

2007

National Institute of Standards and Technology  
Technology Administration • Department of Commerce  
Baldrige National Quality Program



leadership

# Baldrige Award Application Forms

ethics



innovation

recognition



# The Malcolm Baldrige National Quality Award

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 inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Award at a special ceremony in Washington, D.C. The Award is made annually to recognize U.S. organizations for performance excellence. The Award eligibility categories are

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations
- nonprofit organizations

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

## Opportunity to Increase Organizational Learning Using the Baldrige Criteria

The Baldrige National Quality Program will provide organizations submitting Eligibility Certification Packages on or before March 9, 2007, with a "hands-on" opportunity to increase their organizations' understanding and use of the Baldrige Criteria. We invite one senior member of each applicant organization to become a member of the 2007 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The opportunity to learn includes gaining a better understanding of the Baldrige Criteria and seeing how they are used in high-performance organizations, as well as developing a new network of professional colleagues. The time commitment is a minimum of 114 hours from April to December (including approximately 40 hours in April/May to complete prework for the Examiner Preparation Course, 3–4 days in May to attend the preparation course, and another 50–70 hours from June through September to complete the Independent and Consensus Review). If requested by the Program, Examiners also are expected to participate in the Site Visit Review (approximately 9 days). To take advantage of this opportunity, an organization must ensure its Eligibility Certification Package is submitted (with a proof of the mailing date) on or before March 9, 2007. The Eligibility Certification Form can be found on pages 14–23 of this document, and Microsoft Word versions of this form and the Application Form are available online at [www.baldrige.nist.gov/Award\\_Application](http://www.baldrige.nist.gov/Award_Application).



Crystal by Steuben



## Baldrige National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

January 2007

Congratulations!

By supplementing your copy of the *2007 Criteria for Performance Excellence* with a copy of the *2007 Baldrige Award Application Forms* booklet, you have taken the second step in using the Baldrige process to improve your organization's performance and growth. 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. Each applicant receives an extensive feedback report.

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 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 a guaranteed slot for a senior employee of your organization to be a member of the 2007 Board of Examiners. If you are interested in taking advantage of this opportunity, you must submit your Eligibility Certification Form on or before March 9, 2007. You may use the forms in this document or the Microsoft Word versions of these forms, which are available online at [www.baldrige.nist.gov/Award\\_Application](http://www.baldrige.nist.gov/Award_Application).

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 National Quality Program

## 2007 Changes

### Eligibility

For 2007, participation in the Award process has been expanded to include U.S.-based nonprofit public, private, and government organizations and some subunits, including U.S. subunits of foreign organizations located in the United States or its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include local, state, and federal government agencies; trade associations; charitable organizations; social service agencies; credit unions; and professional societies.

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

### Application

Application fees for the Malcolm Baldrige National Quality Award will increase in 2007. This is the first increase since 2001. The chart on page 5 shows the fees for each type of organization. The nonprofit education sector has been divided into K-12 and higher-education organizations, with different fees for each group. With the exception of fees for nonprofit

higher-education organizations, eligibility fees, supplemental section fees, and site visit fees are unchanged.

The Eligibility Certification Form and the Additional Information Needed Form have been combined into one form; the information and questions on the latter have been added to the Eligibility Certification Form. In addition, text related to the new nonprofit eligibility category has been added to the form.

The Eligibility Certification Package and the Award Application Package now must include a proof of the mailing date. One option to fulfill this requirement is to send the packages 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. If the packages are mailed through the USPS (via a service other than Express Mail), applicants must include a dated receipt from the post office in the package. Applicants are encouraged to submit the Eligibility Certification Package and the Award Application Package early.

1	The Malcolm Baldrige National Quality Award and Award Process
3	2007 Baldrige Award Program Processes and Time Frames
5	Fees for the 2007 Award Cycle
6	2007 Eligibility Certification Overview
6	I. Purpose
6	II. Objective
6	III. Submission Requirements
6	IV. Eligibility Certification
6	V. Eligibility Categories
8	VI. Restrictions on Eligibility
10	VII. Other Requirements
11	2007 Eligibility Certification Form—Instructions
14	2007 Eligibility Certification Form
24	2007 Eligibility Certification Package Checklist
26	North American Industry Classification System (NAICS) Codes
27	2007 Award Application Package—Instructions
27	I. Purpose
27	II. Objective
27	III. Content Requirements
28	IV. Application Report Components
29	V. Format Requirements
30	VI. Assembly Requirements
30	VII. Submission Requirements
32	2007 Application Form—Instructions
34	2007 Application Form
36	2007 Award Application Package Checklist
38	How to Obtain Copies of Baldrige Program Materials
40	The Quest for Excellence XIX Conference
40	Paperwork Reduction Act Statement

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# The Malcolm Baldrige National Quality Award and Award Process

## What is the purpose of this booklet?

The purpose of this booklet is to provide instructions and forms for (1) certifying eligibility to participate in the Malcolm Baldrige National Quality Award process and (2) applying for the Award.

## What is the Malcolm Baldrige National Quality 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 major focus of the Award is on performance in six key areas: product and service outcomes, customer-focused outcomes, financial and market outcomes, workforce-focused outcomes, process effectiveness outcomes, and leadership outcomes. It 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 the delivery of products and/or services and that provides an approach for satisfying and responding to customers and stakeholders.

Up to three Awards may be given annually in each of six eligibility categories: manufacturing businesses, service businesses, small businesses, education organizations, health care organizations, and nonprofit organizations.

## Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does the Award recognize organizations with exceptional performance strategies, it also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from using these strategies.

## Who may participate?

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

Subunits of organizations may apply if they meet certain requirements.

## Who is involved with the Award process?

**National Institute of Standards and Technology:** The U.S. Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Program.

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

**Board of Examiners:** The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. 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 are from all sectors of the U.S. economy.

**Board of Overseers:** This board is appointed by the Secretary of Commerce and is the advisory organization on the Baldrige National Quality Program to 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 funds to permanently endow the Award Program and manages the endowment.

## Some of the seven Baldrige Criteria Categories have different names in the sector-specific Criteria for Performance Excellence booklets. How do the Criteria Categories for Education and Health Care differ from the Business/Nonprofit Criteria Categories?

There is a very close alignment among all three Criteria and their related Categories. Six of the seven Categories have the same title in all three Criteria. Variations on the title for Category 3, however, reflect differences in terminology among the three sectors: In the *Criteria for Performance Excellence* (referred to as the Business/Nonprofit Criteria), Category 3 is called "Customer and Market Focus." That same Category is called "Student, Stakeholder, and Market Focus" in the *Education Criteria for Performance Excellence* and "Focus on Patients, Other Customers, and Markets" in the *Health Care Criteria for Performance Excellence*.

## What is the basis for the Criteria?

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

## How do applicants benefit from applying for the Award?

Each applicant gains an outside perspective on its organization based on 300 to 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. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

## How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. The higher-scoring applicants receive site visits. The Panel of Judges reviews information obtained during these site visits and, based on this review, recommends Award recipients from among the site-visited organizations. The Secretary of Commerce then makes the final selection of Award recipients.

## What does an organization receive if it is an Award recipient?

Each Award recipient receives a crystal trophy bearing a gold-plated medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the Award at a special ceremony in Washington, D.C. Award recipients may publicize and advertise their Awards.

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

The identity of all applicants remains confidential unless the applicant is selected as an Award recipient. Information submitted by applicants also is treated as confidential.

## What is expected of Award recipients?

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Quest for Excellence® Conference, highlighted on page 40 of this document, and several one-day regional conferences. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

## How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility certification, when the organization certifies that it meets eligibility requirements. Instructions and forms for certifying eligibility begin on page 11.

Once eligibility has been certified, the second step consists of preparing and completing an Award Application Package, including an application form and an application report. The application report must summarize the organization's practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Instructions and forms for applying for the Award begin on page 27.

If you plan to apply for the Award in 2007, you also will need the appropriate *2007 Criteria for Performance Excellence* (Business/Nonprofit, Education, or Health Care) for your particular organization. Ordering information is given on page 38.

**Eligibility Certification Package  
with a nomination to the Board of Examiners  
due March 9, 2007**

**Eligibility Certification Package  
without a nomination to the Board of  
Examiners due April 10, 2007**

**Award Application Package  
submitted on a CD  
due May 10, 2007**

**Award Application Package  
submitted on paper copies  
due May 24, 2007**

# 2007 Baldrige Award Program Processes and Time Frames

## Eligibility Certification

(Package sent to ASQ with a proof of the mailing date by **April 10, 2007**, OR **March 9, 2007**, for eligibility certification with a nomination to the Board of Examiners)

Prepare and submit the Eligibility Certification Package (with a proof of the mailing date) no later than **April 10, 2007 (March 9, 2007**, for eligibility certification with a nomination to the Board of Examiners) to certify eligibility in one of six Award categories: manufacturing, service, small business, education, health care, and nonprofit. Remember to indicate on the Eligibility Certification Form your method of payment for the nonrefundable eligibility certification filing fee (see the box on page 5) and, if paying by check or money order, to include it in the Eligibility Certification Package.

*Note: In the event of multiple submissions from one parent organization, while all may be found eligible, the number of applicants for the Award will be determined by eligibility restrictions under VI.C. (see page 9).*

## Award Application

(Package sent to ASQ with a proof of the mailing date by **May 24, 2007**, for paper copies OR **May 10, 2007**, if submitted on a CD)

If submitting paper copies, prepare and submit 25 copies of the application report with the application fee(s) and a proof of the mailing date no later than **May 24, 2007**. If the application report is submitted on a CD, the package must be sent (with a proof of the mailing date) by **May 10, 2007**. The application fee (see the box on page 5) covers expenses associated with the review of applications and the development of feedback reports. Indicate your method of payment on the Application Form and, if paying by check or money order, include it in the Award Application Package.

## Independent and Consensus Review (June–September 2007)

The application is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the application is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of the latter review, the Panel of Judges determines which applicants will receive site visits.

## Site Visit Review (October–November 2007)

A team of six to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the application. Site visits consist primarily of a review of pertinent records and data and interviews with senior leaders and employees. No site visits are conducted outside the United States or its territories. Following the site visit, the site visit team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, the organization is responsible for paying a site visit fee, which helps cover expenses associated with the site visit. More information on site visit fees is given on page 5. Additionally, the organization is expected to provide updates for all results provided in the application. These updates become part of the official application.

