Entries for the year 2001 Midlands Excellence Awards will be judged against the framework of the EFQM Excellence Model©.

The EFQM Excellence Model© consists of nine criteria and these are grouped into two broad areas:

- **Enablers** - how we do things.
- **Results** - outcomes which we target, measure and achieve.

The arrows shown in the following diagram emphasise the dynamic nature of business and illustrate that innovation and learning helps leaders to improve the enablers which produce better results.

The EFQM Excellence Model© reflects the way in which successful organisations can develop a winning formula to achieve competitive advantage. Each of the nine boxes shown above has a high level definition and the EFQM Excellence Model© includes thirty two sub-criterion elements which pose questions to be considered when assessing the performance of applicant organisations. The EFQM Excellence Model© and the sub-criterion elements are described in more detail below.

Self assessment using the EFQM Excellence Model© helps management identify strengths and opportunities for improvement which everyone in the organisation can address to achieve realistic goals. All businesses including companies, public bodies and voluntary organisations can use the EFQM Excellence Model© to achieve improved performance.

**Weighting**

The percentages shown in the diagram are the weightings used by Midlands Excellence when scoring applications.

At the heart of the EFQM Excellence Model© and the process of self assessment lies the logic known as RADAR which has four elements - Results, Approach, Deployment, Assessment & Review.
**RADAR LOGIC**

RADAR logic says that an organisation needs to:

- Determine the Results it is aiming for as part of its policy and strategy making process. These results cover the financial and operational performance of the organisation together with perceptions of its stakeholders.
- Plan and develop an integrated set of sound Approaches to deliver the required results both now and in the future.
- Deploy the approaches in a systematic way to ensure full implementation.
- Assess & Review the approaches by monitoring and analysing the results achieved through ongoing learning activities.

The application of RADAR logic helps organisations identify, prioritise, plan and implement improvements where needed:

**RADAR LOGIC CYCLE**

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**SELF ASSESSMENT**

The EFQM Excellence Model© is applied through a process of self-assessment which is now widely recognised as an essential management tool and a proven method of securing continuous improvement for any organisation wishing to achieve challenging goals. Self assessment allows an organisation to identify strengths and opportunities for improvement by focusing on the relationships between people, processes and results. There are many methods of self assessment and these broadly fall into three groups:

- Simple perception based approaches (e.g. matrices or questionnaires) which use the nine main criteria only of the EFQM Excellence Model©.
- Facilitated workshop approaches which apply the nine criteria and in many cases the thirty two sub-criterion elements of the EFQM Excellence Model©.
- Awards submission or simulation methods which use the full EFQM Excellence Model© to sub-criterion elements level.

By entering the 2001 Midlands Excellence Awards you are using the best form of self-assessment which will result in a feedback report prepared by our assessors identifying your strengths and areas for improvement classified under the headings of each of the sub-criterion elements of the EFQM Excellence Model©.
EFQM Excellence Model®
Sub-Criterion Definitions

Each of the nine criteria of the EFQM Excellence Model® has a high level definition and is supported by a number of sub-criterion elements that are outlined below. The sub-criterion elements pose questions to be considered when assessing the progress of an organisation towards the goal of business excellence.

1. LEADERSHIP

Definition
How leaders develop and facilitate the achievement of the mission and vision, create values required for long term success and implement these via appropriate actions and behaviours and are personally involved in ensuring that the organisation’s management system is developed and implemented.

1a - How leaders develop the mission, vision and values and are role models for a culture of excellence in the organisation
1b - How leaders are personally involved in ensuring the organisation’s management system is developed, implemented and continuously improved
1c - How leaders are involved with customers, partners and representatives of society
1d - How leaders motivate, support and recognise the organisation’s people

2. POLICY & STRATEGY

Definition
How the organisation implements its mission and vision via a clear stakeholder focused strategy supported by relevant policies, plans, objectives, targets and processes.

2a - How policy and strategy are based on the present and future needs and expectations of stakeholders
2b - How policy and strategy are based on information from performance measurement, research, learning and creativity related activities.
2c - How policy and strategy are developed, reviewed and updated
2d - How policy and strategy are deployed through a framework of key processes
2e - How policy and strategy are communicated and implemented
3. PEOPLE

Definition
How the organisation manages, develops and releases the knowledge and full potential of its people at an individual, team-based and organisation-wide level and how these activities are planned in order to support its policy and strategy and the effective operation of its processes.

3a - How people resources are planned, managed and improved
3b - How people’s knowledge and competencies are identified, developed and sustained.
3c - How people are involved and empowered
3d - How people and the organisation have a dialogue
3e - How people are rewarded, recognised and cared for

4. PARTNERSHIPS AND RESOURCES

Definition
How the organisation plans and manages its external partnerships and internal resources in order to support its policy and strategy and the effective operation of its processes.

