

**SELF-ASSESSMENT AGAINST EFQM EXCELENCE MODEL
IN PUBLIC SECTOR
IN THE UNITED ARAB EMIRATES**

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Dissertation Submitted in Partial Fulfillment of
The Requirement for the Degree of

MSc in Project Management

The British University in Dubai

Faculty of Business

February 2009

Supervised by: Dr. Mohammed Dulaimi



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ABSTRACT

SELF-ASSESSMENT USING EFQM EXCELLENCE MODEL IN PUBLIC SECTOR IN UAE

Shaikha Rashed Al Shemali

The purpose of this research is to analyze the existing self-assessment practices in Ras Al Khaimah Government Departments in the United Arab Emirates. The study aims at identifying self-assessment objectives, implementation benefits and difficulties and lessons learnt. An exploratory case study of three departments with an experience in self-assessment application was analyzed. The research was carried out by conducting semi-structured interviews which were directed towards understanding the practical implementation of self-assessment. A quantitative approach was used to get respondents' opinions about the effectiveness of self-assessment. A questionnaire was distributed in ten departments to test the variables of self-assessment process and aimed at testing of the research hypotheses. The research results showed a successful practice of self-assessment implementation in the studied departments. It was found that self-assessment led to organizational improvement in several areas. It was also found that the planning and preparation phase of self-assessment was underestimated by the management which caused problems in the other stages. Based on the findings, more focus should be given to planning and preparation phase. Pro-forma approach was suggested as an alternative self-assessment tool towards continuous improvement and to routinize the development process. This study contributes significantly to other public organizations in the UAE as they would benefit from the current practices of self-assessment in similar organizations, in similar environment and culture.

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DEDICATION

I dedicate my dissertation to my Brother Hassan's soul - May Allah pleases him- for being the first to encourage me to continue my higher education. I feel grateful and thank ALLAH the almighty that my dream to further my search for knowledge in the postgraduate education was fulfilled.

ACKNOWLEDGMENTS

First I thank my mother for encouraging me not to give up and taking care of my daughter. A special thanks to my beloved husband for his understanding and whose support enabled me to successfully complete my dissertation. My deep appreciation goes to my brothers and sisters for encouragement and support. I am extremely grateful to Dr. Mohammed Dulaimi who is my supervisor for his time spent by giving me guidance, support, suggestions to write my dissertation. I also thank my friend Patrick Chee, who generously took time to review my work and provide feedback. Lastly, I thank Ras Al Khaimah Government Departments which participated in this research.

CHAPTER 1 - INTRODUCTION

This chapter is to provide a background of the research topic. It illustrates the research aim, objectives and significance. It focus on the research methodology and highlights on the dissertation structure.

CHAPTER 1

INTRODUCTION

1.1. Background

The unique economic transformation which has taken place in the United Arab Emirates (UAE) since 1971 was not based on oil and gas production only. However, UAE economic transformation was also rooted from the government strategy of economic diversification. For instance, the Government of Dubai vision was to make Dubai the centre for trade and tourism. Furthermore, the economic diversification focused on manufacturing and services sector which encouraged many organizations to improve their performance and implement quality management systems. ISO 9000 series of quality standards was implemented in many organizations to provide guidelines in establishing and improving quality management system, (Zaramdini 2007).

Dubai Government realized the importance of quality awards in driving organizations to develop their performances. Therefore, Dubai Quality Award was launched in 1992 based on the Excellence Model of the European Foundation for Quality Management (EFQM). It was successfully applied in private sector which then encouraged the government to establish Dubai Government Excellence Program. The aim of this program was to empower the government departments to become world class government departments having good governance system by adopting and complying with the business excellence model in all sectors.

Ras Al Khaimah (RAK) Government was keen to improve its local government departments and to build a sound working environment that serves the business community and to encourage investments. As a result, RAK Government learnt from the successful implementation of business excellence model in Dubai and later established the Sheikh Saqr Program for Government Excellence (SSPGE) in 2004. SSPGE Government Excellence Award was copied from the EFQM excellence model

and aimed at increasing the performance level of all RAK government departments. Furthermore, RAK Government departments considered applying organizational self assessment method being a tool to improve organizational performances and consequently increase the awareness and also to encourage each department to apply for the SSPGE award. Therefore, a large amount of resources and effort was spent to conduct on the self-assessment exercise.

1.2. Aims and Objectives

The purpose of this study is to discuss how RAK local government departments used the organization self assessment questionnaires approach against the EFQM excellence model in a practical manner. The conceptual framework focuses and bounds the research study on the following objectives:

- Provide a brief history of the development of self-assessment and the EFQM excellence model.
- Describe the implementation methods of the self-assessment process in assessing excellence.
- Identify the lessons learned in the implementation of the EFQM excellence model, the self-assessment strategy in the public sector.
- Analyze existing practices using self-assessment process to identify its benefits, difficulties, limitations and key concerned factors in order to handle the assessment in a proactive way.

1.3. Problem Statement

The Literature Review showed that there was no study done on the effectiveness of self-assessment process against EFQM in the United Arab Emirates. Such a study can give a fundamental basis for the public sector and semi government sector to successful conducting, practicing and implementing a suitable approach for self-assessment exercises.

1.4. Methodology

In order to achieve the research objectives a research model was developed Figure 1.1. The research started with carrying out a comprehensive literature review. The aim of conducting the literature review is to uncover what have been known already in the related issue of the research topic, Figure 1.2. The literature review covers an overview of Total Quality Management, its elements, implementations, critical challenges, and quality awards. In addition, it discusses the EFQM excellence model as it is the main focus of the study highlighting on different aspects concerning the model and the implementation. Self-assessment method was reviewed in depth by illustrating its development, types, approaches, benefits, limitations, etc.

Figure 1.1: Research Model

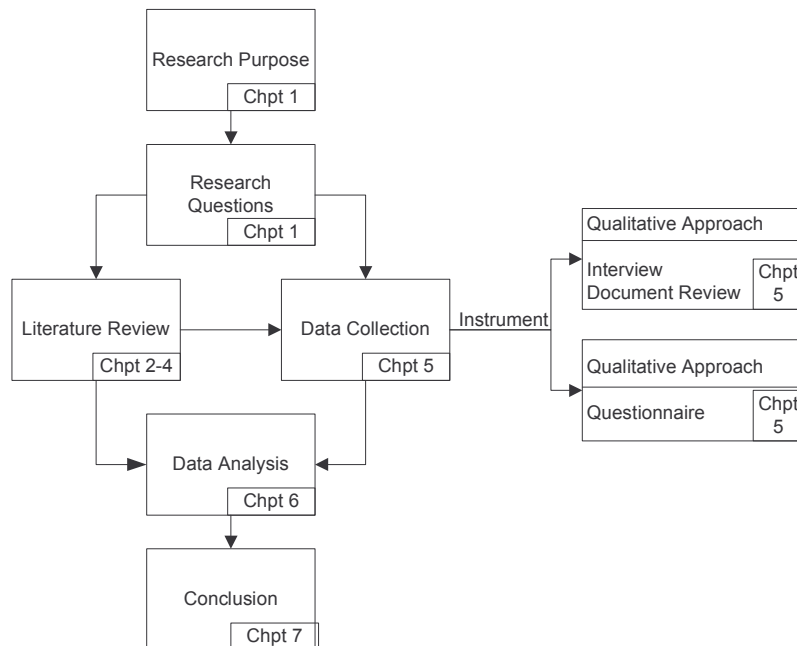
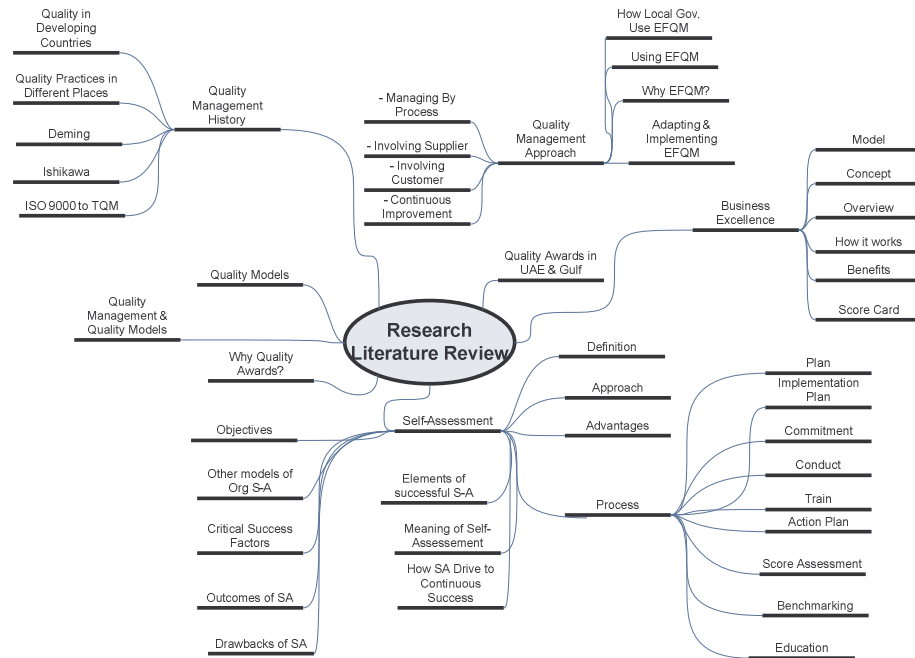


Figure 1.2: Literature Review Plan



An extensive study of three cases of RAK government departments shows a clear picture of the current practices of self assessment against the EFQM excellence model. The study emphasize on the various approaches to self assessment process deployment and finding those drivers that motivate a local government department to practice continuous improvement in order to become and sustain to be the best local government department and later to be world class calibre. It also elaborates the importance of the self assessment process, its outcome, its drawbacks and its reactions.

Furthermore, a quantitative approach is used to get respondents' opinions about the effectiveness of self-assessment. A questionnaire was distributed in ten government departments in Ras Al Khaimah Government. The questionnaire tested the variables in self-assessment process and aimed at testing of the research hypotheses:

The available literature review assisted in developing the following research questions:

1. In what way did self assessment process help your organization achieve improvements?
2. How did self-assessment exercise helped staff involved in the exercise in acquiring new knowledge and insight into how they can improve themselves and their organization
3. In what way did motivation and organization readiness affect self-assessment process?

Research Hypotheses:

1. Planning and preparation operations influence the effectiveness of data collection, evaluation and feedback, and reporting results.
2. Government agencies readiness and willingness to self-assessment influence organization development.

The above research questions examined a high degree of confidence through a series of planned and controlled steps in empirical investigation of the situation using a combined qualitative and quantitative methodology. Firstly, using case study method to review self-assessment documents and conducting in-depth interviews with assessment team members in three government agencies. Secondly, a survey is developed, and circulated to leaders and self-assessment team members. The scope of the research is limited to three cases in Ras Al Khaimah emirate because of the difficulty to conduct research in other government departments in the emirates that implement business excellence model.

1.5. Importance of the Study

The aim of this study is to provide findings and conclusions to help any organization seeking to improve its overall performance by implementing effective change using self-assessment process. Self assessment is a comprehensive, periodic and systematic review of activities and outcomes of an organization. This evaluation is carried out by employees in cross-functional teams and allows the organization to clearly identify its strengths and improvement potential. Furthermore organizations develop a

strategic plan having its mission, measurable goals and actions plans ensuring change and continuous improvement development towards excellence. This study contributes significantly to other public organizations in the UAE as they will benefit from the current practices of self-assessment in similar organizations in same environment and culture.

1.6. Research Structure

The research study of this dissertation will consist of eight chapters:

- Chapter 1 – Introduction:

This chapter gives an overview of the contents of the dissertation and its background of the topics. It highlights on the dissertation aims, research questions, and methodology including key areas to be covered in the dissertation by providing a brief listing of each chapter's contents.

- Chapter2 – Total Quality Management:

This chapter represents literature review and gives a brief background about TQM and explores its elements. Literature focused on cultural process change and continuous improvement, management commitment, leadership and customer focus as main elements. It reviews TQM implementation and highlights on benefits, barriers and lessons learnt from TQM implementation. It details factors concerning the implementation of TQM in government agencies such as globalization of trade; greater price competition; increasing customer expectations; and shorter product life cycles. Quality awards are discussed and four examples from different countries will be submitted. Furthermore, investigation on the relationship between TQM and continuous improvement will be mentioned. Implementing TQM is essential for every organization survival in this competitive world where quality is the convincing factor in every business behaviour and deals.

- Chapter 3– Business Excellence:

This chapter represents literature reviews and illustrates the meaning of business excellence model of the European Foundation for Quality Management (EFQM). The EFQM Excellence Model will be expanded because most of the Government Departments in the United Arab Emirates has adopted and implemented this EFQM

business model. It highlights on the history of the model and its benefits. Critique on the model concept, approaches and the relationships of the model will be submitted. It covers areas to be considered when implementing the model using different tools such as PDCA Cycle and RADAR methodology. It also compares the model with ISO 9000 and Total Quality Management.

- Chapter 4 – Self-Assessment:

This chapter represents literature review and details an overview of self-assessment in terms of definition, history and development. It describes the self-assessment types, approaches and its process. In addition, it identifies self-assessment benefits, objectives, aspects and drawbacks. Finally it describes the self assessment framework, practices and how the self assessment process will drive; continuous improvement and change within organizations.

- Chapter 5 – Research Methodology

This chapter comprehensively describes the research methodology and focuses on the procedures of data collection and the difficulties and/or problems encountered. It also contains the data collection process.

- Chapter 6 – Research Results & Discussions

This chapter explores the research finding derived from the analyses of self-assessment documents, interviews and questionnaires. It provides full analysis of the gathered information and discusses the result of the analysis. It links important points of the Literature Review, research objectives, questions, and hypotheses with the evidence obtained in the research. Additionally, it sets the scene for the Discussion and Conclusion Chapter.

- Chapter 7 – Recommendations and Conclusion

This chapter summarizes research findings and discusses their implications. It evaluates the effectiveness of the research offer recommendations and suggestions for further research.

CHAPTER 2 - TOTAL QUALITY MANAGMENT

This chapter represents literature review and gives a brief background about TQM and explores related issues and quality awards.

CHAPTER 2

TOTAL QUALITY MANAGMENT

2.1. TQM Background

Total Quality Management (TQM) is considered as one of the most popular management philosophies in the twentieth century embedded by the thoughts of Deming, Juran, and Feigenbaum, and initially adopted by the Japanese during the 1950s. It was recognized by the industrial sectors in the western countries by mid-1980s. It is widely considered as being essential to organizational survival, improvement and transformation, (Adebanjo 2001; McAdam 2000; Lee 2002; Dwyer 2002).

Quality has various meanings as defined by quality gurus (Ross 1998, p 4-6):

- Deming: "predictable degree of uniformity and dependability, at low cost and suited to the market".
- Juran: "fitness for use in terms of design, conformance, availability, safety, and field use".
- Crosby: "conformance to requirements, not goodness"

From the above definitions, it can be realized that there are several factors related to quality such as cost, design, conformance to customer needs, availability and usage. That means quality can be identified and measured according to various perspectives, which most likely depends on customer views about a product or service and what quality means to that customer.

In fact, quality management theory approaches, and tools had been developed throughout the history. The TQM went through four stages throughout the history; quality inspection, quality control, quality assurance, and total quality management. Quality inspection was developed in 1910s to discover the poor quality product and separate it from acceptable quality product and then the organization can get rid of it, reworked to turn it to an acceptable one or sell it as lower quality product (Dahlgaard

et al. 2007). Quality Control is a systematic routine of technical activities to measure and control quality during the development stage of the product to make sure that the design meets customer requirements (Ross 1998). While Quality Assurance means systematic production processes which provide confidence that the product satisfies customer requirements (Dahlgaard et al. 2007). ISO standards series are example of quality assurance process.

The available literature has many definitions of TQM which indicated that the variation in TQM interpretation. TQM is "the integration of all functions and processes within an organization in order to achieve continuous improvement of the quality of goods and services" (Ross 1998, p1). Quality in this definition means satisfying customer requirements (Oakland 1993). Another definition of TQM is described by Dean and Helms (1996) as "a developing strategy for continually improving products, processes and services to achieve continuous quality". Furthermore, Ho and Fung (1994) identified TQM as a method for improving business effectiveness, flexibility, and competitiveness. Ho (1997) emphasizes that "the TQM philosophy stresses a systematic, integrated, consistent, organization-wide perspective involving everyone and everything". As TQM focuses on customers, it was clear that customers perceived outcomes were the main reference to improve customer satisfaction (Conti 2001) .

For a company to stay competitive it has to perform well in dimensions such as cost, quality, speed, creativity and flexibility to adapt itself to variations in demand (Noronha 2003). Lee (2002) also stated that companies which applied principles of TQM correctly and consistently increased its competitiveness. Bardoeel and Sohal (1999) declared:

"The International Quality Study conducted by the American Quality Foundation (1991) showed that improvements in quality have a positive relationship with increases in productivity, performance and profits. This study collected data from Canadian, German, Japanese and American companies and found quality to be a crucial factor in the strategic performance of virtually every organization in that sample."

2.1.1. TQM Importance

The use of TQM led to (a) increasing domestic and global competition, (b) integrating several organization functions for improvement of total and quality of organization output, and (c) implementing TQM in service industries (Ross 1998). Furthermore, Shea and Gobeli (1995) cited in Yusof and Aspinwall (2000) reported different reasons of adopting TQM, such as: marking and promoting of organization growth, management belief in customer satisfaction and employee empowerment and improve organization performance.

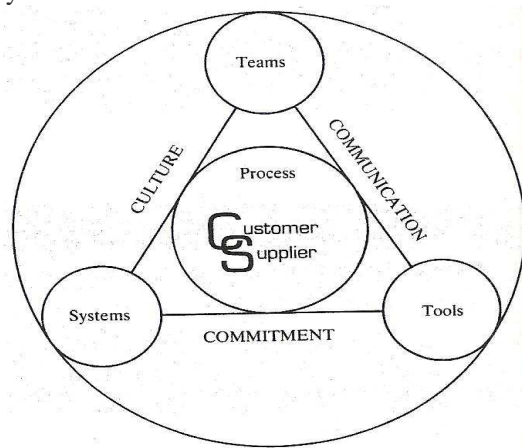
Bardoel and Sohal (1999) draws the attention to Australian manufacturers study was done by Sohal et al.'s (1992), which provided evidence of tangible and intangible benefits from quality improvement programs. The latter discovered that quality takes time and considerable time should be given to achieve organizational culture change (Curry and Kadasah 2002). Therefore, managers must consider the time factor and be patient to get quality improvement program's results.

2.1.2. TQM Elements

TQM is a long-term program which leads to cultural process change and continuous improvement, management commitment, leadership and customer focus. It is obvious that quality focuses on understanding customer needs; therefore, quality starts with identifying customer requirements and ends with these requirements are satisfied (Oakland 2005). Figure 2.1 represents the basics of TQM model (process, customer, supplier), soft outcomes (culture, communication, commitment) and some hard management necessities (system, tools, teams). This TQM model specifies that the core of TQM is the customer-supplier relationship while the process must be controlled and managed. Consequently, excellent relationships and feedback system between customer and supplier shall be established in order to reach total quality performance. The soft outcomes illustrate the foundation of the model where as the hard management necessities provide a framework against which an organization can

measure the progress towards TQM (Oakland 1993). Summary of literature on quality elements is provided in Table 2.1.

Figure 2.1 Total Quality Model



Source: Oakland 1993, p40

Table 2.1: TQM Elements

TQM Elements			
Al-Sulimani and Sharad (1994)	Ho (1995)	Curry and Kadasah 2002	Ho, and Fung, C (1994)
commitment	leadership	top management commitment	leadership
customer focus	commitment	customer focus	commitment
all employee involvement	total customer satisfaction	quality data and information	total customer satisfaction
training and education	continuous improvement	employee involvement	continuous improvement
Communication	total involvement	training	total involvement
preventive action	training	continuous improvement	training and education
	ownership	SPC	ownership
	reward and recognition	preventive action	reward and recognition
	error prevention	benchmarking	error prevention
	teamwork		co-operation and teamwork

Source: Adrienne Curry, Nasser Kadasah (2002) and Ho, S., and Fung, C (1994)

The following provides an explanation of some of TQM elements:

Commitment: In order to promote business efficiency and effectiveness, TQM must start at the top of the organization. Top management commitment important because the top management starts planning for quality implementation, participate and evaluate the result. That means top management has to show that they are serious about quality and communicate their commitment to their employees (Oakland 1993). Sharing commitment will encourage the employees to accept taking responsibility of implementing quality policy and quality practices.

Leadership: leadership is the ability to enlist the aid and support of other to accomplish a set of goals. Leadership involves creating a positive culture and favorable organizational dynamics to get employees to commit themselves to do what is expected from them (Creech1994). It is essential that leader motivate employees and empower them to reach organization objectives. That means a leader has to supply all required resources, train staff, and direct them towards meeting the target. Moreover, leadership has different aspects that are not part of our research.

Customer focus: as quality means meeting customer requirement, the organization should direct all processes to satisfy customer needs. To understand customer requirement and values, an organization has to ask them by conducting a market analysis (Ross 1998). Customers in this context combine both external and internal customers, i.e. the employees.

Training: with regards to TQM, organizations conduct training for reinforcement of quality message, meet job skills requirements, and increase knowledge level of TQM. Training is important because it improves communication, change organization culture, improve process, develop employees' skills and can be considered as management commitment to quality (Ross 1998).

Communication: communication means exchanging of information between sender and receiver. Effective communication process involves understanding the message and getting feedback from the receiver. According to Joel Ross, communication is inextricably linked in quality process as top managers have to tell their staff about the organization quality vision and plan and make sure that the information is passed and understood by their staff. Misleading information is a result of miscommunication which can dramatically affect product or service quality.

Involvement: Employees involvement requires empowering employees to participate in decision making, planning and implantation; and problem solving. As the employees get close to the matter, they become more productive and participate in solving the problem (Oakland 1993).

Teamwork: Teamwork is an essential component of the implementation of TQM in any organization because it builds trust and improves communication. Furthermore, it increases employees' involvements through active encouragement in group activities. It also provides a positive environment in which employees can solve organizational problems, use all resources effectively and efficiently and be part of the continuous improvements (Oakland 1993).

Benchmarking: "Benchmarking is a way to go backstage and watch another company's performance from the wings, where all the stage tricks and hurried realignments are visible" (Wall Street Journal cited in Ross 1998, p 235). Benchmarking offers a set of realistic performance targets after defining gas and selecting the process to improve. Consequently, the organization can realize the gap between what they are doing and the best practice. In order to close the gap an organization need to focus on employees' training and development as well as developing the processes (Ross 1998).

Continuous improvement: in TQM perspective continuous improvement requires constantly evaluate and improve organization performance to reach desired results and meet objectives.

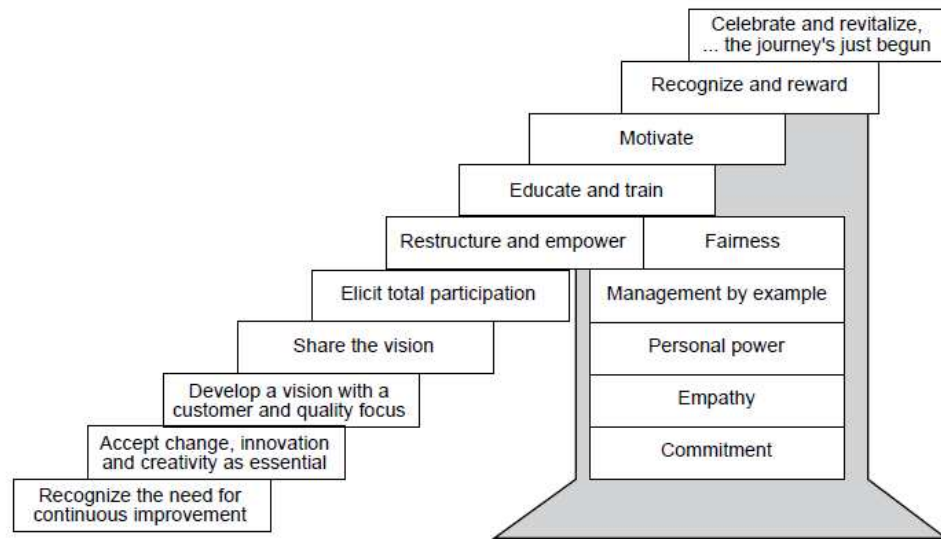
2.1.3. TQM Implementation

Bardoel and Sohal (1999) mentioned some factors that are essential in planning and implementing TQM. For instance, creating an awareness of TQM was a successful factor as it provides all employees with adequate training on TQM philosophy and processes. Another factor was the formation of teams within the organizations to implement TQM strategy. Furthermore, quality culture is the organization value system which leads to continual improvement of quality and promotes for quality by its value, traditions, procedures and expectations. Consequently, it is the management role to put quality culture at work (Noranha 1999). Ho and Fung 1994, pointed that most literature focused on the management commitment and outcome as factors for successful implementation, while few cases looked at the processes for TQM without analyzing the process systematically (Thiagaragan et al. 2001). Figure 2.2 demonstrates successful steps towards TQM journey built on a strong foundation (commitment, empathy, personal power, management by example and fairness) which enables the organization to climb to the top (Babbar and Aspelin 1994).

The first step of TQM journey is to recognize the need for change and accept the change while gaining management support and employees involvement. Then develop and define the vision of the organization intention in current and future environment. Sharing organization's vision with all employees, make it easier for the organization to obtain their participation. In order to implement the organization vision, the organization may need to restructure and empower their employees by training, educating and motivating them. It is crucial to reward and recognize the employees for their contribution in order to build their trust, confidence and self-esteem. As TQM journey is never ending, the organization has to celebrate its

success and must continuously work for another success in order to maintain continuous improvement.

Figure 2.2: Steps in TQM journey



Source: Babbar and Aspelin 1994, P 36

The Literature provided an example, TQM was implemented in Poland in the 1990s by firstly applying the quality assurance systems and followed by the promotional impact of the Polish Quality Award in 1995, (Bugdol 2005). Moreover, Dean and Helms (1996) mentioned that "Tennessee Valley Authority (TVA) selected TQM as a means of achieving world-class quality, improving customer services, and retaining other benefits that will hopefully follow with the change to a TQM environment."

2.1.4. Benefits, Limitations of TQM Implementation

Bardoel and Sohal (1999) mentioned in their study of major benefits and barriers of TQM implementations. They identified the benefits as increased employees' awareness and focus on satisfying internal and external customers and increased focus of top management on activities and employee's needs. Moreover, it lead to better

control of processes, reduced production and delivery times, and increased measurement of performance. Curry and Kadasah (2002) referred to Chong (1998) arguments, that "TQM may provide a fundamental way of conducting business, making the organization more competitive and viable, with TQM driving change and improvement."

The major barrier of implementing TQM was lack of developing quality culture. In addition to that, lack of understanding of what TQM and change requirements. That causes other problems such as resistance to change, fear of job losses at employee level as well as threat to supervisor and manager of losing their roles. Additional barriers were that inadequate training and lack of resources which empower employees to improve organization process. Lack of strategies and overall objectives leads to unclear plans and consequently leads to undesired results (Moreno-Luzon 1993 cited in Yusof and Aspinwall 2000). Some organizations concentrate on devising bigger and better testing in order to keep the good components, instead of understanding the process and the causes of the errors (Ho and Fung 1994). That problem can cause a lot of paperwork and waste of time and effort.