## Judges Review (November 2007)

The Panel of Judges conducts final reviews and recommends Award recipients to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

**Role Model Determination:** The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients are appropriate role models and, therefore, should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure the preservation of the Award's integrity.



In determining role models, NIST conducts record checks on site-visited applicants and the highest-ranking official to verify that they are in compliance with legal and regulatory requirements. The records checked include those of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, the Equal Employment Opportunity Commission, the Occupational Health and Safety Administration, and local police and judicial offices in the jurisdiction of the applicant's headquarters. No new or independent investigations are conducted.

**Feedback Reports**  
**(September–December 2007)**

Each applicant, including Award recipients, receives a feedback report. Feedback reports are prepared and distributed after it is determined either that the applicant will not move to the next level of review for the Award or that the applicant is an Award recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence. The feedback reports contain applicant-specific descriptions of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

**Award Ceremony**  
**(Winter 2007)**

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

## Fees for the 2007 Award Cycle

**Eligibility Certification Filing Fee:** For the 2007 Award cycle, a nonrefundable fee of \$150 must be submitted to ASQ along with the Eligibility Certification Package and a proof of the mailing date **no later than April 10, 2007 (March 9, 2007, for eligibility certification with a nomination to the Board of Examiners).**

**Application Fee:** The chart below shows the 2007 application fee for various types of organizations. For the 2007 Award cycle, the appropriate fee must be submitted to ASQ with the Award Application Package and a proof of the mailing date no later than **May 24, 2007, for paper copies (May 10, 2007, if submitted on a CD\*).**

AWARD CATEGORY	ELIGIBILITY FEE	APPLICATION FEE*	SUPPLEMENTAL SECTION FEE (IF APPLICABLE)**	SITE VISIT FEE USUAL RANGE (IF APPLICABLE)***
MANUFACTURING	\$150	\$6,000	\$2,000	\$20,000–\$35,000
SERVICE	\$150	\$6,000	\$2,000	\$20,000–\$35,000
SMALL BUSINESS	\$150	\$3,000	\$1,000	\$10,000–\$17,000
EDUCATION NONPROFIT* K–12	\$150	\$1,000	\$250	\$1,500
EDUCATION NONPROFIT HIGHER EDUCATION	\$150	\$3,000	\$1,000	\$10,000–\$17,000
EDUCATION FOR-PROFIT >500 FACULTY/STAFF	\$150	\$6,000	\$2,000	\$20,000–\$35,000
EDUCATION FOR-PROFIT 500 OR FEWER FACULTY/STAFF	\$150	\$3,000	\$1,000	\$10,000–\$17,000
HEALTH CARE >500 STAFF	\$150	\$6,000	\$2,000	\$20,000–\$35,000
HEALTH CARE 500 OR FEWER STAFF	\$150	\$3,000	\$1,000	\$10,000–\$17,000
NONPROFIT >500 STAFF	\$150	\$6,000	\$2,000	\$20,000–\$35,000
NONPROFIT 500 OR FEWER STAFF	\$150	\$3,000	\$1,000	\$10,000–\$17,000

\*\*An additional processing fee of \$1,250 is required for applications submitted on a CD.

\*\*Supplemental sections are not applicable for applicants with (a) a single performance system that supports all of their product and/or service lines and (b) products or services that are essentially similar in terms of customers and/or users, technology, types of employees, and planning. For a description of a supplemental section, see page 27.

### \*\*\*Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit.

The site visit fee for applicants with more than 500 employees in the manufacturing, service, nonprofit, health care, and for-profit education sectors usually ranges between \$20,000 and \$35,000. The site visit fee is approximately half that rate for small businesses, nonprofit higher education organizations, and applicants in the health care, for-profit education, and nonprofit sectors with 500 or fewer employees. In 2007, the site visit fee for nonprofit K–12 education organizations is \$1,500. The site visit fee for all organizations is due to ASQ two weeks after completion of the site visit.

# 2007 Eligibility Certification Overview

## I. Purpose

The purpose of this section is to provide applicants with information on the eligibility certification process, which is the first step in applying for the Malcolm Baldrige National Quality Award. This information describes the eligibility categories and eligibility restrictions and then provides step-by-step instructions on how to complete the Eligibility Certification Form and other portions of the Eligibility Certification Package.

## II. Objective

The objective of the Eligibility Certification Package is to provide sufficient information to determine whether the organization is eligible to apply for the Award. In addition, the package presents a useful profile of the organization and often is the first information about the applicant read by Examiners. The information also is used by the Baldrige National Quality Program Office to avoid conflicts of interest when assigning applications to Examiners.

Applicants self-certify their eligibility to participate in the Award process. The role of the Baldrige Office in the self-certification process is to assist with and offer advice on any questions or issues that applicants may have concerning the process itself or the completion of the required forms included in this document. Once the completed Eligibility Certification Package is submitted, applicants may begin work on the Award application report. Notification of eligibility by the Baldrige Office is not required.

The Baldrige Office relies on the information contained in the self-certification forms that are submitted. If at any time during the Award cycle the information is found to be inaccurate, deeming the applicant ineligible, the Baldrige Office may remove the applicant from Award eligibility. Should this occur, the applicant would be eligible for a feedback report only.

## III. Submission Requirements

### A. Eligibility Certification Package

The Eligibility Certification Package consists of the following materials. All information provided is considered confidential.

1. A completed **Eligibility Certification Form** must be signed by the highest-ranking official of the organization.

2. An **organization chart(s) and other required documents** described in the Eligibility Certification Form—Instructions must be included.
3. **Fee**—The method of payment for the \$150 nonrefundable fee must be indicated on the Eligibility Certification Form. Payments by check or money order must be made payable to the **Malcolm Baldrige National Quality Award** and included in the Eligibility Certification Package.

## B. Submission

Potential applicants for the 2007 Award are encouraged to submit the Eligibility Certification Package to ASQ as early as possible. **The package must be mailed no later than April 10, 2007 (March 9, 2007, for eligibility certification with a nomination to the Board of Examiners). See page 25 for ASQ's address. In addition, the Eligibility Certification Package must include a proof of the mailing date.** One option to fulfill this requirement is to 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. If the package is mailed through the USPS (via a service other than Express Mail), applicants must include a dated receipt from the post office in the package. Applicants are encouraged to submit the Eligibility Certification Package and the Award Application Package early.

## IV. Eligibility Certification

The Eligibility Certification Package will be reviewed promptly. If clarification is required, the designated Eligibility Contact Point or alternate will be contacted.

## V. Eligibility Categories

### A. Business

Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. For-profit businesses include domestic or foreign-owned companies, joint ventures, corporations, sole proprietorships, partnerships, and holding companies—publicly or privately owned.

The three business categories are defined as follows:

### 1. Manufacturing

- Organizations and some subunits (see VI. Restrictions on Eligibility, Part B on pages 8–9) that produce and sell manufactured products or manufacturing processes.
- Companies that produce agricultural, mining, or construction products. (See North American Industry Classification System [NAICS] codes on page 26.)

### 2. Service

Organizations and some subunits that provide or sell services.

*Note: Where an applicant is both a manufacturer and a service provider, the appropriate eligibility category is the activity that provides the larger percentage of sales.*

### 3. Small Business

Organizations with 500 or fewer employees that are engaged in manufacturing and/or the provision of services.

## B. Education

Participation is open to for-profit and nonprofit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—that provide education (teaching and instructional) services to students in the United States or its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. More than 50 percent of all faculty and staff members and/or the budget must be devoted to providing teaching/instructional services directly to students.

Departments within schools or colleges are ineligible.

*Note: Education organizations may choose to apply under the service, small business, or nonprofit categories, as appropriate, using the Business/Nonprofit Criteria, or under the education category, using the Education Criteria.*

## C. Health Care

Participation is open to for-profit and nonprofit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—located in the United States or its territories. These organizations must be engaged primarily in providing medical, surgical, or other health care services directly to people. Eligibility is intended to be as open as possible. For example, eligible organizations include 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 directly provide health services to people, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations—if they are for-profit—might be eligible under the service or small business categories. More than 50 percent of all staff members and/or the budget must be devoted to providing health care services directly to people.

*Note: Health care organizations may choose to apply under the service, small business, or nonprofit categories, as appropriate, using the Business/Nonprofit Criteria, or under the health care category, using the Health Care Criteria. When an applicant is both an education organization and a provider of health care services to people, the appropriate eligibility category is the activity that represents the larger percentage of its budget.*

## D. Nonprofit

Participation is open to U.S.-based nonprofit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—located in the United States or its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include local, state, and federal government agencies; trade associations; charitable organizations; social service agencies; credit unions; and professional societies.

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

*Note: When a nonprofit organization provides education (teaching and instructional) services directly to students or health care services directly to people in addition to other nonprofit services, the appropriate eligibility category is the activity that represents the larger percentage of its budget. For example, if a state department of education oversees the certification of teachers and educational programs and provides some education services directly to students, the appropriate eligibility category is the activity that represents the larger percentage of its budget.*

## **VI. Restrictions on Eligibility**

The following restrictions and conditions ensure fairness and consistency.

### **A. Conditions**

1. The applicant must have been in existence prior to April 10, 2006.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions can be examined in the United States or its territories. For eligibility purposes, overseas U.S. military installations and embassies do not constitute U.S. territories. If some of an applicant's activities are performed outside its immediate organization (e.g., by overseas components, a parent organization, or other subunits), it must ensure that
  - in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
  - in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

### **B. Subunits**

For the purposes of the 2007 Award Application, a subunit means a unit or division of a

larger organization. The larger organization that owns, holds, or has organizational or financial control of a subunit will be referred to as the "parent." A parent is the highest level of an organization that would be eligible to apply for the Award.

*Note: 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 Department of Transportation), and the Montgomery County Government (not the Montgomery County Health Department).*

The following requirements pertain to subunits:

1. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
2. A subunit must have a clear definition of "organization" as reflected in organization literature, such as organization charts, administrative manuals, and annual reports; be recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.
3. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.
4. A subunit must provide more than 50 percent of its products and/or services directly to customers external to the applying organization, its parent, and organizations controlled by the applicant or parent. A business subunit must derive revenue for those goods and services directly from its external customers rather than from its parent or organizations controlled by the parent; a subunit that is not paid directly by its external customers is considered an "internal supplier" and is ineligible.
5. Subunits that perform only support functions are ineligible.

