



EXAMINER HANDBOOK

2023

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CALIFORNIA
COUNCIL FOR EXCELLENCE

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**EXAMINER HANDBOOK
ACKNOWLEDGEMENT AND DISCLAIMER**

CALIFORNIA COUNCIL FOR EXCELLENCE

01

MISSION

To inspire and enable California organizations to achieve world-class results based on the framework of the Baldrige Performance Excellence Program.

VISION

To be California's partner of choice in leading organizations to world-class performance excellence.

VALUES

Integrity; Customers; Members; Volunteers; Sponsors;
Personal and Organizational Learning

PURPOSE & SCOPE

02

PURPOSE

This handbook provides the California Awards for Performance Excellence™ (CAPE) Members of the Board of Examiners (Examiners) with a summary of basic information, including their roles and responsibilities. Its intent is to guide Examiners in fulfilling their responsibilities for fair and thorough evaluations of Applicants.

SCOPE

Examiners are expected to use the Handbook as a reference throughout the evaluation processes. More detailed process instructions will be provided in training materials and on an as-needed basis.

BOARD OF EXAMINERS

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QUALIFICATIONS, REQUIREMENTS, & SELECTION

BOARD OF EXAMINERS

The Board of Examiners is comprised of leading California business, manufacturing, health care, and education experts and individuals selected from industry, professional and trade organizations; government agencies; other not-for-profit groups; and the ranks of the retired.

EXAMINER TERM

Certification as a member of the Board of Examiners is awarded for a one-year term. Returning Examiners reapply and complete a certification program to be considered for the Board of Examiners in a subsequent year.



EXAMINER EXPECTATIONS

As a member of the Board of Examiners, your participation will maintain the foundation for the value and meaning of the CAPE program. Accordingly, much is expected of you. As a member of the Board of Examiners, you agree to:

- Serve as a representative of the CAPE program
- Acquire knowledge and understanding of your role in the CAPE program
- Identify and fulfill your responsibilities as an Examiner, Senior Examiner, Coach, or Judge
- Adhere to the requirements of the Rules of Conduct, Code of Ethical Standards, Disclosure of Conflict of Interest, and Confidentiality Statement
- Meet all requirements associated with a fair and competent evaluation, including adherence to the Criteria for Performance Excellence, Scoring System, and Consensus and Site Visit requirements
- Maintain thorough documentation and reasonable records, honor time commitments, and adhere to due dates
- Serve for one Award cycle: from completion of the Examiner Certification course through the Award Ceremony in 2023

EXAMINER QUALIFICATION & SELECTION

CAPE Board Members are selected on the basis of their personal qualifications and are not considered representatives of their employers or any other organization. Efforts are made to ensure broad participation and to minimize disproportionate involvement of one industry or of employees from a single organization.

Appointments are subject to the Conditions of Involvement, Code of Ethical Standards, the CAPE Rules of Conduct, and satisfactory completion of the required training program. Further qualifications include:

- Knowledge or experience in business, manufacturing, government, healthcare, education, or non-profit work
- An understanding of business processes and business results
- Knowledge of quality practices and improvement strategies
- Written and verbal communication skills
- Leadership and interpersonal skills

EXAMINER ELIGIBILITY REQUIREMENTS

Examiner eligibility is determined based on individual status as a new or returning CAPE Examiner, or current / prior experience with the National or other states' Baldrige programs.

EXAMINER CERTIFICATION

Upon completion of the Examiner Training Course, members of the Board of Examiners may use the following designations: Member of the Board of Examiners, California Awards for Performance Excellence™, (CAPE™) <year of training>. However, a Board member may not use the CAPE™ logo in any advertising, promotions, or business cards. Only Trained Examiners who have completed service through a CAPE Award cycle may use the designation "Certified CAPE Examiner."

Status	Eligibility/Requirements
New CAPE Examiner	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application for the current program year • Participate in Examiner Training and be appointed to serve in the CAPE Award program year.
Return CAPE Examiner	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application for the current program year • Attend Examiner Training and be appointed to serve in the CAPE Award program year.
CAPE Senior Examiner	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application for the current program year • Must be certified in the current year by NIST, their home state, or attend CAPE Recertification and Senior Examiner training. • Note: Participation as a Senior Examiner is by invitation only.
Baldrige Examiners <small>*currently certified</small>	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application, or copy of the Baldrige Examiner Application for the current program year • Are exempt from CAPE training to serve in the CAPE Award program year but may be required to attend an orientation by conference call to become knowledgeable in current CAPE policies and procedures.
Examiners from outside CA <small>*certified by their home state</small>	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application for the current program year • Are exempt from CAPE training to serve in the CAPE Award program year but may be required to attend an orientation by conference call to become knowledgeable in current CAPE policies and procedures.
Examiners from outside CA <small>*not certified by their home state</small>	<ul style="list-style-type: none"> • Submit a CAPE Examiner Application for the current program year • Participate in Examiner Training to be certified to serve in the current CAPE Award program year.

