

“Instructions for Preparing Your CAPE Application”

1. Award Program Purpose:

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

There are three levels of the California Awards for Performance Excellence (CAPE) program. They are:

Level One. The Challenge Award. This entry level application focuses on the seven Categories of the Malcolm Baldrige Award Criteria and consists of 12 pages plus a five-page Organizational Profile. The purpose of this award level is to help applicants examine their “Approach” to performance excellence. No site visit is offered at this level, but a Feedback Report is provided.

Level Two. The Prospector Award. This intermediate level application focuses on the seven Categories and 19 Items of the Malcolm Baldrige Award Criteria and consists of 25 pages plus a five-page Organizational Profile. The purpose of this award level is to help applicants examine their “Approach” and “Deployment” of a performance excellence strategy. No site visit is offered at this level, but a Feedback Report is provided.

Level Three. The Eureka Award. This advanced level consists of two awards – the Eureka Award and the U.S. Senate Productivity Award. A Level Three application focuses on the applicant’s ability to fully deploy the Malcolm Baldrige Award Criteria and measure the applicant’s results against the highest standards of performance excellence. It consists of 50 pages that respond to the complete Malcolm Baldrige Award criteria plus a five-page Organizational Profile. A site visit is required and a Feedback Report is provided. Eureka Award applicants include the following: Businesses, Education, Healthcare, Government, Non-profits, and Military.

Level Three. The United States Senate Productivity Award. This advanced level application is designed for *manufacturers only* and focuses on the applicant’s ability to fully deploy the Malcolm Baldrige Award

Criteria and measure the applicant's results against the highest standards of performance excellence. It consists of 50 pages that respond to the complete Malcolm Baldrige Award criteria plus a five-page Organizational Profile. USSPA applicants are limited to large and small manufacturers. This award is sponsored and awarded by California's two United States Senators, Dianne Feinstein and Barbara Boxer, and administered by CCE and the CAPE Council.

Statewide Recognition:

The Governor's Award for Performance Excellence.

Those applicants that achieve the highest levels of performance excellence, as determined by the CAPE Board of Judges, will be recommended to receive the Governor's Award for Performance Excellence.

Application Instructions and Exceptions to the MBNQA Format:

It is important to note that the CAPE application instructions are identical to the submission requirements of the Malcolm Baldrige National Quality Award guidelines with four important exceptions:

- a. CAPE allows applicants to use a *customized cover* for their application whereas the MBNQA guidelines mandate a clear cover with no text.
- b. CAPE allows applicants to *decorate their tab/divider pages with photos and other creative expressions*. The MBNQA guidelines mandate that only the section title be listed on a tab/divider page.
- c. CAPE allows a "*Letter of Transmission*" from the senior executive of the applicant-organization to be included in the application. This page does not count in the application's maximum page count. The MBNQA guidelines do not allow for such a letter unless it is counted as one of the 50 pages.
- d. CAPE does *not* require the submission of an "Eligibility Form." MBNQA does require each applicant to submit an Eligibility Form prior to acceptance of your application.

2. Award Program Objectives:

The objective of this Award Application Package is for the applicant to provide sufficient information to enable the CAPE Board of Examiners and the CAPE Board of Judges to conduct a thorough evaluation. Information is required on the applicant's performance management system and on the results of its processes.

Confidentiality:

All information submitted by CAPE applicants is considered *strictly confidential*. No part of your application is shared with any person with the exception of the Examiners assigned to review your application, the CAPE Program Administrator, and the CAPE Board of Judges. Each CAPE Examiner, CAPE Judge, and the CCE staff signs a “confidentiality oath” pledging to abide by CCE’s and CAPE’s Code of Ethical Conduct and Confidentiality. Adherence to CAPE’s strict guidelines regarding the confidentiality and secrecy of all information contained in your application is a requirement for every individual to participate in the CAPE Examination and Judging process.

3. Application Content Requirements:

A. Application Report – All Applicants

Most applicants will submit the standard application report as follows:

1. **Challenge Award Application** – a maximum of 12 pages plus an Organizational Profile of no more than 5 pages.
2. **Prospector Award Application** – a maximum of 25 pages plus an Organizational Profile of no more than 5 pages.
3. **Eureka Award or U.S. Senate Productivity Award** -- a maximum of 50 pages plus an Organizational Profile of no more than 5 pages.

Each application report must contain the following in the order listed:

- Front Cover. This page should contain the Applicant’s Name, Application Level, the Applicant’s Address, and the Date of Submission.
- Application Page. This page replicates the information contained on the Intent-to-Apply Form.
- Each of the following sections may be separated by a labeled tab or a divider page:
 1. Table of Contents
 2. Organization Chart
 3. Glossary of Terms and Abbreviations
 4. Organization Profile (limit is 5 pages)
 5. Responses Addressing All Criteria Categories and Items (50 pages or less).

