

This document contains the Eligibility Certification Form and checklist for the 2017 Malcolm Baldrige National Quality Award. Before filling out the form, please see [Is Your Organization Eligible?](http://www.nist.gov/baldrige/enter/eligible.cfm) (<http://www.nist.gov/baldrige/enter/eligible.cfm>) on our website.

The form uses text fields () that expand as you type. To enter text, place your cursor in the field, click to highlight the field, and begin typing. Use the Tab key to navigate to the next field.

Paperwork Reduction Act Statement

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OMB Control No. 0693-0006

Expiration Date: 05/31/2016

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1. Your Organization

Official name

Other name

Prior name

(if changed within the past 5 years)

Headquarters
address

2. Highest-Ranking Official

Mr. Mrs. Ms. Dr.

Name

Job title

E-mail

Telephone

Fax

Address

Same as above

3. Eligibility Contact Point

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

Mr. Mrs. Ms. Dr.

Name

Job title

E-mail

Telephone

Fax

Address

Same as above

Overnight
mailing
address

Same as above *(Do not use a P.O. box number.)*

4. Alternate Eligibility Contact Point

Mr. Mrs. Ms. Dr.

Name

E-mail

Telephone

Fax

5. Application History

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

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

Year(s)

Name(s)

No

Don't know

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

Yes.

Did your organization receive the award in 2011 or earlier?

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

No. *If your organization received an award between 2012 and 2016, it is eligible to apply for feedback only. Contact the Baldrige Program at (877) 237-9064, option 3, if you have questions.*

No

c. Has your organization participated in a regional/state/local or sector-specific Baldrige-based award process?

Yes. Years:

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No

d. Is your organization submitting additional materials (i.e., a completed Organizational Profile and two results measures for each of the five Criteria results items) as a means of establishing eligibility?

No. *Proceed to question 6.*

Yes. *In the box below, briefly explain the reason your organization chose this eligibility option. (This information will be shared with the Alliance leadership, without revealing your organization's identity.)*

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6. Eligibility Determination

See also [Is Your Organization Eligible?](http://www.nist.gov/baldrige/enter/eligible.cfm) (<http://www.nist.gov/baldrige/enter/eligible.cfm>).

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

Yes No *Briefly explain.*

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b. Has your organization officially or legally existed for at least one year, or since April 1, 2016?

Yes No

- c. Can your organization respond to all seven Baldrige Criteria categories? Specifically, does your organization have processes and related results for its unique operations, products, and/or services? For example, does it have an independent leadership system to set and deploy its vision, values, strategy, and action plans? Does it have approaches for engaging customers and the workforce, as well as for tracking and using data on the effectiveness of these approaches?
- Yes No
- d. If some of your organization's activities are performed outside the United States or its territories and your organization receives a site visit, will you make available sufficient personnel, documentation, and facilities in the United States or its territories to allow a full examination of your worldwide organization?
- Yes No Not applicable
- e. If your organization receives an award, can it make sufficient personnel and documentation available to share its practices at the Quest for Excellence® Conference and at your organization's U.S. facilities?
- Yes No

If you checked "No" for 6a, 6b, 6c, 6d, or 6e, call the Baldrige Program at (877) 237-9064, option 3.