ROLE OF THE BOARD OF EXAMINERS

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GENERAL RESPONSIBILITIES

The CAPE™ Program seeks to provide fair and competent evaluation of each application. Accordingly, Board members are assigned applications on the basis of their knowledge and experience, consistent with the requirements to avoid conflicts of interest, to apportion the application load equitably, and to adhere to agreed-upon schedules. Depending upon the results of evaluations, overall participation of Board members may vary.

- Stage 1 - Independent Review: **All** Examiners, Senior Examiners, and Fellows participate. The time commitment is typically 30 - 40 hours per application.
- Stage 2 - Team Consensus: **All** Examiners, Senior Examiners, and Fellows participate. The time commitment is typically 18 - 24 hours.
- Stage 3 - Site Visit: **All** Examiners, Senior Examiners, and Fellows participate. The time commitment is typically 4 - 8 hour preparation, and 4 - 5 days on-site, depending on the size and complexity of the applicant organization. For logistic and cost considerations, it may not be feasible to take the entire team to a Site Visit. These decisions are discussed among the applicant, CCE, and the team's Senior Examiner. **All** Examiners are expected to be available for the site visit weeks.

ESTIMATED TIME REQUIRED (not including training)

STAGE	ACTIVITY	ESTIMATED TIME (94-136 hours)
Independant Review	Individual evaluation and scoring	30-40 hours
Consensus	Consensus Calls	4-8 hours
	Preparation, reading materials, and preparing documents	14-16 hours
Site Visit	Preparation, reading materials, and preparing documents	4-8 hours
	Site Visit Prep Calls	2-4 hours
	On-site/Hotel work	4-5 days; each day approximately 8-12 hours of work

OTHER RESPONSIBILITIES

Some Examiners also edit Feedback Reports, requiring an additional time commitment. Some Senior Examiners will also be Lead Seniors or serve as support to the Lead Senior for Stage 2 - Consensus Review and Stage 3 - Site Visit.

EXAMINERS' ROLE AS PROGRAM AMBASSADORS

In addition to application review responsibilities, Examiners contribute significantly to the overall CAPE mission by serving as representatives for the Program. This may include activities with professional, trade, community, and state organizations. It is important such presentations reflect current Criteria and the Award process. As spokespersons for the Program, Board Members should consider:

- Focus on the CAPE Program as a statewide education program for achieving performance excellence.
- Encourage individuals and organizations to participate by submitting Examiner and / or Award applications.
- Use CAPE -related materials, such as slides, publications, handouts, and the CAPE exhibit.
- Uphold the Code of Ethical Standards and the Rules of Conduct to protect the integrity of the Award.
- Communicate to the CAPE Program office issues / controversies that arise or significant changes that could impact the Criteria or the Program.
- Share improvements, new ideas, and trends with CAPE
- Participate in conferences and engagements that focus on overall performance improvement rather than on winning the Award.

SERVICE RECOGNITION

After completing the Examiner Certification course, those who are certified will receive a certificate from CAPE. Additionally, Board members may request a news release from CAPE to submit to hometown newspapers, professional association newsletters, and similar publications. To receive a news release, contact the CAPE office.

