



California Awards for Performance Excellence

2019-2020 Prospector Application Instructions

Administered by the California Council for Excellence

Congratulations!

Your interest in the California Awards for Performance Excellence (CAPE) indicates that you are on the journey to improve your organization's performance and growth, through the application of the [2019-2020 Baldrige Framework](#) principles.

The CAPE program is California's equivalent to the national [Baldrige Performance Excellence Program](#) (BPEP). The CAPE Council administers its program in the same manner that the National Institute for Standards and Technology (NIST) administers the BPEP.

One of the most significant differences is that CAPE offers two levels of application. The Prospector Recognition is the first level, and the Eureka Award for Performance Excellence is the second level. Both application levels adhere to the same Criteria published and utilized by BPEP.

The CAPE program also offers an opportunity for your team members to become familiar with the Baldrige principles through participation in the program as Examiners. Knowledge obtained through attending Examiner Training and serving on an Examiner evaluation team can be used both for internal assessment purposes and for developing concepts and processes to improve your organization. The CAPE Council encourages you to take advantage of this hands-on experience and opportunity.

We believe that the Baldrige and CAPE programs can significantly improve your organization and provide the recognition you deserve when you have achieved the highest levels of organizational performance. The CAPE Council is committed to providing the best people and processes to help you in your journey to performance excellence.

Sincerely,

The CAPE Council

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The CAPE Prospector Recognition

What is the purpose of the Prospector Recognition Application Instructions booklet?

The purpose of this booklet is to provide instructions to participate in the California Awards for Performance Excellence (CAPE) Prospector application process and applying for the Recognition.

What is the Prospector Recognition?

The Prospector Recognition is the first level of statewide recognition for performance excellence that a California organization can receive in the following industry segments:

- Large Manufacturing (more than 150 employees)
- Small Manufacturing (150 employees or less)
- Large Service (more than 150 employees)
- Small Service (150 employees or less)
- Non-profit
- Education
- Government
- Health Care
- Military

The major focus of the Prospector is on organizational performance in six key categories: leadership; strategy; customers; measurement, analysis, and knowledge management; workforce; and operations. The Prospector is **not** given for specific products or services. To receive the Prospector Recognition, an organization must have a system that ensures continuous improvement in overall performance in the delivery of products and/or services and that provides an approach for satisfying and responding to customers and stakeholders.

Why was the Prospector Recognition established?

The Prospector Recognition was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. As CAPE's first level application, the Prospector allows organizations to take their first step in applying for performance excellence recognition by responding to an abbreviated version of the Criteria, the [Baldrige Excellence Builder](#).

Who may participate?

Organizations that may apply include privately and publicly owned for-profit businesses and nonprofit organizations located or headquartered in California; for-profit and non-profit public, private, government, and education organizations that provide education services to students in California; and for-profit and nonprofit public, private and government health care organizations that are located in California and are primarily engaged in providing medical, surgical, or other health care services directly to people. Subunits of organizations may also apply.

Who is involved with the Prospector Recognition process?

CAPE Council: The CAPE Council is responsible for the CAPE Program and the Prospector Recognition. The Council is comprised of volunteer members who develop policies and procedures, training materials, program documents, Examiner recruitment and training, recruit Applicants, and oversee the examination process.

California Council for Excellence (CCE): CCE is a non-profit, 501(c)3 organization, responsible for the administration of the CAPE program, including fee processing, coordination of Examiner training registration and logistics, and providing support to the CAPE Council.

Board of Examiners: The Board of Examiners evaluates applications and prepares feedback reports for the applicants. Each Prospector applicant is assigned to an Examination Team of two Senior-level Examiners that evaluates the application and prepares the feedback report. The Board consists of leading experts from California businesses and health care, education, and nonprofit organizations.

Panel of Judges: This panel provides technical assistance to the Examination Teams, and recommends recipients to the CCE Board of Directors for ratification. Judges represent all sectors of our state economy.

CCE Board of Directors: This Board oversees CCE, the non-profit corporation and its administration of programs. The board consists of distinguished leaders from all sectors of the California economy.

How do applicants benefit from applying for the Prospector Recognition?

Each applicant gains an outside perspective on its organization based on 80 to 120 hours of review by members of the Board of Examiners. The results of this review are synthesized in a feedback report outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

What does an organization receive if it is a Prospector Recognition recipient?

In addition to the final feedback report, Prospector recipients also receive a trophy bearing the CAPE logo, with the inscriptions "Prospector Recognition". This trophy is presented to the recipient at CCE's Annual Best Practices and Awards Conference.

Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless the applicant is selected as a recipient. All information submitted by applicants is also treated as confidential. All Examiners are required to follow stringent confidentiality procedures when handling applicant information. However, please note that they are allowed to transfer information to team members via e-mail, hard mail, fax, web-based software, and telephone, when confidentiality procedures are followed.

How do organizations apply?

The application process consists of (1) completing and submitting an Intent to Apply Form, and (2) preparing and completing a Prospector Recognition Application Package, including an application form and an application report. The application report must summarize the organization's practices and results in response to the requirements delineated in the [2019-2020 Baldrige Excellence Builder](#).

Prospector Application Submission

Applicants can submit their package to: **California Council for Excellence, 655 S. Main Street, Suite 200 #364, Orange, CA 92868.**

2019-2020 Prospector Timeframes and Fees

Prospector Timeframe

Intent to Apply Forms Due – 30 days prior to Application Submission

For all organizations planning to submit a Prospector application, an Intent to Apply form must be submitted to CCE with a fee of \$200. The form can be downloaded from CCE's website at:

<http://calexcellence.org/CAPEProgram/AwardApplication.aspx>

Application Submission – Year-round

Application packages are accepted year-round, and should be postmarked 30 days following the Intent to Apply submission date. The package should contain 5 spiral-bound copies of the application with a blank cover page, an electronic copy of the application on a USB drive, and the payment of the application fee.

Examiner Independent Review and Consensus Review – 8 weeks

The application is reviewed independently by Senior-level members of the Board of Examiners. At the conclusion of this review, the application is reviewed jointly by the team of Senior Examiners.

Feedback Reports – 10 weeks after receipt of Application

Each Prospector applicant receives a final feedback report. Feedback reports are prepared by the team of Senior Examiners based on applicants' responses to the Criteria of the Baldrige Excellence Builder. The feedback reports contain applicant specific descriptions of strengths and opportunities for improvement based on the Criteria.

Annual Best Practices and Awards Conference – Spring

The Recognitions are presented in conjunction with CCE's annual spring conference.

Executive Briefing – Upon Request

Once an applicant receives its feedback report, an Executive Briefing can be requested. For a nominal fee of \$1,500, an applicant can meet with the Senior Examiner who led the team examination process and feedback report preparation, to discuss the report and finding. The Lead Judge can also participate in the Executive Briefing for an additional \$1,500. The applicant is also responsible for reimbursing any travel expenses incurred by the Senior Examiner and/or Lead Judge.

Prospector Fees

Intent to Apply - \$200

Prospector Application - \$3,500

2019-2020 Prospector Application Package and Instructions

Purpose

The purpose of this section is to provide applicants with instructions for preparing the Prospector Recognition Application Package. These instructions describe content, format, assembly, and submission requirements.

Objective

The objective of the Prospector Recognition Application Package is for the applicant to provide sufficient information to enable the Senior Examiners to conduct a rigorous evaluation.

Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered and treated as confidential.

Content

In your application, include information on all of your organization's units or subunits. Don't add links to websites. Examiners base their evaluations solely on information within your application. Your application must contain the items listed in the order given below:

Blank front cover. To help ensure confidentiality, don't include text or illustrations. In addition, for paper applications, we strongly recommend using dark-colored card stock for the front cover to the front of the application.

Title page. Give the name of your organization. You may also include the address and logo, illustrations, the date, a statement indicating that this is an application for the CAPE Prospector Recognition, and/or a statement regarding the confidentiality of the content. Don't include additional information, text, or links to websites.

Labeled tabs or divider pages. Use tabs or divider pages to separate the sections listed below. On each, include only the section title. If you include additional text or illustrations, the pages will count toward the 25-page limit for the Responses Addressing All Criteria Items.

- Table of Contents
- Application Form
- Organization Chart(s)
- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items

If you wish, you may also use labeled tabs or divider pages to separate your responses to the seven Criteria categories.

Table of contents. Indicate the page numbers for the

- Application Form
- Organization Chart(s)
- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items

You do not need to indicate the page numbers for areas to address, tables, and figures.

Application form. The completed form must be signed by the highest ranking official, indicating that the applicant agrees to the terms and conditions of the Prospector Recognition process.

You can download the Application form here: <http://calexcellence.org/CAPEProgram/AwardApplication.aspx>

Organization Chart(s)

Applicant organization chart(s) with sufficient detail for Examiners to understand the relationships among the applicant's subunits

Glossary of Terms and Abbreviations. In the glossary, include only terms and abbreviations used in your application, with very brief definitions. Don't include descriptions of processes, tools, methods, or techniques in the glossary, or your application will be returned to you.