4a - How external partnerships are managed
4b - How finances are managed
4c - How buildings, equipment and materials are managed
4d - How technology is managed
4e - How information and knowledge are managed

5. PROCESSES

Definition
How the organisation designs, manages and improves its processes to support the policy and strategy and fully satisfies and generates increasing value for its customers and other stakeholders.

5a - How processes are systematically designed and managed
5b - How processes are improved, as needed, using innovation to fully satisfy and generate increasing value for customers and other stakeholders
5c - How products and services are designed and developed based on customer needs and expectations
5d - How products and services are produced, delivered and serviced
5e - How customer relationships are managed and enhanced
6. CUSTOMER RESULTS
Definition
What the organisation is achieving in relation to its external customers

6a - Perception Measures
6b - Performance Indicators

7. PEOPLE RESULTS
Definition
What the organisation is achieving in relation to its people

7a - Perception Measures
7b - Performance Indicators

8. SOCIETY RESULTS
Definition
What the organisation is achieving in relation to local, national and international society as appropriate

8a - Perception Measures
8b - Performance Indicators

9. KEY PERFORMANCE RESULTS
Definition
What the organisation is achieving in relation to its planned performance

9a - Key Performance Outcomes
9b - Key Performance Indicators
PREPARING YOUR SUBMISSION FOR THE ENABLER CRITERIA

Information is required about how the organisation approaches each sub-criterion element of the EFQM Excellence Model© and this requires consideration of:

(i) the approach taken - details of the methods or processes used to address the sub-criterion elements should be provided together with the rationale for the approach and how linkages are made with policy and strategy and other criteria within the Model;

(ii) the extent to which the approach has been deployed - vertically through all levels of the organisation and horizontally through all areas and activities. Ideally, numerical evidence should be provided and proof that the deployment has been systematic;

(iii) the steps in place to assess and review the approach and deployment. Emphasis here should be placed on measurements taken, ways in which learning is acquired and steps taken to implement improvements.
PREPARING YOUR SUBMISSIONS FOR THE RESULTS CRITERIA

Information is required on what the organisation is achieving with respect to each of the customer, people, society and key performance results sub-criterion elements of the EFQM Excellence Model©. You should provide concise and factual information which includes:

(i) the key parameters your organisation uses to measure results and achievements.
   For each parameter trends of data are required and this can cover up to five years performance to highlight:
   - your organisation’s actual performance
   - your organisation’s own targets and wherever possible
     the performance of competitors together with
     the results of “best in class” organisations.

(ii) the rationale behind each of the parameters presented and how they cover the range of your organisation’s activities. The scope of the results is an important consideration for the assessors.

(iii) evidence is required of the relative importance of each of the results criteria and in the case of any financial results (sub-criterion elements 9a or 9b) data may be presented in the form of an index rather than in absolute terms to avoid disclosing sensitive information.

(iv) to allow comparisons to be made it would be helpful if you can please provide a single chart for each key parameter showing trends of performance together with a brief commentary which demonstrates your understanding of significant features of the presented data.
PRESENTATION OF INFORMATION

The application process for the Award requires that you present your own organisation’s achievements across a range of specific areas relating to each sub-criterion element of the EFQM Excellence Model©. The criteria in the Model are written in non-prescriptive terms to allow you the freedom to put into the application self assessment information which is relevant to your specific situation.

Throughout the application the Assessors will be looking for clear factual information. Applicants should give good descriptive detail of the approaches they have taken with examples to show how each approach is used. Clear trends of results are required with relevant comparisons and commentary to demonstrate the applicant's understanding of the information presented.

Assessors can only make a judgement based on the information in the application submission. Judgement cannot be made if any of the criteria or parts are not presented in the application. Applicants who have doubts as to how to present the information should contact Midlands Excellence on 01827 720833.

If any of the parts are not relevant to the applicant the words “Not Relevant” should be written in the appropriate section of the application document with an accompanying explanation and providing the Assessors are satisfied with the explanation the applicant will not be penalised.

Weights attributed to sub-criteria

Each sub-criterion element attracts equal weight to the other sub-criterion elements of a main criteria of the EFQM Excellence Model©. Thus sub-criterion element part 1a attracts 25% of the points allocation to main criteria 1.

The exceptions are:

1  6a takes 75% of the points allocated to main criteria 6
   6b takes 25% of the points allocated to main criteria 6

2  7a takes 75% of the points allocated to main criteria 7
   7b takes 25% of the points allocated to main criteria 7

3  8a takes 75% of the points allocated to main criteria 8
   8b takes 25% of the points allocated to main criteria 8
HOW YOU ARE ASSESSED

RELATIONSHIPS BETWEEN THE CRITERIA

The EFQM Excellence Model provides a framework for self assessment and the Midlands Excellence assessors will be looking for consistency in the information presented across and between the criteria of the Model.

