APO Centre of Excellence for Business Excellence

BUSINESS EXCELLENCE ASSESSOR TRAINING

Acknowledgements

The APO-COE for Business Excellence thank the Baldrige Performance Excellence Program and acknowledge the use of the 2010 Examiner Preparation Facilitator Guide, the Baldrige Performance Excellence Program at the National Institute of Standards and Technology in Gaithersburg, MD.

Contents

1. Course Objectives

At the end of the training, the assessor will be able to:

1. Apply the current criteria requirements of the business excellence framework to independently score an application;
2. Apply the 6-Step Evaluation Process to the application review process;
3. Write feedback comments that add value to the applicant and meet the Comment Guidelines; and
4. Identify opportunities for growth and development of competencies to become an effective member of an assessment team.

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2. Assessor Competencies

Learning Objective

At the end of this module participants will be able to articulate the five core competencies required of a professional and competent assessor.

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2. Assessor Competencies

A professional & competent business excellence assessor:

- has technical expertise
- has good interpersonal skills
- is committed to timely and professional performance &
- is part of a team with the skills and abilities to conduct an assessment.

2. Assessor Competencies

Assessor Roles

- Review
- Comment on and score written applications
- Prepare feedback reports to applicants
- Participate in consensus evaluations and site visits

Lead Assessors in addition, would lead consensus evaluations and site visit teams

2. Assessor Competencies

A professional and competent assessor requires the following five core competencies:

1. Understand the requirements of the Business Excellence Model to be able to score consistently
2. Understand the organisation being assessed to be able to take an overall view of its performance
3. Interact effectively as a member of a high performing assessment team
4. Gather, assimilate and analyse evidence to make insightful judgements.
5. Produce clear, accurate and useful feedback

2. Assessor Competencies

1. Understand the requirements of the performance excellence model to be able to score consistently

a. Knowledge and understanding of requirements of the business excellence model
b. Scoring process of the business excellence model
c. Systems thinking

2. Assessor Competencies

2. Understand the organisation being assessed to be able to take an overall view of its performance

a. Knowledge of basic organisational management systems

b. Understanding financial reports

c. Customer orientation

2. Assessor Competencies

3. Interact effectively as a member of a high performing assessment team

a. Communication (writing, presentation)

b. Personal skills (independence, autonomy, self-assessment)

c. Interpersonal skills (influencing, mentoring, listening, interviewing)

d. Organisational skills (time management, project management)

e. Learning (reading flexibly, note taking)

f. Problem-solving (problem analysis and decision-making)

2. Assessor Competencies

4. Gather, assimilate and analyse evidence to make insightful judgements

a. Information gathering (locating sources, interpretation of data)

b. Interviewing skills (listening, probing, questioning)

c. Analysis of complex and detailed information

d. Synthesis of observations and evidences gathered

2. Assessor Competencies

5. Produce clear, accurate and useful feedback

a. Ability to provide appropriate and actionable feedback in the form of written assessment, summaries and reports

b. Ability to make judgements

c. Information technology (word processing, database, emails)

2. Assessor Competencies

Performance Expectations of Assessor in Independent Review Of Assessment

	Examiner's Performance Level		
	Entry *With Guidance* →	Competent *Independently* →	Expert *Independently*
Job Aids	• Uses evaluation tools & Step-by-Step instructions • Knows the resources available in the relevant Business Excellence website • Works with guidance of a team leader	• Uses current evaluation tools • Adapts Step-by-Step instructions to own personal style • Works independently	• Provides guidance • Demonstrates cycles of improvement in adapting the Step-by-Step instructions
Criteria	• Applies knowledge of Criteria (Categories, Items, Scoring Guidelines)	• Sequentially relates applicant's Item responses to the Criteria, Key Factors, Core Values and other Items • Uses in-depth understanding of the Criteria intent	• When reading application, makes connections within the application and to linkages in the Criteria, Key Factors and Key Themes • Demonstrates how the Criteria offer value to the specific applicant

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Entry

2. Assessor Competencies

	Examiner's Performance Level		
	Entry *With Guidance* →	Competent *Independently* →	Expert *Independently*
Award Application	• Identifies elements of an application • Matches response to the Criteria requirement • Describes the organisation	• Recognises misplaced responses • Recognises evidence to support strengths and opportunities	• Makes initial assessments and evaluates applicant's maturity levels • Identifies value creation and leveraging on opportunities for applicant • Builds support for cross-cutting and other themes
Key Factors	• Selects Key Factors relevant to Item requirements	• Selects Key Factors within the context of the application	• Applies business acumen & sector knowledge when selecting relevant key factors • Develops key factors that combine data from Organisational Profile & relevant documents to highlight areas of potential leverage
Strengths & Opportunities for Improvement	• Interprets facts, including comparing and contrasting them within individual items • Provides sufficient information to enable writing of comment	• Observes patterns & makes connections • Identifies strengths & opportunities • Prioritises relevant & important feedback • Assesses risk to applicant of not meeting Criteria requirements	• Develops a new thought by relating knowledge from different areas • Develops statements that demonstrate the systems perspective of the business excellence framework • Develops statements that support key themes

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3. Business Excellence Framework

Objectives:

At the end of this module participants will be able to:

- Describe the value of the business excellence framework
- Highlight features of two widely used models
- Explain the core values underpinnning the framework
- List the key requirements for each of the categories
- Describe the scoring dimensions and evaluation factors

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3. Business Excellence Framework

Value of the Business Excellence Framework

It is used as basis for continuous improvements and it provides shared understanding of business excellence dimensions. More specifically, it helps:

- Leaders
  - Deliver strategy
  - Understand what is important to focus on as a leader
  - Develop a culture of excellence;
- Management
  - Understand link between strategy and operations
  - Engage employees in change
  - Lead improvements
- Employees
  - Build common direction and goals
  - Understand impact of their actions
  - Contribute to improvements

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3. Business Excellence Framework

