New Mexico Performance Excellence Assessments & Awards Program
Table of Contents

Quality New Mexico – An Overview ......................................................................................................................... 3
Testimonials.................................................................................................................................................................. 4
The New Mexico Performance Excellence Award – Zia® Award ........................................................................... 5
Baldrige Excellence Framework® and Its Criteria ..................................................................................................... 6
Important Milestones............................................................................................................................................... 6

NMPEA Examination Process ................................................................................................................................. 7
  Levels of Self-Assessment .................................................................................................................................. 7
  Site Visits ............................................................................................................................................................ 7
  Board Of Examiners ......................................................................................................................................... 7
  Code Of Ethical Standards ................................................................................................................................. 7
  Your Product ...................................................................................................................................................... 7

Awards / Public Recognition .................................................................................................................................... 8
  Level 1 Adobe .................................................................................................................................................. 8
  Level 2 Piñon .................................................................................................................................................... 8
  Level 3 Roadrunner ....................................................................................................................................... 8
  Level 4 Zia ....................................................................................................................................................... 9
  Participation ....................................................................................................................................................... 9
  Intent to Apply .................................................................................................................................................. 9
  Eligibility .......................................................................................................................................................... 9
  Future Eligibility .............................................................................................................................................. 9

Compañero Organization-To-Organization Mentoring ........................................................................................... 10
  Eligibility Criteria ............................................................................................................................................. 10
  Nomination Process ........................................................................................................................................ 10

NMPEA Schedule Levels 2, 3, 4 ............................................................................................................................. 11
Program Fees Levels 2, 3, 4 ................................................................................................................................... 12
Adobe Assessment Request Form .......................................................................................................................... 13
Adobe Assessment Instructions ............................................................................................................................. 14
Intent to Apply - Instructions for Piñon, Roadrunner, and Zia ............................................................................. 15
Intent to Apply Form .......................................................................................................................................... 16
  Instructions For Responding, Compiling, Formatting Assessment ................................................................. 19

NMPEA LEVEL 2, 3, 4 Criteria Structure ............................................................................................................... 20
NMPEA Level 2, 3, 4 Response Process ................................................................................................................ 21
Self-Assessment Report Guidelines .................................................................................................................... 22
Quality New Mexico – An Overview

Quality New Mexico (QNM) was formed in April 1993, as a 501(c)(3) to administer the New Mexico Performance Excellence Awards (NMPEA), then called the New Mexico Quality Awards, for the state of New Mexico. The most recent Executive Order 2012-003, issued by Governor Susana Martinez, reiterates this important relationship between QNM and the state of New Mexico. The NMPEA program is the sole provider of New Mexico’s multi-leveled “path to performance excellence” aligned with the Malcolm Baldrige National Quality Award (MBNQA) program and using the Baldrige Performance Excellence Framework® (also referred to as the “Baldrige Criteria”).

The NMPEA process involves the submittal of an application (“self-assessment”) reflecting the organization’s responses to the Baldrige Criteria and the subsequent review of the responses by volunteer Examiners, who develop a feedback report to the organization highlighting Strengths and Opportunities for Improvement (OFI’s) to be considered as part of the applicant’s performance excellence journey.

**Level 1** in the NMPEA assessment process is feedback on the “identity” of the organization – known as the OP (OP). **Levels 2, 3 and 4** are more rigorous and focus on processes, measures, systems, and other aspects of performance excellence.

Organizations achieving Level 4, the prestigious Zia® Award, are considered role models in New Mexico and may aspire to the MBNQA as part of their excellence journey. An independent NMPEA Panel of Judges makes the decisions for Awards and Recognitions, based on level of organizational performance. Organizations receiving NMPEA Awards and Recognitions are honored at the official Awards Ceremony during the annual QNM Learning Summit.
Testimonials

Why are you participating in this process?

“We began and continue this journey to create and maintain a sustainable organization that enriches the lives of all New Mexicans.”
Maureen Baca, Board President
New Mexico Philharmonic 2016 NMPEA Piñon® Recognition

“Nor-Lea Hospital District has embarked on an excellence journey because, as a hospital, we have a sacred responsibility to give our patients the very best care.”
David Shaw, CEO
Nor-Lea Hospital District 2015 NMPEA Roadrunner® Recognition

“To sustain the future of our business and make our community stronger.”
Lee Butler, Director of Performance Excellence
Don Chalmers Ford 2005 NMPEA Zia® Award and 2016 Malcolm Baldrige National Quality Award

In general, recipient organizations help improve New Mexico’s competitiveness.

NMPEA recipients say the process provides valuable learning and a sense of pride in its achievements along the performance excellence journey.
The New Mexico Performance Excellence Award – Zia® Award

The Zia Award is the highest level of NMPEA recognition for performance excellence that a New Mexico organization can receive. It carries the most stringent requirements.

The Zia Award promotes awareness of ‘performance excellence’ as an important element of competitiveness.

The Governor of New Mexico traditionally presents the Zia Award, as well as all other NMPEA Recognitions, at the QNM Learning Summit.

The Zia sculpture is made from New Mexico Vista Grande Onyx quarried west of Belen, NM. It is strong in its physical state, a balance of form. The pinnacle rises from a solid foundation.

