Scorebook
for Business, Education, and Health Care
Scorebook
for Business, Education, and Health Care

Examiner’s Name ________________________________ Number of Hours Worked ________________

Application Number ____________________________

Sent to Examiner ________________________________ date

Return Scorebook via overnight mail before ________________________________ due date

Process Stage:

☐ Stage 1 Independent Review  ☐ Stage 2 Consensus Review  ☐ Stage 3 Site Visit Review

Criteria, Score Summary Worksheet, and Scoring Guidelines Used:

☐ Business  ☐ Education  ☐ Health Care

Return Scorebook to:

Malcolm Baldrige National Quality Award
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205
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**INTRODUCTION AND GENERAL INSTRUCTIONS**

**Introduction**

This Scorebook provides Examiners with a concise, organized, and standardized method to record their comments and scores as they evaluate an applicant for the Malcolm Baldrige National Quality Award. In Stage 1, this Scorebook is used to record the individual Examiner’s findings. In Stages 2 and 3, the Scorebook is used to record the findings of the Examiner Team.

A suggested process for Scorebook completion (beginning on page 2) illustrates a systematic method for evaluating an applicant.

**Timeliness**

The cooperation of Examiners in adhering to due dates in the application review process is critical to the Program’s success in every stage of the process.

**Confidentiality**

The application, the Scorebook, all notes, computer files, and all other information relating to the applicant are highly confidential. Examiners should not conduct their review in the presence of others or leave any applicant-related documents where other people can have access to them.

**Scorebook Completion and Return—Stage 1**

A copy of this Scorebook can be downloaded from the NIST Baldrige National Quality Program Web site at http://www.quality.nist.gov/01scorebook.htm.

Examiners should use word processing software to prepare their Scorebooks. It is strongly recommended that Examiners prepare or save all scorebook worksheets in Word 6, 12 point, Times New Roman. In addition, it is important that Examiners

- use a format similar to that in the Scorebook, including the Key Factors Worksheet, the Key Themes Worksheet, all Item Worksheets, the appropriate Score Summary Worksheet (Business, Education, or Health Care), the Checklist, and the Conflict of Interest Statement
- check that all Item Worksheets are complete and that they are collated in ascending numerical order (e.g., 1.1, 1.2, 2.1)
- record the scores on the appropriate Score Summary Worksheet (Business, Education, or Health Care)
- read and sign the Conflict of Interest Statement on page 37
- read and sign the Code of Ethical Standards Statement on page 38
- complete the Checklist on page 38
- return a complete paper copy of the Scorebook to the American Society for Quality (ASQ), with the following:
  - the cover sheet
  - the Key Factors Worksheet
  - the Key Themes Worksheet
  - one Item Worksheet for each Item
  - the Score Summary Worksheet
  - a signed Conflict of Interest Statement
  - a signed Code of Ethical Standards Statement
  - a completed Checklist
Review the application.

Develop the key factors.\(^{(a)}\)

Initiate the Key Themes Worksheet.\(^{(a)}\)

Review the application.

Complete the Score Summary Worksheet.\(^{(a)}\)

Review all work for consistency, completeness, and feedback readiness.

Sign the Examiner’s Conflict of Interest Statement and the Code of Ethical Standards Statement.

Complete the signature page (Stage 3 only).

Send the work to the appropriate party.

Finalize the key factors.\(^{(a)}\)

Develop and finalize the Site Visit Issue Worksheets (Stage 3 only).\(^{(b)}\)

Complete the Item Worksheets.\(^{(a)}\)

Finalize the key themes.\(^{(a)}\)

Complete the Summary of Sites Visited (Stage 3 only).\(^{(b)}\)

Notes:

\(^{(a)}\) Stage 1—Individual Examiners complete, develop, and finalize.
Stage 2 and 3—Assigned team members develop and finalize.

\(^{(b)}\) Stage 3 Only—Assigned team members develop and finalize.
RECOMMENDED PROCESSES FOR EVALUATING APPLICATIONS AND COMPLETING SCOREBOOKS

Examiners receive and evaluate an application and communicate their findings in a Scorebook. The Scorebook Development Process is depicted in the flowchart on page 2. The following is a description of the continuum of activities from evaluating an application to completing the Scorebook.

Step 1: Prepare

A. Check to confirm there is no conflict of interest with the applicant by reading the applicant’s Eligibility Certification Form and Organizational Profile, with particular attention to the applicant’s organization chart, customers, competitors, and suppliers. Examiners must notify the National Institute of Standards and Technology (NIST) immediately if they identify any situation, including business, personal, or financial relationships, that could be perceived as affecting their ability to review the applicant fairly and objectively.

B. Assemble supplies. To complete an evaluation, Examiners will need the following:

- the appropriate Criteria for Performance Excellence booklet (Business, Education, or Health Care)
- the application report
- the Scorebook for Business, Education, and Health Care
- a calculator
- writing implements/marking tools
- a watch or clock

Evaluating an application typically takes 30–40 hours. Therefore, Examiners must set aside large blocks of time for the process. Examiners should keep track of their time and record the total hours worked on the front cover of the Scorebook.

C. Mark the organization chart and glossary of the application for easy reference.

D. Review the appropriate Criteria for Performance Excellence booklet (Business, Education, or Health Care). The review process requires a working knowledge of all sections (e.g., Criteria, Scoring System, Core Values and Concepts, and Glossary of Key Terms) in order to evaluate an applicant properly.

E. Read the entire application report from cover to cover, including the Eligibility Certification Form, the Organizational Profile, and the applicant’s response to the Criteria Items, to gain a comprehensive understanding of the organization.

F. Reread the Organizational Profile and Eligibility Certification Form, noting (with highlighters or margin notes) the points that are particularly relevant and important to the proper evaluation of the applicant, as well as any emerging key themes. The applicant’s responses throughout the application and the Examiner’s evaluation should reflect the key business/organization factors (KFs) identified by the applicant in its Organizational Profile and in the Key Business/Organization Factors section of the applicant’s Eligibility Certification Form.

Step 2: Evaluate

A. Prepare the Key Factors Worksheet by listing the KFs for the applicant. The purpose of the Key Factors Worksheet is to give a concise summary of the most important aspects of the applicant’s organizational environment. Each KF describes a significant fact about or aspect of the applicant (e.g., environment, key working relationships, strategic challenges). The Key Factors Worksheet is generally 1–2 pages in length. It consists of phrases delineated by bullets and arranged into the five Areas to Address from the Preface: Organizational Profile section of the Criteria for Performance Excellence booklets (e.g., P.1a., Organizational Environment; P.1b., Organizational Relationships; P.2a., Competitive Environment).

B. Begin to prepare the Key Themes Worksheet. A key theme is a strength or opportunity for improvement (OFI) that is common to more than one Category (cross-cutting), is especially significant in terms of the applicant’s KFs, or addresses a Core Value of the Criteria. This worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review.