Examples of business and nonprofit support functions are sales, marketing, distribution, finance and accounting, human resources, environmental services, health and safety services, purchasing, legal services, and research and development.

Examples of education support functions are academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety services, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Examples of health care support functions are housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

6. **Manufacturing and service subunits of parents with >500 employees.** For a subunit to be eligible, 50 percent or more of its products or services must be sold or provided directly to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.

In addition, the subunit itself

- must have more than 500 employees, OR
- it must have at least 25 percent of all employees in the worldwide operations of the parent, OR
- it must meet one of the requirements listed in VI.B.7, below.

7. **All manufacturing and service subunits, regardless of parent size, that have fewer than 500 employees and less than 25 percent of all employees in the worldwide operations of the parent.** These subunits are eligible in the small business category if

- the applicant subunit was independent prior to being acquired by the parent and continues to operate independently under its own identity, OR
- the applicant subunit is separately incorporated and distinct from other subunits of the parent.

Manufacturing and service subunits meeting only VI.B.7 requirements should apply in the small business category.

### C. Multiple-Application Restrictions

1. A subunit and its parent may submit Eligibility Certification Packages in the same year but may not apply for the Award in the same year.

2. All subunits of a parent may submit Eligibility Certification Packages. However, there are restrictions on the number of subunits that may apply for the Award in the same year. If the parent organization, including all of its subunits, has

- 0–1,000 employees, one applicant per parent per category may submit an Award Application Package;
- 1,001–20,000 employees, two applicants per parent per category may submit an Award Application Package; or
- more than 20,000 employees, two applicants per parent per category for the first 20,000, plus one per 20,000 or fraction thereof above 20,000 per parent per category, may submit an Award Application Package.

No more than five applicants (all Award categories combined) per parent will be accepted.

3. In the event of multiple submissions for the Award from subunits of the same parent beyond the limits noted in VI.C.2 above, the parent organization will be given the option of deciding which subunit(s) will represent it in the Award process. Alternatively, if the parent organization does not choose representative subunits, the applications with the earliest mailing date (as indicated by the proof of the mailing date) will be designated the applicants for the Award.

### D. Restrictions on Award Recipients

If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. For example, an applicant that received the Award in 2006 may not reapply until 2012.

After five years, Award recipients are eligible to reapply for the Award or to apply for feedback only. If a former Award recipient selects the option to apply for feedback only (see items 5b and 5c on the 2007 Eligibility Certification Form, page 15), the organization will not be eligible to receive the Award for that year. Its application will proceed through the Award process, but the applicant will receive only a feedback report outlining its strengths and opportunities for improvement based on the Criteria for Performance Excellence.

## **VII. Other Requirements**

### **A. Site Visit Requirements**

If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its world-wide operations.

### **B. Requirement for Award Recipients to Share Information**

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

# 2007 Eligibility Certification Form—Instructions

## 1. Applicant

Provide the applicant's official name, which will be used to make the role model determination. (See pages 3–4.) Also, provide any other names by which the applicant may be known publicly and its previous name if there has been a name change within the last five years. Provide the address of the applicant's headquarters. Indicate if your organization has submitted an Eligibility Certification Package in prior years, and if so, when it was submitted and the name of the organization at that time, if it was different.

## 2. Highest-Ranking Official

Provide the necessary contact information requested for the applicant's highest-ranking official.

## 3. Eligibility Contact Point

After the receipt of the 2007 Eligibility Certification Form and associated materials, it may be necessary to contact the applicant for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries during the month following submission of the Eligibility Certification Form.

## 4. Alternate Eligibility Contact Point

In the event that the Eligibility Contact Point is not available, an Alternate Eligibility Contact Point will be needed to answer questions or convey a message to the Eligibility Contact Point. Designate a person who will be available during the month following submission of the Eligibility Certification Form.

## 5. Applicant Status

- a. Indicate whether or not the applicant has existed for at least one year, or prior to April 10, 2006.
- b. Indicate whether or not the applicant has ever been an Award recipient. If you check "No," proceed to item 6.
- c. Indicate whether your organization was an Award recipient in 2001 or earlier. If you check "No," your organization is not eligible to reapply this year for the Award or for feedback. If you check "Yes," indicate whether you are applying for feedback only or for the Award by checking the appropriate response.

## 6. Award Category and For-Profit/Nonprofit Designation

Based on the information given on pages 6–8 of this document, indicate which of the six Award categories is appropriate and which of the three Criteria (*Criteria for Performance Excellence* [for use by businesses and nonprofit organizations], *Education Criteria for Performance Excellence*, or *Health Care Criteria for Performance Excellence*) will be used to prepare the application. Also indicate whether the applicant is a for-profit or nonprofit organization.

## 7. Industrial Classification

Using the three- or four-digit NAICS codes listed on page 26, provide up to three codes that best describe the applicant's products and/or services.

## 8. Size and Location of Applicant

- a. Provide the total number of workforce members as of April 10, 2007.
- b. Check the appropriate financial descriptor (sales, revenues, or budgets) and the appropriate range for the preceding fiscal year.
- c. Indicate the number of the applicant organization's sites. Offices or other work areas located near each other need not be counted as separate sites if they are considered to be one location for business and personnel purposes.
- d. State the approximate percentage (to the nearest whole number) of the applicant's employees who are located in and outside the United States or its territories.
- e. State the approximate percentage (to the nearest whole number) of the applicant's physical assets located in and outside the United States or its territories.
- f. Check the appropriate response.
- g. Check the appropriate response.
- h. Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

## 9. Subunits

All applicants that are subunits of a larger organization are required to respond to 9a through 9h. If the applicant is a manufacturing or service subunit of a larger organization, responses to 9i and 9j may be required as well. All other applicants should go to question 10.

- a. Check all that apply.



## 9. Subunits—continued

- b. Provide the name and address of the parent (the highest level of an organization eligible to apply for the Award) and the name and title of the highest-ranking official of the parent. Provide the number of people in the worldwide workforce of the parent, including all subunits. Do not include joint ventures of the parent.
- c. Check the appropriate response. If two or more subunits from the parent are planning to apply for the Award, provide a brief explanation.
- d. Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent.
- e. Check the appropriate response to indicate the applicant's ability to respond to all seven Baldrige Criteria Categories.
- f. Provide the name and date of the official document (and provide a copy of relevant portions) showing a clear definition of the applicant as a discrete entity.

*Note: Applicants supplying a Web site for the documentation supporting their status as a subunit must print out the relevant Web pages and submit these with their Eligibility Certification Form.*

- g. Briefly describe the applying unit's organizational structure and management links to the parent.  
*Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. In each box, include the name of the unit or division and its head.*
- h. Check the appropriate responses. If neither of the "Yes" boxes is checked, (1) provide a brief description of how the market and product(s) or service(s) are similar; (2) indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each; and (3) describe how the applicant is different from its parent and the other subunits of the organization (e.g., differences in market, location, or name).
- i. **Manufacturing and service subunits of parents with >500 employees (subunits not applying in the manufacturing or service Award categories should not complete this item):** Check the appropriate box for each question.
- j. **All manufacturing and service subunits, regardless of parent size, that have fewer than 500 employees and less than 25**

**percent of all employees in the worldwide operations of the parent (organizations other than manufacturing or service subunits should not complete this item):** Check the appropriate box for each question.

*If the answer to either question is "Yes," the applicant is eligible in the small business category.*

*Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own identity, provide a copy of an official document to support this response.*

*Note: If self-certification is based on the subunit being separately incorporated and distinct from other subunits of the parent, provide a copy of an official document (e.g., articles of incorporation) to support this response.*

*Note: If all answers to "i" and "j" are "No," contact the Baldrige Office at (800) 898-4506.*

## 10. Supplemental Sections

Check the appropriate response. If the second option is selected, the Eligibility Contact Point will be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, workforce or employee types, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections (see page 27) in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.

## 11. Application Format

Indicate if your organization intends to submit your application on (1) 25 paper copies (due date May 24, 2007) or (2) a CD (due date May 10, 2007).

## 12. Confidentiality Considerations

Check "Yes" if you authorize Examiners to use cell phones, cordless phones, and Voice over Internet Protocol (VoIP) to discuss your application. Check "No" if you do not wish Examiners to use these technologies during the evaluation process.

## 13. Self-Certification Statement, Signature of the Highest-Ranking Official

Provide the signature of the applicant's highest-ranking official. This signature acknowledges that the answers provided are accurate and also certifies that the applicant is eligible based on the

requirements for the 2007 Malcolm Baldrige National Quality Award. If the applicant's organization is selected for a site visit and it is discovered that one or more of the responses in the Eligibility Certification Form are inaccurate, the applicant will no longer be eligible for the Award. However, the applicant will be eligible for feedback on its organization.

#### 14. Eligibility Certification Filing Fee

Provide payment for the \$150 nonrefundable fee to cover the cost of the eligibility filing process. Check the appropriate box to indicate which method of payment will be provided (check, money order, American Clearing House [ACH] payment, wire transfer, Visa, MasterCard, or American Express).

##### *Check or money order*

Please make your check or money order payable to the **Malcolm Baldrige National Quality Award**.

Send the check or money order with the completed Eligibility Certification Form to

**Malcolm Baldrige National Quality Award**  
c/o ASQ  
600 North Plankinton Avenue  
Milwaukee, WI 53203

##### *ACH payment or wire transfer*

Checking American Bankers Association (ABA)  
Routing Number: 075-000-022  
Checking Account Number: 182342002330

Please reference the Malcolm Baldrige National Quality Award with your payment. ASQ must be contacted either by phone at (414) 765-7205 or e-mail at [mbnqa@asq.org](mailto:mbnqa@asq.org) before an ACH payment or wire transfer is sent.

##### *VISA, MasterCard, or American Express*

Fill in the information requested (card number, expiration date, printed name and signature of the card holder, billing address, and date signed).

##### *W-9 Request*

If you require an Internal Revenue Service (IRS) W-9 Form (Request for Taxpayer Identification Number and Certification), please contact the American Society for Quality at (414) 765-7205.

#### 15. Nomination to the Board of Examiners

Provide the requested information if your Eligibility Certification Package is sent (with a proof of the mailing date) on or before March 9, 2007, and you wish to nominate a senior member of your organization for the Board of Examiners.

