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**A GLOBAL STUDY ON HOW THE NATIONAL BUSINESS
EXCELLENCE (BE) CUSTODIANS DESIGN BE
FRAMEWORKS AND PROMOTE, FACILITATE, AND AWARD
BE IN THEIR COUNTRIES**

A thesis presented in partial fulfilment of the requirements for the degree of Doctor of
Philosophy in Engineering at Massey University, Manawatu Campus, New Zealand

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ABSTRACT

Business Excellence (BE) is a philosophy and a collection of BE Frameworks (BEFs) for organisations to follow to achieve excellence in strategies, business practices, and stakeholder-related performance results, to ultimately become the best they possibly can be. This research aimed to investigate the current state of and best practices in designing BEFs and deploying (promoting, facilitating, and awarding) BE on a national and/or regional level.

The aim of this research was met through first conducting a systematic review of BE literature followed by collecting data directly from BECs. A mixed methodology and pragmatic philosophy were used in this research, thus collecting and analysing both quantitative and qualitative data. With regards to the participants of the research, 29 BECs from 26 countries undertook a 46-question survey. Of the survey participants, 13 BECs also undertook optional follow-up online structured interviews.

It was found that while the BE literature comprises of 415 journal papers, no research covers how BECs support BE in their countries. There are 74 countries and four regions with BE Custodians (BECs) that promote BE within their countries, of which 57 actively hold BE Awards (BEA) with their last award held in 2018 or after. A key finding of this research is that BECs focus more on their BEA activities than their BE promotion and facilitation activities and report low levels of BE awareness and usage levels. A general framework for designing and reviewing a BEF is provided along with recommendations for BECs to improve their BE promotion, facilitation, and award activities.

The findings of this research will help the national BECs to better understand their strengths and opportunities for improvement and to learn from other BECs' practices. This will assist the BECs

to better foster a culture of BE in their countries' organisations that follow or aim to undertake a BE journey (of using a BE and adopting outstanding practices to achieve results) to ultimately benefit all of their stakeholders and lead to improved economic and societal benefits at a national level.

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First and foremost, I thank the Almighty for giving me the ability to undertake and complete my Ph.D. process. My Ph.D. journey would not have been possible without the support of my family; my parents who raised me, my siblings; who have always given me love and support throughout my life, and my nephew for bringing more motivation in my life.

I am grateful to my supervisors Dr. Robin Mann, Professor Nigel Grigg, and Dr. Sanjay Mathrani. I am indebted for their mentorship, patience, time, and friendship. Their knowledge and experience were of immense use for me during my Ph.D. journey. I am also grateful to my superiors and colleagues whom I have had the opportunity to work with for their care and to all my close friends for their comradeship for their love.

My decision for doing a Ph.D. came from my ambition to become part of the knowledge economy and to be able to contribute to society. I have always wanted to serve in positions and organisations that have a high impact on peoples' lives, and my primary motive behind pursuing a Ph.D. was no different.

Undertaking a Ph.D. journey undoubtedly affected my life for the better and my thought process. It was uncharted and unfamiliar territory for me that in every stage challenged my organisation, self-confidence, capacity, and determination, but only strengthened me in all these aspects as I rose to these challenges.

Finally, I thank all the people whom I got to know over the last three and a half years as my university fellows.

CHAPTER 1: THESIS INTRODUCTION

1.1 Chapter Introduction

This chapter comprises of six sub-sections that are a) a brief history of Business Excellence (BE) and its use, b) definition of BE and the scale of prior research, c) identifying the research gap, d) the ontology and epistemology of this research, e) the aim, objectives, and scope of this research, and f) the structure of this thesis.

What does BE mean for an individual?

Before getting into the terminologies and concepts, it is important to establish the relationship of this research to a common individual and the community.

Throughout our lives, we interact with an economic ecosystem comprising of public, private, and not-for-profit organisations that provide us with the products and services we need to survive and grow. We are stakeholders of the organisations working in our country or region as either a customer, an employee, a taxpayer, a shareholder, and a member of the community and environment. The quality of products, services, systems, and processes of all these organisations thus directly affects our quality of life. Whether it is our healthcare system, education system, governance, utilities, or transportation, we cannot escape “quality” as the key determinant of our life experience. It is therefore essential to advance quality in organisations around the world. National custodians for fostering a culture of quality (also referred to as BE Custodians (BECs)) help organisations in their countries to continuously improve the quality of their products, services, systems, and processes. This research aims to help these custodians to better perform this role.

1.2 History of BE and its Use

Before going into the definition and understanding of BE in the present day, here is a brief history of evolution of BE as shown in Table 1.1.

Table 1.1: Evolution of BE

Predominant Evolutionary Stage	Approximate Timeline	Major Features
Quality Inspection (QI)	From 1900s	Quality inspectors were required to verify production quality by identifying poor-quality products, which were generally scrapped, reworked, or sold as lower quality products.
Quality Control (QC)	From 1920s	The process of checking quality was shifted from the end of the production line to the point of production. There was a greater emphasis on written specifications, measurements, and standardisation. Quality was monitored to avoid variation from occurring, and inspection was subsumed into QC.
Quality Assurance (QA)	From 1960s	More aspects, tools, and methods were developed to increase the systematisation of QC to satisfy customers' needs and provide assurance of an effective quality system. This was done through comprehensive quality manuals, using the cost of quality, developing process control, and changing focus from detection to prevention of poor quality.
Total Quality Management (TQM)	From 1980s	The concepts of QI, QC, and QA were introduced into all the business activities through the rigorous, systemic, and systematic application of quality management methods, tools, and techniques.

TQM is the central theme or link between the older understanding of BE (QI, QC, and QA) and the present-day BE Frameworks (BEFs). The commonality in the understanding of BE and TQM is such that many present-day authors refer to the BEFs as TQM frameworks/models much like the developers of these frameworks (Abu-Rumman, 2020; Gomez et al., 2017; Mosadeghrad, 2014; Ionica et al., 2010). The terminology of BE and its present-day understanding emerged from the introduction of the Malcolm Baldrige National Quality Award (MBNQA), first awarded in 1988 (NIST 2020; Brown, 2017); and the European Foundation for Quality Management (EFQM)

Excellence Award, first awarded in 1992 (EFQM, 2020; Eskildsen et al., 2000). The MBNQA and the EFQM govern the Malcolm Baldrige Excellence Framework (MBEF) and the EFQM Excellence Model respectively (shown in Figure 1.1), which are the two pioneering and widely used BEFs worldwide.

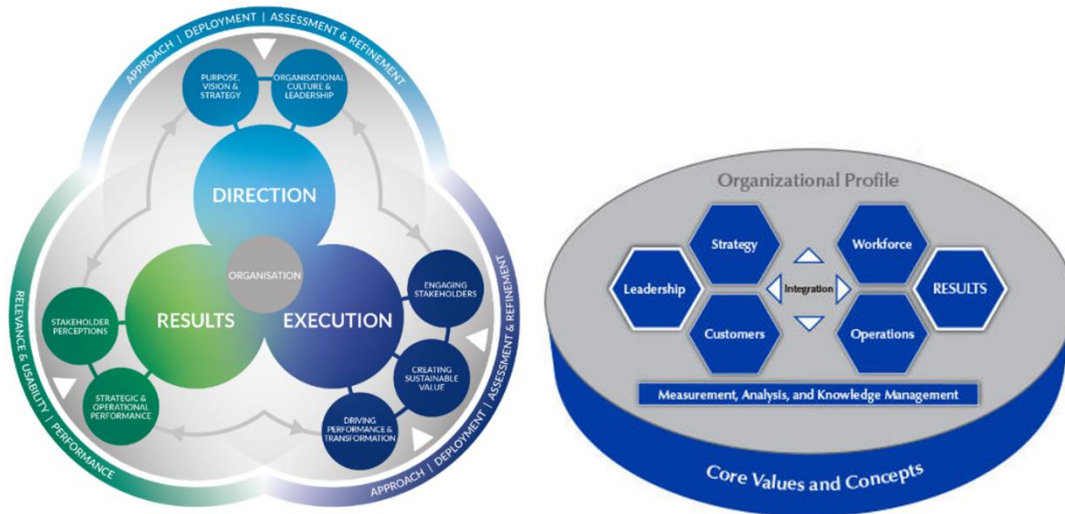


Figure 1.1: The current EFQM Excellence Model (EFQM, 2020) and the current Baldrige Excellence Framework (NIST, 2020)

BEFs are designed for organisations to improve their performance and management capabilities and to get sustainable results (Dahlgaard et al., 2013). These are holistic frameworks designed for use by organisations of all sizes, sectors, and industries. Following the footmarks of the two above-mentioned BEFs, several other unique BEFs were designed over the period by countries around the world, some of which are shown in Figure 1.2.



Figure 1.2: Illustration of various BEFs in use worldwide (Source: EFQM, 2020a)

As a part of this research, it was found that as of January 2021, there are 14 unique BEFs in use around the world including the MBEF and the EFQM Excellence Model. Details regarding the uniquely designed BEFs and their adoption in original form or with major or minor amendments by other countries are covered in Chapter 4 of this thesis.

With regards to the scale of BE usage, this research has found that as of January 2021, 74 countries and four regions have BECs that promote BE in their countries/ regions. Of these, 57 countries also have active BE Awards (BEAs) that were last held in 2018 or after (Ghafoor & Mann, 2021). With regards to how many organisations around the world use BEFs, only a careful estimate can be provided due to the lack of facts and figures on this matter. The BECs participating in this research reported that on average (median) 11-20% of their countries' organisation follow a BE path. While it may be argued that only one to two out of every ten organisations follow a BE path, because this percentage is from a very large population, the number of organisations following a

BE path is estimated to be in tens of thousands worldwide. As for the organisations not using BE which make up for the 80-90% as reported by the BECs in this research, there are three main possible reasons for that: -

1. Organisations are not aware of a BEF being promoted and used in their country.
2. Organisations do not know how to undertake a BE journey.
3. Organisations do not find value in undertaking a BE journey as they do not find enough incentive in it.

These points were incorporated in the objectives of the research which are elaborated more in the later sub-sections.

1.3 Definition of BE and the Scale of Prior Research

Different authors of BE literature have defined BE slightly differently. For this research, a definition that captures the concept of BE holistically and plainly has been used. Foote et al. (2010) and Kim et al., (2010) defined BE as both a philosophy and a collection of guidance frameworks for organisations to follow to achieve excellence in strategies, business practices, and stakeholder-related performance results, to ultimately become the best they possibly can be.

A significant amount of research has been carried out on BE. It was found that 114 journals have published 415 BE papers as of October 2020. The main journals that have published BE papers are 'Total Quality Management and Business Excellence', 'The TQM Journal', and 'International Journal of Quality and Reliability Management'. More details on the BE papers and journals are provided in the literature review (Chapter 2) of this thesis.

1.4 Identifying the Research Gap

As an integral part of this research, a literature review was carried out to identify the major themes, practices, and trends within the existing BE literature and how can this research add value to the existing BE literature. While this thesis contains a literature review (Chapter 3), it is important to briefly touch upon the findings from that literature review to build up to the aims and objectives of this research. Figure 1.3 shows the five themes and their sub-themes that the key pre-existing BE literature covers (Bou-Llusar et al., 2009; Dalimunthe et al., 2016; Kassem et al., 2019; Tickle et al., 2016; Hendricks & Singhal, 1996; Curkovic et al., 2000; Talwar, 2011; Foote et al., 2010). These themes were identified by a detailed analysis of the BE journal articles with the highest citation rate (average citations per year) that are provided in the literature review (Chapter 3) of this thesis.

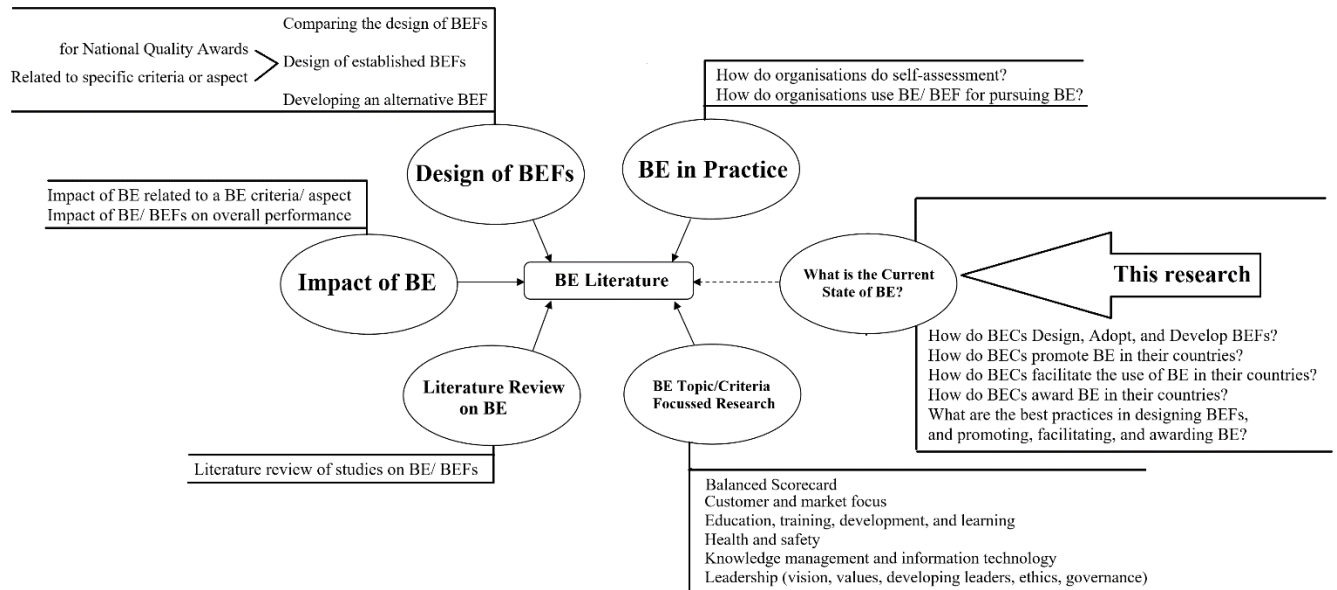


Figure 1.3: Themes and sub-themes of the BE literature

The literature review found that there is limited knowledge regarding the role of BECs and their BE activities. To advance the knowledge of BE, it is essential to develop an understanding of BECs' roles and activities. It is important to study the BECs because they play a pivotal role in fostering a culture of BE in their country by designing/adopting/modifying a BEF, creating awareness regarding BE among organisations, enabling organisations to use a BEF, and recognising the organisations that show progress in their BE maturity levels (as shown in Figure 1.4 later on). This gap in the literature inspired this research to support BECs by studying what the current state of BE is worldwide, including the strengths and opportunities for improvement of the BECs, and to provide recommendations for improvement in light of the best practices of the various BECs. The findings of this research provide the following key benefits to the three mainstays: BECs, academia, and organisations.

For BECs: This research has identified the BE activities that BECs are strong in, the ones that are the most important for them to focus on for the next few years, the ones that have the highest impact, and the ones that they need to improve in along with recommendations for improvement.

For academia: This is the only known account to the best of the researcher's knowledge where data was collected directly from the BECs from around the world making this a radical contribution to the BE literature in the dimension of studying BECs and their activities.

For organisations: Organisations that use BE will benefit from more effective BECs and those that do not use BE are more likely to become aware of BE and start using BE to become more productive and competitive.

1.5 Ontology and Epistemology of this Research

Ontology in essence is “what something actually is?” which reflects what the researcher perceives is there to be known about (Bryman, 2015). This reflects the researcher's understanding of the broad research area after conducting a literature review. In the current case, this concerns which aspects of BE can be explored. Figure 1.4 shows the ontology of this research which covers: a) why is it beneficial for organisations to use BE in the first place, which is to achieve performance results that would enable them to ultimately become world-class; b) the pivotal role that BECs play in enabling organisations to undertake a BE journey as discussed before, c) and how do these two processes interact with each other.

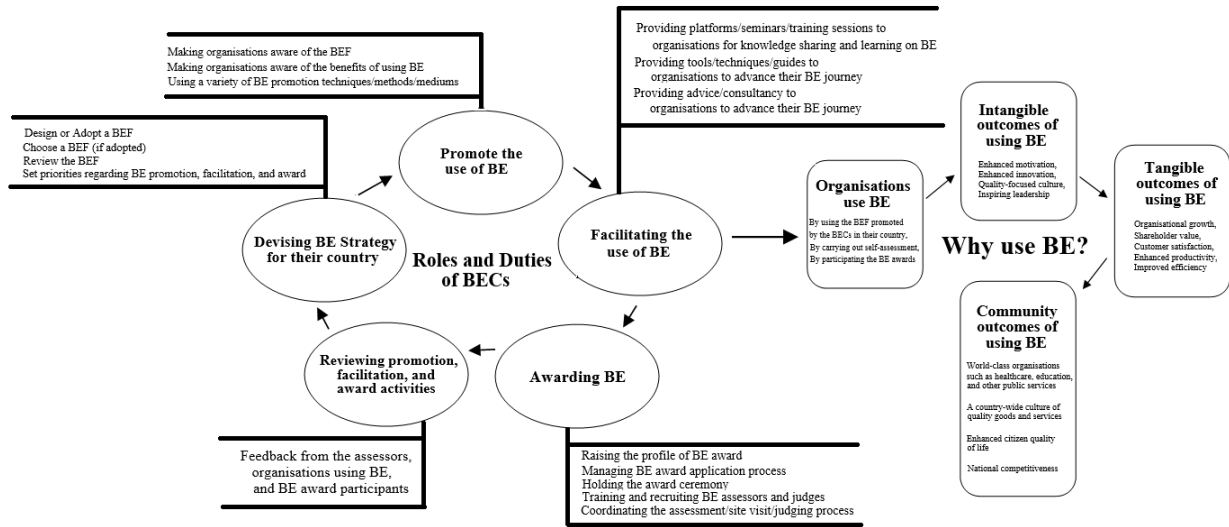


Figure 1.4: Ontology of this Research

On the other hand, epistemology relates to the question “how to acquire knowledge?” and is hence the pathway to reach the ontological viewpoint discussed before (Bryman, 2015). Figure 1.5 shows the epistemology of this research which is how academia and the industry (BECs) must interact to carry out a valid investigation of the intended research objectives, the results of which are also useful for academia and the industry. The figure shows the cyclical nature of this research with academia and BECs feeding into each other. In terms of their interaction, while the academia identifies the gap in the existing knowledge and conducts the research by collecting data from the BECs, the BECs provide feedback to the academia on how to best present the results.

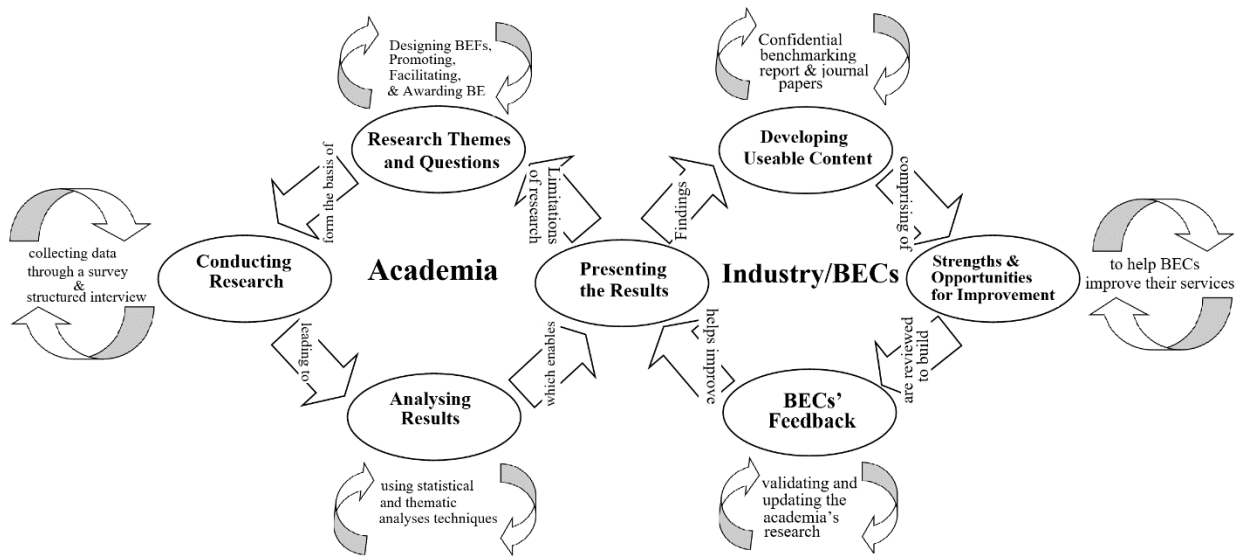


Figure 1.5: Epistemology of this Research

Figure 1.6 shows the complete picture of how the epistemology of this research explained above helps to reach the ontological viewpoint explained before. It shows that the key connection between the two is the set of strengths and opportunities for improvement identified in the research that help the BECs to devise the BE strategy for their country or region.

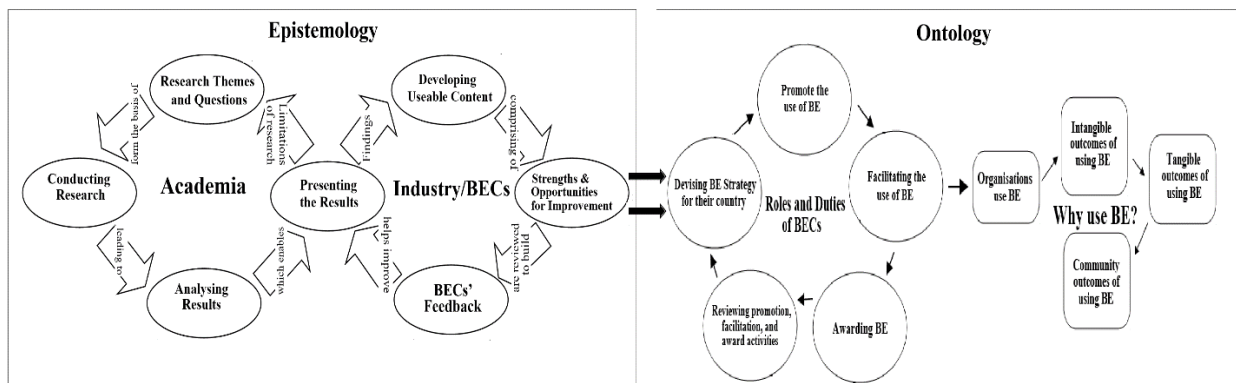


Figure 1.6: How the epistemology of this research helps to reach the ontological viewpoint of this research

1.6 Research Question, Aim, Objectives, and Scope

The question that this research aims to answer is “what is the current state of and best practices in designing and deploying BE”.

This research aimed to investigate the current state of and best practices in designing BEFs and deploying (promoting, facilitating, and awarding) BE on a national and/or regional level.

Objectives were set to: -

1. Conduct a systematic review of BE literature to develop an understanding of the current state of BE literature and to identify the research gap;
2. Investigate the current state of and identifying best practices in how BECs:
 - 2.1. Design their BEFs,
 - 2.2. Promote BE in their countries,
 - 2.3. Facilitate the use of BE in their countries, and
 - 2.4. Award BE in their countries.

In addition to these objectives, two BECs were studied in-depth to identify their strengths and opportunities for improvement. These were the United States-based Baldrige Performance Excellence Program (BPEP) and the United Arab Emirates-based Dubai Government Excellence Program (DGEP).

The former was selected because it is the pioneer BEF and as the literature would suggest, has seen a decline with regards to its usage and the participation of organisations in the award over the years. The latter was selected because it is a relatively newer and highly popular BEF in the Middle East region which is mandatory to be used by the public sector organisations in the United Arab Emirates.

With regards to the scope of the study: -

Only the BECs that actively undertook BE activities were invited to participate. A BEC was considered active and valid if:

- a) They administered a BEF that is based on sound TQM principles and follow the same understanding of BE as that of the Global Excellence Models (GEM) Council¹. This means that awards that were named ‘excellence awards’ but did not address the core principles of BE (or did not use similar assessment methods) were excluded from this research.
- b) They actively held BEAs with the last award held in 2016 or there was clear evidence of an award being held in 2019 (because this study was conducted from September 2018 to August 2019). The custodians that were actively performing other BE activities but did not have an award were not included in this study because they would not be able to help in addressing the complete scope of the study.

1.7 Structure of the Thesis

This thesis is compiled according to Massey University’s guidelines for ‘Thesis with Publication’. It comprises of ten chapters, of which seven are journal papers while the remaining three are ‘Thesis Introduction’, ‘Research Methodology’, and ‘Thesis Conclusion’. A summary of the thesis structure is provided in Table 1.2.

¹ The GEM Council is an organisation consisting of custodians of the major BEFs and national BEA bodies. These organisations provide mutual learning and opportunities for sharing best practices to public and private organisations in their specific regions. The current members of the Council are Business Excellence Australia, Baldrige Performance Excellence Program (USA), China Association of Quality (China), CII-IQ (India), Dubai Government Excellence Program (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020a).

Table 1.2: Chapters included in this thesis along with their publication status

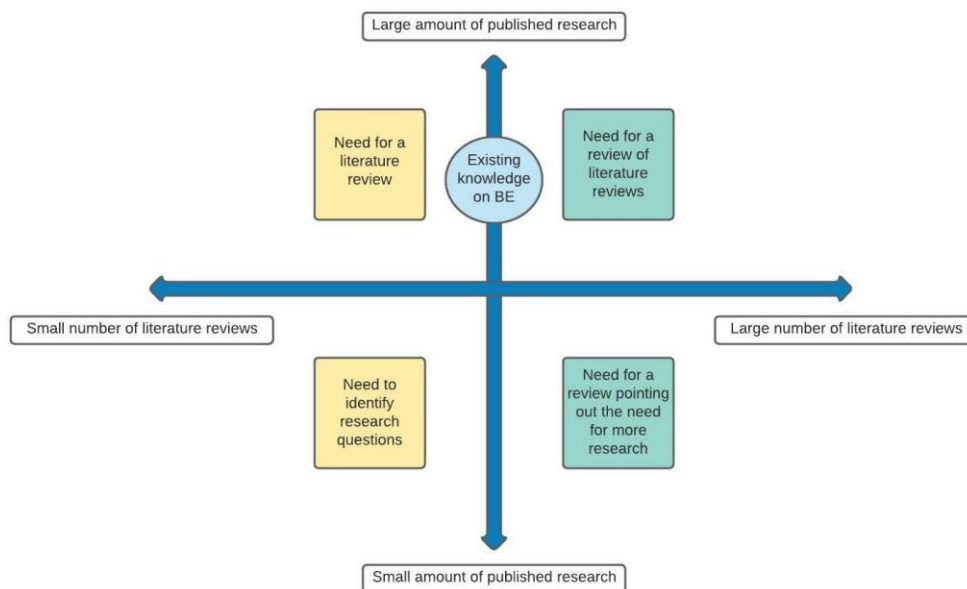
Chapter Number	Description	Publication Status
1	Thesis introduction	N/A
2	A systematic review of BE literature	Published
3	Research Methodology	N/A
4	An investigation of how BECs design, adopt, and modify BEFs	Published
5	An investigation of how BECs promote BE in their countries	Prepared for journal submission
6	An investigation of how BECs facilitate the use of BE to help organisations in their countries to advance their BE maturity levels	
7	An investigation of how BECs recognise and award BE in their countries	
8	A study of the strengths and opportunities for improvement of the BPEP	Published
9	A study of the strengths and opportunities for improvement of the DGEP	Prepared for journal submission
10	Thesis conclusion	N/A

CHAPTER 2: LITERATURE REVIEW

2.1. About the Chapter

This chapter is a systematic literature review on Business Excellence (BE). It aims to identify and analyse all BE journal articles to help researchers and practitioners find relevant BE information more easily and guide them on which journals to publish in.

With regards to selecting the approach for this literature review, Pautasso (2013) classified the ‘need for the type of literature review’ based on the amount of published research and the number of literature reviews on a topic. This classification guides researchers on what should a new literature review cover and helps to establish the aim of that literature review. The classification (shown in figure below) does not define ‘small’ and ‘large’ numbers of published research and literature reviews, therefore, the existing knowledge on a topic lies in a classification perceived by the researcher.



Classification of the need of the type of literature reviews (Source: Pautasso, 2013)

Following a preliminary review of BE literature, the author of this thesis perceived that there is a large amount of published BE research, and a moderate to large number of literature reviews on BE. The researcher perceived the existing knowledge on BE to fall between the Quadrant 1 and Quadrant 4 as indicated in the figure. In any case, there is a significant number of studies that constitute the body of BE knowledge. This implied that to add value to the existing knowledge, the new literature review had to be highly exhaustive and inclusive of all BE papers (including literature reviews). A systematic approach to conducting literature review identifies, selects, and critically appraises research to answer a clearly formulated question (McKenzie et al., 2012). This approach was used to bring rigour and breadth to the BE literature review.

A literature review must follow a clear definition of the concept being studied to ensure that it includes only the most relevant papers. This literature review used the same understanding of BE as advanced by the GEM Council, which is an organisation consisting of custodians of the major BEFs and national BEA bodies. A paper was considered a BE paper if:

- a) The paper was predominantly (at least 50%) focused on BE;
- b) The research was related to BEFs (used to assess organisations for national BE awards) and follow a similar design and assessment methodology as advocated by the GEM Council. Therefore, researching their theory or use or proposing a development or variant of these established frameworks supported by research validating any proposed change.

