



2018 Intent to Apply & Eligibility Agreement Form

Intent to Apply submitted to SWAE by.....	May 4, 2018
Applications submitted to SWAE by.....	July 9, 2018
Site Visit	Sept 24-28 or Oct 1-5, 2018
Award Recipient(s) Announcement.....	Nov 26 - 30, 2018
Feedback Report sent to applicant by.....	Mid-December, 2018

Congratulations! By applying to the Performance Excellence Program, you are taking a major step to improve your organization's performance and growth. Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying to the Program should result in a significant return on your investment. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

Base Application Costs:

- At least 50% of the application fee and 100% of the admin fee is due (**Org. Level 2, 3 & 4 and Process Level only**) with the submission of the Intent to Apply and Eligibility Form; remainder is due with submission of the application.
- If the applicant, for any reason, chooses not to submit the application, the portion of the fee submitted with the Intent to Apply and Eligibility Form may be applied towards the next year's application fee. It is not refundable.

Application Fee Table

Application	Number of Employees	Application Fee (Non-member)	Application Fee (Member)
Process Level **	NA	\$1400	\$1000
Commitment (Level 2*)	1-500	\$2400	\$2000
	501-1500	\$3600	\$3200
	More than 1500	\$4600	\$4200
Achievement (Level 3*)	1-500	\$3600	\$3000
	501-1500	\$4800	\$4200
	More than 1500	\$5800	\$5200
Excellence (Level 4*)	1-500	\$4800	\$4000
	501-1500	\$6000	\$5200
	More than 1500	\$7000	\$6200

*Additional administration fee per application: Level 2 - \$500 fee; Level 3 - \$750 fee; Level 4 - \$1000 fee

**No additional administration fee for Process Level applications

Site Visit Fees are invoiced at actual expense amount. (Refer to pages 9-10 & 16-17 of the Application Guidance Document.)

Additional Costs:

- Site visit costs to reimburse travel and lodging for the examiner team: These costs may be estimated and a portion paid by the applicant prior to the scheduling of a site visit. The remainder will be paid after the site visit.
 - Site visit costs include examiner team's hotel accommodations, food, transportation, etc.
 - Select dates for site visit on the Intent to Apply and Eligibility Form attached (page 31).
 - The length of a site visit is determined by the type of application and size of the organization. Refer to the Application Guidance Manual (page 8).

Additional Requirements:

Because having internal knowledge of the Criteria framework is critical to advancing excellence within your organization, and to support the Performance Excellence Program, it is necessary that each applicant provide or sponsor at least one examiner per application submitted or increase each application fee by \$500. **(NOTE - Please contact SWAE if you have questions or concerns, or if you are unable to provide an examiner.)**

- SWAE encourages applicant organizations to provide more than the necessary volunteer examiner to serve in the current award application cycle. An examiner fee of \$400 or \$500, will depend on examiner previously serving 2 of the past 3 years, will be assessed as a deposit. *(Refer to Examiner Application for details.)*
- Upon successful completion of training **and** successful completion of service on an evaluation team, the examiner/organization may receive a refund of a portion of the examiner fee.
- Examiners can be any staff member within the organization, but are typically senior leaders, quality / improvement professionals, and/or other functional leaders. We seek a variety of expertise on our Board of Examiners – those representing different sectors (manufacturing, service, non-profit, healthcare, education, and government), those possessing different functional expertise (quality, finance/accounting, human resources, operations, IT, etc.), and those at different levels of leadership.

Award Level Descriptions:

- Organization Level Applications - Refer to page 8 of the Application Guidance Manual.

By completing and submitting the Intent to Apply, the applicant agrees to:

- Follow the guidelines provided in the Application Guidance Manual, criteria and materials.
- Provide an electronic application (no paper copies of applications will be accepted). Allow SWAE to upload the application, and the Board of Examiners and Judges to download the application, or it can be copied temporarily as a file onto a thumb drive or printed. The applicant will provide this electronic copy in Adobe Acrobat (PDF) format to allow for appropriate printing where necessary. *(Keep in mind that font size and formatting are to match criteria stipulated in the application and guidance document, even after figures and graphs have been inserted and saved as a PDF file. The final copy will be tested for format requirements.)*
- Provide to SWAE an electronic copy of the original application edited for general public consumption.
- Give permission for SWAE to use the organization's recipient status and edited application (see above) for marketing and promotional materials for the Performance Excellence Program and SWAE.
- Share with other organizations, should the applicant become a recipient of an award, non-proprietary information on successful performance strategies. Such sharing may take place through a variety of methods including making presentations at SWAE workshops and events.

- Supply information requested by SWAE (or other designated representatives) concerning the applicant's organization in the event issues are identified that could affect the credibility and valuation of the Performance Excellence Program.

