

IN THIS ISSUE

Message from the Chair

Call for Nominations

New ANSI G1
Government Standards

ASQ Takes on Electoral
Quality

Designated Examiner
Training Now Available

An Effective
Compliance Program

Call for News Articles
and Webinars

Government Division
Organization

MESSAGE FROM THE CHAIR

BY MARC BERSON

Governments everywhere seem to be facing some of the toughest challenges we've seen in many years. Between a global pandemic, strain on our economies, climate changes, equity injustices, aging infrastructure, incessant misinformation, cyber-attacks, and a host of other crises, governments must demonstrate that its institutions can still be relied upon to provide the public services that we all depend on. As quality professionals, we know this is demonstrated through consistent delivery of customer-oriented service. And equally important is the government's agility toward innovating given constant and rapid changes in technology, the competitive landscape, political agendas, and other conditions. In fact, there should be a strong linkage between mission accomplishment and innovation for governments to succeed. As Michael Porter, an author and Harvard business professor, said, "... continuity of strategic direction and continuous improvement in how you do things are absolutely consistent with each other. In fact, they're mutually reinforcing."

So, you may wonder ... "what is the ASQ Government Division doing about all this?" ... I'm glad you asked. I'm pleased to relay several key initiatives that our division has been actively pursuing recently.

Earlier this year, the Division's **Center for Quality Standards in Government (CQSG)**, led by Janice Stout, reached an important milestone through the successful recognition by the American National Standards Institute (ANSI) of our process improvement maturity model, specifically designed for government organizations – now referred to as the ASQ/ANSI G1 Standard. We have begun offering Designated Examiner training, a 4-day virtual event. Courses are currently taught by Rich Mallory, who was the previous chair of CQSG and principal author of the original quality standards. To learn more about the ANSI G1 Government Standard, go to page 3, and the Designated Examiner Training, go to page 5.

Another key initiative underway is the planned launch of our **Government Performance Excellence Forum (GPEF)** series, led by Quentin Wilson. GPEF events will have a workshop format that will facilitate productive discussion on specific and timely topics that are significant challenges in government. We are planning to hold our inaugural event in November, so stay tuned for more information to come.

A third key initiative is the establishment of the **Center for Electoral Quality and Integrity (CEQI)**, led by Kerry Bass. This follows the release earlier this year of a position paper by ASQ's Election Excellence Group (EEG) entitled, [Advancing a Quality Management System for US Elections](#). The CEQI is a means by which ASQ is promoting the wide adoption of electoral quality standards based on ISO 54001 and offering guidance on how to ensure that government election systems have the highest level of quality and integrity. To learn more, don't miss John Baranzelli's article on page four.



Aside from these special initiatives, the Government Division continues to serve as ASQ's focus on improving quality and performance in government in other ways. We periodically disseminate news announcements and articles, such as those in this e-newsletter. We are also holding complimentary webinars on a variety of interesting topics that affect the public sector (more announcements will come out soon through our newsletter and LinkedIn posts).

With all this activity and continued growth in division membership, we are in need of additional volunteers to join the Government Division Leadership Council (GDLC). Specifically, we need a Webinar Coordinator to help identify topics and coordinate with speakers. We also need a Website Content Master to help improve Division communications. And certainly, help is needed on our committees for the initiatives discussed above. Please check out the GDLC's organizational chart on page 9 which will give you a good sense of all the various positions we have on the Council, or if you merely want to learn more about the Division, you can visit our website. In either case, I encourage you to contact me at marc.berson7@gmail.com or Larry Edwards (Division Chair-Elect) at LEdwards@memberleader.asq.org to discuss what's on your mind (whether its to volunteer or just chat about ideas you may have).

In summary, whether you are a government employee, elected official, government consultant, university professor, student, retired, or a person just interested in government doing things better, we all have a voice and can contribute in some way to helping government improve. So, we look forward to hearing from you!

