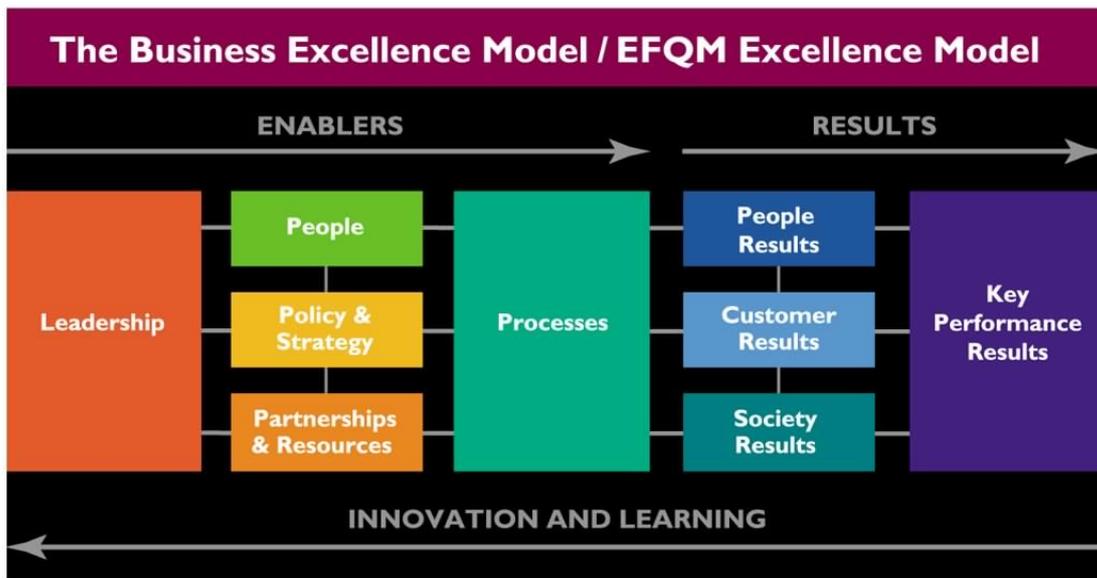


Guidelines for assessing organisational performance against the EFQM Model of Excellence using the Radar Logic¹

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1.0 Introduction

The European Foundation for Quality Management (EFQM) was founded in 1988 to provide a focus on quality for organisations in Europe. The mission was to be the 'driving force for sustainable excellence in Europe and a vision of a world in which European organisations excel' (EFQM 1999a). In 1991, the EFQM launched its model of business excellence (the word 'business' has since been dropped from the title to indicate the model's acceptance by many public sector and not for profit organisations).



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The Model is based on the premise that results (customer satisfaction, employee satisfaction, impact on society, financial and other key performance results) are achieved by people following well-defined processes, managing resources wisely, to achieve the organisation's strategy, guided by the organisation's leadership. By 1995, almost 60% of European organisations using self-assessment were using the EFQM model as the basis against which to assess their performance and identify gaps (Hakes1996). Each year, there is a European Quality Award (EQA) and prizes for organisations in the public, large private and SME categories, provided applicants have met the requirements set by the EFQM Award Jury. To enter for the award, organisations document the approaches they use under each of the enabler headings and the results they achieve and submit these documents to the EFQM – these documents are referred to as award submissions. Many organisations do not feel ready to submit for an award, but go through the same process internally and produce an award simulation document. Other forms of self-assessment are described by the EFQM (1999a, 1999b) and by Lascelles and Peacock (1996), Porter and Tanner (1996) and Ritchie and Dale (2000).

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The guidelines are deliberately non-prescriptive in order to cater for different types and size of organization. This is seen as a benefit by Lascelles and Peacock (1996) but Kaye and Dyason (1999) found that this made the framework so generic that opportunities for learning were limited.

Assessors look at the **Results**, the **Approach** used, the **Deployment** of the approach, and **Assessment** and **Review** of the approach. This is known as the Radar™ logic and will be explained in more detail in Section 4.

2.0 Objective of this paper

This paper provides examples of what is expected for each of the sub-criteria, showing good practices, and the links between sub-criteria. It has five key aims:

- 1) to help organisations to understand what an external assessor would be looking for in each area
- 2) to help organisations by listing good practices which could be adapted for use in their own circumstances
- 3) to identify links between sub-criteria which organisations can leverage to make faster progress
- 4) to help assessors to apply the Radar™ logic consistently.
- 5) to document the knowledge base used in an application of IDS, the evidential reasoning software described in Yang (2001), to assess documents against the Model of Excellence.

3.0 Sources

In addition to the guidance and training materials provided by the EFQM, there are a number of books and many papers which offer guidance on carrying out self-assessment to the Model of Excellence. Lascelles and Peacock (1996), Porter and Tanner (1996), Hakes (1996) provide general advice on how to plan and carry out self-assessment, with reference to the guidance provided by the EFQM. Other authors focus on specific aspects of self-assessment e.g. comparing audits and self-assessment (Karapetrovic and Willborn 2001), explaining the Model (Nabitz, Severens et al. 2001), self-assessment in particular environment e.g. SME's, public service, health care (Hewitt 1997; Reed 1997; Jackson 1999; Moeller, Breinlinger-O'Reilly et al. 2000). Guidance has also been provided on assessing enablers in a series of dissertations at UMIST (Amenta 2001; Bartle 2001; Dovletoglou-Georgiadou 2001; Hatzidakis 2001; Li 2001; Vamvakoglou 2001). These identify good practices from literature and from award winning submissions. Van Nuland (1999) explains each criterion in some detail and provides short evaluation questionnaires for each one, which is very helpful for organisations wishing to understand and work with the model. Good practices have also been identified in papers such as Zairi (1994a; 1994b; Zairi 1999a; Zairi 1999b; Zairi 2000a; Zairi 2000b; Zairi 2000c), Oakland (2001) and Marchington (2000).

This paper is not however intended as a literature review of self-assessment, but focuses instead on structuring information on each of the sub-criteria according to the Radar logic to assist with the assessment process. In addition to the sources cited in Appendix Two, the guidelines reflect learning from many different sources, including discussions with assessors and organisations carrying out self-assessment to the Model of Excellence. The guidelines have been tested using a number of award submission and simulation documents and found to give a score very close to that awarded by a team of assessors. A separate paper on the validation of the model is being prepared.

4.0 Assessment

The EFQM (1999b) describes the Radar logic as being at the heart of the Model of Excellence. To apply the Radar logic, an organisation needs to:

- Plan the **R**esults it is aiming for in order to achieve its strategy.
- Develop an integrated set of **A**pproaches to deliver the required results.
- **D**eploy the approaches in a systematic way.
- **A**ssess and **R**eview the approaches and implement improvements where needed.

4.1 Enablers

The enablers consist of 5 criteria: leadership, policy and strategy, people, partnerships and resources, and people. Each of these is assessed in the same way, using the Radar logic. The elements of Radar which apply to enablers are: **A**pproach, **D**eployment of the approach, and **A**ssessment and **R**eview of the approach.

4.1.1 Approach

According to EFQM guidance (EFQM 2000), the approach is assessed as:

- 1) "Sound if it consists of clear rationale, well defined and developed processes and focused on stakeholder needs
- 2) Integrated if it supports policy and strategy and is linked to other approaches as appropriate."

The training materials provided by the EFQM (EFQM 2000) include additional guidance from the BQF Assessors Group, 1999:

"For sound approach, a role model submission would describe what is done, why, how and the link to the relevant stakeholders, with appropriate examples. An approach which is based on extensive research and some best in class benchmarking will score highly. If processes are well defined and have been developed over a period of time, this will also score highly.

The assessor may begin by assigning a score to 'sound rationale', 'supporting processes' and 'link to stakeholders' and then doing an arithmetic average of the 3. The assessor must then judge whether this 'feels' right.

For integrated, the degree to which the approach has been integrated needs to be supported by examples and in general, the more evidence provided, the higher the score."

An organisation looking to improve its self-assessment score will not necessarily achieve this by implementing 'best practices' from other organisations. The approach must be integrated and well deployed.

Some links between criteria are indicated in the BQF Guide to the Model (BQF 2000). To assist thinking about integration, the tables in Appendix 1 indicate the most important links, not at the top level, e.g. people management impacts people results, but more specifically, e.g.

2e communicating and implementing policy and strategy is linked with

- 1a leaders personally communicate policy and strategy
- 1d leaders help people to achieve their targets
- 3a aligning human resource plans with policy and strategy

- 3b aligning individual and team objectives with organisational targets
- 3d developing and using communication channels
- 5a implementing process measures and setting performance targets
- 7 people results
- 9 key performance results.

An organisation may find other links appropriate to their situation but the examples given here provide a starting point to consider the interactions between criteria. References to the links in an award submission also offer additional benefits: it cuts down duplication, thereby saving time in compiling the submission, and it also saves space. Many organisations find the 75-page maximum page limit restricting and struggle as to what they can omit without losing points. By cross-referencing between sub-criteria, they can ensure that the assessors are aware of all their strengths while they stay within the allowable limits.

4.1.2 Deployment

Deployment, according to the EFQM guidance (EFQM 2000), looks at two aspects:

- 1) how widely is the approach used?
- 2) is the approach deployed in a systematic and structured way?

To assess deployment from a document prior to a site visit can be difficult. The assessor needs to decide which areas it would expect to see the approach deployed in, and then what evidence there is that the approach is deployed in these areas. For example, a performance appraisal system might only be used with certain levels of staff or with all staff. Information might be shared with many partners or few partners. Some customers may be surveyed regularly and others not at all.

Systematic refers to the planned implementation of the approach, whether the process is defined, whether it is piloted, whether the approach is communicated to all stakeholders, whether people are trained in its use, and whether implementation is monitored. An ad hoc approach which has not been thought through and tested will not score very highly.

4.1.3 Assessment and Review

The approach must also be assessed and reviewed. The EFQM (EFQM 2000) highlights 3 aspects:

- 1) “measurement – regular measurement of the effectiveness of the approach and deployment is carried out
- 2) Learning – learning activities are used to identify and share best practice and improvement activities
- 3) Improvement – output from measurement and learning is analysed and used to identify, prioritise, plan and implement improvements.”

The BQF Assessors Group (EFQM 2000) adds:

“It is the process of measurement that assessors are looking for here, not the results of the measurement which will be in the results criterion. The measurement frequency ought to be explained along with an explanation of why the particular mechanism was adopted. A high scoring application will generally explain why a particular mechanism is used, who owns it, how often it is applied, and how it links to the corresponding results.

Learning activities might include internal benchmarking, industry benchmarking or comparisons with the processes of best in class organisations. They might also include working with universities or research

institutes, attendance at conferences or networking activities. A high scoring application will explain why the organisation chooses particular activities.

Examples should show how the data from measurement and learning is fed back into the organisation, evaluated and prioritised. Examples of improvements made as a result of learning and measurement will result in a higher score.”

Measurements should be relevant to the organisation, chosen either because it will help track progress towards a goal, or focus on an area for improvement or for some organisational purpose – not just for the sake of measurement. Approaches which are ‘the way the organisation has always done something’ are unlikely to score highly as the assessment and review aspect of the score reflects an expectation that organisations will make improvements to their approaches. In summary, assessment and review seeks to establish whether the approach is regularly reviewed, whether the organisation seeks to learn how the approach might be better carried out, and whether improvements have in fact been made.

4.1.4 Enabler assessment summary

In deciding on the overall score, assessors will usually start by averaging the results for approach, deployment and assessment and review. Lascelles and Peacock (1996) point out that the arithmetic mean can lead to results which are not sensible, e.g. if the approach is poor and scored at 20% but deployed across 100% of the organisation, a simple average would give 60% which is not a valid score for a poor approach. The EFQM adds the proviso that the score should ‘feel right’ (EFQM 2000). The BQF assessor group (EFQM 2000) provides some additional guidance: “If either approach or deployment scores zero, the overall score should be zero. If the approach is weak, but deployment is extensive, the overall score should bias towards the approach score. If assessment and review scores zero, but approach and deployment were strong, the score will be lower than it might otherwise have been, but not zero.”

The guidance in Appendix 1 separates the general guidelines into individual aspects to consider and assess for each sub-criterion in the Model. However, this is not intended to encourage people to consider each sub-criterion or criterion in isolation. The linkages which are most important between criteria are therefore highlighted for each sub-criterion, and the results sub-criteria list the enablers which may contribute to achieving them.

4.2 Results

The other element of the Radar logic is **Results**. In scoring self-assessments according to the weights of the EFQM Model, the results are worth as many points as the enablers. Business organizations in the West have always insisted on financial management, according to Zairi (1994a). However, the Model of Excellence looks for results in 4 criteria, customers, people, society and business results. These are expected to be results of measurements, and not merely anecdotal or ‘gut feel’. Each is assessed in the same way, looking at the scope of the results and the quality of the results, in terms of trends, targets, comparisons with other organisations and whether the results were caused by the approach.

4.2.1 Scope

Scope of the results relates to how well the results cover all appropriate areas and stakeholders and how well the results measure the performance of the relevant approaches and their deployment. As an example, are the customers surveyed representative of all customers? Do the questions asked in the employee survey cover all the areas regarded by employees as important? Are there performance indicators relating to all the perception measures – e.g. if on-time delivery is important to customers, does the organisation have a number of upstream measures to enable it to spot potential problems before they affect customers and customers' perceptions.

4.2.2 Trends

Trends looks at whether the organisation is performing well, whether trends are positive, and whether that performance is sustained over time. Where performance dips, an explanation will be helpful to explain the cause and what the organisation is doing to address it. Without trends, the assessor cannot judge if the organisation is improving or not.

4.2.3 Targets

Targets looks at whether the organisation sets itself targets, whether those targets are appropriate, whether the organisation meets the targets it sets. Targets indicate that the organisation is planning to improve to meet a certain performance level. Targets are expected to be SMART, i.e. specific, measurable, attainable, relevant and timed (there are a number of alternative versions of this acronym, but the meaning is usually similar). Good organisations would be expected to set challenging targets and not targets which are below its own previous performance or below industry average. If lower targets are set, the organisation would be expected to explain why. Similarly where the organisation fails to meet its own targets, an explanation will be helpful to explain the cause and what the organisation is doing to address it.