1. The Key Themes Worksheet should respond to three questions:

   a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?
b. What are the most significant opportunities, concerns, or vulnerabilities identified?

c. Considering the applicant’s KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

2. Several iterations of the Key Themes Worksheet will be made throughout the evaluation process. In the first iteration, Examiners should capture first impressions and not spend a great deal of time crafting the comments. The Key Themes Worksheet should be updated based on the analysis performed for the Item Worksheets. Once the Item Worksheets have been finalized, the Key Themes Worksheet should capture the final assessment of the three questions.

3. Comments on the final version of the Key Themes Worksheet should consist of a single complete thought tied to the Criteria requirements, the applicant’s KFs, or the Criteria Core Values, as appropriate. Each comment should be delineated by a bullet, and there should be two lines between comments. The Key Themes Worksheet is generally 2–3 pages in length and consists of comments that respond to the Key Themes questions. Comments should follow the Comment Guidelines on page 8.

4. The contents of the Key Themes Worksheet will be revised as part of the consensus review and/or the site visit review if an applicant proceeds to Stage 2 or Stage 3.

C. Prepare the Item Worksheet. Start by reading the Criteria requirements for the Item being reviewed, noting if the Item requests the applicant to discuss an approach and its deployment or the results of approaches discussed in other parts of the application.

1. Review the applicant’s KFs. These KFs should already be included on the Key Factors Worksheet. Identify and write the most important 4–6 KFs for this Item in the appropriate section of the Item Worksheet.

2. Read the applicant’s response to the same Item. Assess the applicant’s response against the Criteria requirements. It is helpful to make notes by highlighting key information and writing margin notes. If the applicant provides cross-references or relevant information elsewhere in the application report, Examiners should consider that information also in their assessment of the Item. However, Examiners should not make assumptions, positive or negative, that cannot be supported by the information presented in the application report.

3. Synthesize from your notes the most important observations into 6–10 comments about the applicant’s approach and deployment or results for the Item. Importance should be based on the content and completeness of the Approach-Deployment Item responses and the trends, performance, comparisons, breadth, and importance of Results Item responses, taking into account the organization’s KFs.

4. Record the comments as strengths or OFIs in the space provided on the Item Worksheet for that Item. Comments should meet the following requirements:

   • Each comment should consist of a single, simple, complete thought tied to the Criteria requirements. Comments also should be linked to the applicant’s KFs or the Criteria Core Values, as appropriate.
   
   • An OFI should be written for any Area to Address to which the applicant has not responded.
   
   • Comments should be prefaced with a + or ++ sign for strengths or a – or – – sign to indicate OFIs. The use of ++ and – – should indicate particularly important observations that have a major impact on the applicant’s score for the Item and/or particular significance to the applicant’s performance management system. Examiners should designate comments concerning important missing information with a – or – – sign. For both strengths and OFIs on each Item, use a, b, c, (1), (2), (3), to indicate the corresponding Area to Address found in the Item. An example of the use of these signs and typical comments is provided on page 8.

5. Begin scoring an Item by reviewing the Item requirements, the Item comments, and the relative importance of the strengths and OFIs.

   a. Read the description of the scoring ranges in the appropriate Scoring Guidelines on pages 31, 33, and 35 of this Scorebook. The Scoring Guidelines are divided into two parts: the left side contains scoring dimensions for Approach-Deployment Items, and the right side contains scoring dimensions for Results Items.

   Note: Approach-Deployment Item scoring ranges are determined by the strength of the applicant’s approach, deployment, improvement, and integration. Results scoring ranges are determined by levels, trends, comparisons, and relevance to improving the organization’s performance.
b. Determine the scoring range (0%, 10–20%, 30–40%, 50–60%, 70–80%, 90–100%) that best reflects the comments written about the applicant’s level of performance on the Item being scored. Each Item is scored independently; the scoring range for or impressions about one Item should not influence evaluations and scoring of other Items. Applicants typically will be stronger in some Items than others.

c. Determine an appropriate score within the scoring range (e.g., 30% out of the 30–40% range). For Stage 1, Independent Review, only multiples of 10 (i.e., 10%, 20%—not 15%, 28%) are used. Verify that the score for an Item is consistent with the comments, both in terms of the number of strengths and OFIs for the Item and the weight and substance of the comments themselves. For example, for an Item scoring at 20%, the majority of comments would be OFIs.

6. Reread the comments to ensure they are consistent with both the score and the language of the scoring range. Alter the comment language/score as necessary.

7. Record the application number, Item score, and Examiner’s initials in the spaces provided on the Item Worksheet.

8. **(For Stage 2, Consensus Review, Only)**
   - Consensus Teams are required to prepare a scorebook that represents the consensus opinion of the entire team. The consensus scorebook should include the Key Factors Worksheet, Key Themes Worksheet, Item Worksheets, and Score Summary Worksheet. Comments found in the consensus scorebook should be well-written, “feedback ready” comments. Therefore the comments must consist of 1–3 complete, actionable, nonprescriptive sentences that cite specific examples from the application, link to the applicant’s KFs or the Criteria Core Values as appropriate, and meet the content and style requirements of the Comment Guidelines.
   - Record site visit issues in the space provided on the Item Worksheet. These are major/important issues that would need to be verified or clarified on site in the event that the applicant goes to Stage 3, Site Visit Review. Issues for on-site verification include the applicant’s approach, the extent of deployment of the approach, and the results presented. For example, if a strength comment discusses the existence of a systematic process, the team would verify that the process exists and operates as presented in the written application. During the site visit, the Examiner Team will verify that appropriate credit was given during the consensus review of the written application. This is particularly true in instances where the Consensus Team gave the applicant the benefit of the doubt.

Issues for **clarification** include those that were unclear or not addressed in the application yet have been determined to be central to Item requirements and relevant and important to the applicant’s organization. This information gap may have prevented the Consensus Team from fully or fairly evaluating the applicant. For example, if the Item requires the applicant to present comparison data but those data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, how they are used and what the data show about the applicant’s reported results relative to other organizations. (Examples of site visit issues are shown below.)
• For Stage 2, Consensus Review, Examiners may use any whole number when coming to a consensus score (e.g., 15%, 28%, 60%). When using the average, if necessary, round the percent score to the nearest whole number (0–4 round down, 5–9 round up). Also, round the point scores to the nearest whole number.

9. **(For Stage 3, Site Visit Review, Only)** Please see the Site Visit Review section found at the back of this book for instruction on the use of the Item Worksheets during Stage 3, Site Visit Review. At Stage 3, Site Visit Review, no rescoring is done; however, the Site Visit Team will be asked to indicate the impact of its findings on the consensus score. The impact is captured by selecting one of the following options: raise small, raise large, lower small, lower large, or no change.