ABOUT THE CHAIR:

Marc D. Berson is a Principal at Logistics Management Institute (LMI), with over 30 years of experience helping Government organizations improve performance and pursue excellence. He is also a lead practitioner in LMI's Business Transformation, through which LMI focuses on organizational assessments, design, performance measurement, and performance improvement (e.g., lean six sigma). Mr. Berson also serves as the Chairman of the Government Division within the American Society of Quality (ASQ). In 2019, he was selected and served as an Examiner for the National Baldrige Performance Excellence Award Program. Through ASQ, Mr. Berson is a Certified Six Sigma Black Belt (CSSBB) and Certified Manager of Quality/Organizational Excellence (CMQ/OE). He is also certified as a Project Management Professional (PMP).

CALL FOR NOMINATIONS

The Government Division is releasing a call for nominations for the following elected positions within the Government Division Leadership Council (GDLC).

- **Division Chair-Elect** (2-year term beginning January 1, 2022, followed by 2-year term as Division Chair)
- **Division Secretary** (beginning immediately; term ends December 31, 2022, but can be extended)

Please submit names of nominated individuals to the Chair of the Nominations Committee, John Baranzelli, at john.baranzelli@outlook.com by **October 29, 2021**.

ANSI G1 – A New Baseline for Testing Efficiency and Effectiveness of Government

BY RICHARD E. MALLORY, MM, CQA, PMP

The ASQ Government Division is proud to announce a new baseline for testing the efficiency and effectiveness of government operations everywhere, through its recently published ASQ/ANSI:G1 standard. "The G1 standard is an objective tool to evaluate the maturity level of an organization's quality management system," said Janice Stout, Chair of the Division's Center for Quality Standards in Government (CQSG). This new standard provides novel new tools for quality, including system and process maturity models that can span the work of entire organizations, and that provide for uniform and objective scoring of the use of quality practices in every office and area.

The premise of the new standard is that the use of quality practices is synonymous with good management overall, and that managers and supervisors should be held accountable for defining standard best practices and having performance measures embedded in their work. It then provides a means of measuring the use of these fundamental good management practices and scoring their use on a consistent and objective scale. This will provide government everywhere with a visible scorecard, that shows the efficiency and effectiveness of their operations, from the ground up.

The Center is leading an initiative to introduce the G1 standard to government leaders and quality managers worldwide and is sponsoring a series of complimentary hour-long WebEx briefings, from Nov. 3 through Dec. 1 and registration information is provided below. The webinars will be led by Richard Mallory, the principal author of this new standard, who will present an overview of what it is, how it can be used, and why it is destined to be the primary focus of quality practices in government in the future. The webinar will present the system and process maturity models at the foundation of the ASQ/ANSI G1 standard and will show how these can be used in any organization to provide uniform and objective measures of the use of quality practices from the bottom up. Participants will learn how the ANSI G1 standard can mesh with and strengthen any other quality framework, including ISO 9001 or Lean Six Sigma.

The following webinars are available at no-cost:

[Wednesday Nov. 3 – Noon Eastern Time](#)

[Wednesday Nov. 17 – 9 am Eastern Time/ 1 pm BST - London](#)

[Wednesday Dec. 1 – Noon Eastern Time](#)

Even though the standard offers comparative measures of quality practices in government offices everywhere, "It isn't intended to be used in a punitive way, but as a road map to identify where a program can be improved." said Stout. "It will simply show gaps and a positive course forward."



ABOUT THE AUTHOR

Richard E. Mallory, MM, CQA, PMP is a Senior Member of ASQ and specializes in operational assessment and application of quality science in government. His background includes 12 years in executive management of government agencies at the Federal and State Level, and over 20-years' experience as a consultant, trainer, and performance coach for all levels of government. Rich was also an Examiner several times for the Baldrige Performance Excellence Award Program.

He was a Past Chair of the ASQ Government Division, founder of the Center for Quality Standards in Government (CQSG), and co-chair of the Division's successful effort to publish the ASQ/ANSI G1 standard.

ASQ AND THE GOVERNMENT DIVISION ARE TAKING ON ELECTION INTEGRITY

BY JOHN BARANZELLI, PAST CHAIR, GOVERNMENT DIVISION

Several months ago, ASQ formed the Election Excellence Group (EEG) which drafted a position paper regarding quality in our government elections. Marc Berson (Government Division Chair) and John Baranzelli (Past Division Chair) had been serving as Government Division representatives on the EEG. On April 7, 2021, ASQ officially released this position paper entitled, [Advancing a Quality Management System for US Elections](#). The paper recommended the pursuit of election excellence through an electoral quality management system (QMS) based on ISO/TC 54001:2019 which ASQ believes would foster greater election integrity and bolster the legitimacy of democratic processes in the United States. With the release of this paper, ASQ was communicating to the world that the Society is uniquely qualified to lead the development and adoption of an electoral QMS to support U.S. electoral jurisdictions.

