SW★E

SOUTHWEST ALLIANCE for EXCELLENCE

Empowering Organizations to Improve Results

2021

Process Level — Application Guidance Manual for the Performance Excellence Program

Process Level Guidance Manual Table of Contents

Letter from the Board of Directors

What does the Southwest Alliance for Excellence do?

As the Southwest Alliance for Excellence (SWAE) embarks on its 31st year serving organizations we will continue to help organizations become more efficient and improve their results!

SWAE helps organizations of all sizes, sectors, and industries improve their results using the *Baldrige Excellence Framework – a systems approach to improving your organization's performance.* The *Criteria for Performance Excellence* helps to simplify an organization's efforts. It is designed to help identify what really matters to your organization, and focus efforts where they will count. Using the Criteria gives you a holistic assessment of where your organization is and where it needs to be. Use it to empower your organization to reach your goals, improve results, and become more competitive by aligning your strategy, processes, decisions, people, actions and results.

At first glance, the Criteria may seem a bit dense and daunting, but SWAE offers many resources to help you learn: The SWAE Performance Excellence Program, our workshops, examiner training, and our Annual Sharing of Best Practices & Awards Luncheon are all first-rate avenues toward excellence.

I also would like to talk about *why* we do it: SWAE's mission is to empower organizations in Arizona, Nevada and Utah to pursue performance excellence, improve outcomes and contribute to the economic strength of their community and state. We are dedicated to making our states better places to live and work.

Our ultimate stakeholders are the citizens of Arizona, Nevada and Utah – you and me. When our businesses, schools, hospitals, factories and government bodies focus on results, when they function at high performing levels, we all benefit.

SWAE believes, by integrating the principles of the *Criteria for Performance Excellence,* our organizations, communities and citizens will thrive. I am delighted that you are here to take advantage of this opportunity.

Sincerely,

Tyson Heath
Chairman, SWAE Board of Directors

About the Southwest Alliance for Excellence

Our Vision
Be a recognized leader in advancing organizational excellence.
Our Mission
To empower organizations to pursue performance excellence, improve outcomes and contribute to the economic strength of their community and state.

The Southwest Alliance for Excellence was established in 1990. Our goal is to improve the economic vitality of the region by promoting the understanding and use of the Baldrige *Criteria for Performance Excellence.*

Since 1990, hundreds of organizations have applied to and benefited from the SWAE Performance Excellence Program.

We are an independent, nonprofit corporation governed by a Board of Directors drawn from manufacturing, service, healthcare, education and government sectors. We function as a non-profit that provides cost-effective support to regional businesses and organizations. Our funding comes solely from membership, sponsorship and program revenue.

SWAE Workforce
One staff member, and more than 75 volunteers provide services to SWAE members and applicants, implementing all SWAE activities.

Board of Directors
The SWAE Board of Directors consists of distinguished leaders from all sectors of AZ, NV & UT economies, providing policy guidance and direction. The board is responsible for SWAE's governance and finance.

Members and Sponsors
The support of corporate and individual members and sponsors enables SWAE to deliver programs and services to companies in every industry sector. All companies, organizations and individuals involved with or interested in SWAE are welcome to apply for membership. Membership benefits include:

- Knowledge sharing on performance improvement topics through the SWAE newsletter
- Opportunities for education and learning through discounted training
- Discounted SWAE Performance Excellence Program application fees
- Demonstration of a commitment to excellence
- Acknowledgement in SWAE materials

- Networking and connecting with like-minded organizations and individuals

To become a SWAE member or sponsor, please visit the Members / Sponsors section of our website (http://www.swae.org/mission/) or call the SWAE office: (480)874-5815.

Our Core Values
- Act with Integrity and Transparency
- Add Value to Stakeholders
- Commit to Excellence and Making a Difference
- Execute Business in a Respectful and Ethical Manner
- Work Collaboratively with a Passion for Continuous Improvement

Southwest Alliance for Excellence Performance Excellence Program

Modeled after the Baldrige Performance Excellence Program, SWAE fulfills its mission by providing in-depth, low-cost assessments of regional organizations using the *Criteria for Performance Excellence*. This process is the basis of the SWAE Performance Excellence Program.

Organizations that go through an assessment receive detailed feedback that may be used to improve processes and results. It's an effective way to energize employees, sharpen focus, look at your organization from a systems perspective and earn recognition for your business or organization.

The SWAE Performance Excellence Program is multi-tiered, offering five levels of review. An organization that is new to the Criteria can get its feet wet by starting with a Level 1 (Interest) application or a Process Level application. As the organization grows and develops, it may apply for a Level 2 (Commitment), Level 3 (Achievement) and Level 4 (Excellence) Award. Among other eligibility requirements, organizations that apply for a Baldrige National Quality Award must first receive a SWAE Pinnacle Award for Excellence.

To participate in the SWAE Performance Excellence Program, organizations submit a self-assessment to the SWAE office based on questions posed in the *Criteria for Performance Excellence*. The length and breadth of this self-assessment depends on the award level sought. Please see page 10 for more details on requirements for each level.

About the Southwest Alliance for Excellence

A team of SWAE examiners then evaluates the self-assessment and conducts a site visit to gain a thorough understanding of the organization. Based on its findings, the team prepares a detailed Feedback Report that identifies the applicant's strengths and opportunities for improvement.

The Panel of Judges reviews the examiner team's work for integrity and completeness and determines the applicant's award level.

Code of Ethical Standards

Integrity is one of SWAE's core values. A strict Code of Ethical Conduct and Conflict of Interest Statement binds each examiner and judge. Neither examiners nor judges may participate in any evaluation; scoring or recognition decisions where there may be, or could appear to be, any personal, potential or perceived conflict of interest.

Applicant Eligibility

Any public or private organization located in the states of AZ, NV or UT may participate in the SWAE Performance Excellence Program.

Organizational Units

Business/organizational units or subsidiaries are eligible to submit an application. For purposes of the evaluation process, a subsidiary means an actual subsidiary, business unit, division, or district office. Eligible organizations must be recognizable as discrete entities, and must be easily distinguishable from a parent and other sub-units. They must function as business or operational entities, not as activities assembled to write an application.

Organizations must be self-sufficient enough to be examined in all seven Criteria categories. For example, an organizational unit with its own administrative, human resources and other support functions is eligible; but a unit that is entirely dependent upon the parent organization for the majority of these functions is ineligible.

The following organizational units are expressly allowed:

- Business units or larger
- Whole manufacturing plant
- Hospitals within systems; whole health care systems
- State government office/division/department
- Stand-alone sub-units of larger organizations
- School districts
- Individual schools
- Colleges within Universities; whole universities
- **Note:** Meeting eligibility requirements for SWAE Level 4 awards does not necessarily convey eligibility as a national Baldrige Applicant.

Future Eligibility

If an organization receives the prestigious Pinnacle Award for Excellence (Level 4), the organization is ineligible to apply for another SWAE organization level Award for a period of three years. For example, a 2014 Pinnacle Award recipient would be eligible to reapply in 2018. Recipients of the Pioneer Award may re-apply in any given year, but may not receive the Pioneer Award more than once every three years. There is no such restriction for Interest Recognition (Level 1), Commitment Awards (Level 2) or Achievement Awards (Level 3).

Eligibility Determination

In order to ensure fairness and consistency to all award applicants, an Intent to Apply/Eligibility Form is required for Organization Levels 2, 3 and 4 applicants and Process Level applicants. This form takes into account an organizational unit's structure, functions and performance. Potential applicants are encouraged to submit the Intent to Apply/Eligibility Form as early as possible. For more information on eligibility determination, see the Intent-to-Apply and Eligibility Form on pages 19-24.

Award Allocation

Awards are granted on the basis of fulfilling the Criteria requirements described for each level (see page 10 for a complete description of these requirements). There is no limit to the number of awards presented annually. However, if no candidate demonstrates the levels of performance excellence outlined on page 8 ("SWAE Award Program Recognition Levels") and established by the Criteria, no award will be conveyed. In other words, there may be years when no recipients are named, particularly at the higher award levels.

