

EFQM Excellence Model[®] Higher Education Version 2003

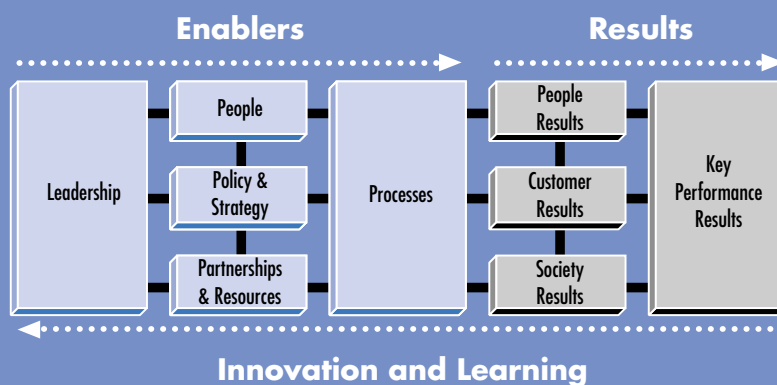
(Adapted from the EFQM Excellence Model[®] 2003 Public and Voluntary Sector version)



Produced By

SHEFFIELD HALLAM UNIVERSITY

With endorsement from the European Foundation for Quality Management



About this publication

This Higher Education Excellence Model has been based on, adapted and developed from the EFQM Public and Voluntary Sector Excellence Model, 2003 version. It has been fully endorsed by the European Foundation for Quality Management.

It has been written to support learning and understanding about the EFQM Excellence Model® within a Higher Education context. It can be used as a stand-alone learning tool, or as part of a more integrated training, development or self-assessment programme. It does not review the concepts of excellence or quality from an academic theory perspective, but introduces the management practices and learning which have emerged from specific detailed practical research undertaken within Sheffield Hallam University, and across the wider sector.

The examples of approaches given are drawn from experiences of using the Excellence Model within Sheffield Hallam University, and from a wide range of public and private sector case studies.

This is one in a series of practical tools that are available from the *Centre for Integral Excellence* (<http://integralexcellence.shu.ac.uk>).

Other related publications have been produced from the *Good Management Practice* programme led by Sheffield Hallam University. These cover the following:

- Embracing Excellence in Education. A summary of the learning gained from applying the EFQM Excellence Model® in Further and Higher Education
- Applying self-assessment against the EFQM Excellence Model® in Further and Higher Education
- Benchmarking methods and experiences
- Linking the Excellence Model to other Management Models and Tools
- Organisational Learning and the future of Higher Education
- Application of the EFQM Excellence Model® in a College of Further Education

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Foreword

1 Foreword

Higher education is viewed by many as central to the creation of opportunities and prosperity in all modern economies. The pace of global change requires a continued evolution of teaching, learning and research – with the emergence of more responsive and focused activities to meet the demands of tomorrow's marketplace. For this reason it is vital for us to continuously improve our institutions, moving further towards 'Excellence' by recognising, anticipating and understanding the needs of our students, and enhancing their whole student experience.

This publication describes how the European Foundation for Quality Management (EFQM) Excellence Model® can be used and applied within higher education, with practical examples accompanying the Model to support and develop learning, and share best practice.

As Chief Executive Officer of the EFQM, I am pleased that our EFQM Excellence Model, together with the authors' adaptations, can provide support in the journey towards the continuous improvement and development of higher education institutions in Europe and elsewhere.



Alain de Dommartin
European Foundation for Quality Management
Chief Executive Officer

Using the Excellence Model in Higher Education

1 Developing Good Management Practice

Regardless of size, culture, tradition or background, to be successful in the future, higher education needs to deliver excellence in all areas, with less resource, to an ever more demanding global customer base. This means there is a real need to develop more effective and efficient management practices. The *EFQM Excellence Model® - HE Version* is a practical tool to support the analysis and prioritisation of improvement opportunities within higher education organisations.

This Model has been tested and applied within higher education, with the main benefit of using the Model stemming from its customer-focused approach. This is congruent with the aim of many educational organisations, which put students at the heart of learning and teaching. The results of this work and the findings that emerged can be read in the summary report *Embedding Excellence in Higher Education* (see <http://excellence.shu.ac.uk>).

Other key benefits of the Model have also been recognised:

- It looks at all areas of the organisation – offering a holistic approach, which has been absent from many other management approaches that have been used previously.
- It provides for a process of self-assessment against a non-prescriptive but detailed set of criteria, yet is flexible as to when or how this is undertaken. The approach can be adapted to suit the requirements of the user, the size of organisational unit and the extent to which resource can be committed.
- The assessment process is based on factual evidence but the process can be defined at a time and pace to suit the individual organisation. A self-assessment can be completed in as little as a day or with extensive evidence being collected which can take several weeks.
- It offers a means by which other initiatives such as 'iP' and 'Balanced Scorecard' can be held and knitted together in an integrated way.
- It offers a way in which a common focus can provide a new way of working that could be embedded into the organisation.
- It provides a balanced set of results indicators, not just financial, that focus on the need of the customer, the people in the organisation, the local community and other elements of society, the regulatory bodies and the funding providers.
- As the Model is used widely across Europe, and has been extensively tested in a range of sectors, private, public and voluntary, it offers benchmarking opportunities with others within and outside the sector, providing a common language to share good practice and develop both individual and organisational learning.
- It provides a framework through which the kernel of the organisation's issues can be surfaced, investigated and improved – continually.

The Model also engages organisations in an analysis of stakeholders, and particularly supports the recognition of the needs and expectations of customers and customer groups. The EFQM defines customers as 'final arbiter of the product and service quality, and customer loyalty'. It suggests retention and market share gain are best optimised through a clear focus on customer needs. In other words it encourages institutions to have a clear focus on the student experience.

The Model therefore offers a strong stakeholder-focused approach – which is at the heart of everything that HE and FE institutions strive for. Most, if not all, institutions aim to put students at the heart of learning and teaching – whilst considering other key stakeholders, such as parents, employers, partners, funding providers and regional/local communities. The student relationship often goes far beyond what might traditionally be viewed as a customer relationship, with students in some institutions seen as partners in the learning process. This means that unless institutions are driven by a way of working that looks inside at what is being done and how it is being done for all key stakeholders, then it is unlikely that continual improvement which meets or exceeds stakeholder's expectations, could be achieved and sustained.

The Fundamental Concepts of Excellence in Higher Education

1 Defining and understanding Excellence and its concepts

According to the European Foundation for Quality Management, Organisational Excellence has been defined as:

the overall way of working that results in balanced stakeholder satisfaction (customers, employees, partners, society, shareholder) so increasing the probability of long term success as an organisation

In an education context, this means balancing the needs of students, staff, funding and regulatory bodies as well as those in our local communities.

In the most recent 2003 version of the Model, Excellence is also defined as:

Outstanding practice in managing the organisation and achieving results based on a set of Fundamental Concepts

These fundamental concepts are:

- Results Orientation
- Customer Focus
- Leadership and Constancy of Purpose
- Management by Processes and Facts
- People Development and Involvement
- Partnership Development
- Corporate Social Responsibility
- Continuous Learning, Innovation and Improvement

These fundamental concepts are further defined to give breadth and depth of understanding. They have been used and applied widely in both further and higher education contexts and have been interpreted for higher education as shown in Table 1.

From benchmarking, it has been identified that the US Malcolm Baldrige Award

(http://www.quality.nist.gov/Education_Criteria.htm) has two further fundamental concepts or values: agility and future focus. Agility is defined as the ability to react quickly to the changing demands of students and stakeholders. The US experience is of organisations that are learning, have an explicit focus on, and measurement of, response times to help drive the simplification of the organisational structure and work processes. All aspects of time performance are becoming increasingly important and should be among key process measures. An example would be the response time to a student application or the time taken for a student to enroll.

Future Focus in today's education environment is about understanding the short- and longer-term factors that affect the organisation and the education market.

The US Model suggests that the pursuit of organisational excellence requires a strong future orientation and a willingness to make long-term commitments to key stakeholders - the community, employers, faculty, and staff. The institutions planning must anticipate many factors, such as changes in educational requirements, instructional approaches, resource availability, student/stakeholder expectations, new partnering opportunities, technological developments, the evolving internet environment, new student and market segments, demographics, community/societal expectations, and strategic changes by comparable organisations. Strategic objectives and resource allocations need to accommodate these influences.

In developing a HE version of the Excellence Model it is felt that there is merit in including these two additional concepts or values.

EFQM Excellence Model® Definitions (2003)	Interpretation for Further and Higher Education
Results Orientation	
Excellence is achieving results that delight all the organisation's stakeholders.	Focusing clearly on and understanding students and other customers, their needs, expectations and values, keeping in consideration and valuing their contribution, and the contribution of other stakeholder groups.
Customer Focus	
Excellence is creating sustainable customer value.	Anticipating, balancing and meeting the current and future needs of students, staff and others, through developing and setting a balanced range of appropriate indicators or targets, tracking performance, benchmarking, and taking appropriate action based on this holistic range of information.
Leadership and Constancy of Purpose	
Excellence is visionary and inspirational leadership, coupled with constancy of purpose.	Clearly demonstrating visionary and inspirational leadership, which is transparent and open, with a constancy and unity of purpose which is shared by everyone in the institution.
Management by Processes and Facts	
Excellence is managing the organisation through a set of interdependent and interrelated systems, processes and facts.	Understanding and systematically managing all activities through a set of interdependent and interrelated systems and processes, with decisions based on sound and reliably evidenced information.
People Development and Involvement	
Excellence is maximising the contribution of employees through their development and involvement.	Developing, involving and engaging staff, maximising their contribution in a positive and encouraged way, with shared values and a culture of trust, openness and empowerment.
Partnership Development	
Excellence is developing and maintaining value-adding partnerships.	Developing meaningful and mutually beneficial relationships, both internally and externally, in order to gain added value for partners, and support the achievement of both strategic and operational objectives.
Corporate Social Responsibility	
Excellence is exceeding the minimum regulatory framework in which the organisation operates and to strive to understand and respond to the expectations of their stakeholders in society.	Understanding, appreciating and considering positively the way in which the institution interacts with and impacts on the local and wider society, from both a practical and ethical perspective.
Continuous Learning, Innovation and Improvement	
Excellence is challenging the status quo and effecting change by using learning to create innovation and improvement opportunities.	Stimulating, encouraging, managing, sharing and acting on learning and experiences, making changes using innovation and creativity, and enabling continuous improvement to add value in a consistent way.
Agility	
	The ability to act quickly to the changing demands of students and stakeholders in terms of speed of response and flexibility to deliver.
Future Focus	
	Understanding the short- and longer-term factors that affect the organisation and the education market and planning to take account of these.

Table 1 The Fundamental Concepts of Excellence

Introducing the EFQM Excellence Model[®] in Higher Education

1 The evolution of Excellence

Originating from the ideas of process quality and control, the concept of quality having a much wider dimension was first introduced by W. Edwards Deming in the 1950's. Deming (1986) set out an approach to total quality management by the introduction of his now famous 14 points. In addition to promoting product or service quality and more efficient business processes, it also gave industry a human face. His work in Japan saw the creation in 1965 of the now coveted Deming Prize which is awarded annually to Japanese companies, worker groups and individuals who have distinguished themselves in the area of total quality.

Juran (1988) built on Deming's philosophies, defining quality as *fitness for use* in terms of design, conformance, availability, safety and field use. Unlike Deming, he focused on top-down management and technical methods rather than worker pride and satisfaction. Juran developed his TQM message around 10 key steps. He continued to build on Deming's work by communicating that quality control was an integral part of management at all levels, not just the work of a special quality control department. It was from this that 'quality circles' were created – the practice where quality improvement meetings were held at all levels of the organisation.

Ishikawa (1990) is known as the 'Father of Quality Circles'. He continued to develop ideas through the 1960's and created the 'fish bone' or Ishikawa diagram as a management problem-solving tool which is used by quality circles and quality improvement teams world-wide. He also introduced seven basic tools which were viewed as *indispensable for quality control*. These are Pareto analysis, fishbone diagrams, stratification, tally charts, histograms, scatter diagrams and control charts.

Crosby (1979) popularised total quality through his book *Quality is Free*. He built on the thinking of Deming and Juran, and added his idea that quality is 'conformance to requirement'. His notion of a zero defects goal as something practical to aim for was based on the fact that poor quality, on average, was costing companies about 20% of their revenue. Crosby cited four new essentials of quality management which he calls 'the absolutes', and also introduced his own 14 points for success. Crosby stressed motivation and planning were key rather than statistical process control.

Although these experts have differing opinions in certain areas, a number of key themes emerged:

- Inspection is never the answer to quality improvement.
- Involvement of, and leadership by, top management are essential to the necessary culture of commitment to quality.
- A program for quality requires organisation-wide efforts and

long term commitment, accompanied by the necessary investment in training.

- Quality is first and schedules are secondary.