Questions for Subunits Only

- f. Is your organization a subunit in education or health care?
- Yes. Check your eligibility by reading [Is Your Organization Eligible?](http://www.nist.gov/baldrige/enter/eligible.cfm) (<http://www.nist.gov/baldrige/enter/eligible.cfm>). **Then proceed to item 6k.**
- No. Continue with 6g.
- g. Does your subunit function independently and as a discrete entity, with substantial authority to make key administrative and operational decisions? (It may receive policy direction and oversight from the parent organization.)
- Yes. Continue with 6h.
- No. Your subunit probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.
- h. Does your subunit have a clear definition of "organization" reflected in its literature? Does it function as a business or operational entity, not as activities assembled to write an award application?
- Yes. Continue with 6i.
- No. Your subunit probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.
- i. Is your subunit in manufacturing or service?
- Yes. Does it have 500 or fewer employees? Is it separately incorporated and distinct from the parent organization's other subunits? Or was it independent before being acquired by the parent, and does it continue to operate independently under its own identity?
- Yes. Your subunit is eligible in the small business category. Attach relevant portions of a supporting official document (e.g., articles of incorporation) to this form. **Proceed to item 6k.**
- No. Continue with 6j.
- j. Is your subunit self-sufficient enough to be examined in all seven categories of the Criteria?
- Does it have its own senior leaders?
 - Does it plan and implement its own strategy?
 - Does it serve identifiable customers either inside or outside the organization?

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- Is it responsible for measuring its performance and managing knowledge and information?
- Does it manage its own workforce?
- Does it manage its own work processes and other aspects of its operations?
- Can it report results related to these areas?

Yes. *Proceed to 6k (table below).*

No. *Your organization probably is not eligible to apply for the award. Call the Baldrige Program at (877) 237-9064, option 3.*

k. Does your organization meet one of the following conditions?

1. My organization has won the Baldrige Award (prior to 2012).	Yes <input type="checkbox"/>	Your organization is eligible.	No	Continue with statement 2.
2. Between 2012 and 2016, my organization applied for the national Baldrige Award, and the total of the process and results band numbers assigned in the feedback report was 8 or higher.	Yes <input type="checkbox"/>	Your organization is eligible. Year: Total of band scores:	No	Continue with statement 4.
3. Between 2012 and 2016, my organization applied for the national Baldrige Award and received a site visit.	Yes <input type="checkbox"/>	Your organization is eligible. Year of site visit:	No	Continue with statement 5.
4. Between 2012 and 2016, my organization received the top award from an award program that is a member of the Alliance for Performance Excellence.	Yes <input type="checkbox"/>	Your organization is eligible. Award program: Year of top award:	No	Continue with statement 3.
5. More than 25% of my organization's workforce is located outside the organization's home state.	Yes <input type="checkbox"/>	Your organization is eligible.	No	Continue with statement 6.
6. There is no Alliance for Performance Excellence award program available for my organization.	Yes <input type="checkbox"/>	Your organization is eligible.	No	Continue with statement 7.
7. My organization will submit additional eligibility screening materials (i.e., a complete Organizational Profile and two results measures for each of the five Criteria results items). The Baldrige Program will use the materials to determine if my organization is eligible to apply for the award this year (as described in the fact sheet at www.nist.gov/baldrige/publications/upload/2015-Baldrige-Eligibility-FAQs.docx).	Yes <input type="checkbox"/>	The Baldrige Program will review the materials and contact your ECP after determining your eligibility.	No	Call 877-237-9064, option 3, if you have questions.

Eligibility package due February 22, 2017

Award package due May 10, 2017 (April 26 on CD only)

7. Award Category

a. Award category (*Check one.*)

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

For-Profit

Nonprofit

- | | |
|---|--------------------------------------|
| <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Nonprofit |
| <input type="checkbox"/> Service | <input type="checkbox"/> Education |
| <input type="checkbox"/> Small business (≤ 500 employees) | <input type="checkbox"/> Health care |
| <input type="checkbox"/> Education | |
| <input type="checkbox"/> Health care | |

b. Industrial classifications. In table below, list up to three of the most descriptive NAICS codes for your organization (see NAICS list included at the end of this document). *These are used to identify your organizational functions and to assign applications to examiners.*

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8. Organizational Structure

a. For the preceding fiscal year, the organization had

- | | |
|---|--|
| <input type="checkbox"/> up to \$1 million | <input type="checkbox"/> \$1.1 million–\$10 million |
| <input type="checkbox"/> \$10.1 million–\$100 million | <input type="checkbox"/> \$100.1 million–\$500 million |
| <input type="checkbox"/> \$500.1 million–\$1 billion | <input type="checkbox"/> more than \$1 billion |

in

sales
 revenue
 budget

b. Attach a line-and-box organization chart that includes divisions or unit levels. In each box, include the name of the unit or division and the name of its leader. Do not use shading or color in the boxes.

