



***Kansas Center for
Performance Excellence***

Kansas Awards for Excellence

2011

***Recognition Program Description
And Forms***

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INTRODUCTION

Who We Are

The Kansas Center for Performance Excellence (KCPE) is a 501(c)3 corporation that facilitates public- and private-sector performance improvement initiatives through its four PEER services:

1. **Promotion** – assisting Kansas businesses and public institutions in valuing their returns on investments in enterprise performance evaluation and improvement programs;
2. **Education** – lowering barriers to initiation of performance improvement activities by offering networking opportunities and guidance in selecting suitable tools and strategies;
3. **Evaluation** – providing objective, insightful and actionable feedback on Kansas businesses' and public institutions' assessments of their own performance;
4. **Recognition** – demonstrating and celebrating success.

The Criteria

KCPE's Kansas Awards for Excellence (KAE) Program recognizes organizations that demonstrate excellence based on their own standards, as validated by the Baldrige Criteria for Performance Excellence. These Criteria, which are developed by a unit of the National Institute of Standards and Technology, are accepted nationally and internationally as the “meta-model” for performance excellence. They define the dimensions of a world-class management system, offering a framework for organizational self-assessment and self-improvement and a common language for communication among organizations for sharing best practices. The Criteria are organized hierarchically in increasing levels of detail. At the highest – or, “Category” level – they are:

- Leadership
- Strategic Planning
- Customer Focus
- Measurement, Analysis and Knowledge Management
- Workforce Focus
- Operations Focus
- Results

The Multi-Year Performance Trajectory

External recognition is crucial for validating progress measured along each organization's long-term performance-improvement trajectory, but KCPE does not consider recognition to be an end-point or even a main goal. A typical organization might develop a three- to five-year trajectory culminating in application for the Kansas Excellence Award or the Malcolm Baldrige National Quality Award (MBNQA.) Along the way, KCPE can be helpful with:

- Examiner training
- Training and feedback on an Organizational Profile (year 1)
- Technical support for preparing an initial Self-Assessment (year 1)



- Training and feedback on application for the KAE Certificate of Commitment (year 1)
- Training and feedback on application for the KAE Certificate of Progress (year 2)
- Training and feedback on application for the KAE Excellence Award (year 3)
- Training and preparation for application for the MBNQA.

Not every organization begins this process from the same place. However, it has been KCPE's experience that skipping steps results in a more costly and less rewarding program. KCPE is eager to assist each organization in assessing its current state of readiness and in developing a customized multi-year plan that can show positive ROI at every step while promoting a culture of quality throughout the organization.

A quality culture:

- continually improves an organization's effectiveness in achieving its primary mission;
- continually expands an organization's value to its customers by giving expression to the values of its employees; and,
- continually enriches an organization's members' professional skills, job satisfaction and career opportunities.

Planning Ahead

Applying to the KAE recognition program is fairly straightforward, but it requires a substantial expenditure of applicants' time. KCPE's estimates of organizational time commitments in the following table are offered only as a very rough guide for companies considering application.

| | Examiner Training | Organizational Profile | Self-Assessment Worksheet | Certificate of Commitment | Certificate of Progress | Kansas Excellence Award |
|----------------------------|---------------------------|------------------------|---------------------------|----------------------------|---------------------------|-------------------------|
| Baldrige level of detail | Full | Org. Profile | Categories | Categories and Basic Items | Overall Item Requirements | Full |
| Estimated applicant effort | 2 participants @ 20 hours | 40 hours | 50-100 hours | 150-300 hours | 600-800 hours | 1000+ hours |
| Application page limit | | 5-10 pps | none | 15 pps | 30 pps | 50 pps |
| KAE Program staff | Sr. Examiner or Judge | 1 Judge | Optional Contact KAE | 2 Examiners + 1 Judge | 3-4 Examiners + 1 Judge | 5-6 Examiners + 1 Judge |
| KAE Feedback Report | | 3-5 pps | Optional Contact KAE | 10-20 pps | 20-40 pps | 40-60 pps |

Please feel free to discuss with KCPE or KAE awardees how KCPE's services can align with your organization's strategic interests. In addition, we encourage you to let us know if you have any suggestions for improving the Kansas Awards for Excellence recognition process. You may reach us through the contacts listed on last page of this manual.



DECIDING IF THE KANSAS AWARDS FOR EXCELLENCE PROGRAM IS RIGHT FOR YOUR ORGANIZATION

This document is designed to help organizations determine if, and at what level, they wish to participate in the 2011 Kansas Awards for Excellence recognition program. The steps are:

1. Determine whether your organization is eligible to participate.
2. Develop preliminary, organization-specific benefits measures and objectives associated with participation in the KAE Program.
3. Determine the level at which your organization would like to apply for recognition.