#### 16. Site Listing and Descriptors

Provide the complete address of each site. In cases where many sites perform the same function, aggregate the sites under one listing and make a summary statement about the locations instead of listing an address for each one. If a site visit is conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included on the form. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. Although no site visits will be conducted at facilities outside the United States or its territories, these facilities may be contacted by teleconference or video conference.

Check the appropriate type(s) of workforce members (employees, faculty, and/or staff). Some organizations may have both faculty and staff. Provide the **number and type** of workforce members at each site. See the example on page 9 of the Eligibility Certification Form.

Check the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate percentage of sales, revenues, or budgets accounted for by the output of each site (if a percentage of sales or revenues is not appropriate for a particular site(s), use "N/A" [not applicable]).

#### 17. Key Business/Organization Factors

Provide the following information, limiting your answers to the space provided on the form.

*For the purposes of the 2007 Award Application, "key" means those organizations that constitute 5 percent or more of the applicant's competitors, customers/users, or suppliers/partners.*

- A. List of key competitors
- B. List of key customers/users
- C. List of key suppliers/partners
- D. Description of the applicant's major markets (local, regional, national, and international)
- E. The name of the organization's financial auditor
- F. The applicant's fiscal year

**Remember to indicate the method of payment for the eligibility certification filing fee on the Eligibility Certification Form. If paying by check or money order, include it with the completed Eligibility Certification Form in your Eligibility Certification Package.**

## Malcolm Baldrige National Quality Award

OMB Clearance #0693-0006  
Expiration Date: April 30, 2007

### 1. Applicant

Official Name \_\_\_\_\_ Headquarters Address \_\_\_\_\_

Other Name \_\_\_\_\_

Prior Name \_\_\_\_\_

Has the applicant self-certified for eligibility in a prior year(s)?

Yes  No  Do Not Know

If "Yes," indicate the year(s) in which the applicant submitted the Eligibility Certification Package and the name(s) of the applicant at that time, if different.

Year(s) \_\_\_\_\_

Name(s) of Applicant \_\_\_\_\_

### 2. Highest-Ranking Official

Mr.  Mrs.  Ms.  Dr.

Name \_\_\_\_\_ Address \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

E-Mail \_\_\_\_\_ Fax No. \_\_\_\_\_

### 3. Eligibility Contact Point

Mr.  Mrs.  Ms.  Dr.

Name \_\_\_\_\_ Address \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_ Overnight Mailing Address (Do not use a P.O. Box number.) \_\_\_\_\_

Fax No. \_\_\_\_\_

E-Mail \_\_\_\_\_

### 4. Alternate Eligibility Contact Point

Mr.  Mrs.  Ms.  Dr.

Name \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

### 5. Applicant Status

a. Has the applicant officially or legally existed for at least one year, or prior to April 10, 2006? (Check one.)

Yes  No

If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

**Malcolm Baldrige National Quality Award****5. Applicant Status—continued**

b. Has your organization ever been a Malcolm Baldrige National Quality Award recipient? *(Check one.)*

Yes  No

If you checked “No,” proceed to item 6.

c. If “Yes,” was your organization an Award recipient in 2001 or earlier? *(Check one.)*

Yes  No

If you checked “No,” your organization is not eligible to reapply this year for the Award or for feedback (please contact the Baldrige National Quality Program Office at [800] 898-4506 if you have any questions).

If you checked “Yes,” please choose one of the following options:

Applying for feedback only  Applying for the Malcolm Baldrige National Quality Award

**6. Award Category and For-Profit/Nonprofit Designation** *(Check as appropriate.)*

- Manufacturing (For-Profit Only)  Nonprofit  Health Care (For-Profit)  
 Service (For-Profit Only)  Education (For-Profit)  Health Care (Nonprofit)  
 Small Business (For-Profit Only)  Education (Nonprofit)

**Criteria being used:** *(Check one.)*

- Criteria for Performance Excellence* (for use by businesses and nonprofit organizations)  
 *Education Criteria for Performance Excellence*  
 *Health Care Criteria for Performance Excellence*

*Note: Education and health care organizations may choose to use the Criteria for Performance Excellence and apply in the service, small business, or nonprofit categories. However, they probably will find their sector-specific Criteria (Education Criteria for Performance Excellence or Health Care Criteria for Performance Excellence) more appropriate.*

**7. Industrial Classification**

List up to three of the most descriptive three- or four-digit NAICS codes. *(See page 26.)*

a. \_\_\_\_\_ b. \_\_\_\_\_ c. \_\_\_\_\_

**8. Size and Location of Applicant**

- a. Total size of the workforce: \_\_\_\_\_ people
- b. For the preceding fiscal year,
- check one financial descriptor:  Sales  Revenues  Budgets
  - check the range:  0–\$1M  \$1M–\$10M  \$10M–\$100M  \$100M–\$500M  
 \$500M–\$1B  More than \$1B
- c. Number of sites: U.S./Territories \_\_\_\_\_ Outside U.S./Territories \_\_\_\_\_

**If you are unable to respond to any item,  
 please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award**

**8. Size and Location of Applicant—continued**

- d. Percentage of employees: U.S./Territories \_\_\_\_\_ Outside U.S./Territories \_\_\_\_\_
- e. Percentage of physical assets: U.S./Territories \_\_\_\_\_ Outside U.S./Territories \_\_\_\_\_
- f. Operational practices associated with all major organizational functions must be accessible for examination in the United States. If some activities are performed outside the applicant’s organization (e.g., by a component of the applicant that is outside the United States or its territories, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices for all major functions of its worldwide operations?  
 Yes  No  Not Applicable
- g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at The Quest for Excellence Conference and at its U.S. facilities?  
 Yes  No
- h. Attach a line and box organization chart for the applicant. In each box, include the name of the unit or division and its head.

**9. Subunits** *(If the applicant is not a subunit as defined in the Eligibility Certification Overview on pages 8–9, please proceed to question 10.)*

- a. Is the applicant \_\_\_\_\_ a larger parent or system? *(Check all that apply.)*  
 a subsidiary of       controlled by       administered by       owned by  
 a division of       a unit of       a school of
- b. Parent organization (“Parent” means the highest organizational level eligible to apply for the Award.)  

Name	Highest-Ranking Official
Address	Name
	Title

Size of the worldwide workforce of the parent: \_\_\_\_\_ people
- c. Is the applicant the only subunit of the parent organization intending to apply? *(Check one.)*  
 Yes       No *(Briefly explain.)*       Do Not Know
- d. Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent. Examples of such functions include, but are not limited to, strategic planning, business acquisition, research and development, data gathering and analysis, human resources, 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.

**If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

## Malcolm Baldrige National Quality Award

## 9. Subunits—continued

e. Is the applicant self-sufficient enough to respond to all seven Baldrige Criteria Categories?

Yes    No *(Briefly explain.)*

f. Provide the name and date of the official document (e.g., annual report, organization literature, press release) supporting the subunit designation. **Attach relevant portions** of the document showing clear definition of the applicant as a discrete entity.

*Note: Applicants supplying a Web site as documentation must print the relevant pages and include these with their Eligibility Certification Form.*

Name of the Document \_\_\_\_\_

Date \_\_\_\_\_

g. Briefly describe the organizational structure and relationship to the parent.

Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. Each box within the chart should include the name of the head of the unit or division.

h. Is the applicant's product or service unique within the parent organization? *(Check one.)*

Yes    No

If "No," do other units within the parent provide the same products or services to a different customer base? *(Check one.)*

Yes    No

If both of the boxes in "h" are checked "No," complete 1, 2, and 3 below.

(1) Provide a brief description of how the market and product(s) or service(s) are similar.

(2) Indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each.

(3) Describe how the applicant is different from its parent and the other subunits of the organization (e.g., differences in market, location, or name).

**If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

## Malcolm Baldrige National Quality Award

## 9. Subunits—continued

- i. **Manufacturing and service subunits of parents with >500 employees, only (subunits *not* applying in the manufacturing or service Award categories should not complete this item).**

For a subunit to be eligible, 50 percent or more of its products or services must be sold or provided directly to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.

- Does the applicant have more than 500 employees? (*Check one.*)

Yes       No

- Do the applicant's employees make up more than 25 percent of the worldwide employees of the parent? (*Check one.*)

Yes       No

- j. **All manufacturing and service subunits, regardless of parent size, that have fewer than 500 employees and less than 25 percent of all employees in the worldwide operations of the parent (organizations other than manufacturing and service subunits should not complete this item).**

*Note: If the answer to either of the following questions is "Yes," the applicant is eligible in the small business category.*

- Was the applicant independent prior to being acquired, and does it continue to operate independently under its own identity? (*Check one.*)

Yes       No

*Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own identity, attach relevant portions of an official document to support this response.*

- Is the applicant separately incorporated and distinct from other subunits of the parent? (*Check one.*)

Yes       No

*Note: If self-certification is based on the subunit being separately incorporated and distinct from other subunits of the parent, attach relevant portions of an official document (e.g., articles of incorporation) to support this response.*

*If all answers to "i" and "j" are "No," contact the Baldrige Office at (800) 898-4506 before submitting your form.*

**If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****10. Supplemental Sections** *(Check one.)*

- The applicant 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.
- The applicant has (a) multiple performance systems that support all of its product and/or service lines and/or (b) products or services that are not essentially similar in terms of customers/users, technology, workforce or employee types, and planning.

*If you checked the second option, please describe briefly the differences among the multiple performance systems of your organization in terms of customers, workforce or employee types, technology, planning, and quality systems.*

*Note: The applicant's Eligibility Contact Point will be contacted if the second option is checked. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.*

**11. Application Format**

If your organization applies for the 2007 Award, in which format would you submit the Application Package?  
*(Check one.)*

- 25 paper copies (due date May 24, 2007)                       CD (due date May 10, 2007)

**12. Confidentiality Considerations**

Baldrige Examiners are authorized to use cell phones, cordless phones, and VoIP to discuss your application.

- Yes                       No

**13. Self-Certification Statement, Signature of the Highest-Ranking Official**

I state and attest that

- (1) I have reviewed the information provided by my organization in this Eligibility Certification Package.
- (2) to the best of my knowledge,
  - no untrue statement of a material fact is contained in this Eligibility Certification Package, and
  - no omission of a material fact has been made in this package.
- (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 at any time during the 2007 Award Process cycle, if the information is found not to support eligibility, my organization will no longer receive consideration for the Award and will receive only a feedback report.