New Mexico Zia Award Recipients

2012   Lovelace Westside Hospital Albuquerque NM
2011   Lovelace Women’s Hospital Albuquerque NM
2008   Kirtland Federal Credit Union Albuquerque NM
2005   Don Chalmers Ford, Inc. Rio Rancho/Albuquerque NM
2004   Presbyterian Healthcare Services Albuquerque NM
2004   VA Cooperative Studies Program Clinical Research Pharmacy Coordinating Center Albuquerque NM
2003   GCC Rio Grande Tijeras NM
2003   Western New Mexico University Silver City NM
2002   New Mexico State Highway And Transportation Department
2000   San Juan College Farmington NM
1999   Los Alamos National Bank Los Alamos NM
1999   Westinghouse Waste Isolation Division Carlsbad NM
1997   L&M Technologies, Inc. Albuquerque NM
1996   Honeywell Defense Avionics Systems Albuquerque NM
Baldrige Excellence Framework® and Its Criteria

The Baldrige Excellence Framework represents a systems approach to improving your organization’s performance. It begins with the Organizational Profile (OP) requirements, which ascertain what’s important to your organization (a valuable document with many uses - see Adobe Assessment form - it’s your identity).

The Framework/Criteria requirements help you assess how (and how well) you are accomplishing what you say is important to you (OP).

OP

- Focus for Self-Assessment Level 1
- Required component in Self-Assessment Levels 2, 3 and 4.
- Examiners and Judges use your OP to understand your organization and what you consider important.
- Use your OP as a ‘stand-alone’ document for planning; hiring, workforce orientation or re-orientation, employee guidebook; marketing; information for customers, stakeholders, partners, and suppliers.

7 Categories
(relevant to any size, any sector business / organization)

- Leadership
- Strategy
- Customers
- Measurement, Analysis, and Knowledge Management
- Workforce
- Operations
- Results

We encourage you to become familiar with the Baldrige Excellence Framework and use the Criteria to assess your operations. We highly recommend:

- attending a QNM training to learn about the Framework and
- serving as an NMPEA Examiner to see how it’s applied to other organizations

The Baldrige Criteria can be used by organizations without submitting an application to NMPEA, our sister programs around the country, or the MBNQA. However, the unbiased feedback from third-party Examiners such as those with the NMPEA provides significant additional value that will help your organization along your Performance Excellence Journey.

Important Milestones

<table>
<thead>
<tr>
<th>Organization Intent to Apply</th>
<th>NLT annual Learning Summit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization’s Self-Assessment Submittal</td>
<td>NLT second Wednesday in July</td>
</tr>
</tbody>
</table>

| Site Visits (Judges’ Discretion) specific date(s) determined by QNM and Organization | October |
| Panel of Judges Determinations Announced to Organizations | October |
| Feedback Reports distributed to Organizations | November |
| All Executive Briefings (Organization / Examining Team / QNM) | December |
NMPEA Examination Process

Using the *Baldrige Excellence Framework™ and its Criteria* provides an in-depth examination for organizations.


The NMPEA program is multi-tiered, offering four levels of self-assessment for your organization. The various levels should be part of your ‘excellence journey’. The *journey* should be perceived as a process - what you already have in place and the learning that occurs along the way.

Levels of Self-Assessment

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
<th>Recognition Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1 Adobe</td>
<td>foundation</td>
<td>recognition</td>
</tr>
<tr>
<td>Level 2 Piñon®</td>
<td>commitment</td>
<td>recognition</td>
</tr>
<tr>
<td>Level 3 Roadrunner®</td>
<td>progress</td>
<td>recognition</td>
</tr>
<tr>
<td>Level 4 Zia®</td>
<td>excellence</td>
<td>award</td>
</tr>
<tr>
<td>Malcolm Baldrige National Quality Award</td>
<td>note – must have achieved the Zia and meet criteria set forth by the Baldrige Program</td>
<td>award</td>
</tr>
</tbody>
</table>

Site Visits

The Judges will determine whether your organization receives a site visit, according to set guidelines. Site Visits, if deemed necessary, will be conducted in **October** with the date(s) coordinated by QNM and your organization. The Examiner Team Leader will provide the organization a list of documents to be reviewed and people to be interviewed a minimum of one week prior to the site visit.

Board Of Examiners

Examiners are volunteer professionals from all sectors contributing their knowledge and expertise to evaluate your Self-Assessment.

Examiners receive rigorous training in the NMPEA process using the same Baldrige Excellence Framework to review and provide formal feedback of your strengths and opportunities for improvement.

Code Of Ethical Standards

**Integrity** is one of QNM’s core values. A strict ethics policy, and a confidentiality/conflict of interest agreement govern each Examiner, Editor, Judge, Board of Directors, and staff. These individuals cannot participate in any evaluation, scoring, or recognition decisions where there may be, or could appear to be, any potential or perceived conflict of interest. They also keep applicant information strictly confidential at all times.

Your Product

Every organization receives a Feedback Report. This Report is one of the most valuable features of the New Mexico Performance Excellence Awards program. It is designed to provide objective and non-prescriptive feedback on the organization’s Strengths and Opportunities for Improvement. It is an effective way to motivate employees, prioritize efforts and resources, and guide the organization from a systems perspective.
The NMPEA program provides a system for measuring and recognizing four levels of progress and growth toward performance excellence. There are no limits to the number of organizations that may receive recognition at any level. A volunteer Panel of Judges, knowledgeable and experienced in the Baldrige Excellence Framework and Criteria, determine the Recognitions and Awards.