SWAE agrees to the following items:

- Unless the applicant is selected as a recipient or the applicant requests such, SWAE will not disclose its identity to anyone other than members of the Board of Examiners or the Panel of Judges.
- A training session on the application and site visit preparation may be conducted by SWAE at the applicant's choice of location and time prior to application submittal. Any charges for this session will be the responsibility of the applicant.
- SWAE will coordinate the application process and ensure the examiner team is properly constituted.
- SWAE will deliver an electronic copy of the Feedback Report to the applicant's contact person at the conclusion of the application process.
- SWAE will take all prudent measures to protect the integrity of the applicant's electronic application so that only the appropriate examiner team and judges can view the application.

Organization Eligibility and Restrictions

<p>Specific to All Award applicants</p>	<ul style="list-style-type: none"> • An organization with at least 50% of its assets, revenues or workforce based in Arizona, Nevada or Utah, as appropriate, OR any organization with its headquarters located in those states. • An organization that is part of a larger entity must have sufficient autonomy and authority to make decisions, initiate actions, implement programs, and allocate resources free from the direct control of the larger entity. For example, a college within a university is eligible if it can demonstrate sufficient independent control over the factors that affect the quality of its processes and services. • All sectors are eligible – manufacturing, service, healthcare, education, profit, not-for-profit, private, public, local, state or federal government. NOTE: Organizations whose purposes are primarily social are not eligible. • Must have existed at least one year prior to submitting an application. • Is a permanent organization; i.e., it must not be an organizational unit with a defined limited life or an ad-hoc committee, board, or other such unit. • Must have more than two full-time workers.
<p>Additional specific to applicants for Organization Levels 2, 3 & 4</p> <p>Level 2 – Commitment Award Level 3 – Achievement Award Level 4 – Pinnacle, Pioneer or Category in Excellence Award</p>	<ul style="list-style-type: none"> • All major operations of the applicant may be inspected as part of the Award Program. This means that the organization's operations, activities, and results can be assessed and visited by a team of examiners. • A subsidiary and its parent organization may not apply for the award in the same year - Different subsidiaries of the same parent organization may apply concurrently. • Recipients of the Pinnacle Award for Excellence are ineligible to be recognized as a Pinnacle Award Recipient for a period of five years after their selection. A recipient of the Pinnacle Award for Excellence, although not eligible for the award, may still submit an application to obtain a feedback report. This process will be handled as a regular application in all respects except that no award will be granted, regardless of the score received. • Recipients of the Pioneer Award may re-apply in any given year, but may not receive the Pioneer Award more than once. • One or more Category Awards may be received by an organization in any given or subsequent year as merited. • These restrictions do not have any bearing with concern to the Showcase in Excellence Award.
<p>If you have questions about your organization's eligibility, please call SWAE (480) 874-5815.</p>	



2018 Intent to Apply and Eligibility Form

1. The applicant is applying for:

Organization Level

- Level 4 (Excellence)
- Level 3 (Achievement)
- Level 2 (Commitment)

Process Level

Workforce Size

- Large Organization (More than 1500 paid workers)
- Medium Organization (501-1500 paid workers)
- Small Organization (Less than 500 paid workers)

2. Please check which of the following weeks the applicant's preferred week for site visit is. If both weeks are acceptable, please check both weeks. *Site visits for Organization Level applicants will not exceed 5 days; actual duration will depend on initial review of the application and size of the organization. (Refer to the Application Guidance Document, page 8.)*

- Week of September 24 – 28, 2018** (Your "preferred" week is not guaranteed.)
- Week of October 1 – 5, 2018**