An acceptable example of a glossary entry is

SPP: strategic planning process

The following example is not acceptable because it indicates a description:

SPP: strategic planning process, which has nine steps: a review of key documents, such as the research contract with the USDA; a two-day retreat; a review of funding and mandates; a review of current organizational performance; a review of an environmental scan; appreciative inquiry; brainstorming; allocation of resources; and creation of action plans.

Organizational Profile. This section outlines your organization and states the key factors that influence its operations and future directions. Examiners use this vital part of your application throughout their review.

Responses Addressing All Criteria Items. In this section, respond to each item as a whole, using the category and item designations in the Criteria within the *Baldrige Excellence Builder* booklet. In your responses to the areas to address within the items, emphasize your organization and its performance system, maintaining the order of the areas.

Label the areas to address as in the Criteria booklets (e.g., 4.2a). You may group responses for multiple areas (e.g., 4.2a,b). If an area to address does not pertain to your organization or its performance system, explain why in one or two sentences.

Discussion of results and the results themselves should be close together in a Prospector Recognition application. Trends that show a significant beneficial or adverse change should be explained. Use figure numbers that correspond to items. For example, the third figure for item 7.1 would be Figure 7.1-3.

Blank back cover. Don't include text or illustrations. For paper applications, we strongly recommend using card stock for the cover.

Format

Format your application according to the following requirements. If your submission does not meet these requirements, we'll notify you that your application has been rejected. You will have 72 hours or until the original due date, whichever is later, to resubmit your application in the required format. Resubmitted applications must be postmarked within that timeframe and shipped via an overnight delivery service. For an example of the required format, see the *2014 Buckeye City Schools Case Study* (<http://www.nist.gov/baldrige/publications/buckeye.cfm>).

Page Limits. The limits given below include all illustrations, figures, tables and appendixes. Covers, labeled tabs, and divider pages that contain only titles don't count toward the limits. However, if these pages contain additional material, such as process descriptions, quotations, figures, tables, or illustrations, they count toward the total page allotment.

If any section exceeds the page limit, the CAPE Program will ask your official point of contact to identify which pages to remove.

- Organizational Profile: 5 pages
- Responses Addressing All Criteria Items: 25 pages

Page and Text Format

Element	Requirement	Notes
Paper Type	Standard, 8½-by-11-inch white	Two-sided printing is strongly recommended. Please ensure that both sides of pages are legible.
Paper Orientation		
Text pages		Portrait
Pages with graphs, figures, and data tables		Portrait or landscape
Lines per page	60 maximum	Count headings and blank lines separating paragraphs, but don't count recurring page headers, such as "CAPE Prospector Recognition Application, page X."
Leading	2 points (or the equivalent) between lines	1 point of leading equals 1/72 or 0.0138 inch.
Margins		
Left (bound side)		¾ inch minimum
Right		½ inch minimum
Text columns	2 (preferred)	Leave at least ¼ inch between columns
Numbering		
Pages in Responses Addressing All Criteria Items	1-25	Don't number blank pages, tabs, or divider pages.
Figures within the Organizational Profile and item sections	In sequence	Use numbers corresponding to the section (e.g., Figure P.1-1, Figure P.1-2, Figure 2.1-1, Figure 2.1-1).
Font and type size		
Running text	Times New Roman or Arial, 10 point minimum	<p>Don't use narrow, compressed, or condensed fonts.</p> <p>The font and type size need not be uniform so long as they meet the requirements.</p> <p>Smaller type sizes make it difficult for examiners to interpret the data and to provide accurate and actionable feedback. If you shrink graphics to fit the space available, ensure that text in the reduced figure meets the requirement.</p>
Tables filled mainly with text	Times New Roman or Arial, 8 points minimum	
Other graphics (charts, graphs, data tables, and other figures), including titles and captions	Any font, 8 points minimum	

Graphics

- See the font and type-size requirements in the table above.
- Clearly label each figure using descriptive text. For example, the title of the third figure for item 7.1 might read “Figure 7.1-3: Reliability of Service: Carrier-Dropped Calls.”
- Clearly label all axes and units of measure.

Application Assembly

Assemble 5 paper copies and a copy on a USB drive following all the guidelines listed below.

Paper Copies

- Securely fasten all components of your application to prevent separation during handling. We strongly recommend that you bind each application with either comb or coil binding.
- Don't use pressure-sensitive clips, binders with such clips, or bulky ring binders or similar heavy covers.
- Don't include video or audio material or other information aids.

USB Drive

- Submit your application in PDF on a USB Drive.
- In the PDF file, include a scan of the completed Application Form.
- Proof the PDF file to verify the contents and number of pages. Also verify that the file prints properly and that all elements meet formatting requirements when printed.