6. Back Cover – typically blank.

4. Application Report Components:

A. Application Copies.

Applicants are requested to submit sufficient copies of their Application Report as follows:

- Challenge Award Applicants – 5 copies
- Prospector Award Applicants – 5 copies
- Eureka and U.S. Senate Productivity Award Applicants – 25 copies

This number provides sufficient copies for the CAPE Examiner Review Team, the CAPE Board of Judges, CAPE office files, and replacement copies.

B. Application Submission Dates:

Eureka and U.S. Senate Productivity Applications must be submitted by the deadline of Tuesday, July 11, 2006. Applications should be mailed or delivered by a registered mail service (Federal Express, UPS, US Postal Service Certified Mail Delivery, etc.) to the following street address:

**California Council for Excellence
Attn: Rachel Buchinger, CAPE Program Manager
13053 Poway Road, Suite “B”
Poway, CA 92064
Telephone: 858-486-0400**

Challenge and Prospector Award application reports may be submitted anytime during the calendar year following the submission of an Intent-to-Apply form.

C. Application Content:

CAPE Applications Reports must be submitted with the following in this order:

1. Front Cover/Title Page.

The Front Cover should contain the Applicant’s Name, Address, Logo, Submission Year, and Level of Application and Category (i.e. Eureka

Award, Large Service Category). Photos and images may be placed on this page. Also, applicants may add a “Statement of the Confidentiality of Information Contained Herein” on this page or immediately after this page, if necessary.

2. CAPE Application Form

This page should be placed directly behind your Front Cover/Title Page. The CAPE Application Form can be downloaded from the CCE website. It must be completed, signed by the authorizing official indicating that the applicant agrees to the terms and conditions of the CAPE Award process, and, if chosen, agrees to attend the awards ceremony to accept the CAPE award; host a site visit, if requested; facilitate an open and unbiased examination; pay reasonable costs associated with the Examiner Site Visit; and, if selected as an Award recipient, share non-proprietary information on successful performance excellence strategies with other organizations. This form should be photocopied and included with each copy of your application submission.

3. Table of Contents.

Indicate the page numbers of the following items: Organizational Charts; the Application Form; the Glossary of Terms and Abbreviations; the Organizational Profile; and, each Category and Item in your application. Pagination for the Areas to Address, tables, and figures does not need to be included in the Table of Contents.

4. Labeled Tabs or Divider Pages.

These pages should be used to separate the various sections of your Application Report. CAPE allows applicants to decorate these pages with photos, graphic images, logos, and slogans but they may not contain any application text. *Please note that Malcolm Baldrige Award submissions do not allow anything on labeled tabs or divider pages except the Category Listing.*

5. Line and Box Organization Charts:

- Applicant Organization Charts should be printed in a reasonably-sized font, and large enough with sufficient detail for Examiners to understand the relationship among the applicant’s sub-units. CCE/CAPE does permit enlarged fold-out charts in this section.
- *For sub-unit applicants only – Sub-unit organizational charts should show a line and box of the parent/holding company that

clearly shows Examiners where the applicant fits into the overall organization.

6. Glossary of Terms and Abbreviations.

Applicants may use this section to define terms, industry language, and abbreviations contained in their application that may not be understood by persons unfamiliar with the company or industry.

7. Organization Profile (limit is 5 pages)

This section outlines the applicant's organization and addresses what is most important to the organization as well as the Key Factors that influence how the organization operates and its future directions. As a vital part of the overall application, your Organization Profile is used by Examiners during all stages of the application review process as well as during the Site Visit.

8. Responses Addressing All Criteria Categories and Items:

- For Eureka Award and/or U.S. Senate Productivity Award applicants, please respond to each "Item" as a whole. This is the natural flow of the award Criteria. Responses to the "Areas to Address" should emphasize the applicant's organization and performance system. To facilitate review by the Board of Examiners, respond to the "Areas to Address" in the order given within the "Items." Describe activities in any foreign sites in the appropriate "Items."
- If an "Area to Address" does not pertain to the applicant's organization or performance system, provide a statement of one or two sentences explaining why the "Area" is not applicable. The "Item/Area" designator should be used as described under format requirements [i.e. 2.1.(a)(1)(b)].
- Applicant Organization Charts should be printed in a reasonably-sized font, and large enough with sufficient detail for Examiners to understand the relationship among the applicant's sub-units.

9. Back Cover – typically left blank.

5. Application Format Requirements:

Application reports must meet the page limit, typing, and format requirements indicated below, whether submitted in paper or some other format authorized by CCE/CAPE.