We are pleased to announce another important step forward - the formation of the Center for Electoral Quality and Integrity (CEQI). This new Center within the Government Division allows our Society to move from thought leadership content creation into an externally focused resource, comprised of the expertise and skills of Society members. The Center will serve as an objective non-partisan source for evaluation and confirmation of the quality of electoral processes and systems. John has agreed to continue as a Senior Advisor to the CEQI, while Kerry

L. Bass will serve as the initial CEQI Chair.

Kerry is an ASQ Senior member and a Certified Lean Six Sigma Master Black Belt. He has CMQ/OE and CQA certifications with ASQ; a PMP certification with PMI and is a certified Organizational Change Management Practitioner from Prosci. He has over 35 years of executive leadership experience in the private, not-for-profit and public sectors. He is also the CEO and founding principal of Potential to Reality Consulting, LLC., a practice that is focused on helping government executives and the organizations they lead design and successfully complete organization transformations.

We are currently working on ramping up CEQI membership, the organizational structure, and objectives for this new Division committee, thus we are looking for help. If you have prior experience with ISO 54001:2019, possess in-depth knowledge and understanding of electoral processes and systems, and/or are passionate about the topic and want to help, we would like to hear from you. Please e-mail the Chair of the CEQI, Kerry Bass, at kbass@memberleader@asq.org or kerry.bass@makingitreality.com.



EVENT ANNOUNCEMENT

ANSI G1: Designated Examiner Training

October 26-29, 2021, Event Time: 9:30 a.m. CDT - 2:30 p.m. CDT
Event Location: Online – WebEx
\$650 for ASQ Members | \$725 Non-Members

REGISTER TODAY

The ASQ Government Division, and its Center for Quality Standards in Government (CQSG), is pleased to announce its next class to earn the Designated Examiner status. This course is designed to train and prepare individuals as Designated Examiners who will be examining or evaluating various government operations and services and providing these government organizations with a scorecard of the quality of their operations and services. The evaluations and ratings are based on ASQ/ANSI G1:2021, Guidelines for Quality of Government Operations and Services. There are two professional prerequisites to formal designation as follows:

- Formal training and certification in quality science, and/or two years' career experience in the application of quality science
- Formal training or certification in Audit or Program Evaluation, such as the ASQ Certified Quality Auditor (CQA) designation, OR a minimum of two-years' experience in the professional audit and/or operational review

The class includes three major sections of material. The first centers on structuring workflows (both processes and systems) as a means of providing best practice operational models and a learning

organization. It provides guidelines on scoring the inclusion of essential quality principles in judging the maturity of those workflows. The second section looks at application of a maturity model to traditional process mapping. The third section shows how the ASQ Standard can be applied as an objective and structured framework for an entire organization, and how it can create a measurable and visible scorecard for its success.

The class requires a pre- and post-training exam, and a score of 70% or higher on the post-training exam for award of the Designated Examiner status.



The instructor is Richard E. Mallory, MM, CQA, PMP, who was one of the lead authors in the establishment of the standard.

To register:

https://events.eply.com/ANSIG1Training_1026213363539

YOUR COMPLIANCE PROGRAM: DESIGNED EFFECTIVELY...OR JUST A PAPER PROGRAM?

