Complete Stage 2 - Consensus Prep and Review ..... \*20-25 hours
  7. Complete Stage 3 - Site Visit Prep and Review ..... \*40-60 hours
  8. Post Site Visit (team leads only)..... \*10-30 hours
  9. Attend Award ceremony..... 2 hours
  10. Provide feedback for improvement ..... 1 hour
- Approximate Examiner Time Commitment..... 140 - 200 hours***  
***Approximate Additional Time Commitment for Team Leads..... \*10-40 hours***

## Examiner Training

- A deposit is required of \$300 for Stage 1, 2 & 3 Training (4 days) or a deposit of \$400 for Introductory, Stage 1, 2 & 3 Training (5 days). (*Introductory Training required if Examiner has 2 or less years of examiner experience within the last 3 years.*) Upon successful completion of training and successful completion of service on an evaluation team, AQA will offer a rebate of the deposit, less a \$50 processing fee.
- There may be multiple sessions offered for training activities. Consult AQA Performance Excellence Program schedule posted at [www.arizona-excellence.com](http://www.arizona-excellence.com) under AQA Awards on the left side of the home page.
- Training activities may be virtual, classroom, computer lab, or combination and will include:
  - *Introductory Examiner Training*  
Required unless the potential examiner has two or more years experience within the last three years in award programs at the state or national level. Will focus on understanding of the overall process, application criteria, core values, and concepts.
  - *Stage 1 Training*  
Required for all potential examiners. Prepares the examiners to complete their individual review of their examiner assignment including introductory software training.
  - *Stage 2 Training (may be combined with Stage 3)*  
Required for all potential examiners. Prepares the examiners for Stage 2 including preparation for and completion of the consensus meeting in which all examiner input from a team is joined to form a scorebook
  - *Stage 3 Training (may also be combined with Stage 2)*  
Required for all potential examiners. Prepares the examiners for the Site Visit and Final Report completion. The Site Visit occurs when a team of examiners visits the applicant's site to verify and clarify items identified during the consensus meeting.
  - *Team Lead (and if applicable, Team Lead Assists) Training & Lead software training*  
Required for all team leads (and if applicable, Team Lead Assists). Team Leads along with team designations are made before Stage 1 begins.
  - *Software Training (may be combined with Stages 1-3 training and/or separate lab training and/or virtual)* Required for examiners using the online software program that AQA employs to improve the productivity of its examiners. This program is provided by the Alliance for Performance Excellence, a nonprofit organization of state and local quality award programs.

- Assistance with any aspect of the Performance Excellence Program will be available from AQA and the members of the Technical Integrity Council (TIC) throughout the training process. The TIC's primary tasks include the design and delivery of the material and training for the Performance Excellence Program as well as monitoring the process to maintain the Program's integrity and confidentiality standards.

### **Examiner Eligibility**

Upon submission of a completed "Examiner Application" and satisfaction of initial Examiner Training session requirements, you will be eligible to become an examiner. *Eligibility does not necessarily guarantee that you will be assigned to the Board.*

### **Selection Factors for the Board of Examiners (Board)**

The information provided by the potential examiner completing the "Examiner Application" will be used to assist in the selection of appropriate candidates for the Board. The following determinants are used in selecting assignment to the Board:

- Preparation and performance in training activities, including completion of training pre-work
- Interpersonal skills and the ability to work effectively as a member of a team
- Balanced sector coverage - efforts are made to ensure broad participation and to minimize disproportionate involvement by one sector or employees from a single organization
- Number of applications received

No prospective candidates shall be denied consideration or appointment to the Board on the grounds of race, creed, color, national origin, age, gender, or disability. Some organizations may have additional restrictions for examiners assigned to their application, such as U.S. citizenship. In such instances, AQA must abide by the requirements or restrictions of the organization.

### **Examiner Assignments and Duties**

Assignments will be made to an examiner team for the purpose of evaluating either *State Quality Award* or *Showcase in Excellence Award* Application(s). Teams will be configured by the AQA staff in consultation with members of the TIC (consideration is given to avoid any conflict of interest). Teams for the *State Quality Award* are composed of one team-lead, possibly a lead-assist and between 3-10 team members. Teams for the *Showcase in Excellence Awards* will typically consist of 2-4 members, inclusive of a team lead.