The full power of the Model is derived from an understanding of the relationships between the criteria and so for example, if a process is highlighted in an enabler criterion, then the outcome of this process might reasonably be expected to appear in one of the Results sections of your application.

Whilst all the nine criteria in the Model are linked some relationships are particularly clear for example:

• People (criteria 3) and People Results (criteria 7)
• Customer related issues (sub-criterion 5c, 5d, 5e) and Customer Results (criteria 6).

Linkages can be expressed between Policy and Strategy (criteria 2) and all other Enabler and Results criteria. There could also be linkages between Policy and Strategy and some of the comparisons presented in the Results section of your application.

For example: If the strategy is to achieve ‘global leadership’, the organisation should be seeking global comparisons against which to judge performance and a lesser objective would justify the selection of less ambitious comparisons.

Use of the Model as a driver of improvement is also important so it is reasonable to expect a connection between results achieved (and presented in the Results criteria) and actions to improve performance in the Enablers criteria. You should include comparisons of your results with internal targets, competitor or similar organisation performances and the outcomes achieved by ‘best in class’ organisations. The comparisons should be used to prioritise and drive improvements in your organisation.

Comparisons of business results with internal targets and competitors should therefore provoke an analysis of the issues driving customer satisfaction and loyalty and lead to modifications of your Policy and Strategy (criteria 2) and plans to achieve improvements in the other Enablers criteria.
HOW YOU ARE SCORED

For all Award categories our assessors use the scoring process described to allocate points and to arrive at a total score out of 1000 points. For small businesses employing up to fifty people our assessors will score applicants against the nine criteria of the Model using the 32 sub-criterion elements as a check list.

The assessors use the RADAR Scoring Matrix to allocate points to each of the sub-criterion elements in the Model. This matrix is based on the RADAR logic which lies at the heart of the EFQM Excellence Model©.

SCORING ENABLER CRITERIA

Each of the enablers sub-criterion elements is evaluated according to Approach, Deployment and Assessment and Review.

The score given for Approach will take account of:

(i) the soundness of the method or process being described - the extent to which it has a clear rationale and is focused on stakeholder needs;

(ii) the extent to which the method or process being described is integrated - supports policy and strategy, is linked to other approaches where appropriate and is part of business as usual (fully integrated into every day activities).

The score given for Deployment will take account of:

(i) the extent to which the approach has been implemented across different areas and layers of the organisation;

(ii) the extent to which deployment of the approach is systematic.

The score given for Assessment and Review will take account of:

(i) the measurements that are recorded;

(ii) the learning activities;

(iii) the improvements that have been identified, prioritised, planned and implemented.

The Assessors use a scoring matrix for Enablers to allocate separately a percentage score for approach, deployment and assessment and review. An overall percentage score is then derived for each sub-criterion element.
HOW YOU ARE SCORED (CONTINUED)

SCORING RESULTS CRITERIA

Each of the results sub-criterion elements are evaluated according to the excellence and scope of the results presented. The excellence of your results takes account of:

(i) positive trends and/or sustained good performance;
(ii) comparisons with own targets;
(iii) comparisons with external organisations including as appropriate competitors, industry averages and ‘best in class’ organisations;
(iv) the extent to which the results presented are caused by the approaches described in the Enabler criteria.

The scope of results takes account of:

(i) the extent to which the results cover all relevant areas of the organisation;
(ii) the extent to which a full range of results relevant to the sub-criterion elements is presented;
(iii) the extent to which the relevance of the results presented is understood.

Taking account of all the above factors the Midlands Excellence assessors will use a Scoring Matrix to allocate percentage scores to your results.

All applicants are recommended to obtain a set of the EFQM Excellence Model© guide books available from the Midlands Excellence office at a cost of £22 per set.
NOTES ON SCORING CRITERIA

It is possible that excellent results will not always be accompanied by positive trends and for example such instances might include the retention in difficult times of a dominant market share. In these circumstances applicants should provide sufficient annotations in the Award application document to make their achievements clear to the assessors.

Comparisons with external organisations whether competitors or ‘best in class’ are encouraged to provide sufficient details in the application document to make their achievements clear to the assessors as per the following examples:

Information Resources (Criterion 4)
Business, technical data and other information in all its forms, as well as the means of making the information available and accessible.

Materials, Buildings and Equipment (Criterion 4)
Physical items in all their forms including stocks of raw materials and finished products, material in progress and fixed assets.

Processes (Criterion 5)
A process is a sequence of steps which adds value by producing required outputs from a variety of inputs. In any organisation there will exist a network of processes all of which need to be managed and improved.

External Customer (Criterion 6)
The immediate external customer of the organisation. These may include other customers in the chain of distribution.