Responsibilities of Award Recipients

Applicants receiving recognition and awards are encouraged

to support the development of performance improvement for others participating in the SWAE Performance Excellence Program. Excellence Award recipients are expected to share nonproprietary information from their application material and participate in the Southwest Alliance for Excellence annual Awards Banquet, so others may learn from their success. A minimum of one "Best Practice" workshop or "Benchmark Tour" is generally held at the recipient's site.

Additional SWAE Programming

Education

Throughout the year, SWAE provides training opportunities to organizations that want to improve processes and results. All of these programs are available at low cost and open to the public.

For more information about any of SWAE's educational opportunities, visit the Workshops & Events page of the SWAE website: www.swae.org or call the SWAE office at (480)874-5815.

Application Workshop
Application workshops provide tips and tools for beginning an organizational self-assessment and writing a SWAE application to the Criteria. In addition, attendees learn how award levels are determined and gain insight into site visits. These workshops are a great first step for organizations that are new to using the Criteria; they also provide advanced strategies for companies more familiar with the SWAE application process and the Criteria.

Baldrige 101 Workshop
The *Criteria for Performance Excellence* provides a seven-category framework for defining what is most important to an organization's success. This course is an introduction to the Criteria's framework, using that information; organizations can then identify and implement meaningful improvements.

Benchmarking Tours/Workshops
When an organization receives an Excellence Award, it opens its doors to the public for a series of best practice tours and workshops. These tours highlight the systems and methods that helped the organization achieve the award.

Throughout the year, we offer opportunities to get a sneak peek inside industry-leading companies and organizations that share their best practices with participants. Attendees tour the host organization while learning valuable information they can take back to their own workplaces.

Workshops
SWAE offers workshops to help organizations better understand methods of improvement through the use of the Baldrige Criteria, other quality methodologies and the Performance Excellence Program. We also host writing Workshops to help applicants prepare to apply for the Process Level in addition to Baldrige 101 Workshops.

Custom Training
SWAE designs and delivers custom training sessions and presentations to interested organizations. Call the SWAE office at (480) 874-5815 or email info@swae.org for details.

Examiner Training

Every year, SWAE trains a contingent of volunteer examiners in the *Criteria for Performance Excellence* to evaluate the businesses and organizations that apply to the SWAE Award Program. These examiners typically represent the best and brightest- professionals who want to challenge themselves while contributing to the region's economic development.

Serving on the SWAE Board of Examiners is a powerful personal and professional development experience. Starting with training and continuing through the applicant evaluation process, networking opportunities abound. In addition, examiners are exposed to the best practices of role model companies.

"I found the SWAE Examiner experience extremely valuable to my understanding and growth in Quality. The training and site visit offered me the opportunity to understand quality programs outside of my own industry." – Susie Duffy; HonorHealth

Employers have found that examiner training empowers employees to apply the Criteria at their own jobs, improving processes and results. In addition, applicants have discovered that having an examiner or two on the "inside" improves their own SWAE applications.

Every summer SWAE schedules examiner training sessions. For information about becoming an Examiner or signing up employees to serve as examiners, please visit the Examiner section on the Award Program page on SWAE's website or call the office: www.swae.org/performance-excellence-program/ (480) 874-5815.

This is a powerful learning experience and valuable professional development step for anyone. The Board of Examiners evaluates award applications, conducts site visits and prepares feedback reports.

Additional SWAE Programming

Benefits of participation include:

- Strong understanding of a global set of guidelines for running an effective organization
- Insider look at innovative approaches utilized by leading organizations
- Improved assessment, analytical, interviewing and writing skills
- Networking with colleagues and other professionals throughout the region
- Opportunity to attend Performance Excellence Award Banquet compliments of SWAE

SWAE Performance Excellence Program Sharing of Best Practices & Awards Luncheon

The SWAE Performance Excellence Program Sharing of Best Practices & Awards Luncheon is the platform SWAE uses to recognize organizations that complete the evaluation and feedback process. During the luncheon, each SWAE applicant that has fulfilled the criteria requirements receives an award based on its level of achievement. For employees of organizations that participate in the application process, the luncheon is a great celebration, confirming the organization's commitment to improving performance results.

SWAE Leadership Award

The Southwest Alliance for Excellence (SWAE) Leadership Award is an annual award recognizing an individual who exemplifies outstanding leadership in the pursuit of performance excellence and has furthered performance improvement beyond the boundaries of their organization. Recipients can represent any industry and any type or size organization in Arizona, Nevada, or Utah. They are dedicated to and demonstrate leadership behaviors and results consistent with the SWAE Core Values, community involvement, corporate citizenship and economic development. They must be willing to share their leadership practices as they relate to the SWAE Core Values and Leadership Behaviors.

Nominations for the SWAE Leadership Award are solicited from the public. Self-nominations are not permitted. The award recipient is selected by an outside, diverse committee.

Best Practice Sharing

SWAE provides a venue where businesses and organizations can learn from the performance improvement strategies of their role model peers:

- Benchmarking tours and workshops are presented by SWAE Award recipients to share the strategies and processes that brought them to this level of accomplishment.
- During the annual SWAE Performance Excellence Program Sharing of Best Practices & Awards Luncheon, recipients of the Malcolm Baldrige National Quality Award and the SWAE Excellence Award share the lessons they have learned on their journeys to performance excellence.

SWAE Learning Events

Refer to the Events and Workshops schedule at http://www.swae.org/events-workshops/, or turn to the previous page to see descriptions of other learning opportunities like:

- Baldrige 101 Workshop
- Application Writing Workshop
- Benchmarking Tours/Workshops
- Lean Six Sigma
- Networking opportunities and events

Or, call SWAE to schedule a customized learning event at your site: (480) 874-5815. For more information about any of SWAE's programs, please visit our website or call the SWAE office: www.swae.org , (480) 874-5815.

2021 SWAE Performance Excellence Program

2021 AWARD Cycle

	2021
Process Level Intent to Apply	Received throughout the year
Application Deadline	60 days after Intent to Apply is received by SWAE
Examiner team conducts application assessment and scoring	Approximately 60-90 days after Application is received
Site Visit Schedule	On-going*
Panel of Judges convenes	On-going*
Feedback Reports distributed	On-going
SWAE Annual Sharing of Best Practices & Awards Luncheon	February 2022
To be included in upcoming Awards Luncheon	Submit Application by 8/16/2021

SW★E Steps to Excellence
SOUTHWEST ALLIANCE for EXCELLENCE

	Level 1 Interest	Level 2 Committment	Level 3 Achievement	Level 4 Excellence
Org. Profile	Yes	Yes	Yes	Yes
Application Focus	Org. Profiles	Basic Item Requirements	Overall Item Requirements	Multiple Item Requirements
Max. Length	5 Pages	5 + 15	5 + 35	5 + 50
Questions to Answer	37	37 + 17	37 + 106	37 + 252
Site Visit	N/A - Replaced with Coaching	1 - 2 Days	2 - 3 Days	3 - 5 Days
Feedback Focus	Seven Categoroes	Basic - Overall Requirements	Overall - Multiple Requirements	Multiple Requirements
Award	Interest Recognition	Commitment Award	Achievement or Commitment Award	Pinnacle, Pioneer, or Category Award for Excellence or Achievement

2021 SWAE Performance Excellence Program

In keeping with SWAE's philosophy of encouraging involvement and participation in the process, the Board of Directors strives to maintain affordable program fees. SWAE Members receive discounts on application fees. Turn to page 2 for benefits of SWAE membership.