A. Page Limits and Exclusions:

1. The Organizational Profile for the application report is limited to the equivalent of five single-sided pages. If the Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the “Responses Addressing All Criteria Items.” Guidelines for preparing the Organizational Profile can be found in each of the Criteria booklets printed by the Malcolm Baldrige National Quality Award. These booklets may be obtained at a nominal cost from CCE or downloaded off the Baldrige website at www.baldrige.nist.gov
2. In the application report, the “Responses Addressing All Criteria Items” are limited to the following number of single-sided pages that must include all pictures, graphs, figures, tables, and appendices.

The responses must contain the same Category and Item numerical designations as the Criteria you are responding to. Eureka Award and U.S. Senate Productivity Award Applicants should denote the “Areas to Address” with letters [a,b,c, and so forth] that correspond to each Area, such as 4.2a:

- Challenge Award Applicants – 12 pages
 - Prospector Award Applicants – 25 pages
 - Eureka and U.S. Senate Productivity Award Applicants – 50 pages.
3. The Cover and Divider/Tab page separators are not counted as part of the page limit.
 4. If the “Responses Addressing All Criteria Items” exceed the allotted application page limit, the Applicant’s Official Point-of-Contact will be asked to identify which pages should be removed to conform with the page limitation for their application.

B. Paper Size.

Applicants are required to use the standard 8-1/2 x 11 inches white paper size and stock.

C. Typing.

Applicants are required to conform to standard keyboard typing standards. For an example, please see:

www.baldrige.nist.gov/Sandy_Hill.htm

1. Font Size

- Fixed pitch font of 12 or fewer characters per inch or,
- Proportional spacing font of point size 10 or larger

A typical document produced in Time New Roman 10 point font will satisfy this requirement.

D. Font Style.

Any font style may be used that meets the font size and line spacing requirements, but Times New Roman and Helvetica [or their equivalent] are preferred and recommended.

Type used in pictures, captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font size and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

E. Format – for an example please see.

www.baldrige.nist.gov/GeoOrb.htm

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.

2. Margins of at least $\frac{3}{4}$ inch on the side of the page that is bound or fastened, and at least $\frac{1}{2}$ inch on the opposite side of the page are recommended.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides provided the total page count does not exceed the maximum number of pages allowed for the “Responses Addressing All Criteria Items” and the Organizational Profile section.
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

F. Numbering of Pages.

The pages of the “Responses Addressing All Criteria Items” must be numbered consecutively from start to finish, e.g. 1,2,3,.....50. Blank pages and tabs/divider pages should not be numbered. All figures should be numbered in sequence within each Item and Category, such as Figure P.1-1, or Figure 2.1-1.

6. Application Assembly Requirements:

- A. All components of the application report and supplemental section(s) must be securely fastened to prevent separation during handling. The use of clips or binders with easily opened pressure-sensitive clips is strongly discouraged. *Comb binding or a spiral binding process is recommended.*
- B. The use of bulky binders or similar heavy covers is discouraged. Instead, CCE/CAPE requests that you use comb binding or a spiral binding to fasten your application.
- C. Video and audiotapes or other information aids are not acceptable and may not be included.

This number provides sufficient copies for the CAPE Examiner Review Team, the CAPE Board of Judges, CAPE office files, and replacement copies.

Payment:

A check or money order made payable to “California Council for Excellence” covering the application fee [see chart on CAPE homepage], and, if applicable, every Supplemental Section. CCE also accepts the following credit cards: Visa, Mastercard, and American Express.

Postmarks and Shipping Dates:

The application package must be postmarked by the due date, where applicable. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the post service or its overnight carrier. CCE reserves the right to return incomplete submissions or submissions that do not meet the requirements given in these guidelines; or, an application that does not meet the Application Fee requirement; or, an applicant that refuses to abide by the Terms and Conditions of the CAPE Application Process as set forth herein.

7. Questions and Application Assistance:

Applicants may ask questions or seek clarification from the California Council for Excellence or the CAPE Council relating to any aspect of the application review process or the contents of their application by contacting the CAPE Program Manager at cce@calexcellence.org or calling 858-486-0400 during normal business hours.

CCE is also pleased to recommend experienced consultants from our Consultants & Trainers Council to assist you with the writing, preparation, and review of your application. In most cases, these services are offered on a fee basis and all such arrangements or contracts are made directly between the applicant and the consultant.

8. Application Writing Support and Workshops:

Any applicant or prospective applicant is invited to attend CCE’s annual workshop entitled, “*How to Prepare a Successful CAPE Application.*” These workshops are offered throughout the year and available at a nominal cost to the applicants’ team members. For specific dates and locations, please visit CCE’s website at www.calexcellence.org/calendar or call CCE at 858-486-0400.