

2012

# Baldrige Award Application Forms



# The Baldrige Award

The Malcolm Baldrige National Quality Award, created by Public Law 100-107 in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive. The award was established to promote the awareness of performance excellence as an increasingly important element of competitiveness. In addition, the award promotes the sharing of information on successful performance strategies and the benefits of using them. Organizations apply for the award in one of six eligibility categories: manufacturing, service, small business, education, health care, and nonprofit.

The President of the United States traditionally presents the award at a ceremony in Washington, D.C. The award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum, with the award recipient's name engraved on the base. A 22-karat, gold-plated medallion is captured in the front section of the crystal. The medal bears the name of the award and "The Quest for Excellence" on one side and the Presidential Seal on the other.

## Increase Your Insight into the Baldrige Criteria

To gain insight into the Baldrige Criteria for Performance Excellence and the Baldrige Award process, you may nominate a senior member of your organization to be noncompetitively appointed to the Baldrige Award Board of Examiners. **The nominee must not have served previously as a Baldrige examiner** and must fully participate as a member of the board; this includes attending Examiner Preparation in Gaithersburg, Maryland, and participating in the evaluation of an organization that has applied for the award.

Board appointments provide a significant opportunity for your organization to learn about the Criteria and the evaluation process. Examiners gain a better understanding of the Baldrige Criteria, see how the Criteria are used in high-performing organizations, and develop a network of professional colleagues. To take advantage of this opportunity, examiners make a substantial time commitment. They commit to a minimum of 110 hours from April to December, including approximately 40 hours in April/May for self-study, three to four days in May to attend Examiner Preparation, and 50–70 hours from June through September to complete the Independent Review and Consensus Review.



Crystal by Steuben

If requested by the program, examiners also participate in a Site Visit Review of approximately nine days. All board appointments are for one year only, and your organization or the nominee must cover travel and housing expenses incurred for Examiner Preparation.

**The Malcolm Baldrige National Quality Award logo and the phrases “The Quest for Excellence” and “Performance Excellence” are trademarks and service marks of the National Institute of Standards and Technology.**



**BALDRIGE**  
Performance Excellence Program

# Baldrige Performance Excellence Program

National Institute of Standards and Technology • Department of Commerce

January 2012

Congratulations!

By supplementing your copy of the *2011–2012 Criteria for Performance Excellence* with a copy of the *2012 Baldrige Award Application Forms* booklet, you have taken the second step in using the Baldrige process to improve your organization's performance and contribute to its sustainability in a challenging economy. Now it is time to consider taking the next step—applying for the award.

For a nominal application fee, determined by the size and nature of your organization, your application will receive at least 300 hours of review by several experts selected for their depth and breadth of knowledge. Site-visited organizations receive more than 1,000 hours of in-depth review, and each applicant receives an extensive feedback report containing strengths and opportunities for improvement.

Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying for the award should result in a significant return on your investment. The process will help you prioritize your opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

To further increase your organizational learning, we will provide an opportunity for a senior employee of your organization to be a member of the 2012 Board of Examiners. If you are interested in taking advantage of this opportunity, you must submit your Eligibility Certification Form on or before February 28, 2012. You should use the Microsoft Word versions of these forms, which are available online at [http://www.nist.gov/baldrige/publications/award\\_application.cfm](http://www.nist.gov/baldrige/publications/award_application.cfm).

Every Baldrige Award recipient's journey toward performance excellence includes using the application process as part of the organization's improvement and strategic planning process. Many of our recipients apply several times before receiving the award, while others receive the award on their first attempt. They all report that the process is worthwhile. The Baldrige process is designed to make each applicant a "winner" by raising its performance to a higher level. Consider making the decision to apply now, and accelerate the rate of your organization's performance improvement. As thousands of organizations can attest, your organization will be better for it!

Sincerely yours,

Harry S. Hertz, Director  
Baldrige Performance Excellence Program

## 2012 Changes and Reminders

In an effort to broaden and strengthen the holistic Baldrige Enterprise model in partnership with the Alliance for Performance Excellence, in 2012 the Baldrige Performance Excellence Program is focusing award assessments on those organizations that meet one of the criteria listed on the following page.

See next page for full details.

If you are interested in pursuing a Baldrige-based award from your state or local program, you may find contact information for those programs here:

<http://www.baldrigepe.org/alliance/>

### **New: Submit 15 Paper Copies of Award Application Package Plus CD**

For applicants who choose to submit their award application package on paper, please submit 15 paper copies of the application as well as a PDF file of the application on a CD. This is a change from the 30 paper copies that were required in 2011. Should your organization receive a site visit, the American Society for Quality (ASQ) will use the CD you have provided to print additional copies of your organization's application. The additional printing charge will be part of your site visit fee. This change may reduce your organization's cost to print and ship your applications, in addition to eliminating paper waste from unused applications.

Please see page 21 for additional information.

Note: for applicants who choose to submit their award application package on CD only, the above change does not impact your organization in any way.

### **Reminder: Submit Your Application via Overnight Delivery after May 8**

We encourage you to submit your award application package as early as possible. If you submit your application on paper after May 8, please send the package via an overnight delivery service.

### **Reminder: Include Only Terms and Abbreviations in the Glossary**

In the glossary, include only terms and abbreviations used in the application, with very brief definitions. Do not include descriptions of processes, tools, methods, or techniques in the glossary, or your application will be returned to you to remove extra glossary content. See p. 19 for examples of an acceptable and unacceptable glossary entry.

#### **2012 Due Dates** (Due dates are "postmarked-by" dates. Packages must be postmarked on or before these dates.)

##### **Eligibility certification package**

**with a nomination to the Board of Examiners**                      **February 28**

**without a nomination**                      **April 3**

##### **Award application package**

**on CD only**                      **May 1**

**on 15 paper copies plus CD**                      **May 15**

## 2012 Changes and Reminders continued

**NEW FOR 2012:** In addition to the requirements on pp. 5–7, your organization must meet ONE of the criteria listed below to apply for the Baldrige Award. If you have questions, please call (877) 237-9064, option 3.

1. My organization has won the Baldrige Award.	Yes	Your organization is eligible (five year rule as stated on page 7 is still in effect).	No	Continue with statement 2.
2. Between 2007 and 2011, my organization received the top award from an award program that is a member of the Alliance for Performance Excellence.	Yes	Your organization is eligible.	No	Continue with statement 3.
3. Between 2007 and 2011, my organization applied for the national Baldrige Award, and the total of the process and results band numbers assigned in the feedback report was 8 or higher.	Yes	Your organization is eligible.	No	Continue with statement 4.
4. Between 2007 and 2011, my organization applied for the national Baldrige Award and received a site visit.	Yes	Your organization is eligible.	No	Continue with statement 5.
5. More than 25% of my organization's workforce is located outside the organization's home state.	Yes	Your organization is eligible.	No	Continue with statement 6.
6. There is no Alliance for Performance Excellence award program available for my organization.	Yes	Your organization is eligible.	No	Call (877) 237-9064, option 3.

1	<b>The Baldrige Award Process</b>
3	<b>2012 Baldrige Award Cycle at a Glance</b>
4	<b>Fees for the 2012 Award Cycle</b>
5	<b>2012 Eligibility Certification Q&amp;A</b>
	What is the eligibility certification package?
	Will the Baldrige Program notify me that my organization is eligible?
	What is the deadline for submitting a 2012 eligibility certification package?
	What types of organizations are eligible to apply for the award?
	Are subunits—units or divisions of larger organizations—eligible to apply?
	Is a parent organization eligible to apply for the award if one or more of its subunits are applying?
	Are multiple subunits of the same parent eligible to apply for the award in the same year?
	If my organization receives the award, is it eligible to apply again?
8	<b>2012 Eligibility Certification Form (for reference only)</b>
16	<b>2012 Eligibility Certification Package Checklist</b>
17	<b>North American Industry Classification System (NAICS) Codes</b>
18	<b>2012 Award Application Q&amp;A</b>
	Once I have certified my organization’s eligibility for the award, how do I apply?
	What is the deadline for submitting a 2012 award application package?
	What must the application contain?
	How should I format the application?
	Page limits
	Page and text format
	Graphics
	If I submit 15 paper copies of the application, how should I assemble them?
	How should I assemble the application on CD?
	If I submit my application on CD only, or I receive a site visit and ASQ prints additional copies of my application from the CD that I provide, what will those copies look like?
22	<b>2012 Application Form (for reference only)</b>
24	<b>2012 Award Application Package Checklist</b>
25	<b>How to Obtain Baldrige Performance Excellence Program Materials</b>
27	<b>The 24th Annual Quest for Excellence® Conference</b>
27	<b>Paperwork Reduction Act Statement</b>



# The Baldrige Award Process

## What groups are involved in the Baldrige Award process?

**National Institute of Standards and Technology (NIST):** The U.S. Department of Commerce is responsible for the Baldrige Performance Excellence Program and the award. NIST, an agency within the Department of Commerce, manages the Baldrige Program.