Awards and Recognitions may be at the level applied for, at a lesser level, or no recognition. There are no limits for Adobe, Piñon, or Roadrunner. Zia award recipients cannot re-apply the following year but can apply the year after; however, they can submit a self-assessment for feedback any year.

### Level 1 Adobe Recognition (Foundation)

A great place to start without delving into a full assessment. Create your OP – it’s who you are – what’s important.

It’s an excellent tool to better understand the organization or a division, department, or program. It helps identify potential gaps in key information and focus on key performance requirements and results.

The Adobe Assessment responds to the series of questions in the OP section of the Baldrige Excellence Framework™.

Having completed an assessment on the OP, organizations (including divisions, departments, and programs) receive a written Feedback Report, a two-hour Briefing, and recognition at the annual NMPEA Ceremony.

### Level 2 Piñon Recognition (Commitment)

This level is recommended for organizations new to conducting a Self-Assessment.

The organization shows evidence of early stages of implementing approaches primarily to the ‘basic’ requirements of the Criteria.

**Approaches** should be in the early stages of deployment in most areas of importance; improvement efforts are in a transition from reacting to problems to general improvement; alignment with other areas is largely through joint problem solving.

**Results** should be reported in a few areas of importance to the accomplishment of the mission; evidence of some good performance levels; some trend data reported.

### Level 3 Roadrunner Recognition (Progress)

The organization demonstrates through commitment and implementation of quality principles, substantive progress in building sound and systematic processes responsive primarily to the ‘overall’ requirements of the Baldrige Criteria.

**Approaches** should be well deployed throughout the organization; a fact-based systematic evaluation and improvement process; some organizational learning and innovation in place to improve efficiency and effectiveness of key processes; alignment; beginning of integration with overall organizational needs identified in response to the OP.

**Results** reported should be good-to-excellent and responsive to the overall requirements of the Criteria. Beneficial trends are evident in areas of importance to accomplishment of the mission; some relevant comparison and/or benchmarks show areas of good relative performance; most key customer, market, and process results reported.
The Zia Award is the highest level of achievement. The organization is considered best-in-class and a role model.

It is earned by an organization that demonstrates, through its practices and achievements, a well-developed, effective systematic approach responsive to the ‘multiple requirements of the Baldrige Criteria.’

**Approaches** are: fully deployed with no significant weaknesses or gaps; fact-based systematic evaluation and improvement; organization learning and innovation are key management tools; clear evidence of refinement from analysis and sharing; integration with current and future organizational needs identified in response to the OP and other process items.

**Results** are: very good-to-excellent and responsive to multiple requirements of the Criteria; beneficial trends are sustained over time in most areas of importance to the accomplishment of the mission; most results are evaluated against relevant comparisons and/or benchmarks and show areas of leadership and very good relative performance; key customer, market, process, and action plan requirements are reported.

**Participation**
Participation is open to all sectors (business, education, government, health care, non-profit) whether private or public.

**Intent to Apply**
Organizations apply to the NMPEA program at one of 4 levels. **Intent to Apply** Form is required for Levels 2, 3, and 4. This form includes fields for an organization’s structure and functions. It must be completed and submitted to QNM as early as possible but no later than the end of the Learning Summit.

**Eligibility**
- The organization must have five (5) or more full-time (or equivalent) employees to apply at Levels 2, 3, or 4. An organization with less than 5 employees can apply for an Adobe Assessment and can request assistance from QNM in forms other than a formal assessment.
- If an organization has received previous recognition, it must apply at the next higher level. For exceptions, please contact QNM.
- **Volunteer** workers can be considered employees in organizations where volunteers play a significant role (such as non-profit organizations)
- A **subunit** is a division or unit of a larger organization, its parent. The parent owns, holds, or has organizational or financial control of a subunit.
  - Both the subunit and its parent follow the same eligibility rules as any other organization
  - The subunit and its parent may not both apply for Zia recognition in the same year.
  - More than one subunit of a parent may apply in the same year.
  - Subunits whose parent is **outside New Mexico** are eligible for all recognition levels.
  - To be eligible for the **Zia Award** a subunit, whose parent is **in New Mexico**, must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be a discrete entity that is readily distinguishable from other parts of the parent. Subunits cannot be primarily an internal supplier to other units in the parent company or perform only support functions.

**Future Eligibility**

<table>
<thead>
<tr>
<th>Level 1 Adobe</th>
<th>no restrictions on submitting the organization’s ‘OP’</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2 Piñon</td>
<td>no restrictions on the number of recognitions an organization may receive</td>
</tr>
<tr>
<td>Level 3 Roadrunner</td>
<td>no restrictions on the number of recognitions an organization may receive</td>
</tr>
<tr>
<td>Level 4 Zia</td>
<td>An organization that receives the Zia Award and all its units are ineligible to apply for another award for two years, but may submit a Self-Assessment to receive evaluation and feedback.</td>
</tr>
</tbody>
</table>
Compañero Organization-To-Organization Mentoring

Compañero is a Spanish word for ‘partner’ or ‘companion.’ The Dennis J. Woywood* Compañero Recognition recognizes organizations (or individuals) that help other organizations progress more rapidly in their ‘excellence journey.’