The framework comprises:

a. Business Excellence Models
Two widely used models are the (1) Baldrige Performance Excellence Framework and the (2) EFQM Excellence Model

b. Core Values
Core values underpin business excellence criteria requirements

c. Citeria Requirements
Business excellence criteria requirements are key to effective business excellence assessments

d. Scoring System
The scoring of responses to criteria items are based on evaluation dimensions and factors

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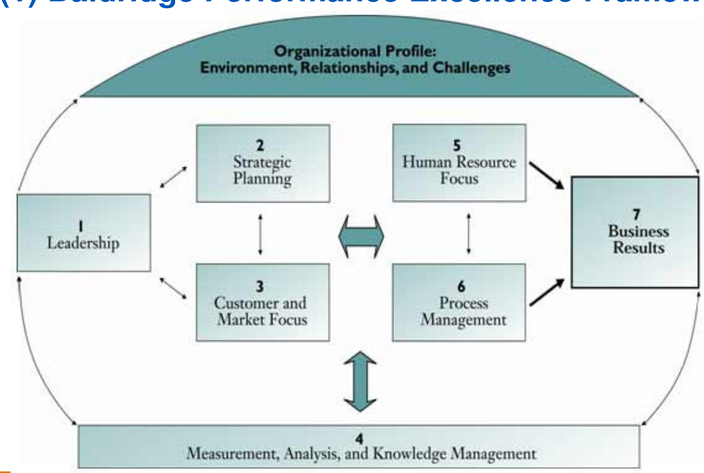
a. Business Excellence Models

(1) Baldridge Performance Excellence Framework



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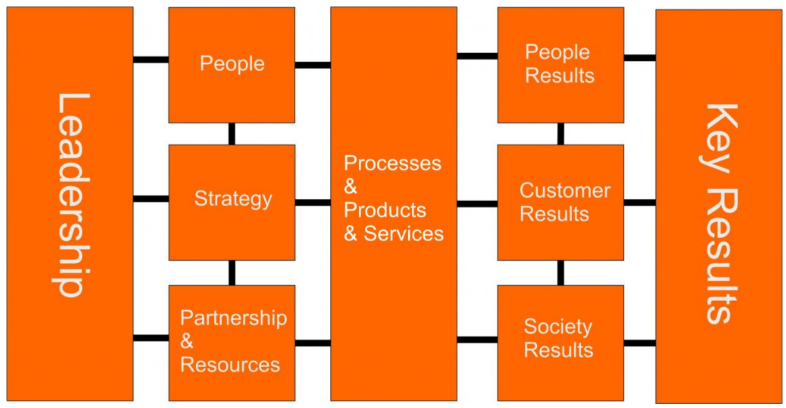
a. Business Excellence Models

(2) EFQM Excellence Model



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b. Core Values

The criteria for business excellence is built on a set of ten core values

1. Visionary Leadership
2. Customer-Driven Excellence
3. Organisational & Personal learning
4. Valuing Workforce Members and Partners
5. Agility
6. Focus on the Future
7. Managing for Innovation
8. Management by Fact
9. Societal responsibility
10. Focus on Results and Creating Value
11. Systems Perspective

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b. Core Values

1. Visionary Leadership

Senior leaders set directions and create customer-focus, clear & visible values and high expectations.

Senior leaders develop strategies, systems and methods for achieving performance excellence, stimulating innovation & building knowledge capabilities and ensuring organisational sustainability.

Defined values and strategies guide the organisation's activities & decisions.

Senior leaders inspire, motivate and encourage entire workforce to contribute, to develop and learn to be innovative and to embrace change. They serve as role models to reinforce ethics, values and expectations while building leadership, commitment and initiative.

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b. Core Values

2. Customer-driven Excellence

The organisation's customers are the final judges of performance and quality.

The organisation must take into account all product & service features and attributes that contribute value to customers. This leads to customer satisfaction, retention and loyalty, and to positive referrals which can contribute to business expansion.

Customer-driven excellence is also about understanding current and future customer & market needs and requirements.

Customer-driven excellence is also about building customer relationship and measuring customer satisfaction

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b. Core Values

3. Organisational and Personal Learning

Organisational and personal learning leads to highest levels of organisational performance.

Organisational learning refers to continuous improvement of existing approaches and processes and significant changes or innovation that leads to new goals and approaches.

Learning is embedded in the way the organisation operates, e.g. it is a regular part of daily work and is practised at personal, work unit and organisational levels.

Organisations learning results in enhanced value to customers through new and improved products and services, new and improved processes and increasing productivity and effective use of resources.

b. Core Values

4. Valuing People and Partners

An organisation's success depends on an engaged workforce that benefits from meaningful work, clear organisational direction and performance accountability.

Valuing people in the workforce means committing to their engagement, satisfaction, development and well-being. Reward and recognition systems need to reinforce employee participation in achieving organisation's performance objectives.

Organisations need to build internal and external partnerships for mutual benefits. Strong partnerships internally and externally can help organisations to achieve performance goals, boost operational effectiveness and establish new market opportunities.

b. Core Values

5. Agility

Today's globally competitive environment demands agility which is a capacity for rapid change and flexibility.

Organisations face shorter cycles for introduction of new or improved products and services. Increasingly speed and flexibility in responding to customers are critical requirements

Major improvements in response time often require simplification of work units and processes and the ability to change rapidly from one process to another. A significant success factor in meeting competitive challenges is the design-to-introduction cycle time or innovation cycle time.

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b. Core Values

6. Focus on the Future

Creating a sustainable organisation requires strong future orientation and a willingness to make long-term commitments to key stakeholders.

Organisation's planning should anticipate factors such as customer expectations, new business and partnering opportunities, workforce planning and development needs, technological developments and evolving regulatory requirements.

A focus on the future includes developing organisation's leaders, workforce and suppliers, establishing effective succession planning and creating opportunities for innovation.

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b. Core Values

7. Managing for Innovation

Innovation is about making changes to improve an organisation's products, services, programmes, processes and operations to create new, significant values for the organisation's stakeholders.

