



Performance Excellence Program

## 2019 Examiner Application Packet

Examiner Packet submitted to SWAE by: ..... July 17, 2019

- ✓ Completed Examiner Application
- ✓ \$500 Fee for 2 day Examiner Training (*\$200 recoverable if the individual completes his/her duties as an Examiner*)
- ✓ Signed Code of Ethical Standards
- ✓ Signed Conflict of Interest Form

Examiner Notification of Selection Status ..... July 19, 2019

Thank you for considering the opportunity to serve as a member of the Southwest Alliance for Excellence Performance Excellence Program Board of Examiners. Being an examiner can be a powerful learning experience and a valuable professional development step for any individual. Benefits include:

- Develop or refine **YOUR** analytical, teamwork, interviewing, and consensus skills.
- Build and expand **YOUR** professional network and resume.
- Increase **YOUR** ability to assist **YOUR** organization in continually improving its management system to raise its performance to role model levels.
- Learn firsthand of innovative approaches utilized by leading organizations.

To be considered as a “*potential examiner*”, **submit an "Examiner Application" by July 17, 2019** for the 2019 program. Examiners who have previously served must apply each year. Notification will be emailed to all potential examiners by July 19, 2019, indicating their selection status.

The Board of Examiners supports and evaluates the performance improvement of all types of organizations from businesses to schools, hospitals and nonprofit organizations, including government agencies. Coverage and balance within these sectors are important factors in selecting examiners. Examiners make major contributions, both to the effort to recognize and promote performance excellence, and to their employing organizations that support their participation.

Serving as an examiner requires a significant amount of time, effort, and dedication. Examiners review applications, develop comments, score written applications, and prepare feedback reports to applicant organizations. Examiners also participate in consensus evaluations and site visits. *Note: In this document, the term “Applicant” refers to an organization that is submitting a SWAE Performance Excellence Program application.*

To make the process as convenient and educational as possible, you may draw upon the resources of the Southwest Alliance for Excellence ( SWAE), the Board of Overseers (BOO) and other experienced supporters. This document has been designed to answer many of your questions. You are encouraged to contact SWAE for additional information or clarification.

### Examiner Time Commitment (approximate times base on averages)

1. Prepare and submit application to become Examiner ..... 1-2 hours
2. For all examiners, preparation and training ..... 40-55 hours
3. Complete Independent Review ..... 40-60 hours
4. Complete Consensus Review and Meeting ..... \*40-50 hours
5. Complete Site Visit Prep and Review ..... \*32-60 hours
6. Post Site Visit (team leads only) ..... \*10-30 hours
7. Attend Award ceremony ..... 2 hours
8. Provide feedback for improvement ..... 1 hour

**Approximate Examiner Time Commitment** ..... **166 - 260 hours**

**Approximate Additional Time Commitment for Team Leads** ..... **\*20-50 hours**

**Time Commitment also depends on the level of application and the size of the organization applying.**

### Examiner Training Fees and Dates:

- A deposit of \$500 is required for the 2 day Examiner Training. A *deposit of \$400 is required if you have served as an Examiner during two of the last three years.* Upon successful completion of training and successful completion of service on an evaluation team, SWAE will offer a \$200 rebate of the deposit.

Training dates for 2019 have been set for August 7 & 8 in the Phoenix metro area. **You are required to attend the two day session.** Webinar training may be available for out of area/state Examiners. Consult SWAE Performance Excellence Program schedule posted at [www.swae.org](http://www.swae.org) under **What We Do** click on **Performance Excellence Program**.

