



# Welcome to the 2014-2015 California Team Excellence Award Program

## How to get started:

Your first step is to evaluate work in your organization that a team has completed and documented. Next, obtain the award criteria. The application and criteria are available at: [www.caexcellence.org](http://www.caexcellence.org). Then evaluate your teams' projects with the two criteria and submit your application. Next, prepare your submission and/or presentation using the appropriate level criteria. Lastly, participate in one of the "Live" regional competitions (Team 49er Award) in California where each team presents their project to a panel of judges and an audience of guests and attendees.

All forms can be found on CCE's website under the CTEA section and may be photocopied and duplicated as necessary. You may contact CCE at (858) 486-0400 or [cce@caexcellence.org](mailto:cce@caexcellence.org)

CTEA AWARDEES  
COMPETED AT  
ASQ ITEA COMPETITION

2012 CTEA  
Bronze Awardee  
Baxter BioScience



2011 CTEA  
Bronze Awardee  
Naval Facilities Southwest



2010 CTEA Bronze Awardee  
PMW160 Tactical Networks  
Program



# **Applicant Resources**

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## 2014-2015 CTEA Program Overview:

To support organizations in California, the Team Excellence Awards Program was established in 1997. The focus of the program is to encourage the formation of work teams, foster their ability to perform systematic continuous process improvement, and formally recognize companies and organizations for their teams' accomplishments. This dynamic program is administered by the California Council for Excellence, a non-profit educational foundation through volunteers of the California Team Excellence Awards (CTEA) Council in collaboration with organizations dedicated to the growth of work teams in California. The CTEA program is an authorized showcase of the American Society for Quality (ASQ) International Team Excellence Award (ITEA) program.

The focus for 2014 will be on the Team Trailblazer Recognition criteria and process which focuses on post team assessment and providing non-prescriptive feedback on project and process improvement events. In 2015, we again focus on the ASQ ITEA criteria for the Team 49er Award so that there will be two levels of recognition for teams in California for 2015. (see [www.calexcellence.org](http://www.calexcellence.org) website for full criteria documents)

Both recognition levels relate to teams using approaches such as; 5S, Plan-Do-Check-Act, and Six Sigma DMAIC problem solving and process improvement methodologies, application of 7 Waste reductions, and use of ASQ Quality Tools. . Any business, company, healthcare facility, military unit, non-profit organization, or public sector agency located in California may enter one or more of its work teams in the California Team Excellence Awards Program.

At the annual California Council for Excellence Best Practices and Awards Conference, CTEA Council recognizes *Problem Solving* and *Process Improvement* teams for their team project efforts.

### Types of Teams:

There are many types of teams (Lean, Improvement, Six Sigma, Innovation, and Quality Circle, to name a few). Regardless of the type of team you are or of any team methodology your company may use, teams always focus on one of two things - either Problem Solving or Process Improvement.

Sometimes a team may get confused by the words they use to describe their project. For example, they may say, "We had a problem: our customers were demanding quicker turn-around time and we needed to improve our processes." This is clearly a case where a *Process Improvement* is needed. There would be no expectation of a *Root Cause* unless something had recently caused the turn-around time to get suddenly worse.

## Team 49er Award (ASQ ITEA Criteria) Summary

### 1.0 Project and Team Selection

Teams assigned to a project must understand the "why" of the project: who felt the project was important, what is the context or environment within an organization that made the project, and what specific gaps or opportunities the organization needs to have addressed.

**1.1 Understanding the Context for Project Selection** - How did the team project support/align with the organizational goals, performance measures, and strategies?

**1.2 Project Selection Process** - What methods did the team or organization use to identify organizational gaps and select the project?

**1.3 Team Selection and Preparation** - How was the team and stakeholders selected and prepared to work together in addressing the project?

## **2 Current Situation and Root Cause/Improvement Opportunity Analysis**

The team will be asked to understand current processes and be able to express the extent to which their specific project should be able to address the original gaps. The identification of obstacles involves both an initial broad review of possible root causes or opportunities and a final determination of the areas where project work will be concentrated.

**2.1 Key Measurers Expected of the Project** - What key deliverables (goals and/or key measurable results) is the team to achieve?

**2.2 Possible Root Cause(s)/Improvement Opportunity (ies)** - What approaches/processes and data did the team use to identify potential root causes or improvement opportunities?

**2.3 Final Root Cause(s)/Improvement Opportunity (ies)** - How did the team analyze information/data to identify the final root causes or improvement opportunities, including any appropriate validation(s)?

**2.4 Project Management Update** - How did the team prepare for project review(s) and reporting(s) at this point in the project to ensure project team and stakeholder involvement and effectiveness?

## **3 Solution Improvement Development**

The point at which changes (or new development) are being proposed and a series of questions need to be answered by the team: Was a logical and supportable approach used to identify potential and final plans? Will the plans really address the project goals? Are the plans practical, i.e., will the organization accept them as reasonable and a "good value"?