Innovation should focus on leading the organisation to new dimensions of performance. Organisations need to be structured in such a way that innovation becomes part of the culture and daily work.

Innovation should be integrated into daily work and should be supported by a performance improvement system. Systematic process for innovation should reach the entire organisation.

b. Core Values

8. Management by Fact

The achievement of superior performance requires the use of data, information and knowledge to enhance judgment & enable better decision-making.

Many types of data and information are needed for performance management. Performance measurement should include customer, product, service, and process performance, comparisons of operational, market, and competitive performance, etc.

Data should be segmented by markets, product lines and workforce groups to facilitate analysis.

b. Core Values

9. Societal Responsibility

Organisations should be responsible to the society, for community and the environment and practise good corporate citizenship.

Leaders should be role models for the organisation focusing on business ethics, protection of public health, safety and environment, community services and sharing of best practices with the business community. For e.g. consideration of potential adverse impact on public health, safety & environment as a result of the organisation's operations & life-cycle of its products and services.

Organisations need to emphasise resource conservation and waste reduction at the sources.

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b. Core Values

10. Focus on Results and Creating Value

Organisation's performance system needs to focus on key results that create and balance value for key stakeholders.

By creating value for key stakeholders, the organisation builds loyalty and contributes to the economy and contributes to society.

Using a balanced composite of performance indicators, organisations can effectively communicate requirements, monitor actual performance and marshal support for improving results.

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b. Core Values

11. Systems Perspective

An organisation needs to manage its whole enterprise as well as its related components to achieve performance improvement.

A systems approach will enable the organisation to optimise the inter-relationships of its functions and to focus on the value-added factors of all processes within a larger context

This promotes the development of a preventative culture by emphasising continuous improvement and corrective action at early stages of all activities.

c. Criteria Requirements

1 LEADERSHIP (120pts)

The Leadership Category examines HOW the organisation's SENIOR LEADERS' personal actions guide and sustain the organisation.

It also examines are the organisation's GOVERNANCE and HOW the organisation addresses its ethical, legal and societal responsibilities and supports its KEY communities.

c. Criteria Requirements

1.1 Senior Leadership:
How do senior leaders lead? (70 pts)

Describe HOW SENIOR LEADERS guide and sustain the organisation. Describe HOW SENIOR LEADERS communicate with the workforce and encourage HIGH PERFORMANCE.

1.2 Governance and Social Responsibility:
How do you govern & fulfill your societal responsibilities? (50 pts)

Describe organisation's GOVERNANCE system and approach to leadership improvement. Describe HOW organisation assures legal and ethical behaviour, fulfills its societal responsibilities and supports its KEY communities.

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c. Criteria Requirements

2 STRATEGIC PLANNING (85 pts)

The Strategic Planning Category examines HOW the organisation develops STRATEGIC OBJECTIVES and ACTION PLANS.

It also examines HOW STRATEGIC OBJECTIVES identified and ACTION PLANS are DEPLOYED and changed if circumstances require and HOW progress is measured.

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c. Criteria Requirements

2.1 Strategy Development:
How do you develop your strategy? (40 pts)

Describe HOW organisation establishes its strategy to address its STRATEGIC CHALLENGES and leverage its STRATEGIC ADVANTAGES. Summarise organisation's KEY STRATEGIC OBJECTIVES and their related GOALS.

2.2 Strategy Deployment:
How do you deploy your strategy? (45 pts)

Describe HOW organisation converts its STRATEGIC OBJECTIVES into ACTION PLANS. Summarise organisation's ACTION PLANS, HOW they are DEPLOYED, and KEY ACTION PLAN PERFORMANCE MEASURES or INDICATORS. Project organisation's future PERFORMANCE relative to KEY comparisons on these PERFORMANCE MEASURES or INDICATORS.

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c. Criteria Requirements

3 CUSTOMER FOCUS (85 pts)

The Customer Focus Category examines HOW the organisation engages its CUSTOMERS for long-term marketplace success. This ENGAGEMENT strategy includes HOW organisation builds CUSTOMER-focused culture. It examines HOW organisation listens to the VOICE OF ITS CUSTOMERS and uses this information to improve and identify opportunities for INNOVATION.

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c. Criteria Requirements

3.1 Customer Engagement:
How do you engage customers to serve their needs and build relationships? (40 pts)

Describe HOW organisation determines product offerings and mechanisms to support CUSTOMERS' use of its products. Describe also HOW organisation builds a CUSTOMER-focused culture.

3.2 Voice of the Customer:
How do obtain and use information from your customers? (45 pts)

Describe HOW organisation listens to its CUSTOMERS and acquires satisfaction and dissatisfaction information. Describe also HOW CUSTOMER information is used to improve marketplace success.

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c. Criteria Requirements

4 MEASUREMENT, ANALYSIS & KNOWLEDGE MANAGEMENT (90 pts)

The Measurement, Analysis and Knowledge Management Category examines HOW the organisation selects, gathers, analyses, manages and improves its data, information and KNOWLEDGE ASSETS and HOW it manages its information technology.

The Category also examines HOW the organisation reviews and uses reviews to improve its PERFORMANCE.

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c. Criteria Requirements

4.1 Measurement, Analysis & Improvement of Organisational Performance:

How do you measure, analyse & improve organisational performance? (45 pts)

Describe HOW organisation measures, analyses, aligns, reviews and improves its PERFORMANCE through the use of data and information at all levels and in all parts of the organisation.

4.2 Management of Information, Knowledge and Information Technology:

How do you manage your information, organisational knowledge and information technology (45 pts)

Describe HOW organisation ensures the quality and availability of needed data, information, software and hardware for your WORKFORCE, suppliers, PARTNERS, COLLABORATORS and CUSTOMERS. Describe HOW organisation builds and manages its KNOWLEDGE ASSETS.

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c. Criteria Requirements

5 WORKFORCE FOCUS (85 pts)

The Workforce Focus Category examines HOW organisation engages, manages and develops its WORKFORCE to utilise its full potential in ALIGNMENT with the organisation's overall MISSION, strategy and ACTION PLANS.