**IMPORTANT:** All applications and supporting documentation must be kept confidential. Examiners may not share information about the identity of applicants or results of the examination process with anyone, including other members of the Board that are on different examination teams.

Examiner duties include:

- Read award criteria and become familiar with core concepts and values. Bring questions to training
- Thorough individual review of the assigned application(s) and preparation, with submittal, of a scorebook with comments and scores
- Development of a team consensus score and comments and preparation for applicant site visit
- Participation in a ½-day to 5-day site visit at the applicant location(s)
  - ✓ *For SQA applications*, team members will be lodged in a hotel for the duration of the site visit.
  - ✓ *For those Showcase in Excellence applications that require the examiner to travel extensive distances*, lodging in a hotel is an allowed option with approval by AQA

- ✓ Team members must also protect the confidentiality of the applicant by not revealing where the site visit is taking place
- ✓ Examiners must pay for site visit expenses as they are incurred, but they will be reimbursed by AQA at the end of the process after the site visit is completed. *Applicants later reimburse AQA for the total of the site visit team's expenses. It is very important for examiners to retain their expense records and receipts and submit them promptly*
- Preparation of the final feedback report and scoring for submission to AQA for review by the Panel of Judges

### **Ethical Standards of Conduct and Conflicts of Interest**

Board members are expected to carry out their duties and responsibilities in the Performance Excellence Award Program in accordance with the Code of Ethical Standards and the Conflict of Interest Statement (see attached) of the program. Those selected to serve on the Board must provide information regarding conflicts of interest. Disclosure includes employment history, client relationships, or any significant ownership in an applicant. Such information will be used only for purposes of team assignments and will otherwise be kept confidential. It is required that all examiners understand and sign the above-referenced documents and include them with their application.

### **Adherence to Award Processes**

Board members are expected to meet all requirements associated with a fair and competent examination including use of the Award criteria and scoring system, and site visit requirements. Good documentation and written communication are essential components of the overall review process. Teams need each member to meet all deadlines and requirements of the examination process. If an examiner is not complying with deadlines and requirements, that examiner may be removed from the team.

### **Compensation and Reimbursement**

AQA is a non-profit corporation and as such, funding is limited. The award application fees are kept to a minimum, and AQA receives no direct federal or state funding for the Performance Excellence Award Program. The program seeks to operate with maximum voluntary support. It is suggested that examiners seek travel and expense reimbursement from their employers. AQA will reimburse examiners for reasonable site visit expenses including hotel, meals, mileage and parking. In cases of extreme hardship, reimbursement may be available for other expenses. **Any reimbursement request other than reasonable site visit costs must be approved in advance by AQA.**

Many states charge direct fees for examiner training; AQA does not, other than a processing fee. The program does not pay honoraria or fees to members of the Board of Examiners. Members of the Board will receive public recognition at AQA events and on the AQA website, and will be offered complimentary attendance to the Arizona Performance Excellence Award Banquet.



# 2011 Examiner Application

Complete all sections **OR** Complete sections 1 & 3, 4, 5, & 6 with a resume

## SECTION 1: PERSONAL INFORMATION

LAST NAME				FIRST NAME		
CURRENT EMPLOYER						
WORK ADDRESS (w/ city; st; zip)						
WORK PHONE			FAX			EMAIL
HOME ADDRESS (w/ city; st; zip)						
HOME PHONE				EMAIL		
PREFERRED MAILING ADDRESS	<input type="checkbox"/> WORK		<input type="checkbox"/> HOME			
PREFERRED PHONE / EMAIL	<input type="checkbox"/> WORK		<input type="checkbox"/> HOME /		<input type="checkbox"/> WORK <input type="checkbox"/> HOME	
CITIZENSHIP						
<b>REQUIRED DATES: BE SURE TO KEEP YOUR SELECTED DATES AVAILABLE</b>						
<i>Team Consensus Meeting</i> (Reserve & circle at least 3 of 5 days listed - 1-2 dates will be selected)	Mon	Tues	Wed	Thurs	Fri	
	(August 22 – September 16)					
<i>Applicant Site Visit</i> (Reserve & check at least 1 week listed – Your chosen date is <b>not</b> guaranteed)	<input type="checkbox"/> Week of September 27 – October 1 (may include evening of 9/26) <input type="checkbox"/> Week of October 4 – October 8 (may include evening of 10/3)					

## SECTION 2: WORK EXPERIENCE

Beginning with your most recent job, provide the information requested for each position you have held during, at least, the **past 10 years** of your professional career. Make additional copies of Section 2 as needed.