**American Society for Quality (ASQ):** Under contract to NIST, ASQ assists in administering the award program.

**Board of Examiners:** The Board of Examiners evaluates award applications and prepares feedback reports for applicant organizations. The board consists of leading experts from U.S. businesses and health care, education, and nonprofit organizations.

**Panel of Judges:** This panel, which is part of the Board of Examiners, selects award applicants to undergo site visits and recommends award recipients. The secretary of commerce appoints the judges, who represent all sectors of the U.S. economy.

**Board of Overseers:** The secretary of commerce appoints this board, which provides oversight on the Baldrige Program for the U.S. Department of Commerce. The board consists of distinguished leaders from all sectors of the U.S. economy.

**The Foundation for the Malcolm Baldrige National Quality Award:** The foundation raises and manages funds that permanently endow the award program.

## How do organizations benefit from applying for the Baldrige Award?

Each applicant organization gains an outside perspective on itself based on 300–1,000 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 for Performance Excellence. Organizations often use feedback reports in their strategic planning to focus on their customers and improve results, as well as to help energize and guide organizational improvement efforts.

## How do organizations apply for the Baldrige Award?

Applying for the award is a two-part process. The first part is eligibility certification, when you certify that your organization meets eligibility requirements. Eligibility certification packages will be accepted beginning January 3, 2012 (see the due dates below).

In the second part, you submit an award application package that contains an application summarizing your organization's processes and results in response to the requirements delineated in the Criteria for Performance Excellence, the appropriate fees (see page 4), and proof of the date you send the package. For reference copies of the Eligibility Certification Form and Award Application Form, see pages 8 and 22. For forms to fill out and submit, see [http://www.nist.gov/baldrige/publications/award\\_application.cfm](http://www.nist.gov/baldrige/publications/award_application.cfm).

Your application will not be accepted unless you complete eligibility certification by the due date. If you plan to apply for the award in 2012, you will also need the appropriate *2012–2012 Criteria for Performance Excellence* booklet for your organization. See page 25 for ordering information, or see <http://www.nist.gov/baldrige>.

<b>2012 Due Dates</b> <b>(Packages must be postmarked</b> <b>on or before these dates.)</b>	
<b>Eligibility certification package</b> <b>with a nomination to the</b> <b>Board of Examiners</b>	<b>February 28</b>
<b>without a nomination</b>	<b>April 3</b>
<b>Award application package</b> <b>on CD only</b>	<b>May 1</b>
<b>on 15 paper copies plus CD</b>	<b>May 15</b>

## **How are Baldrige Award recipients selected, and what is expected of them?**

The award focuses on performance in five key areas: product and process outcomes, customer-focused outcomes, workforce-focused outcomes, leadership and governance outcomes, and financial and market outcomes. The award is not given for specific products or services. To be selected as an award recipient, an organization must have a system that ensures continuous improvement in overall performance in delivering products and/or services and that provides an approach for engaging and responding to customers and stakeholders.

A team from the Board of Examiners reviews each award application against the Criteria for Performance Excellence. The higher-scoring organizations receive site visits. The Panel of Judges reviews information obtained from the organizations during these site visits and recommends award recipients. The secretary of commerce then makes the final selection of award recipients. Up to 18 awards may be given annually across six eligibility categories: manufacturing, service, small business, education, health care, and nonprofit. Previous award recipients nominated for a subsequent award are not included in the cap of 18.

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations, but they do not need to share proprietary information, even if it was included in their award applications. The principal mechanisms for sharing information are the annual Quest for Excellence® Conference, described on page 27, and several one-day regional conferences. Sharing beyond the Quest for Excellence Conference is voluntary.

## **Are the identity of applicants and the information in their applications made public?**

The identity of all applicant organizations remains confidential unless they receive the award. The Baldrige Program treats all information submitted by applicants as strictly confidential and has numerous protocols and processes in place to protect the organizations and help ensure the integrity of the award.

## **What is the basis for the Criteria for Performance Excellence?**

The Criteria reflect validated, leading-edge practices for achieving performance excellence. They are developed from the learning of private- and public-sector organizations that are working to achieve performance excellence.

There are three versions of the Criteria: business/nonprofit, education, and health care. All three versions are closely aligned. Variations in terminology, however, reflect differences among the three sectors. For example, the Criteria for Performance Excellence (referred to as the Business/Nonprofit Criteria) refer to “customers.” Those customers are further identified as “students and stakeholders” in the Education Criteria for Performance Excellence and “patients and stakeholders” in the Health Care Criteria for Performance Excellence.



# 2012 Baldrige Award Cycle at a Glance

## **Eligibility Certification**

**February 28** (with a nomination to the Board of Examiners)

**April 3** (without a nomination)

Submit the eligibility certification package to certify your organization's eligibility in one of six award categories: manufacturing, service, small business, education, health care, or nonprofit.

## **Award Application**

**May 1** (CD only)

**May 15** (15 paper copies plus CD)

Submit either **15 copies** of the application and a **CD** containing a PDF file of the application, or a CD only, with an additional processing fee of \$1,250.

## **Independent and Consensus Review**

**June–September**

Members of the Board of Examiners review the application (1) independently and (2) as a team led by a senior examiner. Based on these reviews, the Panel of Judges determines which organizations receive site visits.

## **Site Visit Review**

**October**

Organizations receiving site visits provide updates for all results in the application. A team of examiners, led by a senior examiner, goes on-site to verify and clarify the information in the application. Site visits consist primarily of a review of pertinent records and data, as well as interviews. The team submits its report to the Panel of Judges.

## **Judges' Review**

**November**

The Panel of Judges conducts final reviews and recommends award recipients to the director of the National Institute of Standards and Technology (NIST), who conveys the recommendations to the secretary of commerce. The secretary of commerce and the director of NIST determine whether recommended award recipients are appropriate role models and, therefore, should receive the award. The purpose of this determination is to help preserve the award's integrity.

In determining role models, NIST checks records on site-visited applicants and the highest-ranking official to verify their compliance with legal and various regulatory requirements. The secretary of commerce then selects the award recipients.

## **Feedback Reports**

**September–December**

Members of the Board of Examiners prepare feedback reports detailing organization-specific strengths and opportunities for improvement based on the organizations' responses to the Criteria for Performance Excellence.

Each organization receives a feedback report after it is determined either that the organization will not move to the next level of review or that it is an award recipient.

## **Award Ceremony**

**Spring**

The president of the United States traditionally presents the awards at a special ceremony in Washington, D.C.

## Fees for the 2012 Award Cycle

Award Category	Fees (\$)			
	Eligibility Certification (nonrefundable)	Application*	Supplemental Section**	Site Visit***
Manufacturing	150	7,500	2,000	20,000–40,000
Service				
Small business		4,000	1,000	15,000–20,000
Education, nonprofit				
K–12		1,750	250	1,500
Higher education		4,000	1,000	15,000–20,000
Education, for-profit				
> 500 faculty/staff		7,500	2,000	20,000–40,000
≤ 500 faculty/staff		4,000	1,000	15,000–20,000
Health care				
> 500 staff		7,500	2,000	20,000–40,000
≤ 500 staff		4,000	1,000	15,000–20,000
Nonprofit				
> 500 staff		7,500	2,000	20,000–40,000
≤ 500 staff		4,000	1,000	15,000–20,000

Eligibility and application fee adjustments are based on changes in the Consumer Price Index.

\*Covers expenses associated with the review of applications and the development of feedback reports. Include an additional processing fee of \$1,250 if you submit your application on a CD only.

\*\*Not applicable for most organizations. See page 12.

\*\*\*Paid only by applicants receiving site visits. The amount depends on the number of sites, the number of examiners assigned, the duration of the visit, and other factors. The fee is due to the American Society for Quality two weeks after the site visit.

## What is the eligibility certification package?

In the eligibility certification package, your first official step toward applying for the Baldrige Award, you provide enough information to determine whether your organization is eligible to apply. The Baldrige Performance Excellence Program also uses the information to avoid conflicts of interest when assigning examiners to your application. In addition, the Eligibility Certification Form in the package presents a useful profile of your organization and often is the first information read by the examiners who evaluate your application.