4.2.4 Comparisons

Comparison looks at whether the organisation compares itself with other organisations, and if so, how it performs compared with others in the same industry, or benchmark partners or best in class. This is also helpful in establishing how good the trends are and whether targets are appropriately challenging. It shows whether an organisation is internally focused or open to outside learning. Without a comparison with other organisations, it can be very difficult to assess the degree of excellence which the organisation has attained. 90% might be an excellent score for one measure in one industry whereas nothing below 98% or 100% might be acceptable in another.

4.2.5 Cause

Cause looks at whether some or all the results have been caused by the approach taken. For example, if perceptions of delivery have been low, the organisation might take actions to improve its scheduling and logistics, thereby improving its delivery performance indicators (e.g. on-time shipments). If the next year, customer perceptions of delivery performance improves, the organisation will feel confident that its actions have contributed to the improved perceptions. In the real world, many different enablers may contribute to improved performance and perceptions. Furthermore, even when performance has improved, it can take a long time to change perceptions. The guidelines in Appendix 1 suggests enabling approaches which may contribute to the results achieved. However, each organisation must determine for itself which are the key drivers for its success.

5.0 Good practices

The list of good practices given here is not a checklist for organisations to implement but it may suggest areas for an organisation to consider. There are a number of guides to good practices which organisations can consult to get further ideas, as well as networking, training courses, and formal benchmarking (Kaplan and Norton 1992; Peters 1994; Zairi 1994; Kaye and Dyason 1998; Mann, Adebajo et al. 1998; Zairi 1999a; Zairi 1999b; Al-Mashari and Zairi 2000; McColl-Kennedy and Schneider 2000; Zairi 2000a; Zairi 2000b; Zairi 2000c; Kanji and Moura 2001; Oakland and Oakland 2001; Westlund 2001). However, a word of caution is needed. As indicated previously, merely implementing some 'best practices' is not sufficient to merit a high score. The other elements of the Radar logic need to be applied also, i.e. the approach needs to be integrated, deployed systematically, reviewed and improved.

Marchington (2000) warns that best practices in human resource are problematic: "best practices are much less best than might be hoped, there are times when they appear to present contradictory messages, they are not universally applicable, and they tend to ignore any active input from employees."

Harrington (1997) agrees that there are few universal best practices. For instance, holding general meetings to communicate quality objectives and organisational performance might be considered a good practice which would have a positive impact. However in Harrington's view, this is not always true and indeed if deployed inappropriately, some 'best practices' can be harmful: "If an organisation does not have the trust of its employees, wide-spread participation in quality-related meetings can be a waste of time". He categorises organisations as low, medium and high performing and suggests a number of 'best practices' which could get organisations into trouble if used at the wrong stage of their development e.g. a low performing organisation should not attempt benchmarking or rely on surveys to obtain customer feedback.

Hewitt (1999) also found that at certain points in an organisation's development, there may be no marginal benefit to be derived from certain best practices and he stresses that 'ill-advised implementation of initiatives can have a damaging effect, using up a scarce resource and possibly alienating customers who will never return'.

Van Nuland et al. (1999) states that what matters is understanding and learning: "you observe the way things are accomplished, the *how* and the *why* of processes and activities, and not the results". Organisations should translate and not blindly copy the benchmark.

An example may help to show how an organisation might implement good practices. If the employee survey shows that employees are not aware of the organisation's strategy and markets, the organisation might consider introducing some form of regular update. Before doing so, it might carry out some focus group research with its employees to find out what sort of information they want to receive and what is the preferred medium e.g. print, electronic, face to face. It might, for example, find that team briefing is the preferred medium for its employees and might carry out some research to identify some good practices in conducting team briefings. It could then decide on an approach which best fits its resources, culture and the interests of its people, that links with its leadership approach and its people management approach, and that supports policy and strategy through spreading understanding of strategy throughout the organisation. It might identify a training need among team leaders for carrying out briefings or a need to provide a meeting room. It would identify a means to evaluate the effectiveness of its team briefings.

This process would enable the organisation to demonstrate the rationale for the approach, a focus on stakeholder needs, a well defined process, links with other approaches and support for policy and strategy. It shows that the organisation acts upon the employee survey findings and that it learns from other organisations and makes improvements. This would merit a good score by an assessor applying the Radar logic. One would also expect a higher level of participation in the employee survey and a positive evaluation by employees as they see that their views are being listened to and acted on and that they are being kept informed of the organisation's progress.

However, if an organisation began email briefings 'because other organisations do it', without finding out what its employees wanted to hear about and through which medium, they would not score highly for their stakeholder focus. Likewise, if the leaders only briefed their direct reports, and the information was not passed down any further, the middle managers would not score highly for their approach to communicating with their employees, and the approach as a whole would score low on deployment – both for 3d people and the organisation have a dialogue and 1d leaders personally communicate mission, vision, values, policy and strategy. One would also expect communication not to score very highly in the employee survey. Assessors will normally check employee perceptions of how successful an approach is and what other measurements are in place to demonstrate effectiveness.

Thinking about the links between enabler criteria and between enabler and results criteria is helpful because it enables organisations to make progress more quickly if they use one approach to help another and if they use results to identify where improvements are needed.

6.0 Scoring

Little research has been carried out on the accuracy or otherwise of scoring (Coleman, Koelling et al. 2001). The EFQM itself admits that an initial 3:1 scoring variation is not uncommon even among experienced assessors (EFQM 2000).

Variation is expected because:

- Scoring is not an exact science
- People's perceptions of excellence are different
- People's understanding of the criteria are different
- People's understanding of the Radar logic are different

To address this, a number of assessors carry out the same assessment, who then meet, share the strengths and areas for improvement which they have identified, reach consensus and re-score.

Conti (1997b) cites many problems with award examiners 'whose numbers, diverse backgrounds and limited training make it difficult to guarantee the level of experience and uniformity needed for a reliable assessment'. However, Conti also advised that scoring a self-assessment is useful because it provides an overall appraisal of each category and provides a general indication when a company is considering benchmarking with other organizations.

This paper aims to help assessors by contributing to people's understanding of the criteria and of the Radar logic. It is the basis of an application of the IDS evidential reasoning software (Yang, Dale et al. 2001) which can be used to assess award submissions or simulations. Assessors are encouraged to consider each element of

Radar such as sound rationale, well defined processes, and stakeholder focus separately, to apply the logic consistently to each sub-criterion, and to match evidence from applications against each sub-criterion. Using this approach, individual assessors can come very close to the scores awarded by teams of trained assessors. Consensus scores are reached quickly because there is less variation between individual scores. Organisations may not wish to submit their documents for an award but may still be interested in scoring consistently from one year to the next. Organisations which do not score their documents but focus on their areas for improvement may still find the guidelines helpful because they encourage a systematic application of the Radar logic to each criterion and provide examples of good practices and of the linkages between criteria.

7.0 Levels of excellence

While the EFQM assigns percentages to scores, this can lead to organisations becoming focused on reaching a particular number, to the extent of specifying a precise numeric target for the organisation to achieve, rather than focusing on how to improve (Conti 1997b). However, scoring is an imprecise science, and numbers assigned by assessors can vary considerably. To lessen this focus on a numeric score, the authors have used the terminology of TQM literature to describe the different level of excellence, based on Dale and Lascelles (1997) and as used by Yang (2001) in the application of evidential reasoning to self-assessment of excellence. The five grades are shown here matched against the numeric scores assigned by the EFQM.

0%	25%	50%	75%	100%
Beginners	Drifters	Improvers	Award Winners	World Class

There are two modifications to Dale and Lascelles' original classification:

- Tool-pushers and drifters are combined into one group, resulting in 5 classifications. These can easily be related to the EFQM 5 gradings shown in the Radar chart and this consistency makes it easier for assessors than if a completely separate scoring system were introduced.
- Uncommitted have been re-named beginners. This is less judgemental than 'uncommitted', as organisations scoring at this level may very well be committed but not yet have travelled far along the route to excellence.

This terminology is also consistent with Lascelles and Peacock (1996) who describe scores of between 700 and 800 as award winning level.

8.0 Using the guidelines

Organisations may use the tables in Appendix 1 as a starting point or use them when reviewing their progress and deciding on the appropriate action plans. However, they are generic examples and organisations will benefit from tailoring the wording to their own organisations and using examples relevant in their industry and market sectors, whether from their own experience or from their contacts with other organisations. The theme of making the self-assessment process relevant to an organisation was stressed by a number of participants in research carried out by the authors (McCarthy, Greatbanks et al. 2002). By continuously adding to the document

and keeping it relevant, organisations will demonstrate that they are applying the principles of assessment and review to their self-assessment approach.

Given the publicity which award winners receive, organisations may start to believe that self-assessment to the excellence model is the way to improve their organisation. According to Dale (1999), "some organisations seem to believe that using the models as the standard and almost as a checklist approach will automatically lead them to TQM". The EFQM (EFQM 1999) itself refutes this mistaken belief, pointing out that "Self-Assessment will not improve your organisation, you do!". However Dale et al.(2000) found that many line managers and assessors know the model in detail but do not fully understand TQM and continuous improvement.

The tables in Appendix 1 are not a substitute for organisations learning what TQM means for them and how to apply it. However, they do provide illustrations of approach, deployment and assessment and review of each sub-criterion of the Excellence Model and will support organisations wishing to understand the Model in more detail. The guidelines make more explicit what assessors will be looking for when conducting an assessment. They highlight good practices in each area and provide a source of ideas for organisations preparing action plans to address areas for improvement. They identify linkages between different sub-criteria, encouraging people to see the Model as a whole, rather than as a series of separate boxes, and to leverage the power of the Model by making the most of these linkages. The guidelines may also be used to help assessors score award submission or simulation documents more consistently.

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Appendix One: Guidelines for self-assessment

Criterion 1: Leadership

Leadership is one of the fundamental concepts of excellence and is defined as ‘the behaviour of an organisation’s leaders creates a clarity and unity of purpose within the organisation and an environment in which the organisation and its people can excel’.

Leaders are not only senior leaders but include all managers, team leaders, and subject leaders according to the EFQM definition (EFQM 1999). They are people who motivate others to support and contribute to the organisation’s goals.

1a : leaders develop the mission, vision and values and are role models of a culture of Excellence

1a Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees have to make the vision happen, will benefit from empowerment and participate in improvements. Customer and investors will benefit from the improvements achieved.	May include: - develop mission and vision - develop and role model ethics, values - improve effectiveness of own leadership and act upon future requirements - take part personally in improvement activities - encourage empowerment and innovation - act on findings of learning activities	May be linked to: 1b leaders ensure processes for implementing improvements are in place 1d Leaders encourage and enable people to participate in improvement activity 2c developing policy and strategy consistent with the mission, vision and values and based on the needs and expectations of stakeholders and information from learning/innovation activities 3a flexible team working/high performance work teams (encouraging collaboration) 3b knowledge and competencies are identified,	Support for policy and strategy might be by defining the mission and vision, changing the organisation’s strategy, encouraging collaboration and improvement.

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			<ul style="list-style-type: none"> - prioritise improvement activities - encourage collaboration within the organisation 	<p>developed and sustained (funding learning and improvement opportunities)</p> <p>3d sharing best practice and knowledge</p> <p>4d harnessing technology to support improvement</p> <p>4e generating innovative and creative thinking within the organisation</p> <p>5b Processes are improved using innovation</p> <p>6 customer results</p> <p>7 employee results</p>	
Examples of good practices	<ul style="list-style-type: none"> - the leaders have created a vision of the organisation's future - the leaders have defined the mission, stating the purpose for which the organisation exists - the leaders have defined the values which they and the rest of the organisation should live by - leaders are seen as role models for those values e.g. customer focus, respect for others, ethical behaviour, responsiveness - leaders include Total Quality/business excellence on agendas - organisation has identified leadership profile and competencies - organisation has benchmarked leadership competencies - reviews of leadership are carried out using e.g. leadership feedback questionnaires, 360 degree feedback, employee survey, performance reviews, liP appraisals, Belbin or other profiling - future leadership requirements are identified - leaders are trained in quality tools and techniques - the leaders participate in and encourage improvement activity - leaders are trained in facilitation and coaching skills - leaders act as Excellence Model criteria champions - leaders are trained as assessors to the Excellence Model - leaders regularly update their training and renew their skills - leaders manage by facts 				

Criterion 1a: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	Extent relates to how widely the approach is used, e.g. is it all leaders, or senior management only? Do leaders encourage improvement activity in all areas? Do leaders always put customers first?
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation.
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	For example, leadership training may be offered to all leaders and potential leaders, the expectations of leaders may be formally defined and assessed.
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

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Criterion 1a: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include leadership assessment questionnaires or focus groups, leadership questions in employee survey, 360 degree feedback, leadership competency measurement, performance reviews against leadership competencies, Investors in People appraisals, Belbin or other profiling. The choice of metric should be explained, along with the frequency of measurement and owner of the measurement process. A cross-reference may indicate where the results are shown e.g. criterion 7 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies e.g. Institute of Directors, British Institute of Management, Leadership Trust. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used.	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out, using at least one metric.	Learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out and some metrics are in place.	Many different learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate.	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

1b : leaders are personally involved in ensuring the organisation’s management system is developed, implemented and continuously improved

1b Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees have to work with the framework of processes and cope with changes. Customer and investors will benefit from the improvements achieved.	May include: - align the structure to support policy and strategy - ensure a system for managing processes is implemented - ensure a process for developing, deploying and updating policy and strategy is implemented - ensure a process for measuring, reviewing and improving key results is implemented - ensure a process for identifying and implementing improvements to enablers is implemented.	May be linked to: 1a Leaders stimulate and encourage collaboration within the organisation 1d Leaders encourage and enable people to participate in improvement activity 2c Policy and strategy are developed and updated 2d Policy and strategy are deployed 3a using people surveys to improve hr policies, strategies and plans 5a Processes are systematically designed and managed 5b Processes are improved using innovation 5e using customer results to enhance customer relationship satisfaction 9 key performance results	Support for policy and strategy might be by aligning structure to support strategy, ensuring process for strategy deployment and review of key results is in place.