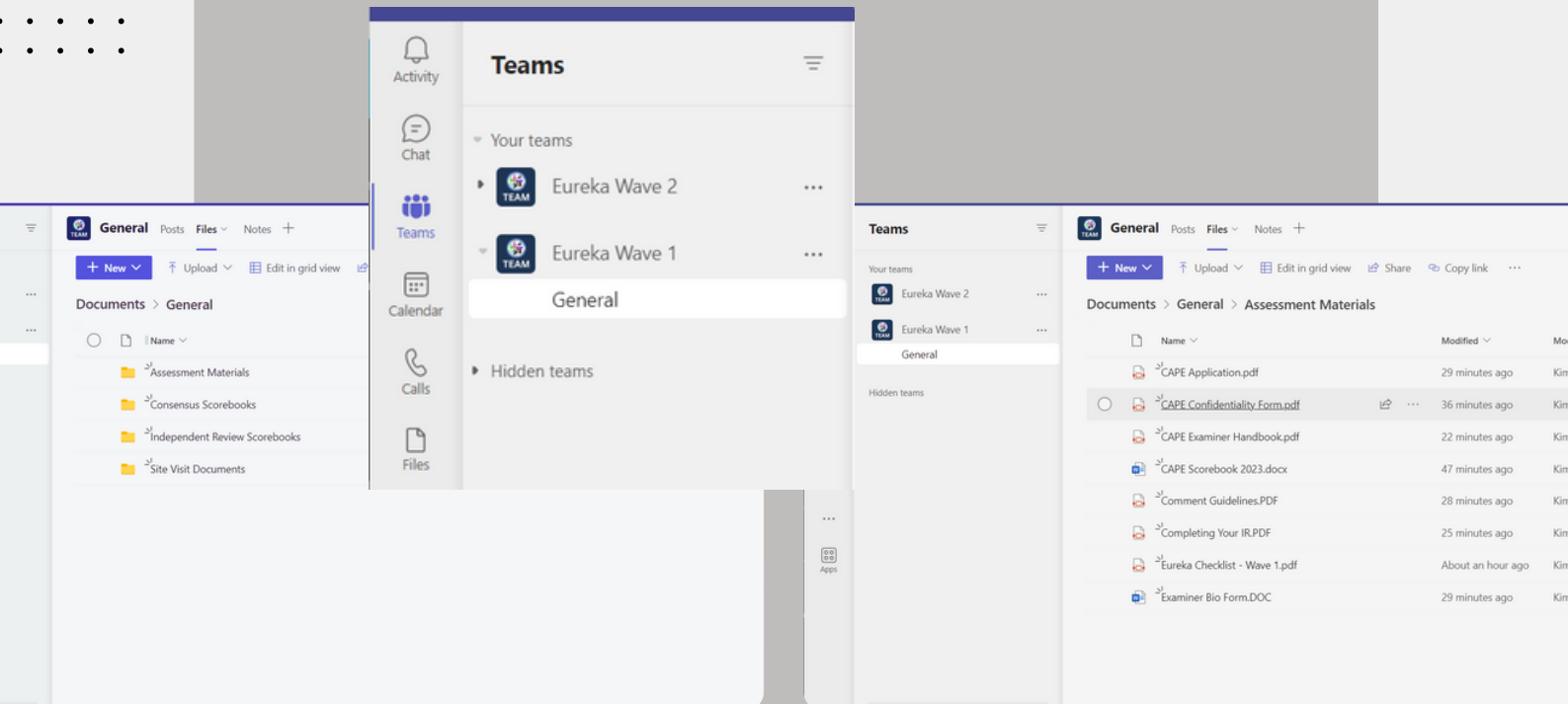
WORKING IN MICROSOFT TEAMS

05

MICROSOFT TEAMS

Microsoft Teams is a collaboration app built for hybrid work so you and your team stay informed, organized, and connected – all in one place.

CAPE utilizes Teams private channels dedicated to your specific examination team! This is your space to access and share important documents, you can utilize the chat function, as well as hold virtual meetings.



CONFIDENTIALITY 06

CONFIDENTIALITY REQUIREMENTS

Electronic files containing Award evaluations should never be placed on a computer, disk, flash drive, or other portable electronic media where anyone other than the Examiner has access. In addition, confidential data / information may not be stored on a network drive where automatic backup routines may be performed. When the review process is complete and the electronic files are no longer needed, Examiners are notified by their Senior Examiner that these files (including any backup files the Examiner's computer may have created) must be removed from the computer hard disks and/or other portable electronic media.



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CODE OF ETHICAL STANDARDS

The integrity of the California Awards for Performance Excellence Program relies on the adherence to ethical standards. It is pledged that as a member in good standing of the CAPE Board of Examiners, each Examiner shall strive to enhance and advance CAPE as it serves to stimulate California companies and organizations to improve quality, productivity, and overall performance.

DISCLOSURE OF CONFLICT OF INTEREST

Those selected to serve as an Examiner must complete a Conflict-of-Interest Form before or during the current year Examiner Certification or Recertification course. Disclosure needs to consider employers, significant ownership, client relationships, and affiliations that present or could be perceived as a conflict of interest to the Examiner's fulfillment of duties in the CAPE Program as an objective and impartial Examiner. Such information will be used for purposes of Examiners' assignments in the application review process and will otherwise be kept confidential. The form must be updated as circumstances change.