- Training activities may be virtual via webinar, classroom or combination and will include:
  - **Introductory and Stage 1 Examiner Training**  
Required for all potential examiners. Prepares the examiners to complete their individual review of their examiner assignment; includes introductory software training.
  - **Stage 2 Examiner Training**  
Required for all potential examiners. Prepares the examiners for Stage 2 including preparation for and completion of the consensus meeting in which all examiner input from a team is joined to form a scorebook; includes just-in-time software training.
  - **Stage 3 Examiner Training**  
Required for all potential examiners. Prepares the examiners for the Site Visit and Final Feedback Report completion. The Site Visit occurs when a team of examiners visits the applicant's site to verify and clarify items identified during the consensus meeting; includes just-in-time software training.
  - **Team Lead (and if applicable, Team Lead Assists) Training & Lead Software Training**  
Required for all team leads (and if applicable, Team Lead Assists). Team Leads along with team designations are made before Stage 1 begins.
  - **Software Training (may be combined with Stages 1-3 training and/or separate training and/or virtual via webinar)** Required for examiners using the online software program that SWAE employs to improve the productivity of its examiners. This software program is provided through the Rocky Mountain Performance Excellence, a nonprofit organization located in Colorado.
- Assistance with any aspect of the Performance Excellence Program will be available from SWAE and the members of the Board of Overseers (BOO) throughout the training process. The BOO's primary tasks include the design and delivery of the material and training for the Performance Excellence Program as well as monitoring the process to maintain the Program's integrity and confidentiality standards.

## Examiner Eligibility

Upon submission of a completed "Examiner Application" and satisfaction of initial Examiner Training session requirements, you will be eligible to become an examiner. *Eligibility does not necessarily guarantee that you will be assigned to the Board. (Note: All Examiners must go through training, even though they may have other types of certifications.)*

## Selection Factors for the Board of Examiners (Board)

The information provided by the potential examiner completing the "Examiner Application" will be used to assist in the selection of appropriate candidates for the Board. The following determinants are used in selecting assignment to the Board:

- Preparation and performance in training activities, including completion of training pre-work
- Interpersonal skills and the ability to work effectively as a member of a team
- Balanced sector coverage - efforts are made to ensure broad participation and to minimize disproportionate involvement by one sector or employees from a single organization
- Number of applications received

No prospective candidates shall be denied consideration or appointment to the Board on the grounds of race, creed, color, national origin, age, gender, or disability. Some organizations may have additional restrictions for examiners assigned to their application, such as U.S. citizenship. In such instances, SWAE must abide by the requirements or restrictions of the organization.

## Examiner Assignments and Duties

Assignments will be made to an examiner team for the purpose of evaluating either an *Organization Level* or a *Process Level* Application(s). Teams will be configured by the SWAE staff in consultation with members of the BOO (consideration is given to avoid any conflict of interest). Teams for the *Organization Level applications* are composed of one team-lead, possibly a lead-assist and between 3-8 team members. Teams for the *Process Level applications* will typically consist of 2-4 members, inclusive of a team lead.

**IMPORTANT:** All applications and supporting documentation must be kept confidential. Examiners may not share information about the identity of applicants or results of the examination process with anyone, including other members of the Board that are on different examination teams.

## Examiner duties include:

- Read award criteria and become familiar with core concepts and values. Bring questions to training
- Thorough individual review of the assigned application(s) and preparation, with submittal, of a scorebook with comments and scores
- Development of a team consensus score and comments and preparation for applicant site visit
- Participation in a ½-day to 5-day site visit at the applicant location(s)
  - ✓ **For Organization Level applications, team members will be lodged in a hotel for the duration of the site visit.**
  - ✓ *For those Process Level applications that require the examiner to travel extensive distances, lodging in a hotel is an allowed option with approval by SWAE.*
  - ✓ Team members must also protect the confidentiality of the applicant by not revealing where the site visit is taking place.
  - ✓ Examiners must pay for site visit expenses – other than hotel / airfare cost – as they are incurred, but they will be reimbursed by SWAE at the end of the process after the site visit is completed. *(If you have any concerns regarding this, please contact the SWAE office.) Applicants later reimburse SWAE for the total of the site visit team's expenses. It is very important for examiners to retain their expense records and all receipts and submit them promptly.*
  - ✓ Examiners scheduled for site visit **must reimburse SWAE**, if they cannot make the site visit after airline reservations have been made.
- Preparation of the final feedback report and scoring for submission to SWAE for review by the Panel of Judges

### **Ethical Standards of Conduct and Conflicts of Interest**

Board members are expected to carry out their duties and responsibilities in the Performance Excellence Program in accordance with the Code of Ethical Standards and the Conflict of Interest Statement (see attached) of the program. Those selected to serve on the Board must provide information regarding conflicts of interest. Disclosure includes employment history, client relationships, or any significant ownership in an applicant. Such information will be used only for purposes of team assignments and will otherwise be kept confidential. It is required that all examiners understand and sign the above-referenced documents and include them with their application.