Oakland (1999) has furthered the work of TQM in Britain. He has been able to explain the theory of TQM, and then demonstrate the practical application of his theory in practice. Oakland has further developed the thinking behind TQM and its integration into a company's strategy. He developed a model which he summarised in five points, and defined total quality management as

'a comprehensive approach to improving competitiveness, effectiveness and flexibility through planning, organising, and understanding each activity, and involving each individual at each level.'

As a result of this evolution in quality thinking, TQM became a driving force for quality improvement within many organisations across the world.

It was this holistic approach that was considered and evolved by those 14 businesses, whose mission and driving force was to develop these concepts into something that would encourage sustainable excellence in Europe and led to the formation of EFQM. Their objectives were:

'To stimulate and, where necessary, to assist management in adopting and applying the principles of Total Quality Management, and to improve the competitiveness of European industry.'

Taking into account research from across the world on other quality awards and systems, such as the Baldrige Award in America, and the Deming Prize in Japan, the EFQM launched the European Quality Award in 1991. This was initially seen as a way of to identify role models within Europe, recognising their excellence and encouraging them to benchmark and lead others. Supporting the award, a range of criteria had been developed against which organisations were assessed. This built on the criteria used for the Baldrige Award, but included the additional features of *Business Results* and *Impact on Society*.

The model and award scheme has been developed over the past ten years to reflect the diversity of the economy and organisations that exist. In 1995 the Public Sector Award was launched along with a revised model against which Public Sector organisations could assess themselves. In 1996 the SME Award and model was

launched, followed in the same year by the launch of an Award for operational units.

In 1999 the Public and Voluntary Sector Model was launched, which has been the Model that has been used in both further and higher education sectors. Now in 2003, the Model has again been refreshed and updated.

2 Understanding the Excellence Model

The EFQM Excellence Model® recognises that stakeholder needs are met through the process that describes the working of the organisation, hence process improvement is at the heart of any organisational development and it is through processes that the talents of people can be released, which in turn produces better performance. It also follows that improvement in the performance can be achieved only by involving the people in the continuous improvement of the processes they work in. It recognises that senior managers are too detached from these processes to effect long run sustainable improvement. They simply do not have the 'requisite variety'. This simple model is shown in Figure 1.

The EFQM Excellence Model® itself (which is a registered trademark) was revised in 1999, and updated slightly in 2003, to take account of current thinking, practices and working environments. It is described by the EFQM as:

'a practical tool to help organisations establish an appropriate management system by measuring where they are on the path to Excellence, helping them to understand the gaps, and then stimulating solutions'.

The model, shown in Figure 2, is a non-prescriptive framework based on nine criteria, with five 'Enablers' and four 'Results'. The enabling criteria cover what the organisation does, and the results criteria cover what the organisation achieves. 'Enablers' cause 'Results'.

The criteria and criterion-parts are the only key components of the Model framework parts to the model, with four or five criterion parts within the enablers, and 2 criterion parts within the results, although use of the Model does not require focus on all criterion parts.

The bullet points given within each criterion part list possible areas to address. They are prefixed by 'may include' to indicate that these are areas which give guidance and promote further thought, and are not intended to be mandatory or exhaustive.



Figure 1 The simple model for improved performance

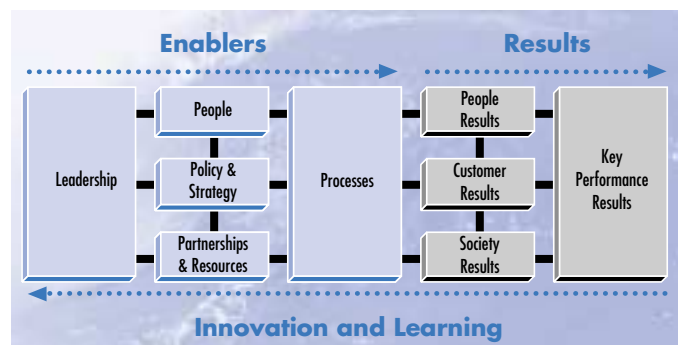


Figure 2 The EFQM Excellence Model®

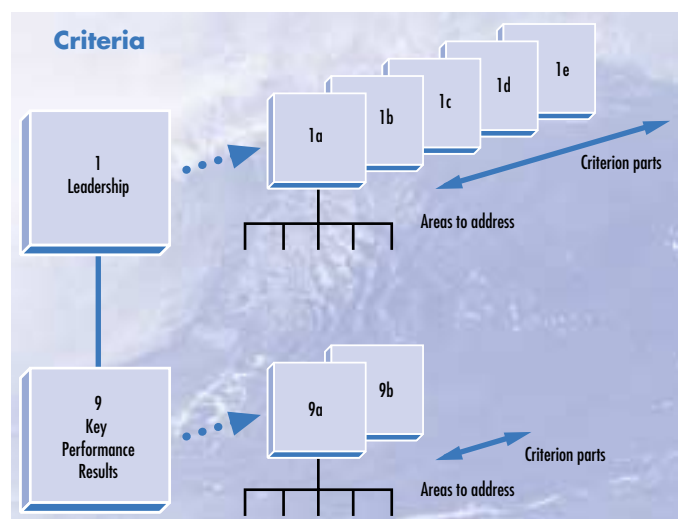


Figure 3 The EFQM Excellence Model® Criteria and Criterion Parts

3 The Enablers

The five enablers assess and question whether there are effective approaches in place to enable the achievement of what the organisation has planned to deliver in terms of its results. The detail of the model can provide a rigorous analysis, which questions whether in each area, the organisation can demonstrate that chosen approaches and strategies:

- are effective and efficient in delivering results
- are deployed to their full potential
- demonstrate continuous improvement.

Each of the enablers are broken down into criterion-parts, with guidance points within these criterion-parts to help develop and support knowledge and learning in that particular area. These guidance points are not exhaustive, and examples of approaches for each purely indicative. Both are intended as supportive guidance rather than mandatory check lists.

4 The Results

The four results areas question whether there are comprehensive measures in place which can monitor and track performance, and assess whether strategic objectives have been met. The criteria challenges to what extent the organisation can actually show that the chosen indicators:

- comprehensively measure what is important to customers and others who receive a service from the organisation
- demonstrate continuous improvement against target and results which are linked to and caused by approaches.

The results areas also question the extent to which benchmarking against the best in class is undertaken and used to enhance learning and improve performance.

Each of the results are broken down into criterion-parts, with guidance points within these criterion-parts to help develop and support knowledge and learning in that particular area. These guidance points are not exhaustive, and examples of approaches for each purely indicative. Both are intended as supportive guidance rather than mandatory check lists.

5 Model Dynamics

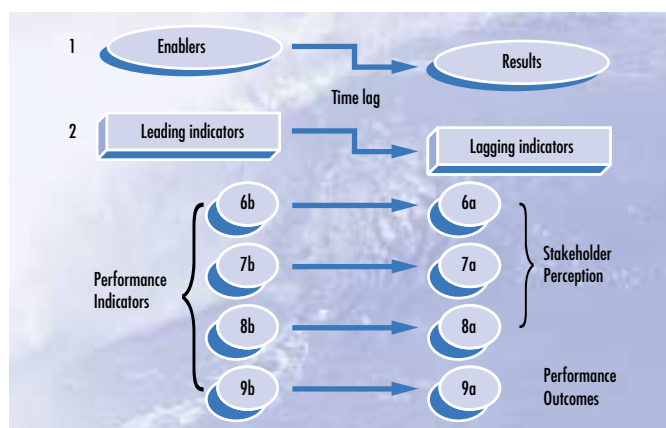


Figure 4 The EFQM Excellence Model® Dynamics

There are a number of dynamics within the Model which are significant. The time lag between the enablers and the results reinforces the connection that whatever action is taken, will ultimately impact on the performance and results of the organisation. The difference between the performance indicators and perception measures also show the need for a balanced set of performance measurements to ensure that early warning performance indicators are being tracked and measured, which could indicate longer term issues with perception, enabling action to be taken.

The relationship between different criteria of the Model are also strong, with key themes emerging (such as communication) which are influenced and analysed in different criteria in different ways. The lines within the Model are therefore significant in demonstrating that everything is connected to everything else.

The linkages can therefore be defined at four levels:

- across the whole Model, drawing out and tracking key themes
- between the enablers and the results, in terms of cause and effect
- within the results, by having leading and lagging indicators
- across the enablers, where the improvement of one area is dependant on the circumstances of another.

Across the whole Model

In the 2003 version of the Excellence Model, the EFQM have identified a number of 'red threads' which indicate key themes that emerge when the Model is analysed dynamically. This is supported by evidence from self-assessments in the Higher Education sector, where actions have been themed and grouped by emerging issue, rather than criteria title. In this way, the root cause of the issues that are emerging can be identified, rather than just addressing the symptom.

Topic	Red thread path
Communications	1c – Leaders communications with external stakeholders 1d – Leaders communication with internal stakeholders 2e – Communicating policy and strategy 3d – Internal communications 5b – Communicating process changes and improvements 6} 7} – Measuring satisfaction and effectiveness of communications 8}
Corporate Social Responsibility	1a – Vision, Values and Ethics reflect organisations CSR position 1c – Relationship with external stakeholders 1d – Relationship with internal stakeholders 1e – Leading analysis of changes in the external environment 2a – Input from stakeholders to strategy 2b – Input from measures and data including environmental and demographic factors 2c – Developing strategy including CSR strategy 2d – Deployment of strategy including all stakeholders 3a – Ethical and fair values in recruitment and terms of employment 3b – Developing people 3c – Involvement of people in external projects and conferences 3e – Caring for people promoting cultural and social activities 4a – Partnerships including those with society organisations and local suppliers 4b – Financial strategies to support CSR strategies 4c – Environmental management 5c – Customer and partner input to product 5d – Producing products recycling etc in mind 5e – Daily relationship with customers 6a – Customers perception of image etc 7a – Peoples perception of organisation as employer 8 – All 9a/b – Partnership, financial, process efficiency, performance against standards
Creativity and Innovation	1a – Leaders stimulating and encouraging 2b – Using creativity outcomes as inputs to policy and strategy 3c – Provision of opportunities for creative and innovative behaviour 4a – Using partnerships to promote innovation and creativity 4e – Using information and knowledge to prompt innovation and creativity 5b – Using stakeholders innovation and creativity to change and improve processes 5c – Using creativity and innovation to develop products and services 5e – Using creativity and innovation to enhance the customer relationship 6} 7} – Measuring the effectiveness of creativity and innovation processes (e.g. innovation in design) 8} 9}
Customers	1c – Leaders involvement with customers 2a – Establishing customers needs and expectations 2c – Balancing needs and expectations 5b – Improving processes to satisfy customer 5c – Customer facing processes 5d – Customer facing processes 5e – Customer relationship management 6a – Customer perception results 6b – Internal customer results
Governance	1b – Processes for effective governance of organisation developed and implemented 2a – Gathering needs and expectations from stakeholders 2b – Gathering data inputs for policy and strategy development 4b – Establishing and implementing core governance process at all levels 9a – Reporting financial outcomes 9b – Reporting financial measures

Topic	Red thread path
Knowledge	2b – Using knowledge to influence policy and strategy 3d – Identifying, developing and sustaining peoples individual knowledge 4e – Managing the organisations knowledge 7 – Measuring satisfaction with increase in knowledge and people indicators for increasing knowledge 9 – Using knowledge to improve business
Market and Market Definition	2a – Collecting information to identifying market and market segments 2b – Indicators regarding external image and brand and competitors performance 2c – Reaffirming market position 3b – Matching people with current and future organisational needs 4a – Adding value to customer/supply chain through partnerships 5c – Developing new products for both the current and future markets 5d – Marketing, communicating and selling products 6a – Customer perception 6b – Internal indicators 7a – People perception of organisation 7b – Loyalty 8a – Society image 9 – Market share, position
People (Internal)	1d – Leaders involvement with people 2a – Establishing people needs and expectations 2c – Balancing needs and expectations 3a – People planning and managing 3b – Identify, developing and sustaining people skills 3c – Involving and empowering people 3d – Organisational communications with people 3e – Rewarding, recognising and caring for people 7a – People perception results 7b – Internal people results
Process Methodology	1b – Developing a system for managing processes and assigning process owners as part of the management system 2d – Identifying and developing key process framework 5a – Describing the system for designing and managing processes 5b – Describing the system for improving processes 6} 7} – Measuring the effectiveness of processes 8} 9}
Suppliers/ Partners	1c – Leaders involvement with suppliers/partners 2a – Establishing needs and expectations 2c – Balancing needs and expectations 4a – Managing partnerships 9a – Partnership/supplier key performance results 9b – Partnership/supplier key performance indicators
Sustainability	1b – Developing the management framework 1c – Promoting, supporting and engaging in activities that promote rights and interests of future generations 2a – Gathering data for needs for both now and the future 2c – Balancing long and short term needs 3b – Developing people for current and future needs 5c – Anticipating and enhancing customers future needs for product design and development 6} 7} – Sustainability of results 8} 9}

Table 2 *The Red Threads Through the Model*

Between the Enablers and Results

The link between the Enablers and the Results is two way. If there is a need to improve the results, then a change to one or more enabling factors needs to take place. In the same way, if a change to an enabling factor is made, the impact this will have on the results needs to be tracked and traced. Positive results need to be captured, understood and enhanced through the nurturing and growth of their enabling factors. Negative results need to be minimised through the changing of the directly linked enabling factors. If these linkages are not explicit, then the impact of change cannot be managed or evaluated effectively.