EMPLOYER NAME						
COMPANY SIZE (check one)	<input type="checkbox"/> Large (500+) <input type="checkbox"/> Medium (100-499) <input type="checkbox"/> Small (1-99) Employees					
INDUSTRY (check as many as apply)	<input type="checkbox"/> Computers/Technology <input type="checkbox"/> Finance or Insurance <input type="checkbox"/> Manufacturing <input type="checkbox"/> Professional/Commercial Services <input type="checkbox"/> Real Estate/Construction <input type="checkbox"/> Independent Consultant (specialty _____)		<input type="checkbox"/> Education <input type="checkbox"/> Healthcare <input type="checkbox"/> Retail <input type="checkbox"/> Other (_____)		<input type="checkbox"/> Energy/Utilities <input type="checkbox"/> Hospitality <input type="checkbox"/> Telecommunications <input type="checkbox"/> Wholesale Distribution	
TYPE	<input type="checkbox"/> For Profit		<input type="checkbox"/> Not for Profit		<input type="checkbox"/> Government	
YOUR JOB TITLE				DATE FROM/TO		
SUPERVISOR'S NAME				TITLE		
JOB RESPONSIBILITIES (include number of people supervised, if any)						
YOUR EXPERIENCE in quality, project management, process improvement, reengineering, etc. related to your job responsibilities						

**SECTION 3: ADDITIONAL EXPERIENCE, EDUCATION, AND TRAINING**

Please provide the information requested if it has not been provided in Section 2.

<p><b>EXPERIENCE WITH QUALITY SYSTEMS</b> Describe any experience in assessing quality systems and providing formal feedback. (e.g., evaluating suppliers and/or customers, involvement in quality award programs, ISO, organizational assessments, etc.).</p> <p>Was the feedback you provided the organization in written or oral form?</p>	
<p>Please list any pertinent post-high school degrees or training, including significant formal training in quality &amp; professional certifications.</p>	

**SECTION 4: DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST**

Members of the Board of Examiners must disclose to the AQA the identity of clients, past, present, or potential, whose interests might be affected by the actions they will undertake while acting as a member of the Board. Additional disclosure statements may be requested prior to assignment to an examiner team. Material misstatements of fact in this application or incomplete disclosure of conflicts of interest may be grounds for disqualification from the application process or dismissal from the Board of Examiners. **In the table below, list all potential conflicts of interest you can.** Please be as **COMPLETE and ACCURATE** as possible so your assignment to an evaluation team can be expedited. Consider:

- Organizations you have worked or consulted for, or retired from in the **past five years**
- Major customers, suppliers or competitors of your current employer
- Organizations you have examined for AQA, or other Baldrige-based organization or state
- Organizations with whom you have a conflict of interest (e.g. spouse’s employer or Boards on which you sit).
- Organizations in which you have a financial interest (e.g. stock holdings)

<i>Organization</i>	<i>Employer or Client</i>	<i>Supplier</i>	<i>Customer</i>	<i>Competitor</i>	<i>Financial interest</i>	<i>Examined</i>	<i>Retired from</i>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION 5: SELF-RANKINGS**

Indicate your level of ability to assess the 7 Categories of the SQA Award.

