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#### Southwest Alliance for Excellence

#### 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.

Application Fees:

* + - For process level applications, at least 50% of the application fee AND the entire administration fee (see below) is due with the submission of this Intent to Apply and Eligibility Form. The remainder is due when the application is submitted.
		- 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.
		- Site visit fees\* are a reimbursement of actual costs, are in addition to the application fees listed below, and are invoiced separately to the applicant.

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| --- | --- | --- | --- |
| **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 of $250.*

*\*Site Visit Fees are invoiced at actual expense amount. 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 for a process level application is up to 4 hours.*

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 $500 per application. ***(NOTE - Please contact SWAE if you have questions or concerns, or if you are unable to provide an examiner.)***

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.**

1. The applicant is applying for assessment of:

Process Name:

1. Applicant Organization name *(include parent & subsidiary names if applicable):*
2. Applicant Organization address [city, state, zip] *(headquarters address or location applying to the program):*
3. Applicant Organization Contact person *(to be the liaison with Southwest Alliance for Excellence (SWAE)*:

Name:

Title:

1. Contact person’s telephone number: Fax number:
2. Contact person’s email address:
3. Name of CEO or President *(provide name of person with closest approximate position, if different):*
4. Quality/Performance Excellence Director *(person with closest approximate responsibilities):*

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| --- | --- |
| 9. IndustryComputers/Technology Education Energy/Utilities Finance or InsuranceGovernment or Nonprofit HealthcareHospitality ManufacturingProfessional/Commercial Services Real Estate/ConstructionRetail Telecommunications Wholesale Distribution Other *(please specify)* | 1. Type of organization For Profit

Not for Profit (non-government) Government1. Number of full-time paid workers

3-19 20-49 50-99100-249 250-499 500+1. Number of part-time paid workers Zero 1-19 20-49

50-99 100-249 250-499500+1. Percent of workforce in applicant’s state %
2. Number of volunteers \_
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1. Percent of physical assets in the state from which the organization is applying. %
2. Has the organization existed for at least one year? Yes No
3. Is the organization headquartered in the same state from which the organization is applying? Yes No
4. Is the organization a subsidiary of a larger organization? Yes No
5. If applicant answered “Yes” to #19 (being a subsidiary), complete the following:
	1. Parent Organization
	2. Address
	3. Highest Official of Parent Organization
	4. Title
	5. Does Applicant comprise at least 50% of parent organization? Yes No
6. Confidentiality Considerations:
	1. 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.

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

**Necessary** Examiner: Email:

Potential Examiner: Email:

Potential Examiner: Email:

Potential Examiner: Email:

***Please contact the SWAE if you have questions or concerns, or if you are unable to provide an examiner. Examiner applications and information can be found at*** [***www.swae.org***](http://www.swae.org/)

Release Statement

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

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

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

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

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

Signature, Contact Person of Applicant Title

Date

Signature, CEO or Other Official Title

Date

Please complete this form, and scan and email to info@swae.org. Applicable fees (as listed on page 1 of this form) must be remitted at the time of submittal. These fees may be submitted via ACH, Credit Card (+5% service fee) or Check. Contact SWAE at (480)874-5815 for remittance information.