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - the leaders have aligned the organisation's structure with its strategy - the leaders have implemented process management - the leaders have implemented a strategy development and review process e.g. quarterly review of progress on implementing strategy - the leaders have a process for reviewing key results (which are measured and improved by others in the organisation) e.g. monthly review of critical success factors and/or key performance indicators - leaders ensure there are processes to support improvement activities throughout the organisation - leaders use self-assessment to the Excellence Model, employee surveys, customer surveys and other means to assess progress and prioritise areas for improvement
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Criterion 1b: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all key results reviewed regularly? Do leaders encourage improvement activity in all areas? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, the implementation of ISO 14000 requires leadership commitment to environmental management, awareness training, leaders demonstrating their commitment in their communications with employees and in their actions e.g. support for recycling, and management review of the environmental management system.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 1b: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: leadership assessment questionnaires or focus groups, leadership questions in employee survey, leadership competency measurement, performance reviews against leadership competencies, Investors in People appraisals, audits of management review of systems.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies e.g. Institute of Directors, British Institute of Management, Leadership Trust. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

1c : leaders are involved in with customers, partners and representatives of society

1c Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on customers, partners and society.	May include: <ul style="list-style-type: none"> - understand and respond to expectations - establish and participate in partnerships - establish and participate in joint improvement activity - recognise stakeholders - participate in professional bodies, conferences and seminars - support environmental good practice - encourage corporate citizenship 	May be linked to: <ul style="list-style-type: none"> 2a policy and strategy are based on the present and future needs and expectations of stakeholders 4a external partnerships are managed 4e providing appropriate access for internal and external users to relevant information and knowledge 5b processes are improved as needed to fully satisfy and generate increasing value for customers and other stakeholders 5c products and services are designed and developed based on customer needs and expectations 5d producing, delivering, marketing, servicing in line with customer needs and expectations 5e customer relationships are managed and enhanced 6 customer results 7 employee results 8 society results 9 key performance results 	Support for policy and strategy might be by understanding stakeholder expectations, supporting environmental improvements and contribution to society

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - joint improvement projects with suppliers or customers - leaders support key account managers and personally meet customers - recognition programme e.g. supplier of the month/year - recognition programme for valued customers - taking part in other organisation's assessments - taking part in conferences and publish articles etc promoting excellence - taking part in activities to promote environmental management or responsible citizenship, subscribe to CERES principles of environmental performance and accountability, donate 1 per cent of pre-tax profit to community involvement - leaders host visits to share best practice and quality experience - leaders are open and informative with trade unions - leaders encourage people to participate in professional organisations
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Criterion 1c Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. Do leaders meet all key customers and partners? Do leaders meet representatives of society? Do all leaders participate in professional organisations or conferences? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, does the customer management process include meetings between customers and senior management?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Guidelines for self-assessment

Criterion 1c Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include leadership questions in customer survey, partner review, opinion survey, leadership competency measurement, performance reviews against leadership competencies, Belbin or other profiling, Business in the Environment index, Business in the Community index</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies e.g. Institute of Directors, British Institute of Management, Leadership Trust, Tomorrow's Company. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

1d : leaders motivate, support and recognise the organisation’s people

1d Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on employees	May include: - communicate the mission, vision, values, policy and strategy, plans, objectives and targets - motivate and support people - help people to achieve their plans and objectives and - encourage and enable people to participate in improvement activity - recognise individuals and teams at all levels, in a timely and appropriate manner	May be linked to: 1a developing the organisation's mission and vision, stimulating and encouraging collaboration with the organisation, encouraging empowerment and innovation 1b ensuring processes for implementing improvements are in place 2e Communicating and cascading policy and strategy 3b aligning individual and team objectives with the organisation's targets 3c encouraging and supporting people's involvement 3d developing top down and bottom up and horizontal communication channels 3e recognising people 5b stimulating the creative and innovative talents of employees 7 people results 9 key performance results	Support for policy and strategy might be by ensuring employees are aware of mission, vision, values and strategy, helping people to achieve targets, encouraging improvement

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - leaders present mission, vision, values, strategy to all employees and answer questions on them - leaders ensure time in their schedules where they can meet employees and not only their direct reports - open door policy, management by walking about, open plan offices - leaders encourage improvement activity e.g. through recognition, reward, competition, prizes, publicity - leaders make time to participate in recognition events - communication uses a variety of media, electronic, newsletters, notice boards, face to face meetings, booklets or cards summarising mission, vision, values, objectives, to communicate with all employees, including those working remotely
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Criterion 1d Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. do all team leaders hold briefings regularly, Do leaders encourage improvement activity in all areas? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, a communications plan detailing regular updates throughout the year, roles and responsibilities, including communicating with a mobile workforce.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 1d Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: leadership assessment questionnaires or focus groups, leadership questions in employee survey, leadership competency measurement, performance reviews against leadership competencies, Investors in People appraisals</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies e.g. Institute of Directors, British Institute of Management, Leadership Trust. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

Criterion 2: Policy and Strategy

The EFQM (EFQM 1999) defines policy and strategy as the way the organisation implements its mission and vision via a clear stakeholder focused strategy, supported by relevant policies, plans, objectives, targets and processes. To quote Van Nuland (Van Nuland, Broux et al. 1999), "policy and strategy are the 'steering mechanisms which keep the organisation focused on the most important requirements for turning the dream (vision) into reality. They are the guidelines on which the management of personnel, of resources and of activities are based".

2a : Policy and Strategy are based on the present and future needs and expectations of stakeholders

2a Approach	Sound			Integrated
	Rationale	Stakeholder focus	Processes	Linkages
Beginners	No evidence or anecdotal			
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Needs and expectations of customers, employees, shareholders and society are considered.	May include: -collect and understand information relating to current and future market environment, including competitor analysis -understand and anticipate the needs and expectations of customers, employees, partners, society and shareholders - understand and anticipate developments in the marketplace, including competitor activity	May be linked to: 1c leaders understand shareholders' needs and expectations 2b analysing and using stakeholders' ideas 3a using employee feedback to improve strategy and policies 4a sharing knowledge with partners 4e collecting, structuring and managing information and knowledge to support policy and strategy 5a designing processes to deliver policy and strategy 5c using market research customer surveys and other forms of feedback 6 customer results 7 people results 8 society results

Examples of good practices	<ul style="list-style-type: none"> - regular market surveys - regular customer surveys and focus groups - regular employee surveys - regular employee surveys - stakeholder need analysis/mapping - competitor product range analysis - use of customer complaints and other customer feedback e.g. Internet-based - sales forecasting - market information system - partnership agreements
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Criterion 2a: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all market segments understood? are all stakeholders considered? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, how is information gathering planned, how does the organisation anticipate the needs of its stakeholders?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 2a: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may include review of performance against strategy, early warning system when indicators suggest strategic objectives/ critical success factors/key performance indicators or targets for the period will not be achieved . A cross-reference may indicate where the results are shown e.g. criterion 6, 7, 8 or 9. Learning activities are used to identify and share best practice and improvement opportunities Could include formal training, coaching or mentoring, reading, benchmarking of stakeholder and competitor analysis competencies, networking through professional institutions or societies e.g. Strategic Planning Society, Chartered Institute of Marketing, Industrial Market Research Association. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used.	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out, using at least one metric.	Learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out and some metrics are in place.	Many different learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate.	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

2b : Policy and Strategy are based on information from performance measurement, research, learning and creativity related activities

2b Approach	Sound			Integrated
	Rationale	Stakeholder focus	Processes	Linkages
Beginners	No evidence or anecdotal			
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	All stakeholders will benefit from a strategy based on sound information	May include: - collect and understand internal performance measures - collect and understand findings of learning activities - analyses the performance of competitors and best in class organisations - understand social, environmental and legal issues - understand relevant economic and demographic indicators - understand potential impact of new technology - analyse and use stakeholders' ideas	May be linked to: 1d leaders actively listen and respond to people 2a understanding competitor and comparator activity and needs and expectations of stakeholders 4d understanding the impact of new technologies 4e collecting, structuring and managing information and knowledge to support policy and strategy. providing appropriate access for internal and external users to relevant information and knowledge 5a implementing process measures and setting performance targets 5c enhancing products and services to meet future needs and expectations 9 key performance results

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - regular monitoring of internal performance indicators using SPC, 6-sigma or other performance measurement techniques - use of stakeholder ideas e.g. suggestion scheme, joint improvement teams - use of ideas from learning activities - competitor analysis, competitor/market/industry information system, benchmarking - PEST/STEP analysis – political, economic, socio-demographic, technological influences - formal forecasting process, scenario analysis - use of technology forecasting techniques - e.g. Delphi, technology roadmapping - use of tools such as growth matrix, market share matrix, portfolio analysis, SWOT analysis
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Criterion 2b: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all performance indicators reviewed regularly? Are all potentially relevant technologies reviewed? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, a technology forecasting process, identifying sources scanned, areas of interest, frequency, evaluation criteria, with people responsible for any part of the process being trained, and all the organisation aware of the importance of new technology and how to share information which may be relevant.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 2b: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: Review of performance against strategy, early warning system when indicators suggest strategic objectives, Critical success factors or targets for the period will not be achieved. A cross-reference may indicate where the results are shown e.g. criterion 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking, networking through professional institutions or societies e.g. Strategic Planning Society, Foresight programme. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

2c : Policy and Strategy are developed, reviewed and updated

2c Approach	Sound			Integrated
	Rationale	Stakeholder focus	Processes	Linkages
Beginners	No evidence or anecdotal			
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria

<p>Notes</p>	<p>Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate</p>	<p>Strategy reflects needs of all stakeholders</p>	<p>May include: -develop policy and strategy in line with mission, vision and values and based on stakeholder expectations using information from learning and innovation activities; -balance the needs and expectations of stakeholders; -balance short and long term pressures; -manage risk; -identify present and future competitive advantage; -aligns the organisation's policy and strategy with partners' policy and strategy; -reflect the fundamental concepts of Excellence in policy and strategy; -evaluate the relevance and effectiveness of policy and strategy; -identify critical success factors; -review and update policy and strategy.</p>	<p>May be linked to: 1a leaders develop the organisation's mission and vision 1c leaders understand stakeholders' needs and expectations 3a aligning human resource plans with policy and strategy 3b matching competencies with organisational needs 3e aligning terms and conditions with policy and strategy 4a sharing knowledge with partners 4b managing risk, evaluating investment, using financial resources to support policy and strategy 4d evaluating technologies in the light of policy and strategy 4e collecting, structuring and managing information and knowledge to support policy and strategy 5a designing processes to deliver policy and strategy 5d marketing, making, delivering products to customers 5e proactive involvement with customers 7 People results 8 people results 9 key performance results</p>
<p>Examples of good practices</p>	<ul style="list-style-type: none"> - use of balanced scorecard cards to ensure measures are not only focused on lagging/financial measures - critical success factors - strategic plan reflects concepts of Excellence: expected key results (not only financial) are defined, customer focus is clear, clear consistent purpose is defined, strategy is based on measurements, facts and learning, key processes and linkages are clear, strategy includes required people development, strategic basis of relationship with partners is clear, corporate citizenship/social responsibility is considered in developing strategy - scenario planning, ranking of alternatives, impact analysis, used to test strategy before implementation - contingency plans and risk management - risks to successful implementation and consequences of not implementing are also identified - strategic alignment with partners - strategy workshop to develop strategy in interactive way based on quality inputs (e.g. those included in 2a and 2b) - regular strategy review and mechanism for corrective action where goals/CSF/KPI's or the targets for the period are not being met - Lessons learned where strategy is not successful 			

Criterion 2c Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		<p>Key is understanding which areas are relevant in a particular organisation.</p> <p>Extent relates to how widely the approach is implemented, e.g. do critical success factors reflect all aspects of performance necessary for success? Are all stakeholder needs reflected in strategy formulation?</p> <p>Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, a structured approach to the identification, evaluation and management of risk, including communication and disaster plans.</p>
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 2c Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: return rate of investment, risk: reward ratio, review of performance against strategy, early warning system when indicators suggest strategic objectives/critical success factors/key performance indicators or targets for the period will not be achieved, budget variance analysis, comparison against benchmarks. A cross-reference may indicate where the results are shown e.g. criterion 6, 7, 8 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of strategic planning process, networking e.g. professional institutions or societies through professional institutions or societies e.g. Strategic Planning Society, Industrial Society. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

2d : Policy and Strategy are deployed through a framework of key processes

2d Approach	Sound			Integrated
	Rationale	Stakeholder focus	Processes	Linkages
Beginners	No evidence or anecdotal			
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on employees who will have to deliver strategy and external stakeholders with an interest in the successful deployment of strategy	May include: - identify and design the framework of key processes to deliver policy and strategy - establish clear ownership of key processes - define and identify stakeholders for key - review the effectiveness of the framework of key processes to deliver policy and strategy	May be linked to: 5a designing processes to deliver policy and strategy, establishing process management, implementing process measures – should link with all key processes
Examples of good practices	- key processes identified for policy and strategy deployment - strategic analysis, planning, cascade and communication processes - owners and stakeholders of key processes clear, leaders act as stakeholder champions - inputs and outputs of strategic planning process documented - reviews of process measures e.g. volume or mix, and perception measures e.g. customer or employee feedback, relating to strategic processes - annual review of sources of information and strategic processes for effectiveness - use of Hoshin kanri			

Criterion 2d Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. have all key processes been identified?, do they all have owners?, are they all reviewed? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For example, all process owners are trained in and use process mapping, stakeholder mapping, managing interfaces, performance measurement and improvement processes.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 2d Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: Review of performance against strategy, early warning system when indicators suggest strategic objectives/ critical success factors/ key performance indicators or targets for the period will not be achieved. A cross-reference may indicate where the results are shown e.g. criterion 6, 8 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of policy deployment, networking through professional institutions or societies e.g. Strategic Planning Society, Industrial Society, Institute of Quality Assurance. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of improvements.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of significant improvements made are provided.	