Whereas, the lessons learnt were:

- TQM must be implemented by line managers rather than by staff functions such as training;
- a "slow and steady" approach may not be as visible or bring immediate results but some of the companies felt it led to longer term benefits;
- a quality management system has a role in improving the morale of employees;
- there needs to be a link between information technology and quality systems;
- it is imperative that there is complete commitment from the CEO and senior management team and this leadership must be highly visible to employees;
- there must be commitment to focused training;
- TQM must be linked to a clearly defined business strategy" (Bardoel and Sohal 1999)

2.2. Quality in Government Agencies

There are a many factors forcing both private sector companies and government organization to consider quality as an important strategic and competitive concern. For instance, these concerns include: "globalization of trade; greater price competition; increasing customer expectations; and shorter product life cycles" (Appleby and Clark 1997). Furthermore, Victor and Cutshall (2004) stated that many government organizations around the world are using quality improvement in order to produce higher quality products and services at economical cost such as US organization (Thiagaragan et al. 2001).

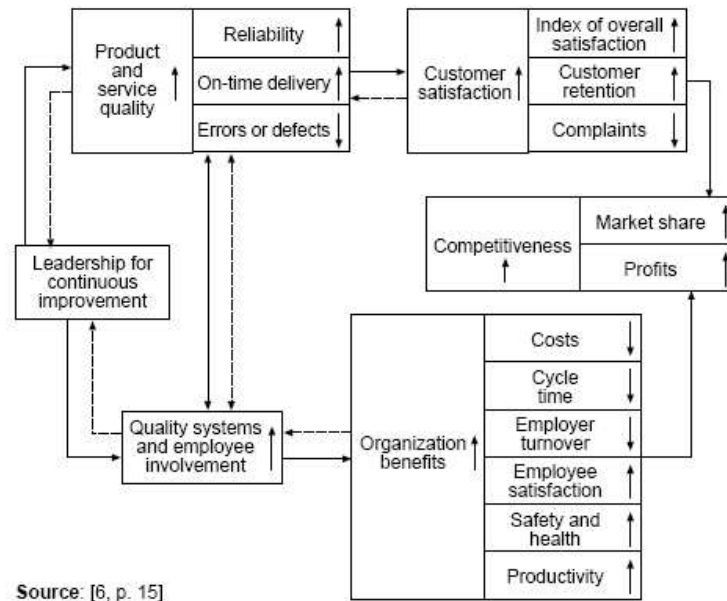
Local government has faced many changes over recent decades because of legislative changes, government policy and consumer demands for improved service quality (Appleby and Clark 1997). Moreover, the successful implementation and positive impact of TQM in the private sector encouraged many governmental agencies in the world to implement TQM in their organizations. Government decided to implement TQM because of country's "fiscal austerity" and the move towards focusing on customer needs. Moreover, they will have more advantages like lower operational costs, improved public services, and increased quality. Therefore, they are playing an active role to promote and encourage organizations to implement best practices in TQM. Furthermore, As a result, many countries have established quality awards to promote for quality and encourage both private and public sector to embrace TQM and business excellence practices (Lee 2002; Tari' 2006).

Dean and Helms (1996) declared that Washington officials recognized that good management within the government would have a positive influence on culture and processes. They mentioned that many US companies have changed their company's' philosophy to adopt TQM Model, see Figure 2.3 A study conducted by Lee (2002) showed that Tennessee Valley Authority (TVA) selected TQM as a tool to achieve world-class quality, improve customer services, and preserve other benefits resulted from the change to a TQM environment.

Davison and Grievies (1996) claimed that service quality cannot be seen easily as a mean to provide customer satisfaction as not all customers know their needs. He

suggested viewing process quality as an approach to change front-line staff attitudes and behaviour by identifying typical problems and their preventative techniques.

Figure 2.3: Total Quality Management Model



Source: [6, p. 15]

Source: Dean and Helms (1996) p 51

2.4. Quality Awards

The global recognition of the strategic importance of quality encouraged many countries to establish national quality awards to encourage quality management consciousness and increase competitiveness. Governments can be achieved through facilitating the sharing of experiences and encourage cooperative behaviour among businesses (Ruben et al, 2007). Because of the growing importance and the considerable prestige that these quality awards hold, companies have become interested in adopting excellence models (Biazzo and Bernardi, 2003). Quality Awards such as Japanese Deming Prize, the American Malcolm Baldrige National Quality Award (MBNQA), and the European Quality Award (EQA) are set up with a framework to measure overall organization performance and provide common frameworks for benchmarking. Those awards give the chance to for the organizations to identify best practice role models (Gadd 1995).

Furthermore, McAdam (2000) noted that the introduction of the quality award models in the early 1990s, e.g. European Quality Award, Malcolm Baldrige Award, was the main drive for organizational excellence. Oakland (2005) declared that any award frameworks were considered to be "best practice models for implementing excellence strategies, performing self-assessments, benchmarking and ultimately delivering improved performance." Ruben et al, (2007) pointed that winning a quality awards is considered as a symbol of quality and business excellence therefore, it provide significant publicity. It also supports organizations to understand their present situation and develop future performance. In fact, there are many of quality awards in the world such as:

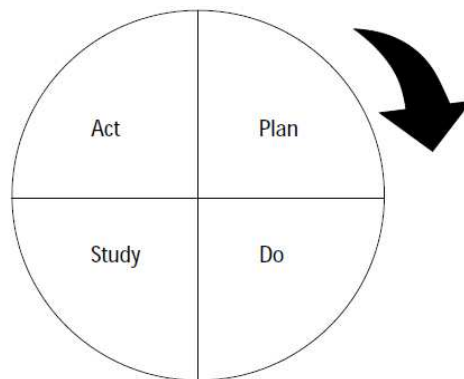
- Deming Quality Award 1951
- Malcolm Baldrige Award 1987
- European Quality Award 2001 (EQA);
- European Quality Award for SMEs 1998 (EQA for SMEs);
- Singapore Quality Award Framework 1994
- Australian Business Excellence Framework 1998
- Dubai Quality Award 1995
- Dubai Government Excellence Award 1996
- Egypt Quality Award 1997
- King AbdulAziz Quality Award 2000
- King Abdullah II Quality Award 2002
- Ras Al Khaimah Government Excellence Award 2006
- Abu Dhabi Award for Excellence in Government Performance 2007
- Japan Quality Award 2000
- Prime Minister's Quality Award 2000 - Malaysia
- Sri Lanka National Quality Award 2001

2.4.1. The Deming Prize

The Deming Prize in Japan was created in 1951 in recognition of Dr Deming's contributions to Japan's industries. It was formulated to spread the quality by

recognizing performance improvements resulting from the successful implementation of total quality control and it falls in four categories: Deming Prize for Individuals, the Deming Application Prize, and the Quality Control Award for Operations Business Units (Lee 2002; Baila 1996). Deming Prize is awarded to a company which has achieved outstanding performance improvements results through the application of TQM using Deming Cycle (Figure 2.4). That includes establishing challenging and customer-oriented business objective under clear management leadership. .

Figure 2.4: Deming Cycle



Source: Cleary B, 1995, 36

2.4.2. Baldrige Award

The Malcolm Baldrige National Quality Award (MBNQA) was established in 1987 as the first quality award in the west with a seven categories: leadership; strategic planning; customer and market focus; information and analysis; human resource

focus; process management; business results (Oakland 2005; Shergold and Reed 1996; Ruben et al 2007, Lee 2002).

Ruben et al (2007) stated that the Baldrige model has been popular for organizational self-assessment. They referred to a study done by Government Accounting Office in the United States of America that scoring high in Baldrige award led to increased job satisfaction, improved attendance, reduced turnover, improved quality, reduced cost, increased reliability, increased on-time delivery, fewer errors, reduced lead time (customers), improved satisfaction, fewer complaints, higher customer retention rates (profitability), improved market share, and improved financial indicators" (Heaphy and Gruska, 1995 cited in Ruben et al 2000).

Figure 2.5: Baldrige Criteria for Performance Excellence Framework A Systems Perspective



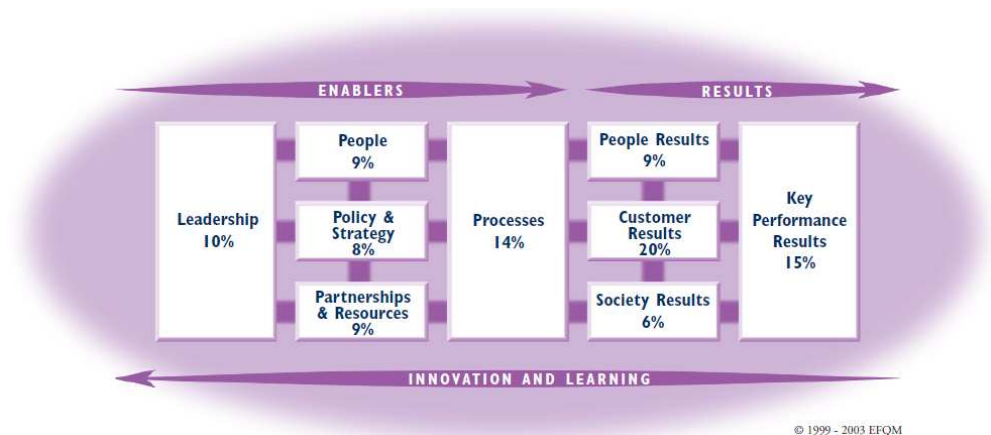
Source: Baldrige 2008

2.4.3. European Quality Award

The European Quality Award (EQA) was officially launched in 1992 based on the European Foundation for Quality Management (EFQM) Excellence Model. The main purpose of the award is to support and recognize the effective TQM practices in

development of the structures and infrastructures of an organization in order to meet its goals. The EQA model highlights that financial results are not the only measure of performance (Lee, 2002). It allows for set of measures in the result section along with a description of the organization's activities which provide these results in the enablers section, as in Figure 2.6. Gadd (1995) pointed that "when an organization self-assesses against the model, it is providing a means of identifying areas of strength, competences, and capabilities, as well as identifying areas for improvement within the organization."

Figure 2.6: The EFQM Excellence Model



Source EFQM 2008

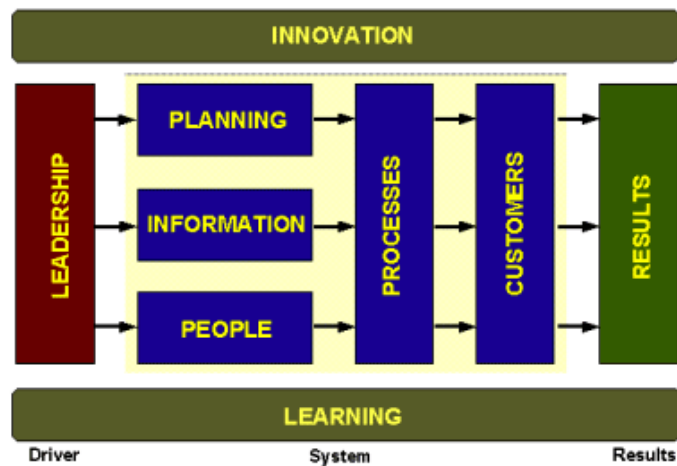
2.4.4. The Singapore Quality Award (SQA)

The Singapore Quality Award (SQA) was established Singapore in 1993 and modeled on best features of Deming Prize, MBNQA and EAQ. The award model address seven key aspects key business operations in order to meet customer and operational requirements through a number of core values (SQA 2000):

- Visionary Leadership

- Customer-Driven Quality
- Innovation Focus
- Organisational and Personal Learning
- Valuing People and Partners
- Agility
- Knowledge-Driven System
- Societal Responsibility
- Results Orientation
- Systems Perspective

Figure 2.7: Singapore Quality Award Framework



Source : SQA 2009

2.4.5. Dubai Government Excellence Program

Dubai Government Excellence Program (DGEP) was launched in 1996 aiming at improving government sector's performance in order to comply with the latest development in all fields through the provision of moral incentives and the establishment of a motivating working environment. Furthermore, the DGEP seeks promoting the principles of excellence, creativity as well as quality by installing the best administrative professional practices and executing the most advanced and

effective working methods. The DGEP excellence model is based on the EFQM model and the excellence awards are granted in two categories (Dubai Government Excellence Program 2009):

- Administrative Excellence (Distinguished Government Department - Gold Category, Distinguished Government Department, Distinguished Government Division, Distinguished E-Government Department, Distinguished Team, Distinguished Administrative Initiative, and Distinguished Technical Project)
- Employee Excellence (Distinguished Government Employee, Distinguished Administrative Employee, Distinguished Financial Employee, Distinguished Technical/Engineering Employee, Distinguished Specialized Employee, Distinguished Field Employee, Distinguished Employee in Supervisory Jobs, Distinguished Female Employee, and Distinguished New Employee)

2.4.6. Abu Dhabi Award for Excellence in Government Performance

Abu Dhabi Award for Excellence in Government Performance is also based on EFQM model and was launched in 2007 to increase awareness of the requirements for excellence in Abu Dhabi government departments. It encourages competitiveness for improvement in all government services, practice sharing of information and spread the knowledge of successful improvement practices. It focuses on achieving fullest customer satisfaction and increase quality standards. There are three categories of the award (Abu Dhabi Award for Excellence in Government Performance 2009):

- Excellence Government Department
- Excellent Technical/Managerial Project
- Excellent Employee

2.4.7. Ras Al Khaimah Government Excellence Award

Ras Al Khaimah Government Excellence Award is based on based on the EFQM excellence model and was introduced in 2006 with the aim of increasing government services performance. It motivates all employees in a positive environment. It focuses on increasing customer satisfaction through developing government services performance and increasing their efficiency and effectiveness. Sharing knowledge and good practices was also one of the award objectives which enable all departments to learn from others (Ras Al Khaimah Government Excellence Award 2008). The Award categories are:

- Excellence Government Department
- Excellent Employee

2.4.8. Sheik Khalifa Excellence Award

The is based on the EFQM excellence model and intended to promoting awareness and understating of the TQM, reward and acknowledge excellent performance efforts and enhance and strengthen the competitiveness of Abu Dhabi enterprises. Consequently that will have a great impact on enhancing those companies contribution to the national economy. The award is offered to organization of all sizes in all sectors (Manufacturing, Services, Trade, Construction, Tourism, Financial, and Professional), (Sheik Khalifa Excellence Award 2009).

2.4.9. Dubai Quality Award

Dubai Quality Award is as the previously mentioned UAE awards based on the EFQM excellence model. It is directed the enterprises located in Dubai to increase competitiveness and improve the market. It falls in three categories, (Dubai Quality Award 2008):

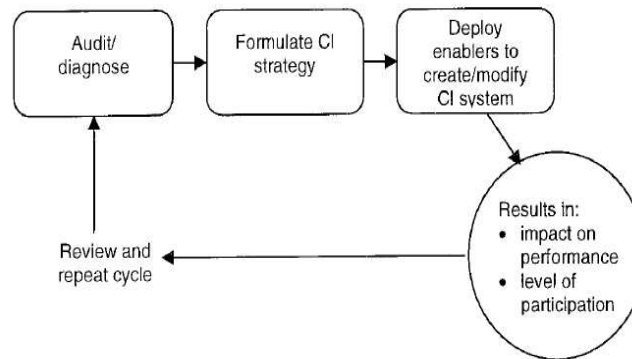
- The Dubai Quality Award Gold Category (GOLD) which is presented to organizations that have been previous winners of the Dubai Quality Award (DQA), after indicating tangible continuous improvement over past performance.

- The Dubai Quality Award (DQA) presented to enterprises in various sectors.
- The Dubai Quality Appreciation Program (DQAP) is presented to winners in appreciation of their effort and their work on their journey for excellence.

2.5. TQM and Continuous Improvement

Continuous Improvement (CI) is a main principle in TQM as it is applied to all organizational functions. As a result it gives the chance to the organization to modify all its elements to meet customer expectations. That is why continuous improvement is very important for organization's survival. Benavent, Ros and Moreno-Luzon (2005) CI also helps the organizations to view quality implementation as a long-term process by following Shewart/Deming cycle Figure 2.4 or a typical organizational development cycle like the one shown in Figure 2.8. The first step in that cycles (Audit/Diagnose) is to understand the current situation by knowing current business process, understanding how it operates and identifying the impact of any constraints. That will lead to the second step formulating CI strategy which involves planning further development of CI. It is necessary identify examples of good practices and to learn from others for better implementations. In order to measure CI progress the organization can bring external assessor or carry out internal audit (Caffyn 1999).

Figure 2.8: A generic strategic framework for developing continuous improvement capability



Source: Bessant and Caffyn, 1997 cited in Caffyn 1999 , p1139

Between 1992-1997 the Continuous Improvement Research for Competitive Advantage (CIRCA) team carried out a research and came up with a CI Capability Model. It describes CI in terms of a set of behavioural routines as in Table 2. These behaviours are displayed by individuals and groups and are closely linked to core abilities relevant to the organization (Caffyn 1999).

Table 2.2: The core organizational abilities and key behaviours for continuous improvement

Core abilities	Key behaviours
A The ability to link CI activities to the strategic goals of the company	1 Employees demonstrate awareness and understanding of the organization's aims and objectives 2 Individuals and groups use the organization's strategic goals and objectives to focus and prioritise their improvement activities
B The ability to strategically manage the development of CI	3 The enabling mechanisms (e.g. training, teamwork, methodologies) used to encourage involvement in CI are monitored and developed 4 Ongoing assessment ensures that the organisation's structure, systems and procedures, and the approach and mechanisms used to develop CI, consistently reinforce and support each other
C The ability to generate sustained involvement in CI	5 Managers at all levels display active commitment to, and leadership of, CI 6 Throughout the organisation people engage proactively in incremental improvement
D The ability to move CI across organizational boundaries E The ability to learn through CI activity	7 There is effective working across internal and external boundaries at all levels 8 People learn from their own and others' experiences, both positive and negative 9 The learning of individuals and groups is captured and deployed
F The ability to articulate and demonstrate CI values	10 People are guided by a shared set of cultural values underpinning CI as they go about their everyday work

Source: Caffyn 1999 , p 1143

2.6. Chapter Highlights:

TQM seeks to integrate all business functions to meet customer needs and organizational objectives. Therefore, companies apply business excellence model and participate in quality awards to be recognized as quality oriented organization and maintain continuous improvement by improving the enablers and the results.

In conclusion, this chapter provides an introduction to Total Quality Management covering its background and elements. It also covers the main elements of TQM implementation such as cultural process, management commitment, leadership and customer focus. It focuses on TQM implantation's benefits, barriers and lessons learnt from TQM implementation. It details factors concerning the implementation of TQM in government agencies such as globalization; competition; customer expectations; and product life cycles. It also discusses quality awards and gives brief overview of four examples of quality award in the world. Furthermore, it studies the relation between TQM and continuous improvement as TQM is very essential for organization survival through continuous improvement.

CHAPTER 3 - BUSINESS EXCELLENCE

This chapter represents literature reviews and illustrates the meaning of business excellence model of the European Foundation for Quality Management (EFQM). It highlights on the history of the model and its benefits and provides a critique on the model concept, approaches and the relationships of the model.

CHAPTER 3

LITERATUE REVIEW

BUSINESS EXCELLENCE

3.1. Introduction

The intention of improving organizations ' performance is to compete with high quality level organizations in Japan was the one of the main drivers for organization in the West and Europe to use business excellence models over the last 20 years. (Williams et al 2006). In fact, the increased level of complexity, globalization and rapid changes in the world drives organizations to give more attention to improving their capabilities to adapt to the competitive environment and anticipate new changes. As a result these organizations should focus on TQM principles and practices. Moreover, global competition in industry drove many countries to form committees to establish business excellence models.

Furthermore, the establishment of the Malcolm Baldrige quality award in the United States of America in 1987 gave more focus on quality importance to the techno-economic competitiveness in the global market. Gradually the manufacturing and service industries including the public sectors considered implementing the TQM principles, (Golhar and Ahire 1995).

The European Foundation for Quality Management (EFQM) excellence model has been in use since 1991. It was firstly implemented by “industrial” organizations then the interest on implementing EFQM model moved to many public sector organizations. That resulted in developing a version of the EFQM model for public sector. Many other models were developed in many countries in the world having a number of common elements and concepts, (Shergold and Reed 1996).

The primary principle in business excellence is continuous improvement as it is applied to all organization functions like strategy, process, human resources and leadership, (Benavent et al. 2005). It supports the organization to stay dynamic and have the ability to compete with other organizations. Consequently, an organization has to monitor its functions by using an appropriate performance measurement system on a regular basis in order to achieve a sustainable continuous improvement process and set future objectives, (Ritchie and Dale 2000, Wongrassamee et al. 2003; Adebajo 2001; Leonard, McAdam 2002). In this perspective, quality management self-assessment is considered as a practical tool for promoting the continuous improvement of the organization using a suitable excellence model.

3.2. Definition of Business Excellence

Business Excellence is defined by European Foundation for Quality Management as "Outstanding practices in managing the organisation and achieving results, all based on a set of eight fundamental concepts". These fundamental concepts are "results orientation; customer focus; leadership and constancy of purpose; management by processes and facts; people development and involvement; continuous learning, innovation and improvement; partnership development; and public responsibility" (Business Performance Improvement Resources 2008).

3.3. EFQM Excellence Model background

The Malcolm Baldrige National Quality Award (MBNQA) in the United States of America and the Deming Prize in Japan encouraged the establishment of the EFQM in 1988 by 14 major European companies. European Model for Business Excellence was launched in 1991 followed by the presentation of European Quality Award (EQA) in 1992. The Model was adopted from the Total Quality Management principles and integrated the lessons learned from MBNQA, (Hides et al 2004; Shergold and Reed 1996; Adebajo 2001; Wongrassamee et al 2003).

3.4. Uses of EFQM Excellence Model

EFQM Excellence Model can be used as a tool to:

- Measure organization current position, identify improvement opportunities and generate plans and solutions.
- Establish suitable management systems
- Develop a common language and way of thinking about quality management
- Improve business planning process and integrate strategies to develop organization performance (EFQM 2008, Davies 2008).

3.5. EFQM Excellence Model Concept

The fundamental concepts of the Model are as follows (Figure 3.1):

- Results Orientation: results are achieved to delight all organization's stakeholders.
- Customer Focus: the organization creates a sustainable customer value.
- Leadership and Constancy of Purpose: visionary and inspirational leadership is tied up with constancy of purpose
- Management by Processes and Facts: manage and operate by interdependent and interrelated systems, processes and facts
- People Development and Involvement: maximize employees' contribution by involving and developing them
- Continuous Learning, Innovation and Improvement: challenge change and encourage organization learning in order to create innovation and improvement opportunities (EFQM, 2008).

Figure 3.1: Model Fundamental Concept



Source: EFQM, The Fundamental Concepts of Excellence, 2008

3.6. EFQM Excellence Model Approach

The Business Excellence Model aims at providing systematic and non-prescriptive framework for understanding business performance management. It is based on nine TQM principles called criteria divided into two main categories Enablers and Results as shown in Figure 2.6. The enablers which represent what an organization can operate and they include five criteria (leadership, policy and strategy, people, partnerships and resources and processes). While, the other four results criteria represent business achievements and they consist of (customers, people, society and key performance) as shown in Table 3. That explains the Model fundamental assumption as the balance between that how the organization approaches its business and the result it has achieved. In another word, excellent business results are achieved and caused by the enablers. That means excellent Results are obtained through excellent leadership driving the other four Enabler criteria.

Furthermore, each of these criteria can be used as a measure of organization's excellence (as a self-assessment tool) and as benchmark with other organizations

(EFQM 2008; Verner et al 2007, Donnelly 2000; Shergold and Reed 1996; Bou-Llusar et al 2005; George et al 2003; Bhatt 2001; Rusjan 2005; Dubai Quality Award 2008). Rusjan (2005) noted that the arrows emphasize the dynamic nature of the model and that innovation and learning assist Enablers improvement which leads to improvement in Results.

As the model is a non-prescriptive, it widens the scope of implementing excellent quality management practices. It also can assist the senior management in understanding and supporting TQM (Wiele et al. 2000 cited in Bou-Llusar et al 2005). Furthermore, it does not detail instructions of how to apply the nine criteria (Wongrassamee et al. 2003). However, each criterion is broken down into set of sub-criteria and each sub criteria is embodied by many guidance points to illustrate how to meet criteria requirements. Each criterion is broken down into several sub-criteria and each sub-criterion is illustrated with various “guidance points” that exemplify what the organisation has to do in order to develop the criteria (Bou-Llusar et al 2005).

The percentages allocated for each criterion represent its weight in the EQA and for organization self assessment. The score of Enablers criteria is given according to the degree of excellence and the degree of deployment in each approach. Likewise, the score in the Result criteria depends on the degree of excellence is achieved results and to the scope of the result (Wongrassamee, 2003).

3.7. Relationships in the EFQM Excellence Model

As explained earlier, the business excellence model consists of two main categories: Enablers and Results. Enablers should focus on stakeholder requirements and on maintaining sustainable improvement activities. They should be managed by excellent leadership and supported by policy and strategy. In addition, Enablers should be innovative, flexible and measurable. On the other hand, Results focus on

dealing with all stakeholders and measuring criterion approaches and its deployment using performance indicators. They should show a complete picture and positive trends in performance for 3-5 years. Moreover, Results should be based on benchmarking studies and segmented performance indicators of present and future (Dubai Quality Award 2008).

Bou-Llusar et al (2003) stated that there is an internal structure between the enabler criteria as leadership drives policy and strategy, people, partnership and resources which affect the result through processes. They referred to a study done by Eskildsen and Kanji (1998) which suggest that "weaknesses in the management of people and processes can be seen in people results and key performance results". Bou-Llusar et al (2003) also pointed to Prabhu *et al.* (2000) conclusions of the strong association between the following:

- "people and people results;
- emphasis on leadership and customers, through the assurance of good training for employees (people); and
- people-related issues on operational performance measures (key performance results)" Bou-Llusar et al (2003).

Table 3.1: EFQM Excellence Model Criteria

ENABLERS	
Leadership	Excellent Leaders develop and facilitate the achievement of the mission and vision. They develop organizational values and systems required for sustainable success and implement these via their actions and behaviours. During periods of change they retain a constancy of purpose. Where required, such leaders are able to change the direction of the organization and inspire others to follow.
Policy and Strategy	Excellent Organizations implement their mission and vision by developing a stakeholder focused strategy that takes account of the market and sector in which it operates. Policies, plans, objectives, and processes are developed and deployed to deliver the strategy.
People	Excellent organizations manage, develop and release the full potential of their people at an individual, team-based and organizational level. They promote fairness and equality and involve and empower their people. They care for, communicate, reward and recognize, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the organization.
Partnerships and Resources	Excellent organizations plan and manage external partnerships, suppliers and internal resources in order to support policy and strategy and the effective operation of processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the organization, the community and the environment.
Processes	Excellent organizations design, manage and improve processes in order to fully satisfy, and generate increasing value for, customers and other stakeholders.
RESULTS	
Customer Results	Excellent organizations comprehensively measure and achieve outstanding results with respect to their customers.
People Results	Excellent organizations comprehensively measure and achieve outstanding results with respect to their people.
Society Results	Excellent organizations comprehensively measure and achieve outstanding results with respect to society
Key Performance Results	Excellent organizations comprehensively measure and achieve outstanding results with respect to the key elements of their policy and strategy.