D. Repeat the above components of “Step 2: Evaluate” for each Item of the appropriate Criteria for Performance Excellence.

E. Complete the Key Themes Worksheet begun earlier in the evaluation process. Add, delete, or modify themes as a result of the analysis performed while preparing the Item Worksheets.

The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets. Instead, key themes offer a more comprehensive, higher-level perspective, based on strengths and OFIs common to more than one Category or Item, Category linkages, KFs, and Core Values. The Key Themes Worksheet should provide information from the evaluation of the written application and, when applicable, from the consensus and site visit review processes.

**Step 3: Finalize**

A. Review the Key Factors Worksheet, all Item Worksheets, and the Key Themes Worksheet, ensuring that

• comments are consistent within and among Items and Key Themes (e.g., an aspect of the application cannot be a strength in one Item/Key Theme and an OFI in the same or another Item/Key Theme); and

• comments cover the major points and objectives of the appropriate Criteria, focus on what is important to the applicant as determined by the KFs, or reflect the Core Values.

B. Provide the appropriate Score Summary Worksheet (Business, Education, or Health Care), with scores for each Category and Item.

1. Transfer the percent score from each Item Worksheet to Column B of the appropriate Score Summary Worksheet.

2. Compute and record the point score for each Item in Column C, rounding to the nearest whole number, as necessary.

3. Compute and record in Column C (Sum C) the Category score for each Category by adding together the Item points.

4. Compute and record at “D” a Grand Total by summing the Category point scores in Column C.

5. Verify scores and calculations.

C. Complete the cover sheet, indicating the number of hours spent completing the evaluation.

D. Sign the Conflict of Interest and the Code of Ethical Standards Statements, indicating that you have no conflict with this applicant and will abide by the Code of Ethical Standards.

E. Complete the Checklist on page 38.

F. Assemble a paper copy of the Scorebook with the pages in the following order:

1. the cover sheet
2. the Key Factors Worksheet
3. the Key Themes Worksheet
4. one Item Worksheet for each Item
5. the appropriate Score Summary Worksheet
6. a signed Conflict of Interest Statement
7. a signed Code of Ethical Standards Statement
8. a completed Checklist

**Step 4: Return**

A. Insert the completed Scorebook (*not* the application) in the return envelope provided by ASQ. Return it to ASQ by the due date given on the front cover of the Scorebook.

1. ASQ will provide the overnight mail service account number to be used.

2. The package should be sent by overnight carrier to ASQ’s street address:
   Malcolm Baldrige National Quality Award
   American Society for Quality
   600 North Plankinton Avenue
   Milwaukee, WI 53203
   (800) 248-1946, ext. 7205

B. Contact ASQ if you do not receive a fax acknowledging receipt of the Scorebook.

C. Retain the application until notified by ASQ to return it, and then respond to that request immediately. ASQ will acknowledge receipt by fax.

D. After being notified by ASQ that the application has been received, the Examiner should destroy all computer files and notes relating to the application.
Sample Comments

The following are examples of comments that meet the Comment Guidelines.

**Item 2.1**

+ b(2) The Strategic Planning Process (Figure 2.1-1) uses a systematic approach to determine short-term organizational strategic objectives that considers the needs of all key stakeholders (Figure 2.1-3) aligned with the applicant’s most important strategic challenges.

− − a(2) Although the applicant uses a systematic strategy development process (Strategic Planning Process, Figure 2.1-1) to develop short-term plans and objectives, there does not appear to be a longer-term planning process that includes long-term considerations such as market changes, customer requirements, and competitive environment or that develops longer-term strategic plans and objectives.

**Item 6.2**

− a(4) Although the applicant obtains feedback from all stakeholders regarding the management of student services, there is no process in place to systematically use this feedback for improvement of the services.

**Item 7.1**

− a Although the applicant identifies several key student groups (physically disabled, single parent, and economically disadvantaged) as important to its overall success, few results data are segmented by these different student groups.

### Comment Guidelines

<table>
<thead>
<tr>
<th>Content Guidelines</th>
<th>Style Guidelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Uses a <strong>single, simple, complete thought</strong> to clearly specify the strength (using specific examples from the application) or OFI (using specific omissions or problems identified from the application).</td>
<td>1. For Stage 1 and 2 Scorebooks, use such words as “the applicant,” “the organization,” “the company,” or “the school,” to refer to the applicant. The applicant’s name is used only in Stage 3 Scorebooks.</td>
</tr>
<tr>
<td>2. Addresses central requirements of the Criteria and does not go beyond the requirements of the Criteria.</td>
<td>2. Uses the applicant’s terminology when appropriate.</td>
</tr>
<tr>
<td>3. Is most relevant and important to the applicant based on its key factors.</td>
<td>3. Uses a polite, professional, and positive tone.</td>
</tr>
<tr>
<td>4. Draws linkages between Items or between an Item and the applicant’s Organizational Profile.</td>
<td>4. For Stage 1 and 2 Scorebooks, tell what is missing if something “is not clear.” However, do not use “It is not clear” in Stage 3 Scorebooks.</td>
</tr>
<tr>
<td>5. Does not contradict other comments found elsewhere in the scorebook. Contradictions may occur when a writer does not clearly specify the strength or opportunity as noted above.</td>
<td>5. Highlights an applicant’s substantive strength or OFI, not its writing style or graphics. For example, it avoids phrases such as “should be addressed in Item 3.2,” “x axis is not clear,” or “is poorly described,” because these are criticisms of the writing, not the applicant’s performance system.</td>
</tr>
<tr>
<td>6. Is nonprescriptive. Refrain from using “could,” “should,” and “would.”</td>
<td>6. Identifies strengths or OFIs according to where the Item falls in the Criteria, not by where the applicant places the information in the application.</td>
</tr>
<tr>
<td>7. Is nonjudgmental. Refrain from using terms such as “good,” “bad,” or “inadequate.” State the observation in a factual manner, e.g., “customer satisfaction rates have increased over the past three years.”</td>
<td>7. Uses vocabulary and phraseology from the Criteria, Core Values, and Scoring Guidelines.</td>
</tr>
<tr>
<td>8. Avoids jargon and acronyms, unless they are used by the applicant.</td>
<td>8. Avoids jargon and acronyms, unless they are used by the applicant.</td>
</tr>
<tr>
<td>9. Provides a figure number when reference is made to information from a figure.</td>
<td>9. Provides a figure number when reference is made to information from a figure.</td>
</tr>
</tbody>
</table>
Worksheet Format Essentials

Key Factors Worksheet
• Organize into five sections, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, Performance Improvement System) from the “Preface: Organizational Profile” section of the appropriate Criteria for Performance Excellence booklet.
• Limit the worksheet to 1–2 pages.
• Use phrases rather than complete sentences.
• Delineate phrases with bullets.
• Use a single line between phrases.
• Leave two lines between each of the five sections.

