EXCELLENCE IN
MISSOURI
FOUNDATION

2015 Application
Style Manual

MISSOURI QUALITY AWARD

EXCELLENCE IN THE HEARTLAND

VISION OF PERFORMANCE EXCELLENCE AWARD

Introduction

The purpose of the Application Style Manual is to provide an easy-to-use framework for organizations writing applications. The manual can also be used for writing applications for internal assessment purposes.

The intent of the Application Style Manual is to provide guidance to writers of applications on grammatical and other considerations that will provide consistency and clarity in applications.

I. Basic Format

When preparing an application, follow these basic formatting instructions:

1. **Paper Size:** standard 8.5 x 11
2. **Font Size:** fixed pitch font of 12 or fewer characters per inch; or proportional spacing font of 10 or larger *(Note: A typical document produced in Times New Roman 10 point font will satisfy this requirement.)*
3. **Line Spacing:** equivalent of two points of lead between lines. *(Note: One point of lead equals 1/72, or 0.0138 inch.)*
4. **Margins***:* at least ½ inch on both sides
5. **Page Format:** pages set up in a 2-column format are preferred. Left justification is preferred.
6. **Page Limit - determined by Tier Level:** Compass Level/Level 1 – 15 pages for the Responses Addressing Criteria Items (Basic Item Requirements), and five pages for the Organizational Profile
    Expedition Level/Level 2 – 35 pages for the Responses Addressing Criteria Items (Basic and Overall Item Requirements), and five pages for the Organizational Profile
    Award Level/Level 3 (MQA/VoPE/EiH) – The total number of pages is limited to the equivalent of 50 single-sided pages for the Responses Addressing All Criteria Items (Basic, Overall, and Multiple Requirements), and five pages for the Organizational Profile.
7. **Page Numbering:** The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish (e.g. 1,…, 50). Blank pages and page dividers should not be numbered. As introductory material to the application, number the pages of the Intent to Apply Form, Organization Chart, Application Form, Organizational Profile, and Glossary in continuous Roman numerals.

8. **Picture captions, Graphs, Figures, Charts, Data tables, etc.** must also meet the type size requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type size in the original so that the reduced material in the application report meets the font size requirements. *(Note: Font style and/or size need not be uniform throughout the application report, so long as all styles and sizes meet the requirements.)* All figures should be numbered in sequence within each Item and Category, such as Figure P.1-1 or Figure 2.1-1.

<u>**Application Format Checklist:**</u>
Organizations must submit **an electronic copy** of the application report in a single .pdf document, less than 5MBs in size. It is not necessary to submit a paper copy. Electronic Applications may be emailed directly to the Award staff at <u>contact.us@excellenceinmo.org</u>, or mailed to the Award Office on a USB or CD:

Excellence in Missouri Foundation
Attn: Awards Office
514 E. High Street, Suite 31
Jefferson City, MO 65101

The Application must be **received no later than 5:00pm CST on the due date specified on the published cycle calendar**. An application report must contain the following in the order listed:

☐**Front Cover**—blank (no text, pictures, or figures) to help ensure confidentiality;
☐**Title page**
☐**Table of contents**
☐**Intent to Apply Form** (signed by Awards Administrator)
☐**Organization Chart**
☐**Application Form**
☐**Glossary of terms and abbreviations**
☐**Organizational Profile** (5 pages or fewer)
☐**Responses Addressing All Criteria Items**
☐**Back Cover**—blank

A. Introductory Material

1. **Front Cover**—must be blank (no text, pictures, charts, or figures).

2. **Title Page**—applicant name, address, logo, date, statement that this is an application for the Missouri Quality Award/Vision of Performance Excellence Award/Excellence in the Heartland Award/Compass Level or Expedition Level.

3. **Table of Contents**

4. **Intent to Apply Form**—After filling out this form, page number with the appropriate Roman numerals. After review/approval the Awards Administrator will sign/stamp and return this form to the organization.

4. **Organization Chart**—This line and box organization chart should stand alone on a separate page. It should be prepared in sufficient detail for Examiners to understand the relationships between the applicant's subunits mentioned in the application. (Exhibit 1)

5. **Application Form -** After completing this form, page number with the appropriate Roman numerals. Don't forget to obtain the signature of the authorizing official on the form.

6. **Glossary of Terms and Conditions**—In the Glossary of Terms and Abbreviations, define each acronym or abbreviation, as well as terms that need clarifying in the application. Arrange in alphabetical order by letter following the style in Exhibit 2.

7. **Organizational Profile**—In two-column format, prepare the Organizational Profile outlining the applicant's organization and addressing what is most important to the organization, as well as the key factors that influence how the organization operates and its future directions. A vital part of the overall application, the Organizational Profile is used by the Examiners in all stages of the application review. Use headings with the profile addressing each of the areas requested in the instructions. (Exhibit 3)

B. Main Body of the Application— Responses to Criteria (page limit determined by Tier Level)
Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant's organization and performance system. To facilitate review by Examiners, respond to the Areas in the order given in the Items. Describe activities in foreign sites in the appropriate Items.