BY VINCENT BURRIS, MS, CQE, CSSBM, PMI-DASM

During a recent training for the ASQ/ANSI G1: Designated Examiner of Quality Government Operations and Services, I recall an exercise posed to us by our instructor as part of assessing the process and systems' maturity level of government operations:

- Write a list of behaviors and actions you might observe or document as evidence of subject matter expert (SME) engagement and empowerment.
- Describe the environment you might see at Levels 3, 4, and 5.
- Describe behaviors of the workplace that fall short of what we are looking forⁱ

Later in the evening, after the training had ended for the day, the questions continued to linger within my mind, so I began to think more about compliance programs in a larger sense from micro to macro levels, public and private sectors. Let's start by defining compliance, according to Merriam-Webster, compliance is: "the act or process of complying to a desire, demand, proposal, or regimen or to coercion... Conformity in fulfilling official requirements."ⁱⁱ The conformity to official requirements pertains to an organization's responsibility to meet requirements set forth by several stakeholders, most notably local, state, and/or federal government. Contemplating the observable SME behaviors, environment, and workplace, as organizations are made up of systems, which are built upon processes. On a maturity scale from 0-5 with 5 being Excellent, in a Level 0 process and system, quality is not being used and there is no employee-based improvement, while within a Level 1 (Initiating), requirements are subjective and there is "some" worker quality awareness.ⁱⁱⁱ

If compliance is mandated in most cases, then how and why would an organization be operating at a Level 0 or Level 1 in the maturity model? Partly the answer is leadership and leadership systems. As an example, according to the Association of Certified Fraud Examiners, almost half of all fraud cases are never reported publicly, and a typical organization loses close to

\$3 million in annual revenue to fraud. Furthermore, of the nearly 3,000 executives interviewed for EY's 2016 Global Fraud Survey, 42% said they could justify unethical behavior to meet financial targets."^{iv}

In response to these observable behaviors, the behaviors that I would describe, as lacking by employees within lesser mature processes and systems during an examination are:

- Lack of awareness for the organization's ethics policy and procedures;
- Inarticulation of a generic understanding of their organization's expectations regarding compliance and ethics;
- Lack of location and accessibility knowledge for ethics procedures;
- Lack of enforcement of policies amongst peers, management, and leadership; and
- Lack of accountability and role modeling of ethical behaviors throughout varying divisions, departments, units, and all levels.

How are organizations currently assessing organizational culture related to ethics and compliance?

In 2016, Deloitte conducted a world-wide survey of compliance professionals and received 558 responses. Of those surveyed, a myriad of answers was received; 57% stated utilizing whistleblower hotlines, internal reporting channels and/or exit interviews, 37% included ethics and compliance to their annual HR or departmental surveys, 34% conduct stand-alone or ethical climate assessments, 18% were not assessing ethics and compliance culture (at the time), 14% conducted employee focus groups, while 5% responded with didn't know or not applicable. Strategically assessing organizational culture and tactically conducting annual compliance and ethics programs are forefront issues within the compliance field.^v

Measuring Program Effectiveness

When compliance program effectiveness measures were looked at from various vantage points of performance, a compliance officers' commitment to continual improvement (survey choice of multiple answers) showed a majority relying on analysis of internal audit findings (53%)...50% of respondents look to training completion rates as a barometer, which may not truly indicate learning, buy-in, or compliance to the company's policies and procedure. Despite utilizing multiple ways to measure effectiveness, the majority of respondents were either not confident (14%) or only somewhat confident (45%) that the metrics of their compliance program assessments gave a realistic sense of how well the compliance program is working. Only 32% were confident (27%) or very confident (5%).^{vi}

From a cost of quality (COQ) perspective "the average multinational [corporation] spends several million dollars a year on compliance, while in highly regulated industries...the costs can be in the tens or even hundreds of millions" and even those are considered underestimates of true compliance costs.^{vii} The reasoning behind the underestimates is considered more so related to the cost of good quality (COGQ) activities (i.e., training and quality audits) and the consumed thousands of hours every year by employees at all levels. Although many executives continue to invest in compliance activities without seeing definitive Return on Investments (ROIs), the alternative of not investing could potentially be exposing their organizations to corporate management risks (i.e., misconduct, fraud, organizational stability, and greater financial losses) should they fail to allocate enough to get the job done.^{viii}