Key Themes Worksheet
• Organize into three sections to address the three questions concerning important strengths, significant opportunities, and key results.
• Limit the worksheet to 2–3 pages.
• Write 2–3 sentences per comment.
• Write comments that use complete sentences and that meet the Comment Guidelines.
• Delineate comments with bullets.
• Leave two lines between each of the comments.
• For Stage 2 and Stage 3, write comments that are “feedback ready.” These comments should consist of 1–3 complete, actionable, nonprescriptive sentences that cite specific examples from the application, link to the applicant's KFs or the Criteria Core Values as appropriate, and also meet both the Content and Style requirements of the Comment Guidelines.

Item Worksheet
• Complete one worksheet for each Item.
• Organize the information into three sections addressing the most important key business/organization factors, strengths, and opportunities for improvement.
• Limit the worksheet to 1–2 pages.
• Capture the 4–6 most important Key Factors for the Item.
• Use a single, simple, complete thought per comment.
• Write 1–3 sentences per comment.
• Provide 6–10 comments per Item.
• Write comments that meet the Comment Guidelines.
• Use notations (e.g., a, b, c and +, ++, −, −−) to delineate comments.
• Leave two lines between each of the comments.
• Complete the Site Visit Issues section for Stage 2 only—do not fill out this section for Stages 1 and 3.
• Complete the Change Due to Site Visit Findings section only for Stage 3; do not fill out this section for Stages 1 and 2.
• For Stage 2 and Stage 3, write comments that are “feedback ready.” These comments should consist of 1–3 complete, actionable, nonprescriptive sentences that cite specific examples from the application, link to the applicant's KFs or the Criteria Core Values as appropriate, and also meet both the Content and Style requirements of the Comment Guidelines.
To begin the evaluation process, review the applicant’s Organizational Profile and the Eligibility Certification Form. List the key business/organization factors for this applicant, using the Areas to Address (Organizational Environment, Organizational Relationships, Competitive Environment, Strategic Challenges, Performance Improvement System) in the order presented in the “Preface: Organizational Profile” section of the appropriate *Criteria for Performance Excellence* booklet.
The Key Themes Worksheet provides an overall summary of the key points in the evaluation of the application and is an assessment of the key themes to be explored if the applicant proceeds to Stage 2, Consensus Review, and/or Stage 3, Site Visit Review. These themes may be at a Category level, cut across the application, or address a Core Value of the Criteria.

The Key Themes Worksheet should respond to the three questions below:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) identified?

b. What are the most significant opportunities, concerns, or vulnerabilities identified?

c. Considering the applicant’s key business/organization factors, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

ITEM VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large   _ raise small   _ no change   _ lower small   _ lower large
Item Worksheet—Item 1.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

**+/++ Area to Address (+) STRENGTHS**

**--/-- Area to Address (–) OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large  _ raise small  _ no change  _ lower small  _ lower large
Item Worksheet—Item 2.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

Area to Address (+) STRENGTHS

Area to Address (−) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

____ raise large  ____ raise small  ____ no change  ____ lower small  ____ lower large
**Item Worksheet—Item 2.2**

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

<table>
<thead>
<tr>
<th>+/-</th>
<th>Area to Address</th>
<th>(+) STRENGTHS</th>
</tr>
</thead>
<tbody>
<tr>
<td>/--</td>
<td>Area to Address</td>
<td>(-) OPPORTUNITIES FOR IMPROVEMENT</td>
</tr>
</tbody>
</table>

**SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):**

**Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):**

- [ ] raise large
- [ ] raise small
- [ ] no change
- [ ] lower small
- [ ] lower large
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

POSITIVES

+/-+ Area to Address (+) STRENGTHS

NEGATIVES

-/-- Area to Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large _ raise small _ no change _ lower small _ lower large
Item Worksheet—Item 3.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/-+ Area to Address (+) STRENGTHS

-/-- Area to Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large   _ raise small   _ no change   _ lower small   _ lower large
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/- Address (+) STRENGTHS

-/- Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large _ raise small _ no change _ lower small _ lower large
Item Worksheet—Item 4.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/++ Area to Address (+) STRENGTHS

−−− Area to Address (−) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large _ raise small _ no change _ lower small _ lower large
Item Worksheet—Item 5.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/-+ Area to Address (+) STRENGTHS

-/-- Area to Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large _ raise small _ no change _ lower small _ lower large
Prepare one Item Worksheet for each Item, capturing the 6-10 most important strengths and opportunities for improvement based on the applicant's response to the Criteria requirements and its organizational Key Factors.

Indicate the 4-6 most important key business/organization factors relevant to this Item:

**STRENGTHS**

**OPPORTUNITIES FOR IMPROVEMENT**

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

- raise large
- raise small
- no change
- lower small
- lower large

Item Worksheet—Item 5.2
Item Worksheet—Item 5.3

Application Number___________ Percent Score_______ Examiner’s Initials_______

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/+- Area to Address (+) STRENGTHS

-/-- Area to Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large  _ raise small  _ no change  _ lower small  _ lower large
### Item Worksheet—Item 6.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

<table>
<thead>
<tr>
<th>Area to Address</th>
<th>(+) STRENGTHS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area to Address</td>
<td>(-) OPPORTUNITIES FOR IMPROVEMENT</td>
</tr>
</tbody>
</table>

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large   _ raise small   _ no change   _ lower small   _ lower large
### Item Worksheet—Item 6.2

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

**Indicate the 4–6 most important key business/organization factors relevant to this Item:**

<table>
<thead>
<tr>
<th>Area to</th>
<th>Address</th>
<th>(+) STRENGTHS</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Area to</th>
<th>Address</th>
<th>(−) OPPORTUNITIES FOR IMPROVEMENT</th>
</tr>
</thead>
</table>

**SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):**

**Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):**

- [ ] raise large
- [ ] raise small
- [ ] no change
- [ ] lower small
- [ ] lower large
Item Worksheet—Item 6.3

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/++ Area to Address (+) STRENGTHS

–/– Area to Address (−) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):
_ raise large _ raise small _ no change _ lower small _ lower large
Item Worksheet—Item 7.1

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/++ Area to Address (+) STRENGTHS

/---- Area to Address (−) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large    _ raise small    _ no change    _ lower small    _ lower large
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/++  Area to Address  (+) STRENGTHS

-/--  Area to Address  (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):
_ raise large  _ raise small  _ no change  _ lower small  _ lower large
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improve-ment based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

**Area to Address (+) STRENGTHS**

**Area to Address (–) OPPORTUNITIES FOR IMPROVEMENT**

**SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):**

**Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):**

_ raise large  _ raise small  _ no change  _ lower small  _ lower large
Item Worksheet—Item 7.4

Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/++ Area to Address (+) STRENGTHS

-/-- Area to Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_values
---
raise large  raise small  no change  lower small  lower large
Prepare one Item Worksheet for each Item, capturing the 6–10 most important strengths and opportunities for improvement based on the applicant’s response to the Criteria requirements and its organizational Key Factors.