Application Fee

The Application Fee is required for all award levels. For Process Level and Levels 2, 3 & 4, (50%) should be included with the Intent to Apply Form and the remaining 50% when the application is submitted to SWAE. The fee is related to workforce size and application level. SWAE Members receive a discount on this fee. For Level 1 submit the entire fee with the appropriate completed application. Use the table below to determine your Application Fee. *Please note there is an additional administrative fee per application for the Process level & Levels 2- 4. See Organization Level Application Guidance Manual at http://www.swae.org/performance-excellence-program/*

Site Visit Cost

All applicants (with the exception of Level 1) participate in a site visit from a team of SWAE examiners (see pages 10-11 & 15-16 for details). The applicants will be invoiced for the actual expenses of the Site Visit following completion of the Site Visit. A deposit may be requested prior to the Site Visit.

Workforce Size

Workforce size is based on the number of full-time equivalent (FTE) employees working for the applicant. FTEs are defined as those who regularly work 40 or more hours a week and are entitled to benefits such as paid vacation, sick leave and insurance coverage. Part-time workers are counted as total part-time hours per week divided by 40. For example: 10 people at 20 hours is equal to 5 full time equivalent employees ($10*20 / 40 = 5$).

Each instance of job sharing, where multiple individuals fulfill the responsibilities of a single position that requires 40 or more hours per week, is counted as a full-time equivalent employee.

Applicant Categories

1. **Large**: any organization with more than 1500 full-time equivalent workers

3. **Medium**: any organization with 501 to 1500 full-time equivalent workers

4. **Small:** any organization with 1-500 full-time equivalent workers

Application Fee Table

Application	Number of Employees	Application Fee (Non-member)	Application Fee (Member)
Interest (Level 1)	1-500	$1200	$1000
	501-1500	$1500	$1200
	More than 1500	$2000	$1600
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
Process Level	N/A	$1500	$1200

*Additional administration fee per application: Process Level - $250; Level 2 - $500 fee; Level 3 - $1000 fee; Level 4 - $1500 fee.
Site Visit Fees are invoiced at actual expense amount.

Applying for a SWAE Award

The SWAE Performance Excellence Program recognizes organizations for progress and achievement based on four levels of organization assessment: Level 1 (Interest Recognition), Level 2 (Commitment Award), Level 3 (Achievement Award) and Level 4 (Excellence Award) and a Process Level.

Award application requirements become more involved as award levels increase. To participate, an organization must submit an application packet appropriate for the award level to which it is applying.

Process Level Applications

Process level applications are accepted year round and consist of two parts:

Part 1   Intent to Apply/Eligibility Form (Pgs 19-24)
50% Application Fee (see table on page 9)

Part 2   Criteria response & Scoring (Pgs 25-33)
Application Fee (see table on page 9)

Process Level Criteria Response
The Process Level application includes a three-page Process Context plus up to 10 pages for the Process Level Criteria responses. (See pages 25-33 for Process Level Criteria) *Baldrige Criteria references* are noted in *italicized* parenthesis after each Process Level criteria question, as appropriate.

Level 1 Applications

Level 1 applications are accepted year-round. For this application, the Intent to Apply/Eligibility Form is not required. The Application Fee (see details on page 8) is due when the application is submitted.

Organization Level 2, 3 and 4 Applications

These applications consist of two parts:

Part 1   Intent to Apply/Eligibility Form
50% Application Fee (see table on page 9)
Received by: 2021 Cycle: June 20, 2021

Part 2   Criteria response
Application Fee (see table on page 9)
Received by: 2021 Cycle: August 16, 2021

Organization Level Application

**See Organization Level Application Guidance Document at http://www.swae.org/performance-excellence-program/

Application Review Process

The Organization Level 2, 3 & 4 and Process Level Applications are reviewed and evaluated in a five-stage process by members of the SWAE Board of Examiners. These examiners, specially trained in the Baldrige *Criteria for Performance Excellence*, adhere to strict rules regarding confidentiality and conflict of interest during each stage of the review process.

Stage 1 – Independent review and evaluation by the individual members of the examiner team

Stage 2 – Consensus review and evaluation by the examiner team

Stage 3 – Site visits for the applicant by the examiner team

Stage 4 – Review of application and examiner team input (findings and recommendations for awards) by the Panel of Judges

Stage 5 – Final due diligence conducted for recommended recipient organizations

Site Visit

The Process Level and Organization Level 2, 3 & 4 SWAE evaluation includes a site visit. A team of examiners will spend one half day to five days at the applicant's worksite to gain a better understanding of operations and processes. The site visit is not an audit; its purpose is to provide the applicant a further opportunity to tell its story and to verify and clarify information in the application.

Applying for a SWAE Award

Applicants will receive a site visit agenda at least two weeks in advance of the site visit. The agenda may include a schedule of planned visits to facilities and operating units, a list of officials to be interviewed and the names of examiners scheduled to participate.

Site visit length depends on award level sought:

Process Application: 4 hours
Level 2: 1 - 1.5 days
Level 3: 2 - 2.5 days
Level 4: 3 - 5 days depending on the size of the organization

(See more information regarding site visits on pages 15-16)

Feedback to Applicants

At the conclusion of the evaluation, every applicant receives a written assessment by the examiner team called a Feedback Report. Providing a pathway for improvement, the Feedback Report is one of the most valuable features of the SWAE Performance Excellence Program process.

Each Feedback Report contains applicant-specific strengths and opportunities for improvement based on the *Criteria for Performance Excellence*. Used by applicants as an input to the strategic planning process, Feedback Reports help organizations focus on their customers, improving processes and overall performance.

Feedback Reports are emailed to applicants after the site visit, judging and editorial process are complete. Strict confidentiality is observed at all times.

Supplying Volunteer Examiners

As a non-profit organization, SWAE's volunteer workforce – the Board of Examiners- is the engine that drives us. In order to maintain a robust and active workforce, we rely on all applicants to provide at least one examiner.

The Board of Examiners work best when there is a balance of new and experienced examiners, so we encourage organizations to send us examiners who have served in the past, as well as those who are new to the program. Many examiners return year after year, because they find their

service to SWAE an unparalleled professional development experience, as well as an opportunity to benchmark and network.

The added benefits of supplying examiners are significant: Examiners receive valuable training and insight, which they bring back to their organization. The organizations that have SWAE examiners on staff are better able to integrate the Criteria's improvement framework and engage in a successful quest for excellence. Visit the SWAE website for more information about the Board of Examiners.
http://www.swae.org/examiners/

Promoting Excellence

Regardless of award level, all SWAE applicants demonstrate a commitment to excellence. We encourage all organizations that receive an award to promote their achievements and the benefits of the *Criteria for Performance Excellence*.

SWAE urges award recipients to publicize their awards, and to share non-competitive information about their successful performance strategies with other organizations.

Excellence Award recipients are asked to participate in the annual Awards Banquet, and host a Benchmarking Tour/Workshop the year following their achievement.

SWAE Performance Excellence Program Recognition Levels

SWAE Award recognition is based on the demonstration of performance excellence and best practices at one of five organization levels: Process Level, Level 1: Interest, Level 2: Commitment, Level 3: Achievement and Level 4: Excellence.

Organizations apply to the SWAE Performance Excellence Program at one of these levels. As the award levels increase, so does the depth of the Criteria response. In other words, applicants must submit a longer, more detailed self-assessment, answering more questions posed by the Criteria.

For details, the table Award Application Requirements by Level of Review on page 10 describes the application requirements for a Process Level Application.

Process Level Award (Team Award)

We realized the need to complement our Organization Level Awards (holistic look at an organization) with an award that focuses more on specific organizational processes. The Process Level Application provides an opportunity for receiving feedback and recognition on specific organizational processes.

The Showcase in Excellence Award recognizes a team for one specific process that could be innovative or a cutting-edge approach. It may be used as a role model or result in exceptional performance. It could also be a routine process performed in an extraordinary manner.

For additional information on the Process Level Award go to http://www.swae.org/performance-excellence-program/

Applying for an Award

If your organization is interested in applying for a SWAE Award, please turn to pages 14-16 and 19-24 for details and forms.