Criteria	No Experience	Very Little Experience			Proficient			Leading Expert
1. Leadership	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
2. Strategic Planning	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
3. Customer Focus	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
4. Measurement, Analysis & Knowledge Management	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
5. Workforce Focus	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
6. Operations Focus	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7
7. Results	<input type="checkbox"/> 0	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7

**SECTION 6: AFFIRMATION OF COMMITMENT**

**In applying to serve on the Board of Examiners for the Arizona Performance Excellence Award Program, I attest to the accuracy of the information in this application and agree to abide by and sign the Code of Ethical Standards and the Conflict of Interest Statement provided within this application packet.**

Signature of applicant \_\_\_\_\_

Signature of your immediate Supervisor (if applicable) \_\_\_\_\_

Supervisor's printed name \_\_\_\_\_

Supervisor's Mailing address \_\_\_\_\_

Supervisor's email address (for letter sent acknowledging your efforts) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

I have enclosed my training deposit:  \$300  \$400 Checks made payable to "AQA" (Checks or electronic transfers preferred)

Credit card\*:  Visa  MC  AMEX Card # \_\_\_\_\_ Exp. Date \_\_\_\_\_

\*Note – Credit cards will be processed for deposit. (A 2.5% non-refundable service fee will be applied)

**Return completed Examiner Application with appropriate training deposit plus your signed Code of Ethical Standards and Conflict of Interest Statement to:**

Arizona Quality Alliance  
 8655 E. Via de Ventura, Suite E185  
 Scottsdale, AZ 85258-3360

**If faxing or sending a scanned copy of your application, please send only the pages you have completed.**

**DO NOT send pages 1 through 4.**

## Code of Ethical Standards/Declaration of Principles

Anyone designated by AQA to have responsibilities related to reviewing the Performance Excellence Program applications (e.g., Board of Examiners and Panel of Judges) pledge to uphold their professional principles in the fulfillment of their responsibilities. These standards shall govern all individuals acting in any capacity for, and on behalf of the Performance Excellence Program.

Board members will be guided by four principles: integrity, professional conduct, confidentiality, and respect for intellectual property. In promoting high standards of public service and ethical conduct, they will:

- conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility in all their interactions
- 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 awards
- safeguard the confidences of all parties involved in the examination or judging of present or former applicants
- protect confidential information and avoid disclosures that may in any way influence the awards integrity or process, currently or in the future
- take precautions to protect all information about the applicant including:
  - names of applicants are not disclosed during or after the application review process
  - no copies of application information or notes pertaining to the application are made or retained (AQA will notify examiners when materials are to be return or destroyed.)
  - applicant-specific information can be discussed via cellular phone, cordless phone, and VoIP, if authorized by the applicant. However, applicant names are not used in discussions
- not serve any private or special interest in fulfillment of the duties for the Performance Excellence Program, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or with which a consulting arrangement is in effect or anticipated
- 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 with which he/she anticipates a consulting arrangement
- not intentionally communicate false or misleading information that may compromise the integrity of the awards process or decisions therein
- never represent themselves as prior examiners for their personal gain if approaching an organization they have evaluated: this includes the establishment of an employment or consulting relationship
- not approach nor solicit employment from an organization they have evaluated for a period of one (1) year after the evaluation (examiners & judges). Does not apply to mentors & monitors.
- act as ambassadors for AQA and the Performance Excellence Program to enhance and advance the Program as it serves to stimulate organizations to improve quality, productivity, and overall performance
- promote in all activities, an atmosphere focused on overall performance improvement rather than on winning an award

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_

## Conflict of Interest Statement

As an individual acting in any capacity for, and on behalf of the Performance Excellence Program, I will voluntarily disclose to the administrators of the Awards Program the identity of my employment history and client relationships for purposes of team assignments.

I will *immediately* provide information of any actual or perceived personal conflict of interest with applicants assigned to me as an examiner that could be favorably or unfavorably affected by my actions while acting as a member of the Board. This includes not have conflicts due to:

- having financial holdings, including stock ownership and pension interests
- affiliations that may present or seem to present a conflict of interest, including my current and recent employers' key customers, key suppliers, key competitors, and other key stakeholders, as well as the employers of my immediate family members and/or significant others

I will not disclose any information gained through the evaluation of the applicant about the applicant; the applicant's clients, competitors, customers, or suppliers; or any other associated person or organization to anyone other than those in the Arizona Performance Excellence Award Program directly involved with the applicant review process.

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Printed Name** \_\_\_\_\_