Compliance Violations

Common compliance laws and regulations for an organization include for example Health Insurance Portability and Accountability Act (HIPAA), EU's General Data Protection Regulation (GDPR), civil rights (EEOC) and Sarbanes-Oxley Act (SOX), just to name a few. When an organization's systems are non-existing, willfully, and egregiously, or underperforming compared to requirements,

the U.S. Department of Justice (DOJ) may investigate allegations. The DOJ Criminal Division's assistive document "Evaluation of Corporate Compliance Programs" aids prosecutors in making informed decisions as to whether, and to what extent, the corporation's compliance program was effective at the time of the offense, and is effective at the time of a charging decision or resolution, for purposes of determining the appropriate (1) form of any resolution or prosecution; (2) monetary penalty, if any; and (3) compliance obligations contained in any corporate criminal resolutions (e.g., monitorship or reporting obligations). The "Principles of Federal Prosecution of Business Organizations" within the Justice Manual notes "three fundamental questions" a prosecutor should ask:

- "is the corporation's compliance program well designed?"
 - Is the program being applied earnestly and in good faith?"
- In other words, is the program adequately resourced and empowered to function effectively?
- "Does the corporation's compliance program work" in practice?"^{ix}

To assist with answering some of the questions "Measuring Compliance Program Effectiveness: A Resource Guide" can be a useful starting point and reference. The resource guide provides over 400 measurement options with respect to seven compliance program elements:

1. Standards, Policies, and Procedures
2. Compliance Program Administration
3. Screening and Evaluation of Employees, Physicians, Vendors and other Agents
4. Communication, Education, and Training on Compliance Issues
5. Monitoring, Auditing, and Internal Reporting Systems
6. Discipline for Non-Compliance
7. Investigations and Remedial Measures

An organization may start with a small number of metrics based on their individual needs, risk profiles, etc. and build in some more or add some new measures to strengthen or enhance their currently existing programs, where applicable.^x

How can compliance programs become a win-win?

From employees' perspectives compliance programs are seen as "a series of box-checking routines and mindless training exercises."^{xi} So how can compliance become a win-win for both the organizations enacting them and the employees expected to participate? An idea may be to embed gamification at various points in trainings or for specific risk areas to the organization.

"Adding a sense of gamification can make compliance training more fun while bringing the best out of your participants. But what does Gamification actually mean? Let's define it this way:

"Gamification is when you apply the typical elements of game playing (e.g., point scoring, competition, achievements) to compliance training in order to encourage engagement...Gamification has been proven to help participants remain interested and willing to learn. This results in better job performance and improved company morale. And that negative stigma for compliance training? Gone."^{xii}

References

ⁱ R. Mallory, personal communication, July 27, 2021

ⁱⁱ compliance. (n.d.). In Merriam-Webster.

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^{iv} Why Your Compliance Programs Are a Million-Dollar Waste of Time. (2018, February 21). Harvard Business Review.

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^v Deloitte Risk and Financial Advisory. (2017). Compliance Week In Focus: 2016 Compliance Trends Survey. Www2.Deloitte.Com.

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^{ix} HCCA-OIG Compliance Effectiveness Roundtable. (2017, March). "Measuring Compliance Program Effectiveness: A Resource Guide." Office of Inspector General, HHS.

^x HCCA-OIG Compliance Effectiveness Roundtable. (2017, March). "Measuring Compliance Program Effectiveness: A Resource Guide." Office of Inspector General, HHS.