The Category examines organisation's ability to assess WORKFORCE CAPABILITY and CAPACITY needs and to build a WORKFORCE environment conducive to HIGH PERFORMANCE.

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c. Criteria Requirements

5.1 Workforce Engagement:
How do you engage your workforce to achieve organisational and personal success (45 pts)

Describe HOW organisation engages, compensates and rewards its WORKFORCE to achieve HIGH PERFORMANCE. Describe HOW members of its WORKFORCE, including leaders are developed to achieve HIGH PERFORMANCE. Describe HOW organisation assesses WORKFORCE ENGAGEMENT and use the results to achieve higher PERFORMANCE.

5.2 Workforce Environment:
How do you build an effective and supportive workforce environment (40 pts)

Describe HOW organisation manages WORKFORCE CAPABILITY and CAPACITY to accomplish the work of the organisation. Describe HOW the organisation maintains a safe, secure and supportive work climate.

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c. Criteria Requirements

6 PROCESS MANAGEMENT (85 pts)

The Process Management Category examines HOW the organisation designs its WORK SYSTEMS and HOW it designs, manages and improves its KEY PROCESSES for implementing those WORK SYSTEMS to deliver CUSTOMER VALUE and achieve organisational success and SUSTAINABILITY . It also examines organisation's readiness for emergencies.

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c. Criteria Requirements

6.1 Work Systems:

How do you design your work systems (35 pts)

Describe HOW organisation designs its WORK SYSTEMS and determines its KEY PROCESSES to deliver CUSTOMER VALUE, prepare for potential emergencies and achieve organisational success and SUSTAINABILITY.

6.2 Work Processes:

How do you design, manage and improve key organisational work processes (50 pts)

Describe HOW organisation designs, implements, manages, and improves its KEY work processes to deliver CUSTOMER VALUE and achieve organisational success and SUSTAINABILITY.

c. Criteria Requirements

7 RESULTS (450 pts)

The Results Category examines the organisation's PERFORMANCE and improvement in all KEY areas – product outcomes, CUSTOMER-focused outcomes, financial and market outcomes, WORKFORCE-focused outcomes, PROCESS-EFFECTIVENESS outcomes and leadership outcomes.

PERFORMANCE LEVELS are examined relative to those of competitors and other organisations with similar product offerings.

c. Criteria Requirements

7.1 Product Outcomes:
What are your product performance results? (100 pts)

Summarise organisation's KEY products PERFORMANCE RESULTS. SEGMENT results by product offerings, CUSTOMER groups and market SEGMENTS as appropriate. Include appropriate comparative data.

7.2 Customer-focused Outcomes:
What are your customer-focused performance results? (70 pts)

Summarise organisation's KEY CUSTOMER-focused RESULTS for CUSTOMER satisfaction, dissatisfaction and ENGAGEMENT. Segment RESULTS by product offerings, CUSTOMER groups and market SEGMENTS, as appropriate. Include appropriate comparative data.

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c. Criteria Requirements

7.3 Financial and Market Outcomes:
What are your financial & marketplace performance results? (70 pts)

Summarise organisation's KEY financial and marketplace PERFORMANCE RESULTS by MARKET SEGMENTS or CUSTOMER groups as appropriate. Include appropriate comparative data.

7.4 Workforce-focused Outcomes:
What are your workforce-focused performance results? (70 pts)

Summarise organisation's KEY WORKFORCE-focused RESULTS for WORKFORCE ENGAGEMENT and for WORFORCE environment. Segment RESULTS to address DIVERSITY of WORKFORCE and to address WORKFORCE groups and SEGMENTS, as appropriate. Include appropriate comparative data.

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c. Criteria Requirements

7.5 Process Effectiveness Outcomes:
What are your process effectiveness results? (70 pts)

Summarise organisation's KEY operational PERFORMANCE RESULTS that contribute to the improvement of organisational EFFECTIVENESS, including organisation's readiness for emergencies. SEGMENT RESULTS by product offerings, by CUSTOMER groups and MARKET SEGMENTS and by PROCESS and location, as appropriate. Include appropriate comparative data.

7.6 Leadership Outcomes:
What are your leadership results? (70 pts)

Summarise organisation's KEY GOVERNANCE and SENIOR LEADERSHIP RESULTS, including evidence of strategic plan accomplishments, fiscal accountability, legal compliance, ETHICAL BEHAVIOUR, societal responsibility and support of KEY communities. SEGMENT RESULTS by organisational units as appropriate. Include appropriate comparative data.

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d. Scoring System

The scoring of responses to criteria items are based on two evaluation dimensions:

(1) Process

(2) Results

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d. Scoring System

(1) PROCESS

'Process' refers to the methods the organisation uses and improves to address the criteria requirements for Categories 1 – 6.

The four factors used to evaluate process are:

- Approach (A)
- Deployment (D)
- Learning (L)
- Integration (I)

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d. Scoring System

Approach

"**Approach**" refers to:

- the methods used to accomplish the process
- the appropriateness of the methods to the Item requirements and the organization's operating environment
- the effectiveness of your use of the methods
- the degree to which the approach is repeatable and based on reliable data and information (i.e., systematic)

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d. Scoring System

Deployment

"**Deployment**" refers to the extent to which

- your approach is applied in addressing Item requirements relevant and important to your organization
- your approach is applied consistently
- your approach is used (executed) by all appropriate work units

d. Scoring System

Learning

"**Learning**" refers to

- refining your approach through cycles of evaluation and improvement
- encouraging breakthrough change to your approach through innovation
- sharing refinements and innovations with other relevant work units and processes in your organization

d. Scoring System

Integration

"Integration" refers to the extent to which

- your approach is aligned with your organisational needs identified in the Organisational Profile and other Process Items
- your measures, information, and improvement systems are complementary across processes and work units
- your plans, processes, results, analyses, learning, and actions are harmonised across processes and work units to support organisation-wide goals

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d. Scoring System

(1) RESULTS

'Results' refers to organisation's outputs and outcomes in achieving the requirements in Category 7.