Important Dates

Examiner training:

A great way to learn the Criteria and develop leadership skills is to serve on the **SWAE Board of Examiners** (**BOE**). You can learn more about examiner duties and fill out an application form on the Award Program page on the SWAE website (http://www.swae.org/performance-excellence-program/).

2021 Cycle - BOE Application Deadline: May 27, 2021.

Intent to Apply/Eligibility Form:
Process level applications are accepted year-round, so there is not an application deadline. However, if you are applying for a Process Level Award you must submit the Intent to Apply/Eligibility Form (located on pages 19-24), and 50% of the Application Fee to the SWAE office (mailing address below).

2021 Intent to Apply/Eligibility Form - Received by:
Accepted throughout the year

Process Level Application:
To submit an application for a Process Level award, applicants must submit the completed application within 60 days of SWAE receiving the Intent to Apply/Eligibility Form

2021 Process Level Application - Received by:
60 days from Intent to Apply/Eligibility Form
In order to be included in the upcoming Awards Luncheon, the application must be submitted by 8/16/2021.

Contact SWAE
3961 E. Chandler Blvd. Suite 111-334 *(mailing address only)*
Phoenix, AZ 85048
(480)874-5815
www.swae.org
info@swae.org

Award Application Requirements by Level of Review

This table shows the Southwest Alliance for Excellence (SWAE) application requirements and review process for each Process Level application (as described on the previous pages). The Process Level Criteria will be used by applicants.

	Process Level
Intent to Apply/ Eligibility Form with 50% Application fee & 100% admin fee	50% Fee is required Fee is due 60 days after Intent to Apply is received by SWAE **There is a $250 Administration fee**
Organizational Profile	**Required:** Process Profile (1 page) and Process Context (3-page max.)
Response to Criteria (_using the Process Level Criteria_**).**	• Process Level Criteria • 2 Categories (Process & Results) (_10 pages max.)_ • Process Profile & Process Context + 35 Criteria Questions _Completed application MUST be submitted within 60 days after Intent to Apply is received by SWAE. Application must be submitted by 8/16 to be included in the upcoming Awards Luncheon_
Site Visit	4 hours
Recognition Eligibility	Showcase in Excellence Award
Applicant Responsibilities	Provide at least one SWAE examiner Benchmarking Tour (if appropriate)

Preparing Your Award Application

How to Apply:

- Contact SWAE if you have questions determining whether your organization is eligible to submit an application.

- File the Intent to Apply and Eligibility Agreement form for Process Level with 50% of the appropriate application fee. (All fees are non-refundable but can be used within one year.)

- Submit an electronic application that meets the enclosed guidelines (no paper copies of applications will be accepted). The applicant will provide this electronic copy in a Portable Document Format (PDF) to allow for appropriate printing where necessary. *(Keep in mind that font size and formatting is to match the criteria stipulated in the application, even after figures and graphs have been inserted and saved as a PDF file. The final copy will be tested for format requirements.)* Mail the remaining 50% of the application fee to the SWAE address.

- Host a site visit per the Performance Excellence Program guidelines and reimburse SWAE for the team's expenses (this item is optional if the organization is submitting for feedback only).

- An organization that submits a Feedback only application may choose not to receive a site visit. There is no reduction in the Application Fees, but no site visit or site visit expenses will be included in the assessment. The feedback report will then be based on the consensus score of the examiner team. Note: The Site Visit is a vital part of the assessment process. Although an organization may choose not to host the Site Visit, the value of the feedback report will be reduced by this choice. If an organization declares that its application is for Feedback only, this declaration cannot be changed after the application is submitted to the Southwest Alliance for Excellence.

Application Package

- The Application Package consists of:
  - Title Page
  - Table of Contents (page #'s of each Category Item)
  - Organization Chart
  - Glossary of Terms and Abbreviations
  - The Responses to the Criteria Items (not to exceed specified # pages per Level).
- Organizations must submit an electronic application that meets the enclosed guidelines. (No paper copies of applications will be accepted) The applicant will provide this electronic copy in a (PDF).
- Process level updated electronic copy of the completed "Intent to Apply and Eligibility Form," pages 4 & 5 only, submitted in a separate document (ONLY if any information has changed).
- Full payment of the application fee (a minimum of 50% is paid with Intent to Apply and Eligibility submission).
- Checks or electronic transfers are preferred. A 5% service charge will be applied for credit card payments.

Formatting the Application

- Consider each of the questions listed in the criteria in the Level you are applying.
- Use the same Category and Item numerical designations as in the Criteria.
- The application should be formatted:
  - Page size: 8 ½ by 11 inch size
  - Page orientation: Portrait / Pages with graphs; figures & tables: portrait or landscape
  - Lines per page: 60 (includes headings and blank lines separating paragraphs; does not include headers/footers with recurring info, i.e. org. name, page #, etc.)
  - Leading: 2 points between lines (1 point of leading equals 1/72 or 0.0138 inch)
  - Margins: Left = ¾ inch minimum; Right = ½ inch minimum
  - Text Columns: 2 preferred with ¼ inch between columns
  - Numbering: pages that respond to all criteria items should be numbered as such, i.e. Process Level (1 - 10), don't number blank pages, or use small Roman numerals, i.e. iii, iv, etc..

Preparing Your Award Application

Formatting the Application *(continued)*

- o Figure Numbers: Figures within Organizational Profile and Item sections should be in sequence; use numbers corresponding to the section (e.g., Figure P.1-1, Figure 2.1-2)
- o Font and type size:
    - Running text: 10 points minimum; Times New Roman or Arial
    - Do not use narrow, compressed, or condensed fonts
    - The font and type size need not be uniform as long as they meet the requirements
    - If you shrink graphics to fit the space available, ensure that text in the reduced figure meets the requirements
    - Tables filled mainly with text: 8 points minimum; Times New Roman or Arial
    - Other graphics (charts, graphs, data tables, and other figures), including titles and captions: 8 points minimum; any font
- Clearly label each figure using descriptive text. For example, the title of the third figure for results Item 2.1 might read "Figure 2.1-3 Reliability of Service: Carrier-Dropped Calls."
- Clearly label all axes and units of measure
- All components of the application must be in <u>ONE</u> document; i.e. the title page, table of contents, organization chart, glossary, organization or profile, and the responses to the criteria items.

Page Limits and Exclusions

- Criteria response page limits must include all pictures, graphs, figures, tables, and appendices. These pages must be consecutively numbered. Page limits do NOT include Organizational Profile or Process Profile or Context, glossary, title pages, organization chart, or table of contents.
- Examiners must base their evaluations solely on information contained within the application report. Do not add links to information on internet or websites. Examiners are instructed to rely solely on the content in the application and are not allowed to follow any such links.
- Do not submit copies of video, audiotape or other information aids.

- **An application that does not comply with all of the requirements, including the permitted page limit, font size, and margins will not be accepted by SWAE.**

(Keep in mind that font size and formatting is to match criteria stipulated in the application, even after figures and graphs have been inserted and saved as a PDF file. The final copy will be tested for format requirements.)

It is suggested that you submit your final application before the due date to avoid potential issues. You may set up an appointment with the SWAE staff to review and ensure your application meets the above requirements.

Site Visits

(All applicants that wish to be considered for an award will receive a site visit)

The primary objectives of a Site Visit are to verify the information provided in the Application and to clarify issues and questions raised during review of the application. A general Site Visit schedule is developed by the examiner team, and is provided to the organization in advance of the Site Visit dates. This initial schedule is tentative and may be revised by the team as the Site Visit proceeds. The schedule includes an estimate of the total time for the visit. Site Visits consist of interviews by examiner teams, team reviews of pertinent records and data, including data and information that has been generated since the formal submission of the application, and other appropriate methods for verifying the application content. Every effort will be made by the SWAE and the examiner team to minimize the disruption caused by the Site Visit. Applicants may make an introductory presentation, usually not exceeding 5-10 minutes in length depending on the Level of application. Depending upon the applicant's size, the examiner team may request a tour of the facility. During and after site visit the examiner team develops a Feedback Report for the Panel of Judges.