New Mexico organizations acting as mentors, sponsors, or coaches will be eligible for special Compañero recognition if the partnership results in the mentored organization submitting a self-assessment or receiving recognition.

NOTE: It is not required that the mentored organization receive NMPEA recognition to nominate its mentor.

Eligibility Criteria

A NMPEA Organization may nominate an organization (or individual) for Compañero Recognition if:

1. The nominee contributed to increasing the level of performance of the NMPEA Organization for an extended period and in a systematic and meaningful manner.
2. An organization-to-organization mentoring partnership existed between the organization and the Applicant. One or more individuals can be the lead interface between the organizations, but the primary relationship is between organizations.
3. There is no limit to the number of recognitions a mentoring organization can receive.

Nomination Process

1. By January 31, a NMPEA organization submits a written nomination for the candidate:
   - identifying information about the candidate organization (name, contact person, phone)
   - description of the nature of the mentoring partnership (how created, duration of the relationship, frequency, and types of interactions between the parties).
   - description of the nature and extent of the contribution to an increased level of performance excellence (what changed because of the involvement of the candidate organization in the quality effort of the nominating organization).
2. The NMPEA Director will review the nominations against the Eligibility Criteria and select for recognition the candidate organizations that provide a positive role model for other New Mexico organizations aspiring to help Organizations move more rapidly toward performance excellence.
3. Compañero organizations will be recognized during the New Mexico Performance Excellence Awards Ceremony.

NOTE: Organizations that assist other organizations for compensation are not eligible for Compañero recognition.
## NMPEA Schedule Levels 2, 3, 4

<table>
<thead>
<tr>
<th>Preliminary activities</th>
<th>Examiner Application Submittal</th>
<th>NLT Annual Learning Summit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization Intent to Apply / Eligibility Submittal</td>
<td>NLT Annual Learning Summit</td>
<td></td>
</tr>
<tr>
<td><strong>Organization Self-Assessment Submittal</strong></td>
<td>NLT Second Wednesday in July</td>
<td></td>
</tr>
<tr>
<td>Examiner Training</td>
<td>July</td>
<td></td>
</tr>
<tr>
<td>Examiner Teams Established</td>
<td>July</td>
<td></td>
</tr>
<tr>
<td>Independent review and evaluation by Examiner Teams</td>
<td>Examiner Team Review (review and score Assessments, prepare preliminary reports)</td>
<td>August and September</td>
</tr>
<tr>
<td>Consensus review, evaluation, and scoring by Examiner Teams</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preliminary Reports submitted to Panel of Judges; Site Visit Determination Made</td>
<td>Panel of Judges Convene (Include Site Visit Determination)</td>
<td>October</td>
</tr>
<tr>
<td>When appropriate, prepare for and conduct site visits</td>
<td>Select Site Visit Examiner Teams</td>
<td>October</td>
</tr>
<tr>
<td>Site visit Reports submitted to Panel of Judges; Site Visit Examiner Teams report out to Panel of Judges</td>
<td>Panel of Judges Convene (Post Site Visit Decisions)</td>
<td>November</td>
</tr>
<tr>
<td>Prelim-Feedback Reports to technical editing</td>
<td>Technical Editing (Feedback Report final composition/tech editing)</td>
<td>November</td>
</tr>
<tr>
<td>Panel of Judges determines recognitions and awards; Organizations notified of Judges’ decision</td>
<td>Judges Decisions Announced</td>
<td>November</td>
</tr>
<tr>
<td>Feedback Reports finalized and submitted to Organizations</td>
<td>Feedback Reports distributed</td>
<td>November/December</td>
</tr>
<tr>
<td>Executive Briefings conducted with Organizations</td>
<td>All Executive Briefings (Organizations / Examiners / QNM)</td>
<td>December/January</td>
</tr>
</tbody>
</table>

- The self-assessment provides the examiners with the information needed to perform a third-party evaluation and feedback relative to the requirements of the criteria.
- Responses should primarily address activities and efforts located in New Mexico.
- Responses should be concise, quantitative, and support all statements with facts and information.

Examiners cannot evaluate the same organization in consecutive years.

Examiners are prohibited from obtaining information about the organization from sources other than the self-assessment and site visit (such as a web site).

The decisions of the Panel of Judges are final. There is no appeal or re-scoring.
# Program Fees Levels 2, 3, 4

<table>
<thead>
<tr>
<th></th>
<th>QNM Partners</th>
<th>Non-Partners</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level 2 Piñon Package</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intent to Apply</td>
<td>$185</td>
<td>$200</td>
</tr>
<tr>
<td>Level 2 Piñon Fee*</td>
<td>$1,300</td>
<td>$1,800</td>
</tr>
<tr>
<td><strong>Level 3 Roadrunner Package</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intent to Apply</td>
<td>$185</td>
<td>$200</td>
</tr>
<tr>
<td>Level 3 Roadrunner Fee*</td>
<td>$2,300</td>
<td>$2,800</td>
</tr>
<tr>
<td><strong>Level 4 Zia Package</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intent to Apply</td>
<td>$185</td>
<td>$200</td>
</tr>
<tr>
<td>Level 4 Zia Fee*</td>
<td>$3,900</td>
<td>$4,400</td>
</tr>
</tbody>
</table>