The four factors used to evaluate results are:

- Levels (Le)
- Trends (T)
- Comparisons (C)
- Integration (I)

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d. Scoring System

Levels

"**Levels**" refers to:

- your current level of performance

Performance 'Levels' refers to numerical information that places or positions an organisation's results and performance on a meaningful scale. Levels permit evaluation relative to past peformance, projections, goals and appropriate comparisons

- What levels are provided?
- Is the measurement scale meaningful?
- Are key results missing?

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d. Scoring System

Trends

Trends" refers to

- the rate of your performance improvements or the sustainability of good performance (i.e., the slope of trend data)
- the breadth (i.e., the extent of deployment) of your performance results. A minimum of three data points are needed to ascertain trend.
  - Are trends positive, negative or flat?
  - What is the rate of change (slope of trend) ?
  - Do the trends demonstrate little, some or much breadth in the organisation's improvement efforts?
  - Are significant variations in trends explained in the application?

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d. Scoring System

Comparisons

'**Comparisons**" refers to

- your performance relative to appropriate comparisons, such as competitors or organizations similar to yours
- your performance relative to benchmarks, best-in-class organisations or industry leaders
  - Are comparisons provided?
  - How does the organisation compare against other organisations?

d. Scoring System

Integration

"**Integration**" refers to the extent to which

- your results measures (often through segmentation) address important customer, product, market, process, and action plan performance requirements identified in your Organisational Profile and in Process Items
- your results include valid indicators of future performance
- your results are harmonised across processes and work units to support organisation-wide goals
  - To what extent do results link to key factors and Process items?
  - Are the results segmented appropriately (e.g. by key customer segments, employee type, programme or service or geographic location) to help organisation improve?

4. Award Process & Independent Review

Objectives

At the end of this module participants will be able to list the components in the Award Process and the steps in Independent Review process

4. Award Process & Independent Review

E.g. **Baldrige Award Review Process**

This consists of three components:

- **Independent Review**
- **Consensus Review**
- **Site Visit**

4. Award Process & Independent Review

Independent Review – steps

- Review appropriate Criteria Booklet
- Read application report
- Draft initial key factors
- Evaluate each Item (6-Step Evaluation)
- Review for conflicts across Items
- Finalise key factors

5. 6-Step Evaluation Process

Objectives

At the end of this module participants will be able to:

- Outline the 6 steps of the Item evaluation process and link to the Independent Review Process
- Describe the focus of each of the six-steps in this process

5. 6-Step Evaluation Process

Step 1: Review the Criteria

Step 2: Select 4 – 6 Key Factors

Step 3: Read Application

Step 4: Identify 6 Strengths and/or Opportunities for Improvement

Step 5: Write 3 Feedback-ready Comments

Step 6: Determine the Range and the % Score

5. 6-Step Evaluation Process

Step 1: Review the Criteria

The focus of this step is to become grounded in the criteria i.e. how does this Item fit into the framework and relate to the other Categories.

Step 2: Select 4 – 6 Key Factors

The focus of this step is to identify the interdependence of the key factors with the Criteria key concepts and what we know about the applicant.

5. 6-Step Evaluation Process

Step 3: Read Application

The focus of this step is to develop insight into the applicant's operations and their relationship to their key factors and the Criteria requirements.

Step 4: Identify 6 Strengths and/or Opportunities for Improvement (OFIs)

The focus of this step is to capture your insights in the form of Strengths and OFI's and to support those insights with evidence. You will look at the Item as a whole and identify and document around six strengths and OFI's and their accompanying evidence.

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5. 6-Step Evaluation Process

Step 5: Write 3 Feedback-ready Comments

The focus of this step is to convert the observations - strength/ OFI into a narrative sentence or comment. You need to effectively communicate your insight so that it is understood by your reader.

Step 6: Determine the Range and the % Score

The focus of this step is to find the most descriptive scoring range for this Item, given the importance to the applicant, the Criteria requirements and the key factors.

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6. Identifying Key Factors

- Key factors help assessors
  - understand the parts of the criteria that are most relevant/of greatest importance to the applicant
  - understand key points to investigate during consensus review and site visit
  - provide more accurate and meaningful feedback to the applicant
- Key factors are revised throughout the entire assessment process as additional information & insights are gathered during consensus review and site visits
- Key factors are found in responses to:
  - organisational profile
  - criteria items in other parts of the application

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6. Identifying Key Factors

Look for key factors in
- Organisational profile
- Criteria item responses

Steps in developing Key Factors

1. Read Organisational Profile
2. Consider facts that most affect the way the organisation operates
3. List/Group key factors under each of the areas of the Organisational Profile
4. Revise list as you identify additional facts in the application
5. Review list after completing assessment and add or remove key factors

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6. Identifying Key Factors

Examples:

- Mission, vision & values
- Employee/staff profile
- Customer/market segments & customer requirements
- Competitive position & critical success factors
- Strategic challenges
- Governance structure

These are all key factors because they are facts or attributes that affect the way the organisation operates

Non Examples:

- Complaint management process
- Strategic planning approach

These are not key factors; rather, they are processes that the applicant uses in managing its work

6. Identifying Key Factors – Exercise 1

Exercise 1

Group Practice

In a group, participants will arrive at consensus on the master list of key factors identified which is part of the pre-work.

6. Identifying Key Factors – Exercise 1

Organisation: _______________

What are key inputs?

Who are key suppliers?

Who are key stakeholders?

Mission:

Vision:

What happens in the organisation?

Revenue:
Fixed Asset:
Headcount:

Improvement Management Systems

What are key outputs?

Who are key customers ?

What are key customer requirements?

What are core competencies?

What is the competitive environment?

What is the external environment?

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7. Evaluating Process Item – Exercise 2

Objectives:

At the end of this module participants will be able to:

- Gain a shared understanding of the 6-Step Process in evaluating a Process Item through a group exercise
- Explain the key concepts of each of the 6 steps of the evaluation process.