This chapter was produced as a peer-reviewed journal article and was submitted to the Total Quality Management and Business Excellence journal. Following a peer-review decision of 'revise and resubmit', the chapter/paper was revised, resubmitted, and was subsequently accepted for publication. This chapter/paper can be cited as:

Ghafoor, S., Grigg, N. P., Mathrani, S., & Mann, R. (2020). A bibliometric and thematic review of business excellence journal papers from 1990 to 2020. *Total Quality Management & Business Excellence*, 1-33.

A Bibliometric and Thematic Review of Business Excellence Journal Papers from 1990 to 2020

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This paper presents a bibliometric and thematic review of journal papers specifically related to BE frameworks (BEFs) that are used for national BE awards and advocated by the Global Excellence Model (GEM) Council. The paper will help researchers and practitioners locate relevant BE data and information more easily and guide them on which journals in which to publish them. The research includes an assessment of the average citation rate per year of BE papers. 10,089 potential BE papers were initially identified from a keyword search of the Elsevier database, to ultimately identify 415 as BE papers. These papers were analysed and have subsequently been made available to all researchers in an excel file. This research found that: the peak in publishing BE papers was in 2019; Total Quality Management and Business Excellence is the most popular journal for publishing BE papers; the most popular research area is studying “Design of BEFs” and there is potential for future research on “Impact of BE”; and the average number of citations per year for a BE paper is 2.1, with the most cited paper achieving an average of 29.6 citations per year. The research includes recommendations on how researchers can increase their citation rate in this area.

Keywords: Business excellence, excellence award, excellence initiative, excellence framework, excellence model, MBNQA, EFQM, GEM Council

1. Introduction

What is Business Excellence?

Business Excellence (BE) has been defined as both a philosophy and a collection of guidance frameworks for organisations to follow to achieve excellence in strategies, business practices, and stakeholder related performance results, to ultimately become the best they possibly can be (Foote et al., 2010; Kim et al., 2010). The terminology of BE and its understanding in the present day has evolved since the introduction of the Malcolm Baldrige National Quality Award (MBNQA), first awarded in 1988 (NIST 2020; Brown, 2017); and the EFQM Excellence Award (EFQM, 2020), first awarded in 1992 (Eskildsen et al., 2000).

Theoretical foundations of BE and TQM

With respect to the theoretical foundations of BE, it is first important to understand how BEFs evolved from quality management. This will be followed by a discussion on the management theories that BE researchers base their research on.

Rahber and Ralston (1984) described Total Quality Management (TQM) (which is the central theme or link between the older understanding of BE and the present-day BEFs in this explanation) as a “revolutionary management philosophy”, which according to Martinez-Lorente et al. (1998), was the Western countries’ response to fierce competition from Japan, as Western companies began to learn how Japanese companies had achieved success in manufacturing products of superior quality and lower cost. TQM evolved through quality inspection, control, and assurance chronologically as highlighted in blue in Table 2.1 (e.g. Dahlgaard et al., 2008; Dale et al, 2016). Each era did not replace but rather subsumed the previous one as amply illustrated by Dale et al, (2016). Some of the major literature-based proponents of TQM describe similar TQM principles

as highlighted in green in Table 2.1 (Mann, 2008). According to Mele and Colurcio (2006), these TQM principles then became the building blocks of the major BEFs which were originally called TQM Frameworks (Para-González et al., 2016; Conti, 2007), but over time became more systemic with a greater emphasis on business results (Lee et al, 2006), and the frameworks and awards were re-labelled as BE to emphasise their role in supporting the success of businesses (Grigg & Mann, 2008). The core values and concepts of the Baldrige Excellence Framework and EFQM Excellence Model are highlighted in yellow in Table 2.1 (NIST, 2019b; EFQM, 2013) and the Baldrige Excellence Framework and EFQM Model are shown in Figure 2.1. Table 2.1 shows that while there may not be a one-to-one correspondence between the TQM principles and the core values and concept of BE, there is an overlap between them.

Table 2.1: The stages of evolution of TQM from Quality Management to BE (blue highlight), the prime elements of TQM (green highlight), and the core values and concepts of the Baldrige Excellence Framework and EFQM Excellence Model (yellow highlight)

Source Reference	Predominant evolutionary stage and major proponents	Approximate timeline	Major features
Stages of TQM evolution (e.g. Dahlgaard et al., 2008; Davies, 2003; Dale et al, 2016)	Quality Inspection (I)	From 1900s	<i>With task specialisation in early industrialisation, inspectors were required to verify production quality. Employees identify poor-quality products, which are generally scrapped, reworked, or sold as lower quality products.</i>
	Quality Control (QC)	From 1920s	<i>Upstream process control at the point of production reduced the need for end-of-line inspection, and inspection became more sampling-based. Greater emphasis on written specifications, measurements, and standardisation. Quality was monitored to avoid variation from occurring, and inspection was subsumed into QC.</i>

	Quality Assurance (QA)	From 1960s	<i>Increasing systematisation and proceduralisation of QC and addition of more aspects, tools, and methods as developed by the major quality gurus, with an aim to satisfy customers' needs and provide assurance of an effective quality system. This was done through (e.g.) comprehensive quality manuals, using the cost of quality, developing process control, and changing focus from detection to prevention of poor quality.</i>
	Total Quality Management (TQM)	From 1980s	<i>The ideas, components, and concepts of quality inspection, control, and assurance were brought into all business activities through the rigorous, systemic, and systematic application of quality management methods, tools, and techniques.</i>
Mann (2008) provides descriptions of key quality and management principles illustrating the development of TQM, five are provided here.	Armand V. Feigenbaum's book on Total Quality Control (Feigenbaum, 1951)	1951	<i>Feigenbaum's book, first published in 1951, was the first to introduce Total Quality Control which comprised of quality leadership, company-wide introduction, continuous motivation, education, and measurement.</i>
	W. Edward Deming's 14-points for management	1986	<i>Deming's 14 points provided some of the foundations for TQM: creating consistency of purpose of quality; adopting the new philosophy; avoiding dependence on quality inspection; focusing on minimising manufacturing cost by working with a single supplier; constantly improving planning, production, and service processes; training on the job; adopting institute leadership; driving out fear; breaking down barriers between staff areas; eliminating slogans for the workforce; eliminating numerical quotas and goals; fostering pride of workmanship; instituting self-improvement for everyone; and putting everybody to work towards transformation.</i>
	J. Cullen and J. Hollingum's book on Total Quality (1987)	1987	<i>One of the many books published in the mid-1980's onwards described Total Quality as Leadership from the top, effectively managing cost of quality,</i>

			<i>customer focus, continuously improving all operations, and involving everyone in quality improvement.</i>
	John S. Oakland's book on TQM (1989)	1989	<i>One of the early books on TQM describing the key elements as Management commitment, quality management systems, tools (SPC), and teamwork.</i>
	L.D. Pfau's work on TQM (1989)	1989	<i>One of the early research papers on TQM describing the key elements as Long-term perspective, the commitment of top management, employment of systems approach, training and tools, participation, new measurements and reporting systems, cross-organisational communication, leadership.</i>
Core Values and Concepts of Baldrige Excellence Framework in 1992 and 2019 (NIST, 2019b), and Fundamental Concepts of the EFQM Excellence Model (EFQM, 2013; EFQM, 2003)	Core Values and Concepts of the original Baldrige Excellence Framework which was referred to as a TQM Model at that time	1988	<i>The Core Values and Concepts of the Baldrige Excellence Framework were not articulated in 1988, however, they were in 1992 and were as much a part of the original Baldrige Excellence Framework in 1988 (NIST, 2019b). These Core Values and Concepts were customer-driven quality leadership, continuous improvement, full participation, fast response, design quality and prevention, long-range outlook, management by fact, partnership development, and public responsibility.</i>
	Fundamental concepts of the 2003 EFQM Excellence Model	2003	<i>These were: results orientation; customer focus; leadership and constancy of purpose; management by processes and facts; people development and involvement; continuous learning, improvement, and innovation; partnership development; and corporate social responsibility.</i>
	Fundamental concepts of the 2013 EFQM Excellence Model	2013	<i>The fundamental concepts of the EFQM Excellence Model are not articulated in the latest (2019) version, however, they were in the 2013 version, which are adding value for customers; creating a sustainable future; developing organisational capability; harnessing creativity and innovation; leading with vision, inspiration, and Integrity; managing with agility; succeeding through</i>

			<i>the talent of people, and sustaining outstanding results.</i>
	The Core Values and Concepts of the current Baldrige Excellence Framework	2019	<i>These were systems perspective, visionary leadership, customer-focused excellence, valuing people, organisational learning and agility, focus on success, managing for innovation, management by fact, societal contributions, ethics and transparency, and delivering value and results.</i>

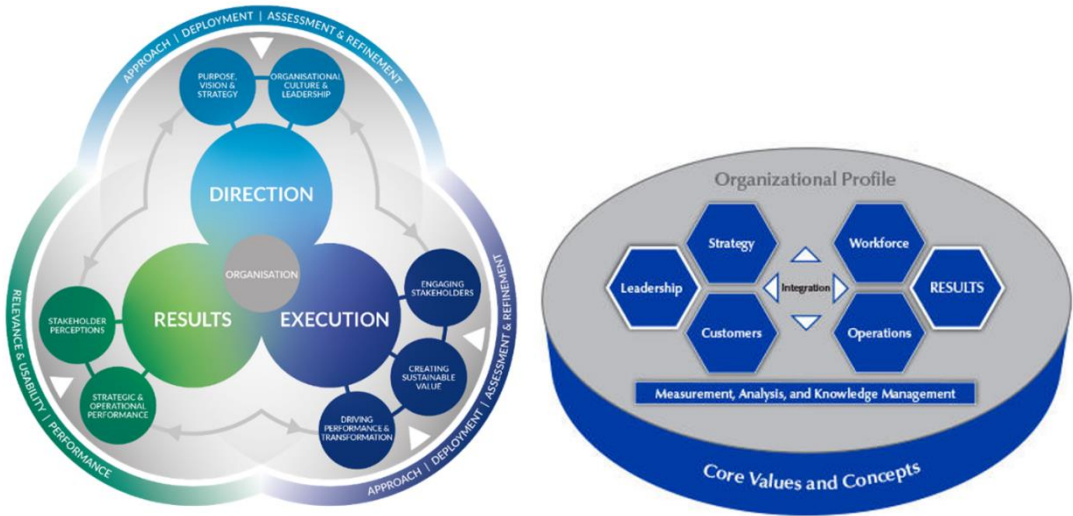


Figure 2.1: The current EFQM Excellence Model (EFQM, 2020a) and the current Baldrige Excellence Framework (NIST, 2020)

To explore these concurrent themes in greater detail, the VOSviewer² research mapping tool was used to identify co-occurring keywords in the BE papers identified in this research. Figure 2.2 shows the changes in the popularity of key terms in the BE literature over time which mirrors the evolution of BE from quality to TQM and then to BE. The map shows the 18 most used keywords

² VOSviewer is a quantitative analytical tool for creating bibliometric maps of science that visualises relationships between different metadata of publications’ such as authors and keywords (Van Eck & Waltman, 2011)

with the strength of their linkages (co-occurrence) represented by lines while the color of a keyword represents the average year of publication of the BE papers that used that keyword. The figure illustrates that the terminologies of *Quality*, *Quality Control*, and *Quality Assurance* (purple highlight) dominated the BE literature with the average publication around the year 2004. These were replaced by *Total Quality Management* (blue highlight) in the BE literature with the average publication around the year 2008, and this was replaced by *Business Excellence* (yellow highlight) in the BE literature with the average publication around the year 2012. As a limitation of the tool, the keywords that represent the same concept (such as *TQM* and *Total Quality Management*, and *EFQM* and the *European Foundation for Quality Management*) cannot be merged and are thus mentioned separately as they are used in the papers.

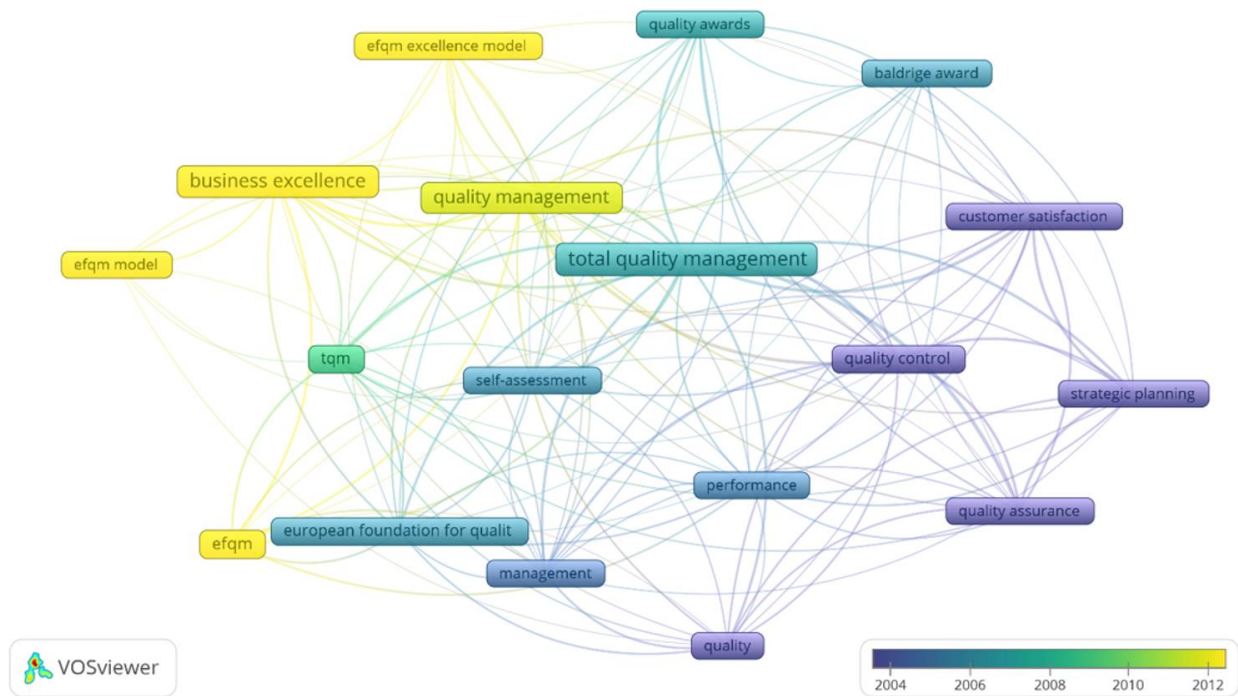


Figure 2.2: VOSviewer network map visualisation of strength of link between keywords (illustrated by lines) and average publication years of their papers (illustrated by color of the text boxes)

In terms of academic research, it is found that different researchers have studied BE considering different management theories. For example, Kanji's (2008) research for measuring excellence was grounded in Systems Theory (which suggests that an organisation is a complex arrangement of elements making a system, and changing one part of the system affects other parts or the whole system, Von Bertalanffy, 1971). This view was followed by Khoo and Tan (2002), who found a relationship between the Systems Theory and BE. Similarly, Ruiz-Carrillo and Fernandez-Ortiz (2005) studied and proved linkage between each of the EFQM Excellence Model criteria and the Resource-Based View (RBV) theory (which suggests that the resources of an organisation are key to superior firm performance, competitive advantage, and strategic success, Barney, 2001). This view was followed by authors like Oakland and Tanner (2008) and Idris et al. (2003), who used the RBV as the base management theory for BE in their researches. While these examples of theories are associated with the overall BE and TQM philosophies, there are separate theories related to the specific criteria of BEFs. For example, there are several theories of leadership (which is a criterion in the EFQM Excellence Model and the Baldrige Excellence Framework) such as trait theory, behavioral theory, transactional theory, transformational theory, and situational theory (Yukl & Van Fleet, 1992).

In conclusion, as to its theoretical foundations, there may not be specified an explicit base theory of BE as it is a pragmatic model designed and developed over time (such as every two or three years depending on the framework's governing body) to assess and guide organisations to higher levels of performance from learning from best practices. The BEFs are designed based on input from organisations that are considered as industry leaders, organisations that use BE, BE experts, BE assessors, with consideration of changing megatrends, and BE research. The BEFs are based

primarily on practical rather than theoretical considerations as explained by Conti (2007), who was one of the key architects of the EFQM Excellence Model.

BE Frameworks (BEFs) in use worldwide

According to research conducted by (Ghafoor & Mann, 2020), fifty-six 56 countries operate an award system based on a BEF. With some countries having more than one BE custodians (BECs)³, there are a total of 67 BECs worldwide. The number of BECs following different types of BEFs is shown in Figure 2.3. Two major frameworks dominate this landscape: The (European-originated) EFQM Excellence Model is utilised by 23 custodians and the (US-originated) Baldrige Excellence Framework is utilized by 10 custodians. These two frameworks serve as the basis for the majority of the world's BEFs with 16 custodians using modified frameworks that are based on either of these two frameworks. From amongst these, 11 custodians use frameworks that have been derived from the Baldrige Excellence Framework and five custodians use frameworks that have been derived from the EFQM Excellence Model.

³ organisations that are responsible for promoting and facilitating the use of BE

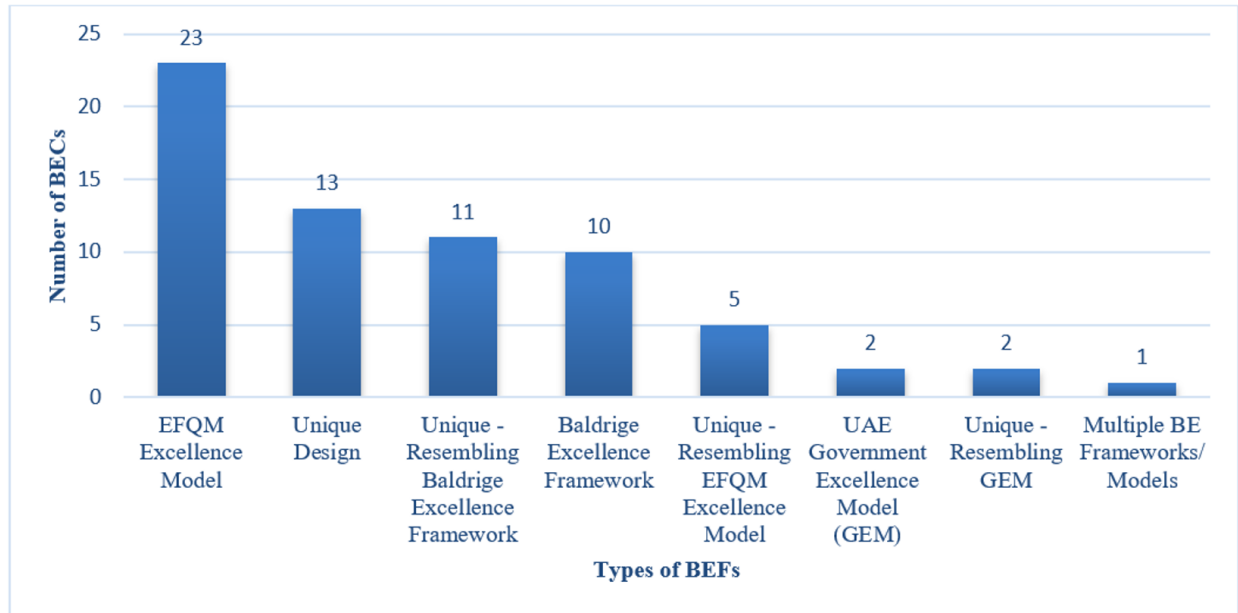


Figure 2.3: Types of BEFs worldwide (Source: Ghafoor and Mann, 2020)

Rationale for the present study

There are published literature reviews in BE related areas such as TQM, however, there has not been a literature review solely focused on identifying research related to BEFs as recognised and promoted by the Global Excellence Model (GEM) Council (the detail of paper-selection criteria is provided in the methodology section of this paper) covering the period from when they were first developed to 2020. The GEM Council is an organisation consisting of custodians of the major BEFs and national BEA bodies. These organisations provide mutual learning and opportunities for sharing best practices to public and private organisations in their specific regions (EFQM, 2020). The current members of the GEM Council are Business Excellence Australia, Baldrige Performance Excellence Program (USA), China Association of Quality (China), CII-IQ (India), Dubai Government Excellence Program (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020b).

As the frameworks are used by BE custodians as enablers to drive improvements in the productivity and competitiveness of nations (Adebanjo et al., 2015) and they assist thousands of organisations worldwide (Dahlgaard et al., 2013), it is timely to review all the research that has been conducted in this area for the benefit of researchers, practitioners and BE custodians. This paper presents findings from the literature review of a wider study being undertaken under the title of “Excellence Without Borders” which has the support of the GEM Council.

Research aim, scope, objectives

The research aimed to identify and analyse all academic journal papers that have been published on BE to help researchers and practitioners find relevant BE information more easily and guide them on which journals to publish in.

In terms of the scope, the literature review aims to identify all the academic journal papers on BE papers that have been published in the past up to September 2020. As explained in the methodology section, the scope of the review was delimited to papers based on research related to BEFs as recognised and promoted by the GEM Council.

To achieve the research aim, the following research objectives were set:

1. To identify all the academic journal papers that have been published on BE (that fit within the research scope),
2. To identify the number and percentage of papers published by year,
3. To identify the number and percentage of citations by year,
4. To identify the highest cited BE papers,
5. To identify the most popular journals for BE papers,

6. To identify the journals with the highest international rankings that BE journals are published in,
7. To identify the average citations per year for BE papers in BE journals,
8. To examine the relationship between international journal rankings and citation rates for BE papers,
9. To identify the researchers that have published the most BE papers, and
10. To classify the highest impact BE papers based on their research area.

2. Methodology

Definition of BE for the present research

Various terminologies for BE are in common use. These include Organisational Excellence (Hakkak & Ghodsi, 2015, Alfaro-Saiz et al., 2011; Irani et al., 2004; McAdam, 2000); Performance Excellence (Asif & Searcy, 2014; Evans & Lindsay, 2013; Evans, 2013; Badri et al., 2006); and TQM (Yu et al., 2020; Nasim et al., 2020; Androniceanu, 2017; Camison, 1996). The term BE has meaning in the sense of both a proper and a common noun. Business Excellence (proper noun), refers to a recognised BEF or approach, while business excellence (common noun) can also be used in reference to the outcome of undertaking best practices. For example, “through our improvement methods, we have achieved business excellence”, as compared with “we are implementing Business Excellence”. The first statement does not necessarily include the use of a formalised BEF, whilst the second does carry that implication. For the present research, only published papers based on research related to internationally recognized BEFs (used to assess organisations for national business excellence awards) and follow a similar design and assessment methodology as advocated by the GEM Council were included.

With respect to this understanding and the tens of thousands of organisations that use these frameworks, the major components of BE are: -

a) The BE criteria or categories that are integrated into a holistic framework of organisational excellence displaying both business enablers and business results, and underpinning these are the core values and concepts of excellence (Baldrige) (NIST, 2020) or fundamental concepts of excellence (EFQM) (EFQM, 2020a). The Baldrige criteria comprise of Leadership, Strategy, Customers, Workforce, Operations, Measurement, Analysis, and Knowledge Management, and Results. The new version of the EFQM excellence model (introduced in 2019) comprises of these criteria; Purpose, Vision and Strategy, Organisational Culture and Leadership (under the direction category), Engaging Stakeholders, Creating Sustainable Value, Driving Performance and Transformation (under the execution category), Stakeholder Perceptions, and Strategic and Operational Performance (under results category). The previous version of the EFQM Excellence Model comprised of Leadership, People, Strategy, Partnership and Resources, and Processes, Products and Services as enablers and People Results, Customer Results Society Results, and Business Results.

b) Assessment methodology; whereby a scoring mechanism of 1000 points is provided and guides organisations on assessment against the framework, from simple self-assessments to rigorous externally validated assessments for national BEAs. Both frameworks also provide tools to assist in assessing business enablers and results using the RADAR (Results, Approach, Deployment and Assess and Refine) approach provided by EFQM and ADLI (Approach, Deployment, Learning, and Integration) in the Baldrige Excellence Framework. In both types of frameworks, assessment scores of 600+ are considered as highly mature in terms of BE and organisations scoring at this

level having the opportunity to become recognised at a national award level (BQF, 2020; Brown, 2009).

Selection of papers

Seven steps were followed to select papers for this review, as shown in Figure 2.4.

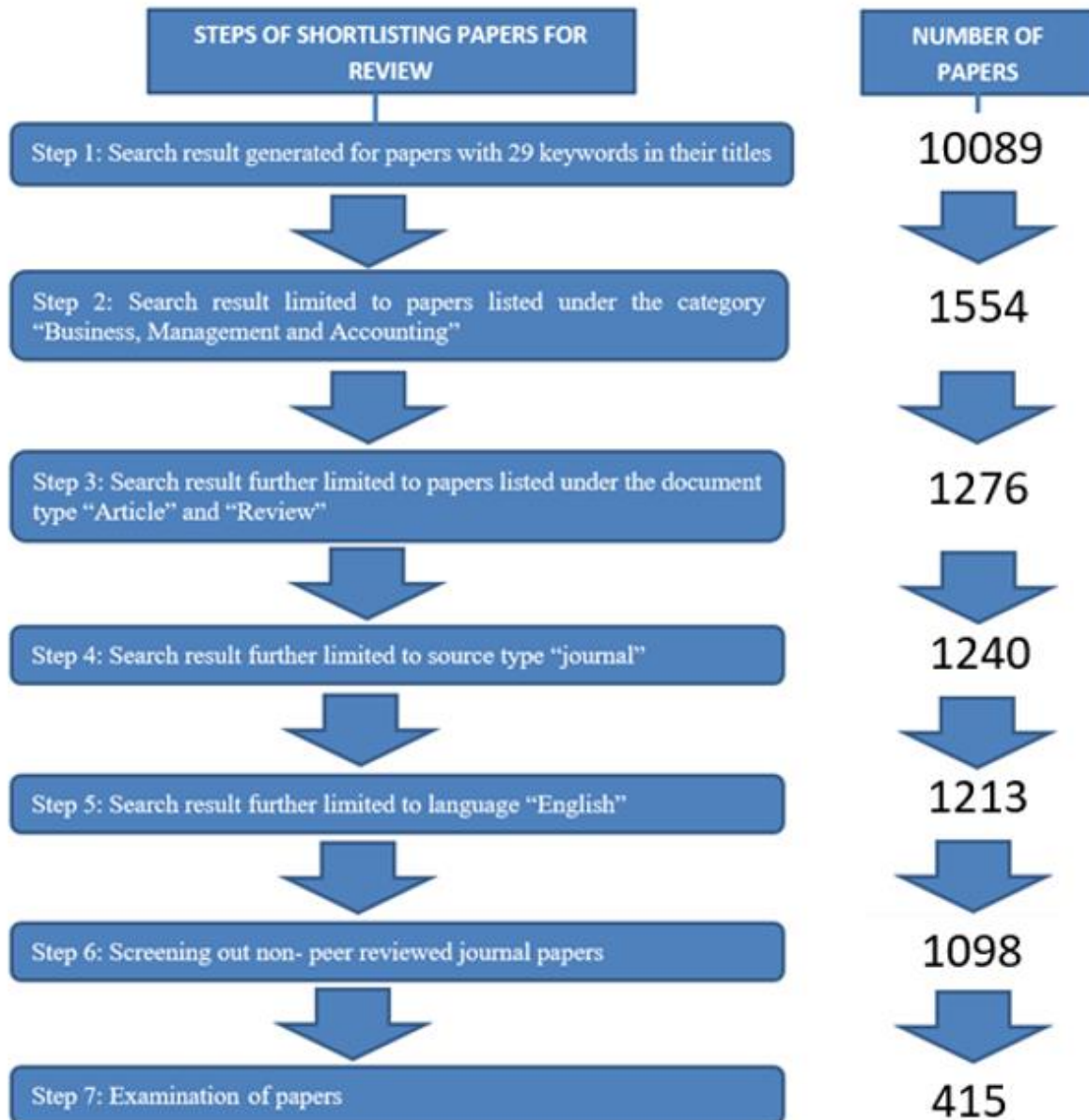


Figure 2.4: Process diagram for short listing papers for review

For Step 1, the Elsevier Scopus Database was selected as the electronic library to search for BE journal papers as this includes all relevant journals. For the keyword search, it was decided to search only the titles of the papers (to retrieve a manageable number of papers in the search result) and 29 keywords were selected to minimize the chances of any BE papers being missed. These words and phrases included but were not limited to those used in previous literature reviews related to BE (these reviews will be discussed later in the paper). The keywords (or phrases) were; ‘business excellence’, ‘business excellence award’, ‘EFQM’, ‘European Foundation for Quality Management’, ‘MBNQA’, ‘Malcolm Baldrige National Quality Award’, ‘Malcolm Baldrige’, ‘Baldrige criteria’, ‘excellence framework’, ‘Baldrige excellence framework’, ‘Baldrige Criteria for Performance Excellence’, ‘Baldrige’, ‘organisational excellence’, ‘National Quality Awards’, ‘excellence awards’, ‘excellence model’, ‘EFQM Excellence Model’, ‘self-assessment’, ‘performance excellence’, ‘TQM awards’, ‘quality awards’, ‘enterprise excellence’, ‘operational excellence’, ‘organisational excellence’, ‘total quality management’, ‘excellence program’, ‘business excellence program’, ‘business excellence initiative’, and ‘excellence initiative’.