The eligibility certification package consists of the following materials, which the Baldrige Program keeps confidential:

- a completed Eligibility Certification Form (see pages 8–15) signed by your organization’s highest-ranking official,
- an organization chart and other required documents described in the Eligibility Certification Form,
- the nonrefundable fee of \$150, and
- proof of the date you send the package (see page 15).

The Baldrige Program relies on the information submitted in the Eligibility Certification Form. If at any time during the award cycle the program finds the information to be inaccurate in a way that deems your organization ineligible, your organization will forfeit award eligibility. In that case, your organization will receive a feedback report only.

## Will the Baldrige Program notify me that my organization is eligible?

Your organization will self-certify its eligibility to apply for the award; you do not need notification by the program to begin preparing your application. However, your application will not be accepted unless you submit the eligibility certification package and it is postmarked by the due date. Program staff members are available by telephone ([877] 237-9064, option 3) to answer questions about the forms or the process. They will review your package promptly and contact your designated eligibility contact point or alternate if it needs clarification.

## What is the deadline for submitting a 2012 eligibility certification package?

Send your eligibility certification package **by April 3, 2012 (February 28, 2012, for eligibility certification with a nomination to the Board of Examiners; see page 14)**. Include proof of the mailing date (see page 15). The program encourages you to submit the eligibility certification package as early as possible.

## What types of organizations are eligible to apply for the award?

Organizations that are headquartered in the United States, including U.S. subunits of foreign organizations, may apply for the award. For eligibility purposes, overseas U.S. military installations and embassies do not constitute U.S. territories.

In addition, to be eligible, your organization must

- have existed for at least one year (i.e., at least since April 2, 2011),
- have the operational practices associated with all of its major organizational functions available for examination in the United States or its territories, and
- be able to share information (for the purpose of the application) on the seven Criteria categories at your organization’s U.S. facilities and at The Quest for Excellence Conference®.

Eligible organizations fall into six categories: three in business (manufacturing, service, and small business) plus the education, health care, and nonprofit categories.

### Business

Eligible for-profit businesses include publicly or privately owned corporations, joint ventures, sole proprietorships, partnerships, and holding companies.

- **Manufacturing** organizations produce and sell manufactured products or manufacturing processes, or produce agricultural, mining, or construction products. (See the North American Industry Classification System [NAICS] codes on page 17.)
- **Service** organizations provide or sell services. If your organization is a manufacturer and a service provider, choose your eligibility category based on the activity that provides the larger percentage of your sales.

- **Small business** organizations have 500 or fewer paid employees, are engaged in manufacturing and/or the provision of services, and are discrete, independent entities.

## Education

Organizations eligible in the education category are for-profit and nonprofit public, private, and government organizations that devote more than 50 percent of their faculty and staff members and/or budget to providing teaching and instructional services directly to students. Examples are elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. Departments within schools or colleges are ineligible.

Education organizations may choose to apply in the education category, using the Education Criteria for Performance Excellence, or, as appropriate, in the service, small business, or nonprofit category, using the Criteria for Performance Excellence (the Business/Nonprofit Criteria).

## Health Care

Organizations eligible in the health care category are for-profit and nonprofit public, private, and government organizations that devote more than 50 percent of their staff members and/or budget to providing health care services directly to people. Examples are health systems, hospitals, health maintenance organizations, long-term care facilities, health care practitioners' offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not provide health care services directly, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible in this category but may be eligible in the service, small business, or nonprofit category.

Health care organizations may choose to apply in the health care category, using the Health Care Criteria for Performance Excellence, or, as appropriate, in the service, small business, or nonprofit category, using the Business/Nonprofit Criteria. If your organization is both an education organization and a provider of health care services, choose your eligibility category based on the activity that represents the larger percentage of your budget.

## Nonprofit

Nonprofit and government organizations, including local, state, and federal government agencies; trade associations; charitable organizations; social service agencies; credit unions; and professional societies, are eligible to apply in this category.

If your nonprofit organization provides direct education or direct health care services in addition to other

nonprofit services, choose your eligibility category based on the activity that represents the larger percentage of the budget. For example, if a state department of education allocates 70 percent of its budget to certifying teachers and educational programs and 30 percent to directly educating students, it is eligible in the nonprofit category.

The U.S. Department of Commerce, the American Society for Quality, and their subunits are not eligible to apply for the Baldrige Award.

## Are subunits—units or divisions of larger organizations—eligible to apply?

The larger organization that holds or has control of a subunit is the “parent”—the highest level of an organization that is eligible to apply for the award. In the nonprofit category, examples of parent organizations are the U.S. Department of Defense (not the Department of the Army), the State of Maryland (not the Maryland Department of Transportation), and the Montgomery County Government (not the Montgomery County Health Department).

## Education and Health Care Subunits

If an organization is a subunit of a parent that provides direct teaching and instructional services to students or direct health care services to people and a subunit also provides these services, the subunit is eligible as noted in the Education and Health Care sections above. Other subunits are eligible if they meet the requirements below.

## Other Subunits

To be eligible, subunits must

- be recognizable as discrete entities;
- be easily distinguishable from the parent and its other subunits;
- be self-sufficient enough to be examined in all seven Criteria categories;
- have a clear definition of “organization” reflected in their literature; and
- function as business or operational entities, not as activities assembled to write an award application.

In addition, subunits other than those in education and health care must

- have 500 or more employees, or
- qualify as small businesses as described below, or
- be in manufacturing or service and (1) employ at least 25 percent of the parent's total workforce and (2) sell or provide 50 percent or more of their products or services outside the applying subunit, the parent, and other organizations owning or having financial or organizational control of the applying subunit or the parent.

A 2009 change in eligibility permitted a broader spectrum of organizations to apply for the award. Specifically, internal suppliers and support functions may apply as long as they have at least 500 employees and meet the other eligibility requirements.

Manufacturing and service subunits with fewer than 500 employees are eligible in the small business category if they

- were independent before acquisition by the parent and continue to operate independently under their own identity or
- are separately incorporated and distinct from the parent’s other subunits.

**If a parent organization eligible to apply for the award if one or more of its subunits are applying?**

A subunit and its parent may submit eligibility certification packages in the same year, but only one may apply for the award in that year.

**Are multiple subunits of the same parent eligible to apply for the award in the same year?**

All subunits of a parent may submit eligibility certification packages in the same year, but the number of subunits that may apply for the award is based on the size of the parent’s workforce (see the table below).

If subunits of the same parent submit award applications beyond the limits noted, the parent organization may decide which subunit(s) continue through the award process. If the parent organization does not make this decision, the Baldrige Program will designate applications with the earliest proof of mailing date as award applicants.

**If my organization receives the award, is it eligible to apply again?**

All award recipients are ineligible to apply for the award again for five years. For example, an organization that received the award in 2010 may not reapply until 2016. However, during those five years, recipients may submit award applications annually to receive feedback reports outlining their strengths and opportunities for improvement based on the Criteria for Performance Excellence. After five years, recipients may apply for the award or, if they wish, for feedback only.

Similarly, if a subunit receives an award, that subunit and all its subunits are ineligible to apply for the award for five years, but they also may submit award applications to receive feedback only during those five years. In addition, if a subunit with more than 50 percent of the total employees of the parent receives an award, the parent organization and all its subunits are ineligible to apply for the award for five years but may submit award applications to receive feedback only during that time.

If the parent, including all subunits, has	0–1,000 employees,	1 subunit per category	may apply for the award, up to a cap of 5 applications per parent.
	1,001–20,000 employees,	2 subunits per category	
	more than 20,000 employees,	2 subunits per category for the first 20,000 employees, plus 1 subunit per category for each 20,000 employees or fraction thereof above 20,000	

## Malcolm Baldrige National Quality Award

OMB Clearance #0693-0006  
Expiration Date: March 13, 2013

### 1. Your Organization

Official name		Headquarters address	
Other name			
Prior name	<i>(if changed within the past 5 years)</i>		

### 2. Highest-Ranking Official

Mr.  Mrs.  Ms.  Dr.

Name		Address	<input type="checkbox"/> Same as above
Job title			
E-mail			
Telephone			
Fax			

### 3. Eligibility Contact Point

Designate a person who can answer inquiries about your organization. Questions from your organization and requests from the Baldrige Program will be limited to this person and the alternate identified below.

Mr.  Mrs.  Ms.  Dr.