Source: EFQM 2008

3.8. EFQM Excellence Model Implementation

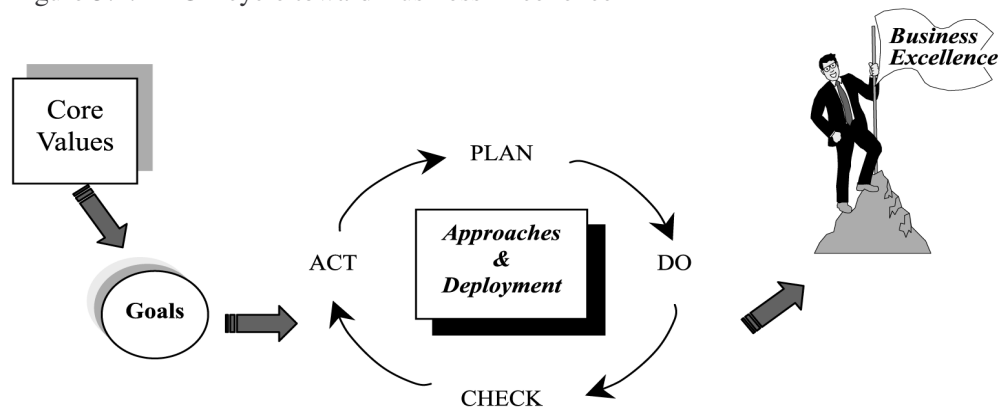
The planning for the implementation of the criteria approaches an organization should consider the following points:

- Implement the approaches across the organization and explain the process to concerned stakeholders.
- Apply regular measuring system for approaches" effectiveness
- Propose learning opportunities by overcoming weak performance activities.
- Benefit from similar practices applied by others through benchmarking methodology.
- It is very crucial to base the improvement plan on the feedback and output from performance measures (Dubai Quality Award, 2008).

3.9. EFQM Excellence Model Tools

Lee (2002) illustrated the implementation of the excellence model using the PDCA cycle. (Figure 8) He stated that the model gives guiding structure for organization to effectively implement TQM programs and ensures the organization continuously improve on TQM initiatives. The first step in implementing the model is to set core values and its target goals followed by implementation programs based on the PDCA cycle.

Figure 3.2: PDCA cycle toward Business Excellence

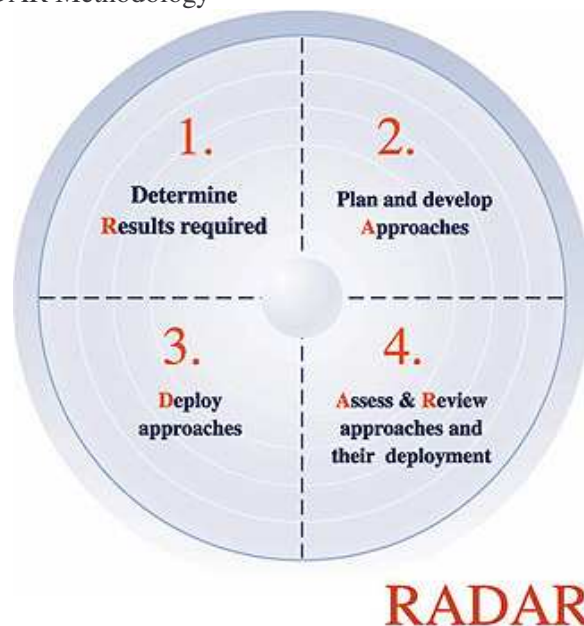


Source: Lee (2002), p 147

Another method of implementing the model is Results, Approach, Deployment, Assessment and Review (RADAR) method (Bhatt 2001; Dubai Quality Award 2008). RADAR methodology can be described as follows:

- **Results:** determine the required result by covering all performance aspects in line with organization policy and strategy. Results are determined to assess considers trends, targets, comparisons, causes and scope
- **Approaches:** plan and develop methods for delivering the desired results.
- **Deploy:** implement those approaches in a systematic manner to ensure that all approaches are completely deployed.
- **Assessment and Review:** examine and analyse the result achieved in regular basis to monitor, identify priorities and plan implementation improvement when needed. (Dubai Quality Award 2008; Moeller 2000)

Figure 3.3: RADAR Methodology



Source: Dubai Quality Award 2008)

3.9. Contrast between Business Excellence and ISO 9000

ISO 9000 series of quality standards provides guidelines for any organization to establish or improve its quality management system. Dwyer, G. (2002) found crucial

different between business excellence and quality standard ISO 9000. He pointed that business is viewed as philosophy of continuous quality improvement, while ISO 9000 identifies standards for an organization to obtain quality accreditation. Furthermore, Ho, S. 1997 included some of the similarities between the tow concepts that are found in Dwyer (2002) literature review:

- "Both aim to create a new culture in organisations that recognise the need to transform themselves.
- Both strive to have organisations develop their human resources, as individuals and in groups, to the fullest extent possible.
- Both focus on satisfying genuine needs and expectations of all stakeholders.
- Both insist on formulating and solving problems with information based on facts.
- Both emphasise the long-term view rather than looking for a quick fix.
- Both draw on vast reservoirs of knowledge from different scientific fields."

Dwyer, G. (2002)

3.11. Contrast between Business Excellence and TQM

McAdam, R. (2000) claimed that the literature showed difference between TQM and organizational excellence. He noted that "Key distinctions are that TQM has a long history while organizational excellence is a more recent phenomenon. Furthermore, TQM has an established base of theory and practice as distinct from organizational excellence which is more vague and an aspiration goal." McAdam, (2000) summarized the difference between TQM and business excellence in the following table. He mentioned that the current literature showed a growing interest in TQM theory and practice. Furthermore, he mentioned that TQM have a number of critical axes and its journey was the initial start point to business excellence. Furthermore, Adebajo, (2001) referred to Peters (2000) note that quality was seen as out of date to an extent compared to excellence concept. He also declared that the contrast between excellence and TQM was more obvious in the public sector as it did not have notable success.

Table 3.2: Key dimensions of quality terminology

Terminology dimensions	Total quality management	Organisational excellence	Business improvement
History	Established twentieth century historical roots. Now combines both social and technical approaches	First prominence in 1982. Thereafter during the quality awards era (1990s)	Synonym for total quality management, avoids use of the word "quality" which may be beneficial in some organisational contexts
Pedagogy	A distinct pedagogy has emerged from philosophy and theory through implementation frameworks and tools and techniques	More aspirational than having key concepts. Lack of rigorous theoretical or conceptual base	See total quality management
Current claims in the literature	Established approach at all levels for improving organisations. Also established in academia	Viewed as a somewhat vague aim point for organisations involved in using business excellence/quality awards	See total quality management
Longitudinal phases	The total quality management journey involves organisations progressing from an initial starting point to business excellence	A "nervana" for those organisations progressing along their quality journey. Could possibly help in rating enabling activity at all stages of the journey	See total quality management
Overlaps and distinctiveness	Clearly distinct from organisational excellence. Some overlap is possible due to grading of total quality management actions at any level	Organisational excellence remains distinct from total quality management despite confusing use of the terms in organisational practice	See total quality management

Source: McAdam, R. (2000), p 319

3.12. Chapter Highlights

The review of literature in this Chapter has focused largely on EFQM Excellence model. It is a comprehensive tool that assists the organizations to stay dynamic and continuously improve its performance level. It also can be used to examine an organization against set of criteria in order to know the current excellence level through periodic self-assessment as its based on facts not perceptions. (Denis Leonard 2002, Rodney McAdam, 2002) It supports the organization to benchmark with others to sustain continuous improvement and set future objectives. Implementing the EFQM Excellence Model can be considered as a way to integrate various quality initiatives into normal business operations. It is based on different fundamental concepts and nine criteria divided into two main categories "Enablers" and "Results". In fact, there is no one way to implement the model; however, the most common ones are PDCA cycle and RADAR method. Furthermore, the literature

showed comparison between the model and ISO 9000 and TQM and briefed some similarities and differences.

CHAPTER 4 - SELF-ASSESSMENT

This chapter represents literature review and details an overview of self-assessment in terms of definition, history and development. It describes the self-assessment types, approaches, framework, benefits, objectives, aspects and drawbacks.

CHAPTER 4

LITERATUE REVIEW

SELF-ASSESSMENT

4.1. Overview

Self-assessment is an essential tool for any organization willing to monitor and measure its system. It is a new phenomenon in the West; however, its history goes back to the formation of the Deming Prize in Japan in 1950's, (Zairi, Whymark. 2003). Self-assessment enables the organization to regularly verify what activities are going as desired, is there a decline, what needs to be developed and what the gaps between actual and desired results are, (Yang et al. 2001). In addition, self-assessment involves a thorough review of the organizations activities and results against criteria model such as the EFQM Excellence Model. The process of self-assessment against the EFQM Excellence Model offers a systematic measure of the organization's strengths and areas of improvement which drive the organization to develop and implement action plans, (Bou-Llusar 2005).

Self-assessment is defined by the EFQM as:

"Self-Assessment is a comprehensive, systematic and regular review of an organization's activities and results referenced against the EFQM Excellence Model. The Self-Assessment process allows the organization to discern clearly its strengths and areas in which improvement can be made. Following this process of evaluation, improvement plans are launched, which are monitored for progress. Organizations carry out this cycle of evaluating and taking action repeatedly so that they can achieve genuine and sustained improvement." (EFQM 2008)

For that definition we can consider self-assessment as a systematic tool that allows the organization to draw its action plans based on understanding its strengths and weaknesses which is termed as areas of improvement.

Hillman (1994) defined self assessment as "the process of evaluating an organization against a model for continuous improvement, in order to highlight what has been achieved and what needs improving". His definition goes with the same aspects of EFQM definition.

4.1.1. Self-Assessment Objectives

Self-assessment aims at verifying strengths and opportunities of improvement and provides direction for development process. Therefore, it can be considered as a base for planning improvements and strategic planning. In addition, it manages the whole business because it provides assessment for leadership, policy making, processes, human resources, customers and result orientation. Scoring and benchmarking and comparing the organization performance with world class organization are also an objective of conducting self-assessment. Moreover, organization implement self-assessment to retain customer in the future (Vernero et al. 2007, Hides et al. 2004; Benavent et al. 2005).

4.1.2 Benefits of Self-Assessment

The majority of literature on self-assessment shows that self-assessment contributes to achieving the following:

- It offers clear identification of strengths and areas of improvement, (Vernero et al. 2007; Hides et al. 2004). Beyond doubt this will increase the pace of improvement actions which is one of the main objectives of the self-assessment.
- It manages the whole business because it provides assessment for leadership, policy making, processes, human resources, customers and result orientation, (Vernero et al. 2007; Hides et al. 2004; EFQM 2008, Gadd 1995). Focused leadership is one of the major benefits as managers can review the assessment of the business and provide the direction accordingly.
- It organizes and prioritizes action plans based on the fact of what has been achieved and what needs to be achieved, (Hillman 1994). Action plans are derived from reviewing the investigation of organization strength and areas of

improvement. That gives more value for the action plans as they improve the current status of the organization activates and

- It offers an opportunity of learning from the collected data over the time, from benchmark of best practices, and other organizations, (Hillman 1994; Aly 1997 cited in Benavent 2005; Gadd 1995). Benchmarking gives the organization to learn from compare and contrast different practices. Good ideas and procedures can be borrowed and modified to suite organizations strategies and culture, (Wilson and Pearson, 1995 cited in Samuelsson and Nilsson 2002). Consequently, these activities establish the foundation based for the organization to a learning organization and many activities and approaches will be developed.
- It maximizes employees involvement be contributing to the assessment process which increase their motivation, ownership and commitment to development activities, (Hillman 1994; EFQM 2008)
- It demonstrates a long term commitment of top management, enhances their role of empowering staff, focuses their leadership and provides more control on resources, (Hillman 1994; EFQM 2008, Gadd 1995, Shergold and Reed 1996). Moreover, leaders seek to fulfil the criteria requirements of the EFQM Excellence Model for a systematic implementation of the model.
- It contributes to preserving customers in the future, (Fountain, 1998; Wilkes and Dale, 1998 cited in Benavent 2005). The reason behind that comes from the development of business performance and the desire to maintain quality in the provided services.
- It drives top management to focus on both key financial drivers of the business and other measures that urge those financial measures, (Gadd 1995).
- It establishes cultural change in different aspects such as team work in data collection, assessment, and planning and implementing action plans, (Gadd 1995). Furthermore, it spreads quality culture by understanding the quality management principles as a way of managing the business and running the processes, (Myers and Heller 1995 cited in Benavent 2005)

In order to make the most of the self-assessment process, the participants and concerned managers and staff should not use the result as a chance for blaming for

failure. It should be used as a tool to monitor the progress of approaching the model, enhance the strong areas, identify opportunities for developments and define action plan and strategies to overcome the gap in performance, (Hillman 1994). Besides, Laszlo (1999) cited in Samuelsson and Nilsson (2002) concluded that only few programs can survive without appropriate follow-up. His conclusion is absolutely right with self-assessment against the EFQM Excellence Model. That is because the follow-up framework of the self-assessment is maintained through continuous checking on the progress of action plans implementation that improvement and change can be seen and measured.

4.1.3. Types of Self-Assessments

Biazzo and Bernardi (2003) addressed three types of assessment logic:

- **Conformity logic:** is dominant evaluation logic in award-based self-assessment as example of this logic is award like self assessment
- **Consistency logic:** evaluates the alignment of organisational and contextual characteristics, in search for “stable and consistent configurations”.
- **Causation logic:** is the use of diagnostic schemes that establish and support the explicit shaping of the cause-effect relationships between the symptoms and the causes that bring about these symptoms. An example of this logic is the contingency model for organization analysis" outlined by Burrell and Morgan 1979 cited in Biazzo and Bernardi (2003). This model looks at the characteristics of the environment and four sub-systems strategic, operational, human, and managerial.

Another example is the 7S assessment which looks at the organization through seven interdependent factors: strategy, structure, management systems, management style, company skills, staff, and shared values (Waterman et al. 1980 cited in Biazzo and Bernardi 2003).

Another example of "causation-logic based" assessments is the "six-box-model" consists of leadership, strategy, relationships, coordinating mechanisms, rewards and structures. It provides a simple guide to identify the causes of unsatisfactory organization results. (Weisbord 1979 cited in Biazzo and Bernardi 2003)

Porras' (1987) diagnostic approach called the "stream organisational model" is also another example of the "causation-logic based" assessments which consists of diagnostic chart that collects and classify symptoms of ineffectiveness and traces linkages among these symptoms. The four systems under examinations are: technology, physical setting, organisational arrangements and social factors. (Biazzo and Bernardi 2003)

Based on that logic the literature showed that there are two types of organizational self-assessment:

- ***Award-like assessment:***

This type of assessment aims at measuring the level of excellence and result is the most crucial part of the process. The self-assessment model should determine clear requirements, has no space of ambiguity, and assign weight of those requirements. The assessment should be specific and clarify organizations characteristics. Furthermore, using a standardize assessment model enables the organization to compare the level of excellence with various organizations with a reasonable level of confidence, (Conti 2001). It is obvious that this type of assessment provides a quantitative score; therefore, it is essential that the assessment is conducted by an independent auditor to get reliable results. The auditor can be a third party as an external assessor or an internal audit conducted by an internal assessment team. The second type of assessors depends mostly on external expert as peer evaluations to support the internal assessment team.

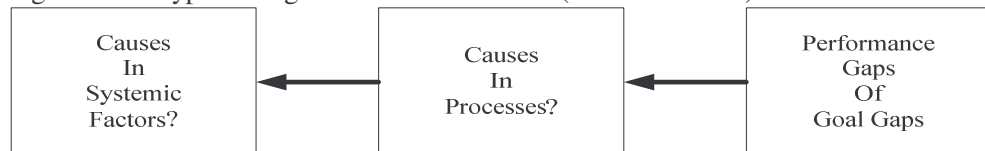
- **Diagnostic assessment:**

Self-assessment is an internal process; which engages employees at all levels and draws attention towards the prospective development and advancement, (Zairi and Whymark 2003). Conti (2001) mentioned that the diagnostic assessment is the real self-assessment which proves to be more important than the award assessment in promoting improvement. He mentioned that most companies and consultants conceive self-assessment more in term of measuring level of excellence than diagnosis. Organizations need to periodically benchmark with others in order to understand where they stand in terms of excellence level. Therefore, the diagnostic self-assessment should be the primary tool for improvement as an essential part of the PDCA cycle. To utilize the self-assessment as diagnostic process the assessment should:

- (a) Be based on a standard model like EFQM,
- (b) Starts from results and looks for causes; see figure 4.1, (Conti 2001).

However, some companies uses external expert thinking that the external eyes are more effective in recognizing weak spots, (Conti 2001).

Figure 4.1 : Typical diagnostic self-assessment (result to causes)

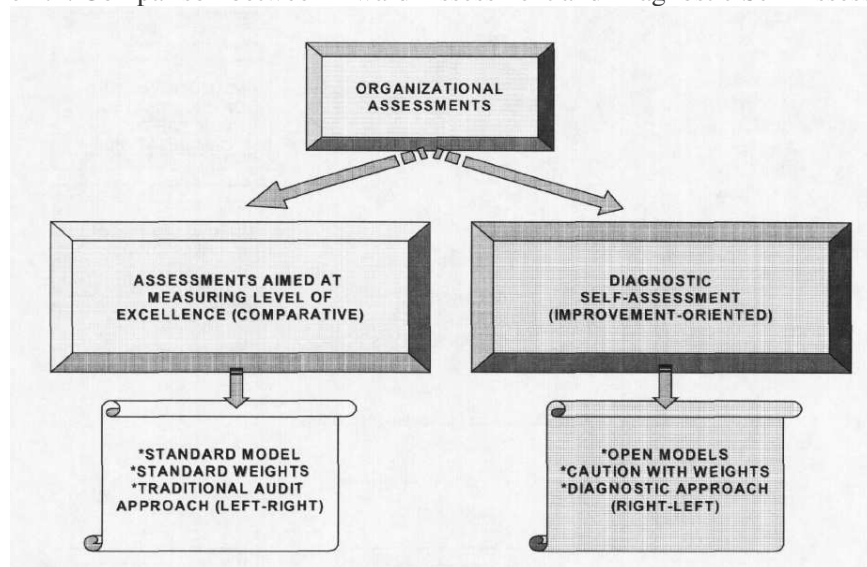


Source: Conti 2001, p 223

As this type of assessment uses a customised model for assessment, Van de Ven and Ferry (1980) cited in Biazzo and Bernardi (2003) suggested Organization Assessment Instruments (OAI) as a revealing model. The OAI contains a set of questionnaires designed to examine the organization's context, structure and performance at various level of analysis. The periodic and systematic surveys with OAI assess the strengths and weaknesses in the organization design. Those surveys also show how the changes in environmental and organizational conditions affect performance. They also provide an understanding of the consequences of improvement projects, (Van de Ven and Ferry 1980 cited in Biazzo and Bernardi 2003).

The following figure 4.2 and table 4.1 show a systematic comparison of the two types of assessment the "award-like self assessment" which aims at estimating organizational level of excellence while the other one aim at diagnosis and improvement. The assessments aimed at measuring level of excellence uses a standard model, standard weights and traditional audit. While the diagnostic self-assessment uses a customised model, caution with weight and apply right to left assessment approach (start from result and looks for causes). The participation in the first time is limited to managers and experts in the organization only. However, there is board participation in the diagnostic self-assessment and it is open to different level of staff. Furthermore, the outcome of award-like self-assessment is an application report that usually aims at highlighting points of strength. In contrast, the outcome of diagnostic self-assessment is a diagnostic report which aims at identifying weak points that may delay achievement of organization's goals. The result of this report is included in the organization improvement plan to overcome the obstacles.

Figure 4.2: Comparison between Award Assessment and Diagnostic Self Assessment



Source: Conti 2001, p 234

Table 4.1: the differences between award-like self-assessment and diagnostic self-assessment

Award-Like Self-Assessment	Diagnostic Self-Assessment
Standard model	Customized model
Audit type, left-right assessment process (from causes to effects)	Diagnostic type, right-left assessment process (from effects to causes)
Scoring capability high	Diagnostic capability high
Participation often limited to managers and experts	Board participation
Award assessment guide: non prescriptive	Self-assessment guide: somewhat prescriptive
Outcome of award-inspired self-assessment: application report, usually aimed at highlighting points of strength	Outcome of diagnostic self-assessment: diagnostic report, aiming at identifying weak spots that may hinder achievement of organization's goals. Input to improvement plan

Source: Conti 2001, p 234

Self-assessment options can be classified according to the nature of self-assessment tools in terms of integration of evaluation parameters as follows:

- The assessment parameters are external as self-assessment tools provide evaluation dimensions and the analysing data guideline; judgement capability relays on assessors knowledge and experience (Biazzo and Bernardi 2003).
- The assessment parameters are internal as self-assessment tools contain and detail judgement criteria; in order to incorporate the expert knowledge base necessary for evaluation (Biazzo and Bernardi 2003).

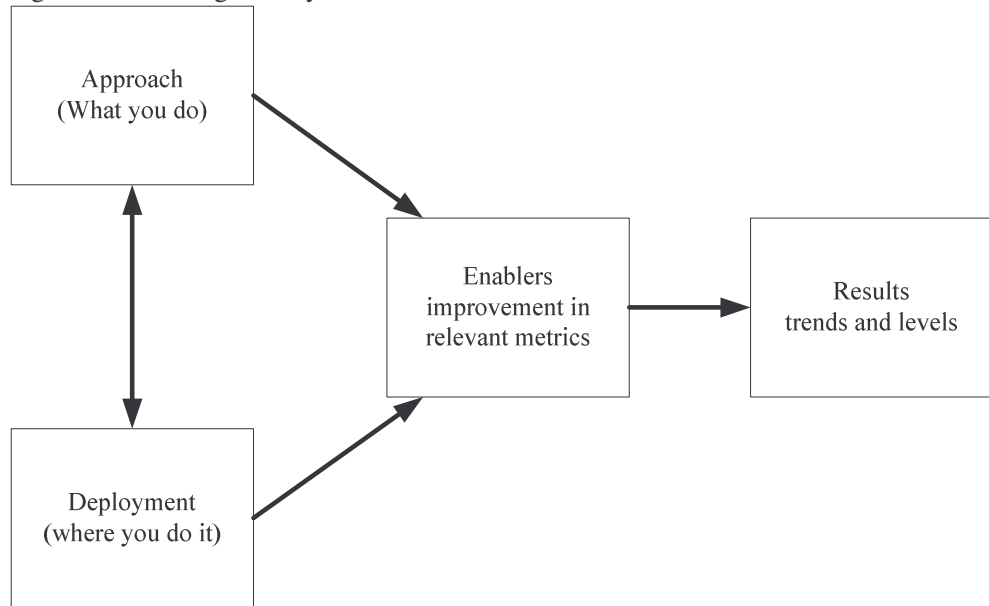
It is very important for the top management to understand the variations between the two kinds of self assessment. Moreover, they need to keep the objective of self assessment in view to in order to optimize the benefit of self-assessment process.

4.2. Self-Assessment Framework

4.2.1. Key Elements of self assessment process

As mentioned earlier the self-assessment aims at measuring organization's level of progress against excellence model. The method used examines the following:

Figure 4.3: Linkage of key elements of self assessment



Source: Zairi and Whymark 2003, p 33

- **Approach:**

This considers how the organization deals with business excellence model criteria and sub-criteria, focusing on how the method matches the requirements, how effective the method is. It also looks at the level of systematic, integrated and consistent application of the approach. It reviews the improvement cycle and the approach is based on data which are objective and reliable. In addition, it assesses the level of innovation in adapting the approach used to implement business excellence requirements, (Zairi and Whymark 2003).

- ***Deployment:***

This examines the degree of applying organization's approach of meeting the requirements of criteria and sub-criteria of excellence model. The assessment includes the used of the approach in meeting business requirements and use of approach by all concerned processes and units, (Zairi and Whymark 2003).

- ***Results:***

This assesses the result of achieving the objectives in each criteria and sub-criteria by examining the current performance level, performance level against benchmark, rate and importance of performance improvement; and sustained improvement, (Zairi and Whymark 2003).

4.2.2. Approaches to Self-Assessment

There are several approaches to self-assessment methods with different levels of merits and limitations as explained below. Therefore, the selected approach should suite the organization maturity and culture, and should be used as part of overall management process, (Samuelsson and Nilsson 2002). That means adequate planning should be designed with great consideration to organization learning culture. Jackson (1999) cited in Samuelsson and Nilsson (2002) argues that any improvement activities might be rejected if benefits are not identified. As a result, an organization should describe the approach to all concerned staff and clear their doubts before implementation.

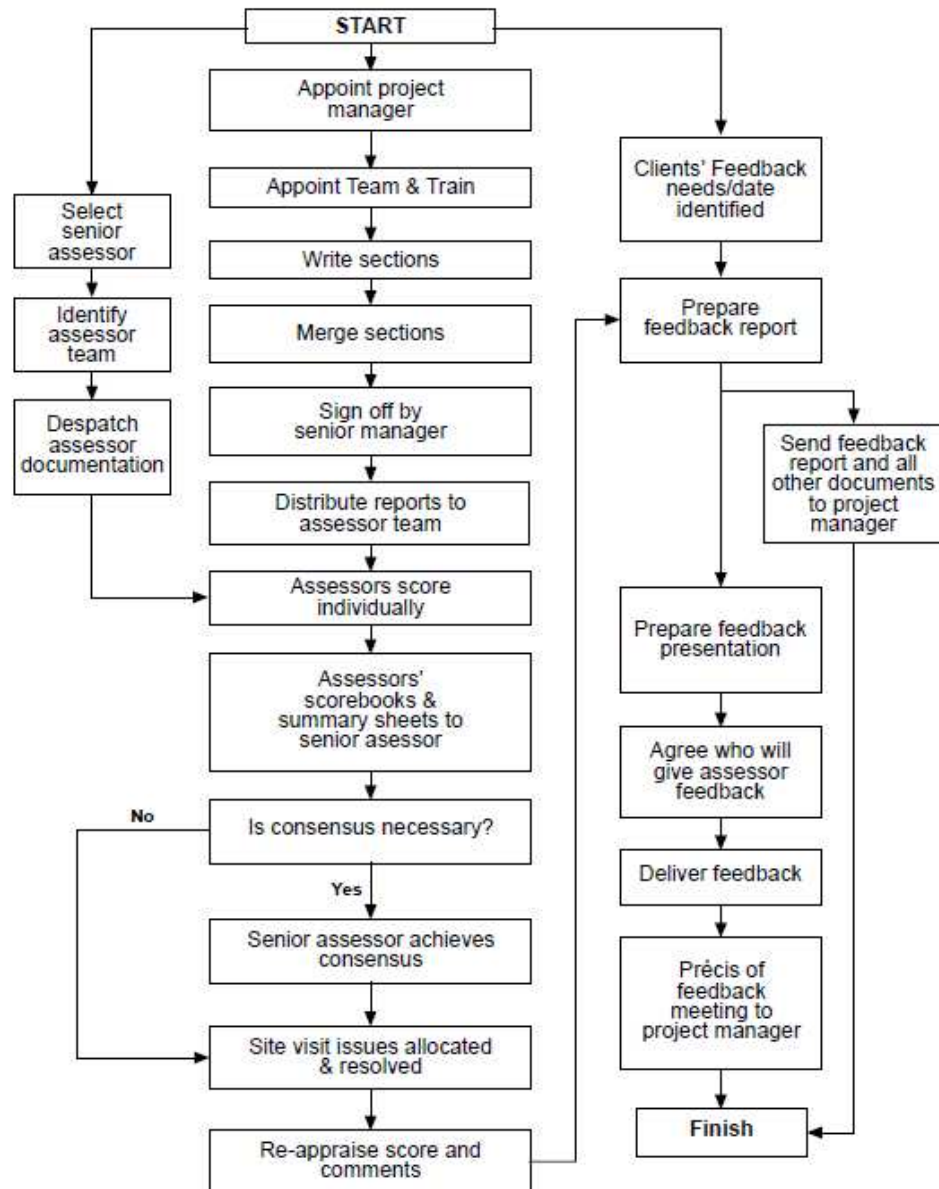
- **An award simulation approach:**

It requires writing a full submission document using criteria of a certain quality award model. It utilizes a complete assessment methodology incorporating the involvement of a team of internal assessors or external to the organization. The assessment team role is to score the application and produce a feedback report (Zairi and Whymark

2003, Ritchie and Dale 2000). The process of award simulation approach is explained in figure 4.4

The benefits of this approach are that it offers a list of strengths and areas of improvement it gives a chance to compare with other organizations and prepare for the award, (Hides et al. 2004). It is also a very comprehensive and gives clear picture about the organization. On the other hand, there is some draw back associated with this approach as declared by Shergold and Reed (1996) that this approach is time and resource consuming. Moreover, there is less involvement of managers as they delegate the task to staff and the submission document can be too ambitious, (Hides et al. 2004).