Site Visit Expenses and Protocol

Site Visit costs may be estimated and partially paid by the applicant prior to the scheduling of the Site Visit. After the Site Visit is completed and expenses have been tabulated,

Preparing Your Award Application

applicants will be invoiced by SWAE for the actual amount of the examiner team expense. This may include lodging, food, meeting room costs for the examiner team at their place of lodging, and travel and/or roundtrip mileage to the applicant's location. Examiner teams endeavor to keep the costs of the Site Visits as low as possible. Expenses of the Site Visit mentor, if any, will be included with the costs of the other team members.

The examiner team will request that the applicant provide a common meeting area on site for the team for the duration of the Site Visit. This area should be secure during the periods of the team's on-site activities and should be kept secured when the team is not on-site. All documentation requested by the team for examination will be reviewed in the team's meeting area – these materials will not be taken off-site by the examiners. If the applicant has restrictions or requirements on the possession or use of personal computer devices, citizenship, security clearances, etc., they should notify SWAE of these constraints prior to submittal of their application.

To avoid any appearances of impropriety or perceptions of undue influence on the examiners by the applicant, examiners are not permitted to accept gifts, tokens of appreciation, or other items as part of the Site Visit. The team will arrange for their accommodations and travel, and may not accept lodging or other services from the applicant. Even if it is available as part of the applicant's normal business or provided at market rates, the team will not accept accommodations from the applicant. SWAE may ask the applicant for contact information on convenient accommodations as they prepare for the Site Visit.

Feedback to Applicants

The feedback report, a tool for continuous improvement, is a written evaluation by an evaluation team from the Board of Examiners. Each applicant organization will receive a full feedback report at the conclusion of the review process. The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria. When used by organizations as part of their strategic planning processes, the feedback report can help them focus on their customers and improve productivity. The feedback

system is one of the most important components of the Performance Excellence Program process; it provides a pathway for continuous improvement. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Judges' Final Review

A final review of all applications is conducted by the Panel of Judges. The Panel of Judges review the examiner team's work for integrity and completeness then develops a recommendation for each applicant. This recommendation is forwarded to SWAE and includes the determination of the level of award for each recipient.

Final Award Determination

Due diligence is performed for all recommended recipients to determine if there are any other outstanding issues that may affect their selection as a Performance Excellence Program Recipient. The purpose of this final review is to ensure that the integrity of the Program and Awards is maintained.

Feedback Report Review Meetings

As a value-add to all applicants, whether or not an award is received, SWAE offers each applicant the opportunity to meet with the Lead Examiner and Lead Judge on their application in addition to the SWAE Executive Director to review their final feedback report. These have been very positive and helpful to each applicant.

SWAE Award Recipients

Excellence Award Recipients

Governor's Award
(currently the Pinnacle Award)
- 2005 Sonora Quest Laboratories
- 2001 Arizona Department of Transportation
- 1999 56th Medical Group of the 56th Fighter Wing at Luke Air Force Base
- 1997 Raytheon Missile Systems (formerly Hughes Missile Systems Company)
- 1995 Honeywell Satellite Systems
- 1994 Avnet Electronic Marketing Group

Pioneer Award
- 2019 City of Henderson, NV
- 2018 Yuma Regional Medical Center, AZ
- 2014 City of Henderson, NV
- 2012 Southern Arizona VA Health Care System
- 2010 Scottsdale Healthcare
- 2008 John C. Lincoln Deer Valley Hospital
- 2006 Maricopa County Library District
- 2005 Arizona Game and Fish Department
  Maricopa County Parks & Recreation Department
- 2004 BRGA Division, Honeywell
- 2003 Sonora Quest Laboratories
- 2002 Boeing - Military Aerospace Support – Mesa
- 1999 Interface Data Systems
- 1998 Arizona Department of Economic Security
  Phelps Dodge Miami, Inc. (acquired by Freeport McMoRan Copper & Gold, Inc. in 2007)
  University of Phoenix - Phoenix Campus
- 1997 J.B. Rodgers Mechanical Contractors
- 1996 The Boeing Company (formerly McDonnell Douglas Helicopter Systems)
  Holsum Bakery
  IKON Office Solutions, Technology Services (now Ricoh USA, Inc. as of 2012)
  MicroAge Inc.

- 1995 Arizona Department of Transportation
  CIGNA Healthcare of Arizona Inc.
  Lucent Technologies (now Alcatel-Lucent as of 2006 merger)
- 1994 Cyprus Miami Mining (became Phelps Dodge Miami, Inc., then acquired by Freeport McMoRan Copper & Gold, Inc. in 2007)
  Raytheon Missile Systems (formerly Hughes Missile Systems Company)
  Shea Homes
  SmartPractice
- 1993 Avnet Electronic Marketing Group
  Blue Cross Blue Shield of Arizona
  Boise Cascade Office Products
  CartridgeCare Inc. (acquired by Loffler Companies, Inc.)
  Childress Buick
  Rio Salado Community College
  Sonic Air
  Varian Tempe Electronics Center (acquired by Jabil Circuit Inc. in 2005)

Category Award *(initiated in 2012)*
- 2020 Yuma Regional Medical Ctr. – Category 6
- 2019 Yuma Regional Medical Ctr. – Category 5
- 2017 City of Henderson Nevada – Category 1 and Category 5
- 2017 Nathan Adelson Hospice – Category 5
- 2015 Student Development Center of the LDS Business College, UT – Category 5
- 2012 Arrowhead Hospital – Category 4

Achievement Award *(initiated in 2015)*
- 2020 South Davis Community Hospital, UT
- 2019 Nathan Adelson Hospice, NV
- 2017 Yuma Regional Medical Center
- 2016 Nathan Adelson Hospice, NV

SWAE Award Recipients

Commitment Award *(initiated in 2015)*

2019   R.E. Darling, Inc.
2016   Bristol Global Mobility
         Montevista Hospital, NV
         Phoenix Convention Center & Venues
         Scottsdale Medical Imaging
         Yuma Regional Medical Center
2015   Deer Valley Unified School District

Leadership Award *(initiated in 2015)*

2021   Richard Derrick – City of Henderson
2021   Gary Darling – R.E. Darling Co., Inc.
2020   Susan Leonardo – MSS Business
          Transformation
2020   Dr. Robert Trenschel, DO – Yuma
          Regional Medical Center
2019   Lucas Kavlie – Western Governors
          University
2018   Amanda Goodson – Raytheon Missile
          Systems
2017   Jane Dobbs – Canyon State Credit Union
2016   Jonathan Gardner – Southern Arizona VA
          Health Center
2015   Dave Dexter – Sonora Quest Laboratories
            / Laboratory Sciences of Arizona

Process Award Recipients

Showcase in Excellence Award
(initiated in 2002)

2015   University of Phoenix (2)
          Yuma Regional Medical Center
2014   Arizona State Retirement System (2)
          Deer Valley Unified School District, AZ
          University of Phoenix
          Yuma Regional Medical Center, AZ
2013   Deer Valley Unified School District
          Laboratory Sciences of Arizona/Banner
             Health
          Scottsdale Healthcare
          Town of Gilbert Fire Department
          University of Phoenix (2)
2012   Banner Health
          Maricopa County Department of
             Transportation

Rio Salado College
Scottsdale Healthcare (2)
University of Phoenix (3)
2011   Avnet Global Solutions Center
          Deer Valley Unified School District
          Laboratory Sciences of Arizona / Banner
             Boswell Medical Center Laboratory
          Maricopa County Adult Probation
             Department
          Maricopa County Department of
             Transportation
          Rio Salado College
          University of Phoenix
2010   Banner Desert Medical Center
          The Boeing Company - Rotorcraft Division
             – Mesa (2)
          The Council on Chiropractic Education
          Deer Valley Unified School District
          Laboratory Sciences of Arizona/Banner
             Del Webb Medical Center Laboratory
          Maricopa County Animal Care and Control
          Maricopa County Correctional Health
             Services
          Maricopa County Public Works Facilities
             Management Division
          TriWest Healthcare Alliance
          University of Phoenix
2009   Arizona Game and Fish Department
          Laboratory Sciences of Arizona / Banner
             Baywood Medical Center Laboratory
          Laboratory Sciences of Arizona / Banner
             Estrella Medical Center Laboratory
          Scottsdale Healthcare (2)
          University of Phoenix
2008   Arizona Game & Fish
          Maricopa County Adult Probation
             Department
          Maricopa County Planning &
             Development Department
          Verde Valley Medical Center
(2003 – 2007 Showcase in Excellence Award
*Recipients can be viewed at **www.swae.org**)*