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7. Evaluating Process Item – Exercise 2

Exercise 2

Group Practice

The Trainer will lead the class through each of the 6 steps conducting both a discussion of key concepts and reaching agreement on the contents of worksheet for Item 5.1.

Comment Guidelines

a. Content Guidelines
b. Style Guidelines
c. Consensus Review Guidelines
d. Approach-Deployment Comment
e. Results Comment

Comment Guidelines

In writing comments, you are 'converting' your observations to comments.

Observations are factual evidence from the application which is related the criteria and evaluation or scoring factor.

Comments are complete thoughts which provide value to the applicant. They make clear the relationship between the Criteria, the key factors, the applicant submission and the assessor's analysis.

Hence, comments would let the applicant know what it does well and what it needs to improve specific to Criteria requirements.

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a. Content Guidelines

Do

- Address your comments to the basic, overall, or multiple Criteria requirements that are most important to the applicant.
- Write a unified, coherent, well-developed comment to provide value to the applicant. Include a topic sentence to express the main point of the comment, followed by concisely written evidence that develops the main idea in greater detail. *(Hint: Reach a conclusion and write it first, moving from generalization to support.)*
- Include factual supporting detail. Ask yourself, "What examples can I provide from the applicant's response to clarify the strength or opportunity?" Include figure numbers in comments, as appropriate. You do not, however, need to construct an exhaustive list of every method described by the applicant that is related to your conclusion.

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a. Content Guidelines

Do

- Use the evaluation factors (approach, deployment, learning, and integration [ADLI] or levels, trends, comparisons, and integration [LeTCI]) to clearly articulate the areas of strength or to provide insights that will help the applicant improve overall organizational effectiveness and capabilities.
- Draw linkages across Items or between an Item and the applicant's Organizational Profile.
- Ensure that the comment does not contradict other comments in the same Item or other Items or in the Key Themes Worksheet.

Do not

- Go beyond the requirements of the Criteria or assert your personal opinions.
- Be prescriptive by using "could," "should," or "would."
- Be judgmental by using terms such as "good," "bad," or "inadequate."
- Comment on the applicant's style of writing or data presentation.

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b. Style Guidelines

Do

- Use a polite, professional, and positive tone.
- Use active voice (e.g., "completes" rather than "is completed") and present tense.
- Use vocabulary/phraseology from the Criteria and the Scoring Guidelines.
- Describe what is missing if something "is not clear."
- Use "the applicant" (which will be replaced with the actual name in the final product) and generic terms such as "the organization," "the hospital," or "the school district" to avoid repetition in comments.
- Use the applicant's terminology when appropriate.

Do not

- "Parrot" the application or the Criteria. Provide only enough language to add clarity—seek to add value rather than restate information.
- Use jargon or acronyms unless they are used by the applicant.

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c. Consensus Review Guidelines

Do

- Include four to six key factors based on the Criteria requirements for the Item. These will differ depending on the Item. Include only the relevant portion of the key factor (e.g., one or two of the strategic challenges rather than all strategic challenges).
- Include a total of around six comments per Item that are most relevant and important to the applicant based on its key factors and its maturity level as seen in the evaluation factors (ADLI or LeTCI).
- Ensure that the Item's score is supported by the comments.
- Place the comment on the correct Consensus Review Worksheet based on the Criteria, not on where the information appears in the application.
- Place the comments on the Consensus Review Worksheet in the order of importance to the applicant, not necessarily in Criteria order.

d. Approach-Deployment Comment

Comments should be:

- Criteria-based
- Relevant and important to applicant based on key factors
- Clear, Concise, Actionable
- Non-prescriptive
- Non-judgemental
- Draws linkages to Organisational Profile or other criteria
- Does not conflict with other comments

d. Approach-Deployment Comment

Strength

Subject	+	Verb	+	Transition	+	Example from appln.
from the criteria		from the criteria		by/through using		Methods/ activities

"So What" – Optional
(*impact/significance of comment in relation to criteria)*

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d. Approach-Deployment Comment

Strength - Example

"The applicant (subject) obtains and uses (verbs) information on customer satisfaction relative to competitors through (transition) the use of an independent annual 'report card' process sponsored by the Retail Industry Association (methods/ activities)."

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d. Approach-Deployment Comment

Opportunities for Improvement (OFI)

Intro statement	+	Subject	+	Verb	+	So what
It is not clear/ apparent how The applicant does not report/ address how		from the Criteria		from the criteria		Implied or explicit – related to KFs/Criteria

d. Approach-Deployment Comment

Opportunities for Improvement (OFI) - Example

"It is not clear how (intro.) the applicant (subject) obtains and uses (verbs) information on customer satisfaction relative to its competitors to support its strategic objective of being best in service in the retail industry" (so what)."

d. Approach-Deployment Comment

Completing the Approach-Deployment Worksheet

- Identify each comment by its Area to Address
- Identify the key factors that link to the comment
- Rate the comments with +, ++, - , or --.
- Review the comments as a final check

e. Results Comment

Elements of a Results Comment

- Subject – The Applicant or the results (s)
- Timeframe – (in, from/to)
- Numbers – be specific
- Linkage to Org. Profile (KFs) and/or other items
- (Figure 7.x – x)
- Segmentation
- Comparison to what?
- Gaps
- So what?

e. Results Comment

Results Comment – Strength

"The 2007 X Satisfaction Survey Results show that the organisation's performance exceeds that of its closest competitor in 10 of 11 customer requirement dimensions (Fig 7.2-11) and that all 7 niche groups feel the applicant has a stronger relative competitive position (Fig 7.2-12) than its closest competitor. In addition, in 2007, 86% of the organisation's customers who responded to surveys indicated that they plan to repeat business with the company."