Name		Address	<input type="checkbox"/> Same as above
Job title			
E-mail			
Telephone			
Fax		Overnight mailing address	<input type="checkbox"/> Same as above <i>(Do not use a P.O. box number.)</i>

### 4. Alternate Eligibility Contact Point

Mr.  Mrs.  Ms.  Dr.

Name	
E-mail	
Telephone	
Fax	



## 5. Application History

a. Has your organization previously submitted an eligibility certification package?

Yes. *Indicate the year(s). Also indicate the organization's name at that time, if different.*

Year(s)

Name(s)


No

Don't know

b. Has your organization ever received the Malcolm Baldrige National Quality Award?

Yes. Did your organization receive an award in 2006 or earlier?

Yes. *Your organization is eligible to apply for the award.*

No. *If your organization received the award between 2007 and 2011, it is eligible to apply for feedback only. Contact the Baldrige Program at (877) 237-9064, option 3, if you have questions.*

No

c. *(Optional; for statistical purposes only)* Has your organization participated in a state or local Baldrige-based award process?

Yes. Years:

No

## 6. Award Category

See pages 5-6.

a. Award category *(Check one.)*

*Your education or health care organization may use the Business/Nonprofit Criteria and apply in the service, small business, or nonprofit category. However, you probably will find the sector-specific Criteria more appropriate.*

### For-Profit

Manufacturing

Service

Small business ( $\leq$  500 employees)

Education

Health care

### Nonprofit

Nonprofit

Education

Health care

b. Industrial classifications. List up to three of the most descriptive NAICS codes for your organization (see page 17).

*These are used to identify your organizational functions and to assign applications to examiners.*

--	--	--

**7. Organizational Structure**

- a. For the preceding fiscal year, the organization had
- |   |  |    |
|---|--|----|
| <input type="checkbox"/> up to \$1 million            | <input type="checkbox"/> \$1.1 million–\$10 million    | in |
| <input type="checkbox"/> \$10.1 million–\$100 million | <input type="checkbox"/> \$100.1 million–\$500 million |    |
| <input type="checkbox"/> \$500.1 million–\$1 billion  | <input type="checkbox"/> more than \$1 billion         |    |
- sales  
 revenue  
 budget
- b. Attach a line-and-box organization chart that includes divisions or unit levels. In each box, include the name of the unit or division and the name of its leader. Do not use shading or color in the boxes.
- c. The organization is \_\_\_\_\_ a larger parent or system. *(Check all that apply.)*

- |  |  |  |                                      |
|--|--|--|--------------------------------------|
| <input type="checkbox"/> a subsidiary of | <input type="checkbox"/> controlled by | <input type="checkbox"/> administered by | <input type="checkbox"/> owned by    |
| <input type="checkbox"/> a division of   | <input type="checkbox"/> a unit of     | <input type="checkbox"/> a school of     | <input type="checkbox"/> other _____ |

Parent organization		Address	
Total number of paid employees*			
Highest-ranking official		Job title	
Telephone			

\*Paid employees include permanent, part-time, temporary, and telecommuting employees, as well as contract employees **supervised by the organization**. *Include employees of subunits but not those of joint ventures.*

- d. Is your organization the only subunit of the parent intending to apply for the award? *Based on the parent organization's size, the program may accept multiple applications within or across award categories from subunits (see page 7).*
- Yes    No *(Briefly explain below.)*    Don't know

- e. Attach a line-and-box organization chart(s) showing your organization's relationship to the parent's highest management level, including all intervening levels. In each box, include the name of the unit or division and its leader. Do not use shading or color in the boxes.
- f. Considering the organization chart, briefly describe below how your organization relates to the parent and its other subunits in terms of products, services, and management structure.

- g. Provide the title and date of an official document (e.g., an annual report, organizational literature, a press release) that clearly defines your organization as a discrete entity.

Title

Date

Attach a copy of relevant portions of the document. If you name a Web site as documentation, print and attach the relevant pages, providing the name only (not the URL) of the Web site.

- h. Briefly describe the major functions your parent or its other subunits provide to your organization, if appropriate. *Examples are strategic planning, business acquisition, research and development, facilities management, data gathering and analysis, human resource services, legal services, finance or accounting, sales/marketing, supply chain management, global expansion, information and knowledge management, education/training programs, information systems and technology services, curriculum and instruction, and academic program coordination/development.*

## 8. Eligibility Determination

See also pages 5–7.

- a. Is your organization a distinct organization or business unit headquartered in the United States?

Yes    No. *Briefly explain.*

- b. Has your organization officially or legally existed for at least one year, or since April 2, 2011?

Yes    No

- c. Can your organization respond to all seven Baldrige Criteria categories? Specifically, does your organization have processes and related results for its unique operations, products, and/or services? For example, does it have an independent leadership system to set and deploy its vision, values, strategy, and action plans? Does it have approaches for engaging customers and the workforce, as well as for tracking and using data on the effectiveness of these approaches?

Yes    No

- d. If some of your organization’s activities are performed outside the United States or its territories and your organization receives a site visit, will you make available sufficient personnel, documentation, and facilities in the United States to allow a full examination of your worldwide organization?

Yes    No    Not Applicable

- e. If your organization receives an award, can it make sufficient personnel and documentation available to share its practices at The Quest for Excellence Conference and at your organization’s U.S. facilities?

Yes    No

If you checked “No” for 8a, 8b, 8c, 8d, or 8e, call the Baldrige Program at (877) 237-9064, option 3.

**Questions for Subunits Only**

- f. Is your subunit recognizably different from the parent and its other subunits? For example, do your customers distinguish your products and services from those of the parent and/or other subunits? Are your products or services unique within the parent? Do other units within the parent provide the same products or services to a different customer base?
- Yes. *Continue with 8g.*
- No. *Your subunit probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.*
- g. Is your organization a subunit in **education** or **health care**? (Check your eligibility on page 6.)
- Yes. **Proceed to item 9.**
- No. *Continue with 8h.*
- h. Does your subunit have more than 500 paid employees?
- Yes. *Your organization is eligible to apply for the award. **Proceed to item 9.***
- No. *Continue with 8i.*
- i. Is your subunit in manufacturing or service?
- Yes. Is it separately incorporated and distinct from the parent's other subunits? Or was it independent before being acquired by the parent, and does it continue to operate independently under its own identity?
- Yes. *Your subunit is eligible in the small business category. Attach relevant portions of a supporting official document (e.g., articles of incorporation) to this form. **Proceed to item 9.***
- No. *Continue with 8j.*
- No. *Your subunit probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.*
- j. Does your subunit (1) have more than 25 percent of the parent's employees, *and* (2) does your subunit sell or provide 50 percent or more of its products or services directly to customers/users outside your subunit, its parent, and other organizations that own or have financial or organizational control of your subunit or the parent?
- Yes. *Your organization is eligible to apply for the award.*
- No. *Your organization probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.*

**9. Supplemental Sections**

The organization has (a) a single performance system that supports all of its product and/or service lines and (b) products or services that are essentially similar in terms of customers/users, technology, workforce or employee types, and planning.

- Yes. *Proceed to item 10.*
- No. *Your organization may need to submit one or more supplemental sections with its application. Call the Baldrige Program at (877) 237-9064, option 3.*

**10. Application Format**

If your organization applies for the 2012 award, in which format will you submit your application?

- 15 paper copies and a CD (must be postmarked on or before May 15, 2012)
- CD only (must be postmarked on or before May 1, 2012)

**Eligibility package due April 3, 2012 (February 28 if you nominate an examiner)**  
**Award package due May 15, 2012 (May 1 on CD)**

## 11. Use of Cell Phones, Cordless Phones, and Voice-over-Internet Protocol (VoIP)

Do you authorize Baldrige examiners to use cell phones, cordless phones, and VoIP to discuss your application? *Your answer will not affect your organization's eligibility. Examiners will hold all your information in strict confidence and will discuss your application only with other assigned examiners and with Baldrige Program representatives as needed.*

Yes  No

## 12. Site Listing

You may attach or continue your site listing on a separate page as long as you include all the information requested here. You may group sites by function or location (city, state), as appropriate. Please include the total for **each column** (sites, employees/faculty/staff, and volunteers). *If your organization receives a site visit, the Baldrige Program will request a more detailed listing. Although site visits are not conducted at facilities outside the United States or its territories, these facilities may be contacted by teleconference or videoconference.*

Example				
	Sites (U.S. and Foreign) <i>List the city and the state or country.</i>	Workforce* <i>List the numbers at each site.</i>		<i>List the % at each site, or use "N/A" (not applicable).</i>
		<i>Check one or more.</i> <input type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff	Volunteers (or <input type="checkbox"/> N/A)	<i>Check one.</i> % of <input type="checkbox"/> Sales <input type="checkbox"/> Revenue <input type="checkbox"/> Budget
	Coyote Hall Albuquerque, NM	381 Faculty 200 Staff	25	95%
	Cactus Hall Bernalillo, NM	17 Faculty 2 Staff	3	5%
<b>Total</b>	2	600	28	100%

\*The term "workforce" refers to all people actively involved in accomplishing the work of your organization, including paid employees (e.g., permanent, part-time, temporary, and telecommuting employees, as well as contract employees supervised by the organization) and volunteers, as appropriate. The workforce includes team leaders, supervisors, and managers at all levels.