### **Adherence to Performance Excellence Program Processes**

Board members are **expected to meet all requirements** associated with a fair and competent examination including use of the criteria, scoring system, and site visit requirements. Good documentation and written communication are essential components of the overall review process. Teams need each member to meet all deadlines and requirements of the examination process. **(If an examiner is not complying with deadlines and requirements, that examiner may be removed from the team.)**

### **Compensation and Reimbursement**

SWAE is a non-profit corporation and as such, funding is limited. The application fees are kept to a minimum, and SWAE receives no direct federal or state funding for the Performance Excellence Program. The program seeks to operate with maximum voluntary support. It is suggested that examiners seek travel and expense reimbursement from their employers. SWAE will reimburse examiners for reasonable site visit expenses including hotel, meals, mileage and parking. In cases of extreme hardship, reimbursement may be available for other expenses. **Any reimbursement request other than reasonable site visit costs must be approved in advance by SWAE.**

The program does not pay honoraria or fees to members of the Board of Examiners. Members of the Board will receive public recognition at SWAE events and on the SWAE website, and will be offered complimentary attendance to the Performance Excellence Program Award Banquet.

### **Return completed application with deposit and signed Code of Ethical Standards & Conflict of Interest Statement to SWAE.**

#### **By Mail:**

3961 E. Chandler Blvd, #111-334  
Phoenix, AZ 85048

#### **Or by Email:**

kshepard@swae.org

**If faxing or sending a scanned copy of your application, please send only the pages you have completed. DO NOT send pages 1-4.**

# 2019 Examiner Application



We're so excited to begin our partnership with you! To ensure we have the information needed to best evaluate your experiences and skills, please take a few moments to fill out the form below. If you have any questions, feel free to contact us at any time. Thank you!

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## Personal Information

LAST NAME	FIRST NAME	PREFERRED NAME (if different)	
CURRENT EMPLOYER			
WORK ADDRESS	CITY	STATE	ZIP
WORK EMAIL	WORK PHONE	CELL PHONE	FAX
HOME ADDRESS	CITY	STATE	ZIP
HOME EMAIL	HOME PHONE	CELL PHONE	
PREFERRED MAILING ADDRESS	PREFERRED EMAIL	PREFERRED PHONE	
Work	Work	Work	
Home	Home	Home	
CITIZENSHIP		Cell	

REQUIRED DATES: (BE SURE TO KEEP ALL SITE VISIT DATES AVAILABLE) APPLICANT

SITE VISIT (Reserve & check at least 1 week listed - your chosen date is **not** guaranteed) \_\_\_\_\_

Week of November 4-8

Week of November 11-15

# Work Experience

Starting with your most recent job, provide the information requested for each position you have held during the **past 10 years** of your professional career. **Copy this section as needed or submit a resume, including requested information.**

EMPLOYER NAME  
COMPANY SIZE  
Sm(1-99) Med(100-499) Lg(500+)

INDUSTRY (Check as many as apply)

- Computers/Technology
- Education
- Energy/Utilities
- Finance or Insurance
- Healthcare
- Hospitality
- Manufacturing
- Retail
- Telecommunications
- Prof./Commercial Services
- Real Estate/Construction
- Wholesale Distribution
- Independent Consultant
- Other

TYPE DATE FROM/TO  
For Profit Not for Profit Government

YOUR JOB TITLE SUPERVISOR'S NAME & TITLE

JOB RESPONSIBILITIES (include number of people supervised, if any)

YOUR EXPERIENCE in quality, project management, process improvement, re-engineering, etc. related to your job duties

JOB RESPONSIBILITIES (continued)

YOUR EXPERIENCE (continued)

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## Additional Experience, Education & Training

**EXPERIENCE WITH QUALITY SYSTEMS** - Describe any experience in assessing quality systems and providing formal feedback. (e.g. evaluating suppliers and/or customers, involvement in quality award programs, ISO, Lean/Six Sigma, organizational assessments, etc.) Was the feedback given in written or oral form?