Eligibility to apply for recognition

Before applying, organizations are required to complete and submit the Intent to Apply Form. With minor exceptions, all Kansas organizations both public and private, profit and nonprofit, including but not limited to manufacturing, service industries, health care, education and government institutions, are eligible to apply for recognition. KAE's eligibility requirements for 2011 are as follows:

- KAE may deny eligibility to an organization based on any evidence in the public record of unlawful or unethical business practices or conduct by itself or its employees – whenever committed by the applicant and whenever discovered by KAE. The same criterion shall serve as sufficient justification for revocation of any recognition previously awarded by KAE.
- The applicant organization must have its principal place of business in the State of Kansas or (at the discretion of KAE) in the Kansas City metropolitan area and must have operated in Kansas for at least three (3) years prior to making application for recognition. A subsidiary, division or field office of a business headquartered outside of Kansas is eligible to apply if it has maintained a Kansas business address for at least three (3) years prior to application.
- The applicant organization must have had at least seventy-five percent (75%) of its full-time-equivalent staff and no fewer than five (5) full-time-equivalent employees based in Kansas for the entire preceding year.
- The organization must be permanent; that is, it must not be a private- or public-sector business unit (or project, partnership or agency) with a planned date of termination within seven (7) or fewer years from the date of application.
- The applicant organization must have a clear identity as an independent business or government unit as evidenced by such things as organization charts, written policies and procedures, delineated budgets, and annual reports. Applicants that are subsidiaries or divisions of other organizations must demonstrate sufficient autonomy to implement recommendations contained in a KAE Feedback Report and (at KAE's discretion) must produce written authorization of the parent organization to apply for independent recognition.



- Individual units of the same parent organization may apply independently for recognition in the same year.
- An organizational unit and its parent organization may not submit applications for recognition in the same year without prior approval from KAE.
- An organization doing business in several states including Kansas may apply for recognition by KAE (in coordination with other states) with prior approval from KAE.
- Prior applicants – whether successful or unsuccessful – may apply at the same or lower level of recognition (for a reduced fee for one year) or a higher level of recognition (for a full fee) in successive program cycles without restriction.

In the event of any question on eligibility, please contact the KAE office.

Concrete Objectives for participation in the KAE recognition program

In submitting its Intent to Apply, the applicant organization must display thoughtful and specific objectives for participating in the KAE program, including measures of success not contingent on receiving the desired level of recognition in the current year. The applicant organization should demonstrate how this year's application fits into the organization's multi-year performance improvement trajectory, including plans for consideration of feedback offered by KAE's Examiners.

KCPE welcomes the opportunity to work with prospective applicants (without fee) in developing objectives that best fit the business environment and organizational culture of each organization.

Determine the Level of Recognition for which to apply

The Kansas Awards for Excellence Program uses the Malcolm Baldrige Criteria for Performance Excellence as the standard for describing and evidencing organization-specific performance metrics. The Criteria are the basis for evaluation of KAE applications, but they also can form the basis for organizational self-assessments and for coordinating quality expectations up and down the supply chain. Thousands of businesses, government agencies, health care, non-profit, and educational organizations use the Criteria for training, self-assessment, quality system development, quality improvement and strategic planning – whether or not they ever intend to apply for awards.

To determine your organization's current level-of-readiness to apply to KAE for any particular level of recognition, it helps to know more about the Criteria and the evaluation process.

Examiners and their Training

KAE-trained Examiners are the heart of the KAE program and distinguish it from other business consulting services. Applicant organizations are expected to supply appropriate staff as volunteer Examiners. These individuals should be available for training in advance of each application for recognition. They can serve as internal resources to assist the organization in the preparation of its own application(s), and they will assist KAE in its evaluation of other organizations' applications. This is a PEER-driven process. Examiner time commitments can be substantial, and will vary based on each year's number of applicants. A full description of



Examiner responsibilities is beyond the scope of this document, but prospective applicants are encouraged to contact KAE and review Examiner Orientation material on the Baldrige Award Program website (http://www.baldrige.nist.gov/Examiner_Resources.htm).

KAE assigns a team of qualified Examiners (including some with industry-specific expertise) to review each application. (Team members sign Non-Conflict-of-Interest and Non-Disclosure Agreements with KAE. KAE does not identify Examiners to applicants, except during site visits.) Examiners use the Baldrige Criteria to identify significant organizational strengths as well as apparent opportunities for improvement. Following a consensus review among team members, team leaders prepare a Feedback Report. KAE and Malcolm Baldrige National Quality Award (MBNQA) awardees invariably describe the information in Examiner-prepared Feedback Reports as the single greatest benefit of program participation. KCPE encourages prospective applicants to consult with KCPE staff and others to develop their own specific, measurable, achievable, realistic and timely measures of their own expected benefits of participating in the KAE Program.

More About the Criteria

The Baldrige Criteria address key *requirements* for defining and achieving organization-specific standards of excellence. The Criteria also address important *interrelationships* among these requirements. By focusing not only upon results but also upon the conditions and processes that produce results, the Criteria offer a framework that enables organizations to tailor their systems and processes toward continuous performance improvement.