Figure 4.4: Award simulation approach process



Source: Zink and Schmidt (1998), p 162

- **A pro forma approach**

It involves producing a single page for each sub-criterion of the EFQM model. Each page is divided into section in the criteria and sub criteria are described. There are also sections for areas of strengths, areas for potential improvements, evidences and space for scoring (Zairi and Whymark 2003, Shergold and Reed 1996, Samuelsson and Nilsson 2002, Rusjan 2005, Hides et al. 2004, Zink and Schmidt 1998).

Figure 4.5: A pro forma approach form

Criterion 1 <p style="text-align: center;">Leadership</p> <p>Excellent Leaders develop and facilitate the achievement of the mission and vision. They develop organisational values and systems required for sustainable success and implement these via their actions and behaviours. 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.</p>			
<p style="text-align: center;">Sub-criterion 1a</p> <p>Leaders develop the mission, vision, values and ethics and are role models of a culture of Excellence.</p>			
Areas to address How leaders: <ul style="list-style-type: none"> • develop and role model ethics and values which support the creation of the organisation's culture • are personally and actively involved in improvement activities • review and improve the effectiveness of their own leadership and act upon future leadership requirements • stimulate and encourage collaboration within the organisation 		Strengths <ul style="list-style-type: none"> • The senior management team has developed a management competencies model that supports the organisation's ethics and values • Effectiveness of leaders is assessed by employee survey and 360 degree appraisals Areas for improvement <ul style="list-style-type: none"> • Leaders are not personally involved in improvement activities 	
Evidence <ul style="list-style-type: none"> • Competencies model available on organisation's intranet • Staff survey data from surveys of 1996, 1998, 2000 and 2002 appropriately segmented and individual leader's improvement actions included in their appraisal process 			
Approach <div style="text-align: right;">60%</div>	Deployment <div style="text-align: right;">50%</div>	Assessment & Review <div style="text-align: right;">20%</div>	Overall Score <div style="text-align: right;">45%</div>

Source : EFQM (1999, 2003) cited in Hides et al. 2004, p 199

The pro forma pages can be collected by employees individually or in teams. The team should gather all information, agree on common identified strengths and area for improvement and put the score result for the assessment at a consensus meeting (Samuelsson and Nilsson 2002). Shergold and Reed (1996) pointed that "a well-constructed set of pro-forma pages is appropriate for all criteria but is particularly suited to addressing the enablers".

The benefit of this approach is that it provides realistic information, produces a list of strengths and areas of improvement and it can give an indication of anticipated score in the quality award. However, the process of this approach depends on good data collection (EFQM 1999 cited in Hides et al. 2004). That means if the collected data was insufficient then the self-assessment will not give right indication of excellence level and development in the organization.

- **Workshop approach**

This approach gives the responsibility for the management team to gather the data and evidence and present them to their peers at a workshop supported by fully trained assessors to facilitate the process. The purpose of the workshop is to reach a consensus on strengths, area for improvement and score on the criteria. (Zairi and Whymark 2003; Shergold and Reed 1996; Samuelsson and Nilsson 2002; Hides et al. 2004; Ritchie and Dale 2000)

The workshop approach consists of five phases which should be carried out regularly in order to achieve continuous improvement. These phases are as addressed by Zink and Schmidt (1998):

1. **Training:** training session includes an overview of the EFQM excellence model criteria and scoring system and support the learning with an EFQM case study extract. That session shall be followed by a brief simulation of the scoring workshop to enable the trainees to agree the issues to be address.
2. **Data gathering:** adequate time shall be allocated to perform this task.
3. **Consensus workshop:** typically this workshop includes an explanation of the process by the facilitator then working through the EFQM model criteria. One of management team should describe the criterion and present the collected data to the other members highlighting strengths and areas for improvement. The team role is to review the provided data, discuss and reach an agreement

on strengths and areas for improvement. The scoring part should be an individual activity before sharing them to reach consensus.

4. **Improvement actions:** a set of proposed action plan on area of improvement should be developed individually and then presented in action planning workshop
5. **Reviewing progress:** it is very important to frequently follow up the progress of implementing action plans as part of normal business review process.

In fact, the advantage of this method is that it enhances the management team's knowledge on with the excellence model and it supports team building, (Hides et al 2004). When the management team reaches consensus on strengths and area for improvement, the action plans gets more value and support. However, this approach is less robust than the award simulation approach, depends on expert facilitation and can lead to unrealistic score (EFQM 1999 cited in Hides et al. 2004)

- **Questionnaire approach**

It is a simple approach which involves answering a questionnaire based on the criteria of EFQM model. There are two types of formats used, one is a yes/no format, the other one is a multiple choice answers providing sections for analyzing strengths and areas for improvement (See figure 4.6). (Zairi and Whymark 2003; Shergold and Reed 1996; Samuelsson and Nilsson 2002; Ritchie and Dale 2000)

This approach engages many people in the organization and can be easily applied and quickly completed. In contrast, accuracy of feedback depends on understanding and phrasing the original questions leading to inappropriate action plans, (Hides et al. 2004).

Figure 4.6: questionnaire approach

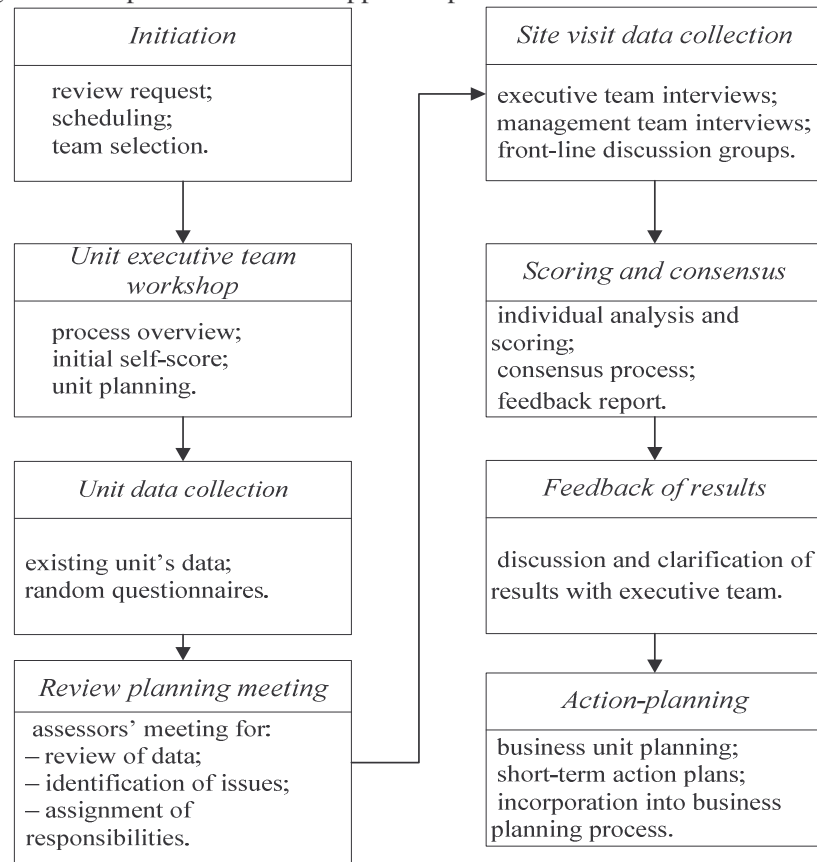
		Criteria:
Area to be assessed:		Scope of customer satisfaction measures and data collection tools
3.9	Do we obtain useful customer satisfaction and dissatisfaction information and is the information acted upon?	
Evidence:	<p>§ Is pro-active follow-up done with a large sample of our clients to determine their satisfaction with our services products?</p> <p>§ Do we measure customer satisfaction frequently and use adequate sample sizes?</p> <p>§ Do we thoroughly evaluate customer satisfaction levels by collecting data on such factors as response accuracy, timeliness, repeat business, complaints, refunds, warranty repair, incomplete orders, incorrect shipments and praise letters and timeliness and do we use this data to continuously improve our relationships with clients/customers?</p>	
<input type="checkbox"/>	1	No methods
<input type="checkbox"/>	2	Rarely useful and rarely acted upon
<input type="checkbox"/>	3	Sometimes useful and sometimes acted upon
<input type="checkbox"/>	4	Usually useful and usually acted upon
<input type="checkbox"/>	5	Always useful information and always acted upon
<input type="checkbox"/>	6	Always useful information and always acted upon and approach reviewed for effectiveness
Refer to the Glossary of Terms for an explanation of: <i>Customer satisfaction information</i>		
Strengths		Areas for Improvement

Source: Mann, 2007 p 5

- **Peer involvement approach**

This approach engages business units in formally undertake self-assessment putting together a submission report, similar to award simulation approach (Zairi and Whymark 2003). The assessment team combines junior employees with the unit with trained assessors selected by managers external to the unit in order to assess the unit objectively. Team assessment and a structure site visit can increase the degree of accuracy in scores and feedback as well as the level of commitment from business units. (Zink and Schmidt 1998)

Figure 4.7: a peer involvement approach process



Source based on Zink and Schmidt, 1998

An organization should carry out the above process periodically, providing enough time for improvement actions to take place. Zink and Schmidt (1998) recommend that senior line managers can act as assessors to guarantee the top management commitment.

- A matrix chart approach

This approach requires developing a series of performance statements scaled from 1 to 10 within the frame work of EFQM model (see table). It can be used by any level in the organization because of its simplicity and it requires minimal training, (Hides et al. 2004). However, it does not provide a list of strengths and areas for improvement and requires significant time to create the matrix (Hides et al. 2004; Shergold and

Reed 1996). This approach can be implemented using workshop approach starting with preparation briefing to explain the process and circulate a copy of the matrix. Rating of each criterion can be done individually then an agreement is reached in consensus workshop supported by a facilitator. Action plans are produced based on team consensus rating and discussion notes (Zink and Schmidt 1998).

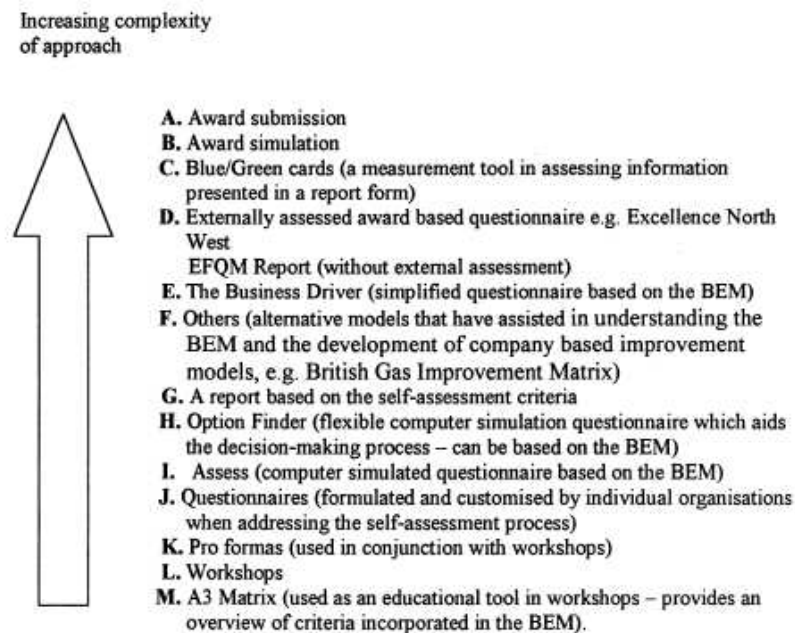
Table 4.2: Matrix chart on “customer satisfaction”

Customer satisfaction
10 There is a positive trend in customer satisfaction. Targets are being met. There are some benchmarking targets across the industry
9 75 per cent of customer satisfaction targets are being met
8 50 per cent of customer satisfaction targets are being met
7 All employees understand targets relating to customer satisfaction
6 The drivers for customer satisfaction have been identified and are used to modify targets
5 Compare customer satisfaction levels within the company. Results have positive trend and some are meeting targets
4 The relevance of targets to customer satisfaction can be demonstrated
3 Targets are set for improvement
2 Data are used to plot trends of customer complaints
1 Customer complaints are logged, and reacted to on an <i>ad hoc</i> basis

Source: Zink and Schmidt, 1998, p 159

There is no best method to use as an approach to self-assessment, therefore, an organization needs to consider the difficulties that may when applying the approach. The difficulties encounter with deployment of any self-assessment approach are planning the process and allocating the required resources. A research conducted by Ritchie and Dale (2000) indicated that the use of consultants may be crucial to start the process; however the organization should control and understand the process. They ranked the approaches according to their complexity as follows:

Figure4.8: Approaches used in self-assessment process



Source: Ritchie and Dale, 2000, p 249

Moreover, Ritchie and Dale (2000); and Samuelsson and Nilsson (2002) experience the implementation of self-assessment in various organization and concluded that several approaches may be successful as they contribute to fit the organization. In summary a great deal of consideration should be given to organization culture and employees awareness on TQM. Adequate planning and sufficient training along with external assessor or facilitator can enable the organization to succeed in applying the chosen approach.

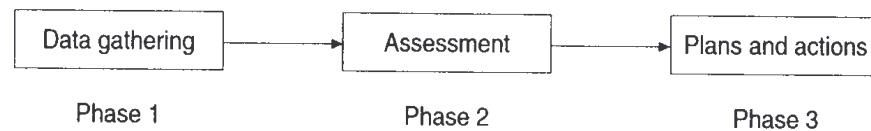
4.2.3. Self-Assessment Process

The main purpose of self-assessment is to identify strength and areas of improvement and eventually improve performance and seek recognition through quality award. Based on that, an organization has to adopt self-assessment in effective way using strategies and tools that fit to the organization culture and maturity. Benaven et al. (2005) declared that self-assessment is not a matter of comparing the organization's

management system and results with a reference model; it is a planned process which requires technical and human preparation.

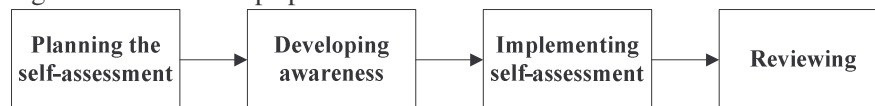
In literature the process of self-assessment is conducted in different steps; three steps (Gadd, 1995), four phases (Teo and Dale 1997), eight steps approach (Hillman 1994; Zairi and Whymark 2003; Shergold and Deborah M. Reed 1996; Zink and A. Schmidt 1998, EFQM 1999 cited in Hides 2004)

Figure4.9: Three steps process



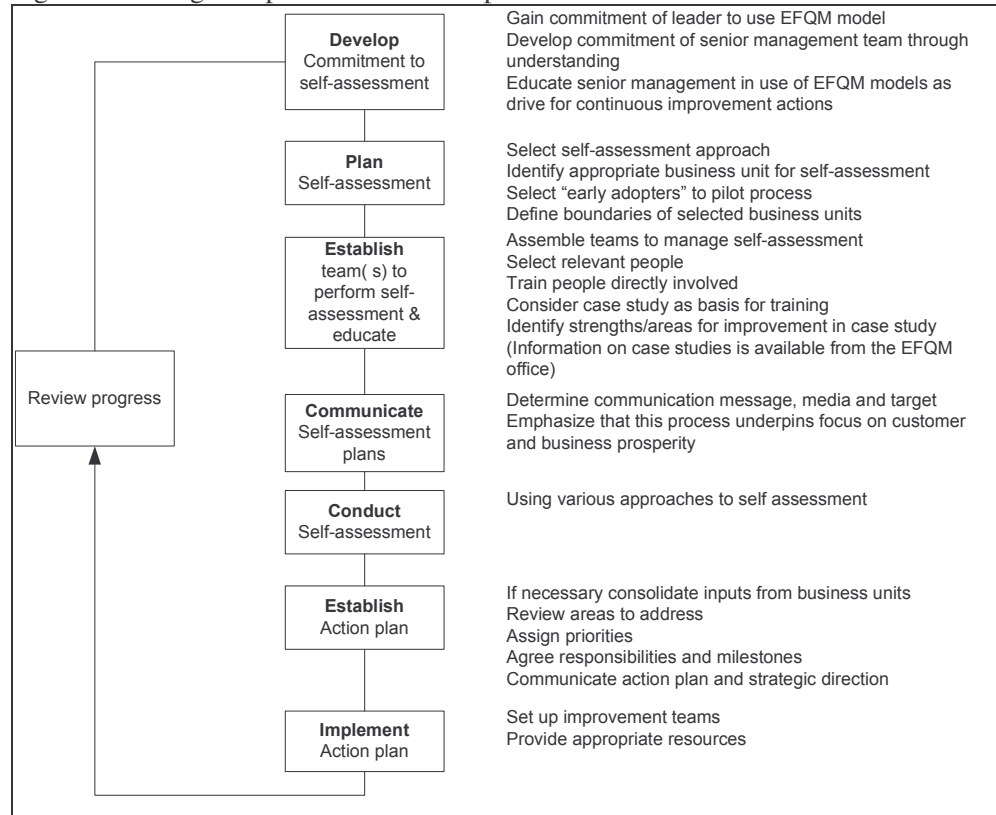
Source: Gadd, 1995, 74

Figure 4.10: Four steps process:



Source: based on Teo and Dale 1997

Figure 4.11: Eight steps self-assessment process



Source: Zairi and Whymark, 2003 p 31

Self-assessment involves the performing of different activities in an outlined time sequence, and set of repeated process such as Figure4.11. That mean an organization will get the opportunity to continuously improve its excellence position based on the result of previous self-assessment. Self-assessment steps are explained in details as follows:

- **Commitment to self-assessment**

According to the above illustrated process, self-assessment starts with developing top management commitment towards self-assessment. Samuelsson and Nilsson (2002) emphasize on having strong commitment among top and middle management through informing about self-assessment targets, execution and consequences, and expected improvement in profitability. The reason behind gaining top management commitment to self-assessment is that they support and smooth the process.

- **Plan self-assessment**

Planning self-assessment begins with choosing the approach that suite the organization considering the organization culture and available resources. The self-assessment plan is considered as implementation strategy; therefore, it should be specific and include training schedule as well (Samuelsson and Nilsson, 2002)

- **Establish self-assessment team**

A research done by Saunders and Mann (2005) concluded the importance of training self-assessment team to motivate and motivate them. Team member role is to conduct the assessment with the support of a facilitator or external assessor.

- **Communicate self-assessment plans**

The objective and implementation process of self-assessment have to be clearly communicated to all involved people within the organization. In addition to that, the benefits, plans, required information and outcomes of self-assessment should be presented as well in order to get the expected results from the process (Shergold and Reed 1996; Samuelsson and Nilsson 2002).

- **Conduct self-assessment**

Regardless to self-assessment method used, assessment team gather the required information to identify strengths, area for improvement and score each criteria of the excellence model. In assessment, the team has to consider that enablers are assessed for the level of excellence of the approach implemented for each sub-criterion while results are assessed according to the level of excellence and their scope (Gadd, 1995). Facilitator role is very essential to support, motivate and challenge self-assessment team.

Self-assessment report includes the following as indicated by Zink and Schmidt (1998):

1. overview of self-assessment process
2. overview of the application
3. description of each criterion (strengths, areas for improvements, score)

The main feature of the report is that it addresses the key issues focusing on strengths and areas for improvement; and written in short sentences. Moreover, it confines comments to areas related to the application, criteria and score (Zink and Schmidt, 1998). Based on that, the report provide the required information and uses words that can be understood by the concerned people. Consequently, the organization can use the report to establish action plans.

- **Establish and implement action plan**

A list of strengths and area for improvement is generated by self-assessment team from the pervious step. The literature showed that some organization have considered the outputs as part of senior management tool for high-level decision making; while other have communicated the outputs throughout the organization (Gadd, 1999). The areas of improvement are converted to action plan by self-assessment team, involving the top management team to gain more support. Self-assessment team should address the implementation priorities when planning the action plan taking in consideration available resources. The team should also define the responsibilities and milestone and communicate the action plan to all concerned units (Zairi and Whymark, 2003). Gadd (1999) specifies that improvement plans have been adopted as:

1. Specific development projects involving teams to manage the improvement according to milestones and review sessions.
2. Part of TQM improvement process
3. Part of the organization's business plan

- **Review**

In order to assure that the organization got the maximum benefit of self-assessment process, the organization has to regularly follow up the progress of the implementation of action plans. The literature showed that there is emphasis on monitoring improvement activities regularly against the action plans. Teo and Date (1997) illustrated a good example of monitoring self-assessment which was establishing a central database to store information on self-assessment results and the status of the improvement actions. This tool will enable the organization to effectively monitor the progress and communicate and share the information with the concerned people. The top management can also be updated with the progress and give directions whenever needed.

4.3. Self-Assessment in Practice

The literature provides various examples of organizations that have adopted self-assessment. They have not realised fully the complexity of the process and the organizational change required to ensure process effectiveness (Ritchie and Dale 2000). The reason behind that was likely to be lack of awareness on quality and self assessment, lack of motivation and resistance to change and improvement. Different studies explored approaches to self-assessment and how it was implemented. The table of self assessment practices provides an overview of self-assessment practises of ten organizations using different approached to self-assessment according to a study done by Ritchie and Dale (2000). The following are some practices in different sectors implementing different approaches:

Table 4.3: Self-assessment practices^a

Company	Size	Start of self-assessment (SA)	Approach used current	Approach used previous	Use of external resources	Integration of S/A into business plan	Length of S/A process (months)
A	1578	1996/7	5	1	Yes	Yes	9–12
B	780	1996/7	9	1, 3, 12	Yes	Yes	3
C	3500	1997	5	4, 8	No	Yes	3
D	3000	1993/4	5	3, 4	Yes	Yes	2/3
E	2200	1996	6	1, 2, 3, 8, 11	No	Yes	1–3
F	101	1995	6	5	Yes	Yes	1
G	2459	1993	6	1, 3	No	Yes	3
H	7500	1993	5	1	Yes	Yes	1
J	12000	1995/6	13	1, 5, 7, 9, 13	Yes	Partially	2
K	20000	1992	1, 10, 12	1, 3, 4, 11	No	No	2

^aApproaches to self-assessment – legend:

1. Workshop
2. Pro formas
3. Questionnaires
4. A3 matrix – perception based
5. Award simulation
6. Award submission
7. Blue/Green cards
8. Excellence North West questionnaire
9. Business Driver
10. Report
11. Option Finder
12. Assess questionnaire
13. Others (adaptations of model, e.g. British Gas Matrix Approach).

Source: Ritchie and Dale, 2000 p 243

• Practice 1:

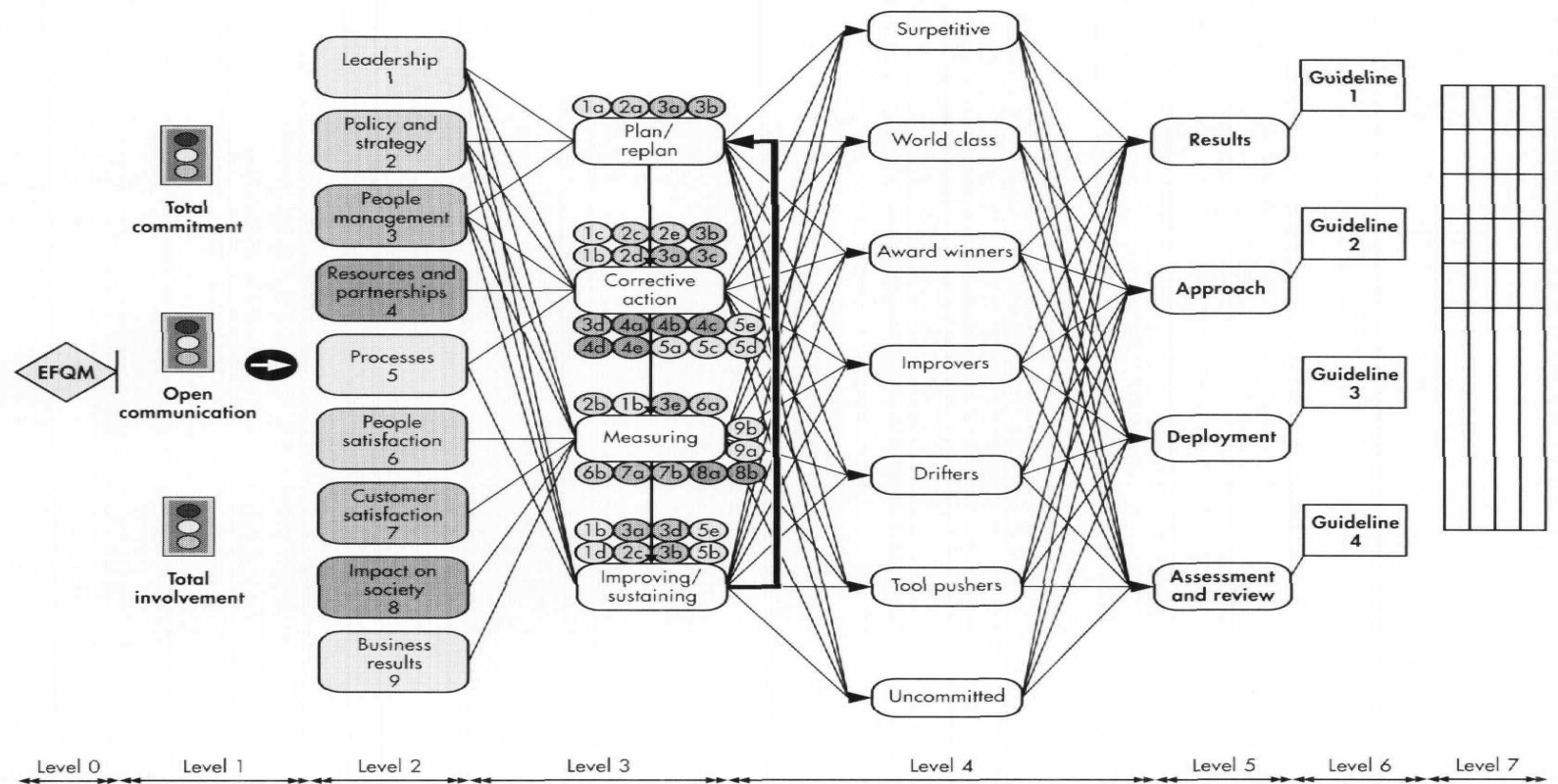
Ahmed et al. (2003) conducted based their study on a research conducted as part of a Engineering Physical Sciences Research Council (EPSRC) which examines measuring business performance through self-assessment and decision modelling.. The research covered the problems associated with current methods of assessing performance against the EFQM business excellence model. It allows the application of decision support system to self-assessment process. They used an eight-level structured framework for self-assessment, see figure:

- **Level zero:** initial decision relating to the appropriateness of applying for the EFQM.
- **Level one:** illustrates the requirements for the assessment process
- **Level two:** shows the understanding stage with reference to the EFQM criteria

- **Level three:** recognize which of the sub-criteria needs a focus on planning, action, measuring, or improving
- **Level four:** focuses on classifying organizations into seven categories and identifying the characteristics associated with each category.
- **Level five:** concentrates on the RADAR logic
- **Level six:** provides guidelines for assessing each criteria
- **Level seven:** weighs the final scores of self-assessment process

The study findings show that organizations are doing self-assessment in various ways for various reasons. Some organizations undertake self-assessment to gain a competitive edge or prepare for quality award. Other organizations use self-assessment as a means of coordinating and selling quality initiatives. Furthermore, the study suggests that managers need to use a structured and regular methodology to conduct self-assessment. It also concludes that self-assessment requires managers and staff to assimilate a high level of knowledge to be manipulated to suit the operational environment.