DECLARATION OF PRINCIPLES

Members of the Board of Examiners pledge to uphold their professional principles in the fulfillment of their responsibilities. In promoting high standards of public service and ethical conduct, Examiners:

- Shall conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility to the public
- Shall **not** represent conflicting or competing interests, nor place themselves in such a position where the Examiner's interest may be in conflict, or appear to be in conflict, with the purposes and administration of the Award
- Shall safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- Shall **not** offer confidential information or disclosures which may in any way influence the Award integrity or process, currently or in the future;
- Shall **not** serve any private or special interest in fulfillment of the duties of a Judge, Fellow, Senior, or Examiner, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or of which a consulting arrangement is in effect or anticipated
- Shall **not** serve as an 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 anticipates a consulting arrangement
- Shall **not** intentionally communicate false or misleading information which may compromise the integrity of the Award process or decisions therein
- Shall **never** approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship
- If approached by an organization they have evaluated, Examiners shall not accept employment from that organization or enter into a professional relationship with the applicant (i.e. consultant, supplier, regulator or any other relationship that may be perceived as a conflict of interest), for a period of one year after the evaluation, calculated from January 1st of the following year they performed the evaluation.



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RULES OF CONDUCT

RULES OF CONDUCT

The following Rules of Conduct are established to maintain the confidentiality of all Award application information, including the Applicants' identity; and to preserve the integrity and fairness of the examination process. The rules pertain to the **ALL** Board of Examiners members and Judges.

1. All information about the Applicant and the applicant's business/organization gained through the evaluation process is treated as confidential. The following precautions must be taken:

- Applicant information is **not** discussed with anyone outside of CAPE. Additionally, Applicant information is **not**, including Examiners outside of the team assigned to that Applicant. This includes information contained in the written application, as well as any additional information obtained during a Site Visit.
- Applicant information **may** be discussed among the Examiner members of the assigned team, with the assigned Judge(s), or Judges, the Award Administrator, and CAPE representatives.

RULES OF CONDUCT (CONT'D)

- Names of Applicant organizations are **not** disclosed during or after the application review process.
 - **No** copies of Application information are made or retained. **No** notes pertaining to the application are retained after the examination cycle.
 - **No** discussions mentioning applicant identities are to be held on cellular or cordless phones or by voice mail or e-mail. Applicants are always identified by their assigned identification number (YY-##) or simply as “Applicant” or “the organization”. Please note: the two sets of application numbers represent the year of the application (YY), the assigned application number by CCE (##); therefore, an application with the number 11-05 represents an application submitted in 2011, and application number 05.
 - **No** applicant information may be adapted and used subsequent to the review process, unless that information is publicly released by the Applicant through articles, press releases, white papers, panel discussions, conferences, or similar.
2. Each Examiner is responsible for personally and independently completing an Independent Review workbook including scoring the assigned Applications. Examiners may consult the Lead Senior for clarification of process issues only; discussion of specific applicant information is deferred until Consensus (Stage 2).
3. Examiners shall not communicate with the applicant organizations or in any manner seek additional documentation, information, or clarification. This includes Internet searches. If questions arise, CAPE should be contacted.
4. Examiners advising or participating with an organization in the preparation of an Award application shall not reveal or discuss that participation with other Examiners either during the training or application review phases.

RULES OF CONDUCT (CONT'D)

5. Examiners shall **not** at any time (during or after the evaluation cycle) independently give feedback to Applicants regarding scoring or overall performance. (Senior Examiners and Judges may be asked to participate in an Executive Briefing with the Applicant after judging is completed; these briefings have a formal structure and guidelines.)

6. Upon completion of the Examiner Certification course, members of the Board of Examiners **may** use the following designation: "Member of the Board of Examiners, California Awards for Performance Excellence™ (CAPE), <year of certification>." However, an Examiner may **not** use the CAPE logo in any advertising, promotions, or business cards.

7. Examiners shall never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship.

8. If approached by an organization they have evaluated, Examiners shall not accept employment from that organization or enter into a professional relationship with the applicant (i.e. consultant, supplier, regulator or any other relationship that may be perceived as a conflict of interest), for a period of **one year** after the evaluation, calculated from Jan 1 of the year after they performed the evaluation.

9. During the Consensus and Site Visit processes, Examiners maintain a professional working environment that promotes respect for the Award applicants, their employees, and all members of the Examination Team.

10. When participating in a Site Visit, Examiners respect the climate, culture, and values of the organization being evaluated.

ETHICS AND COMPLIANCE

Ethics and Compliance
Chair

Roger Triplett

ethics@calexcellence.org



EXPENSE REIMBURSEMENT

Since the Award application review process receives no federal or state funding and application fees are kept to a minimum, the Program needs to operate with maximum support from our volunteers.