e. Results Comment

Results Comment – OFI

"Several results of importance to the applicant do not include data on customer segments. For example, results for the Percentage of Repeat Customers (a key indicator of customer loyalty) and Customers Willing to be Contacted (Fig 7.2–9 and 7.2–10, respectively) do not include any segmented data. A lack of customer segmentation may be a particularly significant gap for the applicant, given its diverse customer groups (e.g. students, celebrities, truckers and the Y Security Dept)"

Scoring Items

Steps in Scoring an Item

1. Review criteria requirements and all comments
2. Weigh the importance of the strengths and OFIs
3. Read the description of the scoring ranges in the Scoring Guidelines
4. Determine the scoring range most descriptive of organisation's achievement level
5. Read range descriptions above and below to determine the score
6. Verify that the balance and substance of strengths and OFIs correspond to the score
7. Record the score

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Scoring Items

What does "best fit" mean:

- Look at the statements in the different scoring ranges and determine which scoring range best match your comments
- Score depends on whether there is agreement with every statement in the scoring range
- Assign a numerical score from 0 to 100 percent in 5 per cent increments

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Scoring Items

Verify balance of the comments

- Verify that the substance and number of comments reflect the score
- Alter comment or score as needed

Scoring Items

Issues leading to greatest scoring variability

Scoring is not and exact science and variation is to be expected
An initial 3:1 variation in scoring is not unusual

- Perceptions of excellence are different among team members
- Understanding of criteria among members are different
- Score not adequately related to key factors or scoring guidelines
- Acceptance of applicant items
- Setting the 50% point
- Treatment of missing information

8. Evaluating Results Item – Exercise 3

Objectives:

At the end of this module participants will be able to:

- Gain a shared understanding of the 6-Step Process in evaluating a Results Item through a group exercise
- Explain the key concepts of each of the 6 steps of the evaluation process.

8. Evaluating Results Item – Exercise 3

Exercise 3

Group Practice

The Trainer will lead the class through each of the 6 steps conducting both a discussion of key concepts and reaching agreement on the contents of worksheet for Item 7.4

9. Evaluating Process Item – Exercise 4

Exercise 4
Individual Practice

Participants will work through the six-steps independently. At the end of the exercise, they will work in pairs to provide feedback and comments on the exercise.

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10.Identifying Key Themes

Objectives:
At the end of this module participants will be able to:

- Define and explain key themes
- Outline the steps in developing key themes
- Describe the sources of key themes e.g. using Core Values, Approach-deployment items and Results Items
- Provide examples and non-examples of key themes
- Develop key themes for a given case-study

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10. Identifying Key Themes

Definition

A key theme is a perception or observation that recurs throughout the scorebook, across processes and results, reflecting major strengths, opportunities or vulnerabilities

Key themes capture the shared understanding of a team of assessors are used to focus the site visit

10. Identifying Key Themes

Key themes:

- are comments addressing high-level strengths or opportunities for improvement
- are significant in terms of the applicant's key factors
- are often common to more than one Item/Category (cross-cutting) or addresses an issue of particular significance in one Item
- may address a Core Value of the Criteria
- summarise how well an applicant has addressed the criteria requirements
- serve as an Executive Summary

10. Identifying Key Themes

Steps in Developing Key Themes

- Capture initial impressions
- Conduct Item-level impressions
- Finalise key themes

10. Identifying Key Themes

Key themes related to Approach-Deployment Items

(a) Strengths and outstanding practices

- Which approaches are sound and systematic and well-deployed throughout the organisation?
- Are there areas of strengths or related to organisational learning?
- Where is there strong linkage between and among processes?

(b) Opportunities, concerns or vulnerabilities

- Are there areas of opportunity related to organisational learning?
- What areas are poorly aligned? In a more mature applicant, what areas lack integration?

10. Identifying Key Themes

Key themes related to Results items

(a) Strengths in results

- Are results trending consistently up and are they sustained over time?
- How do results compare to competitors or best-in-class organisations?
- To what extent are results segmented to reflect important customer and stakeholder, product, service, market, process, and performance requirements identified in the organisational profile and in process items? Are valid indicators of future performance included?

(b) Opportunities or gaps in results

- Are results trending downwards?
- Few or no evidence of comparative performance? In a more mature applicant, what areas lack integration?
- No clear segmentation of performance requirements; lack of vlaid indicators of future performance

10. Identifying Key Themes

Using Core Values to Shape Key Themes

- Core Values also serve as source for key themes, when examples can be identified from Item comments.
- Are Core Values for the sector reflected in the item comments (e.g. visionary leadership, systems perspective?)

10. Identifying Key Themes

Example

"From a systems perspective, it is not evident that the applicant's strategic objectives, action plans and approaches, address and balance the needs of all key stakeholders.

The applicant frequently demonstrates a systematic approach responsive to the requirements of inpatients and physicians; however, gaps exist in approaches to meet the needs of others identified in the Organisation Profile such as …"

10. Identifying Key Themes

Example

The applicant uses a variety of listening and learning approaches to determine customer requirements. These include customer focus groups, satisfaction surveys, industry scans, and complaint data scans.

Information from these listening posts is correlated and regularly analysed using statistical processes, verified by using information from Customer Account Teams (CATs), and translated into new and modified products & services using Quality Function Deployment (QFD). These approaches to listening and learning are assessed as part of the GPS cycle to keep current with changing market and business needs.

10. Identifying Key Themes

- Key themes are usually cross-cutting. But, can be from a single item if significant to the applicant (i.e. key factor) and/or of potential value to other organisations
- The initial reading of an application gives you a big picture view of the organisation and what it is trying to accomplish. It also provides insights into Item Linkages
- Core Values can be used to guide the writing of key themes but are NOT an independent assessment dimension

10. Identifying Key Themes

- A key theme can be Item specific
- Developing key themes is an iterative process, <u>not</u> a one-shot event
- Comments at the key themes level should track and build on the comments from the item worksheets
- Key themes are not a compilation of individual Item comments but rather an integration of ideas found throughout the application and organisation profile

10. Identifying Key Themes

Exercise 5
Group Practice

Using the given case-study develop initial key themes.