Figure 4.12: The proposed methodology for the self-assessment process



Source: Ahmed *et al.*, 2003 p 44

- **Practice 2:**

Arcelay, *et al.* (1999) conducted a study of undertaking a self-assessment process in all the Basque Country Public Health centres and developing actions plans detected by that process. In 1997, a self-assessment process was carried out by executive team in 26 health centre using a pro forma approach. Areas for improvements were detected and prioritized and the necessary actions were included in the business plan, annual business plan, objectives and improvement team's activities.

To examine the usefulness and efficiency of the process, Arcelary and his team gave an anonymous questionnaire to all executive team members focusing on time spent and the satisfaction on the activity. The study shows that action plan were implemented by adding them to business plan, reviewing the objectives of the health centre and by establishing improvement teams.

Arcelay, *et al.* (1999) emphasized on the importance of general management and top management participation in the process. Furthermore, they point out that it is essential to have "prestigious" person in the health centre; who has excellent knowledge in EFQM model to facilitate the whole process. They concluded that positive evaluation of the process was due to acceptance and clarification of the usefulness on the process.

- **Practice 3:**

Benavent *et al.* (2005) conducted an exploratory case study of Three Spanish organisations with a broad experience in self-assessment application. The objective of the authors is to identify the set of variables that can influence the implementation of the self-assessment technique and to see how these variables relate to each other, to express them as a self-assessment application model and to generate a set of specific scheme on the basis of this model. In this research, these authors selected qualitative research method because of lack of literature on developing a study where all variables linked to self-assessment utilisation are interrelated with each other.

The authors pointed out that as TQM maturity increases and major problems are solved, the organization is likely to carry out self-assessment at lower structural levels “decentralisation”. The implemented approaches where questionnaire and award simulation and the authors found that the more sophisticated the approach used, the better the results that can be obtained and the utilization of resources is greater too. Moreover, they also mentioned that the detection of important areas for improvement involves the use of a powerful and sophisticated self-assessment approach such as "award simulation".

- **Practice 4:**

Vernero et al. (2007) conducted an empirical study of single case study of self-assessment in Udine’s S. Maria della Misericordia Hospital - a large specialised unit in North East Italy and its ten clinical departments. The researches carried out a two-level self-assessment involving top-level hospital and departmental manager. Self-assessment got commitment of the Strategic Directorate who encouraged the participation of top and middle managers in the self-assessment project. The questionnaire approach was implemented because of its simplicity and suites the organization which is in the beginning of its journey towards excellence. A questionnaire contained a total of 153 items, grouped into 32 sub-criteria and nine main criteria (Vernero et al. 2007).

The process started with raising awareness of EFQM approach, quality management, and the systematic assessment of both the Enablers and Results. The second step was to identify the main strengths and areas of improvements and to score the criterion. Improvement action were developed and implemented. The researchers noted that was a good diagnostic tool for the organization and for individual departments. Furthermore, the participants realized that self-assessment helped them to understand the organization

better and gave them the chance to learn and think about EFQM criteria and quality management. Self-assessment had a positive impact on improving systematic feedback from staff. . Ultimately, self-assessment process developed an overall quality culture within the organization (Vernero et al. 2007).

- **Practice 5:**

Tari' and Juana-Espinosa (2007) executed a study on the EFQM model self-assessment assessment using a questionnaire approach in eight public universities in Spain. The aim of the study was to examine all the administrative from 2003 to 2007. The self-assessment process was initiated with the approval of the plan by the top management. Followed by an explanation of the plan to the concerned staff to introduce their participation role and get their agreement to participate. Quality representative acted as facilitator and met all employees in each service to familiarise staff with quality scheme. Self-assessment questionnaire approach was designed and it consisted of 140 questions covering all criteria supplemented by a brief explanation section. Self-assessment team was then formulated, trained and conducted the self-assessment process in workshops as follows:

Table 4.4: Training and workshop sessions

Session ^a	Objectives
1	Presenting the plan and initial training
2	Identifying the interest groups for each service, analyzing their needs and expectations, and revising the survey which will be circulated amongst employees and users
3-4-5	Presenting the model surveys, process mapping and preparing a draft version of the procedure.
6	Presenting the self-assessment questionnaires according to the EFQM model and assessment method
7	Analyzing the results from the three surveys, supplied by the quality department, in order to start identifying strengths and areas for improvement
8	Further work on strengths and areas for improvement, and defining the areas for improvement with their respective reasons.
9	The teams start to prepare the improvement plan.
10	Reviewing the work carried out by each team (mainly strengths, areas for improvement and improvement plan)

Notes: ^aSessions 1 to 6 were jointly held for all eight teams, whereas 7 to 10 were individual sessions for each group (all of them supported by the facilitator)

Source: Tari´ and Juana-Espinosa, 2007 p 609

The result of this study shows that self-assessment allows the service to identify its strengths and the areas for improvement and then develop improvement actions. In addition, the study indicates that self-assessment can be used as a tool for continuous improvement planning as is done in the business sector. The lessons learnt from the study was that all stages should be developed with management support and action plans should be created, approved and followed up by the top management. Another lesson was that the self-assessment team got advantage from the assistance of the facilitator (Tari´ and Juana-Espinosa 2007).

4.4. Limitations of self-assessment

Apparently most of the literature does not cover the limitation of self-assessment as much as covering the benefits and the process of self-assessment. Table identifies the

difficulties encountered with self-assessment process identified by Ritchie and Dale (2000):

Table 4.5: Difficulties experienced with the self-assessment process

Difficulties
Lack of commitment and enthusiasm
The time consuming nature of the process
Not knowing where to start
Selling the concept to the staff as something other than an "add-on" to their existing duties
People not realizing the need for documented evidence
Lack of resources; time, manpower, finance
Maintaining the self-assessment skills of the assessors
Lack of cross-functional integration between departments and units
Getting the assessment done in time to link it into the business plans

Source: Ritchie and Dale, 2000 p 247

As mentioned in section 4.1.1 the objective of self-assessment is to provide a score data that will assist the organization to improve. The literature expose that the accuracy and validity of self-assessment score, could be subjectively biased. Lee and Quazi (2001) cited in Saunders and Mann (2005) conducted and tested the scores from a self-assessment questionnaire against the scores of quality award applications of the same organizations. That result of that study showed significant correlation between the two assessments Saunders and Mann (2005).

Furthermore, data might be not relevant to the criterion or criterion part; as a result, the criterion will not be scored. However, the average on the number of remaining criteria will be calculated (Zink and Schmidt 1998). The reason behind that could be the lack of understanding the criterion requirements.

Commitment at all level is very essential, consequently the lack of commitment leads to difficulty in conducting the self-assessment. The lack of commitment can be seen in ignorance of the process and resistance to change and development (Ritchie and Dale,

2000). Inadequate training and information provided to self-assessment can cause lack of commitment and motivation.

4.5. Chapter Highlights

Most of the organizations conduct self-assessment to verify their strengths and opportunities of improvements in order to prepare performance development plan. Self-assessment has a dramatic impact on the organization because it provides an assessment of the whole business according to a standardized model. However, the literature provided many limitations to self-assessment such as lack of commitment and enthusiasm, lack of resources, and lack of communications. This chapter illustrated self-assessment types; conformity logic, consistency logic, and causation logic. It provided a comprehensive description of self-assessment framework by identifying the key elements of the process, and explaining self-assessment approaches. Furthermore, it discussed the self-assessment process in details and presented five examples of organizations which adopted self-assessment.

4.5. Highlights on the Literature Review

The Literature review provided guidance on the research topic and research methods. It gave a knowledge base of what other researches had done in studying self-assessment process and practices. It was important to have a background of TQM in order to understand business excellence fundamental concepts. The Literature illustrated TQM benefits, limitations and how it was implemented in the government sector. The importance of covering those points would support us in comparing the TQM implemented in world and in Ras Al Khaimah government departments. Furthermore, having an overview of various quality awards supported us in understanding the aim of quality awards and how they drive organization to change their performance.

The Focus on the EFQM excellence model because Ras Al Khaimah Quality Award adopted the EFQM excellence model. Therefore, it was crucial to understand the EFQM

excellence model concept, approach, the relations within the model and its tools in order to understand the model.

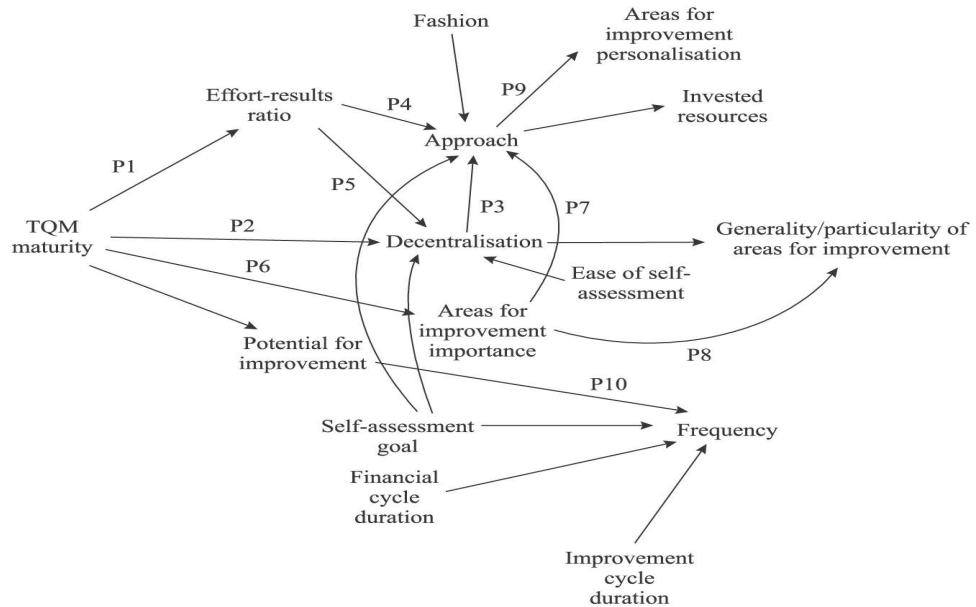
Moreover, the literature reviews covered the theory and the practice of self-assessment against EFQM excellence model. It was found that organizations measured the performance level for development, strategic planning, and for benchmarking. Self-assessment benefits, types, and framework were studied extensively by many researchers. That knowledge was the stepping stone to fully understanding the self-assessment process and to conduct the qualitative and quantitative researches. In addition, that knowledge could be used to link Ras Al Khaimah Government departments' self-assessment practise with the theory and other practices provided in the literature reviews and that would add value to the research.

However, there was lack in studying the effectiveness of the self-assessment process and the factors that affect or related to the process. That could be considered as a gap in the literature and to be covered in the future studies.

4.6. Emerging Hypothesis from the Literature Review

The available literature provides example of similar studies conducted which based the questionnaire on several factors affecting self-assessment, such as the study conducted by Benavent et al. 2005. That study established a framework of the relationships among the elements affecting the application of the self-assessment. An organization could refer to that model to base the decision of applying self-assessment on based on the variables contributing the self-assessment application.

Figure 4.13 A self-assessment application model



Source: Benavent et al. 2005, p 440

Another study was done by Latham in 1998, which focused on the self-assessment process, its importance, and its purpose based on the Baldrige-based criteria. The study revealed that learning cycle of self-assessment was consisted of four phases: (a) criteria questions that address the organization's systems; (b) understanding the system; (c) evaluating the system; and (d) improving the system. Based on that cycle the research hypotheses were established to examine the effectiveness of self-assessment against the EFQM business excellence model, Figure 4.14.

Figure 4.14 Learning cycle



Source: Latham, 1998, p. 25

As this research was conducted to examine the effectiveness of the self-assessment process, a study was conducted to review the related variables. The literature review illustrated the main stages of self-assessment process; organization readiness, planning and preparation, evaluation and feedback, assessment report. As a result of the assessment report, the organization draws the improvement areas and its benefits Figure 4.15. Furthermore, Latham (1998) study showed that as the level of organizational readiness to self-assessment increases, the quality of self-assessment report increases as well. It showed that organization's readiness to self-assessment was influenced by strategy and criteria alignment, process knowledge; and motivation. It also showed the relation between assessment planning and preparation with data collection, feedback and analysis; and assessment report's quality. As per Latham's study, this stage was consisted of five parts; management's goal, assessment approach, team selection, project plan; and management support. Moreover, the study revealed that evaluation and feedback stage had significant effect on the quality of the assessment report. This stage

CHAPTER 5 - RESEARCH METHOD

This chapter comprehensively describes the research methodology and focuses on the procedures of data collection and the difficulties and/or problems encountered. It also contains the data collection process.

CHAPTER 5

RESEARCH METHOD

5.1. Overview

The aim of this paper is to enhance the effectiveness of self assessment in public organisations in the UAE region. The research aims at studying and analysing self-assessment process in terms of implemented approaches, its ease of implementation, benefits, constraints and lessons learnt. To find out those answers to the research questions and testing the hypotheses, a case study approach is selected because it employs different techniques both quantitative and qualitative. The research purpose is to demonstrate and examine three case studies using both qualitative and qualitative methods to gather empirical data that assess in finding answers to the research questions and hypotheses.

The case study method has been chosen because it provides an intensive investigation, in-depth understanding and critical analysis of self-assessment process which supports in achieving research objectives. It is the most applicable method for this research because the research consists of descriptive and explanatory question (Yin 2004; Gerring 2007; Patton 2002). Most of researchers used case study approach to study and analyze self-assessment process in both private and public sector such as Venero et al. 2007, Tari´ and Juana-Espinosa 2007, Ritchie and Dale 2000, Teo and Dale 1997, Tari 2006, and Hides et al. 2004.

5.2. Research Procedure

A qualitative approach is used to address the following objectives of the research:

- Describe the implementation methods of the self-assessment process in assessing organizational excellence.
- Identify the lessons learned in implementing the EFQM excellence model, and self-assessment strategy in the public sectors.
- Analyze existing practices using self-assessment process to identify its benefits, difficulties, limitations and key concerned factors to handle the assessment process in a proactive way.

To answer the following questions:

4. In what way did self assessment process help your organization achieve improvements?
5. How did self-assessment exercise helped staff involved in the exercise in acquiring new knowledge and insight into how they can improve themselves and their organization
6. In what way did motivation and organization readiness affect self-assessment process?

The qualitative method includes data collection from semi-structured interviews and reviews of organizations documents to gather a thorough and descriptive data of self-assessment practise.

On the other hand, the quantitative approach is used to get respondents' opinions about those variables in self-assessment process which includes testing of the hypotheses:

A site visit plan (Table 5.1) was developed for organising visits which supports collecting data needed in a systematic way. The first step of the site visit was to meet the Quality Coordinator to introduce the objective, research process and to get the organization commitment in contributing in the study. The same introduction was repeated when interviewing the self-assessment members.

Table 5.1: Organization Visits Plan

Task Description	Concerned Person/Section	Duration	Requirements
Collect Document	Quality Section	15 minutes	List of Documents Introductory Interview
Interview and Submit Questionnaire Distribution	Business Excellence Office Self –assessment members	2 hours	Introductory Interview Question sheets Actual Interview Question sheets Questionnaire
More Interviews	3 members of self assessment team	30 min- to 1 hour	Introductory Interview Question sheets Actual Interview Question sheets

5.2.1. Case Selection

Three organizations from the public sector in the United Arab Emirates were selected according to the following reasons:

1. Having experience with conducting self-assessment against an excellence model by conducting at least two self-assessments at the time of the research in order to reduce the possibility of ending up with inadequate results because of lack of experience with self-assessment process.
2. Having at least three years implementation journey towards excellence in order to reduce the possibility of inadequate understanding of the excellence model used.
3. Site visits location is closed to the researcher to allow ease of data collection process especially the semi-structured interviews.

5.3. Research Sample

For the qualitative part of the study, eleven employees in three departments participated in the semi-interviews including Quality Coordinators, self-assessment team leaders and members. Ten local government departments in Ras Al Khaimah were selected for the population of quantitative part. A total of 65 questionnaires were distributed and only 55 people participated leading to a response rate of 84.6% and the reason.

5.4. Research Measures

- *Semi-structure interviews*

A total of eleven semi-structure interviews were conducted with Quality Coordinators, self-assessment team leaders and members. Each interview lasted from 30 minutes to one hour depending on the role of the interviewee in order to get answers for the research objectives and questions (Appendix 1) which were based on. Introductory questions were presented in the beginning of the interview to break the ice (Appendix 2). Interview questions was developed after reviewing the self-assessment process of eight steps approach described in the literature review in order to learn how the process was implemented (Hillman 1994; Zairi and Whymark 2003; Shergold and Deborah M. Reed 1996; Zink and A. Schmidt 1998). Interview questions were reviewed by a Quality Consultant to make sure that the validity and relevance of the questions. Each interview was conducted in a separate day to allow time for reviewing, analyzing team members' view and to clarify information raised in previous interview and verify any bias issues.

- *Questionnaire*

The aim of the questionnaire was to generate knowledge, gather respondent views about the process and get statistical results of the self-assessment process. The questionnaire was adopted from Latham, (1998) Appendix 3, and Suliman (2008) Appendix 4. Latham (2008) noted that the questionnaire was developed by him and the question's

statements were assessed and reviewed by Baldrige examiner. Moreover, the questionnaire variables' statements were reviewed and by a Quality Consultant. The duplicated and unrelated statements were removed to fit research purpose. The questionnaire was then d translated into Arabic Language (Appendix 5).

This questionnaire was set up in two parts:

1. Demographic and career measures: gender, marital status, education, age, experience in organization, no of years in current position, job status, and nationality, role in the process
2. Self-assessment process measures. 21 statements represents the variables; readiness to self-assessment, planning & preparation, data collection, evaluation & feedback, assessment report, organizational improvement, and benefits.

In the second part of the questionnaire, a Likert 5-point scale was utilized to indicate the level of agreement with the provided statement ranging from 1 (Strongly Disagree) to 5 (Strongly agree). The respondent was given a chance to select "No Experience" options to avoid invalid answer or no response.

- ***Quantitative Approach Variable***

The questionnaire questions were based on self-assessment process variables as illustrated in Figure 4.15.

- ***Pilot test***

An informal pilot test was conducted to observe respondent ability of understanding and responding to the questions. Moreover, it was conducted to identify poor question wording, question disordering, spelling mistakes, and errors in questionnaire layout or instructions. Eight employees participated in the pilot studying from two departments including self-assessment team members and quality coordinators.

An introduction of the research was briefed to concerned people focusing on the purpose, benefits and the outcomes of the study. After this, an explanation of questionnaire layout and clarify the meaning of some statements was made known to the interviewees to obtain feedback. The participants stated that the statements were simple, clear and understandable. They pointed out some typing errors which were then modified.

- ***Validity, reliability***

Semi-structure interviews and documents reviews were used as primary data gathering tools from various resources. Those tools were utilized and integrated to insure the validity and reliability of the qualitative approach of the case study. Furthermore, the original questionnaire was examined and implemented in U.S Air Force in a study conducted by Latham in 1998 and proved to be valid.

5.5. Documents Collection Process

5.5.1. Data Collection

The process of data gathering took three weeks in visiting case study sites, collecting and reviewing documents and conducting interviews. One day was allocated to review and analyze organization's documents in order to understand the self-assessment practice and to enhance interview questions. Table 5.3 shows the documents reviewed and to which question the document was related.

Table 5.2: Collected Documents:

Document Description	Q1	Q2	Q3
Strategic Plan	X	X	X
Self-assessment Plan			X
The Benchmarking & Performance Excellence Self-assessment (BPES) pack		X	X
Training Materials		X	
Assessment Report	X		X
Consensus meeting report	X		
Action Plan Result Tracking Form	X	X	
“Area for Improvement” Action Plan	X	X	X
BPES Consensus Scorecard	X	X	X

5.6. Chapter Highlights

Case study approach was selected to provide a descriptive and explanatory data about the self-assessment practise in the departments under study. Both qualitative and quantitative approaches were used to find answers for research questions and test research hypotheses. A total of ten organizations participated in questionnaire and three of them were selected for the case study. The research procedure, sample and measures were described in details. The process of data gathering included collecting the documents and analyzing them before conducting the interviews.

CHAPTER 6 - RESEARCH RESULTS & DISCUSSIONS

This chapter explores the research finding derived from the analyses of self-assessment documents, interviews and questionnaires. It provides full analysis of the gathered information and discusses the result of the analysis.

CHAPTER 6

RESEARCH RESULTS & DISCUSSIONS

6.1. Self-Assessment Practice – an Overview

The journey towards business excellence requires changing the culture of an organisation towards continuously improve all activities and interactions with customers and shareholders. Ultimately, business excellence will help the organization to become dynamic and innovative. Therefore, many organizations use self-assessment as a mean of measuring continuous improvement and to integrate organizational excellence into normal business activities.

There are many different ways by which an organization can position itself against a recognized excellence model and measure its performance excellence level in order to develop its capability. Choosing business excellence self-assessment approach depends on the top management intention and its organization behaviour plus culture, and maturity with business excellence. Thus, Sheik Saqr Program for Government Excellence (SSPGE - quality award authority) selected the questionnaire approach because Ras Al Khaimah Government department were new to business excellence and at the educational stage. Furthermore, questionnaire approach found to be simple and can be implemented easily.

The aim of Ras Al Khaimah Government was to develop world-class government department to be recognized within the UAE and worldwide as world-class. The interesting point about Ras Al Khaimah Government case of implementing self-assessment process was the government aim of raising all departments' performance at the same time and not caring about the scores. More emphasis was put on departments' commitment to develop and implement action plans which could improve local public sector. In order to meet the objective of raising all department awareness at the same time, the SSPGE provided those needed training courses and seminars to all

departments at the same time. That also resulted in sharing thoughts and experience which definitely would be an advantage to all departments.

The SSPGE managed the self-assessment process for two years 2006 and 2007 as a part of the education stage whereby all departments learn and master the process. The first step was to introduce the process by raising the awareness of the top managers and gaining their commitment and support. That was through meeting the General Director of each department and then conducting a training program to introduce the self-assessment process. The training program addressed the aim of self-assessment, its benefits to the department, the SSPGE plan and who are the people to implement the process. The benefits of the self-assessment program against Ras Al Khaimah excellence model were (SSPGE Training Handouts 2006):

1. Raised top managers' awareness and understanding of successful business practices and best practices.
2. Explain how Ras Al Khaimah business model can be used to assess the progress of the government department over time
3. Provide them with greater confidence that the decisions they would make to improve the operations are correct.

The training program also focused on gaining the leaders' commitment to the process to grant the implementation of the process. This gave the self-assessment program more value and staff would be more motivated to implement the process as directed. The training also gave the general directors guidance of how to make self-assessment successful. The most important message passed to them was to be objective when conducting self-assessment in order to get true indication of excellence level of the organization and plan for improvement for the future. Those departments that continue to improve year on year will be recognised for their excellence.

The second step was to address the same process to all Quality Coordinators (QC) because they would play the facilitator role by assisting others in understanding and implementing the process. However, the QC training included more tools and explanation to help them implement the self-assessment smoothly. The process was explained to them step by step in order to make sure that they understand the self assessment process. They were directed to follow the same process given to them by the SSPGE and stick to the plan and to meet all the deadlines.

The Quality Coordinators were given Benchmarking & Performance Excellence Self-Assessment (BPES) Quality Coordinator's Guide to get familiar to the Self-Assessment Pack which includes:

- BPES Instructions,
- BPES Quality Coordinator's Guide,
- BPES Spreadsheet,
- BPES Questionnaire Guide,
- BPES Questionnaire, and
- BPES Scorecard.

Moreover, each criteria of the excellence model was assigned to criteria leaders who was in charge of gathering information related to that criteria and then create action plans to develop the criteria according to self-assessment results. The SSPGE conducted a workshop for all QCs and to all criteria leaders prior to each phase of the self-assessment process to explain what needs to be down done, what documents to submit and by when. The main training programs were as follows:

- Self-assessment refresher training
- Self-assessment instructions issued to quality coordinators
- Creation of Action Plans
- Performance measurement and management
- Benchmarking training program

6.2. Case Study (A)

As mentioned earlier the process was managed by the SSPGE, which meant the process was common to all departments and was implemented in the same manner. Therefore, the self-assessment process will be studied in one department only. However, other aspects of self-assessment in studied in three departments. While the effectiveness of the self-assessment in studied in 10 organizations. As, each department has unique identity and services, details of the departments participated in this research is not provided here to avoid undermining the confidentiality of the participants.

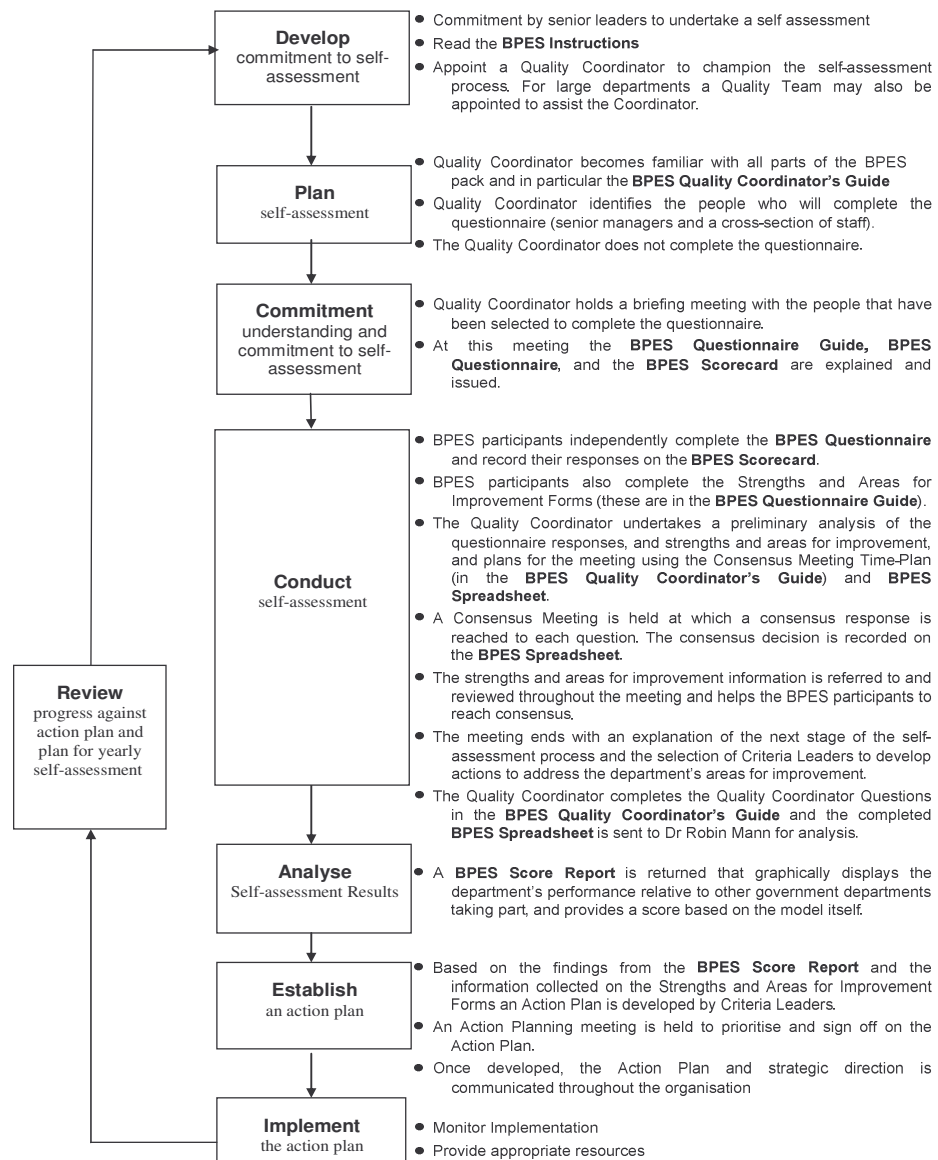
Within the departments studied, the RAK business excellence model was perceived to satisfy stakeholders, internal and external customers. It was considered a long journey concerned with developing all services' operations processes, develop and motivate employees to perform better and develop all department system to achieve excellent customer services. Consequently, this department participated in the self-assessment process with the aim of improving the department by identifying its strengths and areas of improvement as a core step towards business excellence. That would result in changes in many areas to reach business excellence. The management was very enthusiastic and motivated to undertake that process in order to measure the performance and improve accordingly. Those objectives were similar to the self-assessment objectives discussed in the literature review (Hides et al. 2004; Venero et al. 2007)

6.2.1. The Process

The diagnostic assessment logic was used by involving employees from all levels to participate in the process. This logic was described by Conti (2001) as a real self-assessment process by focusing on performance measurement not on the score.