For step 2, the papers with “Business, Management, and Accounting” as their publication category were selected as this is the only category that was likely to contain BE related papers. For step 3, the papers with document type “Article” or “Review” were shortlisted to screen out items like news articles, conference papers, short surveys, notes, editorials, and book chapters. Step 4 involved limiting the source type to “Journal”. The purpose of steps 3 and 4 was to ensure that only peer-reviewed papers were included. Step 5 involved retaining only English language papers. For step 6, the document type of all the documents retrieved was examined. Some of the documents included news items and award proceedings that were inaccurately classified under

journal articles in the database. Finally, step 7 involved manually reviewing each paper to ensure the research complied with the following criteria:

- a) The paper was predominantly (at least 50%) focused on BE;
- b) The research was related to BEFs (used to assess organisations for national business excellence awards) and follow a similar design and assessment methodology as advocated by the GEM Council. Therefore, researching their theory or use or proposing a development or variant of these established frameworks supported by research validating any proposed change.

A final list of 415 BE-focused papers was selected. Figure 2.4 shows the number of papers reducing at each level of screening. Once these papers were identified, the objectives of this study were achieved by using the methods as explained in Table 2.2.

Availability and selection bias and mitigation:

A systematic review is subject to availability bias due to the possibility of some papers not included in the database being used (Scopus). Web of Science (WoS) is another similar database, however, only Scopus is used for this study because it includes a wider spectrum of journals than WoS (Falagas et al., 2007) and has a higher number of journals with total 36,377 journals (Scopus, 2020) compared to WoS with 13,000 journals (Web of Knowledge, 2020). The study is also subject to selection bias which means that different researchers would select different sets of papers owing to their interpretation of the selection criteria (Heckman, 1979). To mitigate this bias, the authors cross-checked the papers to ensure that the selected papers all followed the criteria established for a BE paper (as stated in the previous sub-section). The main author did the primary selection of

papers which as checked by co-authors to make sure that the criteria were being followed accurately.

Table 2.2: Purpose and methods of analyse of BE papers

Objective	Methodology
1	BE papers were identified by using the seven-step approach explained above.
2 and 3	Publication and citation trends of BE papers were analysed. Graphs show the number and percentage of papers and citations by year.
4	The impact of BE papers was measured by calculating the average number of citations per year per paper. This was calculated by dividing the number of total citations of a paper by the number of years since it had been published. This measure was used instead of the number of raw citations to eliminate bias favouring the older published papers over the newer ones.
5	The popularity of a journal was measured by the number of papers that had been published in it.
6	The Academic Journal Guide (AJG), respected by one of the leading education systems (the United Kingdom) (CharteredABS.org, 2020), was used for measuring journal quality. The AJG rating system rates a journal as 4*, 4, 3, 2, or 1 with 4* being a highly distinctive journal and 1 being a more ordinary journal.
7	The average number of citations per year per BE paper was calculated for each journal. This was calculated by adding the average citations per year for all the papers in a journal divided by the number of papers in the journal. This helps to inform researchers about the expected citations on a paper per year if published in various journals. Another journal impact measurement SCImago has been used in this section. SCImago Journal & Country Rank is a publicly available portal that includes journal and country scientific indicators based on the information contained in the Scopus database (SJR, 2020). SCImago provides an h-index value for each journal, which is the number of papers published in that journal with the same number of citations. For example, a journal with an h-index value of 10 has 10 papers with at least 10 citations each. Whilst AJG is considered a more sophisticated journal quality measurement approach, it does not classify all the journals that have published BE papers as it does not show which journals failed to meet its criteria or have not applied to be assessed for an AJG rating. For this reason, the SCImago approach has also been used to include journals that have not been included by AJG.
8	To compare the AJG rating with the citation rate, the citation rate of each AJG rating category was calculated. This was calculated by adding the average citations per year for all the papers in all the journals of an AJG rating category divided by the number of papers in all the journals of that rating category.
9	The number of papers published by authors was used as the measure of the most active authors in BE. A list of authors that have published 5 or more papers is provided along with their affiliations and areas of interest.

10	VOSviewer was initially used to identify themes in the BE literature, however, this was useful in identifying only the generic areas because the tool can identify keywords of the papers and identify the strength of their links by calculating their co-occurrence (this analysis is shown in the introduction of this paper). However, it has a limitation that it does not classify papers based on their research area, hence, it is not best suited for a thematic analysis of BE literature. For this, we used the qualitative approach in which we examined individual papers. Cochran's Sample Size Formula (William, 1977) was used to calculate the sample size which was found to be 79 with 95% confidence level and a confidence interval of 10. The 79 highest impact BE papers were examined to classify them based on their research area and their BEFs of study.
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Positioning the present research in the context of previous research

Seven literature reviews have been published that are related to BE as shown in Figure 2.5. The authors reviewed these literature reviews to make sure that a similar literature review had not been undertaken and no relevant journal papers were missed out from the authors' literature search. From reviewing these, it was evident that no other literature review had set such a specific scope of identifying all journal papers related to internationally recognized BEFs.

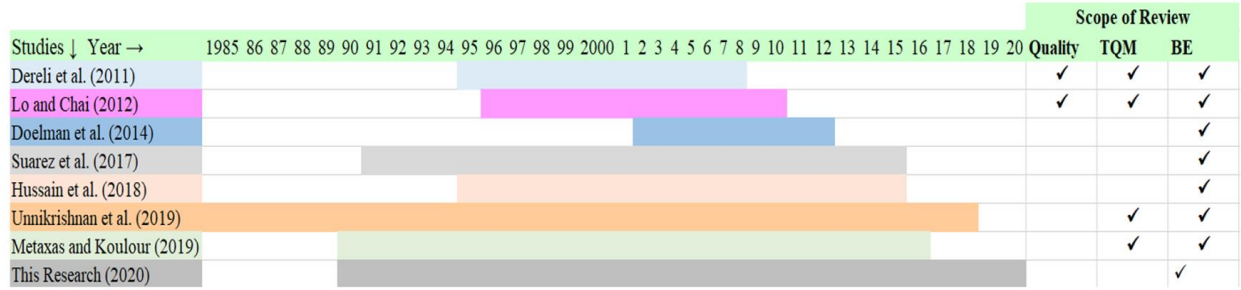


Figure 2.5: Time periods of previous literature reviews compared with this research

Below are brief overviews of these prior literature reviews and a brief description of how they are different from this research.

Table 2.3: Overview of previous literature reviews and their differences with this research

Source	Study design and differences with this paper's literature review
Dereli et al. (2011)	Analysed 1,132 papers published in the period 1995-2008 in the journal of Total Quality Management and Business Excellence (volumes 6 to 19). This review only covered one journal, did not specifically identify (or distinguish) BE papers, and did not select papers based on a definition of BE (instead selected papers based on the wider topic of quality from within the journal).
Lo and Chai (2012)	Investigated core themes in the wider area of quality management research (from the period 1996-2010) and analysed 1165 papers published in the journal of Total Quality Management and Business Excellence (volumes 1 to 21). This review only covered one journal, did not specify (or distinguish) BE papers, and did not select papers based on a definition of BE (instead included all the papers published in the journal provided they had complete metadata information).
Doeleman et al. (2014)	Conducted a meta-analysis of 24 studies in the field of BE from the period 2002-2012. This paper only included papers based on the EFQM Excellence Model which is only a subset of BE literature.
Hussain et al. (2018)	Conducted a systematic review of BE from 1995 to 2015 identifying 205 journal papers that were classified in groups of 10 dominant themes. This review selected papers if the words business excellence, performance excellence, organisational excellence, or enterprise excellence were in the paper titles. This approach meant many BE papers would likely have been missed, for example, those with EFQM or MBNQA in their titles. Additionally, the scope of the review differed from the authors and the understanding of BE as advocated by the GEM Council.
Unnikrishnan et al. (2019)	This literature review covers the story of transition through the field of TQM to performance management and then to BE for the period 1985-2018. It provided several definitions and understandings of BE from the literature.
Metaxas and Koulour (2019)	Conducted a descriptive analysis of literature on measuring BE including TQM, BE Models, SERVQUAL, and other quality-related models compiling a total of 139 papers from 39 refereed journals from the period 1990-2016. Its review had a wider definition of BE and included assessment approaches that were not aligned to the BEF assessments advocated by the GEM Council.

Suárez et al. (2017)	Conducted a literature review on the EFQM (during the period 1991-2015). While the relevance of the 53 papers on BE included in this study is without question, the scope of the study is limited to the EFQM Excellence Model only.
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3. Findings from the current review

This section of the paper is divided into sub-sections representing the objectives of this research.

Objective 1: To identify all the academic journal papers that been published on BE (that fit within the research scope)

Following the search criteria, 415 journal papers were identified as BE papers in this research. To obtain the maximum value from the authors’ research, in addition to the analysis that follows, the full data set and tables from this research have been made publicly available in an excel file for easy searching and referencing by BE researchers (Ghafoor et al., 2020).

Objective 2: To identify the number and percentage of papers published by year

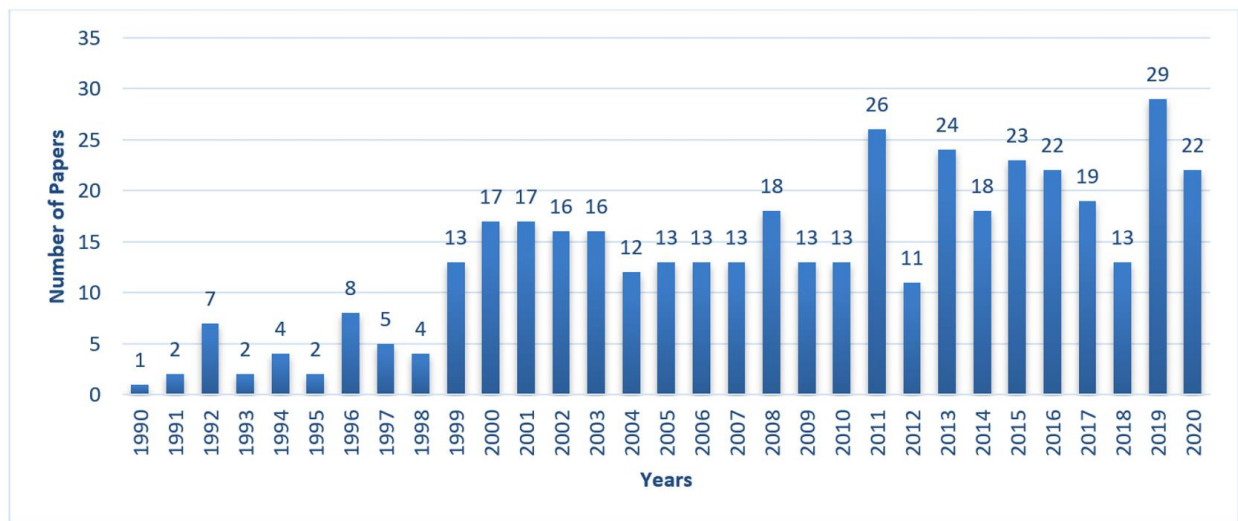


Figure 2.6: Number of papers published by year (up to September 2020)

Figure 2.6 shows the number of BE journal papers published by year. The oldest BE paper identified in this research was published in 1990 which investigated whether the US needs the Malcolm Baldrige National Quality Award (Henry, 1990). Of all the papers, 105 or 25.3% of the papers have been published in 2016 or after. Almost half (49.8%) of the papers in this research have been published in or after 2011. The figure shows that the number of publications on BE has increased with an average of 20.7 papers per year published between 2011 and 2020 (with peaks in 2011 and 2019) compared to an average of 14.4 papers per year between 2001 and 2010 and 3.9 papers per year between 1990 and 2000. However, this is a trend common with many research topics given the growth of journals and published papers.

Objective 3: To identify the number of citations by year

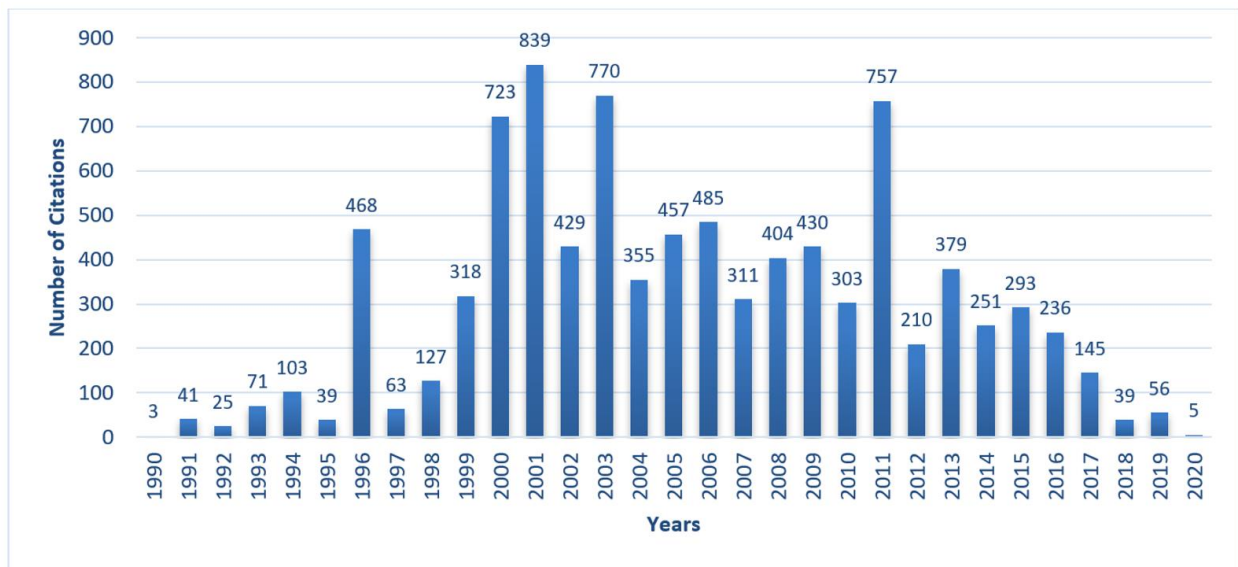


Figure 2.7: Number of citations by year (up to September 2020)

Figure 2.7 shows the number of citations of the published BE journal papers by year. It can be inferred from Figures 2.4 and 2.5 that the years that have published a higher number of papers do not necessarily have a higher number of citations. The number of citations peaked between 2000 and 2003. The reason for this peak may be that BE became more popular during this time (as

shown by an increase in the number of papers during this time in Figure 2.6), and the later papers' had to reference the papers published during this time. On the other hand, the low number of citation between 1990 and 1995 as shown in Figure 2.7 can be attributed to two factors; a) the low number of papers during this period, and b) the journals that these papers were published in generally have a low citation rate of 0.4 citations per year per BE papers compared to the overall average of 2.1 citations per year per BE paper across all journals.

Objective 4: To identify the highest cited BE papers

From the list of all the published BE journal papers identified in this research, a list of ten papers with the highest average citations per year is provided in Table 2.4. The list includes a reference of the paper, year of publication, number of citations, and its main research area. The main research areas and their sub-research areas given in the rightmost column of this table are explained under the objective 10 and Table 2.10. Six papers have more than 10 citations per year on average, 36 papers were found to have between five and 10 citations per year on average and, 53 papers were found to have three to five citations per year on average.

Table 2.4: Top 10 papers with the highest average citations per year

Average Citations per Year	Source Paper Reference	Year Published	Number of Citations	Main Research Area (See Table 2.10)
29.6	Bou-Llusar, J.C., Escrig-Tena, A.B., Roca-Puig, V., & Beltrán-Martín, I., 2009. An empirical assessment of the EFQM Excellence Model: Evaluation as a TQM framework relative to the MBNQA Model. <i>Journal of Operations Management</i> , 27(1), pp.1-22.	2009	326	Design of BEFs

21	Dalimunthe, D.M., & Muda, I., The Application of Performance Measurement System Model Using Malcolm Baldrige Model (MBM) to Support Civil State Apparatus Law (ASN) Number 5 of 2014 in Indonesia. <i>International Journal of Applied Business and Economic Research</i> .	2016	84	Design of BEFs & Impact of BE
17.4	Westerveld, E. (2003). The Project Excellence Model®: linking success criteria and critical success factors. <i>International Journal of project management</i> , 21(6), pp.411-418.	2003	296	Design of BEFs
12.7	Wilson, D.D., & Collier, D.A., 2000. An empirical investigation of the Malcolm Baldrige National Quality Award causal model. <i>Decision sciences</i> , 31(2), pp.361-383.	2000	254	Design of BEFs
12.3	Dahlgaard, J.J., Chen, C.K., Jang, J.Y., Banegas, L.A., & Dahlgaard-Park, S.M., 2013. Business excellence models: Limitations, reflections and further development. <i>Total Quality Management & Business Excellence</i> , 24(5-6), pp.519-538.	2013	86	Design of BEFs
11.3	Hendricks, K.B., & Singhal, V.R., 1996. Quality awards and the market value of the firm: An empirical investigation. <i>Management science</i> , 42(3), pp.415-436.	1996	271	Impact of BE
9.9	Flynn, B.B., & Saladin, B., 2006. Relevance of Baldrige constructs in an international context: A study of national culture. <i>Journal of Operations Management</i> , 24(5), pp.583-603.	2006	139	Design of BEFs
9.7	Fry, L.W., Latham, J.R., Clinebell, S.K., & Krahnke, K., 2017. Spiritual leadership as a model for performance excellence: a study of Baldrige award recipients. <i>Journal of Management, Spirituality & Religion</i> , 14(1), pp.22-47.	2017	29	Design of BEFs
9.4	Meyer, S.M., & Collier, D.A., 2001. An empirical test of the causal relationships in the Baldrige Health Care Pilot Criteria. <i>Journal of Operations Management</i> , 19(4), pp.403-426.	2001	179	Design of BEFs
8.8	Flynn, B.B., & Saladin, B., 2001. Further evidence on the validity of the theoretical models underlying the Baldrige criteria. <i>Journal of Operations Management</i> , 19(6), pp.617-652.	2001	168	Design of BEFs

Objectives 5 and 6: To identify the most popular and the highest-ranked journals

A total of 114 journals have published BE-relevant papers. The number of papers published in a journal is taken as the measure of its popularity among BE researchers. A list of the top five journals by the number of BE papers is shown in Table 2.5. A list of journals with an AJG rating

of three or higher is shown in Table 2.6. The journals with five or more published BE journal papers are highlighted in the table.

Table 2.5: List of journals with the highest number of published BE papers

Journal	Number of Papers	Average Citations per Year per BE Paper
Total Quality Management and Business Excellence	89	2.5
The TQM Journal	38	2.1
International Journal of Quality and Reliability Management	37	2.8
Quality Progress	28	0.3
Measuring Business Excellence	20	1.9

Table 2.6: List of journals publishing BE research with top AJG rating

Journal	Year Launched	AJG Rating	h-index	Papers	Citations	Average Citations per Year
Journal of Operations Management	1981	4*	166	5	863	11.6
Journal of the Academy of Marketing Science	1973	4*	148	1	37	3
Management Science	1969	4*	221	1	271	11
Human Resource Management	1961	4	81	1	38	1
International Journal of Operations and Production Management	1985	4	120	5	72	2.8
Production and Operations Management	1992	4	93	2	47	1.5
Tourism Management	1982	4	159	2	49	1
Decision Sciences	1970	3	97	1	254	13.00
International Journal of Production Research	1961	3	115	5	356	5
International Journal of Production Economics	1991	3	155	4	82	3.75
California Management Review	1976	3	118	1	68	3.00
Omega	1973	3	120	1	42	2.00

Production Planning and Control	1990	3	66	1	15	1.00
IEEE Transactions on Engineering Management	1969	3	82	1	1	0.00
International Journal of Contemporary Hospitality Management	2005	3	67	1	1	0
Technovation	1981	3	111	1	7	0

Objective 7: To identify the average citations per year for BE papers in BE journals

Table 2.7 shows the journals with five or more published BE journal papers in the sequence of their average citations per year per BE paper. The list also provides the h-index value for each journal as one of the indicators of its impact. As shown in this table, *the Journal of Operations Management* and *the International Journal of Production Research* have a citations rate of 12 and 5.4 citations per year per BE paper respectively which is high compared to the other journals (overall average is 2.1 citations per year per BE paper). To put this in perspective, from amongst all the 114 journals, only 14 journals have a citation rate of two citations per year per BE paper or higher. Amongst the journals that have published five or more BE papers, only five journals have a citation rate of two citations per year per BE paper or higher.

Table 2.7: List of journals publishing five or more BE papers in the sequence of their average citation per year per paper

Journal	Year Launched	Average Citation per Year Per Paper	AJG Rating	h-index	Papers	Citations
Journal of Operations Management	1981	12	4*	166	5	863
International Journal of Production Research	1961	5.4	3	115	5	356

International Journal of Operations and Production Management	1985	3.2	4	120	5	72
International Journal of Quality and Reliability Management	1984	2.8	2	75	37	1266
Total Quality Management and Business Excellence (2003-current) Formerly known as Total Quality Management (1990-2002)	1990	2.5	2	69	89	2172
The TQM Journal (2008-current) Formerly known as TQM Magazine (1988-2007)	1988	1.9	1	59	38	825
International Journal of Quality and Service Sciences	2009	1.8	1	22	5	49
Measuring Business Excellence	1997	1.7	1	36	20	471
Quality Management Journal	2013	1.6	Unclassified	8	7	61
International Journal of Health Care Quality Assurance	1988	1.3	1	40	7	210
Benchmarking	1999	0.9	1	54	6	39
International Journal of Business Excellence	2009	0.8	Unclassified	15	5	33
Quality Progress	1974	0.3	1	31	28	223

Objective 8: To examine the relationship between international journal rankings and citation rates for BE papers

Table 2.8 shows the relationship between the AJG rating of a journal and the average citations per year per BE papers of that journal. Papers published in the AJG recognised journals were found to have an overall citation rate of two citations per year and papers published in 4* rating journals had the highest citation rate of 10.3 citations per year. On the other hand, papers published in the journals that were unclassified by AJG were calculated to have a citation rate of 1.4 citations per year. Overall, the average citation rate per year across all journals was 1.7.

Table 2.8: Comparison of AJG rating and average citations per year per BE paper

AJG Rating	Number of Journals	Number of Papers in these Journals	Average Number of Papers per Journal in the Rating Category	Average Citations per Year per BE Paper in all Journals of the Rating Category	
4*	3	7	2.3	10.3	Average citations per year per BE paper across all AJG rated journals = 2
4	4	10	2.5	1.9	
3	9	16	1.8	3.6	
2	22	159	7.2	2.4	
1	27	139	5.1	1.2	
Unclassified	49	84	1.55	1.4	

Objective 9: To identify the researchers that have published the most BE papers

Table 2.9 provides a list of the authors with five or more papers on BE along with their affiliations and keywords.

Table 2.9: List of authors and their affiliations

Author	Number of Papers	Department or Research Centre	Institute Name	Country	Keywords
Mann R.	15	Centre for Organisational Excellence Research	Massey University	New Zealand	Benchmarking, business excellence, best practices, business improvement and quality management
Grigg N.	8	Department of Operations and Engineering Innovation	Massey University	New Zealand	Business process improvement, performance measurement, benchmarking, business excellence,

					knowledge management, service quality
Escrig A.B.	7	Department of Business Administration and Marketing	Universitat Jaume UJI	Spain	Total quality management, EFQM excellence model, best practices, business excellence, EFQM recognition
Evans J.R.	7	Department of Operations, Business Analytics, and Information Systems	University of Cincinnati	United States	Baldrige Criteria, knowledge management, performance excellence, performance measurement, organisational sustainability,
McAdam R.	6	Department of Management, Leadership & Marketing	Ulster University Business School	United Kingdom	Business improvement, organisational excellence, business excellence, Baldrige model, European Foundation for Quality Management
Calvo-Mora A.	6	Department of Administration, Commercialisation, Investigation and Marketing	University of Seville, Sevilla	Spain	EFQM model, quality management, social responsibility, social impact, process methodology, operational results

Eskildsen J.	6	Department of Management	Aarhus Universitet	Denmark	European Foundation for Quality Management, quality management
Dahlgaard J.J.	5	Department of Management and Engineering (IEI)	Linköpings Universitet	Sweden	Business excellence models, EFQM model, MBNQA model, total quality management, control systems, management activities, change management
Eriksson H.	5	Department of Technology Management and Economics	Chalmers University of Technology	Sweden	Quality awards, self-assessment, total quality management, organisational performance, ISO 9000, quality management, EFQM model, MBNQA criteria
Jackson S.	5	School of Management and Labor Relations	Rutgers University-New Brunswick	United States	European Foundation for Quality Management, self-assessment, national health service, health care, governance, leadership

To identify what areas of research the BE literature comprises of, a more in-depth content analysis (rather than an analysis using VOSviewer) of papers is required. For this purpose, we carried out a classification of the highest impact (79) BE papers (papers with the highest number of citations per year). It was envisaged that it is more beneficial to study the highest impact BE literature in terms of what research areas it focuses on. Furthermore, the new research in BE should aim towards adding to the highest impact BE literature. Table 2.10 gives a list of all the main and sub-research areas. A paper was classified under a research area if one-third of the paper was found to be focused on it. A paper was classified under a maximum of two research areas.

Table 2.10: Research areas and sub-research areas identified in this research

Main Research Area	Sub-Research Area
Design of BEFs	Comparing the design of established BEFs used for national BEAs
	Design of established BEF related to a specific criterion or aspect (these are provided under the “ <i>BE Topic/Criteria focussed research</i> ”)
	Design of an established BEF used for a national BEA
	Proposing a new alternative BEF
	Developing an alternative BEF based on an existing BEF
BE In Practice	Reasons/ Motivations of Organisations to Use BE/ BEFs
	How do organisations use BE/ BEFs for pursuing BE
	How do organisations do self-assessment
Impact of BE	Impact of BE related to a specific criterion or aspect of BE (these are provided under the “ <i>BE Topic/Criteria focussed research</i> ”)
	Impact of BE/ BEFs on overall performance
Literature Reviews on BE	Literature review of studies on BE/ BEFs
BE Topic/Criteria focussed research	<i>Balanced Scorecard</i>
	<i>Customer and market focus (understanding customers, building customer relationships, marketing)</i>
	<i>Education, training, development and learning</i>
	<i>Health and safety</i>
	<i>Knowledge management and information technology</i>
	<i>Leadership (vision, values, developing leaders, ethics, governance)</i>
	<i>Six Sigma</i>
	<i>Social and environmental responsibility (sustainability, surpassing regulatory requirements/engaging with the local community)</i>
	<i>Standards and certification (ISO 9000, ISO 14000 etc)</i>

Table 2.11: Number of papers in the sub-research areas, their average citation rates, and the framework/s they study

Main Research Area	Sub-Research Area	Number of Papers	Average Citation Rate	EFQM Excellence Model	Baldrige Excellence Framework	Multiple	Other	N/A
Design of BEFs	Comparing the design of established BEFs used for national BEAs	3	4.2			3		
	Design of established BEF related to a specific criterion or aspect	15	6.8	5	8	2		
	Design of an established BEF used for a national BEA	19	8.1	10	7	2		
	Proposing a new alternative BEF	2	8.1			1		1
	Developing an alternative BEF based on an existing BEF	3	9.5	3				
BE In Practice	Reasons/ Motivations of Organisations to Use BE/ BEFs	5	4.5	4		1		
	How do organisations	11	4.8	6	2	2	Australian BEF	

	use BE/ BEFs for pursuing BE							
	How do organisations do self-assessment	4	3.9	3		1		
Impact of BE	Impact of BE related to a specific criterion or aspect of BE	2	3.8	2				
	Impact of BE/ BEFs on overall performance	9	8	2	4	2		1
Literature Reviews on BE	Literature review of studies on BE/ BEFs	10	5.2	4	1	4		1

Table 2.11 shows that the “Design of an established BEF used for a national BEA” (which studies the BEF composition (principles, criteria, items), their validity, empirical assessment, and inter-relationship of criteria) is the most popular sub-research area for researchers, with 24% of the BE papers focusing on it, and “Design of established BEF related to a specific criterion or aspect” is the second most popular with 19% of the BE papers focusing on it. Overall, “Designing BE” is the most popular research area for researchers. EFQM Excellence Model is the most popularly studied model with 49.4% of the BE papers studying it, followed by Baldrige Excellence Framework which is studied by 25.3% of the papers. Another 20.25% of the papers study multiple BEFs. Table 2.12 shows that ISO is the most popular BE topic/ criteria focused research area for BE papers with 6 papers studying it, followed by leadership studied by 3.

Table 2.12: Number of papers with BE topic/ criteria focused research in the two sub-research areas with specific BE topic/ criteria focus

BE Topic/Criteria focussed research	Design of established BEF related to a specific criterion or aspect	Impact of BE related to a specific criterion or aspect of BE
Balanced Scorecard	1	
Customer and market focus (understanding customers, building customer relationships, marketing)	1	
Education, training, development and learning	1	
Health and safety	1	
Knowledge management and information technology	1	1
Leadership (vision, values, developing leaders, ethics, governance)	2	1
Six Sigma	1	
Social and environmental responsibility (sustainability, surpassing regulatory requirements/engaging with the local community)	1	
Standards and certification (ISO 9000, ISO 14000 etc)	6	

4. Discussion

Sourcing relevant BE literature

Because of the evolution of terminologies used in the literature, researchers should use caution when defining BE and sourcing literature on BE. The first researcher to use the word BE in the body of a journal paper was Henry (1990) before which, papers used the TQM terminology, and the first journal paper to use BE in its title “Measuring business excellence” was from Mills (1995). These changes in the use of terminology were also reflected in the names of the business excellence awards. The “Baldrige National Quality Award” was launched in 1988 (NIST, 2020) and the first

journal paper to use it in its title “The Malcolm Baldrige National Quality Award: A prescription for quality improvement and international competition” was from Liebesman (1991). The name “Baldrige Criteria for Performance Excellence” was officially introduced in 1997 (Malcolm Baldrige National Quality Award, 1997), and the research of Evans (1997) was the first to use this name in a journal paper. In 2010, NIST renamed its Baldrige Program as the “Baldrige Performance Excellence Program” (NIST, 2020), and the study of Jayamaha et al. (2011) was amongst the first to use this name in a journal paper. The “European Quality Award” was launched in 1991 (EFQM, 2020) and this name was first used in the research of Brockman (1993). The award name was first changed to “European Business Excellence Award” in 1998, and the research of Dahlgaard and Dahlgaard (1999) was the first to use this name in a journal paper. This was changed to the “EFQM Award” in 2000 (NIST, 2020), and the study of Nabitz et al. (2000) was amongst the first to use this name in a journal paper.