2021 Intent to Apply & Eligibility Agreement Form – Process Level

Intent to Apply submitted to SWAE by……………………………………………....................................Ongoing
Applications submitted to SWAE by………………………………….....Within 60 days of Intent to Apply
Site Visit …….…………………………….…………..............Within 60 days of Application Submission
Award Recipient(s) Announcement….………………………….......................After Judges Review
 Feedback Report sent to applicant by…..………………….…………Within 30 days of Judges Review

Congratulations! By applying to the Performance Excellence Program, you are taking a major step to improve your organization's performance and growth. The effort in applying to the Program should result in a significant return on investment as your organization considers application questions and receives feedback from our examiners. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. You should find that your organization's rate of improvement accelerates as a result of this process.

Base Application Costs:
- For process level applications, at least 50% of the application fee is due (**Process Level**) with the submission of this Intent to Apply and Eligibility Form; remainder is due with submission of the application.
- The Process Level Administration Fee of $250 is due with the Intent to Apply & Eligibility Form
- If the applicant chooses not to submit the application for any reason, 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	**N/A**	**$1500**	**$1200**

In addition to the Application fee, there is a Process Level Administrative Fee $250.

Site Visit Fees are invoiced at actual expense amount. (Refer to pages 9-10 & 13-14 of the Application Guidance Document).

Additional Costs and Information:
- The applicant will reimburse the examiner team's expenses for transportation, lodging and food, etc. associated with the site visit. The applicant may estimate and pre-pay a portion of these costs prior to scheduling the visit. The remainder will be paid after the site visit.
- Site visit length is determined by the type of application and size of the organization. Refer to the Application Guidance Manual (page 8).

Additional Requirements:
- The applicant must provide or sponsor at least one person to serve on SWAE's Board of Examiners (BoE) per submitted application or increase its application fee $1,000 per application. By your organization's involvement and/or funding, SWAE ensures our region's Performance Excellence Program continues to provide expertise in the Baldrige Framework. In addition, we continue to hear our applicants' internal knowledge of the Baldrige Criteria Framework is critical to advancing excellence within their organizations. *(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 additional volunteer examiners to serve in the current application award cycle. An examiner fee of $500 or $1,000, 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 are typically senior leaders, quality/improvement professionals, and/or other functional leaders. We seek a variety of expertise on our BoE, including 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.

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 in Adobe Acrobat (PDF) format with printing allowed (no paper copies of applications will be accepted). Allow SWAE to upload the application, and the Board of Examiners and Judges to download, print, and/or temporarily copy the application as a file onto a thumb drive. *(Note: 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.
- Permit SWAE to use the organization's recipient status and edited application (see above) for marketing and promotional materials for the SWAE and its Performance Excellence Program.
- Share with other organizations, should the applicant become a recipient of an award, non-proprietary information on successful performance strategies through a variety of methods such as SWAE workshop and event presentations.
- 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:

- Not disclose the organization's identity to anyone other than members of the Board of Examiners or the Panel of Judges unless the applicant requests disclosure or is selected for an award.
- Upon the applicant's request, provide an application and/or site visit preparation training session 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.
- Coordinate the application process and ensure the examiner team is properly constituted.
- Deliver an electronic copy of the Feedback Report to the applicant's contact person at the conclusion of the application process.
- 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

- An organization must have at least 50% of its assets, revenues or workforce or its headquarters based in Arizona, Nevada or Utah, as appropriate.
- 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.
- An organization must have existed at least one year prior to submitting an application.
- The organization must be permanent i.e., it must not be an organizational unit with a defined limited life or an ad-hoc committee, board, or other such unit.
- The organization must have more than two full-time workers.

If you have questions about your organization's eligibility, please call SWAE (480) 874-5815.

2021 Intent to Apply and Eligibility Form – Process Level

1. The applicant is applying for:

    Process Name: _____

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

    _____

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

    _____

4. Contact person *(to be the liaison with Southwest Alliance for Excellence (SWAE)*:

    Name: _____

    Title: _____

5. Contact person's telephone number: _____ Fax number: _____
6. Contact person's email address: _____

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

    _____

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

    _____

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9. Industry
    - [ ] Computers/Technology
    - [ ] Education
    - [ ] Energy/Utilities
    - [ ] Finance or Insurance
    - [ ] Government or Nonprofit
    - [ ] Healthcare
    - [ ] Hospitality
    - [ ] Manufacturing
    - [ ] Professional/Commercial Services
    - [ ] Real Estate/Construction
    - [ ] Retail
    - [ ] Telecommunications
    - [ ] Wholesale Distribution
    - [ ] Other *(please specify)*

10. Type of organization
    - [ ] For Profit
    - [ ] Not for Profit (non-government)
    - [ ] Government

11. Number of full-time paid workers
    - [ ] 3-19   [ ] 20-49   [ ] 50-99
    - [ ] 100-249   [ ] 250-499   [ ] 500+

12. Number of part-time paid workers
    - [ ] Zero   [ ] 1-19   [ ] 20-49
    - [ ] 50-99   [ ] 100-249   [ ] 250-499
    - [ ] 500+

14. Percent of workforce in applicant's state ____%

15. Number of volunteers _____

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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 #19 (being a subsidiary), complete the following:

a. Parent Organization _____

b. Address _____

c. Highest Official of Parent Organization _____

d. Title _____

e. Does Applicant comprise at least 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 info@swae.org.*

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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 22-24 of this document to info@swae.org
and provide a minimum of 50% of the application fee.
Via Credit Card (+ 5% service fee), electronic payment or check to:
Southwest Alliance for Excellence
3961 E. Chandler Blvd., Suite 111-334 *(mailing address only)*
Phoenix, Arizona 85048-0303   (480) 874-5815

Please Note:
- ✓ *The Process Profile is not assigned points but __is required__ for application submittal.*
- ✓ *Words presented in blue underlined text are defined in the Baldrige Criteria booklet.*
- ✓ *Refer to the Scoring Guidelines.* The evaluation of Process and Results Item responses includes a review of the Criteria Items in combination with the Scoring Guidelines (see Application Guidance Manual for the Performance Excellence Program). Specifically, the Process Item (Category 1) Scoring Guidelines address the maturity of your approaches, breadth of deployment, extent of learning, and integration with other elements of the organization. Similarly, the Results Item (Category 2) Scoring Guidelines focus on the significance of the results trends, actual performance levels, relevant comparative data, and integration with important elements of your process. Consider both the Criteria and the Scoring Guidelines as you prepare your responses to the Process and Results items.
- ✓ *Baldrige Criteria references* are noted in *italicized* parenthesis after each Process Level criteria question, as appropriate.

P Process Profile

P.1 Process Description

1. Name of process being submitted: _____

2. Date (month/year) the process was first implemented: _____

3. Date (month/year) the process was improved: _____

4. Who will the contact person be as the liaison with SWAE? – *(This person should understand the process being submitted)*

Name: _____   Title: _____

Phone: _____   Email: _____

5. **I have read, understood and agree to the information concerning my application.**

_____   _____   _____

Contact Person's Name   Title   Date

6. Where does this process reside within your organization (e.g. – Human Resources, manufacturing, finance, strategic planning, marketing, engineering, IT, etc.)?