If an Area to Address does not pertain to the applicant's organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.
**Note: Compass Level Applicants will respond to the Basic Item Requirements only. Expedition Level Applicants will respond to the Basic and Overall Requirements. Award Level Applicants (MQA/VoPE/EiH) will respond to all Item Requirements; Basic, Overall, and Multiple.

1. **Headings**

a. Each category should begin on a separate page. Capitalize all letters of the Category heading and put in **bold** type. Separate the Category number from the Item title with a dash.

CATEGORY 1 - LEADERSHIP

b. Item titles should be in initial capital letters and bold type. Put one space between the Item number and Item title.

1.1 Senior Leadership

c. Areas to Address should be underlined and the text can begin on the same line.

<u>4.1a</u>

d. Likewise, Subareas to Address, if used, should be underlined and the text can begin on the same line. Start with the Item number followed by the Area to Address in lower case (leave no space between the Item number and the Area to Address). Then, in parenthesis, place the number of the Subarea to Address (leave no space between the Area to Address and the Subarea to Address).

<u>1.2a(1)</u>

If two consecutive Subareas to Address are going to be covered at the same time, use a comma with no extra spaces between the two numbers.

<u>4.1a(2,3)</u>

If multiple consecutive Subareas to Address are going to be covered at the same time, use the first and last Subarea number with a dash between them.

<u>5.1a(1-3)</u>

e. In the text, refer to report section by their Category, Item or Area to Address designations.

> Category 1
> Item 4.1
> Area to Address 5.1a
> Subarea to Address 5.1a(1)

2. Figure Style and Charts

Before a figure is presented, it should be described in the text with reference made to its figure number. ("The increase in sales volume is shown in Figure 6.2-5" or "An increase in sales volume has occurred by reducing the administrative workload of the sales staff (Figure 6.2-5)."

Type used in picture captions, graphs, figures, and data tables must also meet the requirements for font size and line spacing described in the instructions.

To caption a figure, put the figure number first, then the title. When numbering figures, use the Item number where they are located, and then number the figures sequentially within each Item (Figures 1.1-1, 1.1-2, 1.2-1, etc.). Display both the figure number and title in **bold**. Do not use a period after the figure number, but insert two spaces before the title. (Exhibit 4)

In the caption, use initial capital letters for the title, and do not abbreviate "Fig." Use "Figure" instead.

Figure 1.1-1 Mountainview Quality Wheel

Refer to all tables, diagrams, and charts as a "Figure" (Figure 1.1-1, instead of Table 1.1-1).

For the main headers of a matrix having several columns, it is preferred to use white lettering on a black background. The headings are in initial capital letters. In the body of the matrix, capitalize only the first letter of the word beginning each listing and proper names. (Exhibit 5)

If you use shading in figures, take precautions so that quality/readability is not reduced, especially when reproduced. This is especially true of figures that are originally generated in color tones but reproduced in black and white. Also, choose symbols in graphs that will reproduce well and be distinguishable from each other.

Often application figures will be graphs to demonstrate results. When using similar graphs multiple times, review legends carefully to assure consistency in labeling from one graph to the next.

Also, when indicating results and when appropriate, indicate the direction of good results by placing the word "good" with an arrow pointing up or down on the figure in an open space. (Exhibit 6)

3. Paragraph Style

Use block style paragraphs (no indentation), with one line separating paragraphs.

4. Bullets

Bullets may be used as listings under paragraphs. Small circular bullets should be used (•) instead of arrows.

For sub listings under bullet items, use a hyphen.

In listings and sublistings, capitalize only the first letter of the word beginning the list and proper names.

Bulleted items should be short phrases. As such, they do not need punctuation at the end of each item listing (including the last bullet). An exception would be if the information after a bullet is a complete sentence (in which case, use a period at the end).

5. Organization Name

The first time the organization name is used, it should appear exactly as it is stated on the application form (Block 1 - Applicant). A

shortened form or acronym for the organization (e.g., CFI instead of Colony Fasteners, Inc.) should be defined in parenthesis immediately following the first listing of the full name in the application. Then use this shortened designation consistently from that point throughout the application.

Write in the third person and avoid the use of "we." Refer to the organization by name (e.g., "Great Northern" or CFI." Occasionally, use "it" or "the organization" or relevant designation (e.g., school, hospital, etc.).

6. Time Frame

Write approaches and deployment for where the organization will be at the time of a site visit. Results can either be through the end of the previous year or through the latest time period. If the latter is shown, then it should be indicated that it is for a partial year.

7. Page Numbering

Place page numbers at the bottom center of the pages.