There is also a time lag between when the enabler occurs and the results that can be demonstrated. This needs to be taken into consideration when planning and managing using this approach.

The following diagrams, reproduced from 'The Model in Practice 2' publication, with kind permission from the British Quality Foundation (www.quality_foundation.co.uk), illustrate the links between the Enablers and the Results (based on the 1999 version of the Model).

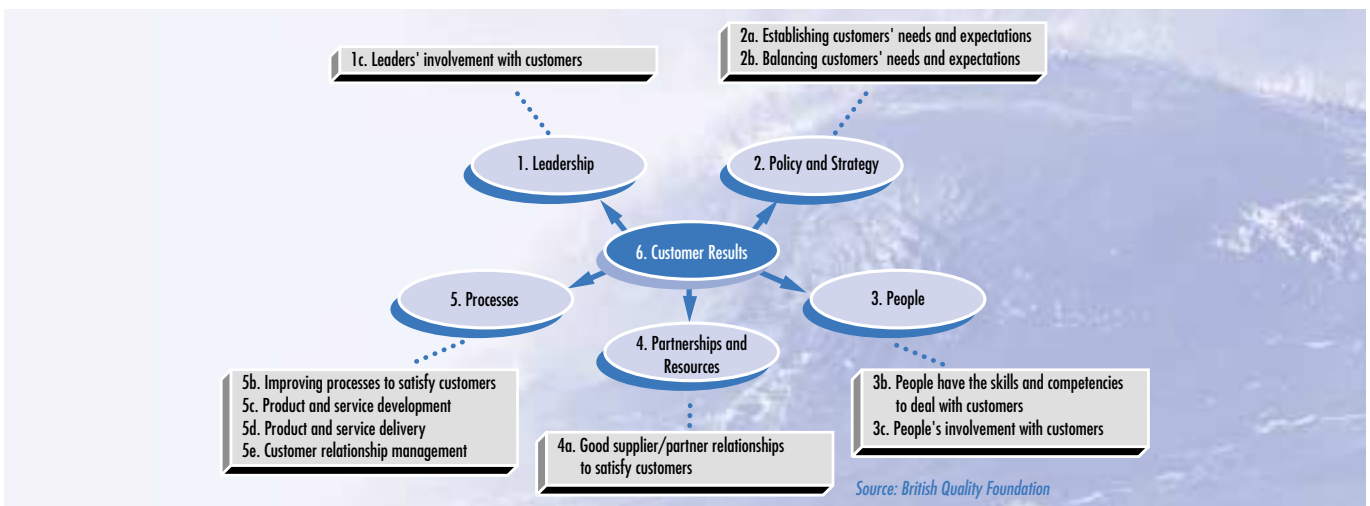


Figure 5 The link between Customer Results and the Enablers (1999 model)

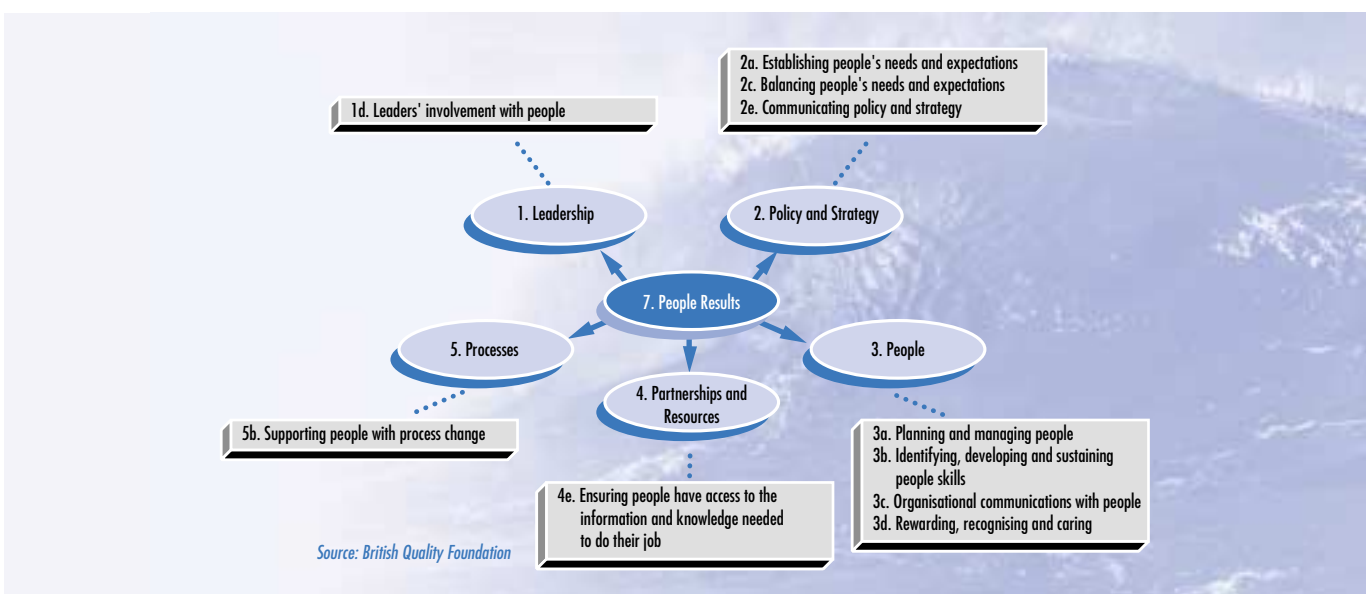


Figure 6 The link between People Results and the Enablers (1999 model)

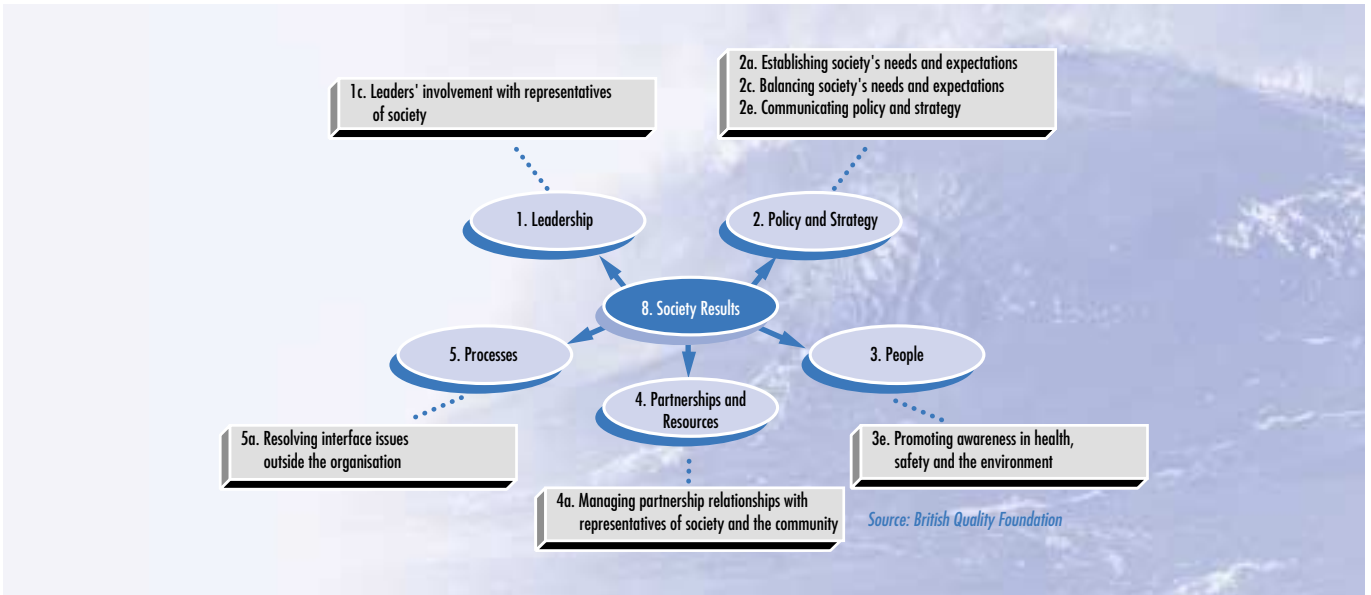


Figure 7 The link between Society Results and the Enablers (1999 model)

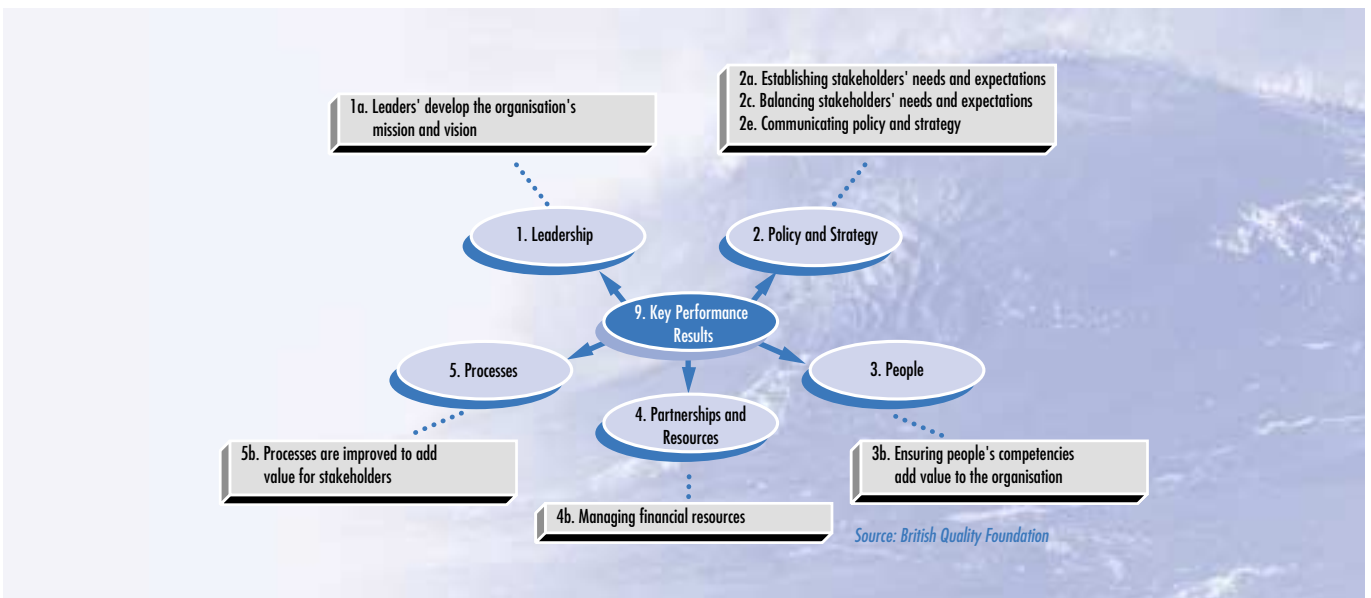


Figure 8 The link between Key Performance Results and the Enablers (1999 model)

Within the Results

There is an interesting dynamic present in the Results criteria, which is important to consider when determining indicators, measures and targets. The two criteria-parts, (a and b) are inter-linked.

The criterion-part 'a' concentrates primarily on perception indicators. Often these results are obtained from survey based methodologies which can be undertaken once a year, or even once every two years. These are the measures that help determine whether the organisation will achieve its planned results.

The criterion-part 'b' concentrates primarily on performance indicators. These can usually be obtained on a daily, weekly or monthly basis. These are the measures that help to determine whether the organisation is on course to achieve its planned outcomes (as set in 'a').

These are termed leading and lagging indicators, with 'b' being leading and 'a' being lagging, as shown in Figure 4 (Pg 8).

Across the Enablers

There are also a number of linkages between the criteria themselves. This shows that each criteria is interlinked strongly with others, and provides a good argument for why self-assessment should be undertaken across the whole Model, rather than just part.