It is worth pointing out that according to this research, only 16 papers were published by the end of 1994. The reasons for the low number of papers during this period was likely due to a) BEFs only came into existence with the publication of the MBNQA in 1987 (first awarded in 1988) (NIST, 2020) and the EFQM in 1992 (EFQM, 2020) b) the most popular journals for BE such as the TQM Journal (initially named the TQM Magazine) and Total Quality Management and Business Excellence Journal (initially named the Total Quality Management Journal) were in their early years of establishment, 1988 and 1992 respectively, and were only beginning to raise awareness of the opportunity to undertake research and publish in this field. For instance, the First World Congress for TQM which was a premier event for researchers and supported by Professor Kanji’s Total Quality Management and Business Excellence Journal did not begin until 1995 (Kanji et al., 1995), c) the papers’ titles did not have any of the 29 keywords that were searched

for, and d) the papers were screened out because they did not meet the criteria established in this research to be considered BE papers. The list of papers developed in this research, as provided in the online resource from (Ghafoor et al., 2020), offers support to BE researchers in finding relevant BE literature with complete information provided on citation rates (by papers and by journals) and journal ratings.

Interestingly, while there is a positive trend in the number of BE papers and citations, the number of applicants in the awards has continued to decrease (Cook & Zhang, 2019). For example, there were 84 award applicants of the MBNQA in 2011, 56 in 2016, and 44 in 2019 (NIST, 2020a). Cook and Zhang (2019) gave some possible explanations for this decline, that it may be a) because of a lack of interest of organisations in the awards, b) because certifications such as ISO 9001 (broadly recognised as an endorsement of quality), Lean, and Six Sigma are attracting potential BE applicants away from the BEAs, c) state awards (especially in case of the MBNQA) are more attractive for organisations to apply for rather than the national award, and d) BEAs were short-lived fashion amongst business leaders who have now lost enthusiasm for it. However, without research to validate a decline and the reasons for it, these views are conjecture only; it could be argued that organisations using certifications such as the ISO 9001, Lean, and Six Sigma are quality-centric and would be more likely to undertake a BE journey. Furthermore, some countries have just started or are planning to relaunch their BE awards in recent years (2019-2021, such as Brunei, Colombia, Denmark, Ecuador, Egypt, Pakistan, and South Africa) (Ghafoor & Mann, 2020) which shows that interest in BE is rising in several countries. On the other hand, the lower barriers to publication of articles (Steen et al., 2013) and a fast increasing number of institutes and scholars have resulted in a fast increasing number of research papers in all the fields including BE (Bornmann & Mutz, 2015).

Another major issue in sourcing BE literature is to select the right keywords. Some BE papers do not use BE related keywords in their titles, because of which these papers would not show in a search result. Also, the Scopus database used for searching BE papers is found to have a limitation that can hinder a researcher's ability to find relevant papers as documents were sometimes classified incorrectly. Out of 1240 papers classified as "journal papers", 142 (11.5%) papers were not peer-reviewed journal articles, rather conference proceedings or news articles. The present research resolved this issue by manually checking the document type of each paper thus removing any non-peer-reviewed papers identified by Scopus. This inaccuracy in the meta-data of the documents may also cause a researcher to miss some of the relevant papers that are likely to not show in the search result as they may be classified as non-peer review papers. This suggests that to conduct an accurate systematic literature review, using a peer-reviewed database such as Scopus is insufficient, and BE researchers should undertake a more detailed examination of individual papers.

Improving citation rate for researchers

Through studying the methodologies and designs of high impact papers, researchers can learn how to improve their research and write papers that achieve high citation ratings (Bou-Llusar et al., 2009; Dalimunthe & Muda, 2016). The citation rate of a paper relates to the quality of the paper which is a multidimensional concept including the soundness of the research being undertaken, its originality, scientific value, and societal value (Aksnes et al., 2019). The research area selection of BE research is an important factor for researchers that can later affect the citation rate of their paper. After examining the research areas in BE research, it was found that "Design of an established BEF used for a national BEA" is the most popular research area and has the highest average citation rate of 8.1 among the research areas with more than five BE papers.

Papers published in the journals with the highest Academic Journal Guide (AJG ratings) are found, not surprisingly, to have the highest citation rates. Five out of 10 papers with the highest citation rates are published in 4* rating journals which are the few journals that are classified as examples of excellence by the AJG. The Journal of Operations Management (JOM), Journal of the Academy of Marketing Science (JAMS), and Management Science Journal (MSJ) are identified as the highest impact journals in BE according to the AJG rating with 4* ratings. In addition to these, the Human Resource Management Journal (HRMJ), International Journal of Operations and Production Management (IJOPM), Production and Operations Management Journal (POMJ), and Tourism Management Journal (TMJ) are also high impact journals in BE according to AJG with a rating of 4. Papers published in the AJG recognised journals, are likely to get twice as many citations compared to papers published in unclassified journals (see Table 2.6). Papers published in the 4* rated journals are found to have 5 times more citations compared to the unclassified journals. This is because research published in top journals requires to be theory-based and/or methodologically rigorous or innovative. Business Excellence models are practitioner-based and (as previously argued in the present paper) lack a recognisable core theory *per se*. This means such research is generally based on a rigorous or innovative research method such as structural equation modelling (Flynn & Saladin, 2001).

Researchers should use BE related keywords in their papers' titles to increase their chance of being read and cited. This is a common practice among high impact papers. Out of 36 papers that have five or more citations per year on average, 27 have used the names of the two most popular frameworks (MBNQA or EFQM) in their titles and keywords. The remaining have also used words like "business excellence" or "excellence awards" in their titles.

The most popular journals for researchers publishing BE research

The journals that have published the highest number of papers on BE are different from the highest impact journals. “Total Quality Management & Business Excellence” was launched in 1990 and is identified as the most popular journal for publishing BE papers in with 89 papers. “Total Quality Management Journal” was launched in 1988 and is the second most popular with 38 papers. “International Journal of Quality and Reliability Management” was launched in 1984 and is the third most popular with 37 papers. “Quality Progress” was launched in 1978 and is the fourth most popular with 28 papers. “Measuring Business Excellence” journal was launched in 1997 and is the fifth most popular with 20 papers. It may be argued that the year of the launch of these journals can cause variance in the number of papers published under these journals (the older the journal the more likely it is to have a higher number of papers published). However, there are more papers published under TQM & BE than IJQRM and QP despite the latter two being older journals. Hence, an older journal does not necessarily imply more papers. The discrepancy in the popular and high-impact journals as indicated by the data gives rise to a dilemma. This dilemma is for researchers as to whether they should publish papers in a BE or quality-related journal to support the BE profession or to publish in journals that are wider in scope but have a higher impact or citation rating such as JOM, IJPR, and IJOPM, thus prioritising their papers’ citations over supporting the BE profession. The importance of having field-specific journals is under question if researchers from all disciplines begin to target the same journals. The use of electronic libraries as the primary mechanism for searching for relevant research also calls into question the need for discipline led journals.

Research areas of the most notable and active BE researchers

There is no specific area of research focused upon by the authors that have the highest number of papers on BE. In general, they have published on a range of BE topics. There are three notable areas of focus for the top authors identified in this research. Studying the two most popular BEFs; MBNQA Criteria (Mai et al., 2018; Mann & Voss, 2000) and the EFQM Excellence Model (Suárez et al., 2014; Dahlgaard-Park, 2008; Saunders et al., 2008; McAdam & O’Neill, 1999) stands out as a popular area of research for the authors. The authors also focus on empirically testing the soundness of the BEFs; for example, how well the criteria of these frameworks relate with each other (Eriksson et al., 2016; Jayamaha et al., 2008; Jayamaha et al., 2009) and how well they can accurately measure the performance of an organisation and help in achieving organisational results (Raharjo et al., 2015; Evans, 2015; Jayamaha, 2011; Bou-Llusar et al., 2005; Calvo-Mora et al., 2005). These authors have published on BE implementation and award experiences from around the world (Escrig-Tena et al., 2016; Escrig & de Menezes, 2015; Evans & Mai, 2014; Evans et al., 2012; McAdam, 1999; Xie et al., 1998).

Research areas and sub-research areas of the highest impact BE papers

A key objective for conducting this research was to assess what is and has been, defining the body of the highest impact BE literature. It is of value for future researchers, to identify what research areas the published BE papers cover. This not only uncovers the popular research areas in BE research but also which ones have been less explored in prior research. A review of the published BE literature reveals that “Design of BEFs” is the most popular research area among authors, followed by “BE in practice”. However, few (14%) studies cover the area of “Impact of BE” and within that, even fewer (2.5% of the 79 examined BE papers) on the sub-area of “Impact of BE related to a specific criterion or aspect of BE”. This suggests that for the future, studies related to

the impact of BE, particularly, with focus on specific BEF criteria and other BE related topics (for example, performance and best practice benchmarking), may be of a high impact. Furthermore, the highest impact BE literature is overwhelmingly dominated by the (95%) BE papers studying Baldrige Excellence Framework and the EFQM Excellence Models. Here is another area of future research to identify what other BEFs are in use with BECs around the world and to study their design, practice, and impact.

5. Conclusion and Limitations

All the research objectives of this paper have been met. A list of all the (415) BE journal papers has been selected followed by an analysis of these papers in terms of the number of papers and citations trends, journals, authors, impact, citation rates, and research areas. The literature reviews that have been published before have generally used a wider definition of BE and not based the scope of their research on the same understanding of BE as advanced by the GEM Council. In addition, this paper includes, to the best of authors' knowledge, the only known assessment of the average citation rate per year per BE paper for journals that will assist researchers when deciding which journals to publish in. This paper aims to be a good starting point for interested scholars and practitioners to research in the field of BE.

Because this research compiles papers that focus on BE as defined by BEA bodies, the papers in this research have high relevance with the current issues in BE. This paper allows scholars to carry out a more in-depth analysis of literature in the identified research areas within BE. For practitioners, this study has a stock of information on case studies from around the world regarding how BE has been promoted, implemented, assessed, and awarded.

This study uncovers several approaches through which researchers can achieve high citation rates. The main approach should be to review and learn from the research approaches and style of writing papers from the most highly cited authors. Another approach is to use the popular models' names like MBNQA and EFQM or their derivatives in the titles of studies thus making the studies more visible in search results. Another is to publish in the journals that are AJG recognized and have a high AJG rating. Papers published in these journals have a significantly higher citation rate compared to the papers published in non-AJG classified journals. The journals that have the highest citation rates are the Journal of Operations Management and the International Journal of Production Research. This study also informs researchers on the research areas of the body of the highest impact BE literature. The detailed methodology of this paper makes it possible to continually update (if using the same definition and criteria of paper selection is followed) the list of papers keeping it an up-to-date collection of the BE literature.

As for the limitations of the study, the research only searched for keywords in the titles of the papers and so potential BE papers that did not include these keywords in their titles were excluded. This was done to keep the number of papers in the search result more manageable for manual scrutiny of papers. The 29 keywords used for searching BE papers are assumed to cover the entirety of BE literature, however, with the advancement in the field, more keywords may become relevant to BE and hence open an avenue for future research. The Scopus database which was used for searching BE papers has some limitations such as categories and classifications of the papers which could have led to some papers missing out on being classified as actual peer-reviewed papers. Furthermore, it is assumed that the Scopus database has all the BE papers published to-date in all the journals. Although remote, it is a possibility that a small number of papers might not be available in this database. This limitation can be eliminated by using multiple

search engines or databases to list BE relevant papers, however, at the cost of a more complex and time-consuming research design.

Some potential important and high-impact research areas for the future can be identifying and monitoring the number of BEA applicants or BE users by sector, country, and globally to understand the current situation and provide useful data to national bodies responsible for BE, productivity, and competitiveness. It may be interesting to research whether undergraduates are taught BE in universities, and if so, is it from a science or management perspective (since if people are not being taught BE in business schools it will be difficult to sustain interest in BE in the future). Lastly, the areas of innovation, digital transformation, and sustainability in BE may be of high impact as BEFs are being redesigned to encompass these areas more explicitly. For example, the Baldrige Performance Excellence Program has released a Baldrige Cybersecurity Excellence Builder in light of the rising requirement of cybersecurity for organisations (NIST, 2019).

Disclosure statement

No potential conflict of interest was reported by the author(s).

Notes

1. VOSviewer is a quantitative analytical tool for creating bibliometric maps of science that visualises relationships between different metadata of publications' such as authors and keywords (Van Eck & Waltman, 2011).
2. Organisations that are responsible for promoting and facilitating the use of BE.

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2.2. Chapter Highlights

This chapter aimed to conduct a systematic literature review on BE. This aim was achieved through the seven-step process provided in the methodology section of the chapter. The process identified, ascertained, shortlisted, and examined BE papers and is explained in detail to help future researchers in carrying out systematic literature reviews.

BE literature comprises of 415 papers published in 114 journals. A list of these papers was produced and made available online for easy access by future researchers (Ghafoor et al., 2020). This is an exhaustive list of all BE papers published between 1990 and 2020.

There is an upwards trend in BE publication, as almost the same number of BE papers have been published between 2011 and 2020 (nine years) as were published between 1990 and 2010 (21 years).

BE papers get 2.1 citations per year, on average. However, the papers published in the highest-ranking (rated 4* according to the Academic Journal Guide) journals average 10.3 citations per year, for example, the Journal of Operations Management averages 12 citations per year per BE paper which is the highest amongst all journals.

The citation rate is affected by the quality of a paper's research and the ranking of the journal that it is published in. The quality of a paper is determined by the soundness of the research being undertaken, its originality, scientific value, and societal value. A higher-quality paper is also more likely to get published in a higher-ranking journal. Using BE-related keywords, such as the names of popular BE Frameworks (BEFs) may also positively affect a paper's citation rate. For example, 27 out of 36 papers with a citation rate of 5 or more used the names of the Baldrige Framework and the EFQM Model in their titles.

The thematic analysis carried out in this chapter found that the papers covering the design of BEFs dominate the landscape of BE literature while the other prominent themes are; BE in Practice/ how BE is used, the impact of BE, literature reviews on BE, and BE topic/criteria focussed research.


The pre-existing BE literature has a limited understanding of the role of BE Custodians (BECs) and their activities, the aim of this thesis is to investigate their role and activities.



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We, the candidate and the candidate's Primary Supervisor, certify that all co-authors have consented to their work being included in the thesis and they have accepted the candidate's contribution as indicated below in the *Statement of Originality*.

Name of candidate:	Saad Ghafoor
Name/title of Primary Supervisor:	Dr. Robin .S. Mann
In which chapter is the manuscript /published work:	2
<p>Please select one of the following three options:</p> <p><input checked="" type="radio"/> The manuscript/published work is published or in press</p> <ul style="list-style-type: none"> • Please provide the full reference of the Research Output: Ghafoor, S., Grigg, N. P., Mathrani, S., & Mann, R. (2020). A bibliometric and thematic review of business excellence journal papers from 1990 to 2020. <i>Total Quality Management & Business Excellence</i>, 1-33. <p><input type="radio"/> The manuscript is currently under review for publication – please indicate:</p> <ul style="list-style-type: none"> • The name of the journal: • The percentage of the manuscript/published work that was contributed by the candidate: • Describe the contribution that the candidate has made to the manuscript/published work: <p><input type="radio"/> It is intended that the manuscript will be published, but it has not yet been submitted to a journal</p>	
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CHAPTER 3: RESEARCH METHODOLOGY

3.1. Chapter Introduction

This chapter comprises of seven sub-sections that are a) research paradigm, b) population and sampling, c) developing the survey and structured interview, d) promoting the research, e) data collection, validation, and analysis, and f) ethical considerations.

3.2. Research Paradigm

This study follows the ‘pragmatism’ paradigm of research which recognises that there can be different ways of interpreting data and undertaking research, no single point of view can give a complete picture, and that there may be multiple realities (Bryman, 2016). Pragmatism is an outcome of culmination (or moderation) of the two completely mutually exclusive paradigms which are positivism (which is to gain knowledge through scientific methods that can be verified mathematically or logically, is objective in nature, and relies on quantitative data; Creswell, 2017) and interpretivism (which is to gain knowledge by relying on the meanings that humans attach to their actions, is subjective in nature, and relies on qualitative data; Creswell, 2017).

The reason for choosing the pragmatism paradigm is that conducting a case study of a single Business Excellence (BE) Custodian (BEC) only using qualitative methods cannot provide enough generalisable data and conducting a survey of BECs only using quantitative methods cannot capture the depth and complexity that is crucial in providing explanation or reasoning of the results. Therefore, this study follows a mixed-method research design comprising of a survey and follow-up structured interviews thus collecting both quantitative and qualitative data from the respondents. In terms of time horizon, this is cross-sectional research which involves analysing the data from the population collected at one specific point in time (Bryman, 2016).

3.3. Population and Sampling

A research was conducted in May 2018 to identify all the eligible BECs around the world that identified 65 such BECs in 55 countries. As discussed in the ‘Scope of the Study’, only the BECs that had held a BE Award (BEA) in 2016 or after or planned to hold one in 2019 were considered eligible to participate in this study. With regards to sampling, all the 65 BECs were contacted and invited to participate in the study. A total of 29 BECs (44.6% of the total population) from 26 countries participated in the study of which 13 BECs (shown in the blue highlight in Table 3.1) also undertook the optional follow-up structured interview.

Table 3.1: Countries and BECs participating in the study

Country	BEC Organisation	Participant’s Designation
Argentina	Excelencia	Director of Innovation
Australia	Business Excellence Australia	Director of the Program
Canada	Excellence Canada	Vice President Research
Costa Rica	Cámara de Industrias de Costa Rica	Excellence Program Coordinator
Czech Republic	Czech Society for Quality	Advanced Management Tools Manager
Ecuador	CODEFE	General Manager
El-Salvador	Subsecretaría de Gobernabilidad de la Presidencia de la República de El Salvador	Excellence Program Coordinator
Estonia	Estonian Association for Quality (EAQ)	Chairman of the Board
Europe -EFQM	European Foundation for Quality Management	Chief Operations Officer
Finland	Excellence Finland	Chief Executive Officer
India	IMC Ramkrishna Bajaj National Quality Award Trust	Director of the Trust
Japan	Japan Quality Award Council	Director of the Council
Jordan	King Abdullah II Center for Excellence (KACE)	Criteria and Assessment Manager
Malaysia	Malaysia Productivity Corporation (MPC)	Director of the Corporation
Mexico	Institute for Total Quality Development	Chief Executive Officer
Netherlands	INK	Counsel
Peru	CORFEP	Operations Manager
Philippines (DAP)	Development Academy of the Philippines (Public Sector)	Director of the Academy
Philippines (DTI)	Department of Trade and Industry – Competitiveness Bureau (Private Sector)	Senior Trade and Industry Development Specialist

Saudi Arabia	King Abdulaziz Quality Award	Chief Executive Officer
Scotland	Quality Scotland	Chief Executive Officer
Singapore	Enterprise Singapore	Director of Business and Service Excellence
Spain	Club Excelenciaen Gestión	Focal Person for Benchmarking
Sweden	SIQ – The Swedish Institute for Quality	Director of Research
United Arab Emirates DGEP	Dubai Government Excellence Program (Public Sector)	Senior Advisor
United Arab Emirates DED	Business Excellence Department, Dubai Economy	Director
United Arab Emirates SKEA	Sheikh Khalifa Excellence Award (SKEA) – Abu Dhabi Chamber	Coordinator General of the Award
United Kingdom	British Quality Foundation	Chief Executive Officer
United States of America	Baldrige Performance Excellence Program	Director of the Program

3.4. Developing the Survey and Structured Interview

The survey and structured interview instruments were developed by modifying and updating survey instruments of two prior studies (being the only known accounts) that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a, 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008). As per Scopus, with regards to the impact of these studies, these studies are cited 68, 55, and 48 times, respectively. The statements from the surveys of these prior studies were re-written for clarity and questions were added or removed based on the objectives of this research.

Once developed, the survey was emailed to the focal persons of all the BECs identified around the world (as explained in the previous sub-section) for feedback on the completeness of the survey and the clarity of the terminologies used. The feedback (received from 11 BECs) was used to refine the survey, which was shared with the GEM Council (in their annual general meeting in August 2018 in Sydney) for final approval. The 11 countries that provided feedback on the survey design

were: Czech Republic, Ecuador, El-Salvador, Mexico, Peru, Saudi Arabia, Scotland, Singapore, United Arab Emirates (DGEP), United Kingdom, United States.

The final survey instrument comprised of 46 questions and had 7 sections which were: participant profile, designing BE, promoting BE, facilitating BE, awarding BE, interview schedule, and information sharing protocol (see Appendix A). It was estimated that the survey required 2 hours to complete.

3.5. Promoting the Research

To maximise participation, the following activities were carried out: -

- To promote the research and make it recognisable, it was given the title “Excellence Without Borders” EWB.
- The EWB website was launched in February/March 2018 to introduce the research to the potential participants, to acknowledge the research participants and supporters, and to allow interested BECs to contact the researcher.
- Several blogs were written on the Business Processes Information Resource (BPIR) website to promote the research to the website visitors, members, and readers that include focal persons of BEC.
- The research was promoted at the International Conference on Management Research (ICMR) in Lahore and the Global Organisational Excellence Congress in Abu Dhabi in November and December 2018 respectively.
- The BECs invited to participate in the research were incentivised that they will receive a confidential benchmarking report comprising of an executive summary and detailed results from the survey and structured interviews. This report was delivered to the BECs in January 2021.

3.6. Data Collection, Validation, and Analysis

After the interested BECs registered their interest to participate in the research. The survey was sent to the focal persons of these BECs (shown in Table 3.1 before) via email. After the survey was filled in and sent back by these participants, they were requested to schedule a follow-up structured interview to be carried out via Skype. The interviews were carried out to seek more detail in responses to the questions (especially those related to best practices) and, if required, confirm the information provided in the survey. The interviews were scheduled based on the convenience of the participant and lasted from 30 minutes to 1 hour based on the speed of communication and the amount of detail provided by the participant.

After collecting the survey and interview data, it was analysed and documented in the form of a draft report. The participants were provided with the report to correct their response if needed (internal validation of data), to add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered previously.

In terms of quantitative data analysis, results for each question were first summarised using frequency tables and graphs. Where it was necessary to compare group scores, Minitab 19.0 was used to run the Mann-Whitney U test to test the significance of the differences between group medians. Mann-Whitney test was used because (1) the data in this research are ordinal-scaled, and (2) group frequencies are in some cases too low to permit reliable parametric hypothesis testing.

With regards to the qualitative data, the transcripts of the detailed responses to the qualitative questions (in the survey and structured interview) were thoroughly read to manually highlight the dominant themes in the mentioned best practices. This process was repeated several times and the themes were split and merged as the analysis developed until a set of themes and best practices

that accurately represented the data were obtained. The key questions that were analysed using this method are questions 2.10, 2.11, 3.3, 3.4, 4.2, 4.3, 5.3, and 5.4 provided in Appendix A.

These details on how the data were collected, validated, and analysed to meet the objectives are also provided in the individual chapters' methodology sections.

3.7. Ethical Considerations

There were certain ethical considerations for this research that are as follow: -

- The student was considerate in his correspondence with BEC. The response from the BECs regarding participation in the study and the turnaround time of the correspondence was respected and appreciated.
- Written consent of the participants was acquired on the cover letter before they filled in the surveys.
- The student also educated the participants about the purpose of the study. This was included in the cover letter of the survey.
- The student acquired permission from the participants in video link structured interviews before recording their audio for later transcription.
- The data collected for this study was not used for any other purpose not stated to the participants of the study.
- All the data, including text and audio will be destroyed after the completion of the Ph.D. degree process.

CHAPTER 4: DESIGNING BUSINESS EXCELLENCE FRAMEWORKS

4.1. About the Chapter

This chapter aims to investigate how the Business Excellence (BE) Custodians (BECs) design and develop their BE Framework (BEFs). In the researcher's view, this is a logical starting point to meet the objectives of this thesis (discussed in the introduction section).

BEFs are productivity (input and output) models suggesting that enablers bring results (Alfaro-Saiz et al. 2011). Understanding the design and development of BEFs is important because these frameworks help organisations understand the components of BE and guide them towards world-class performance. This chapter provides recommendations for improving the BEF review process because the better a BEF's design is, the more helpful it can be for organisations to improve their performance and create value for their stakeholders.

This chapter's methodology (and that of the subsequent chapters 5, 6, and 7) followed a pragmatic paradigm (Bryman, 2016), and a mixed-method approach (Creswell, 2017). Data were collected from 29 BECs participating in the research presented in this thesis. While the thesis survey comprised 46 questions, 12 questions covered the objectives of this chapter.

The key literature on this topic comprises of studies focused on the core values and concepts of the popular BEFs such as the Baldrige Excellence Framework and the EFQM Excellence Model (Jankalova et al. 2018; Asif et al. 2011), the interrelationship of BEFs' criteria and their implementation for BE success (BEF validity) (Mai et al. 2018; Safari et al. 2012; Jayamaha et al. 2009; Bou-Llusar et al. 2009; Jayamaha et al. 2008; Calvo-Mora et al. 2005; Wilson & Collier 2000), and BEFs' ability to consistently advance BE in organisations that use it and to accurately

measure BE (BEF reliability) (Bagheri et al. 2019; Jagannathan & Jagajeevan 2017; Calvo-Mora et al. 2015; Jayamaha et al. 2009; Jayamaha et al. 2008; Flynn & Saladin 2006; Flynn & Saladin 2001).

The present study is unique and adds value to the existing knowledge on BEFs design and development by collecting data directly from the BECs on how they design and develop the BEFs that they govern in their countries/ regions thus getting first-hand information on the BECs role and best practices in undertaking this.

This chapter was produced as a peer-reviewed journal article and was submitted to the Measuring Business Excellence journal. Following a peer-review decision of ‘revise and resubmit’, the chapter/paper was revised, resubmitted, and was subsequently accepted for publication. This chapter/paper can be cited as:

Ghafoor, S., Grigg, N. P., & Mann, R. (2021). An investigation of designing, developing and modifying business excellence frameworks. *Measuring Business Excellence*.

An Investigation of Designing, Developing, and Modifying Business Excellence Frameworks

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Purpose: This paper aims to investigate how Business Excellence (BE) Custodians (BECs) design, develop, and modify their BE Frameworks (BEFs) and to provide a general framework for reviewing BEFs. The design process is important to understand as these BEFs are used to help organisations understand the components of BE to guide them towards world-class performance.

Methodology: The first step was to identify all the BE Awards (BEAs) worldwide and their BEFs by conducting a review of publicly available sources. Of these, 29 BECs (with active BEAs) in 26 countries agreed to participate in the research. Data was collected with the help of a survey, and 13 BECs also undertook optional follow-up interviews.

Findings: 56 countries and regions have 65 active BEAs with another 17 countries having BE initiatives. The EFQM Excellence Model and the Baldrige Excellence Framework are used by 37.7% and 14.5% of BECs worldwide, respectively. 58.3% of the BECs review their BEFs once every three years or sooner, 100% of the BECs are confident in their BEFs' fundamental concepts, and 96.5% in their categories.

Originality: This research collects data directly from the BECs on how BECs design and develop BEFs and provides a general framework for reviewing BEFs.

Keywords: Business Excellence, Business Excellence Frameworks, Baldrige Excellence Framework, EFQM Excellence Model, Business Excellence Models, Designing Business Excellence, Reviewing Business Excellence.

1. Introduction

This section comprises of two sub-sections which are; a) a brief background of the paper, and b) the aim and objectives of the paper.

1.1. Background

Business Excellence Frameworks (BEFs) are designed to help organisations improve their performance and create value for their stakeholders (EFQM, 2020a; NIST, 2020a). The two main BEFs: the Malcolm Baldrige Excellence Framework (MBEF) (to avoid confusion with the acronym of BEF) and the EFQM Excellence Model; were first launched in the years 1988 (NIST, [ca. 2020]) and 1991 (EFQM, 2018) respectively. These BEFs along with their modified versions that are in use by the other BE Custodians (BECs⁴) have been continuously reviewed and improved with time. For instance, major reviews were carried out of the MBEF in 1988, 1992, 1997, and 2015; and 12 moderate to minor changes were made in other years between 1995 and 2019 (NIST, 2019).

It was found that previous research on designing, developing, and modifying BEFs focused on: identifying the core values and concepts of the BEFs (Jankalova et al., 2018; Asif et al., 2011); the relationships between their criteria (BEFs' validity) (Mai et al., 2018; Bou-Llusar et al., 2009; Calvo-Mora, 2005; Wilson & Collier, 2000); and their reliability in accurately and consistently operationalising and measuring BE (Bagheri et al., 2019; Jayamaha et al., 2009; Jayamaha et al., 2008; Flynn & Saladin, 2006; Flynn & Saladin, 2001). While the prior researches focus on “what” BEFs are, this research collects data directly from BECs to investigate “how” they design and

⁴ Business Excellence Custodians (BECs) are organisations responsible for designing BEFs, and for promoting and facilitating BE and BE awards (BEAs) in their countries.

develop their BEFs. The only other known research that obtained data directly from the BECs on a global level to determine how they design and develop their BEFs was carried out in 2005 with 15 countries participating (Saunders et al., 2008).