8. Consistency of Terms

It is a challenge to keep acronyms, terms, team names, organizational titles, and organizational areas consistent in each usage throughout the application. Here are a few hints to help build that consistency:

o   Use "spell check" to search for acronyms to check usage and consistency.

o   Prepare one matrix to record each acronym alphabetically, a second matrix to record team names, and another one to record organizational titles. (Exhibit 7)

9. Spelling

Always use "spell check" to catch little errors.

10. Choice of Language

Avoid the use of arcane expressions, jargon, and fads.

Write bias-free respecting race, gender, disabilities, job stereotypes, and treating people as individuals.

II. Grammatical Considerations

A. General Style

Follow grammar, usage, and style rules set forth in the *Gregg Reference Manual, 7th Edition*.

B. Use of Acronyms

Spell out all abbreviations and acronyms the first time they are used, and indicate the abbreviation in parenthesis.

> Example: "Unit managers are responsible for leading the Continuous Improvement Criteria (CIC)."

Then make sure the acronym and its definitions are included in the Glossary of Terms and Abbreviations.

Note: If a term is used only once, there is no need for abbreviating.

C. Capitalization Style

1. Use consistent capitalization throughout the application. Capitalize company divisions, departments, staff title (Director of Human Resources), and the names of teams and internal processes (Data Process Improvement Team). Do not capitalize "the company" or "the hospital."

2. Capitalize references to application areas.

> Category 5
> Item 5.1
> Figure 5.1-1

3. Capitalization of Baldrige terms

> Criteria for Performance Excellence
> Application
> Approach
> Approach/Deployment Items
> Areas to Address
> Opportunities for Improvement
> Award Criteria
> Organizational Profile
> Category
> The Criteria
> Key Characteristics
> Team Leader

D. Punctuation Style

Commas

1. Use commas to separate the two independent clauses in a compound sentence when they are joined by "and," "but," or "nor." These are clauses that could stand alone by themselves as a sentence, and they each contain both a subject and verb. Independent clauses are joined together for emphasis and flow.

> "Follow-up is done through job cycle checks, and employee certification is tracked as a measure of course effectiveness."

2. Use two commas to set off the year when it follows the month and day.

> "On July 1, 2009, the company plans to reach Six Sigma in its results."

3. When three or more items are listed in a series and the last item is preceded by "and," "or," or "nor," place a comma before the conjunction as well as between the other items.
> "No federal, state, or local sanctions have been imposed against the organization for the last five years."

4. Set off nonessential nonrestrictive clauses by commas.

> "Her latest book, which deals with corporate financial analyses, has sold well."

But not an essential clause -

> "The magazine that came yesterday contains an evaluation of computer software."

5. Use commas, rather than semicolons, after a series introduced by a colon (unless the series is lengthy, or has many commas or "ands" that make the series confusing - in those cases, clarify the series by using semicolons.)

Punctuation within Quotation Marks

Commas, question marks, and periods go inside the closing quotation marks. (Semicolons and colons go outside.)

> The name of the team was the "I-Team."

Italics

Indicate titles of books, manuals, newsletters, and documents with italics.

> "CFI is listed in the *Fortune* listing of the top ten companies."

E. Number Style

1. Spell out numbers from one through ten. Use figures for numbers above ten.

> "There were ten union workers in 11 meetings . . ."

An exception would be percentages or in awkward cases where it is better to use the number for quick comprehension.

> "8 percent"
> "24-hour-a-day, 7-day-a-week schedule"

2. However, use the same style to express related numbers above and below ten.

> "The company has 15 local, 10 regional, and 5 international sites."

3. Further, spell out a number that begins a sentence.

> "Twenty-four meetings were scheduled."

F. Agreement

1. A verb must agree with its subject in number and person.

> "Awareness and integration of quality values occur (not occurs) at all levels."

> "Data are collected for each area."

> "The criteria for customer contact employees are formally documented."

2. Pronouns must agree with their antecedents in number, gender and person.

"The company considers its (not their) employees as co-owners."

"All staff members should submit their expense accounts."

3. Keep appropriate verb tense through a sentence, section, and the entire application.

G. Compounds

1. Compound Adjectives - A compound adjective consists of two or more words that function as a unit and express a single thought. Hyphenate the elements of the compound adjective that occur before a noun. Occasionally, however, such elements are not hyphenated when it is a commonly known compound (quality improvement strategies, 90 percent rating, process improvement team.)

"long-term plans"
"quality-related material"
"three-day course"
"on-the-job training"
"fact-based systems"

Note: Do not hyphenate an adverb-participle combination if the adverb ends in "ly.")

"clearly defined set of terms"
"wholly owned corporation"

2. Compound Nouns--Check the *Gregg Reference Manual* first, then the dictionary, for the latest style recommended. Consistency within the application is important.