The implemented self-assessment process is illustrated Figure 6.1: It can be seen that this process is similar to the eight process approach discussed by Zairi and Whymark (2003).

Figure 6.1: Self-Assessment Process



Source: BPES Instructions 2007, p 8

Questionnaire approached was used as directed by the SSPGE. The following points explain how the process was implemented:

- **Develop commitment to self-assessment**

The General Director was keen to improve the department and develop its services performance, therefore, he participated in all meetings, trainings, and workshops conducted for the Head of Government Departments in order to understand the requirements and direct the staff towards achieving the desired results. The General Director conducted several formal and informal meetings with the Quality Coordinator to follow up with the SSPGE instructions and gave directions to the QC. Most of the time those meetings were followed by another meeting with the unit heads to communicate the SSPGE message and guide the staff towards fulfilling the requirements. A self-assessment member mentioned that "the General Director played a notable role in allocating resources and assigning priorities to meet self-assessment process requirements and also meet SSPGE deadlines".

As part of the management commitment to self-assessment process a self-assessment team was formed. of unit and section heads. Self-assessment team roles were to assist the Quality Coordinator, collecting data, answering the questionnaire, and participation in developing and implementing action plans. The characteristics criteria of selecting team member were as follows:

- Have a good idea of what goes on in all units of the department
- Can provide objective and honest view
- Can share information and have the ability to support his/her view with evidence in order to reach consensus with other participants in the Consensus meeting

- **Plan self-assessment**

The initial planning was done by the SSPGE, so the role of the Quality Coordinator was to communicate the SSPGE self-assessment plan to all self-assessment members, and to make sure that they understand and deploy all phases and be able to meet the deadlines. The critical key stages in the process were:

Table 6.1: Critical stages and durations

Activity	Duration
completing the questionnaire	3 weeks
consensus meeting	One week
action planning	One month

- **Understanding and commitment to self-assessment**

The Quality Coordinator held a meeting with self-assessment team members to distribute BPES Questionnaire Guide, BPES Questionnaire, and BPES Scorecard and explain each document in detail.

- **Conduct self-assessment**

The questionnaire consisted of 112 question representing the criteria and sub-criteria to be answered in 3-4 hours (Figure 6.2). Each question has six possible answers and additional Evidence questions to assist the respondent to answer the questions. The participants were advised to questions make a “quick” considered judgement on their response. That was because, it was more important to record the strengths and areas for improvement rather than spending a long time thinking about the differences between, for example, responding “3” or “4”. It worth addressing the department areas for improvement in order to improve – the score would provide a general guide on the performance but on its own would not assist the department to improve.

At the end of the questionnaire 3 questions were provided to get feedback from participants. Participants' questions asked about the required time for completing the questionnaire, understanding the questions, and if the process of completing the self-assessment question had been valuable.

Figure 6.2: Example question

Area to be assessed:		Criteria:
Scope of customer satisfaction measures and data collection tools		
3.9	Do we obtain useful customer satisfaction and dissatisfaction information and is the information acted upon?	
Evidence:	<ul style="list-style-type: none"> ◆ Is pro-active follow-up done with a large sample of our clients to determine their satisfaction with our services : products? ◆ Do we measure customer satisfaction frequently and use adequate sample sizes? ◆ Do we thoroughly evaluate customer satisfaction levels by collecting data on such factors as response accuracy, timeliness, repeat business, complaints, refunds, warranty repair, incomplete orders, incorrect shipments and praise let and timeliness and do we use this data to continuously improve our relationships with clients/customers? 	
<input type="checkbox"/>	1	No methods
<input type="checkbox"/>	2	Rarely useful and rarely acted upon
<input type="checkbox"/>	3	Sometimes useful and sometimes acted upon
<input type="checkbox"/>	4	Usually useful and usually acted upon
<input type="checkbox"/>	5	Always useful information and always acted upon
<input type="checkbox"/>	6	Always useful information and always acted upon and approach reviewed for effectiveness
Refer to the Glossary of Terms for an explanation of: <i>Customer satisfaction information</i>		
Strengths		Areas for Improvement

Source: BPES Team Member's Guide, 2007, p 5

At this stage, self-assessment team members independently complete the BPES Questionnaire and record their responses on the BPES Scorecard. Self-assessment members were requested to write the Strengths and Areas for Improvement points for each criterion. The quality coordinator mentioned that the participants were requested to be objective and precise when responding the questionnaire in order to help the department recognize its excellence level and know its area of strengths and improvements.

The Quality Coordinator and criteria leaders' role were to assist the self-assessment team members to understand the question and be able to respond to the questions correctly. The General Director was following up with the Quality Coordinator to make sure that the process is going as planned by the SSPGE. Therefore, there were about 4 meetings were conducted with the self-assessment team members and the General Director to get their feedbacks and provide directions and support.

A pr a preliminary analysis of the questionnaire responses, and strengths and areas for improvement were done by the Quality Coordinator. The analysis was then followed by planning and conducting consensus meeting to review the responses to the questionnaire and reach agreements on strengths and areas of improvements. The consensus meeting was chaired by the General Director which proved his full commitment to self-assessment program. Few changes were made to some responses after getting more clarification from the Quality Coordinator. Some questions were not responded to as there were no evidence of satisfying the question.

Another consensus meeting was conducted by the consultant of the SSPGE in order to make sure that all questions were responded to and to clarify any doubts. The consultant focused on the identified strengths and areas for improvements points as they matter more than the score. He stated that the score was not important, showing a clear picture of the department performance was essential. He also pointed that knowing the strengths and areas of improvement would drive the department towards excellence much faster. A copy of the BPES Consensus Spreadsheet was sent to the SSPGE along with a list of strengths and areas of improvements to get there feedback report.

- **Analyse Self-assessment Results**

Self-assessment results are analyzed by the SSPGE and presented in BPES Score Report and then returned to the department after one month of conducting the consensus meeting. The report graphically displayed the department's performance in comparison with other departments taking part in the self-assessment program, and provided a score

based on Ras Al Khaimah Excellence Model. Furthermore, the report explained how to interpret the results to use the information in determining what actions to undertake.

The quality of self-assessment report was affected by the quality of data collected by the self-assessment team members. It was noted that team members were keen to identify the strengths and areas of improvements within the organization with a belief in making better progress when implementing a well developed action plans. As a result they provided reliable answers and provided justification for their responses. Having a high mark for them would not change their performance; therefore, less care was given to the score. Based on true responses, the SSPGE was able to provide the department with the right recommendations by which the department can do better by deploying the right action plans.

- **Establish an action plan**

The Development of action plan was based on the list of strengths and areas of improvement and the BPES Score Report. The criteria leaders and the Quality Coordinator attended a training program conducted by the SSPGE to understand how to develop the action plan, how to prioritize among the actions, how to allocate resources and how to work out the tasks.

Each criteria leader presented three action plans related to the criteria based on allocated resources, importance of the action, and the impact of implementing the plan. All action plans were reviewed by all criteria leaders to agree on the plans then they were presented to the General Director for approval. The approved action plans had to be sent to the SSPGE for review and feedback.

- **Implement the action plan**

The implementation of action plans was monitored by the SSPGE consultant as he regularly followed up with the criteria leaders to know the implementation progress and provide guidance whenever needed. A monthly action

plan progress report was submitted to the General Director for feedback and to provide the necessary changes and resources needed.

- **Review**

As the whole process was controlled by the SSPGE, the consultant reviewed the progress of the action plans at the end of the year.

6.2.2. Benefits to the Organization

The first round of self-assessment conducted in 2006 led the organization to understand the process more and waste no effort to benefit when conducting self-assessment. A number of action plans were formulated and implemented to satisfy criteria requirements:

- **Leadership:** Dramatic change was in the leadership style and the way of managing the department. The top management participated more in training programs, seminars and conferences in and out of the country. The management team facilitated and supported service process development as well as staff development. Furthermore, the management undertook a training program on creating vision, and mission and strategy. As a result, they modified the vision and mission to be able to meet stakeholder needs. The vision and mission were then communicated to all staff by the General Director and head of units.
- **Policy and Strategy:** Furthermore, the department strategy was developed in consideration of implementing Ras Al Khaimah Excellence Model and winning Ras Al Khaimah Quality Award. Self-assessment results were used as an input for the strategy development. The employees took part in developing the strategy as the head of unit discussed several issues with them and feedback their inputs to the

management team. That was a crucial step to gain employees commitment to the strategy and would support the management to implement it.

- **People:** Human resources development was the top priorities of the department, so training needs was studied and training plan was developed accordingly. Many Training courses were organized for the employees in both job development and personal development. Some of Human resources policies were modified such as recruitment and training policies.
- **Partnerships & Resources:** Successful partnering was established with other Ras Al Khaimah Government Departments, Federal Departments and private companies to facilitate the department services, operations and business process improvement. The department moved towards better utilization of resources by proper activities costing and budgeting in terms of plan versus actual expenditure.
- **Processes:** The department processes were also developed in a systematic way. Process Team was formed to be responsible of developing and improving the business processes in the department. Team members were selected according to their knowledge in the department process and had good experience in the department. Process Team members and Head of the units started developing services performance by documenting all the procedures. After that, all procedures were mapped in flow chart format and timed. External experts joint the process team at some stages and gave advice to simplify the processes. The outputs of the simplification of processes were fed to the e-government project. Moreover, the documented processes were provided to the customers in leaflets to give them information about the services' procedures, required documents and the tariff.
- **Results:** Different performance measures were developed to continuously review the department performance result. For instance, customer satisfaction, and employees satisfaction surveys were developed with support from the SSPGE.

Those surveys were conducted two times per year and the results were presented to the General Director.

- **Commitment:** "What supported the implementation of the above mentioned developments were the top management commitment and the SSPGE support", a self-assessment leader commented. Increasing staff awareness in quality and business excellence encouraged both the top management and the staff to pay more self-assessment results.
- **Change in Culture:** The department became customer oriented, more cohesive, involving teamwork, direct the staff towards achieving its vision and mission; and motivating employees to participate and implement the strategy and be more productive.
- **Ras Al Khaimah Quality Award:** Self-assessment results helped the department to plan ahead for winning Ras Al Khaimah Quality Award. The department was familiar with its strong points as well as areas for improvements; therefore, lots of efforts were made to reduce the number of areas of improvements and make many developments.

6.2.3. Benefits to the Staff

Three interviews with the Quality Coordinator and two self-assessment team members revealed that self-assessment helped the staff involved in the exercise acquire new knowledge in quality, business excellence and organizational self-assessment. Furthermore, it developed their interpersonal abilities and improved their teamwork skills. It also increased their motivation level in participating more in department development and be champions of winning the quality award. The organized training programs added more value and knowledge to them and improve their work performance.

6.2.4. Limitations to Self-Assessment

The evidence from the interviews indicates that there were some limitations to the self-assessment process. One of those limitations was taking a lot of time to reach consensus agreement to few questions due to the lack of knowledge in few self-assessment members. The reason behind this was those members did not attend the scheduled training program because of their overload of work. To overcome this problem the Quality Coordinator had to explain the question to them during the consensus meeting and that led to spending more time than planned.

"The business excellence was a new concept to most of the self-assessment team members, therefore, some of them found it difficult to match criteria requirement to the department processes" said the quality coordinator. Some of them argued that self-assessment could not be applied because the questions were not developed for government sector.

Moreover, there was communication problem between the SSPGE consultant and the self-assessment participants. A self-assessment member pointed that "the consultant was English speaker; therefore, the SSPGE provided an interpreter to accompany the consultant. When the consultant spoke some of the team members lost concentration and it was difficult for them to focus again when the interpreter interpreted".

6.2.5. Lessons Learnt

From the information provided, it was clear that the department learnt how to apply quality in everyday business process. That had a dramatic increase in the quality of the services provided and more satisfied customers. Self-assessment team leader stated that "self-assessment gave the department to think more about the department future and relate the organization strategy to business excellence and stakeholder needs".

Self-assessment gave the department a good opportunity to prepare for Ras Al Khaimah Award and expect how an external assessor would measure the department performance. Consequently, the department needs to focus more when implementing self-assessment to achieve better results.

Employees' empowerment and involvements were key outcomes of self-assessment because self-assessment enabled them to participate in change management. Being part of the change process encouraged the employees to improve their skills and knowledge in order to increase their performance level.

6.2.6. Case (A) Analysis

The case study analysis focuses on the self-assessment process, its output and impact to the department studied. The approach to self-assessment was eight-step-process which is widely recognized (Hillman 1994; Zairi and Whymark 2003; Shergold and Deborah M. Reed 1996; and Zink and A. Schmidt 1998). Using a widely accepted and tested approach ensures that Ras Al Khaimah government used best practises to get the desired results. That explains the similarities between the implemented step and those discussed in the literature review. The commitment to self-assessment and planning stage were similar to those discussed by Samuelsson and Nilsson (2002). The process of undertaking the self-assessment stage was relevant to the process illustrated by Zink and Schmidt (1998). Thus, the self-assessment process in this case can be used as best practise for other organizations in the region because it turned the theory into practice.

The feedback report which included self-assessment score and strengths and areas for improvements gave a good indication of the department commitment towards self-assessment and business excellence. The number of areas for improvement identified could make big change in the department after including them in the action plans. However, the limitation in skilled and experienced human resources in business excellence could be a significant barrier. To overcome that the management could

include business excellence and quality training programs to the yearly training program to raise their knowledge and change the culture. Prioritizing the implementation of action plans should consider the available number of human resources, technology, time and financial resources as well. There could be short term and long term plans; the short term plan can be added to yearly plan while the long term ones can be added to the strategy.

Documentation review of the report indicated that the report was a good tool for the management to use as a base for action plan, stated by a self-assessment member. It gave the management the chance to compare its performance against other departments participated in the process. That was considered as drive for management of change and to make more effort to compete with other departments to win the quality award.

Based on literature review, it can be concluded that raining programs was adequate and meet the objective of raising participants' awareness in self-assessment and Ras Al Khaimah Excellence model. Participants should apply the gained knowledge and assist the department to improve. Few interviewees suggested changing the training time, so they can attend the training program without causing delay in their daily work.

Although many changes triggered by the self-assessment process, there was a number of action plans were not implemented such as developing employees performance system, create rewards and recognition policy and formulating performance measurement systems. That was because of lack of experience of some criteria leaders in project planning especially in planning the tasks and allocating resources, a self-assessment member mentioned. There was a need for the Criteria leaders to improve their time management skills in order to balance between the routine job and their role as criteria leaders.

Despite the management commitment, the research findings showed a communication gap between the management and criteria leaders in the implementation stage. The only mean of communication was the written one by submitting a monthly progress report to

the General Director. There were no meetings or discussions held between the General Director and the criteria leaders to know why there was delay in implementation some plans. The action plans reviews were not included in the management meeting. Another reason was the lack of integration and communication among the units.

6.3. Case Study (B)

This department participated in self-assessment program to evaluate its management systems and performance against standard performance criteria as well as brining significant improvements to the department. Although, there was change in the top management, the department continued participating in the program.

6.3.1. The Process

The department followed the SSPGE self-assessment process as detailed in section 5.2.1.

6.3.2. Benefits to the Organization

The major benefit of Self-assessment was that it clarified what and how to change to make the department better. The department used benchmarking studies to improve many activities and systems. For instance, in order to develop department strategy, process, Human resources policies, leadership style and information technologies system, the department benchmarked its activities and system with different organizations in the country and Gulf countries.

- **Leadership:** The management developed the department vision, mission, and values based Ras Al Khaimah Government vision and mission and stakeholder expectation. Moreover, the top management realized the importance of communication with the staff. As a result, there were open forums (gathering) between the management and staff outside the working hours. The management aims of those gathering were to get close to staff, know their thoughts, solve their problems and build a good relationship with them.

- **Policy and Strategy:** The strategic plan was built by analyzing both internal and external environment using the SWAT analysis method. Based on the strategic plan quarterly plans were developed for each department and measured by performance indicators. Those plans were reviewed to follow up the implementation progress.
- **People:** Job description for each position in the department was created to specify each job task and assess the staff against their job duties. The job description was used as a base for managing by objective method which was implemented as employees performance management. Consequently, reward system was established to recognize the employees on their achievement of set of objectives and efficiency criteria. Moreover, Training process was improved by evaluating the training course and measuring the return of the training programs by assessing trainee's performance after two months of attending the training course.
- **Partnerships & Resources:** Partnerships were established with two other Ras Al Khaimah Departments to save customer's time by providing the service of these departments under one roof and by one employee only. Furthermore, the financial resources were reorganized to maximize the profit.
- **Processes:** Process documentation was one the department's priorities; as the management took in consideration the importance of understand the department processes. Therefore, the department started with recording all processes with the help from the SSPGE and a management consultancy company. The processes procedures were created and the duration of all tasks was identified. The process were also drawn as follow chart format including the responsible section to simplify the processes for the customer.
- **Results:** The organization key performance results were built in accordance to benchmarking studies with similar governmental departments in the UAE and the Arabian Gulf. The Results are linked with the Enablers in order to achieve Deliberate and meaningful indication of the department performance.

- **Commitment:** From the interview with different staff, it was discovered that the top management was very committed to business excellence and keep to win Ras Al Khaimah Award in "Best Government Department" category. The General Director conducted weekly meetings with criteria leaders to discuss the progress with the implementation of action plans. The Quality Coordinator expressed the General Director intention of build a team for criteria to support the criteria leader.
- **Change in Culture:** The interpretation of the interviewees' motivation towards business excellence and self-assessment reflected change in culture. It was noted that many experience manpower were employed in the past two years to contribute effectively in the development process. Furthermore, the department focused more on customers' satisfaction after conducting the self-assessment process. "The customers are more valued and listened to. Our management emphasizes on understanding internal and external needs through meetings and surveys" a self-assessment member noted.
- **Ras Al Khaimah Quality Award:** Winning Ras Al Khaimah Quality Award was a key driver toward implementing self-assessment process. Announcing the result by Sheikh Saud Bin Saqr al Qasimi - the Crown Prince and Deputy Ruler of Ras Al Khaimah gave more encouragement to the Director General and all staff to spare no effort to win the award.

6.3.3. Benefits to the Staff

As per self-assessment team leader, the self-assessment developed staff's skills in different areas like performance measurement, change management, project management, quality and business excellence. Educating staff was considered as future investment in developing the department. That was seen from the General Director motivation to staff to attend the training courses conducted by the SSPGE.

Furthermore, internal training course in Ras Al Khaimah excellence model to enable the staff to understand the criteria and their requirements and how to link them to department management system and services. Another training course was carried out on Internal Assessor to develop staff skills and knowledge in self-assessment.

6.3.4. Limitations to Self-Assessment

There was resistance to self-assessment process in the 2006 as declared by a self-assessment member due to lack of understanding the process and its objectives and outcomes. Some of self-assessment member did not understand the excellence model; therefore, there was a failure in linking the Results with the Enablers. That problem was solved by raising staff awareness through conducting training programs.

Another limitation found was the lack of documenting department's processes which made the process of data collection difficult. Therefore, the department started recording all processes as identified in section 5.3.2.

6.3.5. Lessons Learnt

"Our Director General is very interested in implementing business excellence principles in the department in order to improve the performance level. He is keen to attend SSPGE meetings and pass their message to us to proceed and follow up needed actions with them", said the Quality Coordinator. A self-assessment team member concluded that "staff development was the intent of the management believing that staff is the core of the business improvement".

It was obvious from the interviews that the department believed in the importance of business excellence. Therefore, comprehensive training programs were conducted to raise staff awareness, educate them and provide them on hand practise of business

excellence model criteria implementation. "The more we understand the model, the more successful we become in collecting data, analysing and assessing organization performance" said the self-assessment team leader.

In addition, the department learnt that development plans should be based on meeting the criteria requirements. The Quality Coordinator mentioned that "in designing the action plan, it was important to benchmark with other departments to learn from best practises". The implementation of action plans were sorted according to the availability of time, human resources and budget to short or long term plans.

Employees' satisfaction was the essential; as a result, the management cared about them and listened to their say in informal meetings. Besides, the management supported them and followed up their progress in achieving assigned tasks. Employees Performance Management system was developed to be fair in rewarding and training employees.

6.3.6. Case (B) Analysis

Top management commitment was interested in setting up department vision, mission, core values and strategy as well as motivating staff to implement them. Their commitment was recognized through formulating department policies, training staff and personally contributing in development actions. In addition, the management was interested in evaluating the implementation of the strategic plans and action plans triggered from self-assessment in light of results and objectives achieved.

It was essential to link Result to Enablers to achieve better results and ensure that the Enablers deployment were measured in meeting the department objectives and a set of performance indicators. In that way, the department could improve and set targets for next year performance for each criteria.

Self-assessment results were not linked to the department strategy and that meant the organization did not benefit from the results in future planning. In fact, including self-assessment results in the strategic planning process would give the department a clear picture about the current business excellence level against a standard excellence model. The plan for winning the quality award would be based on a systematic assessment of the department real performance so the target could be set based on facts not assumption.

6.4. Case Study (C)

This department used the same process detailed in section 5.2.1 using questionnaire approach in 2006 and 2007. However, award submission approach was used as a tool self-assessment method in 2008. The reason behind moving to that approach was the difficulty encountered in answering the questionnaire. Quality Team used the Ras Al Khaimah Award submission report to compare the department performance with the award requirements to identify the department strength and areas for improvement without specifying the score. The areas for improvement was prioritized and ranked according to their importance and availability of resources.

6.4.1. The Process

- **Develop commitment to self-assessment**

The department top management was committed to self-assessment process and supported the self-assessment team. The self-assessment team members included some of top management members and that gave more power to the team.

- **Plan self-assessment**

The Quality Coordinator was responsible of planning for the process, discussing the plan with the team and then getting approval from the General Director.

- **Training**

All self-assessment team members attended training programs on the EFQM excellence Model and organizational self-assessment. The purpose of those training courses was to refresh the old members' knowledge and to raise the knowledge of the ones.

- **Conduct self-assessment**

The criteria leader role was collect the data concerning the criteria and write the submission report accordingly. The Quality Coordinator role was to gather all criteria leader's reports, produce one report and then distribute it to all members to identify strength and area of improvements independently. The self-assessment team conducted several meetings to analyze the department current performance against the excellence model criteria by identifying the strengths and areas for improvements. All opportunities for improvements were scaled according to their affect on the department performance results and to the availability of needed resources.

- **Analyse Self-assessment Results**

The self-assessment members did not care about the score thinking that score would support them to develop action plans and the score would not be used to benchmark with other departments, a self-assessment leader stated. As a result, a list of areas of improvements was developed and reviewed by the team.

- **Establish an action plan**

Criteria leader was responsible of developing the action plans according to the list of opportunities for improvement. The developed action plans was discussed in with the quality team members to get their feedback. All action plans were presented to the General Director for approval and then sent to the SSPGE. The SSPGE role was to review the action plans and provide the department with feedback and then follow up the progress of action plans implementation.

- **Implement the action plan**

All the developed action plans were implemented except one for the Result criteria which was to benchmark and evaluate the department performance results against similar government department in the country. The Quality Coordinator declared that the reason was due to the lack of knowledge in benchmarking.

- **Review**

Each action plan was developed as a project; therefore, the Quality Coordinator kept a copy of the action plan to check the milestones and follow up the progress. Progress report was then submitted to the General Director for feedback and directions.

6.4.2. Benefits to the Organization

The start of self-assessment process in 2006 gave the department the opportunity to improve in a systematic and effective way by referring to standard excellence model. The implemented action plans and self-assessment outcomes were as follows:

- **Leadership:**

Decentralization principle was promoted to speed up the time of providing the services. That principle was applied by delegating authority, identifying responsibilities and clarifying job duties. A report of accomplished tasks and duties was submitted to the General Director periodically to follow the use of applying that principle.

Preparing new leaders program was developed to train new leaders and some employees to manage key positions in the department. Such a program enabled the participated employees to gain new knowledge and skills. Teamwork approach was also developed to build up and manage effective teams.

Communications among the top management and employees was strengthened through inspection tour where the top management met the staff and listen to their views and work issues. Communication committee was formed to work on building good relationships among top management and staff. In addition, the top management met with all staff every two months to discuss work issues, suggestions and problems. Open-door policy was also implemented to communicate with department's customers and satisfy their needs. The result of top management meetings with the employees

and customers were analyzed and reported to the General Director with recommended actions.

- **Policy and Strategy:** Strategy Team was built to develop the strategy with support from external consultant. Three meetings were held so far to introduce the strategy development plan and raise team members' awareness in strategic planning.
- **People:** Human resources recruitment plan was developed to identify job vacancies, plan when to recruit and allocate needed budget. A recruitment committee was formed to review recruitment procedure and develop induction program. The induction program was established to introduce new employees to the department services, policies and regulations, and to inform them about their rights and responsibilities.
- **Partnerships & Resources:** The department developed partnership and resources approaches to identify the partners and communicate effectively with them. Another procedure was established to manage the relationship with the suppliers, evaluate, and motivate them to provide the department with better services and products. Furthermore, the department established a new system to control its resources and reduce the expenses, stated by a self-assessment member.
- **Processes:** After conducting the self-assessment process, the department realized the importance to having a description of all the provided services. Therefore, the department started writing service procedure, map the process, analyze services' and simplify the procedures for performance improvements.
- **Results:** The Quality Coordinator mentioned that new performance measures were created for all departments and were associated with goals and performance indicators.

- **Commitment:** "The top management and employees were committed to business excellence because they understood its importance and how it would improve the department" said the self-assessment leader.
- **Change in Culture:** The department became customer oriented and provided the services to satisfy customer needs. Moreover, the department directed all its available resources towards improving the department excellence level.
- **Winning Ras Al Khaimah Quality Award:** The aim of winning Ras Al Khaimah Quality Award was included in the department operational plan. The top management also encouraged its employees to participate in the distinguished employee award.

6.4.3. Benefits to the Staff

Employees' skills and knowledge were improved in return of department intention to develop its performance and win the award. The yearly training plan covered employees' job knowledge and personality development programs.