2e : Policy and Strategy are communicated and implemented

2e Approach	Sound			Integrated
	Rationale	Stakeholder focus	Processes	Linkages
Beginners	No evidence or anecdotal			
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on employees who will have to deliver strategy and external stakeholders with an interest in the successful deployment of strategy	May include: - communicate and cascade policy and strategy - use policy and strategy as the basis for planning and setting of objectives and targets - align, prioritise, and communicate plans, objectives and targets - evaluate the awareness of policy and strategy	May be linked to: 1a leaders personally communicate mission, vision, values, policy and strategy 1d helping people achieve their targets 3a aligning human resource plans with policy and strategy 3b aligning individual and team objectives with organisational targets 3d developing and using communication channels 4b using financial resources to support policy and strategy 4e providing appropriate access to information 5a implementing process measures and setting performance targets 7 people results 9 key performance results

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - communication of policy and strategy and regular updates on progress via workshops or presentations - opportunities for people to question strategy - focus groups or survey to evaluate awareness of strategy - posters, booklets, pocket cards to remind people of mission, vision, values, goals - communications process and measures documented with owner - Link between strategy, CSFs, KPI's and objectives clear - Link between strategy, operational plans and budget clear - organisation structure and human resources support strategy - partnerships and resources are organised to support strategy e.g. projects are resourced if they help to achieve strategic aims - SMART objectives and targets agreed with employees and progress monitored - target alignment - prioritisation process for objectives - Year 1 of strategy equals current year budget - use of technology e.g. Intranet, internet, video, voicemail, email, to make information available to all
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Criterion 2e Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. has strategy been communicated to everyone? Does everyone know how they contribute to the organisation's success, how deep has strategy been cascaded? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, part of the communication plan refers to communication of policy and strategy, the personal development/appraisal process explains how personal objectives are linked to organisational targets.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 2e Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: Review of performance against strategy, early warning system when indicators suggest strategic objectives/ critical success factors/ key performance indicators or targets for the period will not be achieved. A cross-reference may indicate where the results are shown e.g. criterion 7 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking through professional institutions or societies e.g. Strategic Planning Society, Industrial Society. The reasons for the choice of learning activity should be explained</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

Criterion 3 People

People development and involvement is one of the fundamental concepts of excellence (EFQM 1999) and is defined as ‘the full potential of an organisation’s people is best released through shared values and a culture of trust and empowerment, which encourages the involvement of everyone.

3a: people resources are planned, managed and improved

3a Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees	May include: - develop HR policies, strategies and plans - involve employees and their representatives in developing plans - align HR plans with policy and strategy, structure and key processes - manage recruitment and career development - ensure fairness in terms of employment including equal opportunities - use people surveys and other forms of employee feedback to improve HR policies, strategies and plans	May be linked to: 2a policy and strategy are based on the needs of stakeholders 2c policy and strategy are developed, reviewed and updated 2e using policy and strategy as the basis for planning activities 3b developing team skills 3e aligning terms of employment with policy and strategy 4b evaluating investment in non-tangible assets	Support for policy and strategy might be by gathering employee input, aligning human resource plans, organising workforce to achieve strategic aims

Guidelines for self-assessment

			- use innovative organisation methodologies to improve the way of working e.g. matrix working, flexible team working	5b ensuring people are trained to operate new or changed processes and stimulating the creative talents of employees 7 people results 8 society results	
Examples of good practices	<ul style="list-style-type: none"> - employee representatives forum help develop HR policies and plans - equal opportunities policy in place and effectiveness monitored - employee surveys used - other employee feedback used e.g. focus groups, appraisals, exit interviews - flexible working practices e.g. family-friendly, work-life balance, sabbatical, job-sharing, part-time, annualised hours, teleworking - use of Investors in People approach - internal vacancies are advertised, anyone can apply - induction process includes mission, vision, values, strategy, policy, quality, health and safety and human resource procedures, and helps new employees to feel part of the organisation 				

Criterion 3a: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		<p>Key is understanding which areas are relevant in a particular organisation.</p> <p>Extent relates to how widely the approach is used, e.g. are all employees treated fairly? Are vacancies notified to all? Are all employees represented in discussions on human resource planning?</p> <p>Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a human resource plan? Is it based on the overall business plan? Is the process for creating the plan documented and does it involve employee input?</p>
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 3a: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include employee survey, focus groups, exit interviews, equal opportunities monitoring, staff turnover, grievances, internal measures such as time to recruit new employees, number of applicants for vacancies. A cross-reference may indicate where the results are shown e.g. criterion 7 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, reading, benchmarking of HR competencies against best in class organisations, networking through professional institutions or societies e.g. Institute of Personnel Development, Industrial Society. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used.	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out, using at least one metric.	Learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out and some metrics are in place.	Many different learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate.	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

3b : people’s knowledge and competencies and identified, developed and sustained

3b Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees	May include: <ul style="list-style-type: none"> - match people's knowledge and competencies with organisation's needs - use training and development plans to match present and future organisational - design and promote individual, team and organisational learning opportunities - develop people through work experience - develop team skills - align individual and team objectives with the organisation's targets - review and update individual and team objectives - appraise and help people improve their performance 	May be linked to: <ul style="list-style-type: none"> 1a leaders stimulate and encourage collaboration within the organisation 2e setting objectives and targets throughout the organisation 3a high performance work team and flexible teams 3c encouraging people to work together in teams 3d sharing best practice and knowledge 3e aligning terms of employment with policy and strategy 4e providing appropriate access to relevant information and knowledge 5b ensuring people are trained to operate new or changed processes and stimulating the creative talents of employees 6 customer results 7 people results 9 key performance results 	Support for policy and strategy might be by ensuring competencies are available for present and future strategic needs, that individual and team objectives are aligned with strategy, and people's performance is sustained and improved to meet organisational needs

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - use of Investors in People approach - training needs analysis/ skills audit - training organisations assessed and most effective/closest cultural fit selected as training partners - training effectiveness review e.g. have objectives been achieved, are skills used at work, were trainers competent? - training plans reviewed against objectives and budget - competency mapping, job descriptions, personnel specifications - use of SMART objectives aligned with organisational targets (achievement may be rewarded financially) - regular personal development review/appraisal (more than once a year) - regular review of individual and team objectives (more than once a year) - review of performance against values - 360° appraisal - cross-functional teams and projects used to provide development opportunities - coaching given by managers/team leaders to improve performance - mentors assigned to individual employees (either when employees are new or when they are undertaking training) - pre and post course briefing - focused use of internal/external training to improve performance in line with strategic objectives - support for higher education, graduate trainees, modern apprentices - use of variety of training approaches including one on one, team, video or computer-based learning, distance learning, on-site/off-site - use of job rotation, multi-skilling, cross training to encourage collaboration and flexibility - career counselling
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Criterion 3b: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		<p>Key is understanding which areas are relevant in a particular organisation.</p> <p>Extent relates to how widely the approach is used, e.g. do all employees have training plans? Are these adhered to? Do all employees have a personal development review? Are these up to date?</p> <p>Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. May include a structured approach to training needs analysis or to mentoring or to personal development and review/appraisals.</p>
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 3b: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: employee survey, focus groups, exit interview, appraisals, training and development assessments, training gaps analysis, audits of aligning objectives and organisational targets, % of skills available versus skills required, % employees with training plans, on-time completion of appraisals, successful completion of objectives and targets, cost-benefit of training activities, satisfaction with training, number of training days, amount spent on training per person. Cross-references to results in Criterion 7 should be indicated.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies, networking through professional institutions or societies e.g. Institute of Personnel Development, Industrial Society. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Examples of significant improvements made are provided.	

3c : people are involved and empowered

3c Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees	May include: - encourage participation in improvement activity - encourage people's involvement through in-house events - empower people to take action - encourage people to work together in teams - stimulate creativity	May be linked to: 1a leaders stimulate and encourage empowerment, creativity and innovation 1d leaders encourage and enable people to participate in improvement activity and leaders recognise both individual and team efforts 3b developing team skills 3d sharing best practice and knowledge 3e recognising people to sustain their involvement and empowerment 4d evaluating alternative technologies 4e generating innovative and creative thinking within the organisation 5b stimulating the creative and innovative talents of employees 6 customer results 7 people results	Support for policy and strategy might be by encouraging performance improvement and innovation, and empowering people to act promptly and appropriately in line with regularly communicated organisational strategy , values and objectives (i.e. not only fulfilling task instructions).

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - improvement teams/quality circles or other quality improvement initiative -use of cross-functional or multi-location project teams - regular use of brainstorming, force field analysis, root cause analysis, pareto analysis, statistical process control, 6-sigma, cause and effect or other problem-solving tools - use of facilitators for quality improvement - recognition policy and process in place - recognition events e.g. best practice sharing day, improvement project presentations, feature in in-house publication, notice boards, Intranet - clear policy and framework for empowerment - support for team building activities
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Criterion 3c Deployment	Extent of deployment	Systematic Deployment(Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. how many people are involved in improvement projects? how deep does empowerment go? How widely are structured problem solving tools used? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a prioritisation process for improvements which have been identified, are trained facilitators available to work with improvement teams?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 3c Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: number of improvement teams, number of improvements implemented, value of improvements made, effective teamwork measured by achievement of team objectives, number of people and teams recognised, numbers of decisions which need to be referred upwards, empowerment questionnaire. Cross-references to the relevant results criteria e.g. 7, 9 should be included.</p> <p>Learning may include formal training, coaching or mentoring, reading, networking through professional institutions or societies e.g. Institute of Personnel Development, Industrial Society, R&D Society, or Best Practice Club, EFQM/BQF/ regional excellence organisations. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Examples of significant improvements made are provided.	

3d : people and the organisation have a dialogue

3d Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on employees' needs	May include: - develop communication policies, strategies and plans - develop and use top down, bottom up and horizontal communication channels - share best practice and knowledge	May be linked to: 1a developing the organisation's mission and vision, stimulating and encouraging collaboration with the organisation, encouraging empowerment and innovation 1d leaders personally communicate the organisation's mission, vision, policy and strategy, objectives and targets, and listen and respond to people 2e Communicating and cascading policy and strategy 3b aligning individual and team objectives with the organisation's targets 3c encouraging and supporting people's involvement 3d developing top down and bottom up and horizontal communication channels 3e recognising people 4e provides access to relevant information and knowledge 5b stimulating the creative and innovative talents of employees, communicate process changes 6 customer results 7 people results	Support for policy and strategy might be by ensuring employees are aware of mission, vision, values and strategy, helping people to improve performance through sharing good practice and knowledge

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - communication plan in place - communication needs analysis/communications audit - analysis of effectiveness of communication - appropriate channels used to reach all employees – face to face meetings, paper, Intranet, video, voicemail, email - best practice sharing, flow charting processes, identifying stakeholder benefits, time, cost of each step - knowledge management
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Criterion 3d Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		<p>Key is understanding which areas are relevant in a particular organisation.</p> <p>Extent relates to how widely the approach is used, e.g. are all employees communicated with including sales and field personnel, are all communications needs being met?</p> <p>Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. Is there a procedure for capturing feedback from a variety of sources? What is the mechanism for best practice sharing?</p>
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 3d Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may include: Employee survey, focus groups, exit interview, communication audits, numbers of good practices implemented by other teams, value of improvements made by sharing best practice. Cross-references to results criteria e.g. 7 and 9. should be given. Learning may include formal training, coaching or mentoring, reading, benchmarking of communication practices against best in class organisations, networking e.g. Institute of Personnel Development, Industrial Society, Best Practice Club, Communicators in Business, EFQM/BQF/ regional excellence organisation. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

3e : people are rewarded, recognised and cared for

3e Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Focus on employees' needs	May include: - aligns remuneration, redeployment, redundancy and other terms of employment with policy and strategy - recognised people in order to sustain their involvement and empowerment - promotes awareness and involvement in health, safety, environment and social responsibility - sets levels of benefits e.g. pension, health care, child care - promotes social and cultural activities - provides facilities and services e.g. flexible hours, transport	May be linked to: 2c using policy and strategy as the basis for planning of activities and setting objectives and targets 3a aligning HR plans with policy and strategy, ensuring fairness in all terms of employment 3b developing and using training plans 3c encouraging and supporting people's involvement 4c managing adverse effects including health and safety 7 people results 8 society results	Support for policy and strategy might be by ensuring terms and conditions, redundancy and redeployment are in line with strategy, and that the approach supports deployment of policies on environment, health and social responsibility

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - recognition policy and process in places e.g. best practice sharing day, improvement project presentations, recognition for achievement on further education and training courses, recognition for innovation - health and safety awareness campaign/training, health and safety committees and audits - environmental promotion - facilitating employees' involvement with the community (e.g. in schools, magistrates) - sponsorship of arts or charities - providing opportunities for employees to meet socially (social club, sports clubs) - benchmarking salaries - part of salary linked to strategic and personal objectives and targets - flexible benefits package - share options, health insurance, subsidised transport - redeployment and retraining preferred to redundancy, voluntary redundancy offered before compulsory redundancy, - redundancy process includes open discussions with employees and their representatives and outplacement help - occupational health service and counselling available to employees
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Criterion 3e Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. is recognition given in all parts of the organisation, are benefits available to all? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, how has recognition been implemented? Is there a documented process? Have the policy and process been communicated widely? Is the process effective?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 3e Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may include: : Employee survey, focus groups, exit interview, communication audits, numbers of good practices implemented by other teams, value of improvements made by sharing best practice. Cross-references to results criteria e.g. 7 and 9. should be given. Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies benchmarking of communication practices against best in class organisations, networking e.g. Institute of Personnel Development, Industrial Society, Best Practice Club, EFQM/BQF/ regional excellence organisation. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

Criterion 4 Partnerships and Resources

Partnership development is one of the fundamental concepts of excellence and is defined as ‘an organisation works more effectively when it has mutually beneficial relationships, built on trust, sharing of knowledge and integration, with its partners’. The EFQM defines partnerships as ‘a working relationship between two or more parties creating added value for the customer. Partners can include suppliers, distributors, joint ventures and alliances. Suppliers may not always be recognised as formal partners’ (EFQM 1999).