The Criteria organize requirements hierarchically in increasing levels of detail. The Category level is the most general. It consists of seven broad requirements that form the basis for an organization's Self-Assessment and its application for the KAE Certificate of Commitment. The application for the KAE Certificate of Commitment requires only general responses about the organization's strengths and opportunities for improvement in each category, (*e.g.*, Leadership) and its Basic Item Requirements. This is not to be taken lightly, though. It may require 150-300 hours of total staff time, and the report may fill 15 pages. Any detail that is offered in line with more comprehensive Baldrige Criteria (*i.e.*, Overall Item Requirements) will generally strengthen the application.

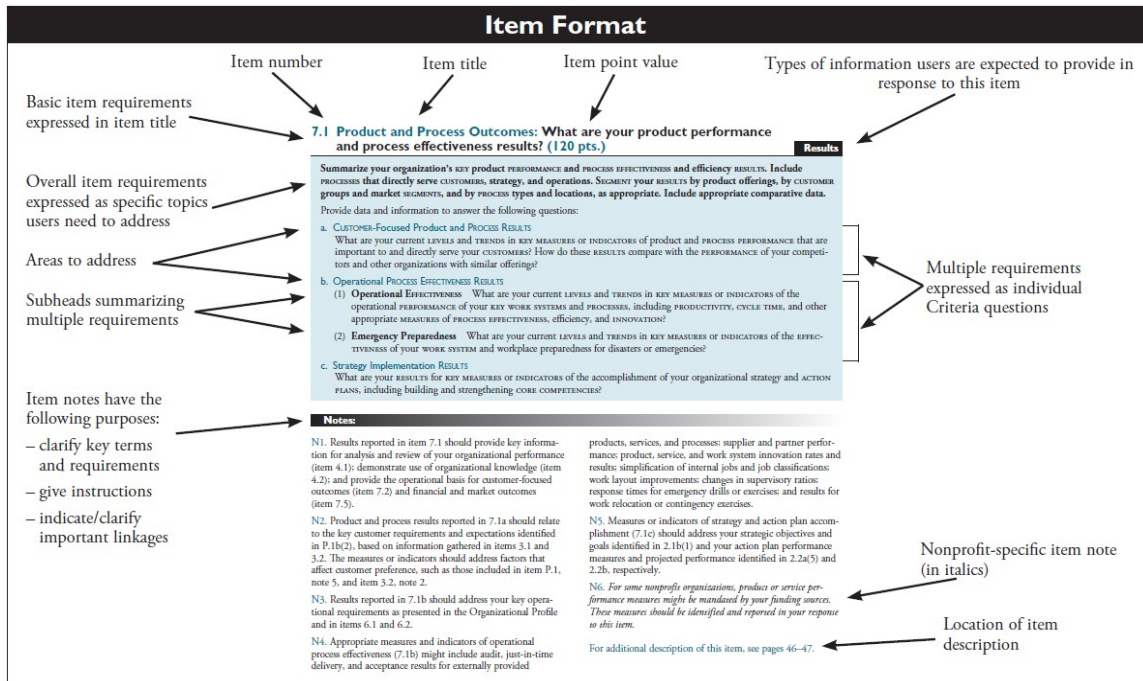
Each Basic Item Requirement is further divided into varying numbers of Overall Item Requirements. Overall Item-level analysis is the basis for KAE's Certificate of Progress application. Preparing this level of application may require 600-800 hours of staff time, depending on the organization's actual level-of-readiness. (The effort is generally cumulative. Lessons learned in applying for a Certificate of Commitment application need not be re-learned in preparing an application for a Certificate of Progress. The process should provide its own rewards.) The report may fill 30 pages.

Each Item is divided into even greater detail at the Multiple Requirements and Areas to Address levels. This is the basis for the full analysis associated with KAE's highest-level application – the Kansas Excellence Award (KEA). Integration of concepts is achieved through direct and indirect relationships among Items and Areas to Address. Further, the KEA application requests information on organization-level as well as unit-level performance. This helps applicants and KAE Examiners evaluate evidence for organization-wide coordination of performance objectives



and results. KEA applicants are expected to provide sufficient information and data on the organization's key processes and results to demonstrate that the applicant's approaches could be replicated or adapted by other organizations. The application may run up to 50 pages. It may take 1000 or more hours of staff time to prepare.

An illustration of the Baldrige Item Format, taken from the 2011-2012 Criteria, is reproduced below.