\_\_\_\_\_  
Signature of Highest-Ranking Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

**If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**



**Malcolm Baldrige National Quality Award**

**14. Eligibility Certification Filing Fee**

Provide payment for the \$150 nonrefundable fee to cover the cost of the eligibility filing process. Please indicate which method of payment will be provided:

- Check (enclosed)                       Money order (enclosed)                       ACH payment                       Wire transfer
- VISA     MasterCard     American Express

*Check or money order*

Please make your check or money order payable to the **Malcolm Baldrige National Quality Award**. Send the check or money order as part of the Eligibility Certification Package to

**Malcolm Baldrige National Quality Award**  
c/o ASQ  
600 North Plankinton Avenue  
Milwaukee, WI 53203

*ACH payment or wire transfer*

Checking ABA Routing Number: 075-000-022  
Checking Account Number: 182342002330

Please reference the Malcolm Baldrige National Quality Award with your payment. ASQ must be contacted either by phone at (414) 765-7205 or e-mail at [mbnqa@asq.org](mailto:mbnqa@asq.org) before an ACH payment or wire transfer is sent.

*VISA, MasterCard, or American Express*

Credit Card Number \_\_\_\_\_

Authorized Signature \_\_\_\_\_

Expiration Date \_\_\_\_\_

Printed Name \_\_\_\_\_

Billing Address for Credit Card \_\_\_\_\_

Today's Date \_\_\_\_\_

*W-9 Request*

If you require an IRS W-9 Form (Request for Taxpayer Identification Number and Certification), please contact the American Society for Quality at (414) 765-7205.

**The 2007 Eligibility Certification Package must be sent on or before April 10, 2007, to be considered for the 2007 Award. The Eligibility Certification Package must include a proof of the mailing date. One option to fulfill this requirement is to 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. If the package is mailed through the USPS (via a service other than Express Mail), applicants must include a dated receipt from the post office in the package.**

If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

## Malcolm Baldrige National Quality Award

## 15. Nomination to the Board of Examiners

One senior member from each organization whose Eligibility Certification Package is **sent (with a proof of the mailing date) on or before March 9, 2007**, may become a member of the 2007 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The time commitment is a minimum of 114 hours from April to December (including approximately 40 hours in April/May to complete prework for the Examiner Preparation Course, 3–4 days in May to attend the preparation course, and another 50–70 hours from June through September to complete the Independent and Consensus Review). If requested by the Program, Examiners also are expected to participate in the Site Visit Review (approximately 9 days).

Nominees must be citizens or permanent residents of the United States and be located in the United States or its territories.

\_\_\_\_\_ from our organization will serve on the 2007 Board of Examiners.  
Name of Senior Member Nominee\*

\*Please, no substitutions after April 10, 2007.

Nominee's contact information:

Mr.  Mrs.  Ms.  Dr.

Nominee's Title \_\_\_\_\_

Name of Nominee's Organization \_\_\_\_\_

Nominee's Work Address \_\_\_\_\_

Nominee's Home Address \_\_\_\_\_

*Note: Place an asterisk next to your preferred phone number, fax number, and e-mail address.*

Work Telephone No. \_\_\_\_\_

Home Telephone No. \_\_\_\_\_

Work Fax No. \_\_\_\_\_

Home Fax No. \_\_\_\_\_

Work E-Mail Address \_\_\_\_\_

Home E-Mail Address \_\_\_\_\_

If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

**Malcolm Baldrige National Quality Award**

The following information is needed by the Malcolm Baldrige National Quality Program Office to avoid conflicts of interest when assigning Examiners to evaluate your application and by Examiners in performing their evaluations.

**16. Site Listing and Descriptors**

Please refer to the instructions on page 13 of this document to complete this Site Listing and Descriptors form. It is important that the totals for the number of employees, faculty, and/or staff; percentage of sales, revenues, or budgets; and number of sites on this form match the totals provided in response to 8a, 8b, and 8c on pages 2 and 3 of the 2007 Eligibility Certification Form. For example, if you report a workforce of 600 people in response to question 8a, the total number of employees/faculty/staff provided in the Site Listing and Descriptors form should be 600 (see example below). For another example, see page viii of the *Arroyo Fresco Community Health Center Case Study* ([www.baldrige.nist.gov/Arroyo.htm](http://www.baldrige.nist.gov/Arroyo.htm)). Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page.

EXAMPLE			
Address of Site(s)	Number <input type="checkbox"/> Employees <input checked="" type="checkbox"/> Faculty <input checked="" type="checkbox"/> Staff	Percentage <input type="checkbox"/> Sales <input type="checkbox"/> Revenues <input checked="" type="checkbox"/> Budgets	For each site, describe the relevant products, services, and/or technologies.
Coyote Hall 85 Campus Way Albuquerque, NM 77351	381 Faculty 200 Staff	95%	Administrative headquarters, instructional and educational services
Cactus Hall 85 IT Parkway Bernalillo, NM 76052	17 Faculty 2 Staff	5%	Satellite campus for information technology instruction, including a technology lab

Address of Site(s)	Number <input type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <i>(Check one or more above, and list below the number at each site.)</i>	Percentage <input type="checkbox"/> Sales <input type="checkbox"/> Revenues <input type="checkbox"/> Budgets <i>(Check one above, and list below the % at each site.)</i>	For each site, describe the relevant products, services, and/or technologies.

Provide all the information for each site, except where multiple sites produce similar products or services. For multiple site cases, refer to 8c on page 2 of the Eligibility Certification Form. Also, see the 2007 Eligibility Certification Form—Instructions on page 11 of this document.

**Use as many additional copies of this form as needed to include all sites.**

If you are unable to respond to any item, please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.

**Malcolm Baldrige National Quality Award****17. Key Business/Organization Factors**

List, briefly describe, or identify the following key organization factors. Be as specific as possible to help us avoid real or perceived conflicts of interest when assigning Examiners to evaluate your application. “Key” means those organizations that constitute 5 percent or more of the applicant’s competitors, customers/users, or suppliers.

A. List of key competitors

B. List of key customers/users

C. List of key suppliers/partners

D. Description of the applicant’s major markets (local, regional, national, and international)

E. The name of the organization’s financial auditor

F. The applicant’s fiscal year (e.g., October 1–September 30)

**If you are unable to respond to any item,  
please contact the Baldrige National Quality Program Office at (800) 898-4506 before submitting your form.**

# 2007 Eligibility Certification Package Checklist

## Malcolm Baldrige National Quality Award

### 1. Eligibility Certification Form

- a. Have all questions been answered completely?  
 Yes  No
- b. Is a line and box organization chart(s) included that shows all components of the applicant organization and the name of the head of each unit or division?  
 Yes  No
- c. If the applicant is a subunit of a larger organization, is a line and box organization chart(s) included that shows the relationship of the applicant to the highest management level of the parent, including all intervening levels?  
 Yes  No  N/A
- d. If the applicant is a subunit of a larger organization, is a copy of appropriate pages from organization literature enclosed showing clear definition of the applicant as a discrete entity?  
 Yes  No  N/A
- e. Is the Eligibility Certification Form signed by the highest-ranking official?  
 Yes  No

### 2. Eligibility Certification Filing Fee

- a. Have you indicated on the Eligibility Certification Form your method of payment for the \$150 nonrefundable eligibility certification filing fee (check, money order, ACH payment, wire transfer, VISA, MasterCard, or American Express)?  
 Yes  No
- b. If paying by check or money order, is it made payable to the **Malcolm Baldrige National Quality Award**, and is it included in the Eligibility Certification Package?  
 Yes  No

### 3. Date of Submission and Examiner Nomination

Is the Eligibility Certification Package being submitted on or before March 9, 2007?

Yes  No

If "Yes" has been checked, is your organization nominating a senior representative to serve on the 2007 Board of Examiners? The opportunity to learn and the required commitment of time are substantial.

Yes  No

## 2007 Eligibility Certification Package Checklist

### 4. Send the completed Eligibility Certification Package to

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

*The 2007 Eligibility Certification Package must be sent on or before April 10, 2007, to be considered for the 2007 Award. The Eligibility Certification Package must include a proof of the mailing date. One option to fulfill this requirement is to 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. If the package is mailed through the USPS (via a service other than Express Mail), applicants must include a dated receipt from the post office in the package. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.*

# North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services on the first page of the Eligibility Certification Form. If you wish to access the NAICS codes online, connect to [www.census.gov](http://www.census.gov), select "Subjects A to Z," select "N," select "North American Industry Classification System (NAICS)."