1.2. Aim and objectives of the paper

This study aims *to investigate how BECs design, develop, and modify their BEFs.*

Objectives were set to: -

1. Identify how many BECs in the world have an active BEA and/or a BE initiative (promoting and facilitation the use of BE) and what types of BEFs are they using,
2. Investigate how many BECs design or adopt their BEFs and the reason for adopting the BEF,
3. Investigate the frequency and prime reasons of BEFs' review,
4. Investigate the confidence of BECs on the fundamental concepts/ core values and concepts and the categories/criteria and items/criterion parts and scoring mechanism of their BEFs, and
5. Provide a general framework for carrying out a BEF review.

2. Literature Review

A literature review was carried out to develop an understanding of the existing research on how BECs design BEFs. It was found that research is mainly focused on studying the validity (how fit are the BEFs to measure BE) and reliability (how consistent are the BEFs in measuring BE) of the two main BEFs; the EFQM Excellence Model and the MBEF.

2.1. What are BEFs?

BEFs are basically productivity (input and output) models suggesting that organisational efforts in certain areas (enablers) bring positive outcomes in certain areas (results) (Alfaro-Saiz et al., 2011).

Figure 4.1 shows the criteria of the EFQM Excellence Model (EFQM, 2020a) and Figure 4.2 of the MBEF (NIST, 2020b).



Figure 4.1: The current EFQM Excellence Model (EFQM, 2020a)



Figure 4.2: The current Baldrige Excellence Framework (NIST, 2020b)

The literature on BEFs comprises of case studies on using the BEFs which are experiences of organisations on undertaking a BE journey with the help of these BEFs (Roberts et al., 2019; Belvedere, 2018; Mesgari et al., 2017; Sekkizhar & Jagajeevan, 2016), empirical studies on

assessing their validity (Parast & Golmohammadi, 2019; Taraza & Anastasiadou, 2019), and their reliability (Anastasiadou & Taraza, 2019; Kafetzopoulos & Gotzamani, 2019).

2.2. BEF Validity

The validity of a BEF refers to the interrelationship of criteria and their implementation for success in BE (Safari et al., 2012; Jayamaha et al., 2009; Jayamaha et al., 2008). A major study carried out by Bou-Llusar et al. (2009) revealed that: a) BEFs are designed considering the social and technical dimensions of organisations; b) both these dimensions and all the criteria that these are composed of are intercorrelated; and c) results are enhanced when all these criteria or dimensions are implemented jointly. Studies carried out on the EFQM Excellence Model (Sadeh & Arumugam, 2010; Calvo-Mora, 2005) and the MBEF (Jagannathan & Jagajeevan, 2017; Meyer & Collier, 2001; Pannirselvam & Ferguson, 2001) found that their criteria are (moderately to strongly) interrelated.

2.3. BEF Reliability

The reliability of a BEF refers to its ability to consistently advance BE in organisations that use it and to accurately measure BE (Jagannathan & Jagajeevan, 2017; Calvo-Mora et al., 2015). Studies have found that organisations that use BEFs (Bagheri et al., 2019), and the organisations that have won BEAs (Lasrado & Uzbeck, 2017; Bou-Llusar et al., 2005; Curkovic et al., 2000) are higher-performing organisations than the others, and while the EFQM Excellence Model and the MBEF are found to be accurate measures of BE (Mellat-Parast, 2015; Heras-Saizarbitoria, 2012), the other BEFs that are adopted and modified versions of these BEF are found to be equally as accurate in this regard (Raharjo et al., 2015).

Flynn and Saladin (2001) attributed the validity and reliability of these two main BEFs to the regular reviews and updates of these BEFs. This was confirmed by Gómez et al. (2015), inferring that updating BEFs maintains their relevance to achieve and measure BE and promises to keep them relevant into the future and that otherwise, these BEFs are prone to become obsolete (Cook & Zhang, 2019) and less relevant to organisational challenges (Hubbard & Klute, 2011).

3. Methodology

This section provides the research methodology of this paper in four sub-sections which are; a) research paradigm, b) population and sampling, c) developing the survey and the structured interview instrument, and d) data collection and analysis.

3.1. Research Paradigm

The research paradigm of this paper is pragmatism which recognises that there can be different ways of interpreting data and undertaking research, that no single point of view can give a complete picture, and that there may be multiple realities (Bryman, 2016). Pragmatism is an outcome of culmination (or moderation) of the two completely mutually exclusive paradigms which are positivism (which is to gain knowledge through scientific methods that can be verified mathematically or logically, is objective in nature, and relies on quantitative data; Creswell, 2017) and interpretivism (which is to gain knowledge by relying on the meanings that humans attach to their actions, is subjective in nature, and relies on qualitative data; Creswell, 2017). Therefore, this paper follows a mixed-method research design comprising of a survey and follow-up structured interviews thus collecting and analysing both quantitative and qualitative data from the respondents. In term of time horizon, this is cross-sectional research which involves looking at data from a population at one specific point in time.

3.2. Population and Sample:

The first part of this research was to identify and list all the BECs worldwide and the BEFs used by them. For this purpose, research (using publicly available sources such as BEC websites and business newspapers) was conducted in 2018, which identified 65 BECs in 55 countries. Criteria were set for considering a BEC as active and including them in the list. The criteria were that the BEC must a) administer a BEF that is based on sound Total Quality Management (TQM) principles and follows the same understanding of BE as that of the GEM Council⁵. This means that awards that were named ‘excellence awards’ but did not address the core principles of BE (or did not use similar assessment methods) were excluded from this research, and b) have had held a BEA between 2016 and 2018 or had planned one for 2019. While this list was used for carrying out the research (survey and interviews), the list was later updated with January 2021 information that identified 57 countries with 74 BECs.

3.3. Developing the Survey and the Structured Interview Instrument:

The survey and structured interview instrument for this paper was developed by modifying and updating survey instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a; 2011b) and Standards Australia International (SAI)

⁵ The GEM Council is an organisation consisting of custodians of the major BEFs and national BEA bodies. These organisations provide mutual learning and opportunities for sharing best practices to public and private organisations in their specific regions. The current members of the GEM Council are Business Excellence Australia, Baldrige Performance Excellence Program (USA), China Association of Quality (China), CII-IQ (India), Dubai Government Excellence Program (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020b).

Global (Grigg & Mann, 2008). Once developed, the survey was shared with the BECs for feedback on the completeness of the survey and the clarity of the terminologies used. The feedback (received from 11 BECs) was used to refine the survey, which was shared with the GEM Council (in their annual general meeting in August 2018 in Sydney) for final approval. The final survey comprised of 12 questions out of which, 11 questions represented the objectives of this paper and whereas a 12th question asked the BECs to share their general comments about this research.

Survey and Structured Interview Questions

- 1: How has the model/ framework that your organisation promotes been developed?*
- 2: If adopted, from which model/ framework was it adopted from?*
- 3: Provide reasons for your choice of model/ framework. You may provide a detailed response below.*
- 4: If your organisation is responsible for designing its model/ framework or adopting and revising another model/ framework, when was the last time you conducted a major review of the model/ framework?*
- 5: How often do you undertake major reviews (involving your stakeholders and significant research) of your model / framework?*
- 6: If your model/ framework has changed in the last 5 years what have been the prime influencers of this change?*
- 7: In general, are you confident that the design of the business excellence model/ framework used in your country is based on sound business principles? (The EFQM Model refers to these as Fundamental Concepts and Baldrige as Core Values and Concepts)*
- 8: In general, are you confident that the business excellence model/ framework (including the categories/criteria and items/criterion parts and scoring mechanism) has been designed appropriately for assessing business excellence?*
- 9: What is the likelihood for your organisation to switch to another model/ framework or to significantly modify your existing model/ framework in the near future?*
- 10: Please outline below the normal process for model/ framework development and/or review? For example, who leads the review process (E.g. one individual, steering committee, consultants etc)? What stakeholders are involved and how are decisions made in the review process? (If this process is written down, it would be helpful if you could kindly provide a copy).*
- 11: How, in your opinion, could your review process be improved?*

3.4. Data Collection and Analysis:

After the interested BECs registered their interest to participate in the research. The survey was sent to the CEOs or members of the Board of Directors of these BECs via email. The survey was

undertaken (and submitted via email) by 29 BECs in 26 countries, out of which 13 also undertook the optional structured interview (conducted via Skype) to seek more detail in responses to the questions (especially those related to best practices) and, if required, confirm the information provided in the survey.

Two main challenges with the data validation were: a) the response bias in the perception-based questions in the survey; and b) the missing values in the data because some of the questions did not apply to the BECs, for example, not all the BECs undertake all the activities investigated in this research. To mitigate these: a) the BECs were followed up with to clarify any suspected anomalies in the data; b) publicly available sources (such as BEC websites) were used to verify the responses; c) the BECs were provided with a draft report (with analysed data and results from the survey and structured interviews) to correct their response if needed (internal validation of data), add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered; and d) averages and percentages were used based on the number of responses (*n* values) to each question (thus making the data comparable and consistent).

With regards to the qualitative data, the transcripts of the detailed responses to the qualitative questions (in the survey and structured interview) were thoroughly read to manually highlight the dominant themes in the mentioned best practices. This process was repeated several times and the themes were split and merged as the analysis developed until a set of themes and best practices that accurately represented the data were obtained.

4. Results

This section is divided into four sub-sections which are; a) BEAs and BEFs in use worldwide, b) BEF design and adoption trends, c) reviewing BEFs, and d) BECs' confidence in their BEFs. The objectives one to four of this paper are addressed in this section.

4.1. BEAs and BEFs in Use Worldwide

It was found that there are 73 active⁶ BECs in 57 countries and four regions. The four regional BECs are Africa Excellence Award (Africa), Asia Pacific Quality Organisation (Asia), EFQM Excellence Award (Europe), and Iberoamerican Excellence Award (Latin America). Another 17 BECs (in 17 countries) were found to have BE initiatives without BE awards making a total of 90 BECs in 78 countries and regions with BEAs and initiatives.

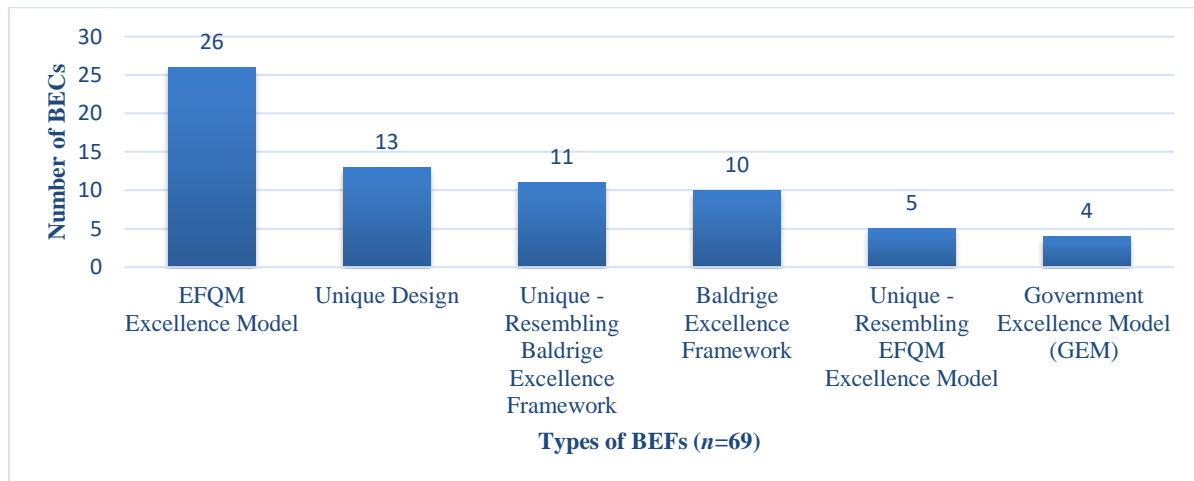


Figure 4.3: Number of BEF users around the world in 57 countries with active BECs

Figure 4.3 shows that the EFQM Excellence Model is the most popular BEF in use (adopted in original form by 37.7% BECs) and the MBEF is the second most popular (adopted in original form

⁶ A BEC was considered “active” if it had held a BEA between 2018 and 2020 or had planned one for 2021.

by 14.5% BECs). Modified versions of the MBEF are in use with more BECs (16%) than the EFQM Excellence Model (7.2% BECs).

4.2. BEF Design and Adoption Trends

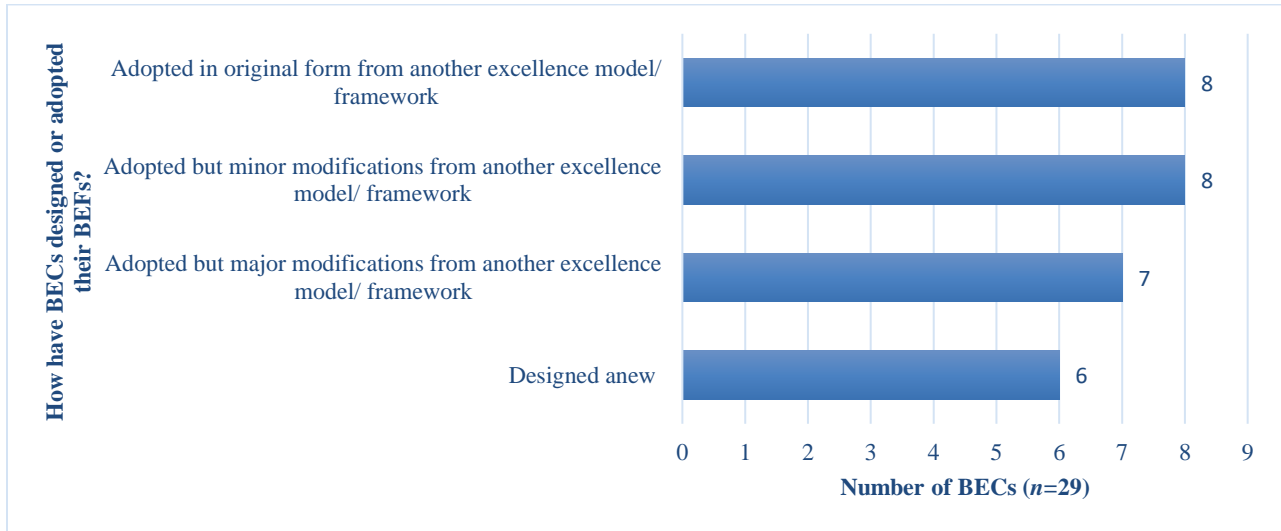


Figure 4.4: How many BECs designed and adopted their BEFs?

Figure 4.4 shows that most (23) of the BECs participating in this research adopted another BEF either in its original form (eight BECs) or by making minor (eight BECs) or major (seven BECs) changes to them. The six BECs that designed their BEFs anew are Australia, Canada, the EFQM, Mexico, the United Arab Emirates, and the United States. It was also found that all the eight BECs that reported having adopted a BEF in its original form had adopted the EFQM Excellence Model and six of them are Europe based. The eight BECs that adopted a BEF with minor changes have adopted both the EFQM Excellence Model (three BECs) and the MBEF (five BECs). The seven BECs that adopted BEFs with major modifications dominantly adopted the MBEF (five BECs).

With regards to adopting a BEF, Table 4.1 shows the list of all the BECs/ countries participating in this research that have adopted a BEF and shows the BEF that they have adopted and whether they have adopted it in its original form or with major or minor modifications.

Table 4.1: Which model/framework have the BECs adopted from and how?

BECs	BEF Adopted	Original Form	Minor Modifications	Major Modifications
<i>Argentina</i>	<i>Baldrige Excellence Framework</i>			✓
<i>Costa Rica</i>	<i>Baldrige Excellence Framework</i>			✓
<i>Czech Republic</i>	<i>EFQM Excellence Model</i>	✓		
<i>Ecuador</i>	<i>EFQM Excellence Model</i>	✓		
<i>El-Salvador</i>	<i>Baldrige Excellence Framework</i>		✓	
<i>Estonia</i>	<i>EFQM Excellence Model</i>	✓		
<i>Finland</i>	<i>EFQM Excellence Model</i>	✓		
<i>India</i>	<i>Baldrige Excellence Framework</i>		✓	
<i>Japan</i>	<i>Baldrige Excellence Framework</i>		✓	
<i>Jordan</i>	<i>EFQM Excellence Model</i>		✓	
<i>Malaysia</i>	<i>Baldrige Excellence Framework</i>			✓
<i>Netherlands</i>	<i>EFQM Excellence Model</i>			✓
<i>Peru</i>	<i>EFQM Excellence Model</i>	✓		
<i>Philippines (DAP)</i>	<i>Baldrige Excellence Framework</i>		✓	
<i>Philippines (DTI)</i>	<i>Baldrige Excellence Framework</i>		✓	
<i>Saudi Arabia</i>	<i>EFQM Excellence Model</i>			✓
<i>Scotland</i>	<i>EFQM Excellence Model</i>	✓		
<i>Singapore</i>	<i>Baldrige Excellence Framework</i>			✓
<i>Spain</i>	<i>EFQM Excellence Model</i>	✓		
<i>Sweden</i>	<i>Baldrige Excellence Framework</i>			✓
<i>United Arab Emirates DED</i>	<i>EFQM Excellence Model</i>		✓	
<i>United Arab Emirates SKEA</i>	<i>EFQM Excellence Model</i>		✓	
<i>United Kingdom</i>	<i>EFQM Excellence Model</i>	✓		

With regards to the reasons for choosing a particular BEF, it was found that BECs adopt these frameworks because: they are internationally recognized which may assist companies that use them in a particular country to conduct business with companies from other countries that are familiar with the BEF; they save resources (time and financial) that would otherwise be required

to design a BEF anew; they are perceived to be developed scientifically to cater for the needs of generic organisations regardless of which country they are based in; and they come with an existing set of instructions and guidelines. Examples of these guidelines can be seen on the websites of the MBEF (NIST, 2020c) and the EFQM Excellence Model (EFQM, 2020b).

4.3. Reviewing BEFs

Since the study was conducted between 2018 and 2019, the labels shown in Figure 4.5 represent 2018 with “this year”, 2017 with “last year”, 2016 with “2 years ago”, 2015 with “3 years ago”, 2014 with “4 years ago”, and 2013 with “5 years ago”.

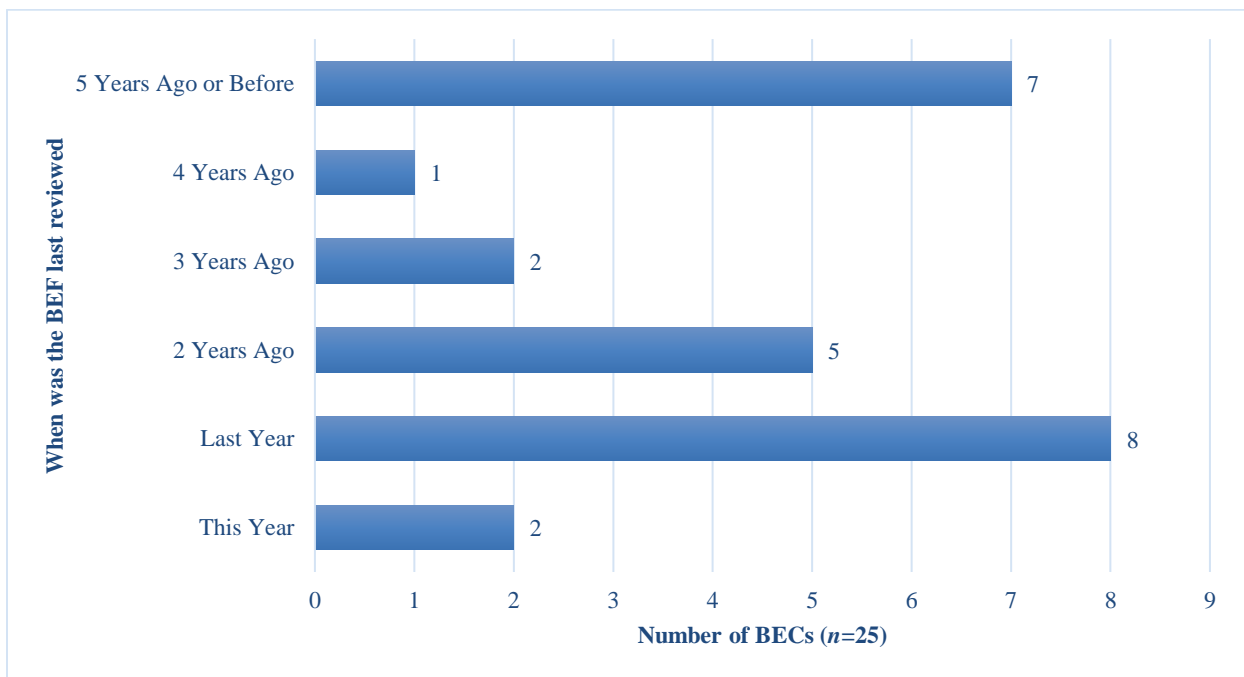


Figure 4.5: When was the last time the BECs reviewed their BEFs?

The figure shows that 68% (17) BECs reviewed their BEFs three years ago (2015) or sooner, out of which, 32% (eight) reviewed it in 2017, 20% (five) in 2016, and 8% (two) in 2015 and 2018, whereas, 32% (eight) BECs reviewed their BEFs in 2013 or before. The (23) BECs that have

adopted the MBEF or the EFQM Excellence Model in their original forms (eight BECs) or modified forms (15 BECs) also adopt the modified versions of these models when they are revised by their BECs (the Malcolm Baldrige Excellence Program and the EFQM). However, these adopting BECs make minor revisions in the BEFs such as changing the language of their BEF criteria.

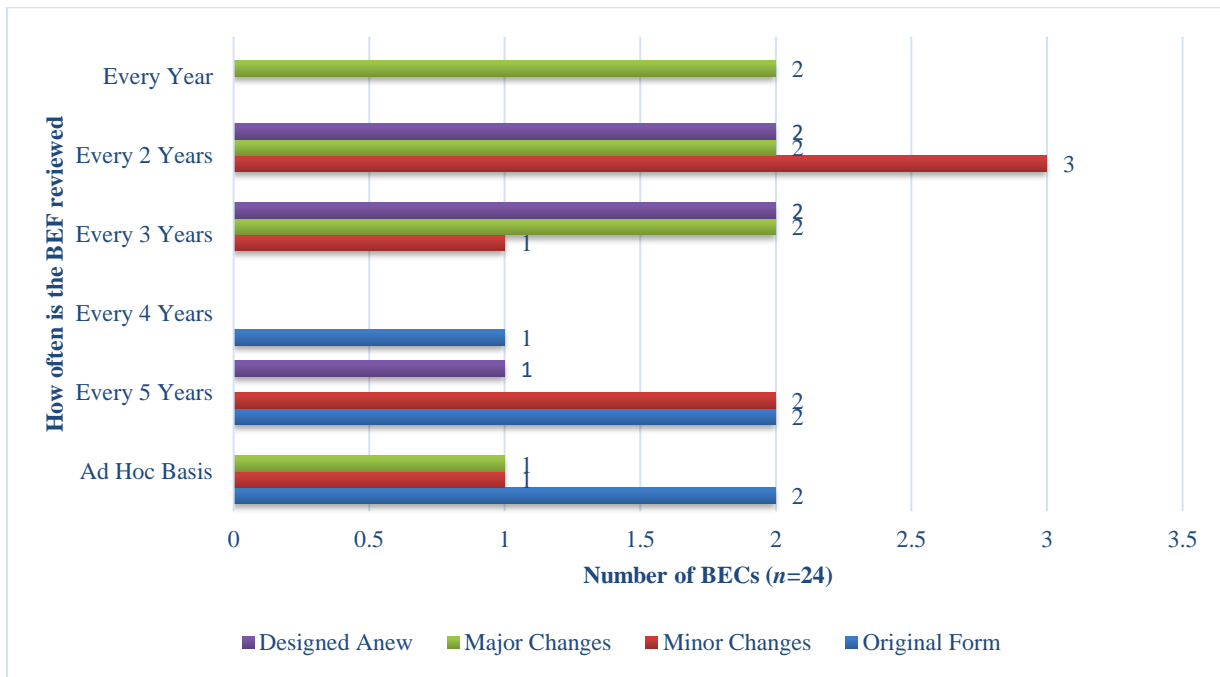


Figure 4.6: How often do the BECs review their BEF?

Figure 4.6 shows that 58.3% (14) BECs review their BEFs every three years or sooner, out of which, 29.2% (seven) review it every 2 years, 20.8% (five) every 3 years, and 8.3% (two) every year, whereas, 20.8% (five) BECs review their BEFs every 5 years, and 16.7% (four) on an ad hoc basis. The option of “ad hoc” was chosen by the BECs that revise their BEFs on a “when necessary” basis which can be more than five years.

Figure 4.6 also shows that out of the (eight) BECs that use original copies of a BEF (the EFQM Excellence Model), three did not respond to the question which is because reviewing a BEF does

not apply to them, two reported “on an ad hoc basis” which is because they adopted the latest version of the BEF after it is reviewed, and two reported “every five years”, which is how frequently the EFQM Excellence Model is reviewed. This suggests that the BECs who adopt a BEF in its original form, also adopt its reviewed versions.

Based on the information provided by BECs in this research, two review processes are recreated below showing the processes of the BPEP as an example of reviewing a BEF on a continuous basis and the King Abdullah II Center for Excellence (Jordan) as an example of reviewing a BEF after an award round.

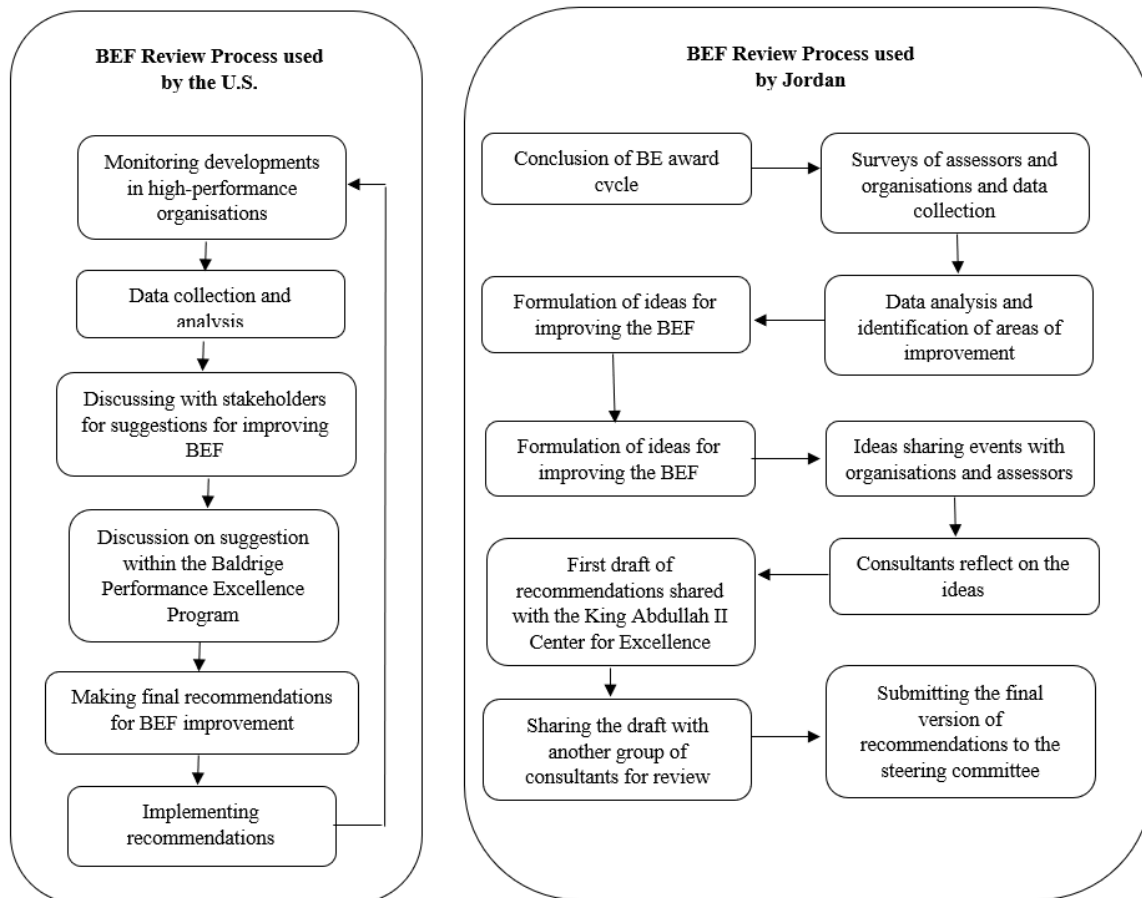


Figure 4.7: The review processes of the Baldrige Performance Excellence Program (U.S.) and the King Abdullah II Centre for Excellence (Jordan)

The BECs were asked to rate the importance (high, medium, or low) of nine influencers (shown in Table 4.2) in reviewing BEFs. For comparison, each influencer was allocated three points for a high importance rating, two points for a medium importance rating, and one point for a low importance rating. These points were then added to get a global score for each influencer. The global average was calculated by dividing the global score by the number of responses to this question ($n=24$).

Table 4.2: What are the prime influencers of change in BEFs?