Applicants for the 2011 KAE recognition program will use the 2011-2012 Malcolm Baldrige Criteria for Performance Excellence. Applicants from educational or health care organizations should use the 2011-2012 Baldrige Criteria for Performance Excellence in Education or the 2011-2012 Baldrige Criteria for Performance Excellence in Health Care, as applicable. The three versions are essentially equivalent, but the Criteria for health care and education use terminology more specific to these types of organizations. Non-profit organizations may use the Criteria that best represents the services provided to their customers, clients, or stakeholders. These Criteria can be downloaded from the Baldrige Program website (<http://www.nist.gov/baldrige/publications/>).

The Review Process and Scoring

The Baldrige Criteria build on “Core Values and Concepts” that are embedded in an organization's systematic processes (Categories 1-6) and yield performance results (Category 7.) Application review and scoring make up a two-part diagnostic system.

The review process is based upon the “Core Values and Concepts” defined in the Criteria. However, the Criteria do not prescribe particular approaches to implementation of these values and concepts. This means that there are no specific techniques, tools or types of operations required for applicants to demonstrate excellence. These are expected to vary greatly. Thus, the



Baldrige Criteria are designed to accommodate Balanced Scorecard, Six Sigma and other tools in which organizations may already have made significant investments.

The scoring system is based on a numerical evaluation of process and performance maturity and deployment. As a process matures, it benefits from successive cycles of learning (including innovation) as well as integration with other processes and work units.

The Criteria's Scoring Guidelines specify a percentage of the maximum score in any Category that may be awarded based on responses to Basic Item Requirements, Overall Item Requirements, etc. For example, the Leadership Category has a maximum of 120 points. This is the target score for Kansas Excellence Award applicants. The Scoring Guidelines state that a maximum of 65% of the total (in this case, 78 points) can be awarded for a response at the Overall Item Requirements level. This is the target score for KAE Certificate of Progress applicants. Similarly, the Guidelines state that a maximum of 45% of the total (in this case, 54 points) can be awarded for a response at the Basic Item Requirements level. This is the target for KAE Certificate of Commitment Applicants.

General guidance on KAE expectations at each application level

Certificate of Commitment. Application at the Certificate of Commitment level requires a completed Application Form, a copy of the Intent to Apply Form, a completed Organizational Profile, and a 15-page (or less) description of how the organization is beginning to apply the seven Categories of the Malcolm Baldrige Criteria for Performance Excellence. The Certificate of Commitment applicant is not required to address the content requested of Certificate of Progress or Kansas Excellence Award applicants, but should be aware that this content will be expected in future applications.

Organizations that apply for a Certificate of Commitment will receive a Feedback Report that delineates the organization's strengths and opportunities for improvement. The report will arrive approximately three-to-five months following receipt of a complete application. During this interregnum, applicants are expected to continue refining their performance improvement practices, continue to take advantage of educational programs and networking opportunities, and continue to document their progress towards their organizational objectives. These activities should deliver positive return-on-investment in their own right, and should help prepare the organization to apply for the next level of recognition in the next program cycle.

Certificate of Progress. Any eligible Kansas organization that has demonstrated, through its commitment and application of continuous improvement principles, substantial progress in building sound processes and in achieving improvement results is eligible to complete the Certificate of Progress application. Applicants are not required to have previously submitted an application for, or been awarded, a Certificate of Commitment. While the organization may have some mature performance improvement processes in place, it may not have all of the management system elements expected of a successful applicant for the Kansas Excellence Award. Organizations use the Progress-level Criteria primarily for validation that they are on the right path and for feedback on what is required to achieve a higher level of effectiveness.

Application at this level requires a completed Application Form, a copy of the Intent to Apply Form, a completed Organizational Profile, and a 30 page (or less) description of how the organization is continuing to apply the requirements at the Overall Item-level of the Malcolm



Baldrige Criteria for Performance Excellence. The application should demonstrate the organization's management system approach and deployment for each Overall Item in the sector-appropriate Criteria document. Applicants for this level of recognition should also be aware of the requirements at the Multiple Item-level, but they need not address this level of detail in the Certificate of Progress application.

Organizations that apply for a Certificate of Progress will receive a Feedback Report based on an evaluation by a team of Examiners that will delineate the organization's strengths and opportunities for improvement. Feedback Reports are released to the applicants after a meeting of the KAE Panel of Judges. This may take three-to-five months following receipt of a complete application. During this interregnum, applicants are expected to continue refining their performance improvement practices, continue to take advantage of educational programs and networking opportunities, and continue to document their progress towards their organizational objectives. These activities should deliver positive return-on-investment in their own right, and should help prepare the organization to apply for the next level of recognition in the next program cycle.

Kansas Excellence Award. The Kansas Excellence Award, KAE's highest level of recognition, is presented to organizations that have demonstrated, through their practices and achievements, a level of excellence worthy of recognition in the State of Kansas, and a wish to continue their journey toward world-class performance by inviting in-depth assessment and feedback. Organizations that submit applications at the Kansas Excellence Award level are not required to prepare a KAE Self-Assessment or to have applied for or been awarded Certificates of Commitment or Progress. Application at this level requires a completed Application Form, a copy of the Intent to Apply Form, a completed Organizational Profile, and a 50 page (or less) description of the processes in place that meet the Multiple Item-level requirements of the Baldrige Criteria.