4a: external partnerships are managed

4a Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Partners and customers	May include: - identify key partners and strategic partnership opportunities - structure partnership for greatest value - ensure cultural compatibility and knowledge sharing with partners - support mutual development	May be linked to: 1c leaders establish and participate in partnerships and joint improvement activity 2a understanding the needs of expectations of partners 2c aligning policy and strategy with partners' policy and strategy 4d managing the technology portfolio 4e providing appropriate access for both internal and external users to relevant information and knowledge 5a resolving interface issues with partners 5b stimulating the creative talents of partners 5c generating new products with partners 5d acquiring or producing products and services	Support for policy and strategy might be by identifying partners to meet strategic aims, filling gaps in product portfolio, offering joint services, managing partnerships for competitive advantage

Guidelines for self-assessment

			- create synergy through improving processes or products and adding value to the customer/supplier chain	5e addressing customer's needs, expectations, concerns 6 customer results 9 key performance results	
Examples of good practices	<ul style="list-style-type: none"> - key products and services for partnership sourcing are identified - potential partners are reviewed against defined criteria e.g. quality, health, safety, environment, price, cultural fit, complementary resources, timeliness, innovativeness, flexibility - partnership agreements in R&D, supply chain, logistics, IT - partnership roles and responsibilities clearly defined - joint improvement teams with partners - shared objectives and financial incentives - regular partnership and project review - partnership workshops to foster trust and collaboration - joint/reciprocal training - senior management backing of both parties - joint milestone recognition - key suppliers identified - service level agreements in place and monitored - suppliers encouraged to add value to and remove waste from the supply chain 				

Criterion 4a: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all partnerships aligned with policy and strategy? Have many joint developments taken place? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a formal partnering process? are the criteria for evaluating partners clear?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 4a: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only	No evidence or anecdotal only	No evidence or anecdotal only	<p>Measurement may include partnership operational and strategic review meetings, objectives review, money saved through partnership, benefits evaluation. Cross-references should be given to results e.g. criterion 6 or 9.</p> <p>Learning may include formal training, coaching or mentoring, reading, reading, benchmarking of HR competencies against best in class organisations, networking through professional institutions or societies e.g. International Federation of Purchasing and Materials Management, Industrial Society. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used.	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out, using at least one metric.	Learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out and some metrics are in place.	Many different learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate.	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

4b : finances are managed

4b Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Shareholders	May include: - use financial resources to support policy and strategy - implement financial strategies and processes - evaluate investment in tangible and non-tangible assets - managing risks to financial resources	May be linked to: 2c balancing short and long term pressures and requirements, managing risk 2e setting objectives and targets throughout the organisation 3a high performance work team and flexible team 4c managing assets 9 key performance results	Support for policy and strategy might be by ensuring organisation fulfils legal obligations with respect to financial regulations, ensuring financial resources are prioritised in line with strategy, ensuring risk is managed

Examples of good practices	<ul style="list-style-type: none"> - internal and external audit , fraud prevention and compliance monitoring, audits give rise to improvements - investment analysis - cash flow management - debt control mechanism - activity based costing - project/technology lifetime costing - investment strategy, financing strategy - Investment proposals and projects reviewed pre- and post implementation using cost benefit, return on investment, internal rate of return or other appraisal technique - risk management - shareholder value management - corporate governance controls in place - well defined budgeting procedures, providing year 1 figures of strategy - forecasts provide early warning when budget is not likely to be met - JIT or other techniques to minimise inventory - prompt payment of suppliers - robust financial information systems in place to provide useful, accurate and timely information e.g. by customer, product line, region, function, activity
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Criterion 4b: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. is investment analysis approach applied to all investments above a certain threshold? Are financial processes subject to regular audit? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, does the investment approval proposal make a business case which includes financial, customer, organisational, technical impact and have those who give approval been trained in understanding the relevant parameters?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Guidelines for self-assessment

Criterion 4b: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: financial audits, post investment review, process review, compliance review, review against Generally Accepted Accountancy Principles, review against practices endorsed by the Stock Exchange e.g. Cadbury Report on corporate governance. Cross-references to results in Criterion 9 should be indicated.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking e.g. professional institutions or societies, networking through professional institutions or societies e.g. association of Chartered and Certified Accountants, Industrial Society, Stock Exchange, Tomorrow's Company, Business in the Environment, Institute of Internal Auditors. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

4c : buildings, equipment and materials are managed

4c Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees, investors	May include: <ul style="list-style-type: none"> - utilise assets in support of policy and strategy - manage the maintenance and utilisation of assets to improve total asset lifecycle performance - manage the security of assets - measure and manage any adverse effects of the organisation's assets on the community and employees (including health and safety) - optimise material inventories - optimise consumption of utilities - reduce and recycle waste - conserve global non-renewable resources - reduce any adverse global impact of products and services 	May be linked to: <ul style="list-style-type: none"> 3e promoting awareness and involvement in health, safety, environment and social responsibility 5a applying systems standards covering environmental, health and safety systems 5c designing products for future needs and expectations 7 people results 8 society results 9 key performance results 	Support for policy and strategy might be by managing assets in line with policy and strategy and in order to achieve strategic aims, minimising lifetime and environmental cost of assets

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - regular asset lifecycle management, using techniques such as total preventive maintenance, condition monitoring, vibration analysis, fault tree analysis, failure mode and effects analysis -Health and safety review of all aspects of operations - use of Hazop, Hazcon, Coshh and other approaches to minimise risk to employees and community - hazard notices visible - reduction in energy consumption - use of recycling e.g. separate bins for difference materials, use of recycled packaging - use of non-renewable and renewable resources, e.g. hydro power, combined heat and power, - disaster plan in place and tested - plant utilisation monitored e.g. downtime or overall equipment effectiveness - throughput times quality times availability - inventory turnover monitored - materials utilisation monitored and reduced - stock takes of raw materials and finished goods
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Criterion 4c Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. have all assets been risk assessed and are security measures in place? Are energy conservation principles widely applied? Is recycling practised in office as well as manufacturing environments? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there an asset register? Is there a procedure for maintaining it?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 4c Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include environmental management reviews, health and safety promotions, asset condition monitoring, asset security management, whole lifetime costing of assets, Business in the Environment Index Cross-references to the relevant results criteria e.g. 8, 9, should be included.</p> <p>Learning may include formal training, coaching or mentoring, reading, networking through professional institutions or societies e.g. . Facilities Management, Royal Society for the Prevention of Accidents, Environmental Forum, Institute of Health and Safety, Business in the Environment, Royal Society of Chemistry, CIRIA, International Federation of Purchasing and Materials Management, Society of Environmental Engineers, British Materials Handling Association, Chartered Institute of Transport. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

4d : technology is managed

4d Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Customers, partners, society (e.g. environmental impact), investors	May include: - identify and evaluate potential new technologies - manage technology portfolio - exploit existing technology - innovate technology - harness technology to support improvement - identify and replace old technologies	May be linked to: 1a leaders encourage, support and act upon the findings of learning activities and stimulate creativity and innovation 2b the impact of new technologies is understood and used as a basis for policy and strategy 2c identifying present and future competitive advantage 3c supporting innovative and creative behaviour 4a supporting innovative and creative thinking through the use of partnerships 4e providing appropriate access for both internal and external users to relevant information and knowledge and developing and protecting intellectual property 5b stimulating the creative talents of employees, customers and partners in incremental and breakthrough improvements 5d use of technology in producing, delivering, marketing, servicing 6 customer results 7 people results 8 society results 9 key performance results	Support for policy and strategy might be by ensuring right technology is available to implement strategy, that technology options are evaluated and used to inform strategy, that technology lifecycle is managed for competitive advantage, that technology is used to improve performance

Examples of good practices	<ul style="list-style-type: none"> - technology strategy supports customers and overall business strategy - technology portfolio management - total product lifecycle management - identification of technologies which are significant for the organisation - technology forecasting/roadmapping - technology project management - new technology scanning and appraisal process - defined evaluation criteria for new technology e.g. performance, customer need, strategic objective, cost, reliability, security of supply, intellectual property, competitive advantage, new training or equipment needed, in-house or outsource - technology transfer and best practice sharing process - in-house technology workshops to raise awareness in other functions - good communication between sales, marketing and R&D - Sales and Marketing involved with R&D from earliest stages of new product development - technical seminars with customers/partners/suppliers - creativity training e.g. brainstorming, lateral thinking - technical training - maintain sufficient knowledge in-house to manage outsourced technology
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Criterion 4d Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all potentially relevant new technologies reviewed, how far is existing technology used – e.g. is technology developed in one area applied in all other possible areas? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a well defined new product development and technology transfer process?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Guidelines for self-assessment

Criterion 4d Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: technology portfolio review, technology forecasting review, cost benefit analysis of introducing new technologies, post project implementation review, risk analysis of continuing to use old technologies. Cross-references to results criteria e.g. 6, 8 and 9, should be given.</p> <p>Learning may include formal training, coaching or mentoring, reading, benchmarking of technical competencies, benchmarking of R&D practices against best in class organisations, networking e.g. R&D Society, EIRMA, Institution of Electrical Engineers, Water Engineers, Mechanical Engineers, Royal Society of Chemistry .The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

4e : information and knowledge is managed

4e Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees, partners, customers, local community, investors	May include: - collect and manage information and knowledge in support of policy and strategy - provide access for internal and external users to relevant information and knowledge - assure information validity and security - develop and protect intellectual property - acquire and use knowledge effectively - generate innovative and creative thinking	May be linked to: 1a leaders stimulate and encourage creativity and innovation 1c leaders establish and participate in joint improvement activity 2a understanding developments in the market place 2b analysing the performance of competitors, understanding social, environmental and legal issues, analysing and using stakeholders' ideas 3b using training plans to help people match the organisation's present and future needs 3c supporting innovative and creative behaviour 3d sharing best practice and knowledge 4a supporting innovating and thinking through the use of partnerships 4d managing the technology portfolio 5b stimulating the creative talents of customers, employees, partners 5c generating new products 5d marketing to existing and potential customers 6 customer results 7 people results 8 society results	Support for policy and strategy: ensures information is available for policy and strategy, manages intellectual property for strategic advantage, enables innovation and improvement through the use of information

Guidelines for self-assessment

			9 key performance results	
Examples of good practices	<ul style="list-style-type: none"> - knowledge management policy and process - policies on use of Internet, Intranet, email, remote access - information security control- physical and electronic e.g. key card access, ids, passwords, secure chips, encryption - intellectual property management process - patenting workshops - encouraging innovation - information available to all (i.e. not on a 'need to know' basis) - records management and archiving - data mining and statistical analysis to make use of data <p>IS strategy supports business strategy and supports learning, improvement and innovation</p> <ul style="list-style-type: none"> - information resources shared with partners and customers as appropriate e.g. customers can log own faults and access technical help electronically, partners can use same workflow scheduling system 			

Criterion 4e Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. is information available to all whether or not they have PCs, are IT security measures in place at all locations? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a structured way to implement new IT systems such as ERP systems, including communication, training, user involvement in customising the system, back-up plans?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 4e Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may include level of new ideas contributed/ implemented, data security audits, risk management, IPR review, knowledge audit. Cross-references to results criteria e.g. 6, 7, 8 and 9. should be given. Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies benchmarking of communication practices against best in class organisations, networking e.g. R&D Society, Industrial Society, IT institutes, British Computer Society, Knowledge Management Forum, EFQM/BQF/local excellence organisations or benchmarking groups, industry bodies. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

Criterion 5 Processes

Management by processes and facts is one of the fundamental concepts of excellence and is defined as ‘organisations perform more effectively when all inter-related activities are understood and systematically managed and decisions concerning current operations and planned improvements are made using reliable information that includes stakeholder perceptions’ (EFQM 1999).

5a: processes are systematically designed and managed

5a Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees and partners who use the processes, and customers who buy goods or services made according to these processes	May include: - design processes - establish a process management system - apply system standards e.g. quality systems, environmental, health and safety systems - implement process measures and set performance targets	May be linked to: 1b leaders ensure a system for managing processes is developed and implemented 2d framework of key processes and process owners 4a improving processes with partners 5b using results to improve processes 5d producing, delivering, marketing, servicing processes 5e determining customer satisfaction with products and processes, handling complaints, managing customer relationships 6 customer results	Support for policy and strategy might be by defining processes to implement policy and strategy and setting performance targets

Guidelines for self-assessment

			- resolve interface issues within the organisation and with external partners	7 people results 8 society results 9 key performance results	
Examples of good practices	<ul style="list-style-type: none"> - use of ISO 9000, ISO 14000, ISO 18000 or other quality/environmental/health and safety systems standards - key processes defined and mapped to customer needs and organisational requirements - support processes defined - end to end process management - process owners defined - interfaces defined - processes reviewed periodically by owners and stakeholders - improvement tools and techniques are widely used and innovation is encouraged - performance measures are used and data is shared openly e.g. charts, presentations, in-house publications - SPC or 6 Sigma or other techniques are used as appropriate. - targets are SMART (Specific, Measurable, Achievable, Relevant, Time-based) - results reviewed and acted upon - where targets are not met, root cause analysis and other problem-solving tools are used by cross-functional teams, and improvements actions are implemented 				

Criterion 5a: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all processes designed and managed? Do all processes have owners, measures, targets? Have all interfaces been defined? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, if an occupational health and safety system has been introduced, how was this accomplished, was there an effective education campaign, have supporting processes been deployed, how is the system reviewed?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 5a: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may quality systems audit, environmental systems audit, health and safety systems audit, process measurement review, key performance indicators identified, partnership review meetings. Cross-references should be given to results e.g. criterion 8 or 9. Learning may include formal training, coaching or mentoring, reading, benchmarking against best in class organisations, networking through professional institutions or societies e.g. Institute of Quality Assurance, EFQM/BQF/local excellence organisations or benchmarking groups, industry bodies. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used.	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out, using at least one metric.	Learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out and some metrics are in place.	Many different learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate.	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

5b : processes are improved

5b Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners				No evidence or anecdotal	
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Employees and partners who use the processes, and customers who buy goods or services made according to these processes	May include: - identify opportunities for improvement - use performance and perception results and learning to set priorities and targets for improvement - encourage creative solutions from employees, customers and partners - establish appropriate methods for implementing change – pilot, communicate, train people - ensure process changes achieve predicted results	May be linked to: 1a leaders prioritise improvement activities 1b leaders ensure a system for identifying, planning and implementing improvements is developed and implemented 1c leaders establish and participate in joint improvement activity with customers, partners and representatives of society 1d leaders encourage and enable people to participate in improvement activity 3c supporting innovative and creative behaviour 3d sharing best practice and knowledge 4a improving processes with partners links with assessment and review of some approaches 5d producing, delivering, marketing, servicing processes 5e determining customer satisfaction with products and processes, handling complaints, enhancing customer relationships 6 customer results 7 people results 9 key performance results and links with assessment and review of other approaches	Support for policy and strategy might be by modifying processes to fit strategic changes, setting priorities and targets for improvement, enabling incremental and breakthrough improvements to achieve strategic goals

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - importance of customers (internal, intermediate and end customers) is understood and drives improvement - stretch goals are used to challenge status quo and encourage innovation - suggestion schemes, cross-functional groups, stakeholder focus groups are used to identify potential improvements - benchmark data and external learning is used as springboard for improvement - assessment of enabling technologies - internal performance data, supplier performance data, service level agreements monitored and need for improvements agreed - implementation of new processes and enabling technologies where appropriate - assessment of need for new processes as organisation/structure/environment changes - prioritisation process and target setting for improvements - root cause analysis used when results do not meet expectations and corrective action implemented - change management process includes training, piloting, and communication - effectiveness of change reviewed - people trained in process mapping, flowcharting, structured-solving problem and improvement tools and techniques
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Criterion 5b: Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all process changes communicated well, are improvement teams active in many areas? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, how is process change controlled and communicated?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 5b: Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			Measurement may include: : process measurement review, change effectiveness review, level and values of suggestions made and implemented Cross-references to results in Criterion 6, 8 and 9 should be indicated. Learning may include formal training, coaching or mentoring, reading, benchmarking of leadership competencies, networking through professional institutions or societies e.g. Institute of Quality Assurance, EFQM/BQF/local excellence organisations or benchmarking groups, industry bodies. The reasons for the choice of learning activity should be explained. The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