Your Organization				
	Sites (U.S. and Foreign) <i>List the city and the state or country.</i>	Workforce* <i>List the numbers at each site.</i>		<i>List the % at each site, or use "N/A" (not applicable).</i>
		<i>Check one or more.</i> <input type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff	Volunteers (or <input type="checkbox"/> N/A)	<i>Check one.</i> % of <input type="checkbox"/> Sales <input type="checkbox"/> Revenue <input type="checkbox"/> Budget
<b>Total</b>				100%

\*The term "workforce" refers to all people actively involved in accomplishing the work of your organization, including paid employees (e.g., permanent, part-time, temporary, and telecommuting employees, as well as contract employees supervised by the organization) and volunteers, as appropriate. The workforce includes team leaders, supervisors, and managers at all levels.

**13. Key Business/Organization Factors**

List or briefly describe the following key business/organization factors. Please be concise, but be as specific as possible. Provide full names of organizations (i.e., do not use acronyms). *The Baldrige Program uses this information to avoid conflicts of interest when assigning examiners to your application. Examiners also use this information in their evaluations.*

a. Main products and/or services and major markets served (local, regional, national, and international)

b. Key competitors (those that constitute 5 percent or more of your competitors)

c. Key customers/users (those that constitute 5 percent or more of your customers/users)

d. Key suppliers/partners (those that constitute 5 percent or more of your suppliers/partners)

e. Financial auditor

f. Fiscal year (e.g., October 1–September 30)

--	--

**14. Nomination to the Board of Examiners**

If you submit your eligibility certification package on or before February 28, 2012, you may nominate one senior member from your organization to the 2012 Board of Examiners.

Nominees are appointed for one year only. Nominees

- **must not have served previously on the Board of Examiners** and
- must be citizens or permanent residents of the United States, be located in the United States or its territories, and be employees of the applicant organization.

The program limits the number of examiners from any one organization. If your organization already has representatives on the board, nominating an additional person may affect their reappointment.

Board appointments provide a significant opportunity for your organization to learn about the Criteria and the evaluation process. The time commitment is also substantial: examiners commit to a minimum of 110 hours from April to December, including approximately 40 hours in April/May to complete self-study, three to four days in May to attend Examiner Preparation, and 50–70 hours from June through September to complete an Independent and Consensus Review. If requested by the program, examiners also participate in a Site Visit Review of approximately nine days. The nominee or the organization must cover travel and housing expenses incurred for Examiner Preparation.

Mr.  Mrs.  Ms.  Dr.

from our organization will serve on the 2012 Board of Examiners.

E-mail address

I understand that the nominee or the organization will cover travel and hotel costs associated with participation in Examiner Preparation.



## 15. Fee

Indicate your method of payment for the \$150 eligibility certification fee.

<input type="checkbox"/> Check (enclosed) <input type="checkbox"/> Money order (enclosed) <i>Make payable to the Malcolm Baldrige National Quality Award.</i>			
<input type="checkbox"/> ACH payment <input type="checkbox"/> Wire transfer		Checking ABA routing number: 075-000-022 Checking account number: 182322730397	
<i>Before sending an ACH payment or wire transfer, notify the American Society for Quality (ASQ; [414] 298-8789, ext. 7205, or mbnqa@asq.org). Reference the Baldrige Award with your payment.</i>			
<input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input type="checkbox"/> American Express			
Card number		Authorized signature	
Expiration date		Printed name	
Card billing address		Today's date	

### W-9 Request

If you require an IRS Form W-9 (Request for Taxpayer Identification Number and Certification), contact ASQ at (414) 298-8789, ext. 7205.

## 16. Self-Certification and Signature

I state and attest the following:

- (1) I have reviewed the information provided in this eligibility certification package.
- (2) To the best of my knowledge,
  - this package includes no untrue statement of a material fact, and
  - no material fact has been omitted.
- (3) Based on the information herein and the current eligibility requirements for the Malcolm Baldrige National Quality Award, my organization is eligible to apply.
- (4) I understand that if the information is found not to support eligibility at any time during the 2012 award process, my organization will no longer receive consideration for the award and will receive only a feedback report.

Signature of highest-ranking official	Printed name	Date

## 17. Submission

To be considered for the 2012 award, submit your eligibility certification package

- on or before February 28, 2012, if you include a nomination to the Board of Examiners
- on or before April 3, 2012, without a nomination, to  
 Malcolm Baldrige National Quality Award  
 c/o ASQ—Baldrige Award Administration  
 600 North Plankinton Avenue  
 Milwaukee, WI 53203  
 (414) 298-8789, ext. 7205

Include proof of the mailing date. Send the package via

- a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the United States Postal Service [USPS] Express Mail) that automatically records the mailing date, or
- the USPS (other than Express Mail), with a dated receipt from the post office.

This form is for reference only. Please fill out the Microsoft Word form at  
[http://www.nist.gov/baldrige/publications/award\\_application.cfm](http://www.nist.gov/baldrige/publications/award_application.cfm).

# 2012 Eligibility Certification Package Checklist

## Malcolm Baldrige National Quality Award

### I. Eligibility Certification Form\*

- I have answered all questions completely.
- I have included a line-and-box organization chart showing all components of the organization and the name of each unit or division and its leader.
- The highest-ranking official has signed the form.

#### For Subunits Only

- I have included a line-and-box organization chart(s) showing the subunit's relationship to the parent's highest management level, including all intervening levels.
- I have enclosed copies of relevant portions of an official document clearly defining the subunit as a discrete entity.

*\*Please do not staple together the pages of the Eligibility Certification Form.*

### 2. Fee

- I have indicated my method of payment for the nonrefundable \$150 eligibility certification fee.
- If paying by check or money order, I have made it payable to the **Malcolm Baldrige National Quality Award** and included it in the eligibility certification package.

### 3. Submission and Examiner Nomination

- I am nominating a senior member of my organization to the 2012 Board of Examiners, and I am submitting the eligibility certification package on or before February 28, 2012.

**OR**

- I am not nominating a senior member of my organization to the Board of Examiners, and I am submitting the eligibility certification package on or before April 3, 2012.
- I have included proof of the mailing date.
- I am sending the complete eligibility certification package to

Malcolm Baldrige National Quality Award  
c/o ASQ—Baldrige Award Administration  
600 North Plankinton Avenue  
Milwaukee, WI 53203  
(414) 298-8789, ext. 7205

Eligibility package due April 3, 2012 (February 28 if you nominate an examiner)  
Award package due May 15, 2012 (May 1 on CD)

# North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services in item 6b of the Eligibility Certification Form. For more information about the NAICS codes, go to <http://www.census.gov/eos/www/naics/>.