_____

P.2 Process Context (no more than 3 pages)

The *Process Context* is a snapshot of your organization, the <u>key</u> influences on the <u>process</u> presented in this application, and the <u>key</u> challenges you face. Within your response, include answers to the following questions:

P.2a Organizational Description

1. What are your stated <u>mission</u>, <u>vision</u>, and <u>values</u>? Other than <u>values</u>, what are the characteristics of your organizational culture, if any? Indicate if this is for the entire organization or a sub-unit of the organization, i.e. for the parent, the subsidiary, division or the work unit in which the <u>process</u> resides. *(P.1a(2))*

2. What are your organization's main product and service offerings? What is the relative importance of each to your success? *(P.1a(1))*

3. Comment briefly, if appropriate, on any special circumstances your organization faces (i.e. – organizational size, industry changes, local environment, state or federal regulations, or industry standards). *(P.1a(5))*

4. Provide an organizational chart (as an attachment) showing where the <u>process</u> owner(s) fit. *(P.1b(1))*

P.2b Process Identification and Context
(The Process Identification and Context is a snapshot of your <u>process</u>, its importance to your organization, and its <u>key</u> participants and <u>stakeholders</u>.)

1. Briefly describe your <u>process</u>. What are the inputs and outputs? Provide a <u>process </u>map or flowchart of your <u>process</u>.
2. Describe the organizational need for your <u>process</u> or <u>process</u> improvement.
3. For your <u>process</u>, who are your <u>key</u> market <u>segments</u>, <u>customers</u>, <u>customer</u> groups, and/or <u>stakeholder</u> groups, as appropriate? *(P.1b (2))*
4. For your <u>process,</u> what are your <u>key</u> types of suppliers, <u>partners</u>, and <u>collaborators</u>? *(P.1b (3))*
5. <u>How</u> does this <u>process</u> contribute to providing <u>customer</u> <u>value</u> and achieving organizational success and growth?
6. What <u>key</u> sources of comparative and competitive data, including <u>benchmarks</u>, are available for this <u>process</u> or similar <u>processes</u> from within your industry? What <u>key</u> sources of comparative data are available for this <u>process</u> or similar <u>processes</u> from outside your industry? What limitations, if any, affect your ability to obtain or use these data? *(P.2a (3))*
7. What is your <u>performance</u> improvement system, including your <u>processes</u> for evaluation and improvement of <u>key</u> organizational <u>processes</u>?

8. Describe how your process aligns with three (3) of the SWAE Performance Excellence core values.

Reminder: Your answers to Categories 1 and 2 Criteria combined must not exceed 10 pages.

NOTES:

N1. *P.2a(1)* If your organization has a stated purpose as well as a mission, you should include it in your response. Some organizations define a mission and a purpose, and some use the terms interchangeably. In some organizations, purpose refers to the fundamental reason that the organization exists. Its role is to inspire the organization and guide its setting of values.

N2. *P.2a(2)* Product and service offerings are the goods and services you offer in the marketplace. Nonprofit (including government) organizations might refer to their product offerings as programs, projects, or services.

N3. *P.2a(3)* In the Criteria, industry refers to the sector in which you operate. Industry standards might include industrywide codes of conduct and policy guidance. For nonprofit (including government) organizations, sector might be charitable organizations, professional associations and societies, religious organizations, or government entities—or a subsector of one of these.

N4. *P.2b(2)* Determination of the need for process creation or improvement may be the result of a single event, changes to the organizational environment, or may be part of the organization's systematic process evaluation activity.

N5. *P.2b(3)* Customers may include clients, patients, donors, students, etc. *For some nonprofit (including government) organizations, customers might include members, taxpayers, citizens, recipients, clients, and beneficiaries, and market segments might be referred to as constituencies.* Customer groups might be based on common expectations, behaviors, preferences, or profiles. Within a group, there may be customer segments based on differences, commonalities, or both. You might subdivide your market into segments based on product lines or features, distribution channels, business volume, geography, or other defining factors. *For government agencies, the legislature (as a source of funds) may be a key stakeholder.*

1 The Process (550 pts.)

1.1 Work Process – How do you design, manage, and improve your process?

Describe how your organization identified and created or improved the process. Describe how this process contributes to providing customer value, achieving organizational success and sustainability, and addressing organizational needs, as applicable. *See notes for further clarification of criteria requirements. (6.1)*

Within your response to the following questions, include answers to all that apply to your process.

1.1a Process Requirements

1. What are the key requirements for this process and its outputs? How did you determine these requirements? *(6.1a(1-2))*

2. How did you collect and incorporate input and knowledge from customers, suppliers, partners, and collaborators to design your process? *(3.2c; 4.2b(1))*

1.1b Process Design or Improvement

1. How did you design the process to meet all key requirements? How did you incorporate new technology, organizational knowledge, product excellence, customer value, consideration of risk, and the potential need for agility, as applicable? How did you implement the process to ensure it met design requirements? *(6.1a (3))*

2. How did you select comparative data and information to support fact-based decision making during the design and innovation of your process? *(4.1a (2))*

3. How do you manage the cost, efficiency, and effectiveness of your process? How do you incorporate cycle time, productivity, and other efficiency and effectiveness factors into your process? How do you prevent defects, service errors, and rework? How do you minimize costs, customers' productivity losses, costs of inspection, tests and audits, as appropriate? How do you balance the need for cost control and efficiency with the needs of your customers? *(6.2a)*

4. How do you determine customer and market needs and requirements (as applicable) for the outputs of your process? How do you seek immediate and actionable feedback from customers on the outputs of your process? How do you identify and adapt the process outputs to meet the requirements and exceed the expectations of your customers? *(3.1a(1); 3.1b(2))*

5. How does your day-to-day operation of this process ensure that it meets the key process requirements? What key performance measures or indicators and in-process measures do you

use to control and improve your process? How do these measures relate to the quality and performance of the output(s) of your process? *(6.1b (1))*

6. How do you improve your process' performance to enhance core competencies, and reduce variability? *(6.1b(3))*

7. How do you use the findings from improvements and best practices to develop and deploy opportunities for innovation across the organization, as applicable? *4.2b(2-3)*

8. How do you project the future performance of your process? How do you use findings from performance reviews and key comparative and competitive data in your projections? *(4.1c(1))*

NOTES:
N1: For 1.1, include the key requirements and measures, but report the actual outcomes/results in 2.1.

N2: *1.1a(1)* Key requirements might include reliability, value, ease of use, on-time delivery, low defect levels, safety, security, ongoing price reductions, electronic communication, rapid response, after-sales service, and multilingual services. Stakeholder requirements might include socially responsible behavior and community service. *For some nonprofit organizations, requirements also might include administrative cost reductions, at-home services, and rapid response to emergencies.* Requirements are commonly expressed in quantitative terms with performance measures or indicators.

N3: *1.1b(1)* Process design also includes the need to extensively redesign a process due to changes in requirements or other factors. Agility may be needed when work processes need to change as a result of overall work system changes, such as bringing a supply-network product or process in-house to avoid disruptions in supply due to unpredictable external events, or outsourcing a product or process formerly carried out in-house.

N4: *1.1b(2)* Comparative data may be obtained in several ways: (external sources) industry benchmarks or competitor performance, (one source of this information might be social media or the Web), (internal sources) against another sub-unit of your organization or against the performance results of your process prior to the creation or improvement of your process. Please explain in 1.1b (2) of your application how you obtained and used the information for benchmarking purposes.

N5: *1.1b(6)* Your approaches to improve process performance and reduce variability should be part of the performance improvement system you describe in P.2c in the Organizational Profile.

N6: *1.1b(8)* The comparative and competitive data you select should be used to support operational and strategic decision making. Comparative data and information are obtained by benchmarking and by seeking competitive comparisons. Benchmarking is identifying processes and results that represent best practices and performance for similar activities, inside or outside your industry. Competitive comparisons relate your performance to that of competitors and other organizations providing similar products and services.