Indicate the 4–6 most important key business/organization factors relevant to this Item:

+/- Address (+) STRENGTHS

-/- Address (-) OPPORTUNITIES FOR IMPROVEMENT

SITE VISIT ISSUES (For Stage 2, Consensus Review, Only):

Change Due to Site Visit Findings (For Stage 3, Site Visit Review, Only):

_ raise large _ raise small _ no change _ lower small _ lower large

Item Worksheet—Item 7.5 (for Education Criteria only)
<table>
<thead>
<tr>
<th>SCORE</th>
<th>APPROACH-DEPLOYMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
<td>- No systematic approach is evident; information is anecdotal.</td>
</tr>
</tbody>
</table>
| 10% to 20% | - The beginning of a systematic approach to the basic purposes of the Item is evident.  
- Major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item.  
- Early stages of a transition from reacting to problems to a general improvement orientation are evident.                                                                                                                                                                                                                                                                 |
| 30% to 40% | - An effective, systematic approach, responsive to the basic purposes of the Item, is evident.  
- The approach is deployed, although some areas or work units are in early stages of deployment.  
- The beginning of a systematic approach to evaluation and improvement of basic Item processes is evident.                                                                                                                                                                                                                     |
| 50% to 60% | - An effective, systematic approach, responsive to the overall purposes of the Item and your key business requirements, is evident.  
- The approach is well deployed, although deployment may vary in some areas or work units.  
- A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes.  
- The approach is aligned with your basic organizational needs identified in the other Criteria Categories.                                                                                                                                                                           |
| 70% to 80% | - An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing business needs, is evident.  
- The approach is well deployed, with no significant gaps.  
- A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing.  
- The approach is well integrated with your organizational needs identified in the other Criteria Categories.                                                                                                                                 |
| 90% to 100% | - An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing business needs, is evident.  
- The approach is fully deployed without significant weaknesses or gaps in any areas or work units.  
- A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing, are evident.  
- The approach is fully integrated with your organizational needs identified in the other Criteria Categories.                                                                                                                                 |

<table>
<thead>
<tr>
<th>SCORE</th>
<th>RESULTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
<td>- There are no results or poor results in areas reported.</td>
</tr>
</tbody>
</table>
| 10% to 20% | - There are some improvements and/or early good performance levels in a few areas.  
- Results are not reported for many to most areas of importance to your organization's key business requirements.                                                                                                                                                                                                                                          |
| 30% to 40% | - Improvements and/or good performance levels are reported in many areas of importance to your organization's key business requirements.  
- Early stages of developing trends and obtaining comparative information are evident.  
- Results are reported for many to most areas of importance to your organization's key business requirements.                                                                                                                                                                              |
| 50% to 60% | - Improvement trends and/or good performance levels are reported for most areas of importance to your organization's key business requirements.  
- No pattern of adverse trends and no poor performance levels are evident in areas of importance to your organization's key business requirements.  
- Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of strength and/or good to very good relative performance levels.  
- Business results address most key customer, market, and process requirements.                                                                                                                        |
| 70% to 80% | - Current performance is good to excellent in areas of importance to your organization's key business requirements.  
- Most improvement trends and/or current performance levels are sustained.  
- Many to most trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance levels.  
- Business results address most key customer, market, process, and action plan requirements.                                                                                                                     |
| 90% to 100% | - Current performance is excellent in most areas of importance to your organization's key business requirements.  
- Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.  
- Evidence of industry and benchmark leadership is demonstrated in many areas.  
- Business results fully address key customer, market, process, and action plan requirements.                                                                                                                                   |
## Score Summary Worksheet—Business Criteria

### Summary of Criteria Items

<table>
<thead>
<tr>
<th>Category</th>
<th>Total Points Possible</th>
<th>Percent Score 0–100% (Stage 1—Use 10% Units)</th>
<th>Score (A x B)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Category 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>80</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>120</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 2</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2</td>
<td>45</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>85</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 3</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2</td>
<td>45</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>85</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 4</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1</td>
<td>50</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>90</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 5</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>5.1</td>
<td>35</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2</td>
<td>25</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.3</td>
<td>25</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>85</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 6</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.1</td>
<td>45</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.2</td>
<td>25</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.3</td>
<td>15</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>85</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>Category 7</strong></td>
<td></td>
<td></td>
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<tr>
<td>7.1</td>
<td>125</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.2</td>
<td>125</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.3</td>
<td>80</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.4</td>
<td>120</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Category Total</strong></td>
<td>450</td>
<td></td>
<td>SUM C</td>
</tr>
<tr>
<td><strong>GRAND TOTAL (D)</strong></td>
<td>1000</td>
<td></td>
<td>D</td>
</tr>
<tr>
<td>SCORE</td>
<td>APPROACH-DEPLOYMENT</td>
<td>RESULTS</td>
<td></td>
</tr>
<tr>
<td>--------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>0%</td>
<td>- No systematic approach is evident; information is anecdotal.</td>
<td>- There are no results or poor results in areas reported.</td>
<td></td>
</tr>
</tbody>
</table>
| 10% to 20% | - The beginning of a systematic approach to the basic purposes of the Item is evident.  
- Major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item.  
- Early stages of a transition from reacting to problems to a general improvement orientation are evident.                                                                                                                                                                                                                       | - There are some improvements and/or early good performance levels in a few areas.  
- Results are not reported for many to most areas of importance to your key organizational requirements.                                                                                                                                                                                                                                                             |
| 30% to 40% | - An effective, systematic approach, responsive to the basic purposes of the Item, is evident.  
- The approach is deployed, although some areas or work units are in early stages of deployment.  
- The beginning of a systematic approach to evaluation and improvement of basic Item processes is evident.                                                                                                                                                                                                                                                                                                                                                                         | - Improvements and/or good performance levels are reported in many areas of importance to your key organizational requirements.  
- Early stages of developing trends and obtaining comparative information are evident.  
- Results are reported for many to most areas of importance to your key organizational requirements.                                                                                                                                                                                                                                            |
| 50% to 60% | - An effective, systematic approach, responsive to the overall purposes of the Item and your key organizational requirements, is evident.  
- The approach is well deployed, although deployment may vary in some areas or work units.  
- A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes.  
- The approach is aligned with your basic organizational needs identified in the other Criteria Categories.                                                                                                                                                                                                                                                                                                                                                               | - Improvement trends and/or good performance levels are reported for most areas of importance to your key organizational requirements.  
- No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements.  
- Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of strength and/or good to very good relative performance levels.  
- Organizational performance results address most key student/stakeholder, market, and process requirements.                                                                                                                                                                                                 |
| 70% to 80% | - An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing educational service needs, is evident.  
- The approach is well deployed, with no significant gaps.  
- A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing.  
- The approach is well integrated with your organizational needs identified in the other Criteria Categories.                                                                                                                                                                                                                                                                                                                                                           | - Current performance is good to excellent in areas of importance to your key organizational requirements.  
- Most improvement trends and/or current performance levels are sustained.  
- Many to most trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance levels.  
- Organizational performance results address most key student/stakeholder, market, process, and action plan requirements.                                                                                                                                                                                                                                 |
| 90% to 100% | - An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing educational service needs, is evident.  
- The approach is fully deployed without significant weaknesses or gaps in any areas or work units.  
- A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing, are evident.  
- The approach is fully integrated with your organizational needs identified in the other Criteria Categories.                                                                                                                                                                                                                                                                                                                                                   | - Current performance is excellent in most areas of importance to your key organizational requirements.  
- Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.  
- Evidence of education sector and benchmark leadership is demonstrated in many areas.  
- Organizational performance results fully address key student/stakeholder, market, process, and action plan requirements.                                                                                                                                                                                                                             |
## Score Summary Worksheet—Education Criteria