6.4.4 Limitations to Self-Assessment

It was noticed that the result of self-assessment process in 2006 and 2007 was not as expected which made the quality section to recommend choosing another approach. The main difficulty experienced in the project was in understanding the questionnaire. "The questionnaire was difficult to understand and duplicated" noted by a self-assessment member. Therefore, the quality section started with training the self-assessment members on the model to make sure that they understand it.

It had been found also that the move towards quality requires a cultural challenge which normally needed time. Training, motivations, and management support could play an effective role in changing the current department culture. Quality should be considered in all department activities in order to practise to improve work performance.

6.4.5. Lessons Learnt

"Self-assessment allowed us to know the department strengths and area of improvements. We learnt from where to start changing and why" said a self-assessment member with enthusiasm. Self-assessment draw the excellence road for the department by enabling the management to know where they stand in the excellence level and can set their goals of where they want to be.

6.5. Case (C) Analysis

It was good to try another self-assessment approach and train staff to understand the process. According to Zairi and Whymark (2003) , the award simulation approach requires writing a full submission document supported by evidences. In this case, evidences documents were not presented during the assessment and site visits were not deployed which could create a bias and might lead to false judgments. Three self-assessment members could be trained as assessor to support the team in the analysis stage. Moreover, it would be better to conduct a separate action planning meeting after the censuses meeting to allow the team members to think carefully about the action plans.

Management commitment and support led to implementing more than 90% of the action plans. As a result, many developments took place in the department which would certainly lead to a good score in the quality award.

Knowledge could be a success factor or a failure; consequently, understanding the model was a critical issue in conducting the self-assessment. When the self-assessment team members understood the self-assessment approach, they produced action plans and worked hard to implement them. That provided a clear link between the preparation stage and data collection and feedback reports.

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6.6. Self-Assessment Effectiveness

- **Study Description**

The SPSS program was used to analyze the collected study sample and to examine the hypotheses. Table 5.4 provides description of study sample according to demographic (gender, marital status, educational level, age, nationality) and career factors (experience in the department, job status, Role in Self-Assessment). As can be seen from Table 5.4 that the study was very well dominated by female for 36 and male for 19. 85.5% of the employees co-opted in the study were UAE national and 52.7% were married. Furthermore, 25.5 % were educated to high school level, 61.8% held graduate degree, while 12.7 % were Master or above-degree holders. The majority of respondents (61.8%) were between 25 and 35 years old, 18.2% were less than 25 years old, 14.5% were middle aged, and only 3.6% were at between 47 to 57 years old. Frequencies of number of years worked in the departments show that 23.6% of the respondents had been working in their department for 2-7 years, 52.7% were there for 8-13 years whereas 1.8% were there for at least 14 years and the same number were employed for more than 20 years. Furthermore, the Frequencies of respondents' job level showed that the majority (56.4%) were at the middle management level. The distribution of the study based on the role of the respondents' in the self-assessment process revealed that most of them (72.7%) were team member.

Table 6.2: Description of the Study Sample

	Frequency	(%)		Frequency	(%)
<i>Gender</i>			<i>No. of years worked in Current Org.</i>		
Male	19	34.5	One year or less	13	23.6
Female	36	65.5	2-7	29	52.7
<i>Marital Status</i>			8-13	11	20.0
Married	29	52.7	14-19	1	1.8
Unmarried	26	47.3	20 years or above	1	1.8
<i>Education</i>			<i>Job Status</i>		
Less than high school	0	0	First Level	15	27.3
High school	14	25.5	Middle Level	31	56.4
Graduate Degree	34	61.8	Lower Level	9	16.4
Masters or above	7	12.7			
<i>Age</i>			<i>Role in Self-Assessment (SA)</i>		
Less than 25	10	18.2	SA Team Leader	6	10.9
25-35	34	61.8	SA Team Member	40	72.7
36-46	8	14.5	Quality Coordinator	9	16.4
47-57	2	3.6			
58 or above	1	1.8			
<i>Nationality</i>					
UAE National	47	85.5			
Non UAE National	8	14.5			

Total Questionnaires = 55

- **Reliability Test**

The reliability of the study measures were under focus and examined using the reliability test. The Cronbach's Alpha value for the study variables was 0.91, while it was .89 for Self-assessment Process and .73 for the outcomes as can be seen in Table 5.5. As the reliability results value over (0.60) are generally acceptable, then the reliability of measures of this research are satisfactory.

Table 6.3: Reliability Test Results

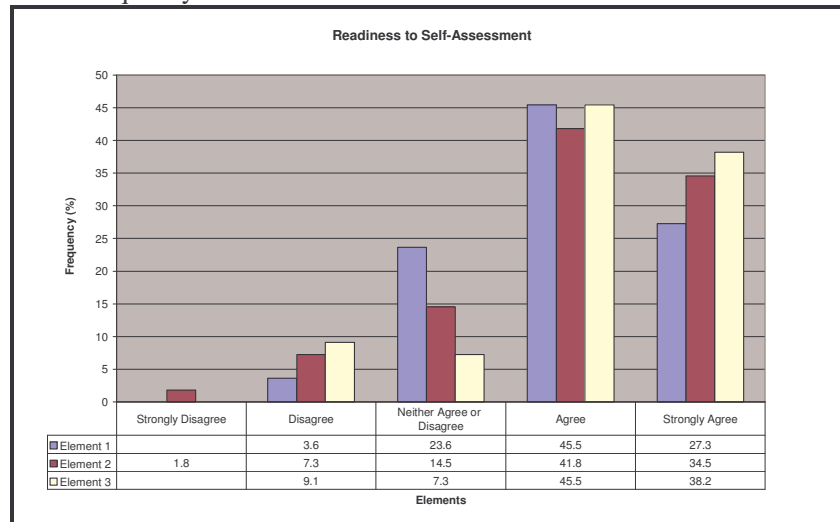
	Study Instruments	Self assessment process	Outcomes
Cronbach's Alpha	.91	.89	.73

The effectiveness of the self-assessment process is measured in ten departments in Ras Al Khaimah Government. The result of the questionnaire is presented according to the statistical analysis and linked with interview results. The following demonstrates the result of study measures:

- **Readiness to Self-assessment**

The statistical evidence showed that the majority of the respondents agreed that Ras Al Kaimah Government Departments were ready to conduct self-assessment process. The readiness was affected by the department's readiness to conduct the program with support from the SSPGE. It was also affected the knowledge acquired from training programs and the motivation of discovering the status of the organization performance. That means, as the self-assessment participants knowledge's level increases, the time and effort of collecting data and conducting self-assessment decreases.

Figure 6.3: Frequency of Readiness to self-assessment



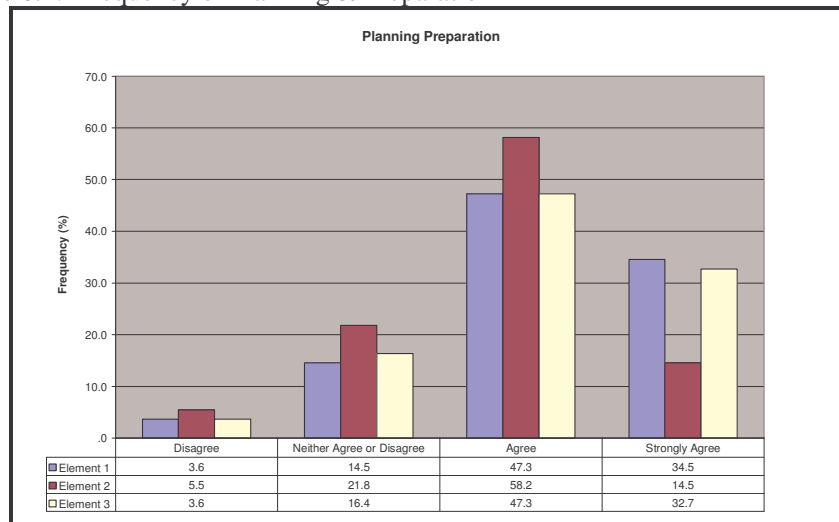
This variable was assessed by seeking participants' opinions about the organization readiness to conduct the self-assessment exercise. It was also assessed by checking the sufficiency of the organization's knowledge and understanding of the approach to

conduct self-assessment. Furthermore, a question was directed to examine the organization's motivations to accomplishing self-assessment exercise.

- **Planning & Preparation**

More than 70% of the respondents to the questionnaire come to an agreement that design stage, training and data collection plan were the key factors of successful self-assessment planning. Few respondents did not indicate their agreement or disagreement to the statements which reflected planning and preparation phase. The reason behind that could be that they were not fully aware of the steps undertook by the SSPGE.

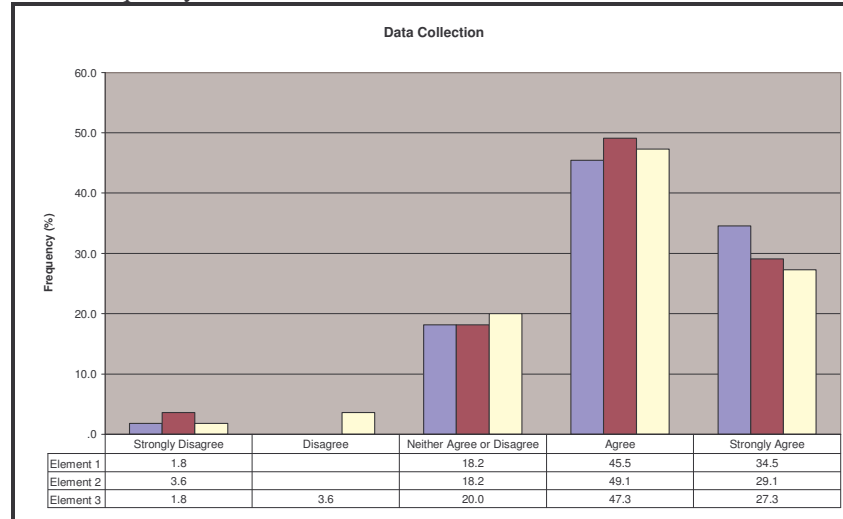
Figure 6.4: Frequency of Planning & Preparation



• Data Collection

The data collection stage included individual evaluation of the self-assessment questionnaire which was considered as good inputs to the consensus meeting. The consensus meeting led to approving the strengths and areas of improvement. The questionnaire result showed that almost 20% of the participants did not specify their agreement or disagreement to the statements. That could be because they had difficulties in understanding and applying The EFQM excellence model to the department activities.

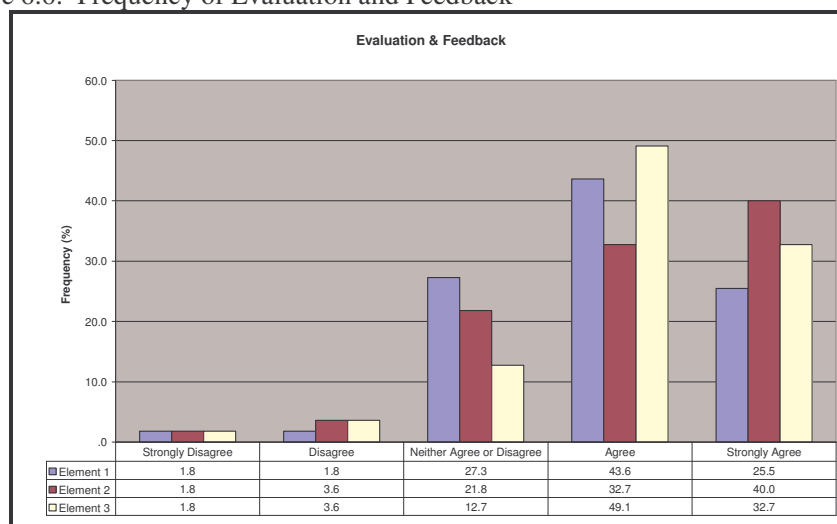
Figure 6.5: Frequency of Data Collection



◆ Evaluation & feedback

Evaluation and Feedback stage was influenced by independent review to the questionnaire and then effectively communicate the result to other self-assessment members to reach consensus of the answers, strength, and areas for improvements. The result of the feedback report could be then used as a base to develop the action plans in order to improve the department performance. The statistical analysis illustrated that more than 60 % of the agreed that the evaluation and feedback resulted in developing action plans and led to a quality assessment report.

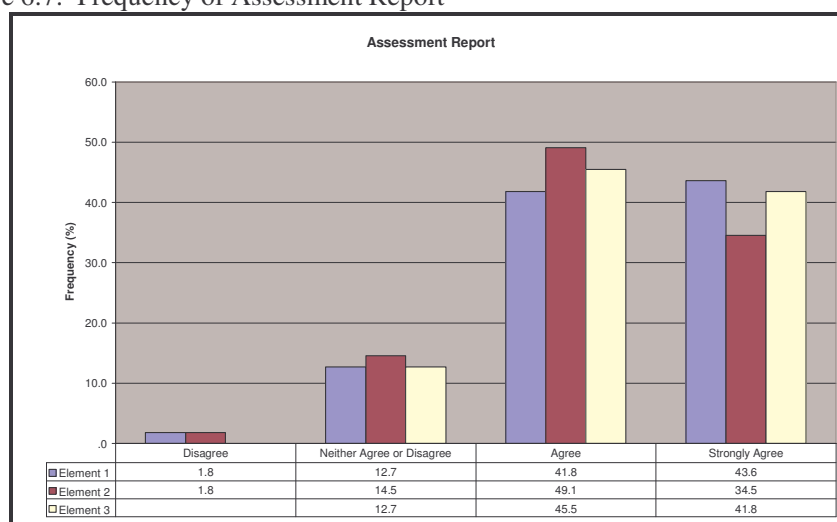
Figure 6.6: Frequency of Evaluation and Feedback



- **Assessment Report**

Most of the participants agreed that the assessment report provided meaningful description the department's result, and showed critical areas for improvements. In addition, the analysis showed that the report was clear and understandable. Therefore the management could use it for performance planning and strategy development.

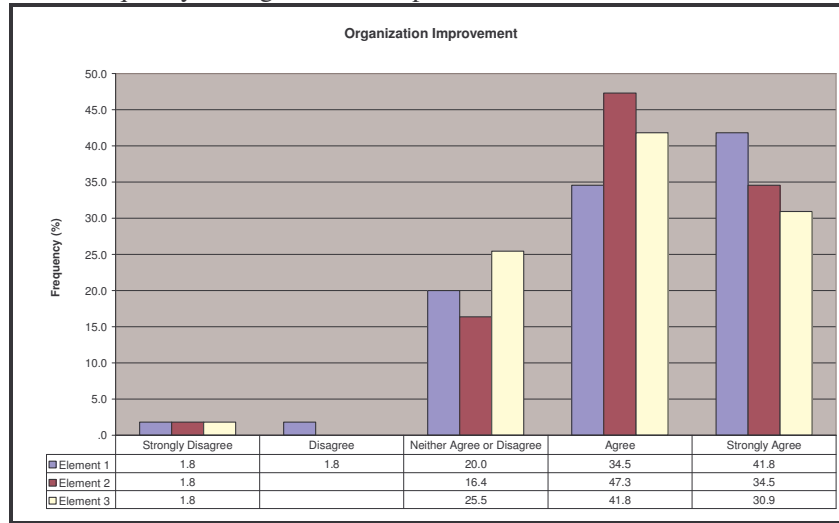
Figure 6.7: Frequency of Assessment Report



- **Organizational Improvement**

Nearly 70% of the participants indicated that the self-assessment process had great impact on the department improvement in performance planning, strategy development and reviewing action plans progress in the management review meetings.

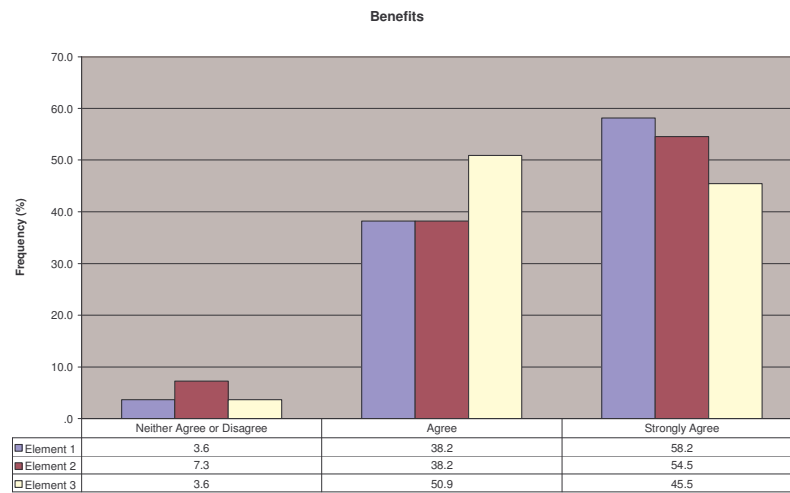
Figure 6.8: Frequency of Organization Improvement



- **Benefits**

Approximately 95% of the participants came to an agreement that the self-assessment had many benefits to their departments. One of the advantages of self-assessment as identified in the questionnaire was communication; because the process required two way communication methods among the top management, self-assessment team members, quality coordinator, criteria leaders and staff. Moreover, sharing knowledge was an essential success factor towards achieving successful self-assessment because without sharing the collected data there would not be any use of the consensus meetings, feedback report and assessment report. Moreover, self-assessment increased the quality standards and overall performance. Furthermore it had a notable impact on paying attention to customer satisfaction

Figure 6.9: Frequency of Benefits



6.7. Hypotheses Test

A statistical relationship was conducted for quantitative to produce and interpret to test the validity of hypothesis of this study using coefficients of correlation (Bivariate) and regression line.

H1: planning and preparation operations influence the effectiveness of data collection, evaluation, and reporting results.

Looking at hypothesis H1, it can be seen that there are four variables under consideration, the coefficients of correlation (Table 6.4):

- (a) planning and preparation and data collection = 0.647
- (b) Planning and preparation and Evaluation & feedback = 0.535
- (c) Planning and preparation and Assessment Report = 0.294

The statistical results show a very strong correlation which means that planning and preparation operation has a significant relation with the effectiveness of data collection, evaluation and feedback, and reporting results. Planning and preparation involves training self-assessment to increase their knowledge and ability. So, as the level of training increases, the self-assessment ability of collecting data, analyzing and report writing increases. Furthermore, if the process design and data collection plan were done in a good way then the self-assessment members will not face difficulties in following the plan and thus can collect the needed data which enable then to analyze and produce a quality assessment report. Given that result, it can be concluded that H1 is accepted.

Table 6.4: Correlations

Correlations								
	Readiness to Self-assessment	Planning Preparation	Data Collection	Evaluation	Assessment Report	Organization Improvement	Benefits	Process
Planning & Preparation	.612**							
Data Collection	.578**	.647**						
Evaluation & feedback	.561**	.535**	.742**					
Assessment Report	.263	.294*	.363**	.323*				
Organization Improvement	.508**	.618**	.648**	.649**	.324*			
Benefit	.232	.278*	.175	.175	.377**	.279*		
Process	.793**	.790**	.871**	.836**	.558**	.715**	.310*	
Outcomes	.491**	.595**	.566**	.566**	.428**	.878**	.705**	.683**

** . Correlation is significant at the 0.01 level (2-tailed).

* . Correlation is significant at the 0.05 level (2-tailed).

Table 6.5 presents the results of the multiple regression analysis. It can be seen that multiple R value of 0.65 shows that the three measures of self-assessment have strong relationships with planning and preparation, and explains 40% of the variance in this construct. Furthermore, the T value of 3.363 for Data Collection is significant at .001 level. This indicates that data collection plays a significant role in explaining variance in planning and preparation. Moreover, the largest beta weight is 0.54, so it can be concluded that it is the most important factor of data collection in self-assessment process influenced by planning and preparation. That means if planning and preparation is not good enough, the data collection will be highly affected. The interview findings also indicate the same result, concluding that data collection can be a problematic process if there is not adequate training for staff involved in the process. Consequently, evaluation and feedback and assessment report can be affected. This finding provides support for the hypothesis.

Table 6.5: The Study Regression Analysis

Model Summary						
Model	R	R Square		Adjusted R Square	F value	
1	.655 ^a	.429		.395	12.773	
a. Predictors: (Constant), Assessment Report, Evaluation, Data Collection						
Coefficients						
		Unstandardized Coefficients		Standardized Coefficients		
		B	Std. Error	Beta		
1	Data Collection	.451	.134	.541	3.363	.001
	Evaluation	.089	.124	.114	.718	.476
	Assessment Report	.060	.112	.061	.534	.595
a. Dependent Variable: Planning & Preparation						

H2: Government agencies readiness and willingness to self-assessment influence organization development.

The statistical evidence (Table 6.4) revealed that there is a highly significant correlation (0.508) between readiness and willingness to self-assessment and organization development. This result can be explained by confirming that readiness to self-assessment has a high influence on organization development.

Moreover, Table 6.6 presents the multiple regression analysis and indicates that the R value is 0.51 shows a high significant relation between readiness to self-assessment and organizational development; and explains 24.4% of the variance in this construct. Furthermore, the T value of 4.293 for Organization Improvement is significant at the .000 level. This indicates that organizational improvement plays a significant role in explaining variance in readiness to self-assessment. Moreover, the beta weight 0.51 indicates that readiness to self-assessment influences organization improvement. This study demonstrates that there is a relationship of statistical evidence between readiness

to self-assessment and organizational improvement in a way that high level of organization readiness to conduct self-assessment process leads to high organizational improvement.

Readiness to self-assessment includes management readiness to conduct self-assessment, participant knowledge and motivation of both the management and the participants. Management readiness has a great impact on supporting the process and motivating the self-assessment members. As their knowledge on the objectives of the self-assessment process and its outcome increases, their encouragement to the self-assessment members to make self-assessment successful will increase. Accordingly, self-assessment members will be motivated to conduct the process and come up with productive action plans. As the self-assessment members' knowledge increases, their communication with other employees increases which means increasing the level of knowledge sharing leading to an improvement in the organization overall performance. Therefore, it can be concluded from the pervious statistical evidence that the hypothesis is accepted. As a result, the government department shall consider the making their staff highly motivated and have good knowledge in self-assessment and business excellence model to enable the department to improve its performance level.

Table 6.6: The Study Regression Analysis

Model Summary					
Model	R	R Square		Adjusted R Square	F value
1	.508 ^a	.258		.244	18.427
a. Predictors: (Constant), Organization Improvement					
Coefficients ^a					
Model	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
Organization Improvement	.518	.121	.508	4.293	.000
a. Dependent Variable: Readiness to Self-assessment					

6.8. Chapter Highlights

The analysis of three outstanding cases of self-assessment implementation in Ras Al Khaimah Government has allowed us to review the self-assessment process and identify the benefits and drawbacks of the process. The lessons learnt from implementation were also tackled. The analysis of these cases reflected the importance of planning and preparing phase in gaining commitment and raising employees' knowledge towards having successful data collection, feedback and evaluation, and action planning development and implementation phases. Furthermore, the conducted questionnaire permitted us to examine and accept the research hypotheses.

CHAPTER 7 - RECOMMENDATIONS & CONCLUSION

This chapter summarizes research findings and discusses their implications. It evaluates the effectiveness of the research offer recommendations and suggestions for further research.

CHAPTER 7

RECOMMENDATIONS & CONCLUSION

This research aimed at identifying the lessons learned in the implementation of the EFQM excellence model, the self-assessment strategy in the public sector. It also aimed at analyzing existing practices using self-assessment process to recognize its benefits, difficulties, limitations and key concerned factors in order to handle the assessment in a proactive way. These objectives were met by studying three case studies and surveying ten government departments to examine the effectiveness of self-assessment process. The research results showed a successful practise of self-assessment implementation in the studied departments. It proved the departments' commitment and motivation towards the process. It also revealed the importance of self-assessment process to Ras Al Khaimah Government departments. Furthermore, the research also presented many benefits of conducting self-assessment and how it led to organizational improvement in several areas. On the other hand, it showed several limitations to the process which should be taken into consideration when conducting self-assessment in the future.

Moreover, this research showed the challenge of integrating EFQM excellence model self-assessment into the government departments. Therefore, it is recommended to include self-assessment process in the department PDCA cycle as a checking instrument in "check" stage, Figure 5.1. That will give the department to examine its overall performance using a world wide recognized excellence model. The second step is to consider self-assessment result when developing the department strategy. That is because self-assessment results provide comprehensive details of the department internal and external environment.

Figure 7.1: The components of organizational excellence

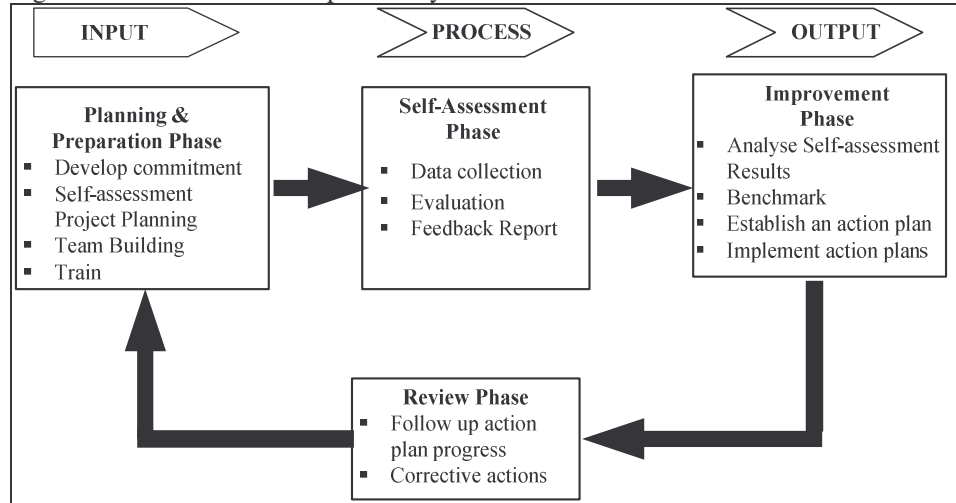


Source: Porter and Tanner 2004, p 13

7.1. Improving Self-Assessment Process

The Self –assessment process against the EFQM Excellence Model can be described as illustrated in Figure 7.2. The input stage includes planning and preparation steps (develop commitment, elf-assessment project planning, team Building and training), while the process stage contains data collection, assessment and feedback report). Analyses of Self-assessment Results, benchmark studies, and action plans development and implementation are conducted in the output stage. Follow up of action plans progress and feedback are part of the review stage.

Figure 7.2: Self assessment process cycle



In that perspective a great attention should be given to each stage to grant the success of the process and meet the department objective in conducting the self-assessment process. Our recommendations are as follows:

7.1.1. Planning & Preparation Phase

Case studies analysis and survey results show that there is a need to focus on planning and preparation phase because of its great impact on the subsequent phases. Business Excellence Office and the top management have to concentrate on how to make self-assessment process successful. That can be achieved by identifying the aim of the process, developing the process plan, data collection plan. It is not enough to plan and approve the plan from the top management; it has to be communicated to concerned people to gain their commitment and motivation.

Furthermore, to have a successful implementation of self-assessment process; managers and staff needs to have a high level of knowledge. For instance they need to learn about business excellence model, self-assessment, team working, project management, benchmarking, and performance management. It is essential that the self-assessment participant know their department's vision, mission, strategy, policies and processes.

Having that knowledge will prepare them to collect data related to the business excellence criteria.

7.1.2. Self-Assessment Phase

Data collection could be a problematic and time consuming if there is lack documentation and archiving system. However, if data collection is conducted through a comprehensive plan which gives directions from where the needed data can be collected.