**ADDITIONAL EDUCATION OR TRAINING** - Please list any pertinent post-high school degrees or training, including significant formal training in quality & professional certifications.

# Disclosure of Potential Conflict of Interest

Members of the Board of Examiners must disclose to SWAE the identity of employers, clients, and other entities with whom they have had a professional relationship - past, present or potential - whose interests might be affected by the actions they will undertake while acting as a member of the Board. Additional disclosure statements may be requested prior to assignment to an examiner team. Material misstatements of fact in this application or incomplete disclosure of conflicts of interest may be grounds for disqualification from the application process or dismissal from the Board of Examiners. In the table below, **list all potential conflicts of interest you can**. Please be as **COMPLETE** and **ACCURATE** as possible so your assignment to an evaluation team can be expedited. **This section must be completed.**

**Consider:**

- \* Organizations you have worked or consulted for, or retired from in the **past five years**
- \* Major customers, suppliers or competitors of your current employer
- \* **Organizations you have examined for SWAE or other Baldrige-based organizations or state programs**
- \* Organizations with whom you have a conflict of interest (e.g. spouse's employer or Boards on which you sit)
- \* Organizations in which you have a financial interest (e.g. stock holdings)

Organization	Organization	Organization
Conflict of Interest	Conflict of Interest	Conflict of Interest
Employer/Client	Employer/Client	Employer/Client
Supplier	Supplier	Supplier
Customer	Customer	Customer
Competitor	Competitor	Competitor
Financial Interest	Financial Interest	Financial Interest
Examined	Examined	Examined
Retired from	Retired from	Retired from

Organization	Organization	Organization
Conflict of Interest	Conflict of Interest	Conflict of Interest
Employer/Client	Employer/Client	Employer/Client
Supplier	Supplier	Supplier
Customer	Customer	Customer
Competitor	Competitor	Competitor
Financial Interest	Financial Interest	Financial Interest
Examined	Examined	Examined
Retired from	Retired from	Retired from

Other: (Please list organization and conflict if different from all other categories.)



# Self-Rankings

Please indicate your level of ability to assess the 7 categories of the Baldrige-based Criteria.

	No Experience	Some Experience	Moderately Experienced	Highly Experienced
Leadership				
Strategy				
Customers				
Measurement, Analysis & Knowledge Management				
Workforce				
Operations				
Results				

# Affirmation of Commitment

In applying to serve on the Board of Examiners for the Performance Excellence Program, I attest to the accuracy of the information in this application and agree to abide by and sign the Code of Ethical Standards and the Conflict of Interest Statement provided in this application packet.

SIGNATURE OF APPLICANT

SIGNATURE OF IMMEDIATE SUPERVISOR (if applicable)

SUPERVISOR'S PRINTED NAME

SUPERVISOR'S EMAIL

SUPERVISOR'S MAILING ADDRESS

CITY

STATE

ZIP

I HAVE ENCLOSED MY TRAINING DEPOSIT:

Checks are made payable to "SWAE" -- Checks or electronic transfers preferred

\$500 Training Only

\$500 Train and Serve as Examiner

\$400 Served 2 of last 3 years as Examiner

CREDIT CARD\*: (5% non-refundable service fee applied)

\* Note - Credit cards will be processed for deposit.

NAME ON CARD

Visa

MC

AMEX

CARD #

EXP. DATE

SEC. CODE

BILLING ZIP CODE

# Code of Ethical Conduct

Anyone designated to have responsibilities related to reviewing the Performance Excellence Program applications (e.g. Board of Examiners and Panel of Judges) pledge to uphold their professional principles in the fulfillment of their responsibilities.

Four principles are the foundation of the Code of Ethical Conduct. These principles empower examiners to make effective decisions with great confidence.