Code	Sector	Code	Sector	Code	Sector
111	Crop Production	444	Building Material and Garden Equipment and Supplies Dealers	611	Educational Services
112	Animal Production and Aquaculture	445	Food and Beverage Stores	6111	Elementary and Secondary Schools
113	Forestry and Logging	446	Health and Personal Care Stores	6112	Junior Colleges
115	Support Activities for Agriculture and Forestry	447	Gasoline Stations	6113	Colleges, Universities, and Professional Schools
211	Oil and Gas Extraction	448	Clothing and Clothing Accessories Stores	6114	Business Schools and Computer and Management Training
212	Mining (except Oil and Gas)	451	Sporting Goods, Hobby, Musical Instruments, and Book Stores	6115	Technical and Trade Schools
213	Support Activities for Mining	452	General Merchandise Stores	6116	Other Schools and Instruction
221	Utilities	453	Miscellaneous Store Retailers	6117	Educational Support Services
236	Construction of Buildings	454	Nonstore Retailers	621	Ambulatory Health Care Services
237	Heavy and Civil Engineering Construction	481	Air Transportation	6211	Offices of Physicians
238	Specialty Trade Contractors	482	Rail Transportation	6212	Offices of Dentists
311	Food Manufacturing	483	Water Transportation	6213	Offices of Other Health Practitioners
312	Beverage and Tobacco Product Manufacturing	484	Truck Transportation	6214	Outpatient Care Centers
313	Textile Mills	485	Transit and Ground Passenger Transportation	6215	Medical and Diagnostic Laboratories
315	Apparel Manufacturing	486	Pipeline Transportation	6216	Home Health Care Services
316	Leather and Allied Product Manufacturing	487	Scenic and Sightseeing Transportation	6219	Other Ambulatory Health Care Services
321	Wood Product Manufacturing	488	Support Activities for Transportation	622	Hospitals
322	Paper Manufacturing	491	Postal Service	623	Nursing and Residential Care Facilities
323	Printing and Related Support Activities	492	Couriers and Messengers	624	Social Assistance
324	Petroleum and Coal Products Manufacturing	493	Warehousing and Storage	711	Performing Arts, Spectator Sports, and Related Industries
325	Chemical Manufacturing	511	Publishing Industries (except Internet)	712	Museums, Historical Sites, and Similar Institutions
326	Plastics and Rubber Products Manufacturing	512	Motion Picture and Sound Recording Industries	713	Amusement, Gambling, and Recreation Industries
327	Nonmetallic Mineral Product Manufacturing	515	Broadcasting (except Internet)	721	Accommodation
331	Primary Metal Manufacturing	517	Telecommunications	722	Food Services and Drinking Places
332	Fabricated Metal Product Manufacturing	519	Other Information Services	811	Repair and Maintenance
333	Machinery Manufacturing	521	Monetary Authorities—Central Bank	812	Personal and Laundry Services
334	Computer and Electronic Product Manufacturing	522	Credit Intermediation and Related Activities	813	Religious, Grantmaking, Civic, Professional, and Similar Organizations
335	Electrical Equipment, Appliance, and Component Manufacturing	523	Securities, Commodity Contracts, and Other Financial Investments and Related Activities	814	Private Households
336	Transportation Equipment Manufacturing	524	Insurance Carriers and Related Activities	921	Executive, Legislative, and Other General Government Support
337	Furniture and Related Product Manufacturing	525	Funds, Trusts, and Other Financial Vehicles	922	Justice, Public Order, and Safety Activities
339	Miscellaneous Manufacturing	531	Real Estate	923	Administration of Human Resource Programs
423	Merchant Wholesalers, Durable Goods	532	Rental and Leasing Services	924	Administration of Environmental Quality Programs
424	Merchant Wholesalers, Nondurable Goods	533	Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)	925	Administration of Housing Programs, Urban Planning, and Community Development
425	Wholesale Electronic Markets and Agents and Brokers	541	Professional, Scientific, and Technical Services	926	Administration of Economic Programs
441	Motor Vehicle and Parts Dealers	551	Management of Companies and Enterprises	927	Space Research and Technology
442	Furniture and Home Furnishings Stores	561	Administrative and Support Services	928	National Security and International Affairs
443	Electronics and Appliance Stores	562	Waste Management and Remediation Services	999	Unclassified Establishments

## Once I have certified my organization's eligibility for the award, how do I apply?

To apply for the award, your organization submits an award application package, which provides information on your organization's performance management system and the results of its processes. This information enables a team from the Board of Examiners to conduct a rigorous evaluation of your organization. All information provided is considered confidential.

The award application package contains

- 15 individually bound paper copies of your application (as well as any required supplemental sections) and a CD containing a PDF file of the application, **or** a CD only
- the appropriate fees (see page 4)
- proof of the date you send the package (see page 23)

The content and formatting requirements for the application are identical whether you submit the application on paper or on CD. See "How should I assemble the application on CD?" on page 21.

The Baldrige Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given here.

## What is the deadline for submitting a 2012 award application package?

To be considered for the 2012 award, send your award application package **no later than May 15, 2012**, if you submit your application on paper, or **May 1, 2012**, if you submit your application on CD only. Include proof of the mailing date; see page 23 for instructions.

We encourage you to submit your award application package as early as possible. If you submit your application after May 8, please send the package via an overnight delivery service.

## What must the application contain?

The application contains the items listed below in the order given. For instructions on writing the Organizational Profile and responding to the Criteria, see the appropriate Criteria booklet for your eligibility category: the *2011–2012 Criteria for Performance Excellence* (the Business/Nonprofit Criteria), *2011–2012 Education Criteria for Performance Excellence*, or *2011–2012 Health Care Criteria for Performance Excellence*.

In your application, include information on all of your organization's units or subunits. Do not add links to Web sites. Examiners base their evaluations solely on information within the application.

**Blank Front Cover.** To help ensure confidentiality, do not include text or illustrations. In addition, on paper applications, the program strongly recommends using dark-colored card stock for the front cover to ensure the cover conceals information on the title page.

**Title Page.** Give the name of your organization. You also may include its address and logo, illustrations, the date, a statement indicating that this is an application for the 2012 Baldrige Award, and/or a statement regarding the confidentiality of the content. Do not include additional information, text, or links to Web sites.

**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 50-page limit for the Responses Addressing All Criteria Items.

- Table of Contents
- 2012 Eligibility Certification Form
- organization chart(s)
- page A-1 of the 2012 Application Form
- Glossary of Terms and Abbreviations
- Organizational Profile
- 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

- Eligibility Certification Form (date-stamped)
- organization chart(s) (date-stamped)
- Award Application Form
- Glossary of Terms and Abbreviations
- Organizational Profile
- individual category and item sections

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

**Eligibility Form and Organization Charts.** Include these signed and stamped documents, which ASQ returned to your organization at the conclusion of the eligibility certification process:

- 2012 Eligibility Certification Form
- line-and-box organization chart(s) for your organization
- if your organization is a subunit, line-and-box organization chart(s) of the parent

Please ensure that Web site references are not included on the form. Also, please ensure that sensitive payment information is not included.

**Application Form.** In each of the 15 paper copies and in the PDF file on your CD, include page A-1 of the form only, ensuring that it is signed by your organization’s highest-ranking official. This page indicates that your organization agrees to the terms and conditions of the award process and that, if selected to receive a site visit, your organization agrees to pay reasonable associated costs (see page 4).

**Glossary of Terms and Abbreviations.** In the glossary, include only terms and abbreviations used in the application, with very brief definitions. Do not 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 might be “SPP Strategic Planning Process,” not “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 the application throughout their review. For guidelines on preparing this section, see the appropriate *Criteria for Performance Excellence* booklet.

**Responses Addressing All Criteria Items.** In this section, respond to each item as a whole, using the category and item designations in the 2011–2012 Criteria. 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.

For guidelines on responding to the Criteria, see the appropriate *Criteria for Performance Excellence* booklet.

**Summary of Supplemental Section(s).** If the Baldrige Program informed you during eligibility certification that you must submit one or more supplemental sections, include a brief description of each section, listing the products, services, and NAICS codes.

**Blank Back Cover.** Do not include text or illustrations. On paper applications, card stock is strongly recommended for the cover.

**Supplemental Sections.** If the Baldrige Program informed you during eligibility certification that your organization must submit one or more supplemental sections,

- in your application, cover the largest group of similar product and/or service lines that are supported by a single performance system, and

- make sure that, taken together, the application and the supplemental section(s) cover all of your organization’s products and/or services and performance systems.

Include the following for each supplemental section, in the order listed:

- blank front cover (no text, illustrations, or figures)
- title page
- labeled tabs or divider pages
- Table of Contents
- organization chart(s)
- Glossary of Terms and Abbreviations
- Organizational Profile
- Responses Addressing All Criteria Items
- blank back cover

## How should I format the application?

To help ensure equal treatment for all applicants, format your application according to the following requirements. If your submission does not meet these requirements, the Baldrige Program may reject your application. After the program has notified you that your application has been rejected, you will have 72 hours or until the original due date, whichever is later, to resubmit the application in the required format. Resubmitted applications must be postmarked within that time frame and shipped via an overnight delivery service.

For an example of the required format, see <http://www.nist.gov/baldrige/publications/triview.cfm>.

## Page Limits

The limits given below include all illustrations, figures, tables, and appendixes. Covers, labeled tabs, and divider pages that contain only titles do not 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 Baldrige Program will ask your official contact point to identify which pages to remove.