Applicants at this level should address all the information requested for each Category as well as the Overall and Multiple Items. The “Notes” beneath the category descriptions describe linkages among the Items in the first six Categories or between the Approach and Deployment Items (Categories 1 – 6) and the Results Items (Category 7).

Organizations that meet a preliminary requirement will be contacted to arrange a three-day site visit conducted by the Examiner Team. The purpose of the site visit will be to acquire additional information that is necessary to qualify for the KEA award. The Team will verify the information contained in the application, examine the deployment of the approaches discussed in the application, and clarify any issues that arose during the review process. The KAE Examiners provide their time at no cost to the applicant, but the KAE program does expect reimbursement from the applicant for Examiners' out-of-pocket expenses, including hotels and meals, and a mileage allowance.

Organizations will receive a Feedback Report based on an evaluation by the Examiner Team that will delineate the organization's strengths and opportunities for improvement. Feedback reports for Kansas Excellence Award applications are released to the applicants after a meeting of the KAE Panel of Judges, approximately five-to-seven months following receipt of a complete application. Applicants who earn the Kansas Excellence Award will receive public recognition from KAE. They are expected to serve as ambassadors of the program and are frequently invited



to make presentations to organizations that have not yet advanced as far along their own long-term performance improvement trajectories. KEA awardees often express interest in applying for the Malcolm Baldrige National Quality Award.

Attend a KAE Application-Writing Workshop

Organizations are encouraged to send key leaders to the one-day workshop. “*Writing a Baldrige-Based Application*”, conducted by KCPE. Attendance is particularly useful to the application writing project manager and the application writing team. For organizations new to KAE or to the Baldrige Criteria the workshop provides a better understanding of the Criteria and the KAE application process. For organizations that have previously participated in the KAE recognition program or any other Baldrige-based assessment program, the workshop provides an opportunity to get up-to-date on recent changes in either the Baldrige Criteria or KAE application process. For these participants, a prior application and corresponding feedback report can be used as the focus points of the workshop. Organizations can use their own organizations as case studies in order to understand how to enhance their strengths and prioritize the opportunities for improvement noted in their feedback reports.

Writing a Baldrige-based Application

This workshop includes an orientation to the current Criteria and guidance on writing a Baldrige-based application. It provides participants with a self-assessment process to determine their organization’s readiness for a formal recognition program. At this workshop you will:

- Learn how to organize a successful application writing team.
- Learn to avoid the most common mistakes that applicants make.
- Learn techniques for more effective writing.
- Learn how to use the Baldrige Criteria for self-assessment.
- About changes in the current Baldrige Criteria and how they affect your organization.
- How to use the Core Values to write a better application.
- How to describe approaches more systematically.
- How to use the scoring guidelines to improve your process descriptions.
- What Examiners look for when they review an application.
- How to use the feedback report in preparing the application.

Where appropriate, the workshop will use actual examples to support the training objectives. These workshops have proven to be great motivators for application writing teams who can establish their plans during the session. A workshop can be scheduled on-site for your leadership or application writing team. Contact KCPE for details.



2011 KAE LEVELS OF RECOGNITION AND APPLICATION FEES

| Participation Levels | Certificate of Commitment | Certificate of Progress | Kansas Excellence Award |
|--|---------------------------------------|--|--|
| Content Emphasis | 7 Categories | 7 Categories and Items within the Categories | 7 Categories and Items within the Categories and Areas to Address with the Items |
| Organizational Profile (Max) | 5 pages | 5 pages | 5 pages |
| Response Maximum | 15 narrative pages | 30 narrative pages | 50 narrative pages |
| Site Visit | No | No | Possible* |
| Award or Recognition Eligibility | Certificate of Commitment | Certificate of Progress or Certificate of Commitment | Kansas Excellence Award or Certificate of Progress or Certificate of Commitment |
| CEO Signature | Required | Required | Required |
| Number Receiving Recognition | Unlimited | Unlimited | Unlimited |
| Provide Examiner** | Required | Required | Required |
| First Time Intent to Apply (Reservation) Fee | \$500 | \$1000 | \$2000 |
| First Time Registration Fee (submitted with application) | \$100/FTE up to a maximum of \$2,000. | \$100/FTE up to a maximum of \$4,000. | \$100/FTE up to a maximum of \$6,000. |
| Subsequent*** Intent to Apply (Reservation) Fee | \$250 | \$500 | \$1000 |
| Subsequent*** Registration Fee (submitted with application) | \$50/FTE up to a maximum of \$1,000. | \$50/FTE up to a maximum of \$2,000. | \$50/FTE up to a maximum of \$3,000. |
| Site visit cost reimbursement | | | 100% of KAE's expenses |

*Site visits are limited to organizations that qualify by reaching a scoring threshold and the Examiner Team recommends them for a Site Visit.