The chart is attached.

c. The organization is _____ a larger parent or system. (*Check all that apply.*)

<input type="checkbox"/> not a subunit of (<i>See item 6 above.</i>)	<input type="checkbox"/> a subsidiary of	<input type="checkbox"/> controlled by	<input type="checkbox"/> administered by
<input type="checkbox"/> owned by			
<input type="checkbox"/> a division of	<input type="checkbox"/> a unit of	<input type="checkbox"/> a school of	<input type="checkbox"/> other _____
Parent organization	<input style="width: 100%;" type="text"/>	Address	<input style="width: 100%;" type="text"/>
Total number of paid employees*	<input style="width: 100%;" type="text"/>	Job title	<input style="width: 100%;" type="text"/>
Highest-ranking official	<input style="width: 100%;" type="text"/>		
Telephone	<input style="width: 100%;" type="text"/>		

**Paid employees include permanent, part-time, temporary, and telecommuting employees, as well as contract*

employees supervised by the organization. Include employees of subunits but not of joint ventures.

Attach a line-and-box organization chart(s) showing your organization's relationship to the parent's highest management level, including all intervening levels. In each box, include the name of the unit or division and its leader. Do not use shading or color in the boxes.

The chart is attached.

d. Considering the organization chart, briefly describe below how your organization relates to the parent and its other subunits in terms of products, services, and management structure.

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

Title

Date

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

Relevant portions of the document are attached.

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

9. Supplemental Sections

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

Yes. Proceed to item 10.

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

10. Application Format

If your organization applies for the 2017 award, in which format will you submit your application?

25 paper copies **and** a CD (must be postmarked on or before May 10, 2017)

CD only (must be postmarked on or before April 26, 2017)

Eligibility package due February 22, 2017

Award package due May 10, 2017 (April 26 on CD only)

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

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

Yes No

12. Site Listing

You may attach or continue your site listing on a separate page as long as you include all the information requested here. You may group sites by function or location (city, state), as appropriate. Please include the total for **each column** (sites, employees/faculty/staff, volunteers, and products/services). See the ABC HealthCare example below.

Please include a detailed listing showing all your sites. If your organization receives a site visit, an examiner team will use this information for planning and conducting its visit. Although site visits are not conducted at facilities outside the United States or its territories, these facilities may be contacted by teleconference or videoconference.

Example					
Sites (U.S. and Foreign) <i>List the city and the state or country.</i>	Workforce* <i>List the numbers at each site.</i>		<i>List the % at each site, or use "N/A" (not applicable).</i>	Relevant Products, Services, and/or Technologies	
	<i>Check one or more.</i> <input checked="" type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff	Volunteers (no. or N/A)	<i>Check one.</i> % of <input type="checkbox"/> Sales <input checked="" type="checkbox"/> Revenue <input type="checkbox"/> Budget		
ABC Medical Center, Anytown, NY	1,232	147	77%	Admin. offices, inpatient care, ED, imaging services, lab	
ABC Hospital West, West Anytown, NY	255	78	14%	Inpatient services, ED, lab	
ABC Medical Group, Anytown, NY	236	N/A	6%	Primary & specialty physician care	
ABC Imaging Center, West Anytown, NY	11	N/A	1%	Imaging services	
ABC Hospice Services, West Anytown, NY	94	89	1%	On- and off-site hospice services	
ABC Urgent Care, West Anytown, NY	8	N/A	1%	Outpatient emergency and urgent care services	
Total	6	1,836	314	100%	

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

Your Organization				
Sites (U.S. and Foreign) <i>List the city and the state or country.</i>	Workforce* <i>List the numbers at each site.</i>		<i>List the % at each site, or use "N/A" (not applicable).</i>	Relevant Products, Services, and/or Technologies
	<i>Check one or more.</i> <input type="checkbox"/> Employees <input type="checkbox"/> Faculty <input type="checkbox"/> Staff	Volunteers (no. or N/A)	<i>Check one.</i> % of <input type="checkbox"/> Sales <input type="checkbox"/> Revenue <input type="checkbox"/> Budget	

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Total				100%	

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

13. Key Business/Organization Factors

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

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

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

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

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

- e. Financial auditor

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

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- f. Parent organization (if your organization is a subunit).