**3.1 Possible Solutions or Improvements** - What methods did the team use to identify possible solutions or improvement actions?

**3.2 Final solution or Improvement** - What final solutions, improvement actions, validations, and expected benefits were realized by implementing the teams' solution or improvement?

**3.3 Project Management Update** - How did the team prepare for project review(s) and reporting(s) at this point in the project to insure project team and stakeholder involvement and effectiveness?

## **4 Improvement and Results Verification**

Implementation planning is heavily dependent on the solution(s) or improvement(s), but typically might include items like action plan development, allocation of resources, and time management activities. Finally, the team needs to present its results.

**4.1 Stakeholder Consideration in Implementation** - How did the team identify stakeholder resistant and/or get buy-in/agreement to the solution or achieve the improvement?

**4.2 Solution/Improvement Implementation** - What approaches were used by the team to implement the solution or improvement action and its sustainability?

**4.3 Project Results** - What was the project results, and how did the team ensure alignment with project goals and measures?

## 5.0 Preservation and Stakeholder Communication

The focus in this phase is to ensure that all the resources expended on completing the project are not ultimately wasted. The sustained efforts are split between ensuring that any changes do not disappear and ensuring that the benefits of changes made are also not lost.

**5.1 Sustaining Results Over Time** - How did the team ensure benefits obtained from the implementation are aligned to organizational culture, operating strategy, and were sustained?

**5.2 Communication of Results** - How did the team communicate results to appropriate management and stakeholder groups and integrate best practices learned?

## 6.0 Overall Presentation

Overall Presentation is *not a project phase*, but rather a collection of key points for the team to consider in telling its store. There are three themes to address: (1) clarity of the visual presentation, (2) integration of visual and text presentation in the PP slides, and (3) clarity of the text presentation of the speaker notes.

**6.1 Presentation Requirements** - The Power Point (PP) visual presentation must be easy to read and should tract in sequence to the criteria items. An example of a criteria item would be 1.2 Project Selection Process. This item identification should appear at the top of each related slide. Slides should be numbered in sequence and appear in the lower right corner of each slide. Power Point graphics, illustrations, and text should adequately and effectively the project and criteria. Power Point speaker notes should support and drawn attention to key points in the in the each slide.

## Alignment of Process Improvement Methods to the ASQ ITEA/CTEA Criteria

Source: ASQ ITEA 2014 Team Criteria

ASQ ITEA Criteria and Lean Tool Application Matrix				
Section Item & Criteria Subject Matter		Aligned Lean Process Improvement Frameworks		
		5S	PDCA/PDSA	DMAIC-V
<b>1.0 Project and Team Selection</b>		Planning	Plan	Define
	1.1 Understanding the Context for Project Selection			
	1.2 Project Selection Process			
	1.3 Team Selection and Preparation			
<b>2.0 Current Situation and Root Cause/Improvement Opportunity Analysis</b>		Sort & Shine	Plan & Do	Measure/Analyze
	2.1 Key Measurers Expected of the Project			
	2.2 Possible Root Cause(s)/Improvement Opportunity(ies)			
	2.3 Final Root Cause(s)/Improvement Opportunity(ies)			
	2.4 Project Management Update			
<b>3.0 Solution Improvement Development</b>		Systematize	Check/Study	Improve
	3.1 Possible Solutions or Improvements			
	3.2 Final solution or Improvement			
	3.3 Project Management Update			
<b>4.1 Improvement and Results Verification</b>		Standardize	Act	Control
	4.1 Stakeholder Consideration in Implementation			
	4.2 Solution/Improvement Implementation			
	4.3 Project Results			
<b>5.0 Preservation and Stakeholder Communication</b>		Sustain	Assess & Repeat Cycle	Validate
	5.1 Sustaining Results Over Time			
	5.2 Communication of Results			

## Quality Tools Aligned to DMAIC-V and ASQ ITEA Criteria

Source: Laurie Broedling & Vern Goodwalt (2012). *Best Practice in Team Excellence*, ASQ Quality Press, Milwaukee, Wisconsin.

Lean Six Sigma uses a modern problem-solving method called DMAIC. The model was presented in Chapter 3 and illustrated in Figure 3.2. A subsequent enhancement to it is *DMAIC-V*, which stands for *define–measure–analyze–improve–control–validate*.

- DMAIC-V has proven itself to be one of the most effective problem solving methods ever used because *teams* use data to . . .
  - Confirm the nature and extent of the problem.
  - Identify true causes of problems.
  - Find solutions that evidence shows are linked to the causes.
  - Establish procedures for maintaining the solutions even after the project is done.