**Applicant organizations are required to provide at least one staff member and are encouraged to provide two who will serve on Examiner teams within two years of training. This greatly enhances an organization's ability to benefit from the application process and the feedback report.

***Subsequent denotes an application from the same organization (or its subsidiary) at the same recognition level or higher, the previous year.



THE 2011 KAE PROGRAM CYCLE

In response to Applicant requests, KAE began, in 2009, to offer a rolling application schedule. Activities will be scheduled subject to the combined needs of KAE and all prospective participants. The following is offered for general guidance. For example, for a target application submission date of October 1, 2011 (Month 0), Certificate of Commitment applicants should send staff to New Examiner Training in April 2011 (Month -6) and should expect to receive Feedback Reports around February 1, 2012 (Month +4).

| KAE “Rolling” Program Cycle | |
|------------------------------------|---|
| Month | Activity |
| -12 | Begin preparing application for Kansas Excellence Award (highest level only) |
| -12 | Read the Baldrige Criteria thoroughly. Prepare Organizational Profile if this is the first application. |
| -11 | If this is the first application, submit Organizational Profile to KCPE for preliminary review |
| -10 | Receive feedback from KAE on the Organizational Profile (if first application). All applicants should be using organizational learning to promote buy-in at this time. |
| -8 | Begin preparing application for Certificate of Progress |
| -6 | Send staff to Examiner training |
| -6 | Business improvement project leaders attend KAE Application Writing Workshop. (Optional, all levels.) |
| -6 | Solidify the organization's own performance measures and goals for participating in the KAE Program. If this is the first application, perform Self Assessment. |
| -5 | Submit Intent to Apply |
| -4 | Begin preparing application for Certificate of Commitment |
| 0 | Submit Application |
| 0 | Examiner Teams begin reviews |
| +3 | KAE Panel of Judges meets to review draft Feedback Reports and consider Examiner Team recommendations for site visits and for awarding Certificates of Commitment and Certificates of Progress. |
| +3 | Plan site visits for qualifying Kansas Excellence Award applicants. |
| +4 | Feedback Reports are delivered to applicants for Certificate of Commitment and Certificate of Progress applicants. |
| +4 | Site visits take place. |
| +5 | Examiner Team finalizes Feedback Reports for applicants with site visits. |
| +6 | KAE Panel of Judges meets to approve Examiner team recommendations for applicants with site visits. |
| +7 | Feedback reports are delivered to applicants that have had site visits. |
| +8 | Public recognition of all Kansas Award for Excellence Program Award recipients. |



FAQ ON THE APPLICATION REVIEW PROCESS

The following pages attempt to fill in a bit of additional detail for prospective applicants who may still have unanswered questions.

Why are there two different forms?

Each applicant must submit an Intent to Apply Form within the general schedule guidance for the KAE Program Cycle. This demonstrates the organization's commitment to participate in the KAE program, and it helps KAE prepare resources to meet the expected aggregate demand based on the number of applications of each type. It also clarifies each applicant organization's objectives for participation, whether or not they achieve the desired level of recognition during the current program cycle. **KAE reserves the right to defer or delay applications received without timely submission of an Intent to Apply Form.**

Each applicant must also submit an Application Package to the KAE office within the general schedule guidance for the KAE Program Cycle. The Application Package is the primary reference used by Examiners to evaluate the performance of the company against the Baldrige Criteria. **Applications that do not meet the defined expectations will be returned. KAE reserves the right to defer or delay consideration of applications received more than 30 days after the Expected Date of Application described on the Intent to Apply Form.**

What if we need to withdraw our Intent to Apply?

An organization may, without prejudice, withdraw its Intent to Apply within three months of submitting its Intent to Apply Form and fee. In such circumstances, KAE will refund 50% of the fee.

How are applications assessed?

The KAE Program Director will assign applications that meet the KAE Program document requirements to a team of trained Examiners. Examiner Teams are composed dynamically, according to the needs of each application. Teams are made up of individuals with varied backgrounds and years of experience working with the KAE Program. KAE makes every attempt to have at least one Examiner on each Team with expertise in the applicant's industry, subject to KAE's strict, contract-enforced conflict of interest policy. (For more information, please refer to the Baldrige Examiner Orientation material on the Baldrige Award program website (http://www.baldrige.nist.gov/Examiner_Resources.htm)). Each Examiner Team is supervised by a member of KAE's Panel of Judges. Each Judge is a former Senior Examiner who has had extensive additional training and experience.

All application materials, including the names of applicants, commentary, and scoring information developed during the review of the application are treated as applicant-proprietary. Such information is available only to those individuals directly involved in the evaluation and application distribution process.