Code	Sector	Code	Sector	Code	Sector
111	Crop Production	444	Building Material and Garden Equipment and Supplies Dealers	6111	Elementary and Secondary Schools
112	Animal Production	445	Food and Beverage Stores	6112	Junior Colleges
113	Forestry and Logging	446	Health and Personal Care Stores	6113	Colleges, Universities, and Professional Schools
115	Support Activities for Agriculture and Forestry	447	Gasoline Stations	6114	Business Schools and Computer and Management Training
211	Oil and Gas Extraction	448	Clothing and Clothing Accessories Stores	6115	Technical and Trade Schools
212	Mining (except Oil and Gas)	451	Sporting Goods, Hobby, Book, and Music Stores	6116	Other Schools and Instruction
213	Support Activities for Mining	452	General Merchandise Stores	6117	Educational Support Services
221	Utilities	453	Miscellaneous Store Retailers	621	Ambulatory Health Care Services
236	Construction of Buildings	454	Nonstore Retailers	6211	Offices of Physicians
237	Heavy and Civil Engineering Construction	481	Air Transportation	6212	Offices of Dentists
238	Specialty Trade Contractors	482	Rail Transportation	6213	Offices of Other Health Practitioners
311	Food Manufacturing	483	Water Transportation	6214	Outpatient Care Centers
312	Beverage and Tobacco Product Manufacturing	484	Truck Transportation	6215	Medical and Diagnostic Laboratories
313	Textile Mills	485	Transit and Ground Passenger Transportation	6216	Home Health Care Services
315	Apparel Manufacturing	486	Pipeline Transportation	6219	Other Ambulatory Health Care Services
316	Leather and Allied Product Manufacturing	487	Scenic and Sightseeing Transportation	622	Hospitals
321	Wood Product Manufacturing	488	Support Activities for Transportation	623	Nursing and Residential Care Facilities
322	Paper Manufacturing	491	Postal Service	624	Social Assistance
323	Printing and Related Support Activities	492	Couriers and Messengers	711	Performing Arts, Spectator Sports, and Related Industries
324	Petroleum and Coal Products Manufacturing	493	Warehousing and Storage	712	Museums, Historical Sites, and Similar Institutions
325	Chemical Manufacturing	511	Publishing Industries (except Internet)	713	Amusement, Gambling, and Recreation Industries
326	Plastics and Rubber Products Manufacturing	512	Motion Picture and Sound Recording Industries	721	Accommodation
327	Nonmetallic Mineral Product Manufacturing	515	Broadcasting (except Internet)	722	Food Services and Drinking Places
331	Primary Metal Manufacturing	516	Internet Publishing and Broadcasting	811	Repair and Maintenance
332	Fabricated Metal Product Manufacturing	517	Telecommunications	812	Personal and Laundry Services
333	Machinery Manufacturing	521	Monetary Authorities—Central Bank	813	Religious, Grantmaking, Civic, Professional, and Similar Organizations
334	Computer and Electronic Product Manufacturing	522	Credit Intermediation and Related Activities	814	Private Households
335	Electrical Equipment, Appliance, and Component Manufacturing	523	Securities, Commodity Contracts, and Other Financial Investments and Related Activities	921	Executive, Legislative, and Other General Government Support
336	Transportation Equipment Manufacturing	524	Insurance Carriers and Related Activities	922	Justice, Public Order, Safety Activities
337	Furniture and Related Product Manufacturing	525	Funds, Trusts, and Other Financial Vehicles	923	Administration of Human Resource Programs
339	Miscellaneous Manufacturing	531	Real Estate	924	Administration of Environmental Quality Programs
423	Merchant Wholesalers, Durable Goods	532	Rental and Leasing Services	925	Administration of Housing Programs, Urban Planning, and Community Development
424	Merchant Wholesalers, Nondurable Goods	533	Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)	926	Administration of Economic Programs
425	Wholesale Electronic Markets and Agents and Brokers	541	Professional, Scientific, and Technical Services	927	Space Research and Technology
441	Motor Vehicle and Parts Dealers	551	Management of Companies and Enterprises	928	National Security and International Affairs
442	Furniture and Home Furnishings Stores	561	Administrative and Support Services	999	Unclassified Establishments
443	Electronics and Appliance Stores	562	Waste Management and Remediation Services		
		611	Educational Services		

# 2007 Award Application Package—Instructions

Instructions for responding to the Criteria and writing the Organizational Profile are included in each of the three Criteria booklets. Use the Criteria appropriate for your eligibility category: the *Criteria for Performance Excellence* (used by businesses and nonprofit organizations), *Education Criteria for Performance Excellence*, or *Health Care Criteria for Performance Excellence*.

## I. Purpose

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

## II. Objective

The objective of the Award Application Package is for the applicant to provide sufficient information to enable the Board of Examiners to conduct a rigorous evaluation. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

## III. Content Requirements

### A. Application Report—All Applicants

Only an application report (without supplemental sections) is required if an applicant has a single performance system that supports all of its product and/or service lines and if the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **(This is the case with most applicants.)** All units/subunits of the applicant must be included in the application report.

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

- front cover—blank (no text, pictures, or figures) to help ensure confidentiality
- title page
- each of the following sections separated by a labeled tab or a divider page. Please divide and label the sections accordingly.
  - Table of Contents
  - 2007 Eligibility Certification Form
  - organization chart(s)
  - 2007 Application Form (page 1 only)
  - Glossary of Terms and Abbreviations
  - Organizational Profile (five pages or less)

- Responses Addressing All Criteria Items (50 pages or less)
- Summary of Supplemental Sections, if applicable (two pages or less—see information under “III. B. Supplemental Sections”)
  - back cover—blank

### B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants may need to provide supplemental sections. Supplemental sections are intended to permit applicants with highly complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during the eligibility certification process. Once supplemental sections are approved, they **must** be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product and/or service lines that are supported by a single performance system. Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant. Each supplemental section must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures)
- title page
- labeled tabs or divider pages (see III.A)
- Table of Contents
- organization chart(s)
- Summary of Supplemental Sections (two pages or less)
- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items (35 pages or less)
- back cover—blank



## IV. Application Report Components

Organizations may submit either 25 paper copies of the application report or a CD with the application report in PDF printable format. The content and format requirements of the application report, whether submitted on 25 paper copies or in CD/PDF format, are identical.

*Note: If 25 paper copies are submitted, the package must be sent (with a proof of the mailing date) no later than May 24, 2007. If a CD is submitted, the package must be sent (with a proof of the mailing date) on or before May 10, 2007. See page 31 for requirements for CD submission.*

The application report must contain the following in the order listed.

- A. **Front Cover**—blank (no text, pictures, or figures).
- B. **Title Page** with the name of the applicant. Applicants also have the option to include their address, pictures, and logo; the date; a statement indicating that this is an application for the 2007 Malcolm Baldrige National Quality Award; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.
- C. **Labeled Tabs or Divider Pages** separating the sections of the report and containing only the title of the section. No further information, pictures, or text about the applicant may be included on the tabs or divider pages, or they will count toward the 50-page limit. The following tabs/divider pages must be included: Table of Contents, 2007 Eligibility Certification Form, organization chart(s), 2007 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, and Responses Addressing All Criteria Items.
- D. **Table of Contents** indicating the page numbers of the following: the 2007 Eligibility Certification Form, the organization chart(s), the 2007 Application Form, the Glossary of Terms and Abbreviations, the Organizational Profile, and each Category and Item. Pagination for Areas to Address, tables, and figures does not need to be included in the Table of Contents.
- E. **2007 Eligibility Certification Form:** This is the signed/stamped form returned to the applicant by ASQ at the conclusion of the eligibility certification process.  
*Note: If submitting your application on a CD, see the instructions under “2. Application Report” on page 36.*

## F. Line and Box Organization Chart(s)

- **Applicant organization chart(s)** with sufficient detail for Examiners to understand the relationships among the applicant’s subunits. This is the signed/stamped document returned to the applicant by ASQ at the conclusion of the eligibility certification process.
  - **(For subunit applicants, only) subunit organization chart(s):** a line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization. This should be the signed/stamped document returned to the applicant by ASQ at the conclusion of the eligibility certification process.
- G. **2007 Application Form** signed by the highest-ranking official, indicating that the applicant agrees to the terms and conditions of the Award process and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations. (See page 34.)
  - H. **Glossary of Terms and Abbreviations** used in the application report and each supplemental section.
  - I. **Organizational Profile** outlining the applicant’s organization and addressing what is most important to the organization, as well as the key factors that influence how the organization operates and its future directions. A vital part of the overall application, the Organizational Profile is used by the Examiners throughout the application review process.
  - J. **Responses Addressing All Criteria Items**
    - Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant’s organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. The responses must contain the same Category and Item numerical designations as the 2007 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).
    - If an Area to Address does not pertain to the applicant’s organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.

**K.** If applicable, provide a **Summary of Supplemental Section(s)**—a brief description of each supplemental section, including the products, services, and NAICS codes. (See page 27, III.B.)

**L. Back Cover**—blank.

## V. Format Requirements

Application reports and any supplemental sections must meet the page limit, typing, and format requirements indicated below, whether submitted on paper copies or in CD/PDF format.

### A. Page Limits and Exclusions

1. The Organizational Profile for the application report and for each supplemental section is limited to the equivalent of five single-sided pages. If the Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Organizational Profile can be found in each of the Criteria booklets.
2. In the application report, the Responses Addressing All Criteria Items are limited to the equivalent of 50 single-sided pages, which must include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2007 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a. Responses for multiple Areas may be grouped (e.g., 4.2 a,b).
3. Examiners must base their evaluations solely on information contained within the application report. Do not add links to information on intranet or Web sites.
4. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.
5. The covers and divider pages/tab separators, which should contain only the title of the specified subject (i.e., Table of Contents, 2007 Eligibility Certification Form, organization chart(s), 2007 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, Responses Addressing All Criteria Items), will not be counted as part of the page limit in either the application report or supplemental section(s). However, if these pages contain any additional material, such as text, quotations, graphs, figures, data

tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items.

6. If the Responses Addressing All Criteria Items exceed the 50-page limit, the applicant's Official Contact Point will be asked to identify which pages will be removed.
7. The Summary of Supplemental Sections, if applicable, is limited to the equivalent of two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.

**B. Paper size:** standard 8½ x 11 inches

**C. Text format—for an example, see [www.baldrige.nist.gov/Arroyo.htm](http://www.baldrige.nist.gov/Arroyo.htm).**

1. Type style (font) and size: Use Times New Roman 10 point font or the equivalent.
2. Line spacing: Use an equivalent of two points of lead between lines. *Note: One point of lead equals  $\frac{1}{72}$ , or 0.0138 inch.*
3. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for type size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the type size requirements.  
  
Type style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

**D. Page Format—for an example, see [www.baldrige.nist.gov/Arroyo.htm](http://www.baldrige.nist.gov/Arroyo.htm).**

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. Margins of at least  $\frac{3}{4}$  inch on the side of the page that is bound or fastened and at least  $\frac{1}{2}$  inch on the opposite side of the page are preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides. (The total number of pages is limited to the equivalent of 50 single-sided pages for the Responses Addressing All Criteria Items and five single-sided pages for the Organizational Profile.)

4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

### E. Numbering

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

## VI. Assembly Requirements

- A. For paper copies, all components of the application report and supplemental section(s) **must be securely fastened to prevent separation during handling.** The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report. If the application report is submitted in CD/PDF format, it will be printed in color and bound with a comb binding.
- B. The use of bulky binders or similar heavy covers is discouraged.
- C. Video and audio tapes or other information aids are not acceptable and may not be included.

## VII. Submission Requirements

- A. Applicants must submit a 2007 Award Application Package containing either 25 individually bound paper copies of the complete application report (and, if appropriate, 25 individually bound copies of every supplemental section) or a CD containing the complete application report (and any supplemental sections) in PDF printable format.

*Note: Only one paper copy of page 2 of the Application Form should be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.*

- B. Payment must be provided for the application fee and, if appropriate, every supplemental section. ***An additional processing fee of \$1,250 is required if you are submitting the application report on a CD.*** Fees are discussed in the Application Form Instructions on page 32 of this document.