5c : Products and services are designed to meet customer needs and expectations

5c Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Customers and partners who help develop products and services for customers, , society with respect to environmental impact of products	May include: - use market research, customer surveys and other feedback to determine customer needs and expectations for products and services - identify improvements in products and services - design and develop new products and services - generate new products and services with partners	May be linked to: 1c leaders meet, understand and respond to customer needs and expectations 2a understanding and anticipating the needs and expectations of customers and developments in the marketplace 2b analysing the performance of competitors and analysing and using stakeholders' ideas 4a working with partners to add value to the customer/supplier chain 4c reducing any adverse impact of products and services 4d managing technology portfolio 5d producing products/services in line with design and development 5e using regular surveys and handling feedback 6 customer results 9 key performance results	Support for policy and strategy might be by determining customer future needs, developing new products and services in line with strategy

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - use of market research, customer surveys, focus groups to identify unmet customer needs or preferences - use of techniques such as quality function deployment to map customers' needs - new product development process defined e.g. stage gate process with commercial and technical input at each stage - understanding of which characteristics add value for the customer and which are neutral in the customers' eyes but add cost for the manufacturer - design review to ensure customer needs are incorporated in product or service in design phase - generic families of products developed, which can be customised for individual customers/groups of customers - best practice visits, benchmarking, reverse engineering to understand how other organisations meet their customers' needs - joint R&D with customers or partners - fast cycle R&D - rapid prototyping - design for recycling - future-proofing, backward compatibility built in - piloting or testing of new products and services in-house and with representative sample of customers - people trained in creativity techniques e.g. brainstorming, lateral thinking - people given time and resources for innovation
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Criterion 5c Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. are all customer needs explored? Are a variety of methods used to gather customer feedback? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, are the customers to be surveyed representative of all the customer base? How are customers presented with the survey? How is the feedback communicated to customers and within the organisation?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 5c Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may customer surveys, regulatory reviews, customer complaints, number of new products or services introduced, new products as a percentage of product portfolio, numbers of new products or services developed with partners, % income from new products. Cross-references to the relevant results criteria e.g. 6 and 9, should be included.</p> <p>Learning may include formal training, coaching or mentoring, reading, networking through professional institutions or societies e.g. R&D Society, Chartered Institute of Marketing, International Customer Service Association, Institute of Customer Care, EFQM/BQF/ local excellence organisations or benchmarking groups, industry bodies. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

5d : products and services are produced, delivered and serviced

5d Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Customers, partners, investors, society with respect to environmental impact of products or transport	May include: - produce or acquire products and services - market and sell products and services - deliver products and services to customers - service products and services	May be linked to: 1c leaders are involved with customers and partners 2c identifying present and future competitive advantage, balancing the needs and expectations of shareholders 4a working with partners to add value to the customer/supplier chain 4c conserving non-renewable resources 4d managing technology portfolio 4e collecting and managing information 5a designing processes 5b improving processes 5c designing and developing new products or services to meet customer needs 6 customer results 9 key performance results	Support for policy and strategy might be by ensuring products and services are produced and delivered in line with strategy and that customers are encouraged to buy those products and services

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - technology transfer process from design to production - process guidance and best practice documented, not in individual operators' 'black books' - integrated marketing communications strategy, process, and resources e.g. using exhibitions, conferences, trade and technical press, advertising and PR, price promotions or other marketing tactics - joint marketing campaigns with partners or customers - customer-focused logistics group - consideration of environmental factors in logistics - customer focused after sales, maintenance and service team
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Criterion 5d deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. does the marketing approach target all potential customers, is logistics handled equally well for all products/in all geographic locations? Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there a documented marketing plan, based on the overall business plan, is it communicated with purchasing, manufacturing, logistics and sales and customer service to ensure a positive response to the plan can be met promptly.
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 5d Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include: customer surveys and other feedback e.g. complaints, in-house measures e.g. % product availability, number of defects, on-time delivery, number of customer returns, success of marketing campaigns, take-up rate for after-sales service, repeat business, number of new customers. Cross-references to results criteria e.g. 6, 8 and 9, should be given.</p> <p>Learning may include formal training, coaching or mentoring, reading benchmarking of production capability and marketing competencies practices against best in class organisations, networking through Institution of Mechanical Engineers, Royal Society of Chemistry, International Customer Service Association, EFQM/BQF/regional excellence organisation or benchmarking club .The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improvers	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winners	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

5e : customer relationships are managed and enhanced

5e Approach	Sound			Integrated	
	Rationale	Stakeholder focus	Processes	Linkages	Supports Policy and Strategy
Beginners	No evidence or anecdotal				
Drifters	e.g. consultancy or industry norm	Some examples	Some defined	Some linkages	Some examples
Improvers	e.g. research and networking	Many stakeholders considered	Many defined, some good practices	Linkages	Supports strategy
Award Winners	Research and benchmarking	Most stakeholders included	Many defined and improved, many good practices	Clear linkages	Clearly based on strategy
World Class	Research and benchmarking with best-in-class	All stakeholders included	Comprehensive range of processes, many best-in-class	Comprehensive linkages to all relevant sub-criteria	Comprehensive evidence that each approach is designed to achieve strategy
Notes	Rationale indicates the reasons why the organisation chose the approach it uses, why it is appropriate	Customers	May include: - determine and meet customers day to day requirements - manage day to day customer feedback including complaints - be proactively involved with customers - follow up on sales, servicing and other contacts - use surveys and other data to determine and enhance customer relationship satisfaction levels	May be linked to: 1c leaders are involved with customers and partners 2c identifying present and future competitive advantage, balancing the needs and expectations of shareholders 4a working with partners to add value to the customer/supplier chain 5a designing processes 5b improving processes 5c designing and developing new products to meet customer needs 5d delivering products and services to customers 6 customer results 9 key performance results	Support for policy and strategy: gathering and using customer feedback to inform strategy, managing key customer relationships strategically

Guidelines for self-assessment

Examples of good practices	<ul style="list-style-type: none"> - customer relationship management process used effectively (not just software) - customer complaints used as source of innovation - employees empowered to resolve complaints quickly and effectively - escalation process defined - all customer contacts improved e.g. clarity of invoices, cleanliness of truck, switchboard operator manner, map of how to reach site - account plans in place for key customers - loyalty schemes used to keep customers - surveys or other customer feedback mechanism for day to day contacts (e.g. in addition to overall customer survey, with direct counterpart in customer organisation)
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Criterion 5e Deployment	Extent of deployment	Systematic Deployment	Notes
Beginners	No evidence or anecdotal only		Key is understanding which areas are relevant in a particular organisation. Extent relates to how widely the approach is used, e.g. all complaints are dealt with effectively, all customer contacts are logged. Systematic refers to the planned implementation of the approach, piloting it, communicating and training, defining the process, monitoring implementation. For instance, is there an effective customer relationship management or key account plan process in place?
Drifters	The approach is implemented in some relevant areas.	There is some evidence that the approach is deployed in a systematic and structured way.	
Improvers	The approach is implemented in many relevant areas.	There is evidence that the approach is deployed in a systematic and structured way.	
Award Winners	The approach is implemented in most relevant areas	There is clear evidence that the approach is implemented in a systematic and structured way.	
World Class	The approach is implemented in all relevant areas.	There is comprehensive evidence that the approach is implemented in a systematic and structured way.	

Criterion 5e Assessment and Review	Measurement	Learning	Improvement	Notes
Beginners	No evidence or anecdotal only			<p>Measurement may include customer surveys, complaints, customer feedback, in day to day contact, length of customer relationships/loyalty, number of customer referrals, number of key account plans in place, number of visits to customers. Cross-references to results criteria e.g. 6 and 9. should be given.</p> <p>Learning may include formal training, coaching or mentoring, reading benchmarking of customer relationship management against best in class organisations, networking through the Institute of Customer Service, International Customer Service Association EFQM/BQF/local excellence organisations or benchmarking groups or industry bodies,. The reasons for the choice of learning activity should be explained.</p> <p>The organisation should show how the approach links to the results, how the information is analysed and used to make improvements. The more improvements shown and the more important these are, the higher the score.</p>
Drifters	Some measurement of effectiveness is carried out.	Some learning activities are used	Some of the output from measurement and learning is used to identify, prioritise, plan and implement improvements.	
Improver	Regular measurement of effectiveness is carried out and some metrics are in place.	Learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Some examples of improvements are given.	
Award Winner	Regular measurement of effectiveness is carried out, using a variety of metrics	Many different learning activities are used to identify and share best practice and improvement opportunities	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. Many examples of improvements are given.	
World Class	Regular measurement of effectiveness is carried out, using as many metrics as are appropriate	Extensive learning activities are used to identify and share best practice and improvement opportunities.	Output from measurement and learning is used to identify, prioritise, plan and implement improvements. There are many examples of significant improvements.	

6 Customer Results

Customer results are vital in order to show the organisation how it is doing in relation to its customers. It is the highest weighted criterion in the Model of Excellence. In the fundamental concepts of excellence, the EFQM (EFQM 1999) states that “The customer is the final arbiter of the product and service quality and customer loyalty, retention and market share gain are best optimised through a clear focus on the needs of current and potential customers.” Another of the fundamental concepts of excellence is management by processes and facts and this includes stakeholder perceptions as reliable information.

6a Customer Perceptions:		Scope
	Source and relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only e.g. I know what my customers think	
Drifter	Only some customers are surveyed e.g. some current end customers.	The organisation has some results to show what it is achieving, in terms of direct customer perceptions, e.g. complaints
Improver	The organisation surveys a representative sample of current customers, including intermediate and end customers. There is some segmentation. Relevance of many measures is explained.	The organisation has many results to show what it is achieving, in terms of direct customer perceptions , e.g. regular customer survey
Award Winner	Includes current, past, lost, potential customers, intermediate (e.g. distributors) and end customers. Relevance of most measures is explained - e.g. customer interest, external comparisons, specific area to improve. If results do not show perceptions of all customers, basis of selection is shown to be representative of key customer groups. Segmentation aids understanding of results.	The organisation has results to show what it is achieving, in most topics relating to direct customer perceptions. Feedback is obtained from a variety of sources: customer surveys, 3rd party research, focus groups, user groups, vendor ratings, compliments and complaints, customer visits/factory/site visit, web feedback/online discussion groups, joint R&D, quality improvement teams with customers
World Class	Customers include current, past, lost, potential customers, intermediate (e.g. distributors) and end customers. Relevance of all measures is explained - e.g. customer interest, external comparisons, specific area to improve. If results do not show perceptions of all customers, basis of selection is shown to be representative of all customer groups. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving, in all areas of customer perceptions. Feedback is collated from a wide variety of sources: customer surveys, customer comment cards, 3rd party research, focus groups, user groups, vendor ratings, compliments and complaints, customer visits/factory/site visit, feedback at tradeshow or exhibitions, web feedback/online discussion groups, joint R&D/technical exchange, joint problem solving meetings/ quality improvement teams with customers/ meetings with relevant functions/ functional benchmarking with customers, technical advice service, customer training/customer seminars, feedback from partners, meetings with customers' customers

Example range of topics:

image:

- Easy to contact by telephone/fax/email/web, free phone number
- Clear, timely, regular communication using all appropriate media
- Do customers see the organisation as flexible and responsive - e.g. meeting rush orders, special requests, Does the organisation respond quickly and effectively?
- does the customer feel he is being treated with fairness, courtesy and understanding?

products and services:

- quality, conformance to specification, performance, fit for purpose, aesthetic appearance etc.
- customers' perceptions of defects/errors/concessions/reliability
- customer's perception of value
- Are products seen as innovative?
- Does the organisation deliver on-time to the promised date, on-time to customer requested date?
- environmental profile, design for energy efficiency, no harmful materials used, design for recycle etc, any pollution concerns which the customer may be aware of

sales and after sales support:

- customers' perception of employees' knowledge and abilities, employee's professional and courteous attitudes, accuracy in invoicing and product descriptions and attention to detail, empathy with customers
- Is advice available when needed, is it accurate, appropriate, comprehensible, useful? Are phones answered quickly and calls returned promptly?
- Is customer literature and technical documentation accurate, clear, comprehensible, useful, in the right languages? Is it easy to obtain - e.g. online and print? Is it up to date?
- Are complaints handled quickly, effectively? Is there a complaints handling system e.g. BS 8600 in place?
- Is training provided on the organisation's products? Is it effective? available at the right time/price?

loyalty:

- is the customer willing to repurchase (i.e. willing to buy the same product again from the organisation?)
- is the customer willing to purchase other products/services from the organisation?
- is the customer willing to recommend or e.g. provide a reference site or case study for other organisations?

Guidelines for self-assessment

6a Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of customer perceptions.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of customer perceptions	or sustained good performance on many results of measurements of customer perceptions over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in customer perceptions over at least 3 years.	or sustained excellent performance on most results of measurements of customer perceptions over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to customer perceptions	or sustained excellent performance in all areas relating to customer perceptions over at least 5 years	Any negative trends are explained as well as the actions taken to address.