"follow-up"
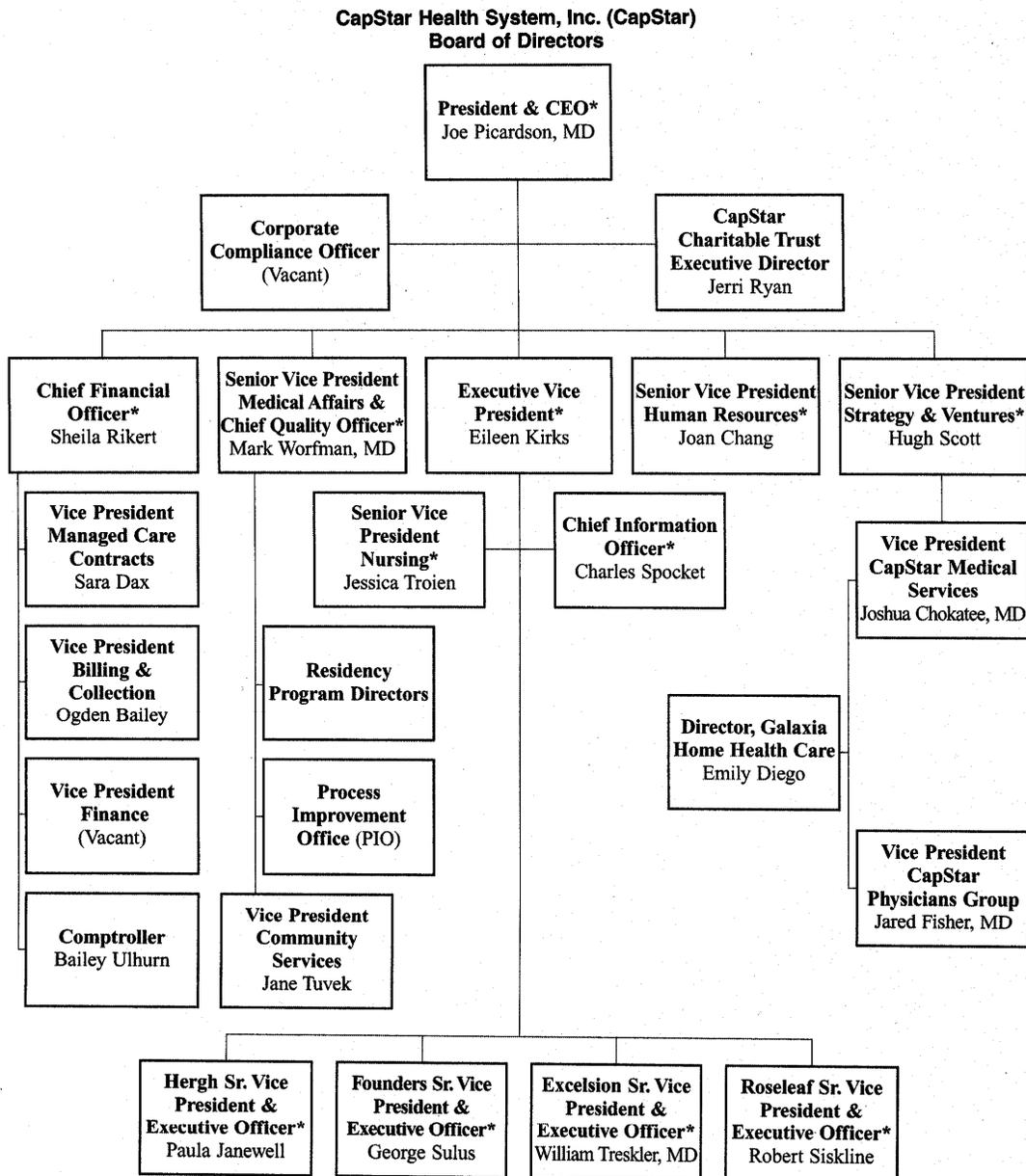"data base"
"time frame"
"health care"

H. Prefixes/Suffixes

According to recent style, most prefixes/suffixes are not hyphenated. When in doubt, follow the *Gregg Reference Manual* or dictionary.