Influencer	Global Score (Out of 87)	Global Average ($n=24$)
Changing Megatrends	67	2.8
Views of Client Organisations	56	2.3
Views of Assessors	49	2
Declining interest in the BE model	45	1.9
Changes in other BE models	40	1.7
Influence of Government	32	1.3
Academic Research	28	1.2
Influence of Sponsors	25	1
Research or influence of consulting companies	24	1

It was found that “changing megatrends” is the most important influencer in reviewing BEFs with a global average of 2.8 whereas “research or influence of consulting companies” is the least important influence with a global average of 1.

4.4. BECs' Confidence in their BEFs

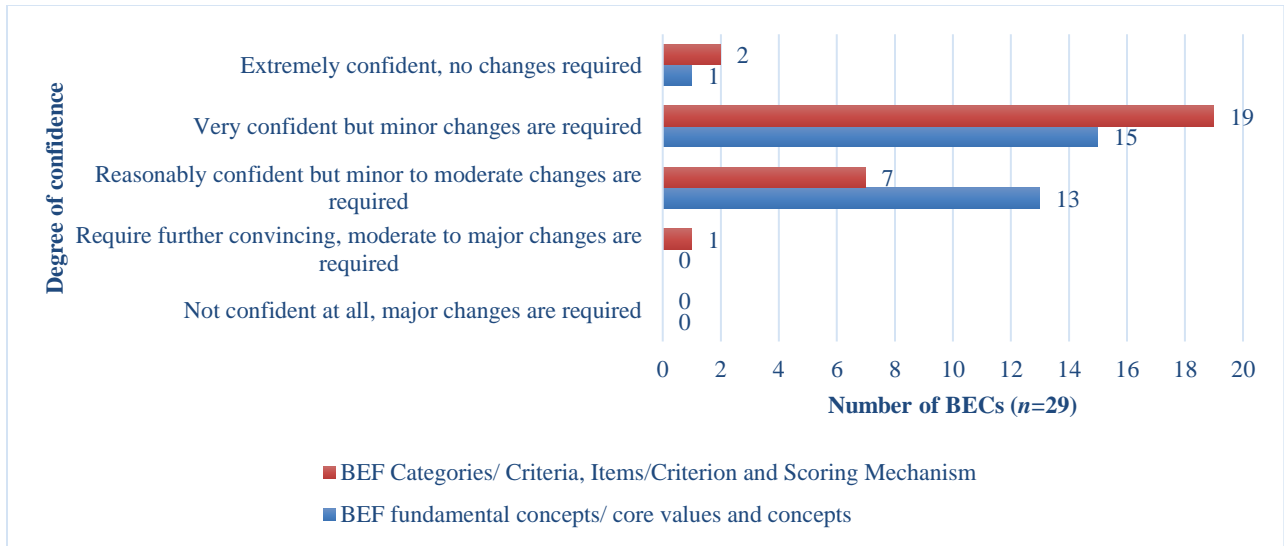


Figure 4.8: Number of BECs in terms of their confidence in BEF fundamental concepts/ core values and concepts and BEF categories/ criteria, items/ criterion and scoring mechanism

Figure 4.8 shows that 51.7% (15) BECs are very confident in the fundamental concepts/ core values and concepts of their BEFs with minor changes required in them, 44.8% (13) are reasonably confident with minor to moderate changes required in them, and 3.4% (one) is extremely confident suggesting no change is required. Similarly, 65.5% (19) BECs are very confident in the categories/ criteria and items/ criterion and scoring mechanism of their BEFs with minor changes required, 24% (seven BECs) are reasonably confident with minor to moderate changes, 6.8% (two BECs) are extremely confident with no changes required and 3.4% (one BEC) requires further convincing and suggest that the framework needs moderate to major changes.

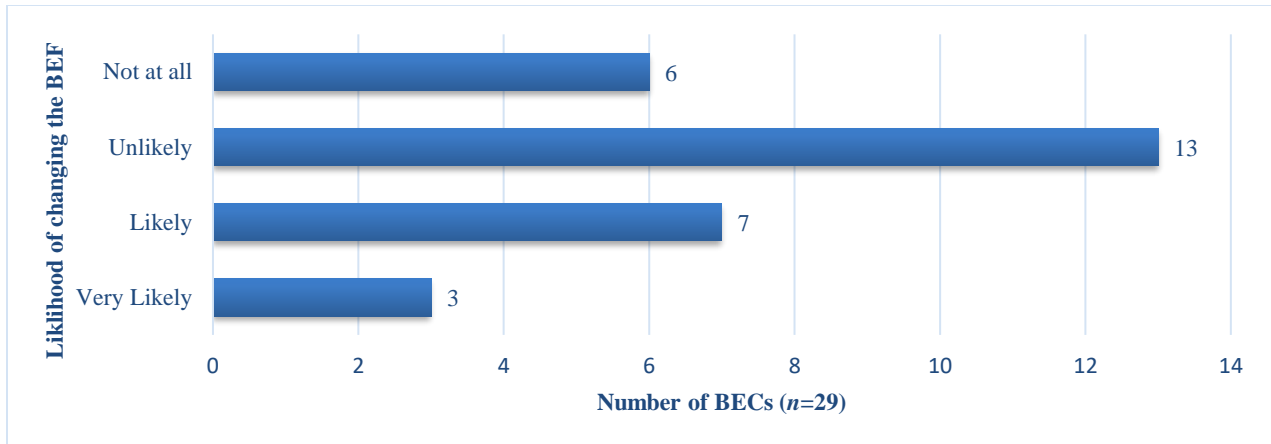


Figure 4.9: Likelihood of switching or significantly changing the BEF

Figure 4.9 shows that most 65.5% (19) BECs are unlikely (13 BECs) or not at all (six BECs) going to change their BEFs, whereas, 24.1% (seven BECs) are likely, and 10.3% (three BECs) are very likely to change their BEFs.

5. Discussion and Recommendations

The previous section shared the survey results by identifying the BEAs and BEFs in use worldwide, the BEF design and adoption trends, BEF review trends, and the BECs' confidence levels in their BEFs. This section will discuss the implications of these findings and provide a general framework for BEF review developed based on the best practices reported in this research. The objective five of this paper is addressed in this section.

5.1. Number of BEF User Countries:

It was found that the number of BEF user countries has slightly decreased over the last five years. The research found that there are 57 countries with 69 active BEAs as of January 2021 compared to the prior research in May 2018 which found that there were 55 countries with 73 active BEAs (held between 2016 and 2018 or planned for 2019). Before that, in the year 2015, there were 89

BECs in 61 countries with active BEAs (BPIR, 2015). The number of countries with active BEAs has slightly increased (by two countries) since 2018. However, these numbers will continue to change in the future as new BECs may hold BEAs and join the list and some of the existing BECs stop holding BEAs and make it out of the list. An example of a BEC that will not be active is Enterprise Singapore (ES) that has decided to ‘sunset’ and discontinue its operations from November 2020. The reason provided for this was that the ES had met its objectives (Enterprise Singapore, 2020). However, it can be argued that; a) the understanding of BE in Singapore might be lost because of this and b) due to the absence of role model organisations it will be difficult to educate or help organisations to achieve success. The reason for a potential decline in the number of BEAs may be found in the investigation of Cook and Zhang (2019) who have studied the decline in the use of the MBEF, which is the pioneer and amongst the most widely recognised BEF. Their research suggests that the decline in the use of the MBEF in particular and BEFs in general is because the BEFs are reaching the end of their management fashion life cycle (the stages in this life cycle are; introduction, rise, peak, decline, and obsolescence). Since organisations are not as readily excited to undertake a BE journey as they were in the late 1980s and the early 1990s which is when the use of the MBEF was at its peak (Cook & Zhang, 2019), the implication for BECs is that they require more effort than before to attract attention and interest of organisations in using BEFs.

5.2. The Most Popularly Adopted BEFs

The EFQM Excellence Model and the MBEF were found to be the most popularly adopted BEFs with 13 and 10 adopters (amongst the BECs that participated in this study) respectively. To restate the popularity of the EFQM Excellence Model and the MBEF, it was found that of all the BECs around the world, 39.4% are using original or modified versions of the EFQM, and 31% of the

MBEF. In practice, not only are these well-known BEFs, but the organisations governing them (NIST and the EFQM) are global BE communities that support organisations that use these models and the BECs that disseminate them in their countries through instructions on how to facilitate organisations in using the frameworks (NIST, 2020b), and how to train individuals to become BE experts and BE assessors (EFQM, 2020b).

5.3. BEF Review Frequency

It was found that while 58% of the BECs review their BEFs every 3 years or sooner, the remaining 42% do not review their BEFs for four or more years. These numbers include the BECs that have adopted existing BEFs and are hence not necessarily responsible for reviewing BEFs. Regardless, there is an opportunity for some BECs to make their frameworks more up-to-date by increasing the frequency of their review. Not keeping the BEFs updated can have implications in the form of BEFs losing relevance for organisations and a decline in the membership of BECs as organisations will not be as interested in using the BEFs. However, reviewing a BEF thoroughly is a major and complex project for BECs that may be resource constrained. Therefore, it may be recommended to follow a balanced approach that instead of making drastic changes to BEFs after prolonged periods, BECs should carry out more frequent (quarterly or half-yearly) minor reviews in which small changes are made to the framework based on stakeholders' (assessors, BE judges, and client organisations) feedback and a more rigorous review once in three years (which is the average time for BECs to review their BEFs) in which significant changes are made based on changing megatrends and global challenges. The minor changes can be improving the language of instructions and minor restructuring of the BEF, whereas, the major changes can be adding, removing, or rearranging BEF criteria. This recommendation, however, is directed more towards the BECs that have designed their BEFs anew.

An implication for the BECs that have adopted BEFs (especially those that have adopted the BEFs in their original form) is that they are dependent on the pioneer BECs (the EFQM and the BPEP) for the BEF review. However, it was found that adopting BECs collaborate with the BECs that they have adopted from in reviewing the adopted BEFs. For example, while the EFQM Excellence Model is revised by the EFQM, the adopting BECs helped the EFQM in the review process by collecting data from their respective countries and providing feedback to the EFQM, resultantly, the EFQM relaunched its new framework at the end of 2019 by revising it significantly. The basic structure of the new framework was completely changed and the purpose of doing so was to inspire the leaders of client organisations to create a culture that is committed to driving performance while remaining agile and adaptive to the future (EFQM, 2020).

5.4. The Most Important Influence on Reviewing BEFs

It was found that “changing megatrends” is the most important influencer on reviewing BEFs. There are six widely understood megatrends which according to the World Economic Forum are: a) an increasing number of educated and skilled individuals; b) rapid urbanization implying that an ever-increasing percentage of the world population is moving to live in the cities; c) climate change and scarcity of resources implying increasing pressure on natural resources because of the increasing population; d) shift in global economic power implying the recession of once rapidly growing economies; e) demographic and social change implying population increase at an accelerated rate with longer life expectancies; and f) technological breakthroughs implying rapid changes in tools and intelligent resources for delivering services and experiences including industry 4.0 such as the Internet of Things, Big Data, Interconnectivity, and 3D printing which optimizes the computerization of industry 3.0 (Forbes, 2018) (Weforum, 2017). All these

megatrends are continuously affecting organisations by reshaping the business environment, thus driving BECs to bring changes to their BEFs.

5.5. BECs' Confidence on their BEFs

The study found that the BECs are highly confident of their BEFs' fundamental concepts/ core values and concepts and their categories/ criteria, items/ criterion, and scoring mechanism, with 100% and 96.5% BECs perceiving moderate to extreme confidence in them, respectively. This suggests that the BECs consider their BEFs as accurate measures for BE, which confirms the studies (Parast & Golmohammadi, 2019; Miller & Parast, 2019; Menezes et al., 2018; Liu & Ko, 2018; Farris, 2017; van Schoten, 2016; Jayamaha et al., 2009; Jayamaha et al., 2008) that found these BEFs' usefulness and relevance to measuring BE.

Being the two widely adopted BEFs, it is substantial to compare the confidence levels among the BECs that have adopted the EFQM Model and the MBEF. It was found that the adopters of these BEFs have the same level of confidence in the design of these BEFs. The confidence in the BEF fundamental concepts/ core values and concepts is 3.5 for the EFQM Excellence Model and 3.7 for the MBEF (where 3 represents reasonably confident and 4 represents very confident), and in the categories/ criteria, items/criterion parts, and scoring mechanisms of these BEFs is 3.8 for the EFQM Model and 3.7 for the MBEF. The confidence levels in the MBEF may be because of the more frequent (once every two years) review which a) incorporates changes recommended by (among other stakeholders mentioned before) organisations that use BE and b) would have the adopting organisations perceive it as a more recent and up-to-date BEF.

However, it is interesting that the EFQM Model which is revised once every five years (and was last reviewed in 2013, because this study was conducted in 2018-2019 before the latest review of

the EFQM Model in 2019), compared to the MBEF which is revised every two years, has similar confidence levels among its adopting BECs as the MBEF. The confidence levels in the EFQM Model may be an indicator of the adopting BECs' trust in the foundations of the model and the perception among the adopting BECs that the model does not need to change regularly. The recent (and radical) change of the EFQM Excellence Model in 2019, however, was done partly to provide it with a fresh look and to make it a more usable management tool. This does not mean that the previous version was scrapped completely, and it is still in use with BECs such as Greece and the UAE (SKEA). It was explained by the EFQM (Longmuir, 2020) that the EFQM Model has been changed from a more rigid and restricting "boxed" nature to a "circular" nature, for example, one box that referred to "customers" was changed to "stakeholders" thus allowing the organisations flexibility to determine their own most important stakeholder such as suppliers or shareholders.

5.6. A General Framework for BEF review

BECs reported their best practices in designing BEFs. A qualitative analysis was carried out on this data that has been explained in the methodology section.

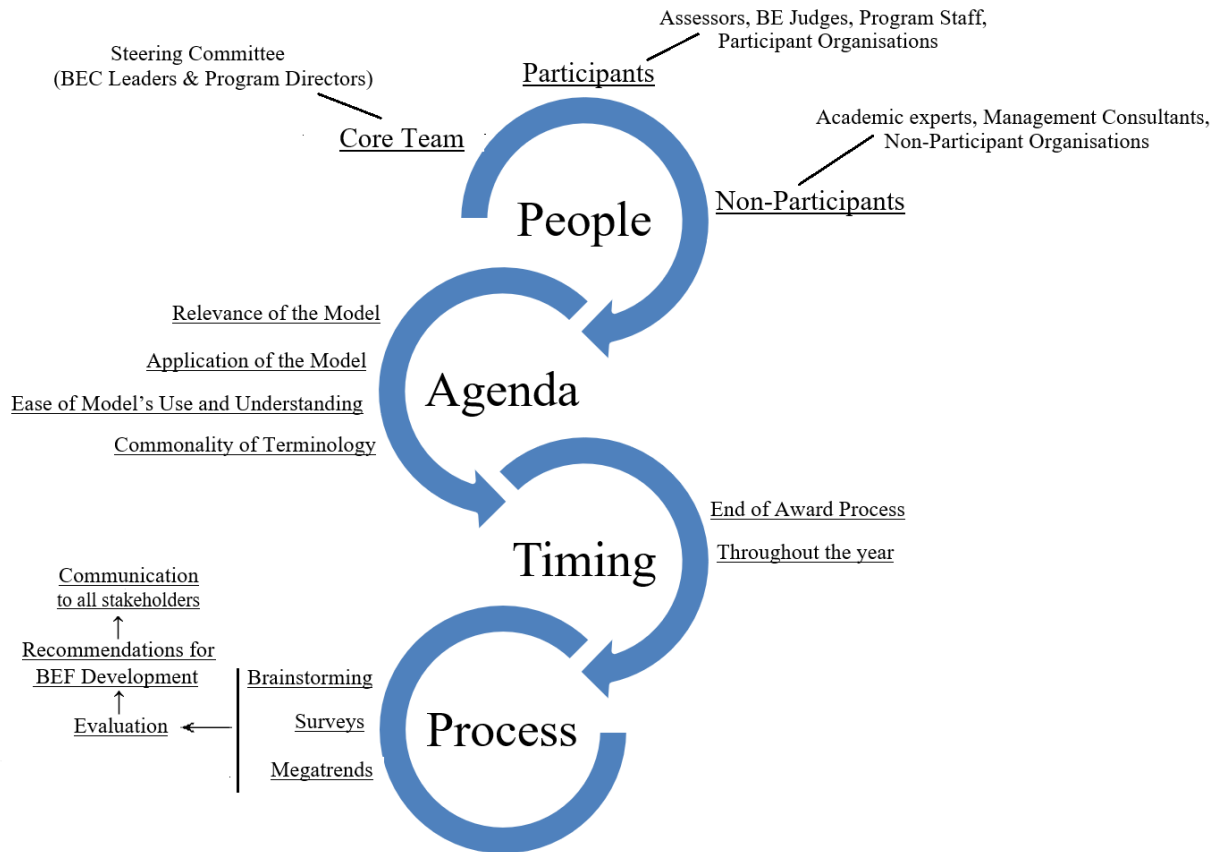


Figure 4.10: Key components in reviewing BEFs from the best practices provided by the BECs

Figure 4.10 provides a general framework for BEF review which includes four key components for reviewing a BEF. These components are: a) people (who are involved in the review process); b) agenda (what aspects of a BEF need to be reviewed); c) timing (when is the review process carried out), and d) process (how will the review be carried out). Each of the components are further broken down into more actionable and specified elements. These elements in the “people” component are represented by the three groups of people involved in the review process which are; a) a core team comprising of the top leadership of the BEC, b) BE experts that are directly involved in the BEA process (BE assessors, judges, BEC program staff, and organisations that participated in the BEAs), and c) BE experts that are not directly involved in the BEA process (BE

academic experts, management consultants, and organisations that did not participate in the BEAs that can provide inputs regarding their non-participation that may help BECs to increase BEA participation). Similarly, the elements of the “agenda” component are represented by four key aspects of the BEF that are considered when reviewing a BEF which are; a) whether the BEF addresses the current issues faced by the user organisations, b) whether the BEF is practically implementable for organisations, c) whether the BEF is easy for organisations to understand in terms of its use, and d) whether the terminologies used in the BEF are standardised for organisations from different countries. The elements of the “time” component are represented by two options that BECs can take for reviewing their BEFs which are; a) reviewing the BEF after an award cycle based on the experience and learning made during this process, and b) continuously updating the BEF by incorporating BE expert feedback (brainstorming sessions) or based on changing megatrends. Lastly, the elements of the “process” component are represented by three methods of BEF review which are; a) assessing the changing megatrends that may have become relevant for organisations, b) surveying the BE user organisations for feedback on the BEF’s design, and c) carrying out brainstorming sessions of BE experts and practitioners mentioned in the “people”. After evaluating the information collected from all three methods, a set of recommendations is produced for developing the BEF by the program staff of the BEC. These recommendations are approved by the top leadership of the BEC and the resultant change in the BEF is subsequently communicated to the organisations and individuals involved in using the BEF.

6. Conclusion

This study has identified how many BECs there are in the world and what types of BEFs they are using, how BECs design, develop, and modify their BEFs, and what are their best practices. By

doing so, the study has filled the gap in the literature that focused mainly on discussing the design and composition of BEFs, the relationship between their criteria, and how they are being used.

It was found that a) the number of countries actively holding BEAs has decreased from 61 in 2015 to 57 in 2021, b) most BECs adopt existing BEFs instead of designing their own; c) BECs are highly confident in the “fundamental concepts/ core values and concepts” and the “categories/ criteria, items/ criterion, and scoring mechanism” of their BEFs; and d) the EFQM Excellence Model continues to be the most popularly adopted BEF, and the BECs that have adopted a BEF (especially in its original form) also adopt its revised version. The key recommendation for improvement made in the study is around a general framework for reviewing a BEF. The research found that while BECs are confident in the design of their BEFs, there are now fewer BEAs, and interest in BE is potentially declining. The EFQM Excellence Model has been redesigned to interest more organisations in using the model, however, there may be other issues that need to be researched for BECs to address to increase awareness and usage of BE.

This research could be improved by having a higher number of participant BECs and countries from all the continents, a higher number of structured interviews for more (detailed) best practices, and for the future, this research can be carried out periodically, for instance after every two years to track the progress of the BECs in terms of designing, developing, and modifying BEFs globally. Additionally, this research can be improved in the future through triangulation of results by collecting data from organisations that are using BEFs in different countries and BE assessors to compare these responses with the responses of the BECs regarding the design and review of their BEFs.

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4.2. Chapter Highlights

This chapter aimed to investigate how the Business Excellence (BE) Custodians (BECs) design and develop their BE Frameworks (BEFs). This aim was achieved by meeting five objectives that were: identifying the number of BE Awards (BEAs) worldwide; investigating the BEF adoption trends; revision frequencies; BECs' confidence in their BEF; and providing a framework for reviewing a BEF.

There are 73 active BECs in 57 countries and four regions. And while the number of active BECs has sustained, the interest and participation in the BE Awards (BEAs), particularly the pioneer BEAs (Baldrige and EFQM) has decreased with time.

BEF use and adoption trends show that most (23 of 29) BECs have adopted an existing BEF with the Baldrige Excellence Framework and the EFQM Excellence Model being the most popularly adopted. The six BECs that have designed a BEF anew are Australia, Canada, the EFQM, Mexico, the United Arab Emirates, and the United States. Trends also showed that the EFQM Excellence Model is more popular among the BECs that have adopted a BEF in original form while Baldrige Excellence Framework is more popular among BECs that have made major or minor changes to their adopted BEF. The reason why a majority of BECs opted to adopt an existing BEF is because these BEFs are internationally recognised, save resources that would otherwise be needed to design a new framework, are perceived to be scientifically developed, and come with an existing set of user instructions and guidelines.

BEF revision trends show that most (68%) BECs revised their BEFs three years ago (2015) or sooner, and changing megatrends are the most important influencers for BEF revision. While the BEFs are moderately up to date, there is an opportunity for some BECs to make their BEFs more up to date by increasing their BEF review frequency. As pointed out before that a majority of BECs

adopt a BEF, these BECs also adopt the revisions made to these BEFs (especially the BECs that adopted the BEFs in their original form).

BEF design satisfaction trends shows that BECs are highly confident in the fundamental concepts/ core values and concepts and categories/ criteria, items/ criterion, and scoring mechanisms of their BEFs. The designers and adopters of the Baldrige Excellence Framework reported a slightly higher satisfaction (3.7 out of 5 on satisfaction scale) with its design than those of the EFQM Excellence Model (3.5 out of 5).

The BEF review framework recommended in this chapter comprises of people (who are involved in the review process); agenda (what aspects of a BEF need to be reviewed); timing (when is the review process carried out), and process (how will the review be carried out).



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STATEMENT OF CONTRIBUTION DOCTORATE WITH PUBLICATIONS/MANUSCRIPTS

We, the candidate and the candidate's Primary Supervisor, certify that all co-authors have consented to their work being included in the thesis and they have accepted the candidate's contribution as indicated below in the *Statement of Originality*.

Name of candidate:	Saad Ghafoor
Name/title of Primary Supervisor:	Dr. Robin .S. Mann
In which chapter is the manuscript /published work:	4
Please select one of the following three options:	
<input type="radio"/> The manuscript/published work is published or in press <ul style="list-style-type: none"> • Please provide the full reference of the Research Output: 	
<input checked="" type="radio"/> The manuscript is currently under review for publication – please indicate: <ul style="list-style-type: none"> • The name of the journal: Measuring Business Excellence • The percentage of the manuscript/published work that was contributed by the candidate: 80.00 • Describe the contribution that the candidate has made to the manuscript/published work: This is the candidate's work but has been guided by the supervisors. 	
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Candidate's Signature:	Saad Ghafoor <small>Digitally signed by Saad Ghafoor Date: 2021.04.28 13:17:28 +12'00'</small>
Date:	28-Apr-2021
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Date:	30-Apr-2021

This form should appear at the end of each thesis chapter/section/appendix submitted as a manuscript/ publication or collected as an appendix at the end of the thesis.

CHAPTER 5: PROMOTING BUSINESS EXCELLENCE

5.1. About the Chapter

This chapter aims to investigate the current state of Business Excellence (BE) awareness and best practices in BE promotion by BE Custodians (BECs). BE awareness refers to the percentage of organisations aware of what BE is and what services are offered by their country's/ region's BEC, whereas BE promotion refers to the act of raising the awareness of BE by a BEC.

BE usage in a country/ region is an outcome of BE awareness raised by the BE promotional efforts of that country's/ region's BEC. Studying BE awareness and promotion is important because to foster a culture of BE in a country/ region, organisations need to be made aware of: a) what BE is and how it benefits them; and b) the BEF being promoted in their country/ region. For the BECs to effectively promote BE in their countries/ regions, they can learn from each other's best practices shared in this chapter.

Following the same methodology as the previous chapter (4), of the 46 questions in the thesis survey, nine questions covered the objectives of this chapter.

The key literature on this topic comprises of studies focused on BE awareness levels identifying the percentage of organisations estimated or presumed to be aware of BE (Saunders et al., 2008; Hamilton, 2003; NEDLAC, 2001). The literature review also comprises studies on practices and activities for promoting the use of BE (Tickle et al., 2016; Lin et al., 2013; Bolboli & Reiche; 2013; Mohammad et al., 2011; Mann et al., 2011a; 2011b; Morača, 2017; Grigg & Mann, 2008; Silva et al., 2008; Terziovski, 2003; Hill & Freedman, 1992).

The present study is unique and adds value to the existing knowledge on BE awareness and promotion by collecting data directly from the BECs on what percentage of their country's/region's organisations do they perceive to be aware of BE, and what activities do they perform to raise these awareness levels and to what effect.

This chapter was produced as a peer-reviewed journal article and is yet to be submitted to a journal.

Raising the Awareness of Business Excellence on a National Level

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This paper aims to investigate how Business Excellence (BE) Custodians (BECs) promote the use of BE Frameworks (BEFs) in their countries or regions. The BE promotion and awareness literature acknowledges several activities that have been used for promoting the use of BE, a few studies on BE awareness, and BE Award (BEA) participation data. This paper adds to the BE literature, an understanding of the current state of BE awareness worldwide and the strengths and opportunities for improvement of BECs. It helps BE practitioners to improve BE awareness through mutual learning from the best practices of global BECs. As part of a wider study on BE, the data were collected from 29 BECs in 26 countries with the help of a survey, while 13 BECs also self-volunteered to participate in the optional structured interviews. While the overall survey comprised 68 questions, nine questions related to the objectives of this paper. It was found that “marketing of BE to CEO’s/senior managers/ board of directors” is the highest impact activity as well as the most important activity to improve, “encouraging schools to promote and teach BE to their pupils” is the lowest self-rated activity, and 11-20% of CEOs and organisational heads are aware of BE, on average. This paper provides recommendations for improving the most important, highest impact, and lowest self-rating activities as well as to raise overall BE awareness levels.

Keywords: Business excellence, business excellence promotion, business excellence frameworks, business excellence models, business excellence awareness levels.

1. Introduction:

This paper investigates how Business Excellence (BE) Custodians⁷ (BECs) promote the use of BE Frameworks (BEFs) within their countries and regions. Its focus is on investigating the activities that: a) are the most important to focus on/ improve for the next few years; b) have the highest impact in effectively promoting BE uptake; and c) BECs rate their performance the lowest in.

1.1. Background

The research within this paper is part of a wider, global study on BE undertaken from 2018 to 2019. The wider study investigated the status of, and best practices in: BEF design; BE deployment (of which BE promotion is one part); BE support; and BE impact measurement. The research had the support of the Global Excellence Model (GEM) Council, an organisation consisting of custodians of the major BEFs and national BE award (BEA) bodies. The current members of the Council are Business Excellence Australia, Baldrige Performance Excellence Program (BPEP) (USA), China Association of Quality (China), CII-IQ (India), Dubai Government Excellence Program (DGEP) (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020).

A review of the BE literature revealed that its landscape is dominated by studies on BEFs' design. It is focused mainly on the design, validity, and reliability of the most popularly used BEFs (Ghafoor et al., 2021), and the Malcolm Baldrige Excellence Framework (MBEF) and the EFQM Excellence Model feature most prominently (Ghafoor et al., 2020). However, the design of a BEF

⁷ BECs are organisations that are responsible for a range of activities such as designing BEFs and deploying (promoting, facilitating, and awarding) BE in their countries (Grigg & Mann, 2008).

does not guarantee the advancement of BE culture within a country. To foster a culture of BE in a country/ region, it is of utmost importance that organisations are made aware of: a) what BE is and how it benefits them; and b) the BEF being promoted in their country/ region. This necessitates developing an understanding of the current state of and best practices in promoting the use of BE by BECs in their country/ region; which is what this paper aims to achieve.

1.2. Structure of the Paper

Figure 5.1 shows the structure of the paper for easier navigation and reference.