The application review process consists of:



a) Stage 1 – Independent Review

Members of the Examiner Team review and score the application report independently prior to discussing the materials with the complete Examiner Team.

b) Stage 2 – Consensus Review

Members of the Examiner Team participate in a joint review of the application, which considers the individual assessments. At the conclusion of the consensus review, feedback reports are generated for Certificate of Commitment and Certificate of Progress applicants and Kansas Excellence Award applicants that are not recommended for Site Visit.

Certificate of Commitment Application Feedback Reports will be released approximately two months following the Consensus Review meeting. Certificates of Progress and Kansas Excellence Award Feedback Reports will be released pending action by the Panel of Judges in their meeting at the end of the application round.

c) Stage 3 – Site Visit Review

Kansas Excellence Award applicants that score at least 400 points at the conclusion of consensus review will be scheduled for a site visit. The Examiner Team may recommend a site visit for organizations that score below 400 points and, if approved by the Judge, a site visit will be scheduled. The Judge assigned to the Examiner Team will coordinate the planning of the site visit, including the dates and the agenda, with the applicant contact person. At the conclusion of the site visit, the team develops the feedback report for consideration by the Panel of Judges.

Every applicant receives a formal Feedback Report at the conclusion of the review process and is given an opportunity to discuss its content with KAE.

What are site visits?

Organizations that apply for a Kansas Excellence Award (the top level) and meet a preliminary scoring requirement are expected to support a site visit conducted by the Examiner Team. The purpose of the site visit will be to acquire additional information that is necessary to qualify for the KEA award. The Team will verify the information contained in the application, examine the deployment of the approaches discussed in the application, and clarify any issues that arose during the review process. The Examiner Team conducts the site visit over a three-day period. The KAE program does not charge a site visit fee. Applicants, however, are responsible for the expenses of the site visit team. These expenses will include hotel and meals, and a mileage allowance. Prompt reimbursement of Examiner expenses is expected at the conclusion of the site visit.

How is the recognition determination finalized?

After the Examiner Team completes the evaluation of Certificate of Progress and Kansas Excellence Award applications, it forwards its findings and recommendations to the KAE Panel of Judges. The Panel of Judges reviews these findings and determines the recognition levels to be presented to each applicant. Each applicant receives a written feedback report at the conclusion of the review process.



What is the Panel of Judges?

The Panel of Judges sets policy for the Kansas Awards for Excellence Program and determines the level of awards based on the collective experience of the Panel and the recommendations of the Examiner teams. Each member of the group has extensive experience as an Examiner or Judge in the Malcolm Baldrige National Quality Program and/or the Kansas Awards for Excellence Program.

How many awards are given?

There is no limit or maximum number of organizations that may receive recognition each year. Recognition and awards are used to promote the greatest degree of participation and are granted on the basis of fulfilling the requirements described for each level. If, in the opinion of the Panel of Judges, there is no organization that meets the eligibility standards in any particular recognition level, no award will be given at that level.

To merit the Kansas Excellence Award, an organization must be able to demonstrate an exceptional long-term commitment to performance excellence relative to the Criteria and their interpretation by the Board of Examiners. There is no imposed limit on the number of qualified organizations that may receive this award in one program cycle.

What if we don't meet the expectations of our level of participation?

In the event that an applicant applies for recognition at one level but does not meet the minimum requirements of that level, the Panel of Judges may recognize the applicant at a different level.

How does KAE maintain confidentiality of the information we supply?

All applications will be treated as confidential. Examiners are assigned in a way to avoid conflicts of interest. All Examiners sign nondisclosure agreements. Information regarding participation, recognition received or successful strategies may be released only with the written approval of the applicant.

Applicant materials are carefully tracked by KAE during the review process and all materials are either destroyed by the team leader or returned to KAE for confidential disposal following the review process. KAE destroys all original application materials after one year following each program cycle.

Are there Follow-on Costs for Organizations That Earn the Kansas Excellence Award?

Kansas Excellence Award recipients are frequently asked to make presentations describing their performance initiatives and their experience with KAE. Organizations may not be able to fully recover their costs for these goodwill activities.



REQUIREMENTS FOR THE APPLICATION PACKAGE

In order to facilitate the evaluation of the applications, KAE has established the following specifications for the content and structure of the application documents.