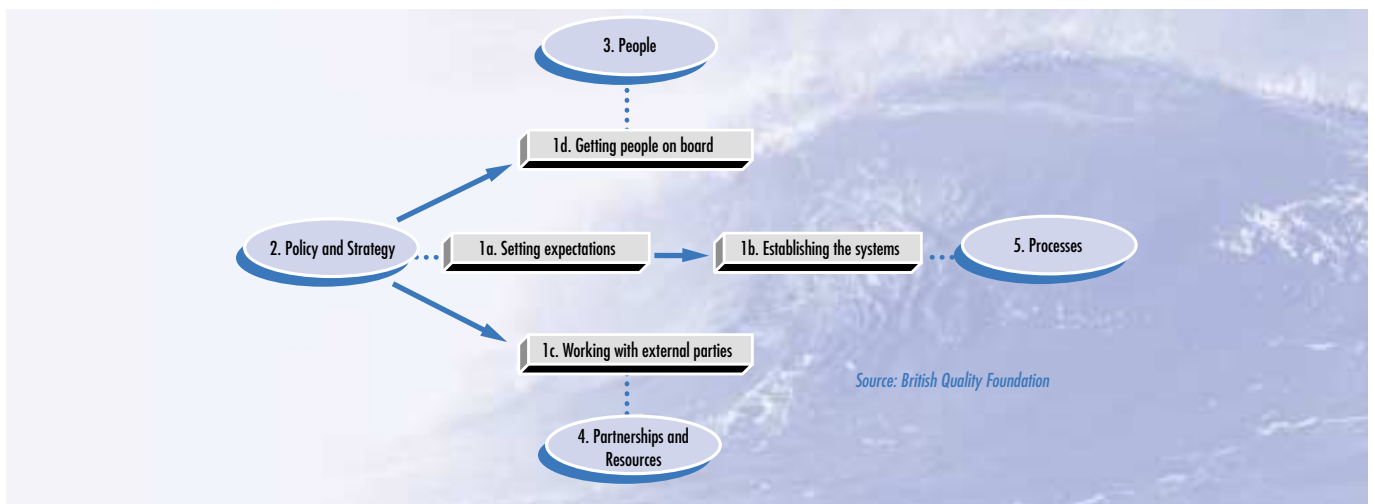


Figure 9 Linkages between the Leadership Criterion (1999 model)

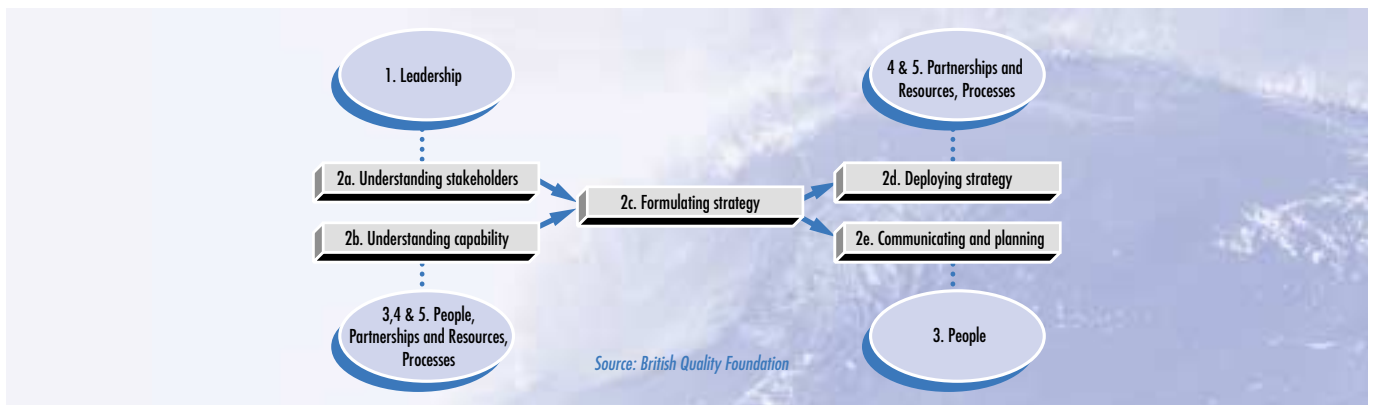


Figure 10 Linkages between the Policy and Strategy Criterion (1999 model)

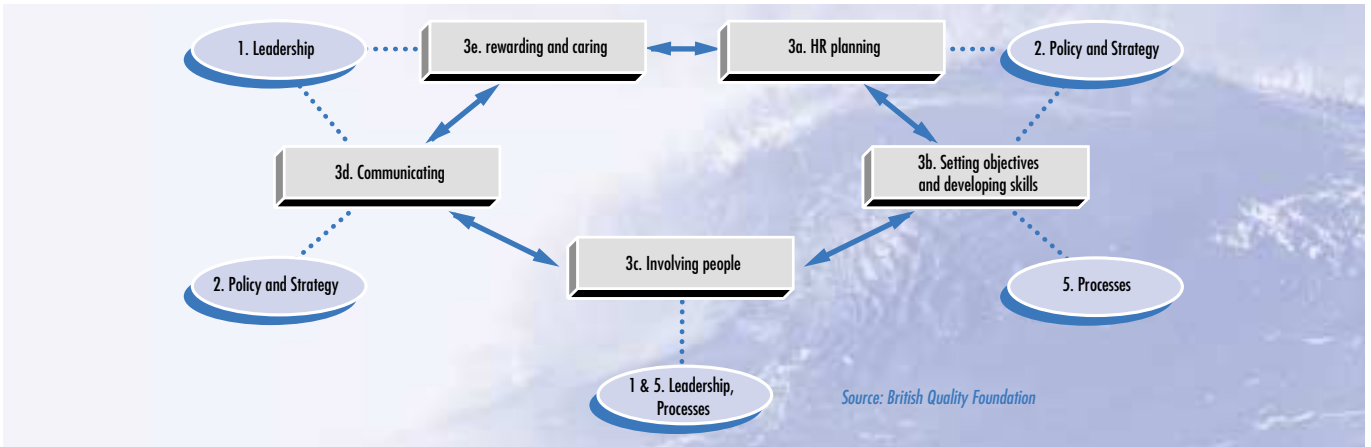


Figure 11 Linkages between the People Criterion (1999 model)

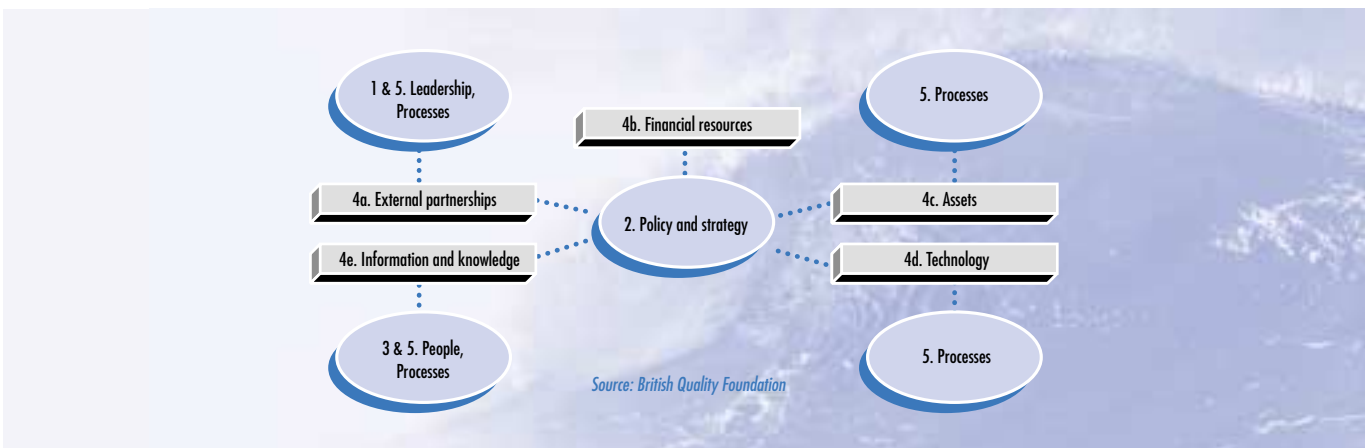


Figure 12 Linkages between the Partnerships and Resources Criterion (1999 model)

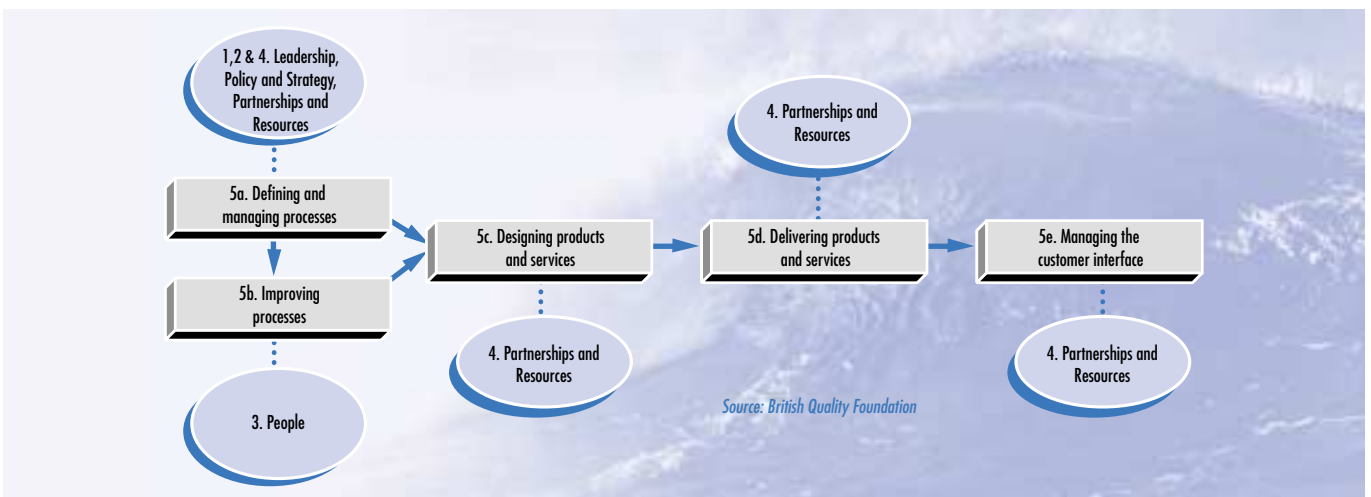


Figure 13 Linkages between the Processes Criterion (1999 model)

6 Understanding and using RADAR Logic

The EFQM Guidelines introduce the so-called **RADAR** logic which consists of the following elements:

.....
Results,

Approach,

Deployment,

Assessment and Review

Thus in performance management terms, the organisation is invited to say by which *Results* it wishes to measure its achievement. These results cover all aspects of performance both financially and operationally and the perceptions of its key stakeholders and will be driven by its overall strategic direction and the goals it wishes to achieve.

The Excellence Model presents an *integrated* approach to performance management in that it provides the basis to assess *how well* the things that it does, for example deployment of strategies, are contributing to results being achieved. All these things that an organisation 'does' are called approaches and key questions that are asked include:

How effective and efficient are the approaches in delivering the required performance?

Are the approaches deployed to maximum extent?

Is deployment carried out in a systematic and structured way?

Is the effectiveness of approaches assessed and reviewed in a systematic way?

Is there evidence of learning through the sharing of good practice and benchmarking?

Does measurement and learning lead to the identification and prioritisation of specific improvements?

The performance of the organisation is also assessed in terms of the *results* that are achieved and key questions that are asked include:

Do the results comprehensively measure what is important to customers and other key stakeholders?

Do the results demonstrate positive trends against target?

Do the results show good comparisons against external organisations that can be called best in class?



Figure 14 RADAR Logic

Is there evidence that the results are caused by approaches?

Within the Excellence Model, the results that are considered for the Customer, People and Society criteria fall into two categories:

Perception Measures e.g. student satisfaction, staff satisfaction and society impact derived from surveys. Typically these are called *lagging indicators*.

Performance Indicators e.g. student retention, student complaints, staff training outcomes, staff turnover, staff sick absence. Typically these are *leading indicators*.

In the Key Performance Results Criterion, results also fall into two categories:

Performance Outcomes e.g. financial performance, research income, market share, audit results.

Performance Indicators e.g. process performance (outputs, cycle times, defect or error rates, productivity, time to market, innovations), supplier performance, return on assets, building utilisation, utility consumption, royalties, patents, sharing and use of knowledge.

RADAR was originally designed as the scoring matrix for the Excellence Model, with percentages assigned in each of the four areas shown. It is now used more widely not just for scoring, but also as a way of evaluating, validating and enhancing the information and evidence presented in a range of arenas. It encourages the rigorous analysis of information in terms of whether:

- Trends, targets, comparisons, causes, and scope for all results have been established.
- Approaches (things that happen – usually strategic rather than operational) have been identified which are sound and well integrated.
- Each of the approaches has been deployed systematically and implemented into the system of the organisation – becoming embedded as a way of working in all relevant areas.
- Assessment and review of each approach is undertaken with a framework for robust measurement, learning and improvement in place, which demonstrates continuous improvement.

In practice RADAR can be used in a range of ways, such as:

The principles can be used to ask questions:

- when developing business plans
- when building evidence for external/internal audits
- when writing bid documents
- when considering proposals for new courses etc.

It can be used to evaluate experiences:

- student and staff experiences in particular areas
- personal experience/feedback
- team feedback

A score can be derived using RADAR following a self-assessment by:

- providing critical evaluation of evidence
- giving a benchmark score

7 The Excellence Model and other management models and tools

A number of studies and comparisons have been undertaken between the Excellence Model and other management models and tools. These have shown that the Excellence Model is complementary to tools such as liP and Charter Mark and also the industry standard, ISO. There are examples from the work of the *Good Management Practice* GMP143 Programme where it has been shown that these tools can be seen as approaches that are embedded within an overall framework for Excellence. Figure 15 shows how these tools map onto the nine criteria of the Model. Further information is provided in the publication 'Linking the Excellence Model to other Management Models and Tools' (<http://excellence.shu.ac.uk>).