## **Principle 1: Protect the Integrity of the Award Process**

Examiners will make sound decisions related to conflicting or competing interests, as well as do their part to ensure that all applicants are evaluated consistently. Violations of this principle include, but are not limited to, the following examples:

- Representing conflicting or competing interests or placing themselves in such a position where their interest may be in conflict—or appear to be in conflict—with the purposes and administration of the Performance Excellence Program. This includes being employed by, being a supplier or customer of, having a financial interest in, or having a consulting arrangement in effect now or anticipated in the future.
- Approaching an organization they have evaluated for personal gain or accepting employment from an organization they have evaluated within three years of the evaluation for an Organization Level application and one year for a Process Level application. (does not apply to mentors or monitors.)
- Using information gained from sources other than the applicant, such as information gathered from the press, Web sites, social media, examiners, or any other outside sources.
- Intentionally communicating false or misleading information that may compromise the integrity of the Performance Excellence Program process or decisions therein.

## **Principle 2: Exhibit Professional Conduct at All Times**

Examiners will conduct themselves professionally, guided by truth, accuracy, fairness, respect, and responsibility in all their interactions. Violations of this principle include, but are not limited to, the following examples:

- Identifying their examiner status (number of years of service) or promoting/advertising their services while performing as an examiner.
- Independently giving feedback to applicants regarding scoring or overall performance.
- Using the Performance Excellence Program/Award logos in advertising or promotion.
- Failing to respect the climate, culture, and values of organizations being evaluated when participating in site visits.
- Never represent themselves as prior examiners for their personal gain if approaching an organization they have evaluated: this includes the establishment of an employment or consulting relationship.

### **Principle 3: Protect the Promise of Confidentiality**

Examiners will safeguard the confidences of all parties involved in the judging or examination of present or former applicants so that the integrity of the Performance Excellence Program process is not compromised. Violations of this principle include, but are not limited, to the following examples:

- Disclosing the identity of or other information about the applicant to anyone other than the examiner's team, the judge involved in the examination, or the SWAE staff members involved in the examination.
- Copying applicant information of any kind. Note: Copying information from inside the SWAE Program's encrypted, secure software/documents to other documents within the database is permitted and necessary.
- Failure to protect confidential information and disclosures that may in any way influence the awards integrity or process, currently or in the future.
- Communicating applicant identity or other applicant information through e-mail, social media, or any other electronic or written means.
- Communicating applicant identity or other information via cell phone, VOIP, or wireless devices unless authorized by the applicant.
- Using or adapting applicant information subsequent to the review process, unless the information is publicly released by the applicant.
- Communicating with the applicant during Independent Review and/or Consensus Review.
- Communicating with the applicant during Site Visit Review activities, unless the examiner is the team leader.

### **Principle 4: Protect the Program's Intellectual Property and Promote the Program**

Examiners will make sound decisions related to the use of Baldrige and SWAE Program materials.

- Making unauthorized copies of the Baldrige Criteria for Performance Excellence or any other Baldrige Program publications is a violation of the above principle.
- Act as ambassadors for SWAE and the Performance Excellence Program to enhance and advance the Program as it serves to stimulate organizations to improve quality, productivity, and overall performance.
- Promote, in all activities, an atmosphere focused on overall performance improvement rather than on winning an award.

Furthermore, Board members enhance and advance the SWAE Performance Excellence Program. All Board members pledge to abide by this Code of Ethical Conduct.

\_\_\_\_\_  
Print Your Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Conflict of Interest Statement

As an individual acting in any capacity for, and on behalf of the Performance Excellence Program, I will voluntarily disclose to the administrators of the Program my employment history and client relationships for purposes of team assignments.

I will *immediately* provide information of any actual or perceived personal conflict of interest with applicants assigned to me as an examiner that could be favorably or unfavorably affected by my actions while acting as a member of the Board. This includes not having conflicts due to:

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

I will not disclose any information gained through the evaluation of the applicant about the applicant; the applicant's clients, competitors, customers, or suppliers; or any other associated person or organization to anyone other than those in the SWAE Performance Excellence Program directly involved with the applicant review process.

**Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Printed Name** \_\_\_\_\_