"biweekly"
"codependent"
"companywide"
"multidisciplinary"
"nonproductive"

EXHIBIT 1

Corporate Staff Organizational Chart

CapStar Health System, Inc. (CapStar)
Board of Directors

```
                        President & CEO*
                        Joe Picardson, MD

      Corporate                          CapStar
  Compliance Officer                 Charitable Trust
     (Vacant)                      Executive Director
                                      Jerri Ryan
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Chief Financial Officer* Sheila Rikert	Senior Vice President Medical Affairs & Chief Quality Officer* Mark Worfman, MD	Executive Vice President* Eileen Kirks	Senior Vice President Human Resources* Joan Chang	Senior Vice President Strategy & Ventures* Hugh Scott

- Vice President Managed Care Contracts — Sara Dax
- Senior Vice President Nursing* — Jessica Troien
- Chief Information Officer* — Charles Spocket
- Vice President CapStar Medical Services — Joshua Chokatee, MD

- Vice President Billing & Collection — Ogden Bailey
- Residency Program Directors

- Vice President Finance (Vacant)
- Process Improvement Office (PIO)
- Director, Galaxia Home Health Care — Emily Diego
- Vice President CapStar Physicians Group — Jared Fisher, MD

- Comptroller — Bailey Ulhurn
- Vice President Community Services — Jane Tuvek

Hergh Sr. Vice President & Executive Officer* Paula Janewell	Founders Sr. Vice President & Executive Officer* George Sulus	Excelsion Sr. Vice President & Executive Officer* William Treskler, MD	Roseleaf Sr. Vice President & Executive Officer* Robert Siskline

* Member of CapStar Executive Leadership Team (ELT)

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EXHIBIT 2

Glossary of Terms and Abbreviations

ADE
Adverse Drug Event

AP
Agility Process

AMI
Acute Myocardial Infarction

BBA
Balanced Budget Act

Board
Board of Directors

BSC
Balanced Scorecard

CABG
Coronary Artery Bypass Graft

CapCare
CapCare Centers

CapStar
CapStar Health System

CBC
Complete Blood Count

CCR
Customer Concern and Recovery Process

CHF
Congestive Heart Failure

CHR
Community Health and Renewal, Inc.

CIO
Chief Information Officer

CMS
Centers for Medicare and Medicaid Services

CNT
CNT Integrated Care

COE
Compassionate Operational Excellence

COPD
Chronic Obstructive Pulmonary Disease

CQO
Chief Quality Officer

C-section
Cesarean Section

CSF
Critical Success Factor

CT
Computerized Tomography

CXR
Chest X-Ray

Dialogue
Colleagues' Dialogue

DRG
Diagnosis Related Group

ED
Emergency Department

EKG
Electrocardiogram

ELT
Executive Leadership Team

EPI
Excellence Performance Institute

EVP
Executive Vice President

Excelsion Medical Center
Excelsion

Exec Med
Executive Medical Staff Team

FMS
Finance and Market Strength

Founders
Founders General Hospital

FTE
Full-Time Equivalent

Galaxia
Galaxia Home Health Care

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EXHIBIT 3

Preface: Organizational Profile

P.1 Organizational Description

P.1a Organizational Environment

Collin Technologies (Collin), a high-tech manufacturer in the interconnect industry, was founded in 1971 in Nashville, Tenn., by entrepreneur Ed Collin. It applied for the Malcolm Baldrige National Quality Award in 1992 and again in 1999 and received a site visit. The feedback reports were extremely valuable, and all high-priority improvement opportunities were addressed. Collin participated in the State Center for Performance Excellence (SCPE) award process multiple times and received the Excellence Award in 2012.

In 2005, the company made some key strategic changes in response to anticipated changes within the multilayer printed circuit board market. Candice Trobaugh, Ph.D., chose to leave the chief executive officer (CEO) position and head up a new Contract R&D business unit. The Contract R&D group is responsible for ensuring that customer needs continue to be met using leading-edge technology. For example, as the industry approaches the limit for transistor density, research partnerships with three leading universities are exploring options for replacing silicon chips. Dr. Trobaugh's passion for nanotechnology made her the obvious choice to lead this business. Georgio Michelli was appointed CEO in addition to COO during this transition.