6a Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of customer perceptions	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of customer perceptions.	Many targets are appropriate, based on customer input and own past performance	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of customer perceptions.	Most targets are appropriate, based on customer needs, own past performance, goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of customer perceptions.	All targets are appropriate, based on customer needs, own past performance, external benchmarks, and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

6a Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to customer perceptions	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many customer perceptions.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of customer perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of customer perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

6a Results	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	1a stimulating and encouraging empowerment, creativity and innovation (e.g. design, but may also improve delivery, reliability, value, quality if applied to those areas) 1c leaders are involved with customers (accessibility, capabilities and behaviour of employees, handling complaints) 2a understanding and anticipating the present and future needs and expectations of stakeholders (e.g. innovative design, 24 X 7 availability, languages needed)
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	3b developing and using training and development plans to help ensure people match the present and future capability needs of the organisation (capabilities of employees, advice and support) 3b developing team skills and aligning targets(e.g. to help ensure flexible, responsive, pro-active behaviour) 3c empowering people to take action (e.g. to help improve delivery, complaints handling, to be responsive, proactive and flexible)
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	3d best practice sharing 4a innovative thinking and creating synergy in working together to improve processes and add value to the customer/supplier chain (e.g. design, delivery) 4d innovating technology (e.g. innovative design, reliability, quality)
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	4e providing appropriate access, for both internal and external users, to relevant information and knowledge (e.g. using information to improve product design, allowing customers to view their order details or technical information on the Internet) 5b discovering and using new process designs, operating philosophies and enabling technology (e.g. product design); piloting and controlling the implementation of new or changed processes (e.g. improving delivery) 5c designing and developing new products and services to address the needs and expectations of customers 5d marketing, producing and delivering products to customers 5e proactive involvement with customers in order to discuss and address their needs, expectations and concerns, follow up on sales, servicing and other contacts (e.g. to determine warranty requirements, requirements for advice and support, training)

6b Customer Results:		Scope
	Relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only e.g. we make good products	
Drifter	Relevance of some results is explained.	There are some indicators of the organisation's performance in relation to customers.
Improver	There is some segmentation of results. Relevance of many measures is explained.	There are many indicators of the organisation's performance in relation to customers.
Award Winner	There are indicators for all areas which customers have designated as important. Segmentation aids understanding of results. Relevance of most measures is explained - e.g. customer interest, external comparisons, specific area to improve	There are indicators of the organisation's performance in most areas relating to customers.
World Class	There are indicators for all areas which customers have designated as important and all areas assessed by customer survey. Further indicators track customer-related measures which are important to the organisation's values and strategy, e.g. keep our promises, deliver value. Relevance of all measures is explained - e.g. customer interest, external comparisons, area to improve. If results do not show perceptions of all customers, basis of selection is representative of all customer groups. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving, in all areas of customer results

Example range of topics:

Overall image:

- customer accolades and nominations for awards
- press coverage

Products and services

- competitiveness
- defect/error/rejection/concession rates
- guarantee/warranty provisions
- complaints
- logistic indicators
- product life cycle
- innovation in design
- time to market

sales and after sales support

- demand for training (may indicate satisfaction or dissatisfaction, e.g. could indicate problems with ease of use of the product or its documentation).
- handling of complaints (are complaints handled quickly and effectively? Is there a complaints handling system such as BS 8600 in place?)
- response rates (Are response times to requests for information or for quotations handled quickly and within the customer's expected timeframe?)

loyalty

- duration of relationships
- effective recommendations
- frequency/value of orders
- lifetime value
- no. of complaints/compliments
- new and/or lost business
- customer retention

Guidelines for self-assessment

6b Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of customer results.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of customer results	or sustained good performance on many results of measurements of customer results over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in customer results over at least 3 years.	or sustained excellent performance on most results of measurements of customer results over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to customer results	or sustained excellent performance in all areas relating to customer results over at least 5 years	Any negative trends are explained as well as the actions taken to address.

6b Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of customer results	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of customer results.	Many targets are appropriate, based on customer input and own past performance	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of customer results.	Most targets are appropriate, based on customer needs, own past performance, goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of customer results.	All targets are appropriate, based on customer needs, own past performance, external benchmarks, and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

6b Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to customer results	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many customer results.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of customer results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of customer results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

6b Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		1a stimulating and encouraging empowerment, creativity and innovation (e.g. design, but may also improve delivery, reliability, value, quality if applied to those areas)
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	1c leaders are involved with customers (accessibility, capabilities and behaviour of employees, handling complaints) 2a understanding and anticipating the present and future needs and expectations of stakeholders (e.g. innovative design, 24 X 7 availability, languages needed) 3b developing and using training and development plans to help ensure people match the present and future capability needs of the organisation (capabilities of employees, advice and support)
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	3b developing team skills and aligning targets(e.g. to help ensure flexible, responsive, pro-active behaviour) 3c empowering people to take action (e.g. to help improve delivery, complaints handling, to be responsive, proactive and flexible) 3d best practice sharing
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	4a innovative thinking and creating synergy in working together to improve processes and add value to the customer/supplier chain (e.g. design, delivery) 4d innovating technology (e.g. innovative design, reliability, quality) 4e providing appropriate access, for both internal and external users, to relevant information and knowledge (e.g. using information to improve product design, allowing customers to view their order details or technical information on the Internet)
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	5b discovering and using new process designs, operating philosophies and enabling technology (e.g. product design); piloting and controlling the implementation of new or changed processes (e.g. improving delivery) 5c designing and developing new products and services to address the needs and expectations of customers 5d marketing, producing and delivering products to customers 5e proactive involvement with customers in order to discuss and address their needs, expectations and concerns, follow up on sales, servicing and other contacts (e.g. to determine warranty requirements, requirements for advice and support, training)

7 People Results

People development and involvement is a fundamental concept of excellence of the EFQM (EFQM 1999). Another of the fundamental concepts of excellence is management by processes and facts and this includes stakeholder perceptions as reliable information. Gathering data on employee perceptions and performance is important to have a sound basis for decisions and improvements.

7a Employee Perceptions: Scope		
	Relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only e.g. our staff like working here	
Drifter	Relevance of some measures is explained.	The organisation has some results to show what it is achieving, in terms of employee perceptions
Improver	There is some segmentation of results. Relevance of many measures is explained.	The organisation has many results to show what it is achieving, in terms of employee perceptions. An employee survey is carried out regularly and all employees can take part.
Award Winner	Segmentation aids understanding of results. Relevance of most measures is explained - e.g. employee input, external comparisons, specific area to improve.	The organisation has results to show what it is achieving, in most topics relating to employee perceptions. An employee survey is carried out regularly and there is a high response rate. Additional information is gathered from other sources e.g. employee surveys, appraisals, exit interviews, focus groups.
World Class	Segmentation aids understanding of results. Relevance of the measures is explained - e.g. employee input, external comparisons, specific area to improve. The information is used to aid decision-making and drive improvement	The organisation has a comprehensive range of results to show what it is achieving, in all areas of employee perceptions. An employee survey is carried out regularly and there is a high response rate. Additional information is gathered from other sources e.g. employee surveys, appraisals, exit interviews, focus groups and integrated with the employee survey feedback.

Example range of topics:

Motivation:

- career development (e.g. through placements, rotation, promotion, awareness of vacancies, fair recruitment process)
- communication (e.g. of organisation's vision and strategy, policies and plans)
- empowerment (people knowing what they are allowed to do without referring back to their manager)
- equal opportunities (in recruitment, promotion, management, gender, disability, race, religion)
- involvement (able to contribute ideas, participate in improvement teams)
- leadership (satisfaction with organisation's leadership and with opportunities to demonstrate own capabilities for leadership e.g. in projects and teams)
- opportunity to learn and achieve (e.g. through training, supervising, projects, teams)
- recognition (by managers and senior managers for contribution made - may be monetary or not)
- target setting and appraisal (targets may be set jointly or agreed, appraisal process is seen as helpful and fair)
- the organisation's values, mission, vision, policy and strategy (do employees understand them and share them)
- training and development (does everyone have the same opportunity for training, is the budget used wisely, is training given at the right time?)

Satisfaction with:

- administration (does HR department deal promptly and efficiently to queries?)
- employment conditions (are they fair across the organisation? are they seen as good compared with other organisations?)
- facilities and services (how do employees see these, are they equitable across the organisation?)
- health and safety conditions (do workers see health and safety as important in the organisation?)
- job security (do workers feel their jobs are safe?)
- pay and benefits (are they fair and competitive?)
- peer relationships (do people work well within their own teams and with other teams?)
- management of change (is this communicated and handled well?)
- organisation's environmental policy and impact (are workers aware?)
- organisation's role in the community and society (are workers aware?)
- working environment (is it a nice place to work?)

Guidelines for self-assessment

7a Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of employee perceptions.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of employee perceptions	or sustained good performance on many results of measurements of employee perceptions over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in employee perceptions over at least 3 years.	or sustained excellent performance on most results of measurements of employee perceptions over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to employee perceptions	or sustained excellent performance in all areas relating to employee perceptions over at least 5 years	Any negative trends are explained as well as the actions taken to address.

7a Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of employee perceptions	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of employee perceptions.	Many targets are appropriate, based on society input and own past performance	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of employee perceptions.	Most targets are appropriate, based on employee needs, own past performance, goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of employee perceptions.	All targets are appropriate, based on employee needs, own past performance, external benchmarks, and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

7a Results - Comparison	Comparison	Relevance	Achievement
Beginners		No evidence or anecdotal only	
Drifters	Comparisons are made with some measurements by other organisations relating to employee perceptions	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many employee perceptions.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of employee perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of employee perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

7a Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		1a Leaders develop the mission, value and values and are role models of a culture of Excellence (leadership, mission and values)
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	1c supporting and engaging in activities that aim to improve the environment and the organisation's contribution to society (organisation's role in community) 1d leaders motivate, support and recognise the organisation's people (recognition) 2a Understanding the needs of employees (e.g. pay and conditions)
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	2c balancing the needs and expectations of stakeholders (- e.g. if customers want 24 X 7 cover, employees need to be considered before introducing) 2e Policy and Strategy are communicated and implemented (e.g. communicating environmental policy, setting targets throughout the organisation)
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	3a People resources are planned, managed and improved (involving employees in developing human resources policies, ensuring fairness, managing recruitment and career development, using people surveys and other employee feedback to improve HR policies) 3b Developing and using training plans, aligning targets, appraising people 3c Empowering people to take action
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	3d identifying communication needs, developing communication policies, strategies and plans, developing communication channels (top down, bottom up and horizontal), sharing best practice and knowledge 3e People are rewarded, recognised and cared for (pay and conditions, health and safety, benefits, facilities and services) 4e providing appropriate access, for both internal and external users, to relevant information and knowledge (e.g. providing the opportunity to learn) 5b establishing appropriate methods for implementing change

7b Employee Results:		Scope
	Source and relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only e.g. not many people leave here.	No evidence or anecdotal only
Drifter	Relevance of some results is explained.	There are some indicators of the organisation's performance in relation to its people.
Improver	There is some segmentation of results. Relevance of many measures is explained.	There are many indicators of the organisation's performance in relation to its people.
Award Winner	There are indicators for all areas which employees have designated as important. Segmentation aids understanding of results. Relevance of most measures is explained - e.g. customer interest, external comparisons, specific area to improve	There are indicators of the organisation's performance in most areas relating to its people.
World Class	There are indicators for all areas which employees have designated as important and all areas assessed by employee survey. Further indicators track people-related measures which are important to the organisation's values and strategy, e.g. be innovative, respect each other. Customer perceptions of capabilities and behaviour of employees as monitored in criterion 6 may be included as an input. Relevance of all measures is explained - e.g. employee interest, external comparisons, area to improve. If focus groups are used, basis of selection is shown to be representative of all employee groups. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving in relation to its people.

Example range of topics:

achievement:

- competency requirements versus competencies available
- productivity
- success rates of training and development to meet objectives

motivation and involvement:

- involvement in improvement teams
- involvement in suggestion schemes
- levels of training and development
- measurable benefits of team work
- recognition of individuals and teams
- response rate to people surveys

satisfaction:

- absenteeism and sickness levels
- accident levels
- grievances
- recruitment trends
- staff turnover
- strikes
- use of benefits
- use of organisation provided facilities (e.g. recreational, crèche)

services:

- accuracy of personnel administration
- communication effectiveness
- speed of response to enquiries
- training evaluation

Guidelines for self-assessment

7b Results - Trend	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of employee results.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of employee results	or sustained good performance on many results of measurements of employee results over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in employee results over at least 3 years.	or sustained excellent performance on most results of measurements of employee results over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to employee results	or sustained excellent performance in all areas relating to employee results over at least 5 years	Any negative trends are explained as well as the actions taken to address.

7b Results - Target	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of employee results	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of employee results.	Many targets are appropriate, based on employee input and own past performance	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of employee results.	Most targets are appropriate, based on employee needs, own past performance, goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of employee results.	All targets are appropriate, based on employee needs, own past performance, external benchmarks, and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

Guidelines for self-assessment

7b Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to employee results	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many employee results.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of employee results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of employee results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

7b Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	1a leaders encourage, support and act upon the findings of learning activities 2a understanding and anticipating the needs and expectations of employees 3a people resources are planned, managed and improved 3b people's knowledge and competencies are identified and developed 3c people are involved 3d developing communication channels (up, down, across) 3e people are rewarded, recognised and cared for 4c managing any adverse effects of the organisation's assets including health and safety 4e providing access to relevant information and knowledge 5a implementing process measures and setting performance targets 5b ensuring people are trained to operate new or changed processes
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	

Criterion 8: Society Results

According to the EFQM (EFQM 1999), one of the fundamental concepts of excellence is Public responsibility: “The long-term interest of the organisation and its people are best served by adopting an ethical approach and exceeding the expectations and regulations of the community at large.”

8a Society Perceptions: Scope		
	Relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal	only e.g. I know what the local community thinks about our factory
Drifter	Relevance of some measures is explained.	Some external perceptions are gathered on the organisation's performance in relation to the topics suggested below.
Improver	There is some segmentation. Relevance of many measures is explained.	The organisation has many results to show what it is achieving, in terms of society perceptions. The organisation gathers feedback from public meetings, official reports, public representatives. Includes feedback from customers and employees on related topics.
Award Winner	Relevance of most measures is explained - e.g. related to strategy, external comparisons, specific area to improve. Segmentation aids understanding of results.	The organisation has a wide range of results to show what it is achieving, in most areas of society perceptions. Includes perceptions gathered from different society groups, local, national and international, e.g. local residents and council, national environmental agency, charities. Includes feedback from customers and employees on related topics. A wide variety of sources of feedback are used e.g. meeting with officials and public representatives, surveys, reports.
World Class	Relevance of all measures is explained - e.g. previous survey input, external comparisons, specific area to improve. perceptions of all customers, basis of selection is shown to be representative of all customer groups. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving, in all areas of society perceptions. Includes perceptions gathered from many different society groups, local, national and international, e.g. local residents and council, local schools, national environmental agency, local/national/international charity, environmental pressure groups. Includes feedback from customers and employees on related topics. A wide variety of sources of feedback are used e.g. public meetings, meeting with officials and public representatives, surveys, on-line discussion groups, reports, and the information integrated to input into strategy and policy.
<p>Example range of topics:</p> <ul style="list-style-type: none"> - responsible citizenship - e.g. disclosures of information relevant to the community, equal opportunities, impact on local and national economies, relationships with relevant authorities, ethical behaviour - community involvement e.g. education and training, support for sport and leisure, voluntary work and philanthropy, support for medical and welfare provision - nuisance prevention or reduction - e.g. health risks, accidents, noise, odour, safety hazards, pollution, toxic emissions - preservation and sustainability of resources - transport, ecological impact, waste reduction/elimination including in packaging, substitution of raw materials, utility consumption, use of recycled materials 		

Guidelines for self-assessment

8a Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of society perceptions.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of society perceptions	or sustained good performance on many results of measurements of society perceptions over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in society perceptions over at least 3 years.	or sustained excellent performance on most results of measurements of society perceptions over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to society perceptions	or sustained excellent performance in all areas relating to society perceptions over at least 5 years	Any negative trends are explained as well as the actions taken to address.