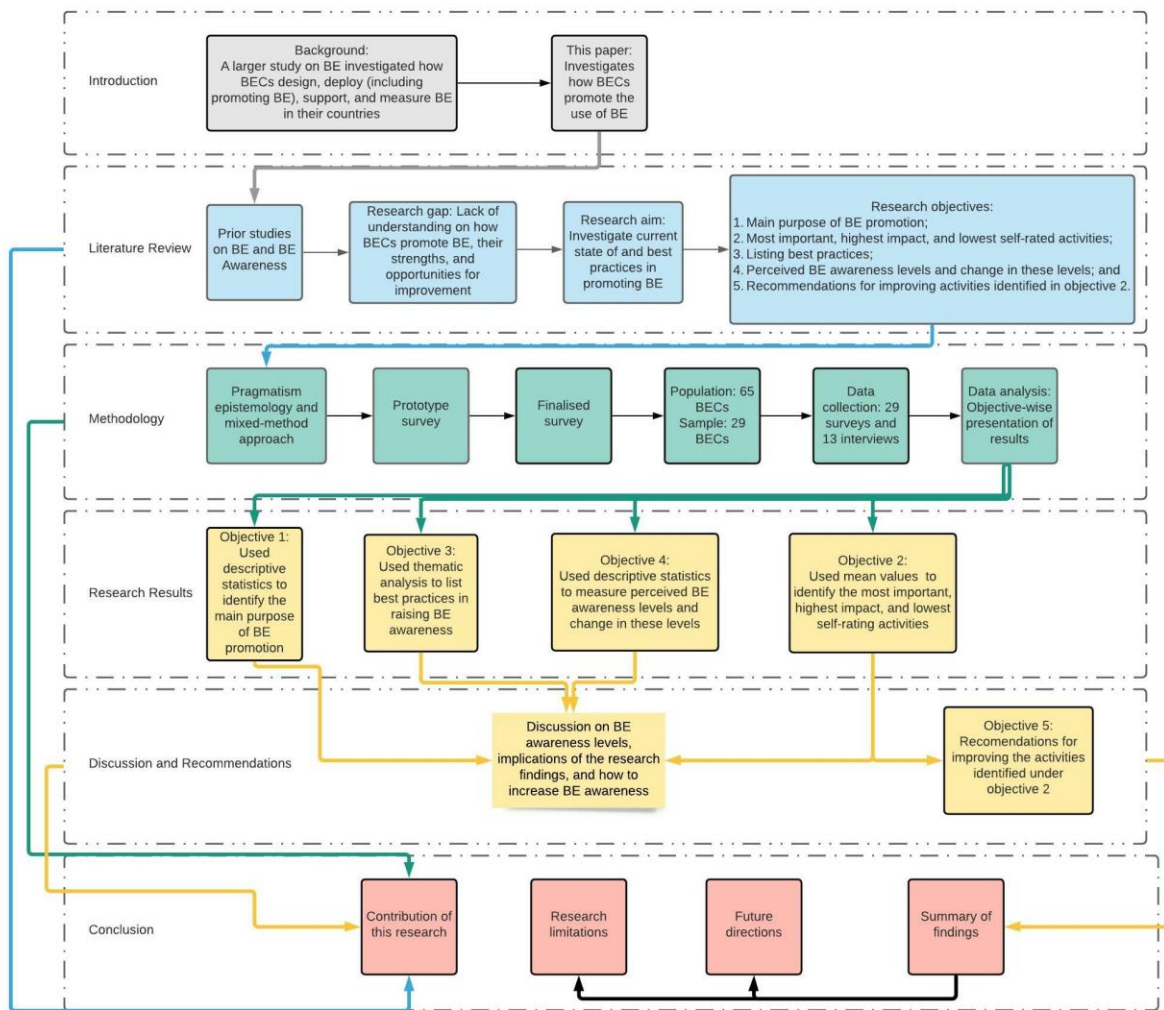


Figure 5.1: Structure of the paper

2. Literature Review

A literature review was carried out to develop an understanding of prior research on BE promotion and awareness on a national/ regional level. Figure 5.2 shows the structure and findings of this literature review.

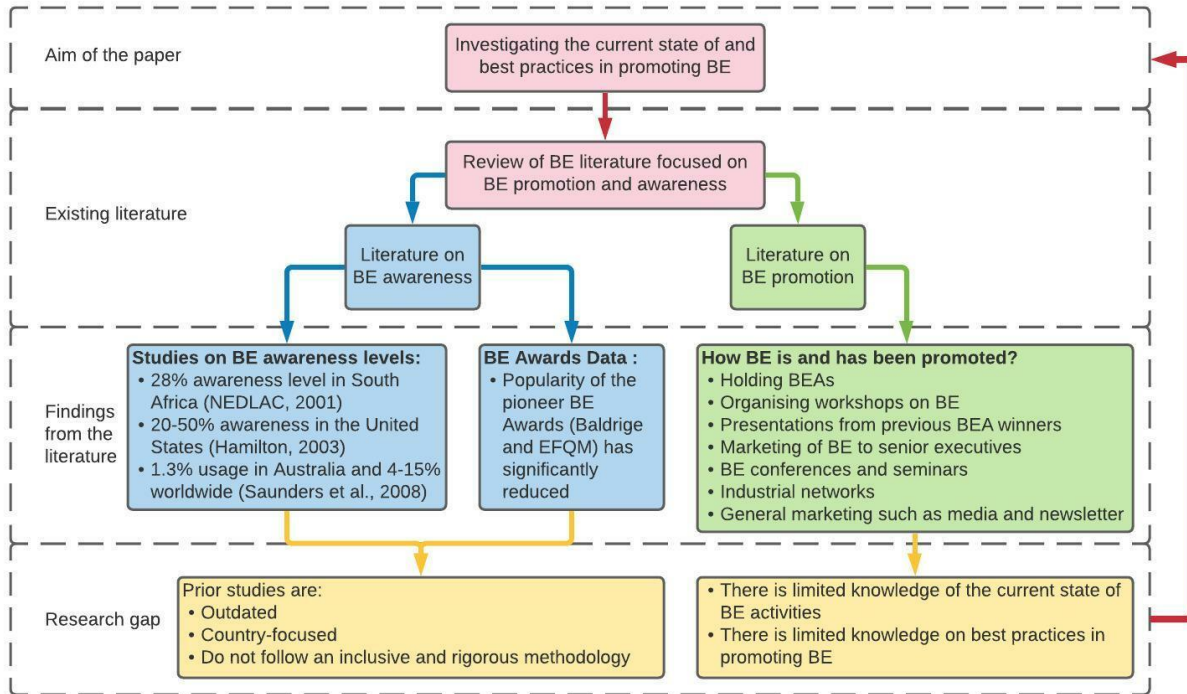


Figure 5.2: Structure of the literature review

2.1a. Studies on BE awareness:

A review of BE literature shows that few studies have been carried out to measure BE awareness. The study of the South African National Economic Development and Labour Council (NEDLAC) found that 72% of the country’s organisations had “low” or “very low” awareness of the South African Excellence Foundation (SAEF) (NEDLAC, 2001). While this does not directly measure BE awareness in the country, it suggests that assuming all organisations with moderate to high

awareness of the BE initiative in their country (the SAEF) were also aware of what BE is, no more than 28% of the country's organisations were likely to have been aware of BE.

The study from Hamilton (2003) on BE awareness levels in the United States found that more than 70% of the fortune 1000 organisational leaders were likely to use the Malcolm Baldrige Excellence Framework (MBEF), and the leaders of 50% to 80% of small organisations and organisations in the education and healthcare sectors had little or no familiarity with the MBEF, indicating that 20% to 50% were aware of the MBEF.

An inspection of the methodologies of these studies revealed the shortcomings in their design and generalisability. The South African study did not measure the level of BE awareness directly, therefore, while the BE awareness is almost certainly below 28%, it is not certain as to how much. Similarly, the study of Hamilton (2003) was focused on assessing leadership attitudes towards the Baldrige Program and surveyed the organisations that were likely to have already been using the MBEF or had interacted with the Baldrige Program. Its sample comprised of interviewing 26 Malcolm Baldrige National Quality Award (MBNQA) recipient organisations and surveying 213 NIST's Quest for Excellence Conference participants (Hamilton, 2003). Therefore, the sample of this research may not be generalisable across the U.S.

Addressing these design and generalisability issues, the study of Saunders et al. (2008) when investigating BE awareness levels in Australia used a sampling system that was a better representative of the general population. The methodology involved: a) surveying CEOs of 305 randomly selected organisations in Australia; b) representing all eight Australian states approximately equally; c) representing the public, private, and not-for-profit organisations proportionately; and d) representing organisational size profiles approximately equally. This study found that only 1.3% of the Australian organisations were using the Australian Business

Excellence Framework (ABEF) and between 4% and 15% of the global organisations were using a BEF. This study also found that out of 16 countries studied, only two countries had a formal BE awareness measurement system. Clearly, by using a methodology that is more generalisable and better suited for measuring BE awareness levels, the findings suggest much lower BE awareness levels in contrast to the previous two studies.

These studies were carried out in or before 2005 which questions their relevance to the present day, and except for Saunders et al., (2008), these were not global studies on BE awareness. This signifies the need for research on what the current levels of BE awareness are worldwide.

2.1b. Estimating BE awareness using BEA data:

Due to the scarcity of studies on measuring BE awareness, the BEA participation data was used to estimate BE awareness. Because BEAs are highly useful in promoting the use of BE (Grigg & Mann, 2008), higher participation levels in BEAs may be considered synonymous with higher BE awareness levels. This data will also show whether the participation in BEAs is increasing or decreasing that would indicate whether the BE awareness is increasing or decreasing. According to Ghafoor and Mann (2021), there are 69 active BEAs in 57 countries, and since all these BEAs cannot be examined in this literature review, only the pioneer BEAs; the Baldrige Award and the EFQM Award will be examined.

Figure 5.3 shows the number of Baldrige Award applicants by year. It shows that these numbers were much higher (97, 106, and 90) in the early years (1990, 1991, and 1992, respectively) and have dropped down significantly in the present day (to 27, 26, and 20 in the years 2018, 2019, and 2020, respectively; NIST, 2020).

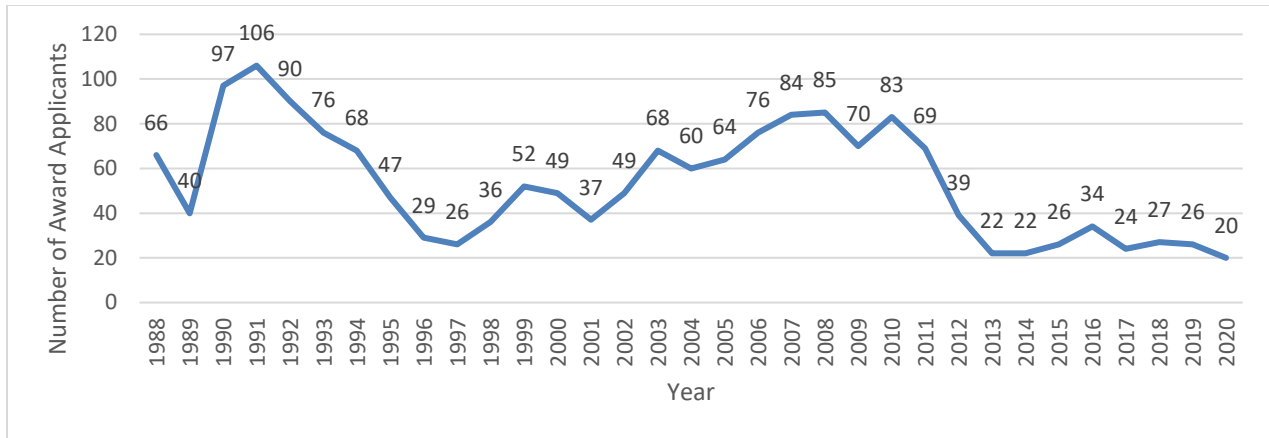


Figure 5.3: Number of Baldrige Award participants from 1988 to 2020 (Source: NIST, 2020)

The EFQM Quality Award saw a similar popularity rise in its early years where after its first round in 1992, it grew to a membership of 300 organisations at the beginning of 1994 (Ghobadian & Woo, 1996). The current membership base is 347 organisations (EFQM, 2021), an increase of 47 organisations over 27 years after 300 organisations joining only in the first two years.

Based on this data, it is evident that the popularity of these pioneer awards has significantly decreased from when they were first introduced, and this is likely to have negatively impacted the BE awareness levels.

2.2. How BECs promote the use of BE

The literature acknowledges the importance of several BE promotion activities for increasing BE awareness levels. Prior research has found that BEAs are highly useful instruments for raising BE awareness and creating excitement in a country’s organisations to undertake a BE journey (Lin et al., 2013; Mohammad et al., 2011; Mann et al., 2011a; 2011b; Mavroidis et al., 2007; Miguel, 2001; Xie, 1998). Prior research also supports that organising workshops on educating executives of potential BE user organisations assists in raising BE awareness (Tickle et al., 2016; Bolboli & Reiche; 2013; Mann et al., 2010; Oakland et al., 2002; Shergold & Reed, 1996).

Mann et al. (2011b) found that organising presentations by previous BEA winners (Hill & Freedman, 1992) and marketing of BE to senior executives (Hewitt, 1997) are highly effective BE promotional activities. The study of Hasan and Hannifah (2013) on the Australian BEAs found that the financial support of national and local government is essential in promoting the use of BE. This echoes the findings of Tan (2002) and NEDLAC (2001) recommending active and visible government financial support for effective BE promotion. Studies of Tan (2002) and Adebajo (1999) found that organising conferences and seminars to explain how the BEAs work and allowing BEA winners to share their experiences and successful strategies impacts on increasing BE awareness. Tan (2002) also found that advertising through the media and newsletters is useful in creating BE awareness. Interorganisational innovation and cluster networks (Morača, 2017; Silva et al., 2008; Terziovski, 2003) were also found to have an impact on the uptake of BE (Hamilton, 2003; Tan, 2002; Carter & Ellram, 1994; Hobbs et al., 1998; Mann et al., 1998).

Research aim and objectives:

The research component discussed in the present paper aims *to investigate the current state of and best practices in promoting the use of BE by BECs*. The following objectives were set to achieve this aim:

1. Identifying the main purpose of BE promotion within BECs;
2. Investigating the BE promotion activities that: -
 - 2.1. are the most important to focus on/ improve for the next few years,
 - 2.2. have the highest impact on helping organisations on their BE journey, and
 - 2.3. BECs rate their processes the lowest in;
3. Providing a list of best practices in BE promotion;

4. Investigating the level of BE awareness among organisations and the change in this level as perceived by BECs; and
5. Providing recommendations for improvement in the activities identified under objective 2.

3. Methodology

In terms of research approach, the research aim is met through collecting primary data directly from BECs using a mixed-method design in keeping with a pragmatism epistemology (Creswell, 2017; Bryman, 2016). For clarity and conciseness, the methodology of this research is explained below as an eight-stage process: -

Table 5.1: Methodological stages of the research

<i>Stage 1: Project Promotion</i>	A project website was launched in 2018 (Excellence Without Borders, 2018) so that, when contacted, the potential participants: a) could see what is included (scope) in the research; b) feel encouraged to participate by looking at the GEM Council’s support for the research and the names of the other participating BECs; and c) understand more about how the research could benefit them.
<i>Stage 2: Designing a Prototype Survey</i>	A prototype survey was developed by modifying and updating the research instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a, 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008).
<i>Stage 3: Population and Sample</i>	Ghafoor and Mann (2018) undertook research to identify all active BECs and BEAs totalling 65 BECs operating in 55 countries. To be considered ‘active’, the BECs were required to: a) administer a BEF that is based on sound Total Quality Management (TQM) principles and follows the same understanding of BE as that of the GEM Council; and b) have had held a BEA between 2016 and 2018 or had planned one for 2019. Because the present research began in 2018, this was the most current list to use for contacting the BECs. The CEOs and organisational heads of these BECs were contacted and invited to participate in this research, ultimately, 29 BECs operating in 26 countries participated.
<i>Stage 4: Finalising the Survey</i>	The prototype survey was shared with the participating BECs for feedback on its completeness and the clarity of the terminologies used. Feedback was received from 11 BECs which was used to refine the survey and then shared with the GEM Council (in their annual general meeting in August 2018 in Sydney) for final approval. In its finalised form (as shown in Appendix A), the survey comprised of 68 questions of which nine questions were related to BE awareness. Of these, eight

	questions represented the objectives of this paper whereas a ninth question asked the BECs to share their general comments about this research.
Stage 5: Data collection (survey)	The survey was sent to the CEOs or members of the Board of Directors of these BECs via email. All 29 BECs submitted the survey via email, out of which.
Stage 6: Data collection (interviews)	13 BECs also self-volunteered to participate in the optional structured interview (conducted via Skype) to seek more detail in responses to the questions (especially those related to best practices) and, if required, confirm the information provided in the survey.
Stage 7: Ensuring Data Validity and Reliability	Two main limitations in the data validity were: a) possible response bias in the perception-based questions in the survey; and b) missing values in the data because some of the questions did not apply to the BECs, for example, not all the BECs undertake all the activities investigated in this research. To mitigate these: a) the BECs were followed up with to clarify any suspected anomalies in the data; b) publicly available sources (such as BEC websites) were used to verify the responses; c) the BECs were provided with a draft report (with analysed data and results from the survey and structured interviews) to correct their response if needed (internal validation of data), add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered; and d) averages and percentages were used based on the number of responses (<i>n</i> values) to each question (thus making the data comparable and consistent).
Stage 8: Data Analysis	The quantitative data were analysed using Minitab 19.0. Results for each question were firstly summarised using frequency tables and graphs. Where it was necessary to compare group scores, the Mann-Whitney U test was used to test the significance of the differences between group medians. Mann-Whitney test was used because: a) the data are ordinal-scaled, and (b) group frequencies are in some cases too low to permit reliable parametric hypothesis testing. With regards to the qualitative data, the transcripts of the detailed responses to the qualitative questions (in the survey and structured interview) were thoroughly read to manually highlight the dominant themes in the mentioned best practices. This process was repeated several times and the themes were split and merged as the analysis developed until a set of themes and best practices that accurately represented the data were obtained. Secondary data in the form of peer-reviewed (journal articles) and non-peer-reviewed (BEC websites and published BE forums and magazines) research were used to strengthen and support the analysis and discussion of this paper.

4. Results

This section presents the research findings in four sub-sections. Objectives one to four are met in this section, while the fifth objective is met in the subsequent discussion section.

Objective 1: Identifying the main purpose of BE promotion within BECs

To investigate the main purpose of promoting BE, the BECs were given three options (shown in figure 2) to choose from. They were then asked to rank these activities as 1st (allocated 3 points for analysis), 2nd (2 points), and 3rd (1 point).

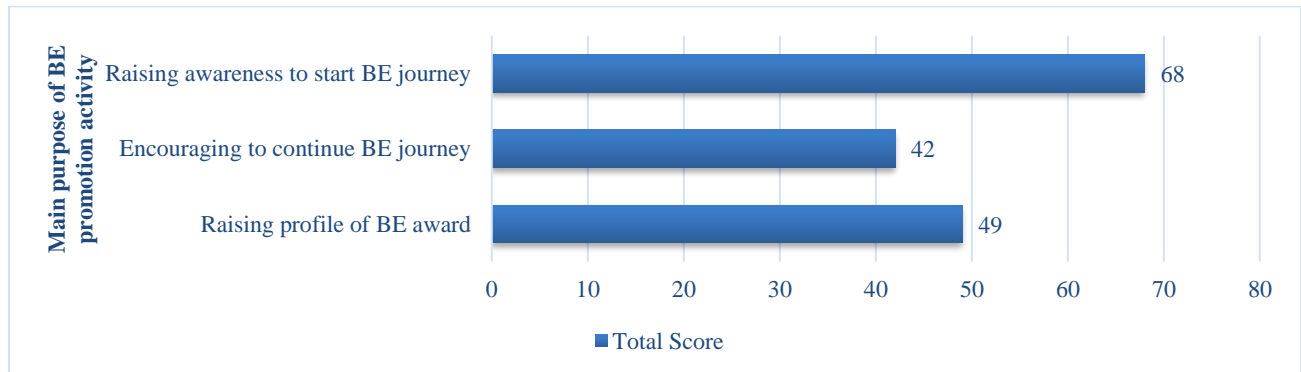


Figure 5.4: Main purpose of BE promotion activity reported by the BECs

It was found that the main purpose for BECs' BE promotion activities is to introduce BE to new organisations, educating them on what BE is and how they can benefit from it, and encourage organisations to embark on a BE journey. This implies that BECs focus on the organisations that have never used a BEF and would likely be at the early stages of BE maturity. While an explanation was not provided for this, a possible explanation may be that introducing BE in new organisations would increase the user base of BE in the country. This paper will later report that the BECs perceive a low level of BE awareness, which implies that many organisations have not heard of or use BE making them a substantial market opportunity.

Objective 2: Investigating the most important, highest impact, and lowest self-rating BE promotion activities

A list of 20 BE promotion activities was provided to the BECs and they were asked to: -

- a) vote for (up to five) activities that they consider the most important to focus on/ improve for the next few years;
- b) rate the degree of impact that they perceive these activities have on helping organisations on their BE journey; and
- c) rate their performance (self-rating) in these activities.

These activities are listed in Figure B from the highest (top) to the lowest (bottom) importance based on their number of votes. The red bars show the mean perceived impact, and the blue bars show the mean self-rating in the activities.

An activity with a significantly higher perceived impact than the BECs' self-rating may be regarded as an opportunity for improvement, implying that the BECs need to improve their performance in that activity to better help organisations on their BE journey. To test the significance of the difference in scores, the Mann-Whitney U test (used to test the significance of differences in two groups of ordinal, non-parametric, and non-normal data; Neuhäuser, 2011) was used. The Mann-Whitney U tested the following hypotheses for all 20 activities:

Null hypothesis: H_0 : *There is no difference between the perceived impact of BE promotion activities and the BECs' rating of their processes*

Alternate hypothesis: H_1 : *There is a significant difference between the perceived impact of BE promotion activities and the BECs' rating of their processes*

Adjusted p-values from the test results are provided in Figure 5. An adjusted p-value of less than 0.05 indicates a significant difference between the two independent groups of data.

a) Most important promotion activities for BECs to focus on/improve for the next few years in sequence of highest (top) to lowest (bottom) importance

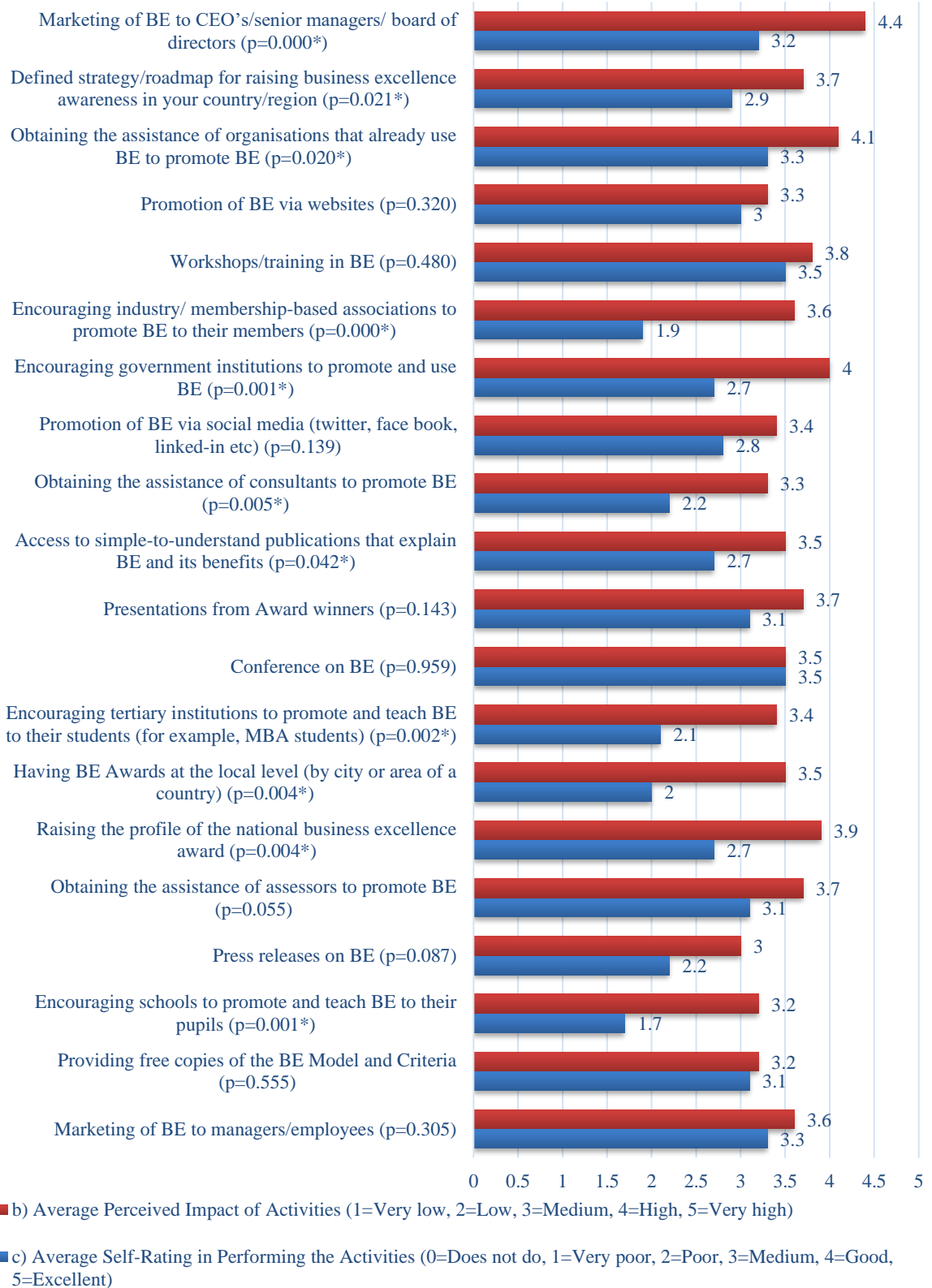


Figure 5.5: List of BE promotion activities with their importance ranking, mean impact, mean self-rating, and significance of difference between perceived impact and self-rating

Figure 5.5 shows that “marketing of BE to CEO’s/senior managers/ board of directors” was rated as the highest perceived impact activity with an average rating of 4.4 out of 5 (where the overall average rating across all BE promotion activities is 3.6) and the most important activity to focus on/ improve for the next few years (with 13 votes where the average number of votes across all BE promotion activities is 5).

BECs rated their processes the highest in organising “workshops/training in BE” and “conferences on BE” with average ratings of 3.5 out of 5 (where the overall average self-rating across all BE promotion activities is 2.8), and the lowest in “encouraging schools to promote and teach BE to their pupils” with an average rating of 1.7.

The Mann-Whitney U test results verified that the activities that have a significant difference (a p-value of less than 0.05) between the mean perceived impact and mean self-rating are statistically significantly different. In total, as shown in Figure 5, eleven activities were found to be statistically significant with each having a difference of 0.8 or more between the means.

Since recommendations for improvement cannot be provided for each of these activities, only the activities that are also the most important to focus on/ improve, have the highest mean perceived impact, and have the lowest mean self-rating will be elaborated in the discussion section. However, the best practices in BE promotion listed under the next objective are generally helpful for raising the BE awareness levels country or region wide.

Objective 3: Providing a list of best practices in BE promotion

The BECs were asked to explain their practices/ processes that make their BE promotion activities effective and to explain any major awareness campaigns on BE that had been particularly effective for them. In response to these, the BECs reported a wide range of best practices for promoting BE that on analysis were categorised into three main themes. These themes were collaboration (with individuals and organisations to promote BE), dissemination (of BE material), and interaction (with the current and potential BE users). Examples of categorised best practices for BE promotion are shown in Table 2.

Table 5.2: Best practices for promoting the use of BE as reported by BECs

Themes	Best Practices
Collaboration	<p>BE Assessors:</p> <ul style="list-style-type: none"> - Assessors are collaborated with to harness their energy and passion to promote BE to their networks. They are briefed during the annual assessor training about how they can help with BE promotion. They elect a representative who sits in the BEC Board and represents the assessors’ efforts in promoting BE. - New organisations are reached through the help of assessors. They talk to the leaders of the potential BE users about their experiences in other organisations that have successfully implemented BE. They are compensated (on a commission basis) for the new organisations that they have sign-up for undertaking a BE path. <p>BE Consultants:</p> <ul style="list-style-type: none"> - BE consultants are experts in helping organisations to undertake a BE journey and they build a strong case in front of new organisations and persuade them to undertake a BE journey by educating them on how BE can benefit them. <p>Government:</p> <ul style="list-style-type: none"> - In some countries, government funding (to organisations) is made conditional to undertaking a BE path. In the case of the United Arab Emirates, the government mandates all government entities to undertake a BE journey and to participate in BE Awards (BEAs). <p>Universities:</p> <ul style="list-style-type: none"> - Tertiary institutions are encouraged to promote and teach BE to their students (for example, MBA students). Assessor training is carried out as part of a Postgraduate or MBA course. <p>Volunteers:</p>

	<ul style="list-style-type: none"> - Volunteers are grouped in communities to share best practices and trends on different topics such as Innovation, Education, Knowledge management, and Governance with managers and employees of organisations. - As an incentive for undertaking a BE journey, one or two BEA recipients are selected each year to be honorary members of the BEC's Board of Directors to be part of the strategic definition and deployment of BE in the country.
Dissemination	<p><i>Awareness Seminars and Conferences:</i></p> <ul style="list-style-type: none"> - Presentations are made on-site (in organisations that BE is being promoted to) to explain the BEF and to motivate undertaking a BE journey. - Conferences are organised where BEA recipients make presentations and the professionals from the wider industry attend. Prominent industry leaders are also invited to generate interest in organisations to attend the conference. - An annual BE CEO Forum is held that involves prominent speakers from the country and the region. <p><i>BE Publications:</i></p> <ul style="list-style-type: none"> - Research studies are carried out on the use of BE and its impact on organisations, for example, how do the BEA recipient organisations compare with the non-BEA recipient organisations on different performance measures. These studies are published in magazines to promote the use of BE in potential BE users. Meanwhile, the studies published in peer-reviewed journals inspire the interest of academics in BE. - Articles are published in leading newspapers that cover BE-related events such as a BEA ceremony or a BE conference. <p><i>Brochures:</i></p> <ul style="list-style-type: none"> - Brief, easy-to-read, engaging, and interesting brochures are disseminated through member email lists and chamber of commerce databases for the readers (CEOs, organisational heads, managers, or employees of potential BE user organisations). <p><i>Newsletters:</i></p> <ul style="list-style-type: none"> - Monthly email newsletters are sent to individual and organisational members (who have signed up for the newsletter through the website and other social media platforms) to update them about upcoming BE-related events and activities and to accredit BE assessors. <p><i>Social Media:</i></p> <ul style="list-style-type: none"> - Social media is an emerging focus for BE promotion and past pilot efforts have proven successful in building BE awareness and engagement. <p><i>Website:</i></p> <ul style="list-style-type: none"> - The website gives the BEC a presence on the web by using search engine optimisation methods and techniques. - The information on the website is kept up-to-date and content is revised as required. - The website contains comprehensive information regarding the BEC's services and provides up-to-date contact information for the key members of the BEC.