In 2006, a strategic decision led to divestiture of manufacturing facilities in Koga, Japan, and Valbonne, France. The funds from these sales were invested in facility expansion in Nashville, including laboratory space for the Contract R&D group.

Recognizing the need to create tighter density and smaller circuitry, Collin created the capability to produce rigid-flex circuits to meet the needs of the emerging personal electronics markets. Dan Tamayo was appointed COO upon divestiture of the Japan facility.

Collin expanded its Employee Stock Option Plan (ESOP) in 2007. All stock is now owned by active employees, with no individual owning more than 50%. Collin initiated a robust transition process to ensure that departing employees are bought out by the company in preparation for redistribution among current employee owners (EOs).

P.1a(1) Product Offerings

Collin is a manufacturer of single-, double-, and multilayer printed circuit boards, as well as rigid-flex circuits. In addition, Contract R&D services are available. Collin provides all products and services directly to its customers because it determined that distribution channels frequently in use in the industry will not sustain the levels of customer engagement that it has achieved.

Multilayer printed circuit boards represented the major share of products until 2008, when the need for smaller, lighter solutions increased. Maintaining a diverse profile (Figure P.1-1) remains in Collin's best interest while Contract R&D builds market share.
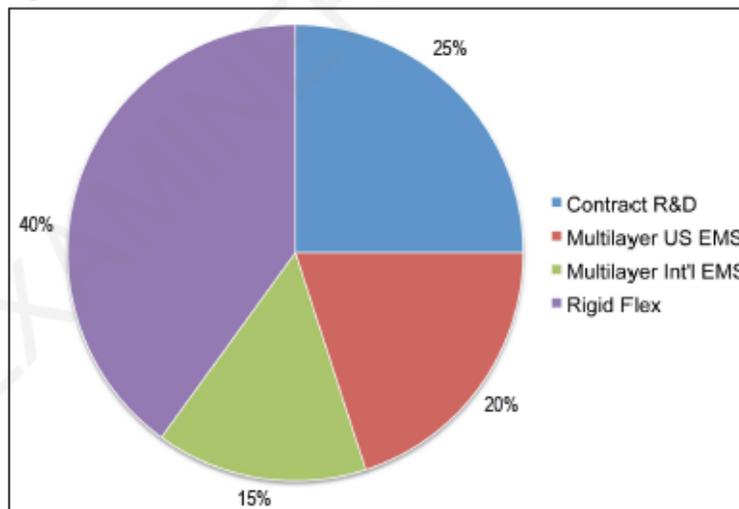
P.1a(2) Vision and Mission

The Collin culture is one of family. EOs are treated fairly and trust one another. As an owner, each individual actively contributes to the company's success. This results in a highly enthusiastic workplace.

Collin optimizes profit over revenue by providing high-technology products with rapid response and exceptional quality and reliability. The Collin vision, mission, and values (Figure P.1-2) are guiding principles for decision making at all levels of the company. The company redefined its vision, mission, and values during the 2001 planning cycle and revisits these statements annually. Core competencies emerged in the 2009 planning cycle.

The Collin EOs embrace diversity in the broadest terms. The technical base represents

Figure P.1-1: 2013 Product Mix

- Contract R&D — 25%
- Multilayer US EMS — 20%
- Multilayer Int'l EMS — 15%
- Rigid Flex — 40%

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EXHIBIT 4

CATEGORY 1 - LEADERSHIP

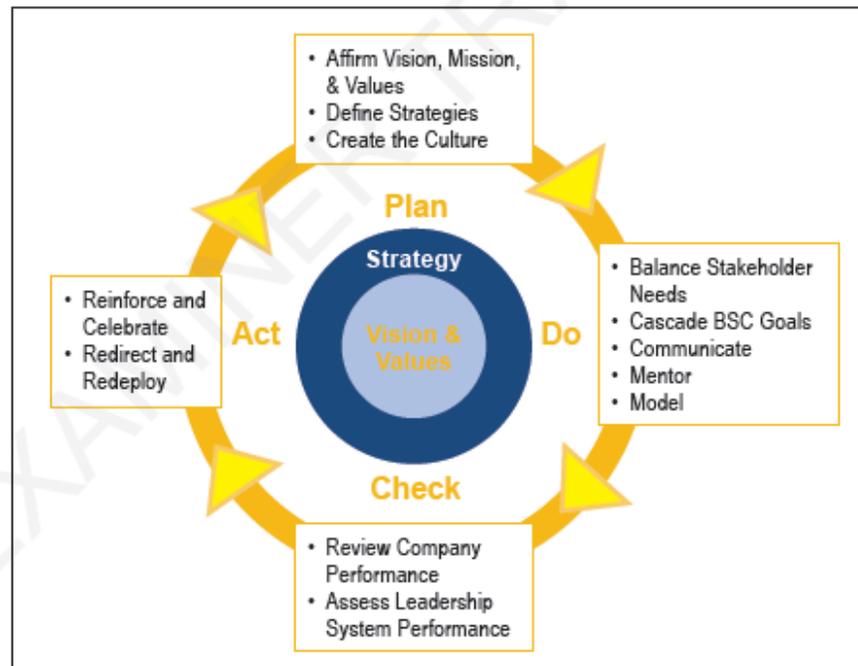### 1.1 Senior Leadership

1.1a Vision, Values, and Mission

1.1a(1) Vision and Values
In 1995, Candice Trobaugh and the LT spent one week together in Memphis analyzing Collin's existing strengths, weaknesses, and overall success inhibitors. An analysis process was used to define a set of core values, overall company mission, and strategic direction. Over the years, leadership processes were developed, refined, and integrated with the Strategic Planning Process (SPP). The vision and values are evaluated annually during the SPP to ensure that these critical messages are actively defining how Collin operates and its future direction. The vision, mission, and values (Figure P.1-2) were redefined in 2001 during a strategic thinking exercise to ensure that the vision was inclusive enough to encompass the technological evolution of circuitry and interconnect solutions. The vision and values have been affirmed annually since then. The mission was revised in 2009 to modify "Supporting key communities" to "Sustaining society and the environment" and "Enhancing our communities." The change was made to more directly align with changes Collin was committed to making in social responsibility and sustainability.