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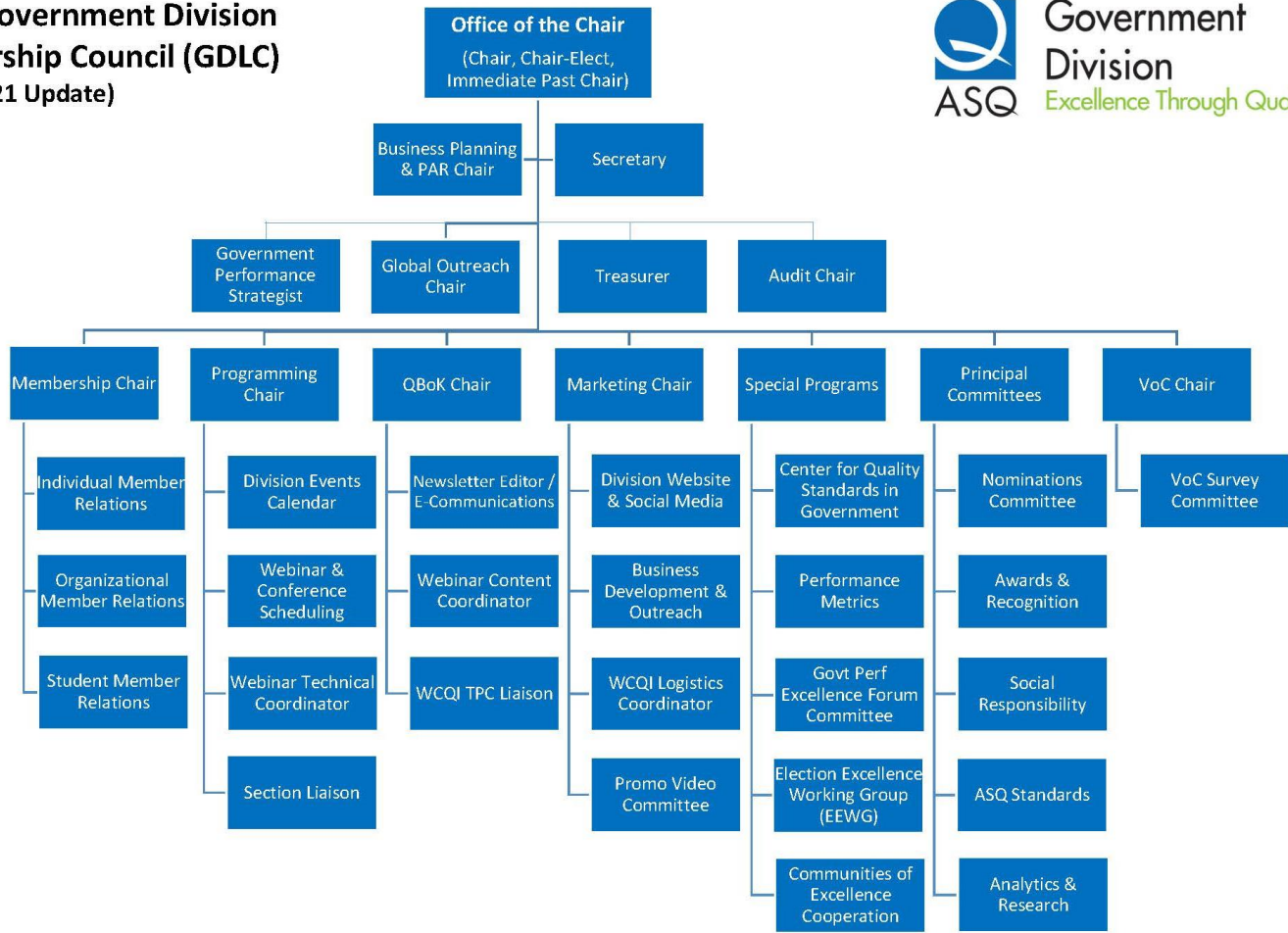
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ABOUT THE AUTHOR

Vincent Burris has 15 years of experience within the public services, non-profit, and local government sectors, which has included various positions. He's currently a Process Consultant within local government, where his work has centered mostly on health and human services' agencies. Additionally, Vincent Burris is currently serving a second term Examiner on the TNCPE Board of Examiners, for regional applicant organizations of the state-level Baldrige performance excellence award levels. He possesses a MSc. in Leadership & Organizational Change Management with a specialization in International Management. He's an ASQ-CQE, ASQ-CSSBB, PMI-DASM, and ASQ/ANSI G1: 2021 Designated Examiner. Vincent is also the Owner/Principal Consultant of Burris Quality Consulting, LLC.

**ASQ Government Division
Leadership Council (GDLC)
(July 2021 Update)**



Share your Knowledge

Call for News Articles and Webinars

If you or someone you know has an article to contribute to the Government Division's news which is shared among all Division members and more, please contact Bonnie Gaughan-Bailey (Newsletter Editor) at bgaughanbailey@hotmail.com or Rich Mallory at rich_mallory@yahoo.com. For the next newsletter issue, articles should be submitted by November 1, 2021. If you have an idea for a webinar that advances quality and performance improvement in government which you wish to present, please contact Marc Berson at marc.berson7@gmail.com.