Indicate on the Application Form your method of payment (check, money order, American Clearing House [ACH] payment, wire transfer, Visa, MasterCard, or American Express). If paying by check or money order, make it payable to the **Malcolm Baldrige National Quality Award** and include it in the Award Application Package. See pages 32–33 of this document for further payment instructions.

- C. **The 2007 Award Application Package must be mailed or consigned to a delivery service no later than May 24, 2007 (May 10, 2007, if on a CD) to be eligible for a 2007 Award. The Award Application Package must include a proof of the mailing date.** One option to fulfill this requirement is to 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. If the package is mailed through the USPS (via a service other than Express Mail), applicants must include a dated receipt from the post office in the package. The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled “Content Requirements” and “Format Requirements” along with the application fee.

Send the complete 2007 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, extension 7205

## Requirements for Submitting an Application Report on a CD

**Applications submitted on a CD must be sent (with a proof of the mailing date) on or before May 10, 2007.**

1. You must use a CD-R, not a CD-RW.
2. The application report must be a single, complete PDF file, not multiple PDF files on the CD.
3. Scan in the date-stamped eligibility forms and chart(s) received from ASQ, OR include on the CD an electronic version that is not date-stamped and provide one paper copy of the date-stamped documents.
4. Complete and scan page 1 of the 2007 Application Form into the PDF file. (Do not include page 2 of the 2007 Application Form in your PDF file. Instead, submit one paper copy of page 2 with your Application Package, OR provide the information requested on page 2 to ASQ by calling [414] 298-8789, extension 7205).
5. Select the “embed fonts” option when creating the PDF file.
6. Insert page breaks and labeled divider pages between sections in the electronic file, as described.
7. Proof your PDF file to ensure that it does not reflow onto extra pages and that all information, charts, graphs, etc., are appropriately retained.
8. When preparing the CD, please organize the disc so that it can be read from a standard CD-ROM drive.
9. Verify the content and number of pages and that it prints properly (as the image on the screen is sometimes not what appears in print).
10. An additional processing fee of \$1,250 is required if submitting the application report on a CD.
11. Documents will be printed on a laser-type copier/printer at 600 x 600 resolution.

# 2007 Application Form—Instructions

## Instructions

Provide all information requested. A copy of page 1 of the 2007 Application Form must be included in each of the 25 paper copies of the application report (or on a CD). One paper copy of page 2 of the Application Form must be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.

### 1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

### 2. Award Category

From the 2007 Eligibility Certification Form, indicate the eligibility category under which the applicant was certified and which Criteria booklet is being used.

### 3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the Baldrige National Quality Program will be limited to this Official Contact Point or the Alternate Official Contact Point (see 4, below). The designated Official Contact Point should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, answer inquiries, and arrange a site visit, if necessary.

If the Official Contact Point changes during the course of the application process, please inform the Baldrige National Quality Program.

### 4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or to convey a message to the Official Contact Point. Please designate a person who will be available during regular business hours.

### 5. Release and Ethics Statements

**a. Release Statement.** Please read this section carefully.

**b. Ethics Statement and Signature of the Highest-Ranking Official.** The applicant's highest-ranking official must sign in the space

provided, indicating that the applicant agrees to the terms and conditions stated in the Release Statement. In addition, the highest-ranking official's signature attests that no untrue statement of a material fact is contained in the Application Package and no omission of a material fact that is legally disclosable and affects the organization's ethical and legal practices has been made. Type below the signature the person's name and title, the applicant's name, and the highest-ranking official's address, telephone number, and fax number, as indicated.

**6. Confidential Information.** In lieu of completing the confidential information on page 2 of the Application Form, you may provide the information by calling ASQ at (414) 298-8789, extension 7205.

**a. Social Security Number and Date of Birth of the Highest-Ranking Official.** If your application is selected for Site Visit Review, this information will be used in a background check as part of the process for determining role model organizations.

**b. Application Fees.** Fee payment must be submitted with the application. The fees for the application report are

- \$6,000 for manufacturing and service businesses and for nonprofit organizations, for-profit education organizations, and for-profit and nonprofit health care organizations with more than 500 employees;
- \$3,000 for small businesses and nonprofit higher education organizations and for nonprofit organizations, for-profit education organizations, and for-profit and nonprofit health care organizations with 500 or fewer employees; and
- \$1,000 for nonprofit K–12 education organizations.

*Note: If submitting the application on a CD, add an additional \$1,250 processing fee.*

The fee for each supplemental section is

- \$2,000 for manufacturing and service businesses and for nonprofit organizations, for-profit education organizations, and for-profit and nonprofit health care organizations with more than 500 employees;

- \$1,000 for small businesses and nonprofit higher education organizations and for nonprofit organizations, for-profit education organizations, and for-profit and nonprofit health care organizations with 500 or fewer employees; and
- \$250 for nonprofit K–12 education organizations.

Check the appropriate box to indicate which method of payment will be provided (check, money order, American Clearing House [ACH] payment, wire transfer, Visa, MasterCard, or American Express).

*Check or money order*

Please make your check or money order payable to the **Malcolm Baldrige National Quality Award**. Include the check or money order with the Award Application Package.

*ACH payment or wire transfer*

Checking American Bankers Association (ABA)  
Routing Number: 075-000-022  
Checking Account Number: 182342002330

Please reference the Malcolm Baldrige National Quality Award with your payment. ASQ must be contacted either by phone at (414) 765-7205 or e-mail at [mbnqa@asq.org](mailto:mbnqa@asq.org) before an ACH payment or wire transfer is sent.

*VISA, MasterCard, or American Express*

Fill in the information requested (card number, expiration date, printed name and signature of the card holder, billing address, and date signed).

*W-9 Request*

If you require an Internal Revenue Service (IRS) W-9 Form (Request for Taxpayer Identification Number and Certification), please contact the American Society for Quality at (414) 765-7205.

## 7. Submission

The complete Award Application Package must be mailed or consigned to a delivery service no later than May 24, 2007 (May 10, 2007, if submitted on a CD) for delivery to

**Malcolm Baldrige National Quality Award**

c/o ASQ—Baldrige Award Administration

600 North Plankinton Avenue

Milwaukee, WI 53203

(414) 298-8789, extension 7205

The Award Application Package must include a proof of the mailing date. One option to fulfill this requirement is to send the package via a delivery service (e.g., Airborne Express, Federal Express, United Parcel Service, or the USPS Express Mail) that automatically records the mailing date. If the package is mailed through the USPS (via a service other than USPS Express Mail), applicants must include a dated receipt from the post office in the package. The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled “Content Requirements” and “Format Requirements” along with the application fee.

**Malcolm Baldrige National Quality Award**

Provide all information requested. A copy of page 1 of this 2007 Application Form must be included in each of the 25 paper copies of the application report (or, alternatively, in the PDF version on a CD).

**1. Applicant**

Applicant Name \_\_\_\_\_

Mailing Address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**2. Award Category** *(Check one.)*

- Manufacturing    Service    Small Business  
 Education    Health Care    Nonprofit

**For small businesses, indicate whether the larger percentage of sales is in service or manufacturing.** *(Check one.)*

- Manufacturing    Service

**Criteria being used:** *(Check one.)*

- Business/Nonprofit    Education    Health Care

**3. Official Contact Point**

- Mr.    Mrs.    Ms.    Dr.

Name \_\_\_\_\_

Title \_\_\_\_\_

Mailing Address \_\_\_\_\_  
 \_\_\_\_\_

Overnight Mailing Address  
 (Do not use P.O. Box number.) \_\_\_\_\_  
 \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**4. Alternate Official Contact Point**

- Mr.    Mrs.    Ms.    Dr.

Name \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**5. Release and Ethics Statements**

**a. Release Statement**

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

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that our organization must pay reasonable costs associated with a site visit. The site visit fees range from \$1,500 to \$35,000, depending on the type of applicant. (The fees are shown on page 5.)

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

**b. 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 Application Package.

(2) to the best of my knowledge,

- no untrue statement of a material fact is contained in this Application Package, and
- no omission of a material fact that I am legally permitted to disclose and that affects my organization's ethical and legal practices has been made. This includes but is not limited to sanctions and ethical breaches.

Date \_\_\_\_\_

Signature \_\_\_\_\_

- Mr.    Mrs.    Ms.    Dr.

Printed Name \_\_\_\_\_

Title \_\_\_\_\_

Applicant Name \_\_\_\_\_

Mailing Address \_\_\_\_\_  
 \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**Malcolm Baldrige National Quality Award**

**6. Confidential Information**

**Please note:** To help ensure the confidentiality of the information requested, submission requirements for this page (page 2) of your Application Form differ from those for page 1 of the form and for the application report. Whether you submit 25 paper copies or a CD of your application report, one completed **paper** copy of page 2 may be submitted with your Award Application Package, or the information may be telephoned to ASQ at (414) 298-8789, extension 7205. *Do not include this page (page 2) in the 25 copies of your application report.*

**a. Social Security Number and Date of Birth of the Highest-Ranking Official**

If your application is selected for Site Visit Review, this information will be used in the process for determining role model organizations. (See pages 3–4.)

Name \_\_\_\_\_

Social Security Number \_\_\_\_\_

Date of Birth \_\_\_\_\_

**b. Application Fees** *(For information and instructions on fees, see pages 5 and 32.)*

A payment of \$\_\_\_\_\_ is provided to cover one application report and \_\_\_\_\_ supplemental sections.

*Note: An additional \$1,250 is required if you are submitting the application report on a CD.*

Please indicate which method of payment will be provided:

- Check (enclosed)       Money order (enclosed)
- ACH payment           Wire transfer
- VISA                       MasterCard
- American Express

*Check or money order*

Please make your check or money order payable to the **Malcolm Baldrige National Quality Award**.

Send the check or money order with the Award Application Package to

**Malcolm Baldrige National Quality Award**  
c/o ASQ  
600 North Plankinton Avenue  
Milwaukee, WI 53203

*ACH payment or wire transfer*

ABA Routing Number: 075-000-022

Checking Account Number: 182342002330

Please reference the Malcolm Baldrige National Quality Award with your payment. ASQ must be contacted either by phone at (414) 765-7205 or e-mail at [mbnqa@asq.org](mailto:mbnqa@asq.org) before an ACH payment or wire transfer is sent.