The LT deploys the vision and values through the Collin Leadership System (Figure 1.1-1), communication processes (Figure 1.1-2), and the collective role-model behavior of LT members. New Employee Owner Orientation (NEOO) is led by a member of the LT, who tells the story of Collin's vision and mission, as well as the Collin Cs (values) and Collin Competencies. Partner Suppliers attend "Collin Is Committed" sessions as an introduction to doing business with Collin. Partner Supplier contracts also reinforce the vision, values, and mission. Customers learn the Collin story during early communication with Collin Customer Advocates (CCAs) who demonstrate how the company vision, values, and mission align with their interconnect needs.

Since 2008, each month the LT identifies the most appropriate "sound-byte" messages surrounding the vision, mission, or values. These messages are now crafted word for word to ensure consistency in presentations by individuals. For example, after the mission was restated, the byte was "I sustain society by . . . ," which allowed each member of the LT to describe his/her personal efforts as examples and then to ask EOs what actions they might be taking.

1.1a(2) Promoting Legal and Ethical Behavior
The Collin LT is personally committed to legal and ethical behavior, and EOs hold the same commitment. The Collin C of commitment demands that Collin deliver on all promises with integrity. The message of the importance of integrity starts with NEOO and "Collin Is Committed" sessions led by the LT. One recent byte was "We live with integrity." LT members spent the month providing examples of EO actions that most appropriately reinforced this Collin C. The byte was active the same month that all EOs received an e-mail from the CEO inviting them to enroll in the

Figure 1.1-1: Collin Leadership System

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EXHIBIT 5

Figure 1.2-1: Risk Management Processes, Measures, and Targets

Area	Risk	Process	Measure	Goal
Public Health	Lead exposure	Converted to using lead-free solder Quarterly EO monitoring where lead is in use	% lead in blood	0 lead usage in production <0.2% of legal limit
	Chemicals in air	VOCs filtering	% hazardous chemicals in air	0.00% induced chemicals
		Weekly monitoring	% noxious chemicals in air	<0.2% of legal limit
	Chemical handling	Daily audits	Number of violations	0 handling violations
Environmental Improvement	VOCs	VOCs filtering	% VOCs in air	0.00%
	Water contamination	Reclamation process	Purity of water Reuse of reclaimed water	99.9% pure 95%
Waste Management	Landfill	Recycle processes	Tons of material recycled	98% of all waste material
Energy Conservation	Global warming	Minimize usage Electricity from wind generation	Equipment use efficiency	>90%

technology" (BAT) to the general business public and has been provided to customers and the CSC for the past 15 years free of charge.

To anticipate future requirements, Fred has assigned members of his team to sit as active members on environmental boards, both at the state and national levels.

In 1987, Collin set a goal to eliminate solid waste from its manufacturing operations. The elimination was accomplished through changing the handling and trash processes and in-plant reclamation and recycling programs. Partner Suppliers are required to supply material only in recyclable or reusable containers. In-house, solid waste recycle bins are strategically placed throughout all buildings, and the Waste Management Team monitors the tonnage reports monthly (Figure 7.4-8) to ensure no drop-off occurs in the material being recycled. Because the business requires a tremendous amount of water usage, Collin has installed a campus-wide reverse osmosis system and reclaims over 90% of all process water. This water reclamation process is certified by the State Water Utilities Board. On a quarterly basis, water quality measurements are taken, and automated reports are electronically submitted through the secure portal to the board. Collin has been recognized by the state and EPA numerous times in the past 11 years.