Section	Page Limit (Single-Sided)
Organizational Profile	5
Responses Addressing All Criteria Items	50
Supplemental Sections (if required)	
Summary of Supplemental Sections	2
Organizational Profile	5
Responses Addressing All Criteria Items	35



## Page and Text Format

In formatting the pages and text in your application, follow these requirements.

Element	Requirement	Notes
<b>Paper type</b>	Standard, 8½-by-11-inch white	Two-sided printing is strongly recommended. Please ensure that both sides of pages are legible.
<b>Paper orientation</b> Text pages Pages with graphs, figures, and data tables	Portrait Portrait or landscape	
<b>Lines per page</b>	60 maximum	Count headings and blank lines separating paragraphs, but do not count recurring page headers, such as “Baldrige Award Application, page X.”
<b>Leading</b>	2 points (or the equivalent) between lines	1 point of leading equals 1/72 or 0.0138 inch.
<b>Margins</b> Left (bound side) Right	3/4 inch minimum 1/2 inch minimum	
<b>Text columns</b>	2 (preferred)	Leave at least ¼ inch between columns.
<b>Numbering</b> Pages in Responses Addressing All Criteria Items Figures within the Organizational Profile and item sections	1–50  In sequence	Do not number blank pages, tabs, or divider pages.  Use numbers corresponding to the section (e.g., Figure P.1-1, Figure P.1-2, Figure 2.1-1, Figure 2.1-2).
<b>Font and type size</b> Running text  Tables filled mainly with text  Other graphics (charts, graphs, data tables, and other figures), including titles and captions	Times New Roman or Arial, 10 points minimum  Times New Roman or Arial, 8 points minimum  Any font, 8 points minimum	Do not use narrow, compressed, or condensed fonts. The font and the type size need not be uniform so long as they meet the requirements.  Smaller type sizes make it difficult for examiners to interpret the data and to provide accurate, actionable feedback.  If you shrink graphics to fit the space available, ensure that text in the reduced figure meets the requirement.



## Graphics

- See the font and type-size requirements in the previous table.
- 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.
- For information on using graphics in category 7 (Results), see “Guidelines for Responding to Results Items” in the appropriate *Criteria for Performance Excellence* booklet.

## If I submit 15 paper copies of the application, how should I assemble them?

- Securely fasten all components of the application to prevent separation during handling. The program strongly recommends that you bind each application with either comb or coil binding. Bind supplemental sections separately from the application.
- Do not use pressure-sensitive clips, binders with such clips, or bulky ring binders or similar heavy covers.
- Do not include video or audio material or other information aids.

## How should I assemble the application on CD?

- Submit the application in PDF format on a CD-R, not a CD-RW.
- Ensure that the CD can be read from a standard CD-ROM drive.
- Create one PDF file, not multiple files, containing the application. Select the “embed fonts” option.
- In the PDF file, include
  - either (1) a scan of the date-stamped Eligibility Certification Form and chart(s) you received from the American Society for Quality (ASQ) or (2) an electronic version that is not date-stamped, plus one paper copy of the date-stamped documents, and

- a scan of the completed page A-1 of the Application Form.

- Do not include page A-2 of the Application Form in your PDF file. Instead, submit one paper copy with your award application package.
- 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. ASQ will print your application in color on a laser-type copier/printer at a resolution of 600 by 600 and bind it with a coil binding.
- Include the CD processing fee of \$1,250.

## If I submit my application on CD only, or if I receive a site visit and ASQ prints additional copies of my application from the CD I provide, what will those copies look like?

ASQ will adhere to the guidelines and specifications set forth in this publication for formatting and printing the applications:

- Coil bound applications
- Blank front and back covers of dark color cardstock
- Seven tabs printed in black on one side of the tab with the following verbiage:
  - Table of Contents
  - 2012 Eligibility Certification Form
  - Organization Chart(s)
  - Page A-1 of the 2012 Application Form
  - Glossary of Terms and Abbreviations
  - Organizational Profile
  - Responses Addressing All Criteria Items
- 50 internal color pages (double sided) printed on standard white paper

## Malcolm Baldrige National Quality Award

OMB Clearance #0693-0006  
Expiration Date: March 13, 2013

### I. Your Organization

Official name	
Mailing address	

### 2. Award Category and Criteria Used

- a. Award category (*Check one.*)
- |  |                                      |
|--|--------------------------------------|
| <input type="checkbox"/> Manufacturing   | <input type="checkbox"/> Education   |
| <input type="checkbox"/> Service   | <input type="checkbox"/> Health care |
| <input type="checkbox"/> Small business. The larger percentage of sales is in ( <i>check one</i> ) | <input type="checkbox"/> Nonprofit   |
| <input type="checkbox"/> Manufacturing   |                                      |
| <input type="checkbox"/> Service   |                                      |
- b. Criteria used (*Check one.*)
- Business/Nonprofit
- Education
- Health Care

### 3. Official Contact Point

Designate a person with in-depth knowledge of the organization, a good understanding of the application, and the authority to answer inquiries and arrange a site visit, if necessary. *Contact between the Baldrige Program and your organization is limited to this individual and the alternate official contact point. If the official contact point changes during the application process, please inform the program.*

- Mr.    Mrs.    Ms.    Dr.

Name	
Title	
Mailing address	<input type="checkbox"/> Same as above
Overnight mailing address	<input type="checkbox"/> Same as above <i>(Do not use a P.O. box number.)</i>
Telephone	
Fax	
E-mail	

### 4. Alternate Official Contact Point

- Mr.    Mrs.    Ms.    Dr.

Name	
Telephone	
Fax	
E-mail	

### 5. Release and Ethics Statements

#### Release Statement

I understand that this application will be reviewed by members of the Board of Examiners.

If my organization is selected for a site visit, I agree that the organization will

- host the site visit,
- facilitate an open and unbiased examination, and
- pay reasonable costs (\$1,500 to \$40,000) associated with the site visit (see page 4).

If selected to receive an award, my organization will share nonproprietary information on its successful performance excellence strategies with other U.S. organizations.

#### Ethics Statement and Signature of the Highest-Ranking Official

I state and attest that

- (1) I have reviewed the information provided by my organization in this award application package.
- (2) To the best of my knowledge,
  - this package contains no untrue statement of a material fact and
  - omits no material fact that I am legally permitted to disclose and that affects my organization's ethical and legal practices. This includes but is not limited to sanctions and ethical breaches.

--	--

Signature Date

- Mr.    Mrs.    Ms.    Dr.

Printed name	
Job title	
Applicant name	
Mailing address	<input type="checkbox"/> Same as above
Telephone	
Fax	

**6. Fees**

Indicate the amounts enclosed. (See page 4.)

Application fee	
CD processing fee (\$1,250, if applicable)	
Supplemental section fee (if applicable)	
Total	

*W-9 Request*

If you require an IRS Form W-9 (Request for Taxpayer Identification Number and Certification), contact ASQ at (414) 298-8789, ext. 7205.

Indicate your method of payment.

<input type="checkbox"/> Check (enclosed) <input type="checkbox"/> Money order (enclosed) <i>Make payable to the Malcolm Baldrige National Quality Award.</i>			
<input type="checkbox"/> ACH payment <input type="checkbox"/> Wire transfer Checking ABA routing number: 075-000-022 Checking account number: 182322730397 <i>Before sending an ACH payment or wire transfer, notify the American Society for Quality (ASQ; [414] 298-8789, ext. 7205, or mbnqa@asq.org). Reference the Baldrige Award with your payment.</i>			
<input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input type="checkbox"/> American Express			
Card number		Authorized signature	
Expiration date		Printed name	
Card billing address		Today's date	

*Note: Do not include this page (page A-2 of the Application Form) in your PDF file. Instead, submit one paper copy with your award application package.*

**7. Submission**

Include proof of the mailing date. Send the package via

- a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the United States Postal Service [USPS] Express Mail) that automatically records the mailing date or

- the USPS (other than Express Mail), and include a dated receipt from the post office.

If you submit your application on paper after May 8, please send the package via an overnight delivery service.

# 2012 Award Application Package Checklist

## Malcolm Baldrige National Quality Award

### 1. Award Application Package

- I have included 15 individually bound paper copies of my organization's application (and any required supplemental sections) and a CD containing the application as a printable PDF file

*OR*

- I have included a CD only containing the application as a printable PDF file.

### 2. Format

- The application meets all formatting requirements. (See page 20.)