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16. Self-Certification and Signature

I state and attest the following:

(1) I have reviewed the information provided in this eligibility certification package.

(2) To the best of my knowledge,

- this package includes no untrue statement of a material fact, and
- no material fact has been omitted.

(3) Based on the information herein and the current eligibility requirements for the Malcolm Baldrige National Quality Award, my organization is eligible to apply.

(4) I understand that if the information is found not to support eligibility at any time during the 2017 award process, my organization will no longer receive consideration for the award and will receive only a feedback report.

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Signature of highest-ranking official

Printed name

Date

17. Submission

To be considered for the 2017 award, send your complete eligibility certification package postmarked no later than February 22, 2017, to

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

Include proof of the mailing date. Send the package via

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

1. Eligibility Certification Form*

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

For Organizations Submitting Additional Eligibility Screening Materials (to meet the new alternative eligibility condition no. 7 for question 6k; see the table on page E-4)

- I have enclosed a complete Organizational Profile.
- I have enclosed data for two results measures for each of the five Criteria results items.

For Subunits Only

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

**Please do not staple the pages of this form.*

2. Fee

- I have indicated my method of payment for the nonrefundable \$360 eligibility certification fee.
- If paying by check or money order, I have made it payable to the **Malcolm Baldrige National Quality Award** and included it in the eligibility certification package.

3. Submission and Examiner Nomination

- I am nominating a senior member of my organization to the 2017 Board of Examiners.
- I am not nominating a senior member of my organization to the 2017 Board of Examiners.
- I am sending the complete eligibility certification package to
Malcolm Baldrige National Quality Award
c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, ext. 7205
- I have included proof of the mailing date. (See [Application Form and Content](#) instructions at <http://www.nist.gov/baldrige/enter/format.cfm/>.)

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North American Industry Classification System (NAICS) Codes

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

Code Sector

111 Crop Production
112 Animal Production and Aquaculture
113 Forestry and Logging
114 Fishing, Hunting and Trapping
115 Support Activities for Agriculture and Forestry
211 Oil and Gas Extraction
212 Mining (except Oil and Gas)
213 Support Activities for Mining
221 Utilities
236 Construction of Buildings
237 Heavy and Civil Engineering Construction
238 Specialty Trade Contractors
311 Food Manufacturing
312 Beverage and Tobacco Product Manufacturing
313 Textile Mills
314 Textile Product Mills
315 Apparel Manufacturing
316 Leather and Allied Product Manufacturing
321 Wood Product Manufacturing
322 Paper Manufacturing
323 Printing and Related Support Activities
324 Petroleum and Coal Products Manufacturing
325 Chemical Manufacturing
326 Plastics and Rubber Products Manufacturing
327 Nonmetallic Mineral Product Manufacturing
331 Primary Metal Manufacturing
332 Fabricated Metal Product Manufacturing
333 Machinery Manufacturing
3331 Agriculture, Construction, and Mining Machinery Manufacturing
3332 Industrial Machinery Manufacturing
3333 Commercial and Service Industry Machinery Manufacturing
3334 Ventilation, Heating, Air-Conditioning and Commercial Refrigeration Equipment Manufacturing
3335 Metalworking Machinery Manufacturing
3336 Engine, Turbine, and Power Transmission Equipment Manufacturing
3339 Other General Purpose Machinery Manufacturing
334 Computer and Electronic Product Manufacturing
3341 Computer and Peripheral Equipment Manufacturing
3342 Communications Equipment Manufacturing
3344 Semiconductor and Other Electronic Component Manufacturing
335 Electrical Equipment, Appliance and Component Manufacturing
3353 Electrical Equipment Manufacturing
3359 Other Electrical Equipment and Component Manufacturing
336 Transportation Equipment Manufacturing
337 Furniture and Related Product Manufacturing
339 Miscellaneous Manufacturing
423 Merchant Wholesalers, Durable Goods
424 Merchant Wholesalers, Nondurable Goods
425 Wholesale Electronic Markets and Agents and Brokers
441 Motor Vehicle and Parts Dealers
442 Furniture and Home Furnishings Stores