### Summary of Criteria Items

<table>
<thead>
<tr>
<th>Category</th>
<th>Total Points Possible</th>
<th>Percent Score 0–100% (Stage 1—Use 10% Units)</th>
<th>Score (A x B) C</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong></td>
<td><strong>B</strong></td>
<td></td>
<td><strong>C</strong></td>
</tr>
<tr>
<td>Category 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>80</td>
<td></td>
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</tr>
<tr>
<td>1.2</td>
<td>40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Category Total</td>
<td>120</td>
<td></td>
<td>Sum C</td>
</tr>
</tbody>
</table>

| Category 2 |                       |                                             |                 |
| 2.1       | 40                    |                                             |                 |
| 2.2       | 45                    |                                             |                 |
| Category Total | 85             |                                             | Sum C           |

| Category 3 |                       |                                             |                 |
| 3.1       | 40                    |                                             |                 |
| 3.2       | 45                    |                                             |                 |
| Category Total | 85            |                                             | Sum C           |

| Category 4 |                       |                                             |                 |
| 4.1       | 50                    |                                             |                 |
| 4.2       | 40                    |                                             |                 |
| Category Total | 90           |                                             | Sum C           |

| Category 5 |                       |                                             |                 |
| 5.1       | 35                    |                                             |                 |
| 5.2       | 25                    |                                             |                 |
| 5.3       | 25                    |                                             |                 |
| Category Total | 85           |                                             | Sum C           |

| Category 6 |                       |                                             |                 |
| 6.1       | 50                    |                                             |                 |
| 6.2       | 20                    |                                             |                 |
| 6.3       | 15                    |                                             |                 |
| Category Total | 85           |                                             | Sum C           |

| Category 7 |                       |                                             |                 |
| 7.1       | 200                   |                                             |                 |
| 7.2       | 70                    |                                             |                 |
| 7.3       | 40                    |                                             |                 |
| 7.4       | 70                    |                                             |                 |
| 7.5       | 70                    |                                             |                 |
| Category Total | 450           |                                             | Sum C           |

| GRAND TOTAL (D) | 1000 |                 |

Examiner’s Name __________________________ Application Number __________________________
<table>
<thead>
<tr>
<th>SCORE</th>
<th>APPROACH-DEPLOYMENT</th>
</tr>
</thead>
<tbody>
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<td>30% to 40%</td>
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<td></td>
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</tr>
<tr>
<td>70% to 80%</td>
<td>- An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing health care needs, is evident.</td>
</tr>
<tr>
<td></td>
<td>- The approach is well deployed, with no significant gaps.</td>
</tr>
<tr>
<td></td>
<td>- A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing.</td>
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<tr>
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<td>- The approach is well integrated with your organizational needs identified in the other Criteria Categories.</td>
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</tr>
<tr>
<td></td>
<td>- The approach is fully deployed without significant weaknesses or gaps in any areas or work units.</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>- The approach is fully integrated with your organizational needs identified in the other Criteria Categories.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SCORE</th>
<th>RESULTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
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</tr>
<tr>
<td>10% to 20%</td>
<td>- There are some improvements and/or early good performance levels in a few areas.</td>
</tr>
<tr>
<td></td>
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<tr>
<td>30% to 40%</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>- No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements.</td>
</tr>
<tr>
<td></td>
<td>- Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of strength and/or good to very good relative performance levels.</td>
</tr>
<tr>
<td></td>
<td>- Organizational performance results address most key customer, market, and process requirements.</td>
</tr>
<tr>
<td>70% to 80%</td>
<td>- Current performance is good to excellent in areas of importance to your key organizational requirements.</td>
</tr>
<tr>
<td></td>
<td>- Most improvement trends and/or current performance levels are sustained.</td>
</tr>
<tr>
<td></td>
<td>- Many to most trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance levels.</td>
</tr>
<tr>
<td></td>
<td>- Organizational performance results address most key customer, market, process, and action plan requirements.</td>
</tr>
<tr>
<td>90% to 100%</td>
<td>- Current performance is excellent in most areas of importance to your key organizational requirements.</td>
</tr>
<tr>
<td></td>
<td>- Excellent improvement trends and/or sustained excellent performance levels are reported in most areas.</td>
</tr>
<tr>
<td></td>
<td>- Evidence of health care sector and benchmark leadership is demonstrated in many areas.</td>
</tr>
<tr>
<td></td>
<td>- Organizational performance results fully address key customer, market, process, and action plan requirements.</td>
</tr>
</tbody>
</table>
Score Summary Worksheet—Health Care Criteria

<table>
<thead>
<tr>
<th>Summary of Criteria Items</th>
<th>Total Points Possible</th>
<th>Percent Score 0–100% (Stage 1—Use 10% Units)</th>
<th>Score (A x B)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Category 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>75</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>45</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Category Total</td>
<td>120</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| **Category 2**            |                       |                                              |              |
| 2.1                       | 40                    |                                              |              |
| 2.2                       | 45                    |                                              |              |
| Category Total            | 85                    |                                              |              |

| **Category 3**            |                       |                                              |              |
| 3.1                       | 40                    |                                              |              |
| 3.2                       | 45                    |                                              |              |
| Category Total            | 85                    |                                              |              |

| **Category 4**            |                       |                                              |              |
| 4.1                       | 50                    |                                              |              |
| 4.2                       | 40                    |                                              |              |
| Category Total            | 90                    |                                              |              |

| **Category 5**            |                       |                                              |              |
| 5.1                       | 35                    |                                              |              |
| 5.2                       | 25                    |                                              |              |
| 5.3                       | 25                    |                                              |              |
| Category Total            | 85                    |                                              |              |

| **Category 6**            |                       |                                              |              |
| 6.1                       | 45                    |                                              |              |
| 6.2                       | 25                    |                                              |              |
| 6.3                       | 15                    |                                              |              |
| Category Total            | 85                    |                                              |              |

| **Category 7**            |                       |                                              |              |
| 7.1                       | 125                   |                                              |              |
| 7.2                       | 125                   |                                              |              |
| 7.3                       | 80                    |                                              |              |
| 7.4                       | 120                   |                                              |              |
| Category Total            | 450                   |                                              |              |