### 3. Application

The 15 paper copies of the application each contain (and/or the CD version contains) the following sections, as well as the labeled tabs or divider pages indicated on page 18:

- blank front cover
- title page
- Table of Contents
- date-stamped copy of the Eligibility Certification Form received from ASQ or, on the CD, either (1) a scan of the date-stamped Eligibility Certification Form received from ASQ or (2) an electronic version that is not date-stamped, plus one paper copy of the date-stamped document
- date-stamped copy of the organization chart(s) received from ASQ or, on the CD, either (1) a scan of the date-stamped chart(s) or (2) an electronic version that is not date-stamped, plus one paper copy of the date-stamped chart(s)
- page A-1 of the 2012 Application Form
- Glossary of Terms and Abbreviations
- Organizational Profile
- Responses Addressing All Criteria Items
- blank back cover

### 4. Page A-2 of the Application Form

- I have included one paper copy of page A-2.

### 5. Fees

- I have indicated my method of payment for the application fee.
- If paying by check or money order, I have made it payable to the **Malcolm Baldrige National Quality Award** and included it in the award application package.
- If submitting the application on a CD only, I have included the \$1,250 processing fee.

### 6. Submission

- I am submitting the award application package no later than May 15, 2012 (on paper and CD), or May 1, 2012 (on CD only). If I am submitting my application after May 8, I am sending the package via an overnight delivery service.
- I have included proof of the mailing date. (See page 23.)
- I am sending the complete award application package to

Malcolm Baldrige National Quality Award  
c/o ASQ—Baldrige Award Administration  
600 North Plankinton Avenue  
Milwaukee, WI 53203  
(414) 298-8789, ext. 7205

# How to Obtain Baldrige Performance Excellence Program Materials

## Award Application Forms and Criteria for Performance Excellence

### Individual Copies

You may download this document and the *Criteria for Performance Excellence* booklets from <http://www.nist.gov/baldrige>. Paper copies of this document and individual copies of the Criteria booklets are available free of charge from

Baldrige Performance Excellence Program  
National Institute of Standards and Technology  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020  
Telephone: (301) 975-2036  
Fax: (301) 948-3716  
E-Mail: [baldrige@nist.gov](mailto:baldrige@nist.gov)

### Bulk Orders

Packets of ten copies of the Criteria booklets are available for \$39.95 per packet (plus shipping and processing) from the American Society for Quality (ASQ). (See “Ordering from ASQ” below.)

*2011–2012 Criteria for Performance Excellence (Business/Nonprofit Criteria)*—Item T1535

*2011–2012 Education Criteria for Performance Excellence*—Item T1534

*2011–2012 Health Care Criteria for Performance Excellence*—Item T1536

## Baldrige Educational Materials

Each year, the Baldrige Performance Excellence Program develops materials to train members of the Board of Examiners and share information on the successful performance excellence strategies of award recipients. The following items are samples of these materials. For the full list, see <http://www.nist.gov/baldrige>.

### Case Study Packets

Case study packets contain a case study (a fictional Baldrige Award application), a scorebook, a feedback report, and an executive summary. When used with the related *Criteria for Performance Excellence* booklet, the case studies are valuable resources to Baldrige Award applicants and other Criteria users. They illustrate the award application, review, and feedback process; show the format and general content of an application; and furnish information on scoring. Case study packets based on fictional organizations

from the business, nonprofit, health care, and education sectors are available in PDF format from <http://www.nist.gov/baldrige/publications>.

2011 Service Case Study Packet:

TriView National Bank

<http://www.nist.gov/baldrige/publications/triview.cfm>

Available from the Baldrige publication archive,

<http://www.nist.gov/baldrige/publications/archive/index.cfm>:

2010 Nonprofit Case Study Packet:

NuGrain Laboratories

2009 Education Case Study Packet:

Nightingale College of Nursing

2008 Manufacturing Case Study Packet:

Novel Connect

2007 Nonprofit Case Study Packet: Share Food

2006 Health Care Case Study Packet:

Arroyo Fresco Community Health Center

2005 Small Business Case Study Packet:

Landmark Dining, Inc.

2004 Education Case Study Packet:

Sandy Hill School District

2003 Manufacturing Case Study Packet:

GeoOrb Polymers, North America

2002 Health Care Case Study Packet:

CapStar Health System

2001 Service Case Study Packet:

TriView National Bank

## Ordering from ASQ

ASQ offers four convenient ways to order:

1. For fastest service, call toll-free (800) 248-1946 in the United States and Canada (in Mexico, dial toll-free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) your ASQ member number ready.
2. Fax your completed order form to ASQ at (414) 272-1734.
3. Mail your order to ASQ Customer Care Center, P.O. Box 3005, Milwaukee, WI 53201-3066.
4. Order online: <http://www.asq.org>.

## Payment

Payment options include check, money order, U.S. purchase order, Visa, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders (payable to ASQ) must be drawn on a U.S. financial institution. All international orders must be prepaid.

- Orders within the continental United States and Canada will be shipped by UPS when available.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged once, up front, for the entire order.
- Please allow one-to-two weeks for U.S. delivery and six-to-eight weeks for international delivery.

## Shipping and Processing

Order Amount	U.S.	Canada	Outside U.S./Canada
Up to \$34.99	\$ 4.25	\$ 9.25	25% of order amount
\$35.00–\$99.99	6.50	11.50	
\$100.00 or more	12.50*	17.50*	

*\*If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice you for the additional expense.*



## The 24th Annual Quest for Excellence® Conference

Each year at The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, recipients share their exceptional performance practices with worldwide leaders in business, education, health care, and nonprofit organizations. The 24th Annual Quest for Excellence will showcase the 2011 award recipients. At the conference, you will learn about the recipients' best management practices and Baldrige journeys, participate in educational presentations on the Baldrige Criteria, engage in dynamic networking opportunities, and be inspired to apply the insights gained within your own organization. The 24th Annual Quest for Excellence Conference will be held April 15–18, 2012, at the Marriott Wardman Park Hotel in Washington, D.C. For more information, contact the Baldrige Program.

### Virtual Quest for Excellence

If you miss The Quest for Excellence, you can still participate virtually through videos, audio recordings, and conference materials. To access these virtual options, see <http://www.nist.gov/baldrige>.

## Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (award). The information obtained will assist in determining the award recipients. Responses to the collection of information are required for organizations to be considered for the award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the relevant data, and completing and

reviewing the collection of information). As the organization reapplies for the award in future years, this burden may change, in either direction, based on the feedback the respondent gains from its first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to

Dr. Harry Hertz, Director  
Baldrige Performance Excellence Program  
National Institute of Standards and Technology  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020

and to

Office of Information and Regulatory Affairs  
Office of Management and Budget  
Washington, DC 20503

**Baldrige Performance Excellence Program  
National Institute of Standards and Technology  
United States Department of Commerce**

Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020

Telephone: (301) 975-2036 • Fax: (301) 948-3716  
E-Mail: [baldrige@nist.gov](mailto:baldrige@nist.gov) • Web Site: <http://www.nist.gov/baldrige>

The National Institute of Standards and Technology (NIST), an agency of the U.S. Department of Commerce, manages the Baldrige Performance Excellence Program. NIST has a 100-plus-year track record of serving U.S. industry, science, and the public with a mission and approach unlike any other agency of government. That mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. NIST carries out its mission in four cooperative programs, including the Baldrige Performance Excellence Program. The other three are the NIST laboratories, conducting research that advances the nation's technology infrastructure and is needed by U.S. industry to continually improve products and services; the Hollings Manufacturing Extension Partnership, a nationwide network of local centers offering technical and business assistance to smaller manufacturers; and the Technology Innovation Program, which provides cost-shared awards to industry, universities, and consortia for research on potentially revolutionary technologies that address critical national and societal needs.

Call the Baldrige Program or visit our Web site for

- tools to help you improve the performance of your organization
- information on applying for the Baldrige Award
- information on becoming a Baldrige examiner
- profiles of Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—Business/Nonprofit, Education, and Health Care
- case studies and other Baldrige educational materials

**American Society for Quality**  
600 North Plankinton Avenue  
Milwaukee, WI 53203

Telephone: (800) 248-1946 • Fax: (414) 272-1734  
E-Mail: [asq@asq.org](mailto:asq@asq.org) • Web Site: <http://www.asq.org>

By making quality a global priority, an organizational imperative, and a personal ethic, the American Society for Quality (ASQ) becomes the community for all who seek quality technology, concepts, or tools to improve themselves and their world. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Contact ASQ to order

- bulk copies of the Criteria
- Award recipients DVDs