8a Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of society perceptions	Some targets are appropriate, based on own past performance.	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of society perceptions.	Most targets are appropriate, based on society input, own past performance, and goals	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of society perceptions.	Most targets are appropriate, based on society input, goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of society perceptions.	All targets are appropriate, based on society input, external benchmarks, and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

Guidelines for self-assessment

8a Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to society perceptions	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many society perceptions.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of society perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of society perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

8a Results - Cause	Cause	Cause and effect links	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		1c leaders support and engage in activities that aim to improve the environment and the organisation's contribution to society 2a understanding the needs of society 2c develops policy and strategy based on the needs of stakeholders 3a ensuring fairness, including equal opportunities 3e promoting awareness and involvement in health, safety, the environment and issues on social responsibility 4c reducing and recycling waste, conserving non-renewable resources, reducing any adverse impact of products and services 4d managing technology to minimise impact on environment 4e providing access to relevant information and knowledge 5a applying systems standards such as environmental systems and occupational health and safety systems
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	

8b Society Results:		Scope
	Source and relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only e.g. we have a good relationship with the local council	No evidence or anecdotal only
Drifter	Relevance of some results is explained.	There are some indicators of the organisation's performance in relation to society.
Improver	There is some segmentation of results. Relevance of many measures is explained.	There are many indicators of the organisation's performance in relation to society.
Award Winner	There are indicators for all areas which previous surveys have found important. Segmentation aids understanding of results. Relevance of most measures is explained - e.g. customer interest, external comparisons, specific area to improve	There are indicators of the organisation's performance in most areas relating to society.
World Class	There are indicators for all areas which previous surveys have found important and all areas assessed by society survey. Further indicators track society-related measures which are important to the organisation's values and strategy, e.g. good corporate citizens. Relevance of all measures is explained - e.g. related to strategy, external comparisons, area to improve. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving, in all areas of society results
<p>Example range of topics:</p> <ul style="list-style-type: none"> - responsible citizenship - e.g. disclosures of information relevant to the community, equal opportunities, impact on local and national economies, relationships with relevant authorities, ethical behaviour - community involvement e.g. education and training, support for sport and leisure, voluntary work and philanthropy, support for medical and welfare provision - nuisance prevention or reduction - e.g. health risks, accidents, noise, odour, safety hazards, pollution, toxic emissions - preservation and sustainability of resources - transport, ecological impact, waste reduction/elimination including in packaging, substitution of raw materials, utility consumption, use of recycled materials - changes in employment levels - press coverage - relationships with authorities e.g. certification, import/export, planning, product approvals - accolades and awards 		

Guidelines for self-assessment

8b Results - Trend	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of society results.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of society results	or sustained good performance on many results of measurements of society results over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in society results over at least 3 years.	or sustained excellent performance on most results of measurements of society results over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to society results	or sustained excellent performance in all areas relating to society results over at least 5 years	Any negative trends are explained as well as the actions taken to address.

8b Results -Target	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of society results	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of society results.	Many targets are appropriate, based on society input and own past performance.	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of society results.	Most targets are appropriate, based on goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of society results.	All targets are appropriate, based on external benchmarks and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

Guidelines for self-assessment

8b Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to society results	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many society results.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of society results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of society results, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

8b Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	1c leaders support and engage in activities that aim to improve the environment and the organisation's contribution to society 2a understanding the needs of society 2c develops policy and strategy based on the needs of stakeholders 3a ensuring fairness, including equal opportunities 3c involving and empowering people 3e promoting awareness and involvement in health, safety, the environment and issues on social responsibility 4c reducing and recycling waste, conserving non-renewable resources, reducing any adverse impact of products and services 4d managing technology to minimise impact on environment 4e providing access to relevant information and knowledge 5a applying systems standards such as environmental systems and occupational health and safety systems
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	

9 Key Performance Results

One of the fundamental concepts of excellence of the EFQM (EFQM 1999) is results orientation: “Excellence is dependent upon balancing and satisfying the needs of all relevant stakeholders (this includes the people employed, customers, suppliers and society in general as well as those with financial interests in the organisation)”. As customer, employee and society results are reviewed in criteria 6, 7 and 8, these results will not be repeated here. The results shown will vary from one organisation to another but should be sufficient to ensure the organisation knows if it is achieving its plans.

9a Key Performance Outcomes: Scope		
	Source and relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only	
Drifter	Relevance of some measures is explained.	The organisation has some results to show what it is achieving, in terms of key performance outcomes
Improver	There is some segmentation of results. Relevance of many measures is explained, e.g. related to strategy, or goal.	The organisation has many results to show what it is achieving, in terms of key performance outcomes
Award Winner	Segmentation aids understanding of results. Relevance of most measures is explained - e.g. related to strategy, specific area to improve.	The organisation has results to show what it is achieving, in most topics relating to key performance outcomes
World Class	Segmentation aids understanding of results. Relevance of the measures is explained - e.g. strategic goal, external comparisons, specific area to improve. Key drivers for improvement are understood. The information is used to aid decision-making and drive improvement	The organisation has a comprehensive range of key performance outcomes
<p>Key performance outcomes may relate to:</p> <ul style="list-style-type: none"> - financial outcomes - share price, dividends, gross margins, net profit, sales, meeting of budgets - non-financial - market share, time to market, volumes, success rates, new products <p>Depending on the organisation, they may also include measures relating to:</p> <ul style="list-style-type: none"> - processes - performance, deployment, assessment, innovation, improvement, cycle time, defect rate, maturity, productivity, time to market - external resources - supplier performance, supplier price, number and value added of partnerships, number and value added of innovative products and services solutions generated by partners, number and value added of joint improvements with partners, recognition of partners' contribution - financial - cash flow, balance sheet, depreciation, maintenance costs, return on equity, return on net assets, credit ratings - buildings, equipment and materials - defect rates, inventory turnover, utility consumption, utilisation - technology - innovation rate, value of intellectual property, patents, royalties - information and using knowledge - accessibility, integrity, relevance, timeliness, sharing and using knowledge, value of intellectual capital 		

9a Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of key performance outcomes.	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of key performance outcomes	or sustained good performance on many results of measurements of employee perceptions over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most results in key performance outcomes over at least 3 years.	or sustained excellent performance on most results of measurements of key performance outcomes over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating key performance outcomes	or sustained excellent performance in all areas relating to key performance outcomes over at least 5 years	Any negative trends are explained as well as the actions taken to address.

9a Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of key performance outcomes	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of key performance outcomes	Many targets are appropriate, based on own past performance, and goals.	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for measurement of key performance outcomes	Most targets are appropriate, based on goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of key performance outcomes	All targets are appropriate, based on external benchmarks and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

Guidelines for self-assessment

9a Results - Comparisons	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating to key performance outcomes	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many of key performance outcomes.	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most key performance outcomes, comparisons are made with other organisations' performance.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of employee perceptions, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

9a Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		1b ensuring a process for the measurement, review and improvement of key results is developed and implemented 1d communicating the policy and strategy, plans, objectives and targets 2b collecting and understanding output from internal performance indicators 2c identifying critical success factors 2e aligning plans, objectives and targets 3b aligning individual and team objectives with organisation's targets 3c involving and empowering people 3e promoting health and safety 4a structuring partnership relationships for maximum value 4b using financial mechanisms and parameters to ensure an efficient and effective resourcing structure 4c utilising assets in support of policy and strategy 4d managing the technology portfolio 4e collecting, structuring and managing information and knowledge 5a implementing process measures and setting performance targets 5b using performance and perception results to set priorities and targets for improvement Other linkages may be seen, depending on the organisation's purpose and activities.
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	

9b Key Performance Indicators		Scope
	Relevance of information	Range of topics covered (see examples below)
Beginner	No evidence or anecdotal only	
Drifter	Relevance of some results is explained.	There are some indicators of the organisation's performance in relation to its people.
Improver	There is some segmentation of results. Relevance of many measures is explained.	There are many indicators of the organisation's performance in relation to its people.
Award Winner	There are indicators for all areas designated as key in the strategy. Segmentation aids understanding of results. Relevance of most measures is explained - e.g. external comparisons, specific area to improve	There are indicators of the organisation's performance in most areas relating to its people.
World Class	There are indicators for all areas designated as key in the strategy. Further indicators track measures which are important to the organisation's values and strategy, e.g. treat all employees fairly, generate at least 30% of income from new products each year. Relevance of all measures is explained - e.g. strategic goal, external comparisons, area to improve. Segmentation aids understanding of results. Analysis is clearly aimed to aid decision-making and improvement actions.	The organisation has a comprehensive range of results to show what it is achieving in relation to its people.
<p>Key performance indicators are leading indicators which enable the organisation to predict the likely results of its key performance outcomes and take corrective action if necessary. They may relate to:</p> <p>processes - performance, deployment, assessment, innovation, improvement, cycle time, defect rate, maturity, productivity, time to market</p> <p>external resources - supplier performance, supplier price, number and value added of partnerships, number and value added of innovative products and services solutions generated by partners, number and value added of joint improvements with partners, recognition of partners' contribution</p> <p>financial - cash flow, balance sheet, depreciation, maintenance costs, return on equity, return on net assets, credit ratings</p> <p>buildings, equipment and materials - defect rates, inventory turnover, utility consumption, utilisation</p> <p>technology - innovation rate, value of intellectual property, patents, royalties</p> <p>information and using knowledge - accessibility, integrity, relevance, timeliness, sharing and using knowledge, value of intellectual capital</p> <p>Depending on the organisation, they may also include:</p> <p>financial outcomes - share price, dividends, gross margins, net profit, sales, meeting of budgets</p> <p>non-financial - market share, time to market, volumes, success rates</p>		

Guidelines for self-assessment

9b Results - Trends	Trend	Performance	Explanation
Beginners	No evidence or anecdotal only		
Drifters	There are some positive trends in measurements of key performance indicators	Some measurements show satisfactory performance.	
Improvers	The organisation can demonstrate positive trends in many measurements of key performance indicators	or sustained good performance on many results of measurements of key performance indicators over at least 3 years.	Some negative trends or performance are commented on.
Award Winners	The organisation can demonstrate strongly positive in most key performance indicators over at least 3 years.	or sustained excellent performance on most results of measurements of key performance indicators over at least 3 years.	Any negative trends are explained.
World Class	The organisation can demonstrate strongly positive trends in all areas relating to key performance indicators	or sustained excellent performance in all areas relating to key performance indicators over at least 5 years	Any negative trends are explained as well as the actions taken to address.

9b Results - Targets	Targets	Appropriateness	Achievement	Explanation
Beginners	No evidence or anecdotal only			
Drifters	Some targets are set for measurement of key performance indicators	Some targets are appropriate, based on own past performance	Targets are met or exceeded in some areas.	
Improvers	Targets are set for many measurements of key performance indicators	Many targets are appropriate, based on own past performance, and goals.	Targets are met or exceeded in many areas.	Some unmet targets are commented on.
Award Winners	Targets are usually set for of key performance indicators	Most targets are appropriate, based on goals and external benchmarks.	Targets are met or exceeded in most areas.	If targets are not met, an explanation is given.
World Class	Targets are set for all measurement of key performance indicators	All targets are appropriate, based on external benchmarks and strategy.	Excellent performance against targets in most areas.	If targets are not met, an explanation is given as well as key actions taken to address.

Guidelines for self-assessment

9b Results - Comparison	Comparison	Relevance	Achievement
Beginners	No evidence or anecdotal only		
Drifters	Comparisons are made with some measurements by other organisations relating key performance indicators	Reason for selecting these organisations for comparison are apparent.	Comparisons are less favourable than comparator.
Improvers	Comparisons are made with other organisations' measurements of many key performance indicators	Reasons for selecting these organisations for comparison are given e.g. industry average.	Comparisons are favourable in some areas.
Award Winners	For most measurements of key performance indicators, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. benchmark partners or best in industry.	Comparisons are favourable in most areas.
World Class	For all measurements of key performance indicators, comparisons are made with other organisations' measurements.	Reasons for selecting these organisations for comparison are given and show that the choice is appropriate e.g. best in class organisation, quality award winner or benchmark partners	Comparisons are excellent in most areas and the organisation is best-in-class in many areas.

9b Results - Cause	Cause	Linkages	Examples of enabling approaches contributing to the results
Beginners	No evidence or anecdotal		1b ensuring a process for the measurement, review and improvement of key results is developed and implemented 1d communicating the policy and strategy, plans, objectives and targets 2b collecting and understanding output from internal performance indicators 2c identifying critical success factors 2e aligning plans, objectives and targets 3b aligning individual and team objectives with organisation's targets 3c involving and empowering people 3e promoting health and safety 4a structuring partnership relationships for maximum value 4b using financial mechanisms and parameters to ensure an efficient and effective resourcing structure 4c utilising assets in support of policy and strategy 4d managing the technology portfolio 4e collecting, structuring and managing information and knowledge 5a implementing process measures and setting performance targets 5b using performance and perception results to set priorities and targets for improvement Other linkages may be seen, depending on the organisation's purpose and activities
Drifters	Some results can be shown to have been caused by the approach taken.	Some links with enabling approaches can be seen.	
Improvers	Many results can be shown to have been caused by the results taken.	Many cause-and-effect links exist with enabling approaches.	
Award Winners	Most results can be shown to have been caused by the approach taken.	Cause-and-effect links exist with most of the enabling approaches.	
World Class	All results can be clearly shown to have been caused by the approach taken.	Comprehensive cause-and-effect links exist with enabling approaches.	

**Appendix Two
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