- Submit the application on 8 1/2 x 11” paper.
- Use 10-point type or larger. (12-point is preferred.) This includes all text and charts.
- Margins must be 0.75 inches or wider
- Leave the outside cover blank. On the inside front cover, include the name of the organization, the KAE Program Year, the Baldrige Criteria Year and the Baldrige Criteria Type.
- Include a Table of Contents.
- Include a copy of the Application Form and the Intent to Apply Form.
- Include an Organizational Profile of up to five pages.
- Terms and abbreviations that may be unfamiliar to people outside your industry should be included in a Glossary, which should be included at the end of the application. The Glossary is not included in the page count for the Organizational Profile or the applicant's response to the Criteria.
- The Organizational Chart for the applicant may be inserted either in the Organizational Profile or in the applicant's response to the Criteria. In either case, the chart will count against the total page count for the area in which it is located.
- Limit your response to the Criteria to the page limitation for the level of application submitted. The 15-, 30- and 50-page limits include **all** supporting material **except**:
 - The cover page,
 - The Application Form and the Intent to Apply Form
 - The Organizational Profile,
 - The Table of Contents, and
 - A Glossary of Terms and Abbreviations.
- Include the title of each Category and Item Number (if applicable) in your response, *e.g.* Item 1.1 Senior Leadership.
- Number the pages of the Organizational Profile and your response to the Criteria separately. (*e.g.* Organizational Profile *i – iv*, Criteria Response, 1 – 50).
- The original document should not be bound or stapled. You may bind or staple the copies.
- Submit the Application Form, payment, the original and eight (8) copies of the application to the KAE office.



FORMS

Administrative Notes on the Intent to Apply Form

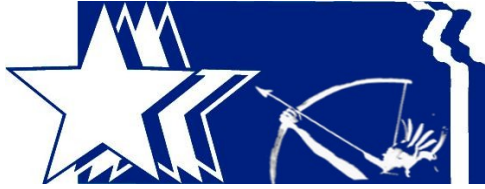
Submission of the Intent to Apply Form and the accompanying fee will initiate a dialog between the Applicant and KAE. This dialog will seek to clarify all of the administrative issues that must be resolved in the months preceding submission of the Application itself. These include:

- Identification of qualified and available Applicant staff to serve as Examiners on other organizations' applications.
- Any additional information about the applicant organization that will assist KAE in selecting well-qualified Examiners to review its application.
- Any organization-specific sensitivities about assignments of Examiners to this application, including potential conflicts of interest, Examiner access to applicant-proprietary information within the Application, etc.

Administrative Notes on the Application Form

Site visits will be conducted for organizations that qualify based on their KEA-level application scores.. These normally take three consecutive days. Applicants should provide some preliminary dates for site visits four to five months following the date of the application itself. Site visit scheduling is dependent on the availability of the Examiner Team for the dates selected. The KAE recognition program will schedule the site visit for eligible organizations based on dates requested whenever possible.

The Application Form requires the signature of an official who can commit the organization to fulfillment of a legal agreement.



Kansas Center for Performance Excellence

Kansas Awards for Excellence Intent to Apply Form

Please read the KAE Recognition Program Description before completing this form. Copies of the Intent to Apply form are available in Microsoft Word format from KAE.

Full Name of Applicant Organization _____

Address _____

Parent Organization and address (if applicable) _____

Applicant Contact (name, Title, phone, e-mail): _____

Today's Date _____ **Doing business In Kansas since** _____

Target Application Date _____ (Month 0 in the current KAE Program Cycle)

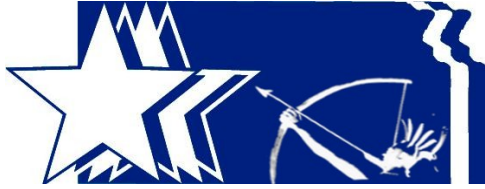
Recognition Level (circle one): **Commitment / Progress / KEA**

Baldrige Criteria Year (circle one): **2011-2012 / Other:** _____

Baldrige Criteria Type (circle one): **Business-NonProfit / Education / Health Care**

Applicant Organization Size _____ **Kansas FTEs** _____ **Total FTEs**

Organizational Objectives for Participation in the KAE Program (use additional sheets, as required) _____



Kansas Center for Performance Excellence

Kansas Awards for Excellence Application Form

This form accompanies formal submission of this organization's complete Kansas Awards for Excellence Application Package described in a previously-submitted KAE Intent to Apply Form and in the Kansas Awards for Excellence Recognition Program Description for the current KAE Program Cycle. The applicant agrees to the information supplied in those documents and understands that KAE may, at its sole discretion, reject any Application Package that it deems non-conformant to KAE's specifications.

Copies of this Application Form are available in Microsoft Word format from KAE.

Full Name of Applicant Organization _____

Submission Date of the applicable KAE Intent to Apply Form _____

Today's Date _____

Applicant Contact (name, Title, phone, e-mail): _____

Officer of the Firm (if different from Applicant Contact) (name, Title, phone, e-mail):

Site Visit Preferences (Kansas Excellence Award Applicants Only)

Preferred dates: _____ **Alternate dates:** _____

Signature of an Officer of the Firm

Signature

Date



KAE AND KCPE CONTACT INFORMATION

Address all correspondence to:

Kansas Center for Performance Excellence
P.O. Box 4612
Lawrence, KS 66046-9998

Inquiries may be e-mailed to:

kcpe03@gmail.com

All fees are payable to:

Kansas Center for Performance Excellence

In the check memo field, write:

2011 KAE Program