It is recommended to have seven teams of two to three people to conduct the self-assessment process. Five criterion teams can be formed for each Enabler and a team for Results criteria. Assessment team can be formed if the Business Excellence Office members are less than three. Criterion team should focus on data collection, identifying strengths and area for improvements, action planning. They should not care about the score in order to respond in objective manner.

The gathered strengths and areas for improvement should be reviewed by the assessment team to prepare the evaluation report. Assessment report should be then presented to criterion teams to establish the needed actions.

There should consensual in identifying strengths and areas for improvement, and internal assessment. In case of variations reasons should justified and supported by evidences.

According to the difficulties encountered with questionnaire approach in some departments, we offer two suggestions, though selection of self-assessment approach remains a department's choice:

1. Continue using questionnaire approach but conduct more training programs to raise staff knowledge and understanding of the approach and the questions.
2. Use pro-forma approach because it is simple to implement and encourages fact-based evidence in time-efficient manner, (Porter and Tanner 2004). This process

can be implemented as illustrated in Figure 7.3 which shows the role of self-assessment participants in each self-assessment stage.

7.1.3. Improvements Phase

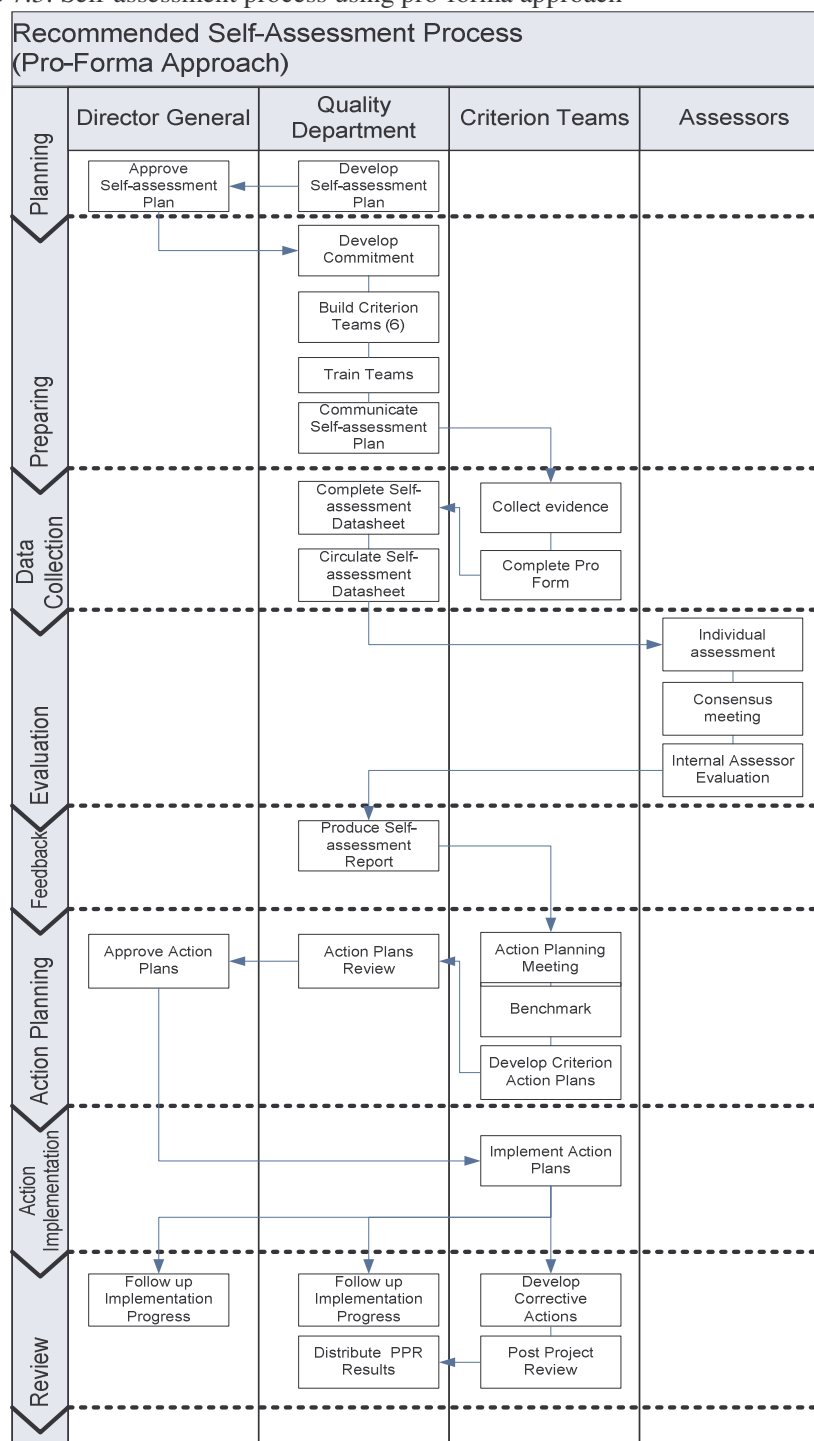
Analyse Self-assessment Results leads to establishing action plans to improve the department performance. Each criterion team member has to individually list of action plans then the actions can be discussed in consensus meeting. Action plan should be prioritized according to their importance and the availability of resources. In this stage, it will be useful to conduct benchmarking studies to compare the department level to others and learn from best practices.

Once the action plans are developed and gained the management approval, they shall be implemented as planned. Action plans should be treated as project; therefore a complete plan should be developed and then implemented.

7.1.4. Review

Regular follow up of implementation should take place in order to make sure that the project is running as planned and undertake corrective action when needed. The management support is vital in this stage; therefore, quality section should update the Director General and report the progress in the management meeting as well. At the end of the implementation stage, a post project review shall be conducted in order to evaluate the project by comparing the initial plan with actual implementation. It is important to record what went well, what did not went well and lessons learnt for future project planning.

Figure 7.3: Self-assessment process using pro-forma approach



7.2. Research Limitation & Suggestions for Further Research

Despite the significant results of the research, the research has some limitation which should be considered when conducting a similar research. In fact the research was limited to one Emirate Government departments; it could be expanded further to study the practices of other governmental departments in the United Arab Emirates.

The research studied the self-assessment stages only; further research could study more factors affecting the process like self-assessment team and assessor abilities and characteristics, and organizational culture. More focus should be given to self-assessment training methods, data collection plans, and management role.

The case studies showed some limitations to self-assessment process, and that oppose with the questionnaire results which showed effectiveness of the process. That means some of the questionnaire respondents might be not realistic and objective when answering the questions. As a result, questionnaire should be designed in away that does not lead to a bias. Moreover, the respondents need to be briefed about the importance of the study and the need for honesty and objectivity to get reliable results.

Moreover, pro-forma approach was recommended as an alternative self-assessment approach; however it was not implemented in the Ras Al Khaimah government. Therefore, the effectiveness of this approach could be examined in the future.

7.3. Conclusion

A comprehensive review of previous studies on previously mentioned topics were done to find out what was already known in the body of knowledge in Total Quality Management, business Excellence and self-assessment against the EFQM excellence Model. The research showed that extensive studies were done to review and analyse Total Quality Management elements and implementation's benefit, barriers and lessons learnt. It also attempted to provide a background about quality awards in the world and

in the United Arab Emirates. Furthermore, it covered business excellence definition, history and focused on the EFQM excellence model for the purpose of this study. It covered EFQM excellence model criteria, relations within the model, model tools and implementation. It also discussed the contrast between business excellence and TQM; and the contrast with ISO 9000. The research revealed that there was no single way to implement the EFQM model.

The literature review on self-assessment process against the EFQM excellence model showed that most of the studies were to conduct the process and examine the implementation and its effect on the organization. Self-assessment objectives, types, approaches, framework and procedure were studied in detail. Moreover, the literature provided examples of organization that adapted self-assessment and detailed how the process was implemented and discussed the issues related to the implementation. However, the research on the effectiveness of the self-assessment process was very limited.

Three departments of Ras Al Khaimah government were under study to learn about their implantation methods of self-assessment. It was found that self-assessment was used as a tool to enable the departments to identify their strengths and areas of improvement as well as a driver for continuous improvement.

The focus was on the factors which trigger the evaluation, feedback and change process. Those factors were the management commitment, self-assessment participant's knowledge. The planning and preparation was the most crucial stage in the process because it involves planning all the stages and preparing the management and staff to undertake the process. If that stage was not given a great attention, then the process may not lead to good result. The main limitation of the process was that some self-assessment participants faced difficulties in understanding self-assessment questionnaire because of lack of knowledge. Another reason was the lack of communication among the top management, participants and the SSPGE in some stages. Moreover, the successful implementation of self-assessment process resulted in many improvements in

the departments studied. Those changes was targeted to improve the departments' performance and to meet business model criteria requirements.

In addition, a quantitative research was also conducted to examine the effectiveness of the self-assessment process and study the relations among the process stages. The research revealed that planning and preparation stage had a huge impact on data collection, assessment and the quality of feedback report. It also illustrated that organization readiness to self-assessment had a great influence on the organization improvement.

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APPENDIX 1: Interview Questions

Questions

1. What drives the organization towards excellence
 2. Describe the organization journey towards excellence
 1. What are the aims of conducting self-assessment?
 2. Describe top management role in self-assessment
 3. Can you describe self-assessment process?
 4. What approach are you using? Why?
 5. How frequent self-assessment process is conducted?
 6. How long is the self-assessment process?
 7. What had been done to introduce self-assessment process?
 8. In what way did self assessment process helped your organization achieve improvements?
 9. In what way did motivation and organization readiness affect self-assessment process?
 10. Can you give me examples of changes that were triggered by self assessment?
 11. How many action plans developed?
 12. How many action plans implemented
 13. Do you link self-assessment results with the strategic planning?
 14. How did self assessment helped staff involved in the exercise acquire new knowledge and insight into how they can improve themselves and their organization?
 15. What factors affect the objectivity of data collection?
 16. What factors affect the quality of self-assessment report
 17. What are the benefits of self-assessment
 18. What makes self-assessment process successful?
 19. What are the difficulties associated with self-assessment?
 20. How can you make self-assessment better next time?
 21. What are the lessons learnt from conducting self-assessment?
 22. Do you prefer internal or external assessor? Why?
 23. What is the role of the Assessor?
 24. What is the role of the self-assessment Facilitator?
 25. What is the role of the self-assessment team?
 26. How many members in self-assessment team?
 27. What are the characteristics of selecting self-assessment team members?
-

APPNDIX 2: Interview Introductory Question

Questions

1. What drives the organization towards excellence
 2. Describe the organization journey towards excellence
 3. In what way did self assessment process help your organisation achieve improvements?
 4. How did self-assessment helped staff involved in the exercise acquire new knowledge and insight into how they can improve themselves and their organization?
 5. In what way did motivation and organization readiness affect self-assessment process?
-

APPENDIX 3: Original Questionnaire

From Strategy to Results:
Understanding, Evaluating, and Improving the Organization
through Self-Assessment Using Nonprescriptive Criteria

INFORMED CONSENT

This study is being conducted by: Walden University

Background Information:

What are the effects of the self-assessment process on the quality of the assessment reports? The purpose of this study is to evaluate the effectiveness of the self-assessment process and products at the 15th Air Base Wing, Hickam Air Force Base, Hawaii. The output of the study will be: (a) an in-depth description of the self-assessment process used at the site; (b) an analysis and evaluation of the relationships between processes, products, and the overall outcomes; and (c) recommendations for improving the self-assessment process.

Confidentiality:

The records from this study will be kept private. In any sort of report we might publish, we will not include any information that will make it possible to identify a subject. Research records will be kept in a locked file; only the researchers will have access to the records.

Your decision whether or not to participate will not affect your current or future relations with Walden University.

The researchers conducting this study are John Latham and Dr. Eileen Kuhns. If you have questions, you may contact them at:

John Latham (808) 423-4512 (Note: no longer a valid number)
Dr. Eileen Kuhns (302) 227-0119 (Note: no longer a valid number)

Self-Assessment Against EFQM Excellence Model In Public Sector In UAE

Please indicate your level of agreement or disagreement with each of the following statements by checking the number that best describes your feeling. Note: Where you have had no experience with the item or issue, please check the NE box. Your response is greatly appreciated.

Organizational Readiness to Self-Assess

1. Overall, the organization was ready to conduct a unit self-assessment.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

2. The organization's improvement strategy is consistent with the criteria core values and concepts.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

3. The organization's knowledge of its processes was sufficient to conduct a self-assessment.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

4. The organization was motivated to accomplish a self-assessment.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Planning and Preparation

5. Overall, the planning and preparation facilitated the data collection, analysis, and report writing process.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

6. The assessment plan facilitated the data collection, analysis, and report writing process.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

7. The assessment team was qualified to collect and analyze data and write the report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

8. The assessment team training adequately prepared the team to collect and analyze data and write the report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

9. The assessment questions facilitated the data collection, analysis, and report writing process.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

10. Data collection planning made data collection easier.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Data Collection, Analysis, and Reporting

11. The data collection, analysis, and reporting process resulted in a quality assessment report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

12. Interviewees were well prepared to answer the interview questions.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

13. The process to gather and document data facilitated the analysis and report writing process.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

14. The data analysis and synthesis process facilitated the report writing process.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

15. The report writing process resulted in a quality assessment report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Self-Assessment Report

16. The assessment report was a useful tool for evaluating and constructing feedback.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

17. The assessment report is written in a clear and understandable manner.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Self-Assessment Against EFQM Excellence Model In Public Sector In UAE

18. The assessment report provided meaningful descriptions of the organization's key systems such as operations, human resource development, information, etc.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

19. The assessment report provided meaningful descriptions of the organization's results.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

20. The assessment report was an accurate reflection of the organization.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Evaluation and Feedback

21. Evaluation and feedback resulted in a useful feedback report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

22. The individual evaluations resulted in good inputs to the consensus

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

23. Consensus resulted in a quality feedback report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

24. The site visit improved the feedback report.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

25. The feedback report clearly identified the organization's strengths and areas for improvement.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

26. The feedback report was understandable.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

27. The feedback report provided meaningful comments.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

28. The feedback report is a useful tool for helping implement positive change in my organization.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Organizational Improvement

29. Overall, the self-assessment reports serve as working tools for planning improvement.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Self-Assessment Against EFQM Excellence Model In Public Sector In UAE

30. Overall, self-assessment facilitates communication and sharing among and within organizations.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

31. Overall, self-assessment assists in raising quality performance standards and expectations.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

32. Overall, self-assessment assists in improving overall process performance and capabilities.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

33. Overall, the Unit Self-Assessments assist in improving overall organization performance.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

34. Overall, the Unit Self-Assessment process assists in the delivery of ever-improving value to customers resulting in overall U. S. Air Force objectives.

Strongly Disagree	Disagree	Neither Agree or Disagree	Agree	Strongly Agree	No Experience
1	2	3	4	5	NE

Please indicate how important you think each of the following features are to the Unit Self-Assessment program by checking the number that best describes your feelings.

Organizational Readiness to Self-Assess

35. How important is the overall readiness of the organization to the success of a self-assessment?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

36. How important is the consistency between the organization's improvement strategy and criteria to a successful self-assessment?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

37. How important is knowledge of the organization's processes to a successful self-assessment?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

38. How important is motivation to a successful self-assessment?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

Planning and Preparation

39. How important is planning and preparation to data collection, analysis, and report writing?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

40. How important is the assessment plan to data collection, analysis, and report writing?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

41. How important are team qualifications to data collection, analysis, and report writing?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

42. How important is assessment team training to data collection, analysis, and report writing?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

43. How important are standardized questions to data collection, analysis, and report writing?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

44. How important is data collection planning to the data collection, analysis, and report writing process?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

Data Collection, Analysis, and Reporting

45. How important is data collection, analysis, and reporting to a quality assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

46. How important is interviewee preparation to a quality assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

47. How important is gathering and documenting data to a quality assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

48. How important is the analysis and synthesis of data to a quality assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

49. How important is the report writing process to a quality assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

Self-Assessment Report

50. How important is assessment report quality to evaluation and feedback?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

51. How important is assessment report accuracy to evaluation and feedback?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

52. How important is a clear/understandable assessment report to evaluation and feedback?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

Evaluation and Feedback

53. How important is the individual evaluation process to a high quality feedback report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

54. How important is the consensus process to a high quality feedback report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

55. How important is the site visit to a high quality feedback report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

Organizational Improvement

56. How important to organizational improvement is a high quality self-assessment report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

57. How important to organizational improvement is a high quality feedback report?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

58. How important to organizational improvement is the improvement planning process?

Very Unimportant	Unimportant	Neither Important nor Unimportant	Important	Very Important	No Experience
1	2	3	4	5	NE

General Comments

59. Please make at least one positive comment about the Unit Self-Assessment program.

60. Please make at least one comment on improving the Unit Self-Assessment program.

APPENDIX 4: Original Demographical Questions

QUESTIONNAIRE	استبيان
<p>Dear Sir/ Madam,</p> <p>This questionnaire gives you the opportunity to express your views on a wide range of issues related to the work conditions. Please note that there is no right or wrong answer.</p> <p>The questionnaire will be used to collect the primary data needed for a research study. Therefore, we seek your assistance to be as open, fair, honest as possible as you can in your responses.</p> <p>The researchers assure you that no individuals will be identified from their responses and there are no requests for confidential information included in the questionnaire. The results of the analysis will be strictly used by the researchers for study purposes <i>only</i>.</p> <p>The questionnaire comprises four parts:</p> <ol style="list-style-type: none"> 1. General information 2. Job Satisfaction 3. Work performance <p>Thank you</p> <p>Researcher</p>	<p>سيدي/سيدتي</p> <p>إن هذا الاستبيان يعطيك الفرصة لعرض وجهة نظرك لمجموعة من المواضيع تتعلق بأجواء العمل. الرجاء ملاحظة أنه ليس هناك إجابة خاطئة أو صحيحة.</p> <p>سيتم استخدام هذا الاستبيان لجمع البيانات الأولية لعمل دراسة بحثية. عليه نطلب مساعدتكم في الإجابة على الأسئلة بكل وضوح وحرية وصدق وأمانة قدر المستطاع.</p> <p>نؤكد لكم بأنه لن يتم التعريف أو الإشارة إلى الأفراد من خلال الإجابات المقدمة ولن يكون هناك أية إجابات تستوجب السرية يتضمنها الاستبيان. سيتم استخدام نتائج التحليل من قبل الباحث لأغراض الدراسة فقط.</p> <p>يتكون الاستبيان من أربعة أقسام:</p> <ol style="list-style-type: none"> 1. معلومات عامة 2. الرضا الوظيفي 3. الأداء الوظيفي <p>مع الشكر الباحث</p>

Source: Suliman 2008 ,p 1

APPENDIX 5: Research Questionnaire



QUESTIONNAIRE	استبيان
<p>Dear Sir/ Madam,</p> <p>The purpose of this study is to evaluate the effectiveness of the self-assessment process in the public sector in the United Arab Emirates.</p> <p>The questionnaire will be used to collect the primary data needed for a research study. Therefore, we seek your kind assistance to be as open, fair, and to be as honest as possible in your responses.</p> <p>The researcher assures you that no respondent will be identified from their responses and there are no requests for confidential information included in the questionnaire. The results of the analysis will be strictly used by the researcher for research purpose <i>only</i>.</p> <p>The questionnaire comprises of two parts:</p> <ol style="list-style-type: none"> 4. General information 5. Self-assessment <p>Thank you Researcher</p>	<p>دي/سيدتي</p> <p>رض من هذه الدراسة هو تقييم فعالية عملية التقييم الذاتي في القطاع ام في دولة الإمارات العربية المتحدة.</p> <p>نم استخدام هذا الاستبيان لجمع البيانات الأولية لعمل دراسة بحثية. به نطلب مساعدتكم في الإجابة على الأسئلة بكل وضوح وحرية سندق وأمانة قدر المستطاع.</p> <p>ند لكم بأنه لن يتم التعريف أو الإشارة إلى الأفراد من خلال الإجابات ندمة ولن يكون هناك أية إجابات تستوجب السرية يتضمنها الاستبيان. نم استخدام نتائج التحليل من قبل الباحث لأغراض الدراسة فقط.</p> <p>ون الاستبيان من قسمين:</p> <ol style="list-style-type: none"> ٤. معلومات عامة ٥. التقييم المؤسسي الذاتي <p>الشكر باحث</p>

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PART ONE: GENERAL INFORMATION <i>Please (✓) tick one box for each question:</i>	الجزء الأول : معلومات عامة الرجاء وضع علامة (✓) لكل سؤال:
A. Sex (1) Male () () (2) Female () ()	أ – الجنس: (1) ذكر (2) أنثى
B. Marital Status: (1) Married () () (2) Unmarried () ()	ب- الحالة الاجتماعية (1) متزوج/متزوجة (2) غير متزوج/غير متزوجة
C. Education: (1) Less than high school () () (2) High school () () (3) Graduate degree () () (4) Masters or above () ()	ج- المرحلة التعليمية: (1) أقل من الشهادة الثانوية (2) الشهادة الثانوية (3) خريج/خريجة كلية (4) الماجستير أو أعلى
D. Age: (1) Less than 25 () () (2) 25 - 35 () () (3) 36 - 46 () () (4) 47 - 57 () () (5) 58 or above () ()	د- العمر (1) أقل من 25 عاماً (2) 25 - 35 (3) 36 - 46 (4) 47 - 57 (5) 58 وأكثر
E. Nationality: (1) UAE National () () (2) Non UAE National () ()	ح – الجنسية (1) مواطن (2) غير مواطن
F. No. of years worked in current organization: (1) One year or less () () (2) 2 - 7 () () (3) 8 - 13 () () (4) 14 - 19 () () (5) 20 years or above () ()	هـ - عدد السنوات التي قضيتها في مؤسستك الحالية (1) سنة أو أقل (2) 2 - 7 (3) 8 - 13 (4) 14 - 19 (5) 20 سنة أو أكثر
G. Job Status: (1) Top level () () (2) Middle level () () (3) Lower level () ()	ز – المستوى الوظيفي: (1) إدارة عليا. (2) إدارة وسطى. (3) إدارة دنيا.
H. Your role in self-assessment process: (1) Team leader () () (2) Team member () () (3) Quality Coordinator () ()	و – دورك في عملية التقييم المؤسسي: (1) قائد الفريق (2) عضو في الفريق (3) منسق جوده

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PART TWO: SELF-ASSESSMENT (contd.) Please (✓) tick one box for each statement:		الجزء الثاني : التقييم المؤسسي الذاتي (تابع) الرجاء وضع علامة (✓) لكل عبارة:					
Note: Please indicate your level of agreement or disagreement with each of the following statements by checking the best that describes your opinion. Where you have had no experience with the item or issue, please check the NE box. .		ملاحظة : يرجى الإشارة إلى مدى الاتفاق أو الاختلاف مع كل من البيانات التالية عن طريق اختيار الإجابة الأقرب إلى رأيك. إذا لم يكن لديك تجربة مع أي عبارة ، يرجى اختيار خانة " لا توجد تجربة "					
SD=Strongly Disagree, D= Disagree, NAD= Neither Agree or Disagree, A= Agree, SA= Strongly Agree, NE= No Experience	SD لا أوافق بشدة	D لا أوافق ق	NAD محيد	A أوافق	SA أوافق بشدة	NE لا توجد تجربة	العبارة
1. The organization was ready to conduct self-assessment exercise.							1. كانت المؤسسة مستعدة لإجراء عملية التقييم الذاتي
2. The organization's knowledge and understanding of the approach to conduct self assessment was sufficient							2. المؤسسة لديها المعرفة والفهم الكافي لمنهجية إجراء التقييم الذاتي
3. The organization was motivated to accomplish a self-assessment exercise.							3. كانت للمؤسسة الدافعية للقيام بعملية التقييم الذاتي.
4. Planning and preparation facilitated the data collection, analysis, and report writing process.							4. عملية التخطيط والإعداد سهلت جمع البيانات وتحليلها وكتابة التقارير
5. The assessment team was well trained by the organization to prepare the team to collect, analyze and write report							5. فريق التقييم تلقوا التدريب الجيد من المؤسسة لتأهيلهم لجمع وتحليل المعلومات وكتابة التقرير
6. The assessment questions facilitated the data collection, analysis, and report writing process.							6. أسئلة التقييم سهلت جمع البيانات وتحليلها وكتابة التقارير.
7. Data collection planning made the team to collect data in a proper sequence.							7. التخطيط لجمع البيانات مكن الفريق من جمع البيانات بتسلسل مناسب.
8. The data collection, analysis, and reporting process resulted in a quality assessment report.							8. عملية جمع البيانات وتحليلها، وإعداد التقارير أدت إلى جودة تقرير التقييم.
9. Interviewees were well prepared to answer the interview questions.							9. تم القيام بالإعداد الجيد للمقابلات للاستجابة على الأسئلة
10. Consensus meeting resulted in a quality feedback report.							10. أدى اجتماع الإجماع إلى جودة تقرير التغذية الراجعة
11. The individual evaluations resulted in good inputs to the consensus meeting							11. التقييمات الفردية أدت إلى جودة مدخلات اجتماع الإجماع

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PART TWO: SELF-ASSESSMENT <i>(contd.)</i> Please (✓) tick one box for each statement:		الجزء الثاني : التقييم المؤسسي الذاتي (تابع) الرجاء وضع علامة (✓) لكل عبارة:						
Note: Please indicate your level of agreement or disagreement with each of the following statements by checking the best that describes your opinion. Where you have had no experience with the item or issue, please check the NE box. .		ملاحظة : يرجى الإشارة إلى مدى الاتفاق أو الاختلاف مع كل من البيانات التالية عن طريق اختيار الإجابة الأقرب إلى رأيك. إذا لم يكن لديك تجربة مع أي عبارة ، يرجى اختيار خانة " لا توجد تجربة "						
SD=Strongly Disagree, D= Disagree, NAD= Neither Agree or Disagree, A= Agree, SA= Strongly Agree, NE= No Experience	SD لا أوافق بشدة	D لا أوافق	NA D محايد	A أوافق	SA أوافق بشدة	NE لا توجد تجربة	العبارة	
12. The feedback report is a useful tool to develop action plans for implementing change in the organization.							12. تقرير التغذية الراجعة كان أداة مفيدة لوضع خطط عمل لتنفيذ التغيير في المؤسسة.	
13. The assessment report provided meaningful descriptions of the organization's results.							13. قدم تقرير التقييم وصفا جيدا لنتائج المؤسسة	
14. Self-assessment reports serve as a management report to show critical areas of concerned for change and improvement							14. تقارير التقييم الذاتي تعد بمثابة تقرير الإدارة لاطهار المجالات الحاسمة المعنية بالتغيير والتحسين	
15. The assessment report is written in a clear and understandable manner.							15. تقرير التقييم مكتوب بطريقة واضحة ومفهومة.	
16. Action plans for improvement were developed and implemented							16. تم وضع وتنفيذ خطط عمل للتحسين	
17. Action plans were reviewed and followed up as part of management review							17. تم مراجعة ومتابعة خطط الافعال كجزء من اجتماع الإدارة	
18. Self-assessment results were considered in the organization strategy							18. نتائج التقييم الذاتي أخذت بعين الاعتبار عند وضع استراتيجية المؤسسة	
19. Self-assessment supports in improving overall process performance and capabilities.							19. يدعم التقييم الذاتي عملية التحسين الشاملة للأداء والقدرات.	
20. Self-assessment facilitates communication and sharing among and within organization.							20. التقييم الذاتي يسهل عملية الاتصال وتبادل الآراء داخل المؤسسة.	
21. Self-assessment encourages and promotes raising quality awareness and performance standards and expectations.							21. التقييم الذاتي يشجع ويعزز رفع مستوى الوعي بالجودة ومعايير الأداء والتوقعات.	

Thank you

شكراً