* Notes:
- 25% discount for 501(c)(3), K-12 educational institutions, or any organization with 10 or fewer FTE’s.
- If a Site Visit is deemed necessary the expenses are separate and invoiced after the site visit occurs. Expenses include but are not limited to: team mileage, hotel, travel, and meeting meals.
- Fee includes:
  - Review
  - Written Feedback Report
  - 2-hour Executive Briefing
Adobe Assessment Request Form

• This request form MUST be received by QNM 30 days prior to submitting OP.
• The Adobe Level fee ($680/Partner or $740/Non-Partner) must be submitted along with the OP.
• An "OP" workshop is recommended but not required. Contact QNM for additional information.
• You will receive: (1) written Feedback Report highlighting Strengths, Opportunities for Improvement, Considerations; and (2) a 2-hour briefing with the NMPEA Examiner/staff assigned to your assessment

1. Participant:

   Participant Name & Indicate if Organization, Division, Department, Unit

   Address

   City, State, Zip Code

2. Official Contact Point:

   Name and Position

   Mailing Address (if different from above)

   City, State, Zip Code

   Telephone Number

   Fax Number

   E-mail Address

3. Current Partner Of QNM:

   Yes  No

4. Size And Sector Of Organization:

   Total Number of Employees (Full & Part Time):

   Business  Health Care  Non-Profit  Education  Government

5. Previous History With The Awards Program:

   Year:  Level Applied For:  Recognition Received:

6. Highest Ranking Official For Participant:

   Name and Title

   Address

   Telephone Number  Fax Number

   E-mail Address

TERMS & CONDITIONS: I understand that we are requesting a formal assessment be conducted on an OP of our organization (or division, department, unit thereof); that this assessment will be reviewed by a member of the NMPEA Board of Examiners and staff. The formal Feedback Report is proprietary to our organization and shared by QNM only if our organization authorizes such release in writing. QNM may publicize the name of our organization (division, department, unit thereof) in relation to successful completion of the Adobe Assessment process and award.

8. For use by Quality New Mexico only:

   Participant is for Adobe Assessment

   Yes  No

   QNM Approval Signature

   Date

Signature & Date Attesting to the Terms & Conditions
### Adobe Assessment Instructions

| Step 1          | Download PDF for the OP Questions | Questions to prepare a OP are complimentary at the Baldrige Program website – use the appropriate link below:  
- Business/Govt/NP - [https://www.nist.gov/file/338706](https://www.nist.gov/file/338706)  
- Education - [https://www.nist.gov/file/344501](https://www.nist.gov/file/344501)  
- Health Care - [https://www.nist.gov/file/344676](https://www.nist.gov/file/344676) |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1.1</td>
<td>Attend QNM OP Workshop</td>
<td>Although not required, the workshop is highly recommended to help you identify what is most important and what is still needed to learn or determine about the organization</td>
</tr>
<tr>
<td>Step 2</td>
<td>Submit Request/Eligibility (previous page) 30 days prior to submitting OP</td>
<td>Your OP is considered critically important in starting your ‘journey’ - it’s also considered the ‘foundation’</td>
</tr>
<tr>
<td>Step 2.1</td>
<td>Upon approval of eligibility, QNM will provide approved copy of Request form</td>
<td>The OP can be completed for the organization, division, department, unit, program – consider it a résumé</td>
</tr>
</tbody>
</table>
| Step 2.2        | Format the OP                    | - Page limit – none  
- Paper orientation – letter standard “8 ½ x 11”, color  
- Left margin minimum ¾”  
- Right margin minimum ½”  
- Columns – recommended  
- Font – text in Arial, Calibri, or Times New Roman with minimum font size 11-point  
- Tables & Diagrams – efficient use of OP ‘real estate’ and to display complex information  
- Figures – clearly labeled  
- Page numbering – preferred  
- Cover – page optional (recommended)  
- Organizational Chart – Required  
- Acronym Glossary – Required |
| Step 3          | Respond to the OP questions from the Baldrige Framework for Excellence | - Respond to each Section P.1 & P.2; their Item titles, e.g. P.1.a, and all related questions, e.g. P.1.a.(1)  
- Label Section number and title, e.g. P.1 Organizational Description  
- Label your answers to the questions, e.g. P.1a.(1) |
| Step 4          | Submit completed OP via pdf format to QNM | QNM will assign an Examiner to conduct the assessment |
| Step 5          | Examiner will prepare written Feedback Report within 30-40 days of assignment | The assessment includes a formal review, written report with strengths, improvement areas, and other considerations |
| Step 6          | Participate in briefing with Examiner and QNM to clarify Report comments and discuss next steps to help you on your performance excellence journey | The briefing should be held within 30 days of receiving the Feedback Report; QNM will coordinate |
Intent to Apply - Instructions for Piñon, Roadrunner, and Zia

GENERAL INSTRUCTIONS
Organizations planning to submit their Self-Assessment should first attend a ‘Preparing a Self-Assessment’ workshop, followed by completing the Intent to Apply Form. The Intent is due for eligibility determination and approval no later than Annual Learning Summit.