*Note: The letter in parentheses is the item being addressed. Example: (D) is define, etc.*

### (D)MAIC-V

- The purpose of the first phase of the DMAIC process is for a team to agree on what the project is. Items that should be accomplished during the *define* phase include:
  - Discussing the project charter as a team.
  - Getting customer data.
  - Reviewing existing data about the process or problem.
  - Drafting a high-level map of the process.
  - Process maps are one type of improvement tool used often in DMAIC.

In the define phase these help establish project boundaries, setting up a plan and guidelines for the team.

- The tools most commonly used in the *define* phase are:
  - Project charter
  - Process and value stream mapping and analysis
  - Voice of the customer
  - Stakeholder analysis
  - Suppliers, inputs, processes, outputs, and customers (SIPOC) process map
  - Affinity diagram
  - Kano model
  - Critical-to-quality (CTQ) tree

### D(M)AIC-V

- *Measure* is the heart of what makes Lean Six Sigma work when other approaches haven't.
- In the *measure* phase, teams will evaluate the existing measurement system, observe the process, gather data, and map the process in more depth.
- The tools most commonly used in the *measure* phase are:
  - Prioritization matrix
  - Process cycle efficiency
  - Time value analysis
  - Pareto charts
  - Control charts
  - Run charts
  - Failure modes and effects analysis (FMEA)

## DM(A)IC-V

- The purpose of the *analyze* phase is to make sense of all the information and data collected in *measure*, and to use that data to confirm the source of delays, waste, and poor quality.
  - In the *analyze* phase teams develop theories of root causes, confirm the theories with data, and finally identify the root cause(s) of the problem.
  - The verified cause(s) will then form the basis for solutions in the *improve* phase.
- The tools most commonly used in the *analyze* phase are:
  - 5 whys analysis
  - Brainstorming
  - Cause-and-effect diagram
  - Affinity diagrams
  - Control charts
  - Flow diagram
  - Pareto charts
  - Regression analysis
  - Scatter plots

## DMA(I)C-V

- The sole purpose of the *improve* phase is to make changes in a process that eliminate defects, waste, cost, and so on, which are linked to the customer need identified in the *define* phase.
- In the *improve* phase teams will:
  - Identify a range of possible solutions
  - Review existing *best practices* to see if any can be adapted to the situation
  - Develop criteria for selecting the solution and pilot the chosen solution
  - Plan for full-scale implementation
- The tools most commonly used in the *improve* phase are:
  - 7 wastes + 1 (*Underutilization of the human mind*)
  - Brainstorming
  - Flowcharting
  - Failure modes and effects analysis (FMEA)
  - Stakeholder analysis
  - Setup reduction
  - Queuing methods for reducing congestion and delays
  - 5S + 1 method—sort, set in order, shine, standardize, and sustain + *safety*
  - Kaizen

## DMAI(C)-V

- The purpose of the *control* phase is to make sure that any gains a team makes last. That means creating procedures and work aids that help people do their jobs better:
  - The team must transfer what they learned to the process owner and ensure that everyone working on the process is trained appropriately.
  - During the *control* phase, teams will document the new, improved process, train everyone, set up procedures for tracking key “vital signs,” hand off ongoing management to the process owner, and complete project documentation.
- The tools most commonly used in the *control* phase are:
  - Control charts
  - Flow diagrams
  - Charts to compare before and after, such as Pareto charts
  - Quality control process charts standardization

**DMAIC-(V)** The “V” (validate) has been recently added to DMAIC. DMAIC-V is a sequential, five-step DMAIC improvement process with the addition of a sixth step, “validation,” in which project benefits are subjected to an after-the-fact validation/verification process.

- The tools most commonly used are selective tools as appropriate that the team used during the D, M, A, I, and C steps.

## ASQ Quality Tools by Application

Source: <http://asq.org/learn-about-quality/quality-tools.html>

### Cause Analysis Tools

- Fishbone (Ishikawa) diagram
- Pareto diagram
- Scatter diagram

### Data Collection and Analysis Tools

- Check sheet
- Control chart
- Design of experiments
- Histogram
- Scatter diagram
- Stratification
- Survey

### Evaluation and Decision-Making Tools

- Decision matrix
- Multi-voting

### Idea Creation Tools

- Affinity diagram
- Benchmarking
- Nominal group technique

### Process Analysis Tools

- Flowchart
- Failure modes and effects analysis
- Mistake-proofing

### Project Management Tools

- Gantt chart
- PDCA cycle (Plan–Do–Check–Act)

### Seven Basic Quality Tools

- Cause-and-effect diagram (fishbone diagram)
- Check sheet
- Control chart
- Histogram
- Pareto chart
- Scatter diagram
- Stratification

### Seven New Management and Planning Tools

- Affinity diagram
- Relationship diagram
- Tree diagram
- Matrix diagram
- Matrix data analysis
- Arrow diagram
- Process decision program chart