The learning from this comparative study and from the work of the GMP143 Consortium has been as follows:

- The Balanced Scorecard is in widespread use across both the private and public sectors in Europe.
- The EFQM Excellence Model® includes the essential elements of the Balanced Scorecard philosophy and its application. In particular the Results criteria are in themselves a form of balanced scorecard. The Enabler criteria include the elements of strategic application of the Balanced Scorecard.
- Organisations progress in terms of maturity to use the Balanced Scorecard as an approach within the overall application of the EFQM Excellence Model®. This can provide a powerful focus for strategic management and the development of an integrated performance measurement and management framework. There is therefore significant potential for the use of the Balanced Scorecard within the application of the Excellence Model as a tool to enhance Integrated Performance Management.
- Frameworks of measurements or key performance indicators are in a relatively early stage of development in the HE sector. This is in major part due to a lack of understanding of stakeholder needs – particularly regarding student experience.
- Most universities now carry out some form of student experience or satisfaction survey but fewer carry out staff experience surveys. Even fewer make any attempt to measure the perception of the wider communities they serve.
- There is significant potential to develop the business process perspective.

Excellence Model	BSN EN ISO 9000: 2000	Investors in People	Charter Mark	BSN ISO 14000
Enablers				
Leadership	◆◆◆	◆◆◆	◆◆	◆◆
Policy and Strategy	◆◆◆	◆◆◆	◆◆◆	◆◆◆
People	◆◆◆	◆◆◆◆	◆◆◆	◆
Partnerships & Resources	◆◆◆	◆◆	◆◆◆	◆◆◆
Processes	◆◆◆◆	◆◆	◆◆	◆◆◆
Results				
Customer Satisfaction	◆◆◆	◆◆	◆◆◆◆	◆◆
People Satisfaction	◆◆	◆◆◆◆	◆◆	◆
Impact on Society	◆◆	◆	◆	◆◆◆◆
Key Performance Results	◆◆	◆◆◆	◆◆◆◆	◆◆

Critical = ◆◆◆◆ Secondary = ◆◆◆ Indirect = ◆◆ Not addressed = ◆

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Figure 15 Comparison of the Excellence Model and other management models and tools

8 The EFQM Excellence Model® - HE Version

The following pages give an interpretation of the Public and Voluntary Sector (2003) Model in a Higher Education context. The examples given are not intended to be exhaustive, but are merely suggestions of good practice that have been implemented elsewhere.

CRITERION 1: LEADERSHIP

Excellent leaders develop and facilitate the achievement of the mission and vision, develop values required for long term success and implement these via appropriate actions and behaviours, and are personally involved in ensuring that the University's management system is developed and implemented. During periods of change they retain a constancy of purpose. Where required, such leaders are able to change the direction of the University and inspire others to follow.

1a Leaders develop the mission, vision, values and ethics, and are role models of a culture of Excellence

Areas that could be analysed include how:

- the University's mission and vision are developed and whether they are understood by all stakeholders
- role modelling ethics and values are developed, communicated and implemented at all leadership levels, to support the creation of the organisation's culture
- the effectiveness of all leaders within the University is reviewed, and how this information is acted upon to improve the effectiveness of leaders and influence future leadership requirements
- leaders are *personally* and *actively* involved in improvement activities either at a University-wide or local level
- leaders stimulate and encourage empowerment, creation and innovation e.g. through changing team/University structures to encourage cross-functional working, funding learning, supporting improvement activities etc.
- encouragement and support is given for leaders to engage with and act upon the learning from training and other learning activities
- improvement activities are suitably prioritised and managed
- leaders actively stimulate and encourage collaboration and partnership working *within* the University.

1b Leaders are personally involved in ensuring the University's management system is developed, implemented and continuously improved

Areas that could be analysed include how:

- the University's structure is aligned to support the delivery of its policy and strategy
- a system for managing processes across the University is developed and implemented
- clear ownership for University wide processes is established and maintained
- a process for the development, deployment and updating of policy and strategy is developed and implemented
- an effective process for governance is in place which is developed and implemented
- a process for the measurement, review and improvement of a balanced set of key results is developed and implemented
- processes for stimulating, identifying, planning and implementing improvements to all enabling approaches are developed and implemented.

1c Leaders are involved with and interact with customers, partners and representatives of society

Areas that could be analysed include how:

- leaders meet, understand and respond to the needs and expectations of students, governing bodies, funding bodies, staff internal to the University in other areas, and other stakeholders
- partnerships are established within and outside the University, as well as within and outside the Education sector
- leaders establish and participate in joint improvement activities within and outside the University
- individuals, teams and groups of stakeholders are recognised by leaders for their contribution and loyalty
- leaders participate or are involved with professional organisation activities, including active involvement at conferences and seminars, particularly promoting and supporting Excellence
- activities that aim to improve the environment and the University contribution to the local community and the wider society are encouraged by leaders, with the view to respecting the rights and interests of future generations.

1d Leaders motivate, support and recognise the University's people, and nurture a culture of Excellence

Areas that could be analysed include how:

- University's mission, vision, values, policy and strategy, plans, objectives and targets is personally communicated by leaders to all staff
- leaders are accessible and actively listen to and respond inspirationally to staff at all levels of the University structure
- staff are actively encouraged, helped and supported by leaders to achieve their plans, objectives and targets for the benefit of both individuals and the University
- staff are encouraged and supported by leaders to participate in improvement activities, particularly cross-team working
- leaders recognise both team and individual efforts, at all levels within the University, in a timely and appropriate manner
- equality of opportunity and diversity in all aspects of University life is actively encouraged and supported by leaders.

1e Leaders identify and champion organisational change

Areas that could be analysed include how:

- all leaders understand the internal and external drivers for change, and their implications
- leaders are proactive in understanding and selecting changes that need to be made within the organisation, to the organisation framework or make-up, and the external relationships that the organisation needs to alter to drive or support change
- leaders are wholly involved in driving forward and developing change plans
- the resources and investments needed to support change are secured by leaders
- the risks associated with change, and the effective delivery of the overall change programme are analysed and managed by leaders
- change plans and the reasons for them are well communicated to staff and other stakeholders by leaders, with opportunity for feedback and input provided
- leaders support and enable their managers and staff to manage the transition and change process
- effectiveness of changes is measured and reviewed by leaders, who share the knowledge gained, and learning from the experience.

CRITERION 1: LEADERSHIP

Excellent leaders develop and facilitate the achievement of the mission and vision, develop 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. During periods of change they retain a constancy of purpose. Where required, such leaders are able to change the direction of the organisation and inspire others to follow.

Examples of approaches that demonstrate achievement of this include:

- Senior leaders providing clear leadership direction and direction setting by producing a vision, mission and values statement
- Leaders at all levels exhibit role modelling behaviour by sharing, communicating and encouraging feedback from staff at all levels
- Taking active responsibility for improvement projects, and involving a cross-section of staff – to encourage and develop learning and role model involvement and empowerment
- Active leadership engagement with training and learning activities. This helps to role model the importance of personal development and enhancement, supports the development and enhancement of leadership skills, and could be used to support other staff and student development work, e.g. through mentoring etc.
- Policy of cross-team working – within specific planning units, across planning units, and across the University
- The development, engagement and implementation by *all* leaders of a code of conduct (linked to the University's core values). This should support the definition of leadership style, delegation, communication, listening, motivation and empowerment of staff.

Examples of approaches that demonstrate achievement of this include:

- Leaders being personally and directly involved in the process to review and improve the University's management system, whilst including a cross-section of opinion from other staff
- Ownership of the process management system by senior managers
- Ownership of agreed targets, measures and milestones by senior managers at all levels through the appraisal process, in order to track and collate evidence of actions which have made improvements
- Development and ownership of a process for the review, development and evolution of policy and strategy
- Own, drive and actively engage in self-assessment and review activities, including ownership and implementation of actions through strategic and operational planning
- Engagement by leaders in customer and supplier feedback groups to gain direct insight into changes that might be needed to the management system.

Examples of approaches that demonstrate achievement of this include:

- Pro-active partnership policies (strategic and local) which support the future policy and strategy of the University
- Leaders taking responsibility for the pro-active management of specific partnering relationships
- Direct involvement in customer and supplier forums/meetings
- Policy/guidelines to encourage membership of appropriate regional/national organisations for all leaders to follow – linked to the appraisal process
- Active participation in conferences and seminars
- Identification and ownership of key improvement activities as part of the business planning process
- Customer contact policy – e.g. senior/middle managers spend time with a customer for an allocated number of days per year
- Society liaison guidelines to support work with and in the community – linked to appraisal
- Executive's sponsor scheme – where a senior manager works with a specific part of the community.

Examples of approaches that demonstrate achievement of this include:

- Personal, open and direct communication of mission, ethics, principles and values in a simple way (as part of a co-ordinated communications strategy)
- All leaders at all levels employing an open door policy for all staff
- Recognition of staff via the staff appraisal system
- Listening and learning – sharing experiences, learning from each other and taking action
- Recognition/reward scheme (financial and non-financial) including a managers and staff guide to ensure that expectations are managed
- 'Breakthrough team' resource – supported and championed by senior managers of projects that will facilitate improvements
- Suggestion scheme, with action taken and feedback given to staff
- Walking-the-job/walkabouts – show support and recognition for staff and helps to break down hierarchical barriers
- Coaching/mentoring scheme
- 'Thank you' policy.

Examples of approaches that demonstrate achievement of this include:

- Personal responsibility taken for the development of excellence principles with the organisation
- All leaders at all levels take responsibility for the development of their capabilities and competencies in management as well as academic practices
- Acceptance and role modelling of change analysis and openness to change at a strategic level
- Appointment of 'change agents' or 'ambassadors of change' who work closely with leaders at all levels to plan and implement change effectively
- Personal and inclusive approach to communication used with staff and other stakeholders, which promotes dialogue, and enables direct personal and immediate feedback
- Developing a change programme which concentrates on both the structural change of the fabric of the organisation *and* the cultural needed to drive and support this within the organisation
- Identifying, recognising, appreciating and drawing on existing best practice within the organisation within any change programme developed
- Having clearly defined outcomes set at the beginning against which performance and effectiveness can be measured.

CRITERION 2: POLICY AND STRATEGY

Excellent Universities implement their mission and vision by developing a clear stakeholder focused strategy that takes account of the relevant Education sector and sector trends. Policies, plans, objectives, targets and processes are developed and deployed to deliver the strategy across and through the organisation.

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

Areas that could be analysed include how:

- information is gathered and understood in order to define and segment the market and educational context that the University is operating within, both now and in the future
- the needs and expectations of students, staff, partners, the local community and other stakeholders are understood and anticipated, for those now and those in the future
- developments in education nationally, and the development of other HEI's (including competitors) is understood and anticipated.

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

Areas that could be analysed include how:

- the results and outputs from internal performance indicators or measures are used in the development of policies and strategies
- the results from external assessment and other learning activities are collected and understood
- an analysis of external image and brand awareness amongst current and prospective customer groups
- competitor results and performance is monitored and measured, including how the best in class organisations perform (could be HE and/or non HE)
- social, environmental, legal and political issues are understood and incorporated in strategy development
- the effectiveness of products and services through their life-cycle is analysed and understood
- economic and demographic indicators and information are identified, understood and interpreted
- the impact of new technologies is understood and analysed
- stakeholders ideas and suggestions are analysed and used.

2c Policy and Strategy are developed reviewed and updated

Areas that could be analysed include how:

- policy and strategy is developed to be consistent with the University's mission, vision and values, is based on the needs and expectations of all stakeholders, takes into account information from a wide range of sources, and is underpinned by the concepts of Excellence
- the short and long term needs and expectations of stakeholders are balanced
- short term and long term pressures and requirements on the University are balanced
- contingency planning, risk analysis and scenario plans are developed to address future risks
- present and future opportunities for development, or the identification of areas of competitive advantage are identified and fully considered
- strategic partnerships and alliances are made and managed to support the delivery of policy and strategy
- the University's policy and strategy is aligned with that of other strategic partners as necessary
- policies and strategies reaffirm commitment to existing markets or confirm the requirement to change markets
- the relevance and effectiveness of policy and strategy is evaluated
- critical success factors for the University and for individual parts are identified and analysed
- the effectiveness and relevance of policies and strategies is reviewed and updated.

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

Areas that could be analysed include how:

- a framework for the identification and design of key processes is developed which will support the delivery of the University's policy and strategy
- the key processes are defined, with the identification of stakeholders defined as part of this process
- policy and strategy are communicated and cascaded with all staff, and with other stakeholders, in an appropriate way, with the effectiveness of the communication reviewed and adjusted as necessary
- the effectiveness of this process framework is reviewed in terms of its' ability to deliver the defined policy and strategy
- plans, objectives and targets are aligned, prioritised, agreed and communicated within the University, including being embedded into individual objectives as part of an appraisal process;
- awareness within and outside the University of its' policy and strategy is measured and evaluated
- a University-wide measurement framework enables the tracking and reporting of progress against agreed policy and strategy targets.