NOTE: Organizations intending to apply will be provided a Mentor to assist with your assessment. The earlier you apply the more time the Mentor will be available to assist you.

Intent to Apply forms received after the deadline may have their assessment conducted out of cycle subject to the availability of sufficient NMPEA Examiners to review the Self-Assessment.

<table>
<thead>
<tr>
<th>1. Official Name Of Submitter</th>
<th>Provide the official name, address, and all other information for the Submitter (organization, division, department, and program).</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Level Of Self-Assessment</td>
<td>Check Level of your Self-Assessment. If the organization (division, department, program) has received previous recognition it MUST submit at the next highest level. See Item #4 Note.</td>
</tr>
</tbody>
</table>
| 3. Applicable Criteria, Sector, Size, Sites | a. Indicate the version of the Baldrige Criteria you are using to conduct your Self-Assessment (Business/Government/Non-Profit; Education; Health Care).
   b. Indicate the sector that applies to your organization (Business/Government/Non-Profit; Education; Health Care).
   c. Enter the number of full-time (or equivalent) employees in the organization at the time the Intent form is submitted. If volunteers are a significant part of the organization, volunteer time may be used to compute the number of full-time equivalent employees. For Award Eligibility, must have 5 or more FTEs or equivalent. If fewer than 5, may submit for feedback only.
   d. Enter the number of sites in New Mexico. If you have more than one site operating in New Mexico complete the requested information on Page 3 of the Intent. |
| 4. Previous Submittal History | If the organization is ‘returning’ indicate:
   a. year of submittal
   b. award level applied for
   c. and recognition/award received
   NOTE: Organizations that have received recognition in the past must self-assess and submit at the next higher level (e.g., if received Piñon recognition must self-assess at Roadrunner Level). Contact QNM for exceptions. |
| 5. Release & Ethics Statements & HRO Signature | Provide name, title, and all requested information for the organization’s highest-ranking official in New Mexico.
   NOTE: Signature of the highest-ranking official in New Mexico is required. |
| 6. Official Contact | Provide the name and all other information requested for the Submitter who will serve as the primary contact throughout the evaluation process. Please designate a person who is knowledgeable about your organization and your Self-Assessment. Contact person should be able to provide additional information, answer inquiries, and work with the QNM office to arrange the Executive Briefing. |
| 7. Alternate Official Contact | Provide the name and all other information requested for an alternate contact who will be able to provide additional information, answer inquiries, and work with the QNM office should the primary contact not be available. |
| 8. Eligibility Determination | Check whether Organization meets eligibility requirements. |
| 9. Subunit Eligibility Determination | Check whether Subunit meets eligibility requirements. |
| 10. Intent Documents | Along with the Intent to Apply form, include an Organizational Chart and the Site Listing and Description form (see below). |
| 11. Submittal | Not Later Than Annual Learning Summit submit your intent to apply to QNM NMPEA director via e-mail or mail |

The NMPEA Director will provide a copy of the processed Intent to Apply/Eligibility form after it is approved for your records and inclusion into your Self-Assessment.
Intent to Apply Form

Requirements –
(1) via this Intent form, the Level of desired submittal must meet the eligibility terms
(2) your Intent to Apply form must be submitted to Quality New Mexico no later than Annual Learning Summit.

1. YOUR ORGANIZATION
   Official Name of Submitter: __________________________________________
   Mailing Address: ______________________________________________________

2. Level Of AssessmentRequested (Check One)
   ___ Level 2 Piñon®  ___ Level 3 Roadrunner®  ___ Level 4 Zia®  ___ Feedback Only

3. Criteria Used, Sector, Size
   a. Baldrige Criteria used for Assessment:  ___ Business / Non-Profit / Government  ___ Education  ___ Healthcare
   b. Sector:  ___ Business  ___ Healthcare  ___ Government  ___ Education  ___ Non-Profit
   c. Number of Full-Time (or Equivalent) Employees: __________
   d. Total Number of Sites in New Mexico: __________ (List each site operating in New Mexico on chart below.)

4. Previous Submittal History
   a. Within the last 5 years has your organization submitted a Self-Assessment to the NMPEA?  _____Yes  _____No
   b. Indicate year, level submitted, and award received:

   Year _____ Level ______ Award __________
   Year _____ Level ______ Award __________
   Year _____ Level ______ Award __________

5. Release & Ethics Statements & HRO Signature
   a. Release Statement
      We understand that members of the Board of Examiners/Editors and Panel of Judges will review our Self-Assessment. The NMPEA may publicize the name of our organization in relation to the program events, status, and results if we are selected an award recipient. We authorize QNM to share our Self-Assessment with selected reviewers of the Board of Examiners and Panel of Judges.”
   b. Ethics Statement / Signature Highest-Ranking Official
      I state and attest that I will review the information provided by my organization in the Self-Assessment package. To the best of my knowledge, the package will contain no untrue statement of a material fact and omit no material fact that I am legally permitted to disclose and that affects my organization’s ethical and legal practices

   __________________________________________
   Signature
   __________________________________________
   Printed Name
   __________________________________________
   Organization Name

6. Official Contact Point
   _____ Mr.  _____ Mrs.  _____ Ms.  _____ Dr.
   Name
   Title
   Mailing Address
   Phone  Fax  Email

7. Alternate Official Contact Point
   _____ Mr.  _____ Mrs.  _____ Ms.  _____ Dr.
   Name
   Title
   Mailing Address
   Phone  Fax  Email
8. Eligibility Determination
The Organization must . . .
a. be a distinct organization or business unit operating in New Mexico.
b. have officially or legally existed for at least one year.
c. must be able to respond to all seven Baldrige Criteria categories, if submitting at the Roadrunner or Zia Levels.
d. must have processes and related results for its unique operation's products, and/or services.