2 Results (450 pts.)

2.1 Process Results – What are the results of your process?

Summarize your process performance results. Segment your results, as appropriate. Results reported in this Item should relate to methods and data determined and described in Item 1.1b(5). Include appropriate comparative data. *See notes for further clarification of criteria requirements.* (7.1)

Within your response to the following questions, include answers to all that apply to your process.

2.1a Process Results

1. What are the current results (see Note N1) for key performance measures or indicators and in-process measures that are important to the customers of your process? (e.g. customer satisfaction, customer-perceived value, loyalty and retention, positive referrals, or other aspects of building relationships with internal or external customers.) (7.1a)

2. What are the current results (see Note N1) for key performance measures or indicators and in-process measures of process effectiveness and efficiency, including productivity, cycle time, and other appropriate measures of effectiveness, efficiency, security and/or cybersecurity, and innovation, as appropriate? (7.1b (1))

3. What are the current results (see Note N1) for key performance measures or indicators and in-process measures contributing to organizational success and growth? (e.g. financial performance, marketplace performance, market share or position, or customer value). (7.5a (1-2))

2.1b Comparative Data

What are your process results as compared to comparative and/or competitive performance levels, or, as applicable, with performance prior to the creation/improvement of this process? (7.1a,b(1))

NOTES:

N1: *2.1(a,b)* Results are the outputs and outcomes your organization achieves. The four factors used to evaluate results are *levels*, *trends*, comparisons, and *integration* (LeTCI). A score for this results item is based on a holistic assessment of your overall performance, taking into account the four results factors:

> *Levels* are your current performance on a meaningful measurement scale.

> *Trends* comprise your rate of performance improvement or continuation of good performance in areas of importance (i.e., the slope of data points over time).

Comparisons comprise your performance relative to that of other, appropriate organizations, such as competitors or organizations similar to yours, or benchmarks.

Integration is the extent to which your results measures (often through segmentation) address key customer, market, and process, and improvement requirements.

N2: *2.1a(1-2)* Measures and indicators of process effectiveness and satisfaction with the process and resulting products or services might include information and data from your internal or external customers, partners, suppliers, or other stakeholders.

N3: *2.1a (3)* Measures contributing to organizational success and growth may include market share, profitability, product and service performance, customer satisfaction, customer perceived-value, financial performance, marketplace performance, workforce engagement, workforce capability and capacity, and other similar measures or indicators.

N4: *2.1a(3)* Measures of financial performance might include those for return on investment (ROI), operating margins, profitability, or profitability by market segment or customer group. *For nonprofit (including government) organizations, measures of financial performance (to budget) might include additions to or subtractions from reserve funds; cost avoidance or savings; responses to budget decreases; lowering of costs to customers or return of funds as a result of increased efficiency; administrative expenditures as a percentage of budget; and the cost of fundraising versus funds raised.*

SCORING GUIDELINES – Process Level - PROCESS Item (1.1)

Factor	0% or 5%	10%, 15%, 20%, or 25%	30%, 35, 40%, or 45%	50%, 55%, 60 or 65%	70%, 75%, 80%, or 85%	90%, 95%, or 100%
APPROACH (A)	No SYSTEMATIC APPROACH is evident; information is ANECDOTAL. (A)	The beginning of a SYSTEMATIC APPROACH to the BASIC QUESTION in the Item is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC QUESTION in the Item is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL QUESTIONS in the Item, is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE QUESTIONS in the Item, is evident. (A)	An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to the MULTIPLE QUESTIONS in the Item, is evident. (A)
DEPLOYMENT (D)	Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)	The APPROACH is in the early stages of DEPLOYMENT in most areas or work units inhibiting progress in achieving the BASIC QUESTION in the Item. (D)	The APPROACH is DEPLOYED, although some areas or work units are in the early stages of DEPLOYMENT. (D)	The APPROACH is well deployed, although DEPLOYMENT may vary in some areas or work units. (D)	The APPROACH is well DEPLOYED, with no significant gaps. (D)	The APPROACH is fully DEPLOYED without significant weaknesses or gaps in any areas or work units. (D)
LEARNING (L)	An improvement orientation is not evident; improvement is achieved by reacting to problems. (L)	Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L)	The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of the PROCESS is evident. (L)	A fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including some INNOVATION, are in place for EFFECTIVENESS of the PROCESS. (L)	Fact-based, SYSTEMATIC evaluation and improvement, and organizational LEARNING, including INNOVATION, are KEY management tools; there is clear evidence of refinement in the PROCESS as a result of organizational-level ANALYSIS and sharing. (L)	Fact-based, SYSTEMATIC evaluation and improvement and organizational LEARNING through INNOVATION are KEY PROCESS management tools; refinement and INNOVATION, backed by ANALYSIS and sharing are evident throughout the PROCESS. (L)
INTEGRATION (I)	No organizational ALIGNMENT is evident; the PROCESS operates independently. (I)	The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)	The APPROACH is in the early stages of ALIGNMENT with your basic organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is ALIGNED with your organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is INTEGRATED with your current and future organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I)	The APPROACH is well INTEGRATED with your current and future organizational need(s) identified in your response to the Process Profile and 1.1a Process Identification. (I)

SCORING GUIDELINES – Process Level - RESULTS Item (2.1)

Factor	0% or 5%	10%, 15%, 20%, or 25%	30%, 35, 40%, or 45%	50%, 55%, 60, or 65%	70%, 75%, 80%, or 85%	90%, 95%, or 100%
LEVELS (Le)	There are no PROCESS PERFORMANCE RESULTS and/or poor in-PROCESS RESULTS reported, or the RESULTS reported are poor. (Le)	A few PROCESS PERFORMANCE RESULTS are reported, responsive to the BASIC QUESTION in the Item, and early good PERFORMANCE LEVELS are evident. (Le)	Good PROCESS PERFORMANCE LEVELS are reported responsive to the BASIC QUESTION in the Item. (Le)	Good PROCESS PERFORMANCE LEVELS are reported, responsive to the OVERALL QUESTIONS in the Item. (Le)	Good to excellent PROCESS PERFORMANCE LEVELS are reported responsive to the MULTIPLE QUESTIONS in the Item. (Le)	Excellent PROCESS PERFORMANCE LEVELS are reported that are fully responsive to the MULTIPLE QUESTIONS in the Item. (Le)
TRENDS (T)	TREND data either are not reported or show mainly adverse TRENDS. (T)	Some TREND data are reported, with some adverse TRENDS evident. (T)	Some TREND data are reported, and most TRENDS presented are beneficial. (T)	Beneficial TRENDS are evident in areas of importance to the accomplishment of the KEY PROCESS requirement(s) or your organization's MISSION, as appropriate. (T)	Beneficial TRENDS have been sustained over time in most areas of importance to the accomplishment of the KEY PROCESS requirement(s) or your organization's MISSION, as appropriate. (T)	Beneficial TRENDS have been sustained over time in all areas of importance to the accomplishment of the KEY PROCESS requirement(s) or your organization's MISSION, as appropriate. (T)
COMPARISONS (C)	Comparative information is not reported. (C)	Little or no comparative information is reported. (C)	Early stages of obtaining comparative information are evident. (C)	Some current PROCESS PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C)	Many to most TRENDS and current PROCESS PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of leadership and very good relative PERFORMANCE. (C)	Industry and BENCHMARK leadership is demonstrated in many areas. (C)
INTEGRATION (I)	RESULTS are not reported for any areas of importance to the accomplishment of the KEY PROCESS requirement(s). (I)	RESULTS are reported for a few areas of importance to the accomplishment of KEY PROCESS requirement(s). (I)	RESULTS are reported for many areas of importance to the accomplishment of KEY PROCESS requirement(s). (I)	PROCESS PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, and PROCESS requirement(s), as applicable. (I)	PROCESS PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market, PROCESS, and improvement requirement(s), as applicable. (I)	PROCESS PERFORMANCE RESULTS and PROJECTIONS are reported for most KEY CUSTOMER, market, PROCESS, and improvement requirement(s), as applicable. (I)