*VISA, MasterCard, or American Express*

Credit Card Number \_\_\_\_\_

Expiration Date \_\_\_\_\_

Today's Date \_\_\_\_\_

Billing Address for Credit Card \_\_\_\_\_

Authorized Signature \_\_\_\_\_

Printed Name \_\_\_\_\_

*W-9 Request*

If you require an Internal Revenue Service (IRS) W-9 Form (Request for Taxpayer Identification Number and Certification), please contact the American Society for Quality at (414) 765-7205.

**7. Submission**

The complete Award Application Package must be mailed or consigned to a delivery service no later than May 24, 2007 (May 10, 2007, if submitting on a CD) for delivery to

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

**The Award Application Package must include a proof of the mailing date.** (See page 33.)

OMB Clearance #0693-0006  
Expiration Date: April 30, 2007



# 2007 Award Application Package Checklist

## Malcolm Baldrige National Quality Award

### 1. Award Application Package

Does the Application Package include 25 individually bound paper copies of your application report and, if appropriate, 25 individually bound copies of every supplemental section?

Yes  No

Alternatively, does the Application Package include a CD containing the PDF version of the application report in printable format? (See page 31 for requirements for CD submission.)

Yes  No

### 2. Application Report

Does each of the 25 paper copies of the application report (or the CD version) contain the following sections separated by labeled tabs or divider pages?

- blank front cover  Yes  No
- title page  Yes  No
- Table of Contents  Yes  No
- 2007 Eligibility Certification Form (date-stamped copy from ASQ)\*  Yes  No
- organization chart(s) (date-stamped copy from ASQ)\*  Yes  No
- 2007 Application Form (page 1 only)\*\*  Yes  No
- Glossary of Terms and Abbreviations  Yes  No
- Organizational Profile (five pages or less)  Yes  No
- Responses Addressing All Criteria Items (50 pages or less)  Yes  No
- Summary of Supplemental Sections, if applicable (two pages or less—see information on page 27 under “III.B Supplemental Sections”)  Yes  No
- blank back cover  Yes  No

*\* If the application report is on a CD, either scan in the date-stamped forms and chart(s) OR include on the CD an electronic version that is not date-stamped and provide one paper copy of the date-stamped documents in your application package. Complete and scan page 1 of the 2007 Application Form into the PDF file.*

*\*\* Do not include page 2 of the 2007 Application Form in your PDF file. Instead, submit one paper copy of page 2 of the Application Form with your Application Package, OR you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.*

### 3. Page 2 of the Application Form

Did you include one paper copy of page 2 of the Application Form (if the information on the form has not been telephoned to ASQ)?

### 4. Application Fee

Have you indicated on the Application Form your method of payment (check, money order, ACH payment, wire transfer, VISA, MasterCard, or American Express) for the nonrefundable application fee and, if appropriate, every supplemental section? (For fee information, see page 5 and pages 32–33.)

Yes  No

If paying by check or money order, is it made payable to the **Malcolm Baldrige National Quality Award**, and is it included in the Application Package?

Yes  No

If submitting the application report on a CD, have you included the \$1,250 processing fee in your payment?

Yes  No

### 5. Date of Submission

Is the Application Package being mailed or consigned to a delivery service no later than May 24, 2007 (May 10, 2007, if submitting on a CD)?

Yes  No

## **6. Send the completed Award Application Package to**

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

**To be considered for the 2007 Award, applicants must send the 2007 Award Application Package on or before May 24, 2007 (or May 10, 2007, if submitted on a CD), and the package must include a proof of the mailing date. One option to fulfill this requirement is to 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. If the package is mailed through the USPS (via a service other than Express Mail), the applicant must include a dated receipt from the post office in the package. Applicants are encouraged to submit the Award Application Package well ahead of the deadline to avoid delays.**

# How to Obtain Copies of Baldrige Program Materials

## Individual Orders

This document and the Criteria booklets may be downloaded from our Web site at [www.baldrige.nist.gov](http://www.baldrige.nist.gov). In addition, paper copies of this document and individual copies of the Criteria booklets may be obtained free of charge from

Baldrige National Quality 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: [nqp@nist.gov](mailto:nqp@nist.gov)

## Bulk Orders

Multiple copies of the *2007 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$39.95 plus shipping and handling from the American Society for Quality (ASQ).

*2007 Criteria for Performance Excellence*  
(used by businesses and nonprofit organizations)  
Item Number T1117

*2007 Education Criteria for Performance Excellence*  
Item Number T1118

*2007 Health Care Criteria for Performance Excellence*  
Item Number T1119

## How to Order

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) ASQ member number ready.
2. Or fax your completed order form to ASQ at (414) 272-1734.
3. Or mail your order to ASQ Customer Care Center, P.O. Box 3066, Milwaukee, WI 53201-3066.
4. Or order online by accessing ASQ's Web site at [www.asq.org](http://www.asq.org).

## Payment

Your 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 must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

## Shipping Fees

The following shipping and processing schedule applies to all orders within the United States and Canada.

Order Amount	U.S. Charges	Canadian Charges
Up to \$34.99	\$ 4.25	\$ 9.25
\$35.00-\$99.99	6.50	11.50
Over \$100.00	12.50*	17.50*

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped by UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

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

## Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are samples of the available educational materials.

### Case Study Packets

Case study packets contain a case study and five additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, and a blank *Baldrige Scorebook*. The case studies, when used with the Criteria, are valuable resources to Award applicants and other users of the Criteria. They illustrate the Award application and review process and provide examples of how to respond to the Criteria requirements and format an application. Together, the case study packet documents furnish information on scoring, the examination processes, and much more. A variety of case study packets are available. The 2002, 2003, 2004, 2005, and 2006 case study packets are available only online. Case study packets from prior years are available online and in hard copy. For ordering information, see the next page.

**2006 Health Care Case Study Packet: Arroyo Fresco Community Health Center** (based on the *2006 Health Care Criteria for Performance Excellence*)

Available only in e-format (PDF version) at [www.baldrige.nist.gov/Arroyo.htm](http://www.baldrige.nist.gov/Arroyo.htm)

**2005 Business Case Study Packet: Landmark Dining, Inc.** (based on the *2005 Criteria for Performance Excellence*)

Available only in e-format (PDF version) at [www.baldrige.nist.gov/Landmark.htm](http://www.baldrige.nist.gov/Landmark.htm)

**2004 Education Case Study Packet: Sandy Hill School District** (based on the *2004 Education Criteria for Performance Excellence*)

Available only in e-format (PDF version) at [www.baldrige.nist.gov/Sandy\\_Hill.htm](http://www.baldrige.nist.gov/Sandy_Hill.htm)

**2003 Business Case Study Packet: GeoOrb Polymers, North America** (based on the *2003 Criteria for Performance Excellence*)

Available only in e-format (PDF version) at [www.baldrige.nist.gov/GeoOrb.htm](http://www.baldrige.nist.gov/GeoOrb.htm)

**2002 Health Care Case Study Packet: Capstar Health System** (based on the *2002 Health Care Criteria for Performance Excellence*)

Available only in e-format (PDF version) at [www.baldrige.nist.gov/CapStar.htm](http://www.baldrige.nist.gov/CapStar.htm)

**2001 Business Case Study Packet: TriView National Bank** (based on the *2001 Criteria for Performance Excellence*)

Item Number T1091: \$49.95 plus shipping and handling

Also available in e-format (PDF version) at [www.baldrige.nist.gov/TriView.htm](http://www.baldrige.nist.gov/TriView.htm)

**2000 Education Case Study Packet: Coyote Community College** (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: \$49.95 plus shipping and handling

Also available in e-format (PDF version) at [www.baldrige.nist.gov/Coyote.htm](http://www.baldrige.nist.gov/Coyote.htm)

## Award Recipients DVD

The Award recipients DVD is a valuable resource for gaining a better understanding of performance excellence and quality achievement. The DVD provides background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2006 Award recipients DVD is provided below.

2006—Item Number T1516      \$35.00  
(Available May 2007)

## How to Order Educational Materials

To order case study packets developed prior to 2002, bulk orders of the 2007 Criteria booklet, or the Award recipients DVD, contact

ASQ Customer Care Center  
P.O. Box 3005  
Milwaukee, WI 53201-3066  
Telephone: (800) 248-1946  
Fax: (414) 272-1734  
E-mail: [asq@asq.org](mailto:asq@asq.org)  
Web site: [www.asq.org](http://www.asq.org)

## The Quest for Excellence® XIX Conference

Each year, The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and nonprofit organizations. The Quest for Excellence XIX will showcase the year 2006 Award recipients.

For the last 18 years, executives, managers, and quality leaders have attended this conference to learn how these role model organizations have achieved performance excellence. Highest-ranking officials and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XIX Conference will be held April 15–18, 2007, at the Hilton Washington in Washington, D.C. For further information, contact

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

For a general overview of the Baldrige National Quality Program, visit its Web site: [www.baldrige.nist.gov](http://www.baldrige.nist.gov).

## 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 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, it is possible that this burden will 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 National Quality Program  
NIST  
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

**We are easy to reach. Our Web site is [www.baldrige.nist.gov](http://www.baldrige.nist.gov).**

## **Baldrige National Quality Program**

**Baldrige National Quality Program**  
**National Institute of Standards and Technology**  
**Technology Administration**  
**United States Department of Commerce**  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST), an agency of the U.S. Department of Commerce, manages the Baldrige National Quality Program (BNQP) and the Award. For more than a century, NIST has helped to lay the foundation for the innovation, economic growth, and quality of life that Americans have come to expect. NIST promotes 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. Through a network of nearly 400 assistance centers that serve all 50 states and Puerto Rico, NIST provides technical and business assistance to help smaller manufacturers overcome barriers to productivity and competitiveness.

Call BNQP or visit our Web site for

- information on improving the performance of your organization
- information on eligibility requirements for the Baldrige Award
- information on applying for the Baldrige Award
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—  
Business/Nonprofit, Education, and Health Care (no cost)
- information on BNQP educational materials
- case studies

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: [nqp@nist.gov](mailto:nqp@nist.gov)  
Web site: [www.baldrige.nist.gov](http://www.baldrige.nist.gov)

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

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

Call ASQ to order

- bulk copies of the Criteria
- Award recipients DVD

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: [asq@asq.org](mailto:asq@asq.org)  
Web site: [www.asq.org](http://www.asq.org)

excellence