Does the Organization meet the above eligibility requirements?
   ___ Yes (Continue with next question)
   ___ No (Contact QNM before submitting this form.)

9. Questions for Subunits Only (Division, Department, Group)
Is the Organization a subunit?   ___ Yes (Continue with this question)   ___ No (Skip to next question.)
Is the Subunit applying for a Zia Award?   ___ Yes (Continue with this question)   ___ No (Skip to next question.)
The Subunit must . . .
a. have 5 or more employees.
b. be separately incorporated and distinct from the parent’s other subunits OR must have been independent before being acquired by the parent, and continue to operate independently under its own identity.
c. function independently and as a discrete entity with substantial authority to make key administrative and operational decisions.
d. have a clear definition of 'organization' reflected in its literature.
e. function as a business or operational entity.
f. be self-sufficient enough to be examined in all seven categories of the Baldrige Criteria.
g. have its own senior leaders.
h. plan and implement its own strategy.
   i. serve identifiable customers either inside or outside the organization.
j. be responsible for measuring its performance and managing knowledge and information.
k. manage its own workforce.
l. manage its own work processes and other aspects of its operations.
m. be able to report results related to these areas.

Does the Subunit meet the above eligibility requirements for subunits if applying for the Zia Award?
   ___ Yes (Continue with next question)
   ___ No (Contact QNM before submitting this form.)

10. Intent Documents
Include with your Intent to Apply
• an organizational chart
• other locations (see questions on following page)

11. Submittal
Submit your Intent to the NMPEA Director via email or mail:
EMAIL: jeff@quality-newmexico.org          Quality New Mexico
PHONE: (505) 944-2001                     P.O. Box 25005
FAX: (505) 944-2002                      Albuquerque, NM 87125

A copy of this approved form will be returned for your records and for inclusion into your Self-Assessment.

For use by Quality New Mexico only:
Organization has met the eligibility requirements to submit its Self-Assessment to the NMPEA.

________________________________________  __________________________
NMPEA Authorizing Official               Date
### 12. Site Listing And Description:

<table>
<thead>
<tr>
<th>Address of Site</th>
<th>Relative Size of this Site</th>
<th>Description of Services performed at this Site</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the complete street address and city for each site operating in New Mexico</td>
<td>Number of employees, staff, faculty</td>
<td>Services, products, program, other deliverables</td>
</tr>
</tbody>
</table>
Instructions For Responding, Compiling, Formatting Assessment

Level 2 Piñon®
Level 3 Roadrunner®
Level 4 Zia®

Note: Submitted Applications do not need to be in a narrative format! You can use spreadsheets, tables, or other approaches to provide your responses to the Criteria Requirements.
The seven Baldrige Criteria for Performance Excellence Categories are subdivided into items and areas to address.

**Items**
There are 17 Criteria Items (plus 2 in the OP), each with a particular focus. These items are divided into three groups according to the kinds of information they ask for:
- The OP asks you to define your organizational environment.
- Process Items (Categories 1 – 6) ask you to define your organization’s processes.
- Results Items (Category 7) ask you to report results for your organization’s processes.

**Item Notes**
(1) clarify terms or requirements,
(2) give instructions and examples for responding, and
(3) indicate key linkages to other items.

Item notes in italics pertain specifically to nonprofit organizations.

**Areas to Address**
Each item includes one or more areas to address (labeled a, b, c, and so on)

**Requirements** (See Baldrige Excellence Framework book)
Item requirements are expressed as questions or statements on three levels.
- **Basic requirements** are expressed in the title questions. **Piñon applicants** respond to Basic Requirements and may use Overall and Multiple requirements to add detail or provide examples.
- **Overall requirements** are expressed in the questions in boldface in the shaded box. **Roadrunner applicants** respond to Overall Requirements and may use Multiple requirements to add detail or provide examples.
- **Multiple requirements** are the individual questions under each area to address, including the question in boldface. That first question expresses the most important one in that group. **Zia applicants** respond to Multiple Requirements.