GRAND TOTAL (D) 1000

Examiner’s Name __________________________________ Application Number _______________________________
CONFLICT OF INTEREST STATEMENT

As a member of the MBNQA Board of Examiners, I have voluntarily disclosed to the administrators of the Award Program the identity of my employers and clients—past, present, or potential—whose interest could be favorably or unfavorably affected by my actions while acting as a member of the Board. This includes disclosure of

- organizations in which I have financial holdings, including stock ownership and pension interests
- affiliations that may present or seem to present a conflict of interest, including my current and recent employers’ key customers, key suppliers, key competitors, and other key stakeholders, as well as the employers of my immediate family members and/or significant others

I confirm the accuracy of the submissions I have made, and I reaffirm my willingness to abide by the Code of Ethical Standards on the following page.

I reaffirm that I am not aware of any personal conflict of interest with this applicant. I will not disclose any information gained through the evaluation of the applicant about the applicant or applicant’s clients, competitors, customers, suppliers, or any other person or organization to anyone other than those in the Baldrige National Quality Program directly involved with the applicant review process.

Name of Award Applicant: _________________________________________________________________________________

Signature of Examiner:_________________________________________________ Date:_____________________________

For Site Visits Only:

Program Concurrence:_______________________________________________ Date:_____________________________
CODE OF ETHICAL STANDARDS/DECLARATION OF PRINCIPLES

Members of the Malcolm Baldrige National Quality Award Board of Examiners pledge to uphold their professional principles in the fulfillment of their responsibilities as defined in the administration of Public Law 100-107, the Malcolm Baldrige National Quality Improvement Act of 1987, which establishes the Malcolm Baldrige National Quality Award.

In promoting high standards of public service and ethical conduct, board members

- shall conduct themselves professionally, with truth, accuracy, fairness, respect, and responsibility to the public
- shall not represent conflicting or competing interests nor place themselves in such a position where the Board member’s interest may be in conflict, or appear to be in conflict, with the purposes and administration of the Award
- shall safeguard the confidences of all parties involved in the judging or examination of present or former applicants
- shall not offer confidential information or disclosures that may in any way influence the Award integrity or process, currently or in the future
- shall not serve any private or special interest in fulfillment of the duties of a Judge or Examiner, therefore excluding, by definition, the examination of any organization or subunit of an organization by which he/she is employed or with which a consulting arrangement is in effect or anticipated
- shall not serve as Examiner of a primary competitor, customer, or supplier of any organization or subunit of an organization of which he/she is an employee, has a financial interest or is involved in, or anticipates a consulting arrangement
- shall not intentionally communicate false or misleading information that may compromise the integrity of the Award process or decisions therein
- shall never approach an organization they have evaluated for their personal gain, including the establishment of an employment or consulting relationship
- if approached by an organization they have evaluated, shall not accept employment from that organization for a period of five years after the evaluation

Furthermore, it is pledged that as a member in good standing of the Malcolm Baldrige National Quality Award Board of Examiners, each board member shall strive to enhance and advance the Malcolm Baldrige National Quality Award as it serves to stimulate American companies and organizations to improve quality, productivity, and overall performance.

Signature of Examiner:__________________________________________ Date:_____________________________

CHECKLIST

Application Number __________________________ Examiner’s Initials __________________________

Before you return this Scorebook to ASQ:

☐ If this is the Stage 1 review, have you scored each Item in increments of 10% (e.g., 10%, 20%, 30%)?
☐ Have you included the following in the package to be returned?

  ___ the cover sheet of the Scorebook (with the appropriate Criteria and process stage boxes checked)?
  ___ the Key Factors Worksheet?
  ___ the Key Themes Worksheet?
  ___ Item Worksheets for all Items?
  ___ the appropriate Score Summary Worksheet (Business, Education, or Health Care)?
  ___ a signed Conflict of Interest Statement?
  ___ a signed Code of Ethical Standards Statement?
  ___ a completed Checklist?
The Worksheets in This Section Are Used Only at Stage 3, Site Visit Review
Introduction and General Instructions—Stage 3, Site Visit Review

Introduction

The Scorebook at Stage 3, Site Visit Review, contains the following forms and worksheets:

- Key Factors Worksheet
- Key Themes Worksheet
- Item Worksheet
- Site Visit Issue Worksheet
- Summary of Sites Visited
- Score Summary Worksheet—Site Visit
- signature page

The Site Visit Issue Worksheet, Summary of Sites Visited, Score Summary Worksheet—Site Visit, and signature page are all specific to Stage 3, Site Visit Review.

The Site Visit Team may also download copies of the Scorebook from the Baldrige Web site at http://www.quality.nist.gov/01scorebook.htm or create similar worksheets on a word processor. The worksheets are described below.

Key Factors Worksheet at Stage 3, Site Visit

The Key Factors Worksheet records the key business/organization factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the Consensus Scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation.

Key Themes Worksheet at Stage 3, Site Visit

The Key Themes Worksheet provides key points and an overall summary of the Site Visit Team’s evaluation of the applicant. It is an update of the Key Themes Worksheet from Stage 2, Consensus Review. Please limit the summary to 2–3 pages.

This information is based on the overall context provided by the evaluation framework (the Criteria Categories) and the Core Values and Concepts (found in the appropriate Criteria for Performance Excellence [Business, Education, or Health Care]) that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Item Worksheets but rather should put them in perspective, taking into account Category linkages, KFs, and Core Values.

The Key Themes Worksheet should respond to the following questions:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?

b. What are the most significant opportunities, concerns, or vulnerabilities that the team identified?

c. Considering the applicant’s KFs, what are the most significant strengths, opportunities, vulnerabilities, and/or gaps (related to data, comparisons, linkages) found in its response to Results Items?

Item Worksheet at Stage 3, Site Visit

This worksheet is the team’s record of its final evaluation of the applicant for each of the Criteria Items.

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: (1) the Consensus Scorebook, (2) resolution of the site visit issues, and (3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges’ deliberations and for the feedback report.

At Stage 3, Site Visit Review, no rescoring is done; however, the Site Visit Team will be asked to indicate the impact of its findings on the consensus score. The impact is captured by selecting one of the following options: raise small (10% or less), raise large (20% or more), lower small (10% or less), lower large (20% or more), or no change. As each Item Worksheet is completed, the team records at the bottom of the form the original consensus score for the Item and checks the appropriate space to indicate what change, if any, the site visit findings would have on the score.