Energy conservation is also important to Collin's success. Collin contracts for electricity from renewable sources. The slight upcharge in cost/unit funds additional investment in renewable options. All heavy energy-use equipment is monitored for non-use time. Through monthly reviews, the Energy Conservation Team identifies equipment displaying a high-energy dead time. It works with operations staff to automatically shut down or suspend this equipment, thus reducing the dead time. PCs are on a program to selectively suspend power based on non-activity. Building lights are on timers and motion sensors. Since 1995, Collin has been able to reduce wasted energy by over 95%. A display board in the main lobby tracks the cumulative reduction in Collin's carbon footprint. (See Figure 7.4-7.)

1.2b(2) Ethical Behavior

Business ethics is another area in which Collin does not compromise. All new EOs are trained for four hours on this subject. Also included in this training is a review of the Collin Business Conduct Procedure. At the end of the training, each EO takes a test and signs a condition of understanding and practice statement regarding company ethics. The procedure covers customer interactions, gifts, outside work, competitors, harassment, supplier relations, and software use. Annual refreshers are required using an online program. An anonymous hotline is in place for reporting suspected unethical activity. The hotline was used once in the past five years, and the allegation was investigated and dismissed. Scores for the EO Survey question indicating that EOs are comfortable reporting unethical activity are above 97% for the past five years, while the question "I have observed unethical behavior" has been below 1% over the same time period (Figure 7.4-1). A recent PDCA for the ethics processes identified the need to add an online compliance reporting page, which was completed in December 2012.

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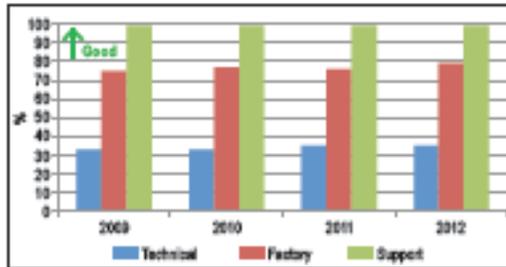
EXHIBIT 6

Figure 7.4-2: Sound-Byte Effectiveness

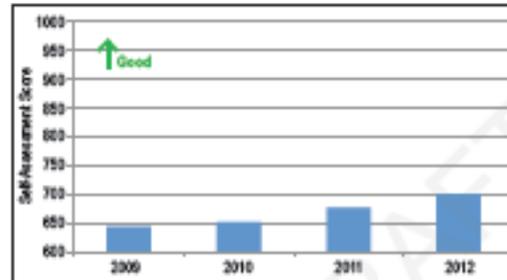Figure 7.4-3: Baldrige Self-Assessment Scores

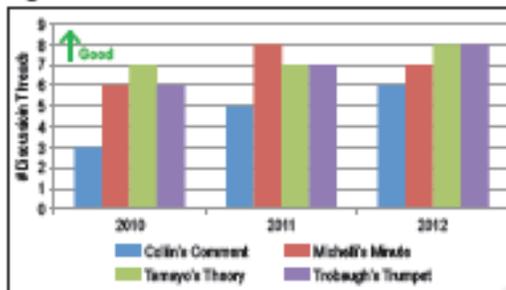Figure 7.4-4: Discussion Threads with LT Members
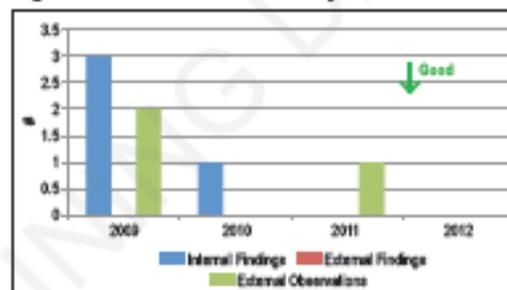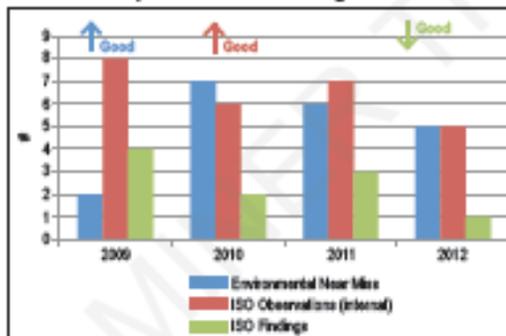
Figure 7.4-5: Fiscal Accountability

Figure 7.4-6: Environmental and ISO Near-Miss Reports and ISO Findings

Near-miss reporting for compliance processes (Figure 7.4-6) has been implemented with the intent of increasing awareness and reporting actions that could potentially be noncompliant. As in the case of near-miss injury reporting, the desired trend pattern is an increasing trend that indicates increased awareness of potential noncompliant situations.

7.4a(4) Ethics
Stakeholder feedback on ethical performance is demonstrated in Figure 7.4-1. EOs can report possible breaches of ethical

behavior using an anonymous hotline, and plans are underway for an online reporting feature. Over the past five years, four calls to the hotline have alleged suspected unethical behavior. Upon investigation, all four instances were not substantiated as ethical breaches.

7.4a(5) Society
Beyond stakeholder feedback, a number of areas of concern relate to the environmentally sound management of Collin's processes. Equipment Energy Efficiency (Figure 7.4-7) is an indicator of how efficiently machines are being utilized over the course of the day. Higher efficiency indicates better use of natural resources required for production.

Collin has been focused on recycling process waste since the 1990s. Figure 7.4-8 shows current trends and levels of recycling solid waste. The amount of recycled waste is determined as a percentage of the total waste material over the course of the year.

The purity of reclaimed water has consistently been better than the 99.9% goal for the past five years. Likewise, the reuse of reclaimed water has consistently exceeded 95% over the same time frame.

The handling methods used for hazardous and noxious chemicals are a potential source of unexpected emissions. Handling errors (Figure 7.4-9) have been steadily decreasing as a result of the aggressive EHS&S program.

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EXHIBIT 7

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