**Key Terms**
Terms in SMALL CAPS are defined in the Glossary of Key Terms in the Baldrige Excellence Framework book.
# NMPEA Level 2, 3, 4 Response Process

- Piñon - respond to Basic requirements, not to exceed 20 pages, including the OP
- Roadrunner - respond to all Overall Requirement Levels, not to exceed 40 pages, including the OP
- Zia – respond to Multiple requirements not to exceed 55 pages, including the OP

<table>
<thead>
<tr>
<th>Step 1</th>
<th>Attend a ‘Preparing a Self-Assessment’ Workshop (includes complimentary hardcopy Baldrige Excellence Framework book).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 2</td>
<td>Complete and submit Intent including Site Locations, and Organizational Chart Due to QNM NLT Annual Learning Summit</td>
</tr>
<tr>
<td>Step 4</td>
<td>Review How to Respond to the Criteria in the Baldrige Excellence Framework book These guidelines explain how to respond most effectively to the requirements of the 17 process and results Criteria items.</td>
</tr>
<tr>
<td>Step 5</td>
<td>Respond to all OP questions P.1 thru P.2 See Questions in the Baldrige Excellence Framework Book</td>
</tr>
</tbody>
</table>
| Step 6 | Conduct your Self-Assessment  
  • See ‘Structure’ example for your responses on the previous page of this Guidebook  
  • Respond to each Item using the Category and Item designations in the Baldrige Criteria  
  • Your Self-Assessment should focus on your OP which defines your organizational environment;  
  • Process items are those that define the How of your key processes  
  • Results items are those that reflect the What of your organizational performance outcomes  
  • Review the assessment Structure example (e.g. Category, Items, Areas to Address)  
  • Maintain the order of the Categories and Items  
  • Label the questions as in the Criteria book (e.g. 1.1; 5.2). You may group responses for multiple areas (e.g. 1.1a, b). If a question does not pertain to your organization explain why in a few sentences  
  • Discussion of Results and the results themselves should be close together in the self-assessment  
  • Trends that show beneficial or adverse change should be explained  
  • Use Figure numbers that correspond to the result (e.g. the third figure for item 7.1 would be Figure 7.1-3)  
  • Use flowcharts, tables, and bulleted lists to present information concisely  
  • DO NOT include website references or sensitive payment information |
| Step 7 | Self-Assessment  
  • Content  
  • Formatting  
  • Assembly  
  See Self-Assessment Report Guidelines on next page |
| Step 8 | Submit Self-Assessment Due to TO QNM NLT second Wednesday in July |
Self-Assessment Report Guidelines

**OP**
The OP is a **required** component and **used** by Examiners and the Panel of Judges in various stages of the process. OP **MUST** be kept to **5** pages.

**PAGE LIMITS**
Specific page limits apply to the different levels:
- Level 2 Piñon: **20-page** limit **including** the OP
- Level 3 Roadrunner: **40-page** limit **including** the OP
- Level 4 Zia: **55-page** limit **including** the OP

**COUNTED PAGES**
Each printed side of a piece of paper is included in the page **count**, including pages with:
- ▶ text
- ▶ tables
- ▶ attachments
- ▶ pictures
- ▶ graphs
- ▶ appendices
- ▶ pages that fold out are counted as multiple pages

**PAGES INCLUDED NOT COUNTED**
- **Title** page (can include name, address, logo, illustrations, date, assessment level – **do not** include additional info, text, or links to websites)
- **Table of Contents**
- **Acronym Glossary**
- Section **divider** pages (include only the section title, additional info on divider would be counted toward the page limit)
- **Organization Chart**
- **Copy of approved Intent to Apply** form

*Note: The Acronym Glossary **must be limited** to the conversion of acronyms to their full names and/or the definition of other internally-coined terms and **may not** be used to provide additional description or other information

**FORMATTING REQUIREMENTS**
Self-Assessments at all levels should be **formatted** in accordance with the following requirements:
- Paper orientation - consistently be Portrait or Landscape. Pages with graphs, figures, data tables can be Portrait or Landscape.
- **Page size** - standard **8 ½ x 11”**
- **Left** margin **¾” minimum**
- **Right** margin **¾” minimum**
- Single or double **column** formats may be used

**NUMBERING**
- Number pages responding to all Criteria items
- **Do not** number blank pages, tabs, divider pages

**FONT REQUIREMENTS**
- **text** in Arial, Calibri, or Times New Roman with minimum font size **10-point**; this size is strongly encouraged for use in graphs, tables, figures, pictures, etc.
- **Do not** use narrow, compressed, condensed fonts
- Minimum **9-point**, any font, may be used for graphs, tables, pictures, data labels, etc. (9-point size is discouraged for associated narrative text due to the difficulty in reading)

**LAYOUT RECOMMENDATIONS**
1. **Title page**
2. **Table of Contents**
3. **Acronym Glossary**
4. **Organizational Chart**
5. **OP** (recommend **5** pages)
6. **Responses to all Category Questions** (check applicable **page limit**)
7. **Copy of approved Intent to Apply & Site Locations**

**SUBMITTAL REQUIREMENTS**
Submit one (1) copy – electronic or paper
- **Electronic**
  - o by email
  - o PDF format
- **Paper**
  - o mail or deliver
  - o binding requirements
    ▪ fasten all components of the Self-Assessment securely together to prevent separation during handling.
    ▪ Comb binding recommended.
    ▪ Do **not** submit in 3-ring binders, coil binding or pressure clips.

**IMPORTANT INFORMATION**
- Self-Assessments that deviate from the stated page limits will have pages **removed** from the document. Pages to be removed will be decided by QNM, with consultation with applicant, until it meets the page limit requirements.
- Examiners **will not** evaluate, assess, score, or give credit for information that is unreadable due to small font size or poor quality reproduction.
- Unless otherwise approved by the NMPEA Director, additional or revised information **cannot** be added to the Self-Assessment after it is submitted.