3. Organization name *(include parent & subsidiary names if applicable)*:

4. Organization address [city, state, zip] *(headquarters address or location applying to the program)*:

5. Contact person *(to be the liaison with SWAE)*:

Name: _____

Title: _____

6. Contact person's telephone number: _____ Fax number: _____

7. Contact person's email address: _____

8. Name of CEO or President *(provide name of person with closest approximate position, if different)*:

9. Quality/Performance Excellence Director *(person with closest approximate responsibilities)*:

<p>10. Industry</p> <p><input type="checkbox"/> Computers/Technology</p> <p><input type="checkbox"/> Education</p> <p><input type="checkbox"/> Energy/Utilities</p> <p><input type="checkbox"/> Finance or Insurance</p> <p><input type="checkbox"/> Government or Nonprofit</p> <p><input type="checkbox"/> Healthcare</p> <p><input type="checkbox"/> Hospitality</p> <p><input type="checkbox"/> Manufacturing</p> <p><input type="checkbox"/> Professional/Commercial Services</p> <p><input type="checkbox"/> Real Estate/Construction</p> <p><input type="checkbox"/> Retail</p> <p><input type="checkbox"/> Telecommunications</p> <p><input type="checkbox"/> Wholesale Distribution</p> <p><input type="checkbox"/> Other (<i>please specify</i>)</p>	<p>11. Type of organization</p> <p><input type="checkbox"/> For Profit</p> <p><input type="checkbox"/> Not for Profit (non-government)</p> <p><input type="checkbox"/> Government</p> <p>12. Number of full-time paid workers</p> <p><input type="checkbox"/> 2-19 <input type="checkbox"/> 20-49 <input type="checkbox"/> 50-99</p> <p><input type="checkbox"/> 100-249 <input type="checkbox"/> 250-499 <input type="checkbox"/> 500+</p> <p>13. Number of part-time paid workers</p> <p><input type="checkbox"/> Zero <input type="checkbox"/> 1-19 <input type="checkbox"/> 20-49</p> <p><input type="checkbox"/> 50-99 <input type="checkbox"/> 100-249 <input type="checkbox"/> 250-499</p> <p><input type="checkbox"/> 500+</p> <p>14. Percent of workforce in applicant's state ____%</p> <p>15. Number of Volunteers _____</p>
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16. Percent of physical assets in the state from which the organization is applying. _____%

17. Has the organization existed for at least one year? Yes No

18. Is the organization headquartered in the same state from which the organization is applying?
 Yes No

19. Is the organization a subsidiary of a larger organization? Yes No

20. If applicant answered "Yes" to being a subsidiary, complete the following:

a. Parent Organization _____

b. Address _____

c. Highest Official of Parent Organization _____

d. Title _____

e. Does Applicant comprise over 50% of parent organization? Yes No

21. Confidentiality Considerations:

a. Applicant waives the right to bring suit against the Southwest Alliance for Excellence, from any claims, actions, or losses arising from the Performance Excellence Program process.
 Accept Decline

Confidentiality Note: Strict conflict of interest rules apply throughout the processes. Names of applicants, individual applications, commentary, and scoring information developed during the review of the application are regarded as proprietary and are kept confidential. Such information is available only to those individuals directly involved in the evaluation and application distribution process. Information on successful strategies of award recipients and other applicants may be released only with written approval of the applicant.

22. The applicant submits the following required and potential, additional Examiner candidates:

(Please contact the SWAE if you have questions or concerns, or if you are unable to provide an examiner.)

Necessary Examiner: _____ Email: _____

Potential Examiner: _____ Email: _____

Potential Examiner: _____ Email: _____

Potential Examiner: _____ Email: _____

Note: (Examiner Applications can be found at www.swae.org go to [What We Do](#) on the top Navigation bar of the home page then click on [Examiners](#), or you can request one from the SWAE at kshepard@swae.org.)

Release Statement

We agree to all terms stated above and attest to the validity and truth of all information we have provided. We understand that by applying for the Performance Excellence Program, we accept all the requirements of the Performance Excellence Program process. The application fee is non-refundable. We agree to host a site visit and to facilitate an open and unbiased examination. We understand that our organization must reimburse the Southwest Alliance for Excellence (SWAE) for reasonable costs and expenses associated with a site visit and the team of examiners. Additionally, we understand that our organization must provide one examiner per application, to support the program.

The SWAE may request additional information concerning our organization if issues are identified that could affect the credibility and valuation of the Performance Excellence Program. This information must be supplied, if requested, to the SWAE. We agree to make SWAE aware upon inquiry of any current or pending regulatory, criminal, or civil action that could damage the reputation of the Performance Excellence Program process.

If our organization is selected to receive an Award, we agree to share non-proprietary information on our successful performance and quality strategies with other organizations. This includes participation in conferences, workshops or other events sponsored by SWAE.

By applying to the Performance Excellence Program, the applicant agrees to provide an electronic application and allow SWAE to upload the application, and the Board of Examiners and Judges to download the application, so it can be copied temporarily as a file onto a thumb drive or printed.

By applying to the Performance Excellence Program, the applicant agrees to provide to SWAE an electronic copy of the original application edited for general public consumption. The applicant also agrees to allow SWAE to use this edited application as well as the organization's name as a recipient of an award in educational, marketing and promotional materials for the Performance Excellence Program and the SWAE. However, our organization will continue to own the information.

Signature, Contact Person of Applicant

Title

Date

Signature, CEO or Other Official)

Title

Date

Please sign where indicated, email pages 31-34 of this document to kshepard@swae.org, and provide a minimum of 50% of the application fee and 100% of the admin fee to SWAE.

via Credit Card (+ 5% service fee), electronic payment or check to:

Southwest Alliance for Excellence
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