Guidelines:

- Organise your worksheet into 4 sections to address the following (a) process strengths (b) process opportunities (c) results strengths and (d) results opportunities
- Write complete sentences that adhere to the Comment Guidelines
- Include robust evidence that adds clarity and value for applicants without parroting the application

11. Conducting Site Assessments

Objectives:

At the end of this module participants will be able to:

- Explain the objectives of conducting site assessments
- Outline the steps in conducting site assessments
- Describe the types of evidence obtained from site assessments
- Explain the challenges in conducting site assessments
- Describe the factors for an effective site assessment

11. Conducting Site Assessments

a. Pre-Site Visit meeting with Applicant
b. Site Visit Planning
c. Meeting with Applicant Management Representative (MR)
c. Site Visit

11. Conducting Site Assessments

Objectives of Site Assessment

- Allows organisations to provide insights and information beyond those described in their Application Reports
- Confirm validity of application and to clarify aspects of application, particularly the level of deployment
- Enable assessors to verify and clarify issues arising from the Consensus Review and the information presented in the Application Report, through observations, interviews and document reviews

a. Pre-Site Visit Meeting with Applicant

- A half-day meeting could be held before site visit as part of site visit planning.
- During the meeting, team leader introduces the assessment team and outlines purpose of visit.
- Applicant provides an overview of organisation.
- Site tour is conducted for assessment team (optional).

b. Site Visit Planning

Materials

- Consensus Scorebook
- Site Visit Issues Worksheet

Category Owners

- Review Site Visit Issues and complete Worksheets
- Prepare List of Documents required
- Prepare List of Persons to be Interviewed
- Prepare List of Questions

Team Leader

- Reviews Site Visit Themes
- Identifies Major/Cross-cutting Issues

b. Site Visit Planning

What are Site Visit Issues?

- Are important points that need to be verified or clarified on site
- Are related key factors
- Must be linked to the comments

b. Site Visit Planning

Site Visit Issues – What to Verify or Clarify ?

Approach

- Systematic
- Effective, Innovative
- Repeatable
- Evaluation/improvement, Learning Cycles
- Aligned, Integrated

Results

- Performance Levels
- Trends
- Comparisons, Benchmarks
- Areas of Leadership

Deployment

- **Extent of Deployment**

b. Site Visit Planning

Site Visit Issues – What to Verify or Clarify ?

A well-chosen site visit issue is:

- Tied to the criteria
- An essential component of the score
- Cross-cutting
- Part of the deployment determination
- Verifiable

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b. Site Visit Planning

Site Visit Issues – What to Verify or Clarify ?

Example

AFI

Worldwide expansion is a strategic challenge

"Clarify how applicant determines or targets customers outside of existing markets and products lines, including how applicant uses information from distributors to obtain information on customers of competitors and other potential customers and markets."

Central to 6.1a Item requirement

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b. Site Visit Planning

Site Visit Issues – What to Verify or Clarify ?

Note

- It is important to limit the number of site visit issues so that the assessment team has time to investigate them properly
- Site visit issues should not be used to defer discussion on consensus disagreements
- Good site visit issues
  - are related to the Criteria;
  - have an impact on the score;
  - are verifiable;
  - are cross-cutting; and
  - can be used to check deployment

b. Site Visit Planning

Preparing List of Documents

- Category Owners to prepare list of documents for review for their respective categories
- Request for documentation that are mentioned in the Applicant's Reports
- Identify only relevant documents which will help to verify and clarify the site visit issues
- For easy reference by both Applicants and Assessors
  - quote the title of document as used by the Applicants
  - quote the Page number or Figures/Charts in the Application Reports

b. Site Visit Planning

Preparing Interview List

- List of persons to be interviewed should include:
  - key Senior Executives - CEO & direct reports
  - all key Process Owners or Category Owners
  - at least 1 Employee Team (WIT, QC)
  - customer contact employees or frontline staff
  - employees with less than 1 year of service
  - long service employees
  - rank & file employees
- Site visit teams should interact with at least 20% of total staff strength or at least 100 employees (whichever is higher - up to 300 employees)
- For larger organisations with more than 10,000 employees, teams should interact with at least 500 employees)

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b. Site Visit Planning

Preparing Site Visit Agenda

- Ensure that Agenda covers all key areas and site visit issues
- Allocate time slots for Documentation Review
- Allocate times slots for Team Discussion
- Assessors should work in pairs - one to ask question, the other to take notes and be the time keeper
- Allocate 30 – 45 mins for each interview session with Applicant's key process owners. Ensure that all key process owners are scheduled for interviews
- Interview rank & file employees in groups of 5 – 8
- Allocate not more than 30 mins for interview sessions with rank & file employees

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c. Meeting with Applicant MR

Team Leader & Award Secretariat meet with Applicant MR

- Submit requirements of site visit and site visit plan to the applicant through the award office .
- Discuss site visit plan/schedule with Applicant's concurrence
- Brief Applicant on the administrative and logistic details without disclosing site visit issues or detailed plans. Gather information for site selection
- Discuss concerns or issues that Applicant may have during the site visit

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d. Site Visit

Types of evidence from site visit

- Expert testimony
- Documents and records
- Interviews
- Application document

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d. Site Visit

Site Visit Process

- Assessment team conducts the site visit. Site visit issues are clarified and verified.
- Submit requirements of site visit and site visit plan to the applicant through the award office .
- Conduct the site visit
- Document findings promptly

d. Site Visit

Factors for Effective Site Visit

- Thorough and detailed planning by assessor team
- Clear site visit agenda
- Defined assessor assignments focusing on factors that impact overall score
- Adjusting agenda mid-course if necessary
- Thorough documentation of findings
- Summarising findings and rescoring immediately following the site visit

12.Assessor Code of Conduct

Assessors will be guided by four principles:

1. Integrity of assessment process
2. Professional conduct at all times
3. Protect confidentiality
4. Protect intellectual property.

(refer to guide for details)

END