TRAINING AND OTHER EXPENSES

Where individual needs exist, the CAPE Program reimburses Examiners for travel and expenses (in accordance with federal travel regulations) associated with the CAPE™ program-related activities. Expenses must be approved in advance, and requests for reimbursement must be made using CAPE Expense forms. The present rates authorized for reimbursement in accordance with federal travel regulations are outlined below.

SITE VISIT EXPENSES

The intent of these guidelines is to estimate and incur reasonable costs for the Applicant. These are guidelines for customary expenses to help Examiners make selections for their travel arrangements. However, in appreciation for their contribution to CAPE, Examiners shall be reimbursed for all reasonable expenses incurred as a result of their assignment.

Site visit logistics are coordinated through the CCE Office or the Senior Examiner/Team Leader. CCE will not reimburse for expenses incurred for any arrangements made outside of this process unless pre-approved by CCE.

Expense Category	Guideline
<p>Car Mileage *travel within California</p>	<p>Mileage reimbursement is based on the current year's IRS rate for authorized travel. Please note: All Examiners using their own vehicle for CAPE travel, must maintain current insurance coverage in order to receive reimbursement for mileage.</p>
<p>Rental Car</p>	<p>If travel is outside of a 100-mile zone from your residence limits may include: rental car at CCE rate of \$60.00 per day. No mileage reimbursement is paid when a rental car is procured.</p>
<p>Ground Transportation</p>	<p>Up to \$50 per day for shuttles, taxis, or rideshares from the airport to the hotel and return.</p>
<p>Meals</p>	<p>Based on the California per diem rates, meals and incidentals should not exceed \$75 per day, including tax and tip. Itemized receipts for meals are required for reimbursement.</p>
<p>Lodging</p>	<p>Nightly lodging rate for domestic travel may not exceed \$260 per night (additional hotel charges such as taxes, hotel parking, and other hotel fees not included in this nightly lodging fee limit.</p>
<p>Airfare</p>	<p>CCE allows individuals to purchase their own airline tickets and will reimburse for coach or economy seating only. Selection of an airline should be based on getting the lowest fare available and never solely on your participation in an airline's frequent flyer program.</p>
<p>Hotel Conference Room</p>	<p>The Applicant should reserve a conference room at the hotel for examiner team.</p>

CAPE, CCE STAFF, & CCE BOARD OF DIRECTORS

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CAPE 2023		
CAPE Chair	Jessica Williams	jllwilliams517@gmail.com

ETHICS AND COMPLIANCE		
Ethics and Compliance Chair	Roger Triplett	ethics@calexcellence.org

CCE STAFF		
Director of Operations	Kimberly Kinder	kim@calexcellence.org

CCE BOARD OF DIRECTORS 2023

Board Chair	Denise Shields	Shields Resource Group
Board Vice Chair	David Spong	The Boeing Co. (Ret.)
Treasurer	Brent Duggleby	Brent Duggleby Consulting & Coaching
Vice Treasurer	Joseph Yacura	International Association for Data Quality, Governance and Analytics
Strategic Planning Chair	Peter LaBonte	Milwaukee County
Secretary	Amy Kosifas	UCSD Health (Ret.)
Government Relations Chair	David Miller	CalPERS Board of Admin
Council of Trustees, Co-Chair	Janet Wagner	Mills-Peninsula Medical Center
Council of Trustees, Co-Chair	Wayne Ferch	Adventist Health CVN (Ret.)
CAPE Chair	Jessica Williams	Blue Shield of California
Member-at-Large	Lindsey Cunningham	California State University, Office of the Chancellor

CONTACT INFORMATION



(858) 486-0400



HELLO@CALEXCELLENCE.ORG



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2023 EUREKA CYCLE ASSESSMENT WAVES

-Wave 1-

Independent Review: Starts September 18, 2023

Consensus Review: Starts October 16, 2023

Site Visit Prep: Starts November 20, 2023

Site Visit: Week of December 10, 2023





EXAMINER HANDBOOK ACKNOWLEDGMENT AND DISCLAIMER

I, _____, have received, read, and understood the **Examiner Handbook for California Awards for Performance Excellence Program** and understand all the information presented.

Please Acknowledge:

_____ I understand that I am committing to a minimum of **150 hours** for independent review and consensus review.

_____ I understand that, for a Eureka applicant, I am committing to a minimum of **100 hours** for site visit.

_____ I understand that a Eureka applicant site visit location might be **out-of-state** and require an additional travel time committment.

I agree to comply with, and enforce, ALL the rules, policies, and procedures set forth in the Examiner Handbook.

[CLICK HERE TO ACCESS ONLINE FORM](#)

For any questions about the content or interpretation of this handbook, please contact California Council for Excellence.