CRITERION 2: POLICY AND STRATEGY

Excellent Universities implement their mission and vision by developing a clear stakeholder focused strategy that takes account of the relevant Education sector and sector trends. Policies, plans, objectives, targets and processes are developed and deployed to deliver the strategy across and through the organisation.

Examples of approaches that demonstrate achievement of this include:

- Using survey and market data provided by Marketing or Planning support areas
- Student satisfaction surveys undertaken with the results used to formulate and develop policies and strategies
- Staff satisfaction surveys undertaken with the results used to evolve staff related policies and strategies
- Management involvement at conferences/seminars/networks to gain detailed and current knowledge of market trends and national policy changes
- Monitor government/funding body constraints and initiatives
- 'Think-tank' forum within the University to identify future issues, risks and market trends
- Scorecard approach developed/revised annually as part of the business planning process
- Marketing plans, strategies and competitor analysis to support policy and strategy
- Pro-active approaches to course and consultancy service development based on anticipated future student/customer needs.

Examples of approaches that demonstrate achievement of this include:

- The development of policy and strategy that is informed by a balanced set of performance data (results criterion/KPIs/balanced scorecard)
- Business planning and strategy development
- Engagement of stakeholders as part of strategy development
- Market and competitor information used to inform business plan
- Benchmarking
- Collation and consideration of all audit, assessment and evaluation reports
- Innovation strategy to encourage and stimulate the research, understanding and utilisation of new technologies and/or new ideas.

Examples of approaches that demonstrate achievement of this include:

- Business/annual planning aligned, which at University-wide level aligns with national policy and strategy for the sector, and at local level, aligns with the University-wide mission, vision and values
- Contingency planning and risk analysis as part of planning process, and regular management reviews
- Competitor analysis (as part of strategic marketing planning)
- Critical success factors identified as part of the management process
- Scenario analysis as part of a wider project management approach to management
- Cause/effect/desired state rational employed – assess areas in the plan looking at areas for improvement and improvements that can be taken forward.

Examples of approaches that demonstrate achievement of this include:

- Development of a process orientated approach to business planning
- Process mapping – with clear links to vision, mission and values
- Segmentation and recognition of internal and external facing processes
- Alignment of business plan with policy and strategy and processes through matrix mapping
- University wide communications plan, which includes a cascade system, annual general meetings and Intranet
- Access to all policies and strategies for all staff and selected stakeholders
- Team meetings and away days to support the communication and implementation of both University wide and local policies and strategies
- Appraisal system, which links policy, strategy and the University scorecard (KPIs) to personal objectives, communicating and discussing individuals roles in delivering these broader goals.
- Business planning process – should include a communications strategy
- Training and development programme
- Policy planning days – open to a selection of staff and stakeholders
- External communications through partnership working and external communications strategy.

CRITERION 3: PEOPLE

Excellent Universities manage, develop and release the knowledge and full potential of their staff at an individual, team-based and University-wide level. They care for, communicate, reward and recognise, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the University.

3a People resources are planned, managed and improved

Areas that could be analysed include how:

- human resource policies, strategies and plans are developed
- a representative group of staff are involved with the development of human resource policies, strategies and plans
- human resource plans and the University structure are aligned with the policy and strategy of the University, and how this supports the delivery of policy and strategy through a framework of key processes
- recruitment, career development and succession planning is pro-actively managed
- fairness in terms of employment (including equal opportunities) is ensured for all staff
- staff surveys and other forms of staff feedback are used to inform and improve human resource policies, strategies and plans
- innovative organisation methodologies e.g. flexible team working and high performance work teams, are used to improve the way of working.

3b People's knowledge and competencies are identified, developed and sustained

Areas that could be analysed include how:

- people's knowledge and competencies are identified, classified and matched to the needs of the University
- training and development plans are developed and used to help ensure that staff match present and future capability needs of the University
- individuals are developed, mentored and trained to help them realise their full potential
- individual, team and University-wide learning opportunities are developed, captured and shared
- work experience is used to develop staff
- team skills are developed
- individual and team objectives are reviewed, updated and aligned with University objectives and targets
- staff are helped to improve their own performance through appraisal and other related activities.

3c People are involved and empowered

Areas that could be analysed include how:

- individuals and teams are encouraged and supported to participate in improvement activities
- staff are encouraged and supported to be involved in University activities through in-house conferences, ceremonies and other activities
- opportunities are provided which stimulate involvement and support
- innovative and creative behaviour amongst **all** staff at **all** levels of the University
- managers are pro-actively trained to develop and implement guidelines which empower their staff to take action, providing support for them in a positive and caring way
- staff are encouraged to work together in teams.

3d People within the University have a dialogue

Areas that could be analysed include how:

- communication needs across the University are identified
- internal communication policies, strategies and plans are based on the identified communication needs
- top-down, bottom-up and horizontal communication channels are developed, used and regularly evaluated
- best practice and knowledge is identified and shared throughout the University.

3e People are rewarded, recognised and cared for

Areas that could be analysed include how:

- pay, redeployment, redundancy and other terms of employment are aligned with the University's long term policy and strategy, and Government or governing body policies
- people are recognised in order to promote and sustain their involvement and empowerment
- awareness and involvement in health, safety, the environment and issues of social responsibility is promoted and encouraged
- levels of benefit, such as pension, healthcare, childcare provision etc., are determined and agreed
- recognition of the diversity of different social and cultural backgrounds across the University are celebrated, with a range of social and cultural activities encouraged
- facilities and services, such as flexible working hours, car parking provision etc, are determined and agreed
- resources and services that meet or exceed legal requirements are provided.

CRITERION 3: PEOPLE

Excellent Universities manage, develop and release the knowledge and full potential of their staff at an individual, team-based and University-wide level. They care for, communicate, reward and recognise, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the University.

Examples of approaches that demonstrate achievement of this include:

- University-wide human resource policies and procedures aligned to strategic objectives/corporate plan
- Human Resource Review Committee - includes staff in the development of policies and strategies
- Staff forums/meetings to enable staff contributions
- Involvement of Unions through consultative meetings
- Investors in People (UK) – some areas meeting the national standard
- University-wide recruitment and selection process
- Personal development and training plans – through annual appraisals
- Staffing strategy aligned with business plan at strategic and local levels
- Career development policy – to encourage secondments and work shadowing etc.
- Equal opportunities policy
- Staff experience surveys – for feedback on human resource issues, policies and plans
- Vacancy management and succession planning
- Absence management – approach to managing absence rather than reacting to it
- Flexible/cross team working – encouraging learning, personal development and sharing of best practice.

Examples of approaches that demonstrate achievement of this include:

- Staff appraisal – where training is identified which relates to local and University-wide objectives, and training and development plans are produced
- Skills architecture – for all staff covering professional, academic and technical requirements
- Internal training encouraged and promoted through internal training courses provided
- Minimum spend per head on training for all staff – encouraging ethos of learning and development
- Policy for cross-team working, work experience, secondments, work shadowing, coaching, mentoring etc.
- Team planning and objective setting
- Team building activities encouraged and supported, as well as away days etc.
- Policy for Continuous Professional Development of staff
- External involvement – membership of professional bodies and organisations
- Knowledge database – to capture skills and experience (held locally or centrally).

Examples of approaches that demonstrate achievement of this include:

- Involvement of wide range (and a representative cross section) of staff in the business planning and objective setting process
- General meetings/staff forums which offer true two way communication
- Ideas interchange or forum (locally or centrally) to share ideas, best practice and to involve others
- Cross-team working as standard practice
- Involvement in improvement projects within and across internal 'boundaries' and team structures
- Delegation of budgets and decision making – empowerment and authority to make decisions
- Presentation ceremonies – individual and/or team, financial and/or non-financial
- Self-managed workload planning – work/life balance based on trust and empowerment of staff to get on with their job appropriately.

Examples of approaches that demonstrate achievement of this include:

- Internal communications plan – based on needs identified by staff
- Business planning process – which can help to identify key themes for communication
- Appraisal process can identify key themes, and feedback an areas of weakness in the process
- Monthly team briefing system – which is a two way communication process
- Staff forums/general meetings
- Intranet – University-wide staff site, and local intranet sites
- Appropriate use of e-mail
- Notice board use – locally and centrally
- Open door policy by all staff for all staff
- Walk the job policy – to listen, learn, see and be seen
- Cross team/cross University forums for sharing and learning
- University-wide and locally produced internal newsletters
- University-wide and local 'roadshow' events.

Examples of approaches that demonstrate achievement of this include:

- Equal pay and conditions for all staff linked to University-wide policy and strategy
- Clear human resource policies and guidance on redundancies, redeployment, maternity rights etc.
- University-wide/local recognition scheme – to recognise and award achievement
- Compulsory health and safety training for all staff
- Bonus scheme – which is fair and equitable
- Thank you policy – for all staff at all levels
- Staff common area provided
- Staff discount to sports and leisure facilities (internal or external)
- No smoking policy
- Flexible working policy – work/life balance – encourages trust and empowerment
- Long service award and recognition
- Staff rates for childcare provision (internal or external)
- Environmental policy communicated to all staff
- 'New staff' welcome pack.

CRITERION 4: PARTNERSHIPS AND RESOURCES

Excellent Universities plan and manage internal and external partnerships, suppliers and internal resources in order to support its policy and strategy and the effective operation of its processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the University, the community and the environment.

4a Internal and external partnerships are managed

Areas that could be analysed include how:

- key partnerships and strategic partnership opportunities are identified in terms of how they support the development and delivery of current and future University-wide and local policies and strategies
- partnership relationships are structured to create and maximise value for both parties
- partnerships are formed to add value to the internal or external supply or process chain
- cultural compatibility and the sharing of knowledge with partners is ensured
- mutual development and learning is supported
- partnerships help to generate and support creative and innovative thinking
- partnership working creates synergy to improve processes and add value to the customer/supplier chain.

4b Finances and managed

Areas that could be analysed include how:

- financial strategies and resources are developed and implemented, with financial resources delivered through clearly defined processes, which support University-wide policy and strategy
- financial planning, management and reporting is designed to enable a cascading of financial information to stakeholders within and outside the University
- reporting mechanisms are established, used consistently and reviewed regularly
- investment and disinvestment in both tangible and non-tangible assets is evaluated
- financial mechanisms and parameters are used to ensure an efficient and effective resourcing structure
- methodologies for the management of risk to financial resources is managed to a level appropriate to the University
- core governance processes are established and implemented at all appropriate levels of the University.

4c Buildings, equipment and materials are managed

Areas that could be analysed include how:

- a strategy for the pro-active planning and management of the University's buildings, equipment and materials to enable the fulfilment of policies and strategies is developed and maintained
- the maintenance and utilisation of all assets are managed to help improve the total asset life cycle and performance for the benefit of the University and its stakeholders
- the security of all assets are managed and understood
- any adverse effects of the University's assets on the staff, students, community etc. is measured and managed (e.g. health and safety, ergonomics etc.)
- inventories of assets are managed and their use optimised
- the consumption of gas, electricity, water and other utilities is optimised
- waste is reduced and recycled
- global non-renewable resources are conserved
- transportation usage is optimised
- the impact of changes to assets and equipment is assessed in local, national and international terms where relevant.

4d Technology is managed

Areas that could be analysed include how:

- a strategy for pro-actively researching, resourcing and managing new technologies which support the current and future policies and strategies of the University
- alternative and emerging technologies are identified and evaluated in light of policy and strategy, and their impact on the University and society assessed
- the technology portfolio for both administration, teaching and research is managed, including the identification and replacement of out dated technologies
- existing technology is exploited to its full potential
- innovative and environmentally friendly technology is identified and used in support of strategy and policy
- Information and Communications technologies are used to support and improve the effective operation of the University
- technology is harnessed to support improvement & development activities for the University, its students and staff.

4e Information and knowledge are managed

Areas that could be analysed include how:

- a strategy is developed for managing information and knowledge that supports the University's policies and strategies
- information and knowledge requirements of the University are audited, understood and well documented
- information and knowledge is collected, structured and managed in support of policy and strategy
- appropriate access is provided for staff, students and other stakeholders to relevant, useful and timely information and knowledge
- information technology is used to support the internal communication and sharing of information and knowledge
- the validity, integrity and security of information is assured and improved
- unique intellectual property is cultivated, developed and protected in order to maximise value to both the University, staff and students
- staff are encouraged to acquire, increase and use knowledge effectively
- innovative and creative thinking within the University is generated through the use of relevant information and knowledge resources.

CRITERION 4: PARTNERSHIPS AND RESOURCES

Excellent Universities plan and manage internal and external partnerships, suppliers and internal resources in order to support its policy and strategy and the effective operation of its processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the University, the community and the environment.

Examples of approaches that demonstrate achievement of this include:

- University-wide (translated down to local level) internal and external partnership policy – which identifies strategic partners, the relationship with them (now or desired) and the management of these relationships. It should also include potential partners and ways of securing them and internal partnership arrangements. This should be linked directly to policy and strategy
- Supply chain management – through formalised agreements/contracts etc.
- Partnership development programme – sharing experiences, best practice and training/learning opportunities for mutual benefit – value adding
- Partnership exchange programme – sharing and exchange of people and/or resources/equipment for mutual benefit
- Partner forum – to share knowledge and exchange ideas across the University, and with outside partners – encouraging creative thinking
- Engagement of partners in improvement activities.