443 Electronics and Appliance Stores
444 Building Material and Garden Equipment and Supplies Dealers
445 Food and Beverage Stores
446 Health and Personal Care Stores
447 Gasoline Stations
448 Clothing and Clothing Accessories Stores
451 Sporting Goods, Hobby, Musical Instrument, and Book Stores
452 General Merchandise Stores
453 Miscellaneous Store Retailers
454 Nonstore Retailers
481 Air Transportation
482 Rail Transportation
483 Water Transportation
484 Truck Transportation
485 Transit and Ground Passenger Transportation
486 Pipeline Transportation
487 Scenic and Sightseeing Transportation
488 Support Activities for Transportation
491 Postal Service
492 Couriers and Messengers
493 Warehousing and Storage
511 Publishing Industries (except Internet)
512 Motion Picture and Sound Recording Industries
515 Broadcasting (except Internet)
517 Telecommunications
519 Other Information Services
521 Monetary Authorities—Central Bank
522 Credit Intermediation and Related Activities
5221 Depository Credit Intermediation
5222 Nondepository Credit Intermediation
5223 Activities Related to Credit Intermediation
523 Securities, Commodity Contracts, and Other Financial Investments and Related Activities
5231 Securities and Commodity Contracts Intermediation and Brokerage
5232 Securities and Commodity Exchanges
5239 Other Financial Investment Activities
524 Insurance Carriers and Related Activities
525 Funds, Trusts, and Other Financial Vehicles
5251 Insurance and Employee Benefit Funds
5259 Other Investment Pools and Funds
531 Real Estate
532 Rental and Leasing Services
533 Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)
541 Professional, Scientific and Technical Services
551 Management of Companies and Enterprises
561 Administrative and Support Services
562 Waste Management and Remediation Services
611 Educational Services
6111 Elementary and Secondary Schools
6112 Junior Colleges
6113 Colleges, Universities, and Professional Schools
6114 Business Schools and Computer and Management Training
6115 Technical and Trade Schools
6116 Other Schools and Instruction
6117 Educational Support Services
621 Ambulatory Health Care Services
6211 Offices of Physicians

6212 Offices of Dentists
6213 Offices of Other Health Practitioners
6214 Outpatient Care Centers
6215 Medical and Diagnostic Laboratories
6216 Home Health Care Services
6219 Other Ambulatory Health Care Services
622 Hospitals
623 Nursing and Residential Care Facilities
624 Social Assistance
711 Performing Arts, Spectator Sports, and Related Industries
712 Museums, Historical Sites, and Similar Institutions
713 Amusement, Gambling, and Recreation Industries
721 Accommodation
722 Food Services and Drinking Places
811 Repair and Maintenance
812 Personal and Laundry Services
813 Religious, Grantmaking, Civic, Professional, and Similar Organizations
814 Private Households
921 Executive, Legislative, and Other General Government Support
922 Justice, Public Order, and Safety Activities
923 Administration of Human Resource Programs
924 Administration of Environmental Quality Programs
925 Administration of Housing Programs, Urban Planning, and Community Development
926 Administration of Economic Programs
927 Space Research and Technology
928 National Security and International Affairs
999 Unclassified Establishments