Site Visit Issue Worksheet

The Site Visit Issue Worksheet is used initially to describe an issue that needs verification and/or clarification during the site visit and outlines the strategy to be used to obtain the information needed for verification/clarification. Site visit issues are identified by the team during the consensus process and then reviewed and refined during site visit
planning. Team members target those issues that will best contribute to their understanding of the performance of the applicant relative to the Criteria requirements.

After site visit issues have been identified, but before the site visit begins, the issues are prioritized (e.g., high, medium, low). Record the priority at the top of the page. Record the consensus evaluation of the issue, i.e., whether it was a strength (+/+++), OFI (−/−−), or was not evaluated during consensus.

Only one issue is recorded per worksheet. During the site visit, any new issue identified is recorded on a separate worksheet.

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening while on the site visit, Examiners review their notes and electronically record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the Site Visit Scorebook.

In team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations, specific answers, and/or updated results that clearly relate to the resolution of the site visit issue and may lead to revisions of the Item Worksheet comments. Conclusions indicate how the findings affect Item comments; they do not include value judgments. Until the site visit is complete, preliminary conclusions are subject to change as new information becomes available. The team discussions and preliminary conclusions will help guide the team’s work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item’s score (i.e., raise, no effect, lower) and places a check at the bottom of the form to indicate its decision.

Summary of Sites Visited

The Summary of Sites Visited contains information about the extent and thoroughness of the site visit. The team will list the major locations of the applicant that were visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Eligibility Certification Form. Examples of such aspects might include the oldest facility, the site with a major reduction in force, the location where the newest product will be manufactured, or the telephone or data service center that runs three shifts. In addition, Examiners describe approaches they used to evaluate sites that they did not visit, including sites outside the United States.

This worksheet also contains any other information on the team’s strategy for a thorough site visit. Examples might include the following: “interviewed employees on all three shifts”; “interviewed categories/types of employees”; “visited at least one location in all of the operating regions”; or “did a sampling at all levels and in all locations of the organization’s critical data systems.”

Requirements for a Good Scorebook

When completed, the Site Visit Scorebook will contain a well-documented, nonbiased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will

• start with the Consensus Scorebook and site visit issues;
• show the strategy of the site visit, as illustrated by the sites visited, the site visit issues chosen, and the new findings;
• describe in the Site Visit Issue Worksheets how the site visit findings modify the conclusions drawn in the original Consensus Scorebook;
• show how the Item Worksheets are revised based on the site visit findings;
• show how the team’s conclusions in the Key Themes Worksheet can be traced from the Item worksheets; and
• show how the linkages identified in the Key Themes Worksheet are reflected in the Item worksheets.

Score Summary Worksheet—Site Visit

The scores and their revisions should be transferred from the Item Worksheets to the Score Summary Worksheet—Site Visit. Then check the appropriate space to indicate what change, if any, the site visit findings would have on the overall score. The team also will decide if the overall score for each category and the application would have changed and record these determinations on the Score Summary Worksheet.

Signature Page

The final requirement of the Site Visit Team members is the completion of the signature page of the Scorebook. The statement reads, “I support the findings of the Site Visit Team contained in this Scorebook.” In the spaces provided, Site Visit Team members should print their names and then sign the form.
Site Visit Scorebook Composition

When the Site Visit Scorebook writing is finished, the Site Visit Team assembles the completed Scorebook in the following order:

1. the cover sheet
2. the Summary of Sites Visited
3. the Key Factors Worksheet
4. the Key Themes Worksheet
5. one Item Worksheet for each Item
6. the Site Visit Issue Worksheet(s) (number varies)
7. the Score Summary Worksheet—Site Visit
8. the signature page

Site Visit Scorebook Submission

At the conclusion of the site visit, the Site Visit Team makes four copies of the completed Site Visit Scorebook (in hard copy and on disk) and sends the original via overnight mail to

Malcolm Baldrige National Quality Award
American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203
(800) 248-1946, ext. 7205

The team leader, backup team leader, and Scorebook editor will each retain a copy. The NIST monitor will hand carry a copy of the report to NIST.
Site Visit Issue Worksheet

(Record only one issue per page.)

Application Number__________  Priority__________ (High, Medium, Low)  Examiner’s Initials______

Item Ref: __________  Issue:

This worksheet explores an issue requiring verification and/or clarification at the site visit.

Consensus Evaluation:  Strength ___ + ___ ++  Opportunity for Improvement ___ – ___ ––  Not originally evaluated ___

Strategy (What information do you need, and how do you intend to obtain it, e.g., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make?):

Findings (What observations, specific answers, and/or updated results did you find during the site visit?):

Conclusions (What is the resolution of this site visit issue based on your findings? Include a statement regarding how the conclusion impacts comments on a specific Item Worksheet or the Key Themes Worksheet—give the Item Worksheet number, and indicate the specific comment being revised, deleted, or replaced?):

Effect of Findings/Conclusions on Score:   ___ raise  ___ no effect  ___ lower
(If more than one finding, put “*” next to the most important one for the score change.)
Summary of Sites Visited

Application Number__________

This worksheet conveys the extent and thoroughness of the site visit.

---------------------------------
Length of the Site Visit (number of days with the applicant):

---------------------------------
Sites Visited (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors section in the Eligibility Certification Form):

---------------------------------
Approaches used to evaluate sites not visited, including sites outside of the United States (if appropriate):

---------------------------------
Other information on the team's strategy for a thorough site visit (e.g., categories and types of employees interviewed and shifts):
**Score Summary Worksheet—Site Visit**

**Application Number__________**

**Summary of Scoring Revisions:**

*Instructions:* Transfer the Item scores and changes due to the site visit findings from the Item Worksheets and then record the score revision for the application as a whole.

<table>
<thead>
<tr>
<th>Consensus Item</th>
<th>Consensus Category</th>
<th>Changes Due to Site Visit Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent Score</td>
<td>Percent Score</td>
<td>raise large</td>
</tr>
<tr>
<td>1.1</td>
<td></td>
<td></td>
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<tr>
<td>1.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
<td></td>
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<tr>
<td>2.1</td>
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<td>2.2</td>
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<td>6.3</td>
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<td>7.1</td>
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<td>7.3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.5*</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Note: 7.5 is for Education Criteria only*

| Consensus Score |             |             |             |           |             |             |

---

**Score Summary Worksheet—Site Visit**
I support the findings of the Site Visit Team contained in this Scorebook.

Name (Please print) | Signature
-------------------|-------------

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________
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

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Call BNQP for
- information on improving the performance of your organization
- 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, Education, and Health Care (no cost)
- information on BNQP educational materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web address: http://www.quality.nist.gov

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

The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

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Web address: http://www.asq.org