Examples of approaches that demonstrate achievement of this include:

- University-wide financial strategy and policy
- University-wide, locally managed, business planning process – with one year and five year forecast figures
- Financial management and control framework
- Devolution of budgets
- Authorised budget spend mechanism
- Financial reporting structure
- Performance reviews – half yearly
- Impact analysis – assessing the impact of investment/expenditure on tangible and non-tangible assets
- Risk management – included as part of business planning and business case development.

Examples of approaches that demonstrate achievement of this include:

- Estates Development and Management strategy – linked to University-wide policy and strategy, and customer need (could be part of a local business plan)
- Asset Management strategy – linked to policy and strategy and customer need – linked to planning. Could also include asset security
- Health and Safety policy – recording and reaction mechanism
- Energy saving systems available – e.g. lighting, water etc.
- Recycling policy and system in operation – available for all staff
- Environmental policy shared and understood
- Space planning policy – to ensure optimum utilisation of space
- Information Communication Technology management/policy.

Examples of approaches that demonstrate achievement of this include:

- Co-ordinated technology portfolio management and research/policy – University-wide, and then interpreted and replicated at local level
- Project management approach adopted for technology reviews
- Research and business development activities on an on-going basis
- Business planning process – defines needs and requirements
- Partnership development work can support technology developments
- Course development and preparation exploiting technology where appropriate
- Co-ordinated testing of new technologies across academic and support areas, with University-wide sharing of results
- Cross area working and knowledge transfer.

Examples of approaches that demonstrate achievement of this include:

- University-wide management information systems, which can be adopted and adapted at local level – database/intranet sites to store, retrieve and interrogate data.
- File management system (electronic and/or paper) for internally and externally generated data/information
- Customer (student and others) relationship management database – stores and tracks contact with students and other commercial customer contacts
- Information Technology access strategy which clearly maps how information can be accessed by which group of staff and where they can gain access (work, home, campus, office etc.)
- Student (customer) access database – a system and process clearly defined through which students and other customer groups can access relevant information and data
- Information exchange groups – face to face or web enabled exchange forum
- Comprehensive telecommunications and e-mail system which is understood, accessible and used by all to transfer information in a timely way
- Intellectual property policy to protect and safeguard newly created information/ideas
- Knowledge based management approach – competence centres through which detailed information and data in specific areas can be accessed.

CRITERION 5: PROCESSES

Excellent Universities design, manage and improve processes in order to support its policy and strategy, fully satisfy, and generate increasing value for, staff, students and other stakeholders.

5a Processes are systematically designed and managed

Areas that could be analysed include how:

- the University's key processes (student facing, management and supporting processes) are designed to support the delivery of policy and strategy and enable the delivery of activities that are critical to the University in an efficient and effective way
- process stakeholders are identified so that process interfaces within and outside the University can be resolved, enabling the effective management of end-to-end processes
- a robust process management system is established and used
- systems standards, such as quality management, health and safety, environmental and occupational health, are applied in process management
- process measures are implemented and performance targets are set
- the effectiveness of the process framework and process management system is reviewed in terms of its effectiveness in delivering the University's policies and strategies.

5b Processes are improved, as needed, using innovation in order to fully satisfy and generate increasing value for students, staff and other stakeholders

Areas that could be analysed include how:

- opportunities for improvement, and other changes, both incremental and breakthrough, are identified and prioritised
- performance and perception results and information from learning activities are used to help set priorities and targets for improvement, and help to inform improved methods of operation
- the creative and innovative talents of staff, students and other stakeholders are stimulated to aid incremental and breakthrough improvements
- new process designs, teaching methods, ways of managing the University and the use of new technologies are discovered and applied
- appropriate methods for implementing change are established
- the implementation of new or changed processes are piloted and controlled
- process changes are communicated to staff, students and other stakeholders as necessary
- it is ensured that people are trained to operate new or changed processes prior to implementation
- it is ensured that process changes actually achieved the desired and predicted results.

5c Academic courses, professional services and internal services are designed and developed based on customer needs and expectations

Areas that could be analysed include how:

- market research, student surveys and other forms of feedback are used to determine the needs and expectations of students (and commercial customers) both now and in the future, and establish their current perceptions
- improvements aimed at enhancing provision are anticipated and identified, in line with student's/customer's future needs and expectations
- new courses and services are designed, researched and developed with student, customer and partner input in order to provide added value and to address the needs and expectations of students and other customer groups as appropriate
- the impact and potential of new technologies is anticipated, understood and utilised in the planning of new courses and services
- creativity and innovation is used to develop competitive courses, styles of teaching and new services for current established markets, and for gaining access to new markets
- creativity, innovation and the skills and competencies of internal staff and partners are used to design and develop competitive courses and services.

5d Academic courses, commercial services and internal services are developed and delivered

Areas that could be analysed could include how:

- courses, other professional services and curriculum developments are developed in line with new legislation and educational approaches
- new courses and commercial services are promoted and marketed to existing and potential students/commercial customers
- new courses and commercial services are delivered in a consistent way to students/commercial customers.

5e Student, commercial and internal customer relationships are managed and enhanced

Areas that could be analysed could how:

- day to day student (and other customer) contact requirements are determined and met
- feedback received from day to day contacts is handled and acted upon – including complaints
- a proactive involvement with students (and other customers) is encouraged in order to discuss and address their needs, expectations and concerns
- follow up is undertaken to attain levels of satisfaction with the content and processes of courses and services from the University or parts of the University
- creativity and innovation is maintained within the student (customer) relationship
- partnerships are created, maintained and managed with student and other commercial customer groups in order to add value to future experiences
- regular survey data, and other information from day-to-day contact can be used to enhance student (customer) relationships and satisfaction levels
- customers are advised the best ways to gain the most out of the service that they are receiving.

CRITERION 5: PROCESSES

Excellent Universities design, manage and improve processes in order to support its policy and strategy, fully satisfy, and generate increasing value for, staff, students and other stakeholders.

Examples of approaches that demonstrate achievement of this include:

- Defined, co-ordinated and communicated process management system/framework
- ISO 9000/2003
- Process mapping/process architecture development
- Clearly defined approach for the development of new processes e.g. phased/stepped approach that is common to all process development or review.

Examples of approaches that demonstrate achievement of this include:

- Systematic process improvement system/framework/approach
- Quality/process improvement teams
- Link between processes and the management information system made at strategic level
- Use of process re-engineering techniques
- Process benchmarking
- Structured project management approach to process review
- Activity based costing methods adopted
- Integrated communications strategy.

Examples of approaches that demonstrate achievement of this include:

- Business plans developed based on University-wide strategies and current student/market information
- The life-cycle of academic courses and research topics – used as a framework to assess current and future requirements
- Staff and student perception surveys
- Cross University curriculum design teams
- Annual review of key student (customer) drivers, as part of strategic marketing planning
- Benchmarking
- Service/customer integration framework – assessment of what the customer needs against what is delivered and the requirements for the development or creation of products
- Flexible portfolio approach – allowing students (or other customers) to pick-and-mix dependant upon need
- Customer partnership approach defined and clarified
- Clear two way communication strategy.

Examples of approaches that demonstrate achievement of this include:

- Student (customer) and process centred marketing strategy
- Student partnership policy/well defined Customer Relationship Management approach
- Supplier partnership policy to ensure effective support mechanisms
- Management of enquiries through a central helpdesk
- Co-ordinated communications planning
- Key student/customer advisors or contacts to deal with specific enquiries
- University governance compliance.

Examples of approaches that demonstrate achievement of this include:

- Customer Relationship Management strategy – including customer relationship matrix
- Student 'key contacts' or mentors to advise and support with day to day contact
- Customer/market segmentation policy/process
- Complaints policy/procedure
- Central help desk
- Student forums
- Commercial customer forums
- Student and staff surveys conducted, analysed and action plans produced
- Pro-active and re-active student (customer) enquiry management system.

CRITERION 6: CUSTOMER RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to their students and other commercial customers.

6a Perception Measures – measures of students and other customers' perceptions of the University

Areas that could be analysed include:

Overall image, e.g.

- how easy it is to gain information from the University and its staff
- how effective and appropriate communication is
- how transparent the University is in its affairs
- how flexible the University and staff are at meeting customer needs
- whether the University and staff are pro-active in supporting students and other customers
- how responsive to customer needs the University is
- how fair, courteous and understanding staff are when dealing with students and other customers

Teaching, learning, research and commercial services, e.g.

- quality of teaching and learning provision
- consistency of courses, teaching and other services
- innovatively designed and delivered courses
- perceived value – financial and learning

- relevance of course or service received
- quality of support services provided

Support and guidance, e.g.

- capabilities and behaviour of staff
- advice and support received
- marketing literature, curriculum and lecture notes etc.
- how complaints have been handled
- how quickly and effectively staff have responded to customer enquiries/requests and other needs
- whether technical support has been timely and helpful

Loyalty, e.g.

- whether students would return for further study, or commercial customers give repeat business
- whether students and commercial customers take up courses/services from other parts of the University – cross-selling
- whether courses/services are recommended to others.

6b Performance Indicators – internal measures to the University, to monitor, understand, predict and improve courses and other services to customer groups in order to achieve its planned performance

Areas that could be analysed include:

Overall image, e.g.

- number of awards, or nominations for awards, presented to the University by customer groups
- amount of press coverage

Teaching, learning, research and commercial services, e.g.

- comparisons against competitors
- value for money statistics
- number of courses or services that do not deliver to target
- number of degrees awarded
- performance against customer based objectives
- actual number and type of customer complaints
- length of time to get a new course or service up and running
- use of innovation in course and service development and delivery
- improvement of logistical indicators, such as faster mail deliveries

Support and guidance, e.g.

- number of complaints, compliments and commendations received
- response rates to enquiries

Loyalty, e.g.

- recruitment numbers
- student retention/commercial customer retention
- repeat business: numbers of contract renewals for research or additional service requests e.g. conferences etc.
- value of orders from commercial customers
- value of grants gained from student or other funding sources
- number of students lost, or lost commercial business.

CRITERION 6: CUSTOMER RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to their students and other commercial customers.

Possible ways of measuring these results include:

- Student perception surveys
- Commercial customer surveys
- Student focus groups
- Customer 'account' meetings
- Exit interviews/closure or review meetings
- Profile of complaints and compliments

Possible ways of measuring these results include:

- Management information systems
- Database management and interrogation
- Intranet/web enabled customer interface mechanism
- Specific monitoring/mechanisms for specific customer groups e.g. conference customers.

CRITERION 7: PEOPLE RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to their people.

7a Perception Measures - measures of what staff perceptions are of the University

Areas that could be analysed include:

Areas relating to staff motivation, e.g.

- access to career development opportunities
- access to opportunities for learning and further development
- how effective and appropriate communication is
- whether staff feel empowered to make decisions and take on responsibility in a supportive environment
- equality of opportunity
- involvement in appropriate activities and processes
- recognition for achievement
- target setting and appraisal
- organisation-wide, and team or planning unit vision, mission and values

Areas relating to staff satisfaction, e.g.

- overall job satisfaction

- satisfaction with the workplace/environment/conditions
- administration and handling of staff enquiries e.g. payment of expenses, handling of training courses, complaints/grievance handling etc.
- pay and benefits
- recognition and reward
- job security
- the management of change
- health and safety
- relationships with other staff, including peers and managers
- whether actions are taken forward, and decisions are fed back
- team working
- environmental policies – their role and impact
- the Universities role in the local community.

7b Performance Indicators – internal measures to the University, to monitor, understand, predict and improve the performance of staff, predict their perception and revise any services accordingly

Areas that could be analysed include:

Staff achievements, e.g.

- change in competency profile/requirements of the University from current state towards desired state
- success rates of training and development in meeting objectives set, and having a positive impact on the individual's and/or teams performance
- productivity in terms of research grants gained; papers written/delivered; targets from appraisal met or exceeded etc.

Motivation and involvement, e.g.

- number of staff involved in improvement activities
- number of responses to a staff suggestion scheme
- involvement and take up of training and development opportunities
- response rates to surveys
- numbers of recognition's of achievements

Satisfaction, e.g.

- absenteeism and sickness levels
- working hours
- accident and incident levels – actual and potential reported
- grievances
- recruitment trends
- staff turnover rates
- use of facilities (e.g. sports facilities, crèche or nursery facilities, catering outlets etc.)

Services provided to the University's staff, e.g.

- accuracy of staff administration (e.g. payroll, contracts etc.)
- effectiveness and timeliness of internal communication
- speed of response to staff enquiries
- evaluation of training and development received.

CRITERION 7: PEOPLE RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to their people.

Possible ways of measuring these results include:

- Staff perception surveys
- Appraisals (including 360° feedback)
- Evaluation and feedback mechanisms within University-wide Communications plan
- Team/school/department meetings
- Away days
- Focus groups
- 1:1 meetings
- Induction feedback sheets (local or central) completed after 3 months in post.

Possible ways of measuring these results include:

- Qualifications gained/papers written or published/guest speakers at conferences
- Feedback or evaluation forms to ensure training is meeting objectives
- Number of days per person, or funding spent per head, for training and development activity
- Suggestions received in a suggestion scheme (possibly also quality of suggestions)
- Number of days off sick/unauthorised absence
- Number of accidents recorded in accident book/number of incidents, near misses etc.
- Number of staff/teams recognised each month etc.
- Number and amount of recruitment/cost per post etc.
- Turnover trends/type
- Results from exit interviews
- Number of grievances, number of cases upheld etc.
- Take up of facilities offered – as a percentage of overall use
- Speed of response/number of requests for advice etc.
- Team and personal error rates, linked to internal or external complaints, number of documents returned requiring amendment etc.

CRITERION 8: SOCIETY RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to local, national and international society.

8a Perception Measures - measures of what the local community's perceptions are of the University

Areas that could be analysed include:

Image, e.g.

- how responsive the University is in responding to contacts from the community
- the view of the community in terms of whether the University is a good employer
- whether the University is viewed as a responsible member of the community

Performance as a responsible citizen, e.g.

- positive and negative impacts of the University and its students on the community of Sheffield
- openness and transparency with the community and local agencies about relevant planned activities e.g. new buildings etc.
- equality of opportunity for job and tender opportunities
- impact on the local, regional and national economies, the wider society
- relationships with relevant authorities, groups and networks
- supporting our students to respect the community in which they are living
- ethical behaviours

Involvement in the community, e.g.

- encouraging our students to actively engage in supporting the local community and local community groups
- involvement in the education and training of others in the community, through taught courses and/or local business development work
- availability of University facilities for use by the community e.g. sports facilities, catering, medical facilities, rooms to book etc.
- voluntary work by staff across all areas of the community
- reduction and prevention of noise and nuisance from student residences and other buildings
- reduction of health risks and accidents
- appropriate signage and lighting
- car parking allocation policy to reduce nuisance from staff and student cars
- environmental performance evaluation/lifecycle evaluation.

Reporting on activities to assist on the preservation and sustainability of resources, e.g.

- environmentally friendly use of transport encouraged for both staff and students
- thorough assessment of environmental and ecological impact
- reduction and appropriate elimination of University waste
- recycling, including recycling back into the community old technologies where appropriate, e.g. computers
- energy efficient schemes to reduce use of utilities.

8b Performance Indicators - internal measures to the University, to monitor, understand, predict and improve the performance of the University, predict the perception of the local community, and revise any services accordingly

Areas that could be analysed include:

- how changes in employment levels are handled
- the amount of press coverage received
- number of complaints received from the local community
- number of accolades or awards given by the community to the University
- contracts awarded to local companies

- number of local people enrolled onto University courses
- number of local bookings of University facilities
- percentage of time and/or money given to local/national community or charitable causes
- amount of productive twinning and exchange work undertaken
- number of local people involved in supporting University work on a voluntary basis.

CRITERION 8: SOCIETY RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to local, national and international society.

Possible ways of measuring these results include:

- Society survey, which includes looking at the wider community, and whether the University has discharged its policy on Corporate Social Responsibility
- Focus groups.

Possible ways of measuring these results include:

- Management information systems
- Databases
- Impact analysis
- Newsletter encouraging two way information flow
- Database of community involvement by staff.

CRITERION 9: KEY PERFORMANCE RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to the key elements of their policy and strategy and planned performance.

9a Key Performance Outcomes – these measures are key results planned by the University to achieve its purpose and objectives

Areas that could be analysed include:

Financial outcomes such as:

- meeting budgets
- achieving government or funding agency targets
- achieving surplus
- cost of planning unit as % of University budget
- % savings – annual and cumulative
- space utilisation
- % filled courses
- % non core income generated – from other grants and income

Non financial outcomes such as:

- market share (for course or service) – could be internal or external market

- time to market – new courses, products, services, facilities etc.
- pass rates of students/success rates of contracts
- number of student enquiries
- conversion rate of enquiries to enrolment, or commercial sales
- partnership satisfaction
- efficiency
- compliance with legislation and codes of practice
- number of product development ideas
- self-assessment excellence
- results of statutory audits and inspections
- process performance.

9b Key Performance Indicators – operational measures used to monitor, understand, predict and improve likely Key Performance Outcomes

Areas that could be analysed include how:

Financial, e.g.

- financial management by period/month
- income generated from external sources
- asset management
- debt management
- assessment of depreciation of capital and goods
- project costs
- maintenance costs

Non Financial, e.g.

- the performance of all key and sub-processes
- how long it takes to develop, accredit and introduce a course
- process improvement times

- supplier/partnership performance
- number and value added or partnerships
- product and service solutions generated in partnership with others – either internally or externally
- recognition of partnership contributions
- building/space utilisation
- defect/reject rates of equipment and consumables
- information technology improvements in productivity and efficiency
- number of patents approved/IP retained and recognised
- accessibility and integrity of knowledge
- value of intellectual capital
- sharing and use of knowledge within the University.

CRITERION 9: KEY PERFORMANCE RESULTS

Excellent Universities comprehensively measure and achieve outstanding results with respect to the key elements of their policy and strategy and planned performance.

Possible ways of measuring these results include:

- Management information systems
- At source data collection
- Student information database
- Process review systems/evaluation
- Surveys
- Self-assessment using the EFQM Excellence Model®
- Internal and external quality audit processes.

Possible ways of measuring these results include:

- Management Information systems
- Financial management systems
- Process review systems/evaluation
- Funding body review mechanisms
- Internal audit systems.

Scoring using the EFQM Excellence Model[®] Higher Education Version

1 Scoring – the Measurement of Continuous Improvement

The RADAR scoring matrix is the evaluation method used to score applications for the European Quality Award and most national quality awards. It is also used within organisations to derive a score following a self-assessment activity. It can be used for benchmarking and improvement purposes.

The Excellence Model has within it weighted scoring allocations. These weights were established in 1981 as a result of wide consultation across Europe. These weights have been widely accepted and have been reviewed from time to time, including most recently in 2002. Generally each criterion part is allocated equal weight within that criterion, with the exception of 6a (which takes 75% of the allocated points), 7a (which also takes 75% of the points) and 8a (which takes 25% of the points).

The first step to scoring is to allocate a percentage score to each criterion point. This is achieved by considering each of the elements and attributes of the matrix for each criterion part. The scoring summary sheet is then used to combine the percentage scores awarded, factor in the weighting, and then derive a score on a scale of 0 – 1000 points.

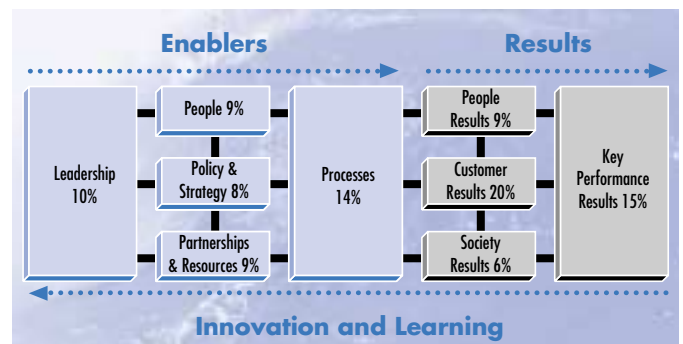


Figure 16 The EFQM Excellence Model[®] with percentage scores shown

2 RADAR Scoring Matrix - Results

Elements		0%					25%					50%					75%					100%				
Results	Trends <ul style="list-style-type: none"> trends are positive <i>AND/OR</i> there is sustained good performance Targets <ul style="list-style-type: none"> targets are achieved targets are appropriate Comparisons <ul style="list-style-type: none"> results compare well with others <i>AND/OR</i> results compare well with acknowledged 'World Class' Causes <ul style="list-style-type: none"> results are caused by approach 	No Results or anecdotal information					Positive trends and/or satisfactory performance for about ¼ of results over at least 3 years					Positive trends and/or sustained good performance for about ½ of results over at least 3 years					Positive trends and/or sustained good performance for about ½ of results over at least 3 years					Positive trends and/or sustained good performance for all results over at least 3 years				
	Total			0	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	80	85	90	95	100		

Elements		0%					25%					50%					75%					100%				
	Scope <ul style="list-style-type: none"> results address relevant areas results are appropriately segmented e.g. by customer, by business 	No Results or anecdotal information					Results address ¼ of relevant areas and activities					Results address ½ of relevant areas and activities					Results address ¾ of relevant areas and activities					Results address all of relevant areas and activities				
	Total			0	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	80	85	90	95	100		

3 RADAR Scoring Matrix - Enablers

Elements		0%					25%					50%					75%					100%					
Approach	Sound <ul style="list-style-type: none"> • approach has a clear rationale • approach has defined processes • approach focuses on stakeholder needs 	No evidence or anecdotal					Some evidence					Evidence					Clear evidence					Comprehensive evidence					
	Integrated <ul style="list-style-type: none"> • approach supports policy and strategy • approach is linked to other approaches as appropriate 																										No evidence or anecdotal
Total				0	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	80	85	90	95	100			

Elements		0%					25%					50%					75%					100%					
Deployment	Implemented <ul style="list-style-type: none"> • approach is implemented 	No evidence of implementation					Implemented in ¼ of relevant areas					Implemented in ½ of relevant areas					Implemented in ¾ of relevant areas					Implemented in all relevant areas					
	Systematic <ul style="list-style-type: none"> • approach is deployed in a structured way with the method used for deployment being planned and executed soundly 																										No evidence or anecdotal
Total				0	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	80	85	90	95	100			

Elements		0%					25%					50%					75%					100%																														
Assessment & Review	Measurement <ul style="list-style-type: none"> • regular measurement of the effectiveness of the approach is carried out • regular measurement of the effectiveness of the deployment is carried out • measures selected are appropriate 	No evidence or anecdotal					Some evidence					Evidence					Clear evidence					Comprehensive evidence																														
	Learning is used to: <ul style="list-style-type: none"> • identify best practice and improvement opportunities 																										No evidence or anecdotal					Some evidence					Evidence					Clear evidence					Comprehensive evidence					
	Improvement Output from measurement and learning is analysed and used to: <ul style="list-style-type: none"> • identify, prioritise, plan and implement improvements 																																																			No evidence or anecdotal
Total				0	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	80	85	90	95	100																												

4 Scoring Summary Sheet

1. Enablers Criteria

Criterion Number	1 %	2 %	3 %	4 %	5 %
Criterion Part	1a <input type="text"/>	2a <input type="text"/>	3a <input type="text"/>	4a <input type="text"/>	5a <input type="text"/>
Criterion Part	1b <input type="text"/>	2b <input type="text"/>	3b <input type="text"/>	4b <input type="text"/>	5b <input type="text"/>
Criterion Part	1c <input type="text"/>	2c <input type="text"/>	3c <input type="text"/>	4c <input type="text"/>	5c <input type="text"/>
Criterion Part	1d <input type="text"/>	2d <input type="text"/>	3d <input type="text"/>	4d <input type="text"/>	5d <input type="text"/>
Criterion Part	1e <input type="text"/>		3e <input type="text"/>	4e <input type="text"/>	5e <input type="text"/>
Sum of parts	<input type="text"/> ÷ 5	<input type="text"/> ÷ 4	<input type="text"/> ÷ 5	<input type="text"/> ÷ 5	<input type="text"/> ÷ 5
Score awarded	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Note: The score awarded is the arithmetic average of the % scores for the criterion parts. If applicants present convincing reasons why one or more parts are not relevant to their organisation it is valid to calculate the average on the number of criterion addressed. To avoid confusion (with a zero score) parts of the criteria accepted as not relevant should be entered "NR" in the table above.

2. Results Criteria

Criterion Number	6 %	7 %	8 %	9 %
Criterion Part	6a <input type="text"/> x 0.75= <input type="text"/>	7a <input type="text"/> x 0.75= <input type="text"/>	8a <input type="text"/> x 0.25= <input type="text"/>	9a <input type="text"/> x 0.50= <input type="text"/>
Criterion Part	6b <input type="text"/> x 0.25= <input type="text"/>	7b <input type="text"/> x 0.25= <input type="text"/>	8b <input type="text"/> x 0.75= <input type="text"/>	9b <input type="text"/> x 0.50= <input type="text"/>
Score awarded		<input type="text"/>	<input type="text"/>	<input type="text"/>

3. Calculation of Total Points

Criterion	Score Awarded	factor	Points Awarded
1 Leadership	_____	x 1.0	_____
2 Policy and Strategy	_____	x 0.8	_____
3 People	_____	x 0.9	_____
4 Partnerships and Resources	_____	x 0.9	_____
5 Processes	_____	x 1.4	_____
6 Customer Results	_____	x 2.0	_____
7 People Results	_____	x 0.9	_____
8 Society Results	_____	x 0.6	_____
9 Key Performance Results	_____	x 1.5	_____
Total points awarded			=====

- Enter the score awarded to each criterion (of both sections 1 and 2 above).
- Multiply each score by the appropriate factor to give points awarded.
- Add points awarded to each criterion to give total points awarded for application.

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