	- The website is given a modern outlook and is interactive to appear more appealing for the aspiring BE user.
Interaction	<p><i>BE Impression Surveys:</i></p> <ul style="list-style-type: none"> - A brief (25 questions with a 4-level Likert scale) web-based impression survey is carried out periodically (twice a year) to assess the current BE awareness level such as how many people/ organisations know about BE and how did they find out about it. The web-based questionnaire is disseminated using email databases of organisations available with the chambers of commerce. Data from hundreds of participating organisations get analysed automatically and helps in directing efforts for BE promotion. <p><i>Award Recipients and Potential BE Users:</i></p> <ul style="list-style-type: none"> - Benchmarking missions/ visits are scheduled for aspiring BE users to the facilities of the recipients of the BEA to live their culture and know in the hands of their protagonists, the practices that make them national examples of quality, innovation, and competitiveness. This generates an exchange network for continuous improvement and innovation, which results in a systematic benchmarking process, with a mutually beneficial approach. - BEA recipients are requested to interact with the other organisations in their supply chain, encouraging them to undertake a BE journey. At least one of the new organisations is provided free of cost assistance in using the BEF.

Objective 4: Investigating the level of BE awareness among organisations and the change in this level as perceived by BECs

The BECs were asked about their perceptions of the BE awareness levels among CEOs/ organisational heads in their countries. Table 5.3 shows the results of the awareness levels in various types of organisations and the overall awareness levels. The BECs responding to this question were also asked whether they measure the awareness levels in their country/ region.

Table 5.3: Median perceived percentages of BE awareness levels by BECs who measure and do not measure the awareness levels

Type of Organisation	Median Values		
	Measure BE Awareness (n=9)	Do not Measure BE Awareness (n=17)	Overall (n=26)

SMEs for-profit organisations (less than 50 employees)	11-20%	0-10%	0-10%	11-20% Across All Organisation
Businesses (50 employees and greater)	11-20%	11-20%	11-20%	
Multinational/ International Organisations	21-40%	21-40%	21-40%	
Government Organisations	21-40%	11-20%	21-40%	
Non-Government/ Not For Profit Organisations	11-20%	11-20%	11-20%	

It was found that the median perceived percentage of CEOs/ organisational heads aware of BEFs across all BECs is 0-10% for SMEs for-profit organisations (less than 50 employees), 11-20% for Businesses (50 employees and greater) and Non-Government/ Not For Profit Organisations, and 21-40% for Multinational/ International Organisations and Government Organisations. The overall perceived average awareness across all types of organisations is 11-20%. The BECs that measure the BEF awareness levels among CEOs/ organisational heads in their countries perceived slightly higher (11-20% and 21-40%) awareness levels than those who do not measure it (0-10% and 11-20%) among the SMEs for-profit organisations (less than 50 employees) and Government Organisations (respectively).

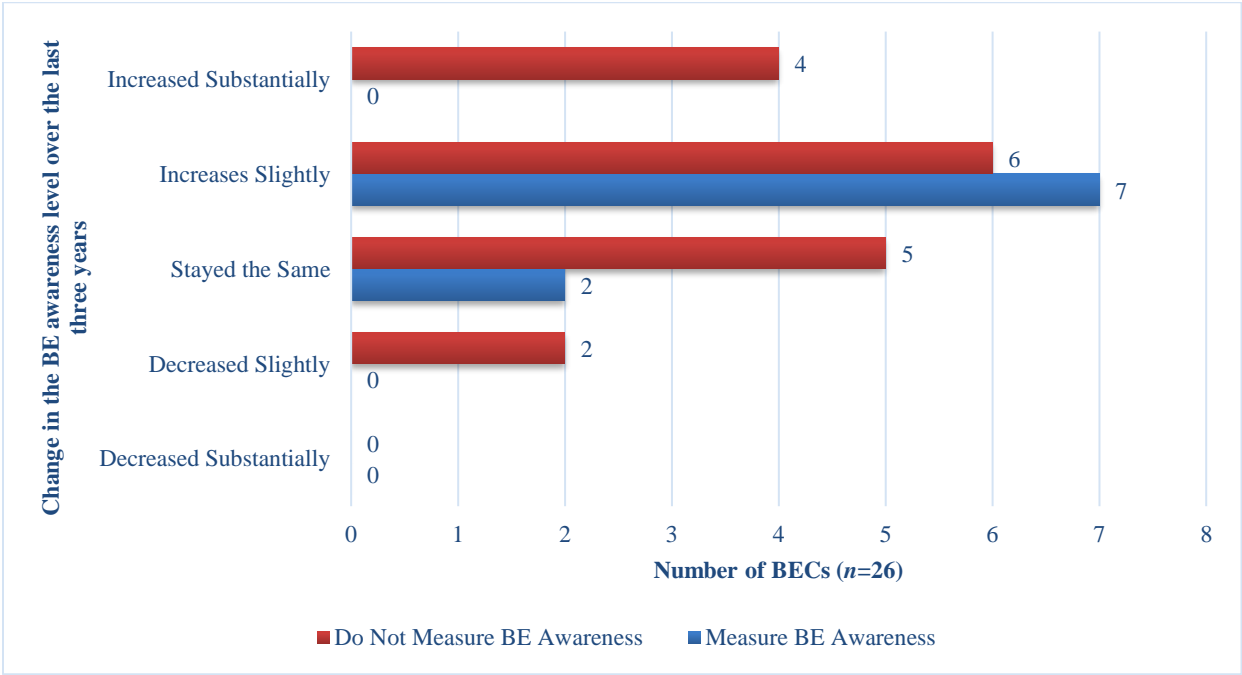


Figure 5.6: Perceived change in the BE awareness levels (over the last three years) by BECs who measure and do not measure the awareness levels

It was found that most (65.4%) BECs perceived a slight (50%) or substantial (15.4%) increase in the BE awareness levels in their respective countries over the last three years, 27% reported that it stayed the same, and 7.6% reported a slight decrease.

However, it may be argued that these perceptions may be different between the group of BECs that measure the level of awareness of BE in their countries and the group that does not. Therefore, Mann-Whitney U-test was carried out to test the significance of the difference in the perceptions of these two BEC groups regarding the percentage of CEOs/ organisational heads aware of BE in their countries and the change in BE awareness levels.

Based on the results of the test, there was found no difference between the perceptions of the BECs that measure and the BECs that do not measure the awareness levels in their countries, hence, the null hypotheses were accepted. This means that measuring or not measuring BE awareness levels is not a factor in terms of BECs' perceptions of the percentage of CEOs/ organisational heads being aware of BE in their countries and change in BE awareness levels.

The BECs were asked about the number of organisations in their contact database (using or intending to use BE) that are contacted at least once in three months. This question was asked as such data would indicate which BECs have been most successful in BE promotion and therefore learnt from in terms of their best practices.

Table 5.4: Number of organisations using or intending to use BE

Country	Communication Frequency	Number of organisations in contact database
Argentina	Monthly	No information available on BE users.

Australia	No regular communication	300-400 organisations are using BE.	
Canada	No response	Over 5000 organisations.	
Costa Rica	Quarterly communication	Database of 1000 people/ organisations available but no information on BE users.	
Czech Republic	No response	50 organisations.	
Ecuador		Approximately 3 organisations every month. No stats available on total BE users.	
El-Salvador	Constant communication with 30 organisations on average	250 public and private sector organisations.	
Estonia	No regular communication	Around 2000 participants in Quality lists.	
Europe-EFQM	No response	500 organisations.	
Finland		50-100 organisations.	
Japan		About 20 companies that are core Japan Quality Award Council members and some other companies.	
Jordan		200 organisations.	
Mexico		Over 3000 organisations.	
Netherlands		6500 organisations.	
Peru		Approximately 5 organisations every month. No stats available on total BE users.	
Philippines (DAP)		No regular communication	About 30 public sector organisations.
Philippines (DTI)			No database developed yet.
Saudi Arabia		No response	Over 100 organisations.
Scotland	Over 1000 organisations.		
Singapore	Monthly communication	Over 1700 organisations.	
Spain	No response	More than 2000 organisations.	
Sweden		No information available on BE users.	
United Arab Emirates DGEP		32 organisations.	
United Arab Emirates DED		Over 2000 organisations.	
United Arab Emirates SKEA		Over 3000 organisations.	
United Kingdom		Approximately 400 organisations.	
United States		Yes, they receive regular program updates, news, blogs, surveys, requests to	Over 25000

	share insights, and invitations to conferences.	
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Table 5.4 shows that there is significant variation between BECs’ contact database sizes. The variation may be due to the difference in the type (public or private sector organisations) and the size of the target audience (number of organisations in the country) of the BECs and due to the BECs’ effectiveness at reaching their target markets. The BECs with small numbers have an opportunity to improve by learning from the BECs with higher numbers, and recommendations to achieve this are provided in the discussion section.

However, in some cases, the differences were understandable, for example, the Dubai Government Excellence Program (DGEP) has 32 organisations in its database because they are custodians for the public sector organisations in Dubai only, whereas the Sheikh Khalifa Excellence Award (SKEA) has 3000 organisations because they are custodians for the private sector in Dubai.

5. Discussion and Recommendation

This section provides recommendations for improvement in the most important, highest impact, and lowest self-rated activities identified in the results section, thus addresses the fifth objective of this paper.

5.1. Recommendations for Improving the Most Important and the Highest Perceived Impact BE Promotion Activity

Firstly, it was found that “marketing of BE to CEO’s/senior managers/ board of directors” is the most important BE promotion activity to focus on/ improve for the next few years, which is also the highest impact BE promotion activity. It is interesting to note that “marketing of BE to managers/ employees” was rated as the least important activity by the BECs. This result aligns

with the study of Dahlgaard et al. (2013) which suggested that the top leadership (such as the CEO/ senior manager/ director) is the epicentre in fostering a culture of excellence in the people of an organisation and the pivotal influence for adopting BE in an organisation.

To further improve this activity, it is recommended that the BECs:

- a) Deliver presentations to non-BE user organisational heads to motivate them to undertake a BE journey and participate in BEAs. Cámara de Industrias de Costa Rica, which is the custodian organisation for BE in Costa Rica, reported their best practice of arranging presentation venues to hold BE introduction presentations while inviting the CEOs and organisational heads of non-BE user organisations. The content of these presentations is designed to provide a value proposition on how following a BE path can help organisations achieve excellence.
- b) Reach out to the organisational heads in all the (public, private, not-for-profit) sectors through email and phone calls. King Abdel Aziz Quality Award of Saudi Arabia reported their best practice of arranging regular meetings with the organisational heads who show interest in undertaking a BE journey. The purpose of these meetings is to educate the organisations more on their current BE maturity levels and to provide them a beginners' guidance on how they can embark on a BE journey.
- c) Network with organisations and develop a BE community. The Baldrige Performance Excellence Program (BPEP) reported their best practice of building a large network of organisations within the U.S. While the exact size of this network was not mentioned, the BPEP reports having over 25,000 organisations in their contact database, suggesting that this would be a sizeable network. In this network, the heads of organisations already using BE, promote its use to other organisational heads in their professional networks on BPEP's behalf.

The BPEP reportedly found the word-of-mouth promotion method for BE to be highly effective.

A major implication for the BECs in terms of BE promotion is that the Coronavirus pandemic has forced organisations all around the world to change how they operate. However, as far as the efforts for promoting BE are concerned; while the BECs could not conduct face-to-face meetings and gatherings during the pandemic, they continued to promote BE through webinars. Some examples of these are; the launching webinar of the new African Excellence Model which was focused on the key features and the research underpinning the newly launched model (Van den Heever, 2020), the EFQM webinar on the launch of the New EFQM Excellence Framework which was focused on explaining the radical change brought in the model (Longmuir, 2020), and the New Zealand Business Excellence Foundation's (NZBEF's) webinar on using BE which was well attended by executives from organisations that have not yet started a BE journey thus encouraging these organisations to undertake a BE journey (NZBEF, 2020).

For “obtaining the assistance of organisations that already use BE to promote BE” which is the second-highest impact BEF promotion activity, it is recommended that BECs select one or two award recipients (from the previous award round) to be part of their Board of Directors, not only to promote the BEF but to participate in defining strategies and deployment of the BEF (as done by Mexico). The BPEP engages Baldrige award-recipient organisations to promote BE through their learning and improvement conferences, such as their “Quest for Excellence” conference which showcases best practices of the Baldrige award recipients of the previous two rounds of awards (NIST, 2020a) and their interactive “Baldrige Fall Conference” featuring the award-recipient organisations from the previous round only (NIST, 2020b).

5.2. Recommendations for Improving the Lowest Self-Rated BE Promotion Activity

Secondly, it was found that BECs rate their processes the lowest in “encouraging schools to promote and teach BE to their pupils”. This can be coupled with “encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)” which is a similar and overall, the third lowest self-rated activity.

To further improve these activities, it is recommended that BECs liaise with universities in their countries to offer training courses and degree programs in BE. In doing so, the universities and schools will also, as organisations, embrace BE that will likely lead to an improved understanding of BE among their faculties, staff, and students, and improve the overall quality of their services. The BECs can work with the faculty members of the business or management departments in universities to design the curriculum and courses for undergraduate and post graduate levels. BE experts from the BECs can bring the current and future BE topics to the table while the academics can shape these topics into teachable semesterly or yearly courses. As an example, the Universidad Nacional Autónoma de México, which is regarded as a highly prestigious university (ranked 6th in Latin America and 100th in the world; Top Universities, 2020) offers a BE course to their business bachelors undergraduates to produce the future BE ambassadors and CEOs in the region.

Singapore is an example of fostering a culture of BE in the young generation by encouraging schools to undertake BE assessments and by training the school principals, enabling them to transform the schools into innovative learning communities (Clarke, 2017). The selected school principals are being trained since 2001 under the Leaders in Education Programme (LEP) taught at the National Institute of Education (NIE) which is the national teacher and school leader training institute. The 6-month-long full-time-taught programme prepares the principals for school leadership so that they can transform their schools into incubators for innovative students and

teachers (National Institute of Education, 2021). This prepares the future leaders to practice excellence from an early age making it a habit for them to take into their professional lives. As of 31st January 2021, 69 schools in Singapore have been recognised as Singapore Quality Class (which is a measure of advanced BE maturity level in Singapore) which affirms the efforts put into embedding BE in Singaporean schools (Enterprise Singapore, 2021).

a. General Recommendation on How to Raise BE Awareness Levels

BECs perceive an increase in the BE awareness levels among the CEOs and organisational heads in their countries with 62.9% BECs perceiving a slight to a substantial increase in awareness. The reasons for this increase uncovered in the qualitative part of this study are:

a) An increased awareness among governments and community service organisations.

It was reported that more public sector organisations are now using BE than before. The UAE is a prime example of BE awareness among government sector organisations where 81-100% organisational heads are reported to be aware of BE. This is because it is mandatory for all these organisations to undertake a BE journey and participate in the annual BEAs. As far as the public sector is concerned, other countries can learn from this example, establish a BE initiative within the federal/ provincial/ regional government, and promote or even require the use of BE in all the government entities. Because all government entities are owned by the government, are obliged to follow government directions, and may be centrally controlled and monitored, it is easier to impart BE in these entities compared to private corporations.

b) An increased awareness among education and health sectors.

It was reported that more educational institutes are now teaching and/or practicing BE than before. For example, Argentina reported to have an assessor training program taught as part of a

postgraduate or MBA course and Mexico reported to have a BE undergraduate course taught in a highly prestigious university which is discussed before in the discussion.

c) Introducing new initiatives based on current issues for organisations.

It was reported that the BECs have responded to the current needs of the industry in the form of issue-based BE models and guidelines. For example, the BPEP introduced the “Baldrige Cybersecurity Excellence Builder Version 1.1” in 2019 focusing on cybersecurity of organisations; (NIST, 2019). An organisation that is not using a BEF, may develop interest in using an issue-specific BE model like this. Such issue-specific models can be potential doorways for new organisations to become fully committed to BE.

d) Measuring the BE awareness levels.

Lastly, it is recommended that BECs should measure BE awareness levels in their countries. Most of the BECs (65.3%) currently do not measure BE awareness levels which can be a major hindrance to accurate planning, limiting the BECs’ ability to track the change in the awareness levels in their countries. Because of this, while 63% of BECs reported a slight to a substantial increase in BE awareness levels (and 29.6% reported no change) in their countries, there needs to be some caution on this perception. Those who measure BE awareness levels, use a variety of methods that other BECs can learn from. For example, Malaysia measures the number of companies that participate in BEAs, and Finland collects data on organisations in the country that follow BE and maintains a database of these organisations. The Japan Quality Award (JQA) Council follows a more robust method of calculating BE awareness levels in the country. The JQA’s membership system comprises of 200 organisations while 22 local quality councils in Japan maintain their own membership systems. The JQA and local councils add their membership

numbers to get a near accurate estimate of BE awareness levels in the country. However, to be confident in their BE awareness levels, BECs should use scientific methods for carrying out BE consumer research using representative sampling. Ideally, data should be collected directly from a sizable number of organisations across the country/ region using the national database of registered organisations.

e) Increasing and maintaining a rich contact database.

Essentially, the contact database size of a BEC depends on the overall BE awareness in the county. By implementing the BE awareness activities and best practices discussed in this paper, more organisations will become aware of BE, and once this is achieved, these organisations can be signed-up/ registered, becoming part of the contact database. A well-maintained contact database allows the BECs to communicate and advertise upcoming events such as BE awards and conferences, follow-up with organisations after an event, to get a near accurate estimate of BE awareness levels in the country, survey the organisations for feedback, and facilitate research by allowing academic or practitioner researchers access to the database to contact and collect data directly from organisations. However, some caution is required while maintaining such a database. This includes removing inactive contacts after a certain time of inactivity (lack of response to emails/ phone calls), removing the duplicate contacts in the database through data cleansing software and frequent data auditing, and ensuring the consistency so that data from all organisations is in a standard format for convenient data sorting and analysis.

6. Conclusion

The aim of this research was met. The research that this paper is a part of fills the gap in the existing BE literature by building an understanding of what is the current state of and best practices

in BE worldwide, with this paper focusing specifically on BE promotion. The paper identified the areas related to country/ region-wide BE promotion where BECs are performing well and the areas where they need to improve.

The paper identified “marketing of BE to CEO’s/senior managers/ board of directors” as the highest impact and the most important BE promotion activity to focus on/ improve for the next few years. “Obtaining the assistance of organisations that already use BE to promote BE” was identified as the third most important and second highest impact activity. Having a “defined strategy/roadmap for raising business excellence awareness in your country/region” is the second most important and “encouraging government institutions to promote and use BE” is the third highest impact activity. “Encouraging schools to promote and teach BE to their pupils” was identified as the lowest and “encouraging industry/ membership-based associations to promote BE to their members” as the second lowest self-rated activity. The research also found that 11-20% of the CEOs and organisational heads on average are perceived to be aware of BE worldwide. This paper discussed and provided recommendations for improvement in the highest impact, most important, and the lowest self-rated BE promotion activities, and to increase the BE awareness levels.

With regards to future directions, the BE awareness levels found in this paper show that there is enormous potential for more research in this area. The overarching question for future research is why organisations have lost interest in BE and BEAs over the time and what can be done to revive this interest. The BECs need to focus more on selling the idea of following a BE path to more organisations to make any progress in fostering a culture of BE in their countries/ region. The academia can assist BECs by studying, highlighting, and measuring the tangible outcomes and impact of using BE so that new organisations can see value in undertaking a BE journey.

This research could be improved by having a higher number of participant BECs and by having a higher number of structured interviews. For the future, this research can be carried out periodically, for instance after every two years to track the progress of the BECs in terms of rating of their processes in carrying out key BE promotion activities and BE awareness levels in their countries, and by adding more questions to the survey to investigate the reasons for their responses in more detail. Additionally, this research can be improved in the future through triangulation of results by collecting data from organisations that are using BEFs in different countries and BE assessors to compare these responses with the responses of the BECs and by collecting data on the actual BEF awareness levels in countries as opposed to perception data from the BECs.

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Appendix A

Survey and Structured Interview Questions

1: *What is the main purpose of your promotional activity? Rank the importance of the reasons below with 1 being the most important.*

2: *The following are methods that your organisation may be using to create awareness of BE within your country/region/sector. Please answer the following:*

- a) Based on your experience what degree of impact does each of the listed activities have on raising awareness of BE in general?*
- b) How would you rate your own processes for this particular activity?*
- c) Tick ✓ the 5 activities that you think should be focused on /improved over the next few years to raise awareness levels and understanding of business excellence.*

3: *Please select up to three promotional activities, from the above table, that your organisation is particularly effective at delivering. Please explain what practices / processes are employed that makes them so effective? In particular, highlight those practices that are particularly innovative or you believe are good/best practice.*

4: *Have you run any major awareness campaigns on BE that have been particularly effective? If so please explain below (or leave blank if you have already answered this question when responding to the question above).*

5: *How many organisations that use or intend to use BE are in your contact database that you regularly communicate with (at least once every 3 months) in promoting business excellence?*

6: *Do you measure the number of organisations that are aware of business excellence in your country/region?*

7: *Please rate below the extent to which, in your opinion, awareness of BE within your country has changed over the last three years in general.*

8: *Estimate the percentage of CEO's/ organisational heads, in each of the following types of organisations, that would be aware of your BE model/ Framework? You may provide your best estimate for this question.*

5.2. Chapter Highlights

This chapter aimed to investigate the current state of and best practices in promoting Business Excellence (BE). This aim was achieved by meeting five objectives that were: identifying the main purpose of promoting BE within BE Custodians (BECs); investigating the most important, highest impact, and lowest-self rated BE promotion activities; listing best practices in promoting BE; investigating the perceived BE awareness levels; and providing recommendations for improving BE promotion activities.

The main purpose for BECs' BE promotion activities is to introduce BE to new organisations, educating them on what BE is and how they can benefit from it, and encourage them to embark on a BE journey. The BECs have a secondary focus on their country's/region's organisations that are already aware BE and the services offered by the BECs.

Mann Whitney U-test analysis found that of the 20 BE promotion activities investigated in this chapter, 11 had a significant difference between the current state (self-rating of BECs activities) and the desired state (perceived impact of these activities). While all these activities were classified as potential areas for improvement, only those that were also found to be the most important, have the highest impact, and the lowest self-rating were discussed in detail.

'Marketing of BE to CEO's/senior managers/ board of directors' is the most important activity for BECs to focus on for the next few years and is perceived to have the highest impact on effectively promoting BE in a country/ region. 'Encouraging schools to promote and teach BE to their pupils' was found to be the lowest self-rated BE promotion activity. A detailed set of best practices was provided in this chapter to improve these activities.

With regards to the current BE awareness levels, it was found that CEOs and organisational heads of 11-20% organisations are perceived to be aware of BE. However, the awareness level was perceived to have increased over the last three years with 50% BECs perceiving a slight and 15.4% perceiving a substantial increase. It was also found that measuring or not measuring BE awareness levels in their country does not affect BECs' perceptions of the percentage of CEOs/ organisational heads being aware of BE in their countries and change in BE awareness levels. However, it is worth mentioning here that even the BECs that measure BE awareness levels do not use robust awareness measurement methods. BECs are recommended to measure BE awareness in their countries using scientific methods and maintain a database.

A wide range of best practices are provided in this chapter to help improve the BE promotion activities of BECs. These practices are classified into three categories or themes, namely; collaboration (with individuals and organisations to promote BE), dissemination (of BE material), and interaction (with the current and potential BE users).



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STATEMENT OF CONTRIBUTION DOCTORATE WITH PUBLICATIONS/MANUSCRIPTS

We, the candidate and the candidate's Primary Supervisor, certify that all co-authors have consented to their work being included in the thesis and they have accepted the candidate's contribution as indicated below in the *Statement of Originality*.

Name of candidate:	Saad Ghafoor
Name/title of Primary Supervisor:	Dr. Robin .S. Mann
In which chapter is the manuscript /published work:	5
<p>Please select one of the following three options:</p> <p><input type="radio"/> The manuscript/published work is published or in press</p> <ul style="list-style-type: none"> Please provide the full reference of the Research Output: <p><input type="radio"/> The manuscript is currently under review for publication – please indicate:</p> <ul style="list-style-type: none"> The name of the journal: The percentage of the manuscript/published work that was contributed by the candidate: Describe the contribution that the candidate has made to the manuscript/published work: <p><input checked="" type="radio"/> It is intended that the manuscript will be published, but it has not yet been submitted to a journal</p>	
Candidate's Signature:	Saad Ghafoor <small>Digitaly signed by Saad Ghafoor Date: 2021.04.28 13:07:06 +1200</small>
Date:	28-Apr-2021
Primary Supervisor's Signature:	Robin Mann <small>Digitaly signed by Robin Mann Date: 2021.04.28 13:07:06 +1200</small>
Date:	30-Apr-2021

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CHAPTER 6: FACILITATING BUSINESS EXCELLENCE

6.1. About the Chapter

After investigating how the BECs promote the use of Business Excellence (BE) and BE Frameworks (BEFs) in the previous chapter, the next stage in the research was to investigate how BECs facilitate organisations in their countries/ regions to use BE and BEFs. The awareness among organisations regarding what is BE and what BEF is being used in their country does not guarantee BE usage by these organisations. BECs play a vital role in increasing the use of BE by helping organisations to advance their BE maturity levels by providing them with a) tools and techniques to implement a BEF and b) learning opportunities through knowledge and best practices sharing.

The key findings of this chapter cover the activities that the BE Custodians (BECs) are currently performing to facilitate the use of BE in their countries/ regions, the BE facilitation activities that they are strong in, the ones that they have opportunities for improvement in, and the best practices and recommendations for improving these activities.

This chapter has been written as a journal article for submission to a peer-reviewed journal and is hence referred to as a ‘this paper’ from here onwards.

The Current State of and Best Practices in Facilitating Organisations in Undertaking a BE Journey

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This paper aims to investigate the role of business excellence custodians (BECs) in facilitating organisations on their business excellence (BE) journey. The key focus of this paper is on investigating the activities that a) have the highest impact in facilitating BE, b) BECs rate their processes the highest and the lowest in, and c) are the most important to focus on for the next few years. This paper also presents the BE facilitation activities reported by BECs and makes recommendations for improvement in the most important, highest impact, and the lowest self-rated (by the BECs) activities. The data were collected from 29 BECs in 26 countries with the help of a survey, while 13 BECs also undertook optional follow-up structured interviews. It was found that “on-line service/database of BE information/publications” is the most important activity to focus on, holding “networking meetings for CEOs /senior managers of business excellence users” is the highest impact activity, and offering “BE assessor training courses” and “on-line social platforms/BE forums/discussions” are the activities that the BECs rate their processes the highest and the lowest in, respectively. While the BECs perceive the BE usage to have increased over the last three years, they also perceive that only 11-20% organisations use BE on average.

Keywords: Business excellence, facilitating business excellence, business excellence frameworks, business excellence models, business excellence usage levels.

1. Introduction

This section comprises of two sub-sections which are; a) a brief background of the paper, and b) the aim and objectives of the paper.

1.1. Background

To foster a culture of Business Excellence (BE) in a country/ region, the first step for BE Custodians (BECs) is to create awareness about what BE is and to promote the use of the BE Framework (BEF) that they have designed or adopted (Grigg & Mann, 2008; Xie et al., 1998). However, once the barrier of BE awareness is crossed, there is yet another challenge facing the BECs. There is evidence to suggest that organisations may find it challenging to use the BEFs because of the BEFs' complexity. Hamilton (2003) found that the criteria of the MBEF are often perceived to be too complex for organisations) or a lack of understanding among the organisations about the BEFs (Saunders et al., 2008a) found that 60% of the Australian BEF users found the design of the BEF to be a little too complicated while 40% found its language to be too academic). As part of their activities, BECs play a vital role in assisting organisations to use a BEF by providing them with the necessary tools, guidelines, and opportunities to share other organisations' (that are at more advanced stages of BE maturity levels) knowledge (Grigg & Mann, 2008c). Little research has been done in the past regarding the scale of BE usage. For a past reference, a study carried out by the Australian Quality Council and Deloitte-Touche-Tohmatsu (2000) reported that 34% of the country's organisations are using the Australian BEF. A later study from Saunders et al. (2008b) contradicted these figures and reported that only 1.3% of the country's organisations are using the Australian BEF. Which begs the questions as to what the current state of BEF usage worldwide is and how are the BECs facilitating the use of BE. This research covers "how" the

BECs perform the role of guiding the organisations in their country/ region to undertake a BE journey.

1.2. Aim and objectives of the paper

This paper aims *to investigate the current state of and best practices in facilitating the use of BE by BECs.*

Objectives were set to: -

1. Investigate the BE facilitation activities that a) are the most important for focus on for the next few years, b) have the highest impact on helping organisations in their BE journey, and c) BECs rate their process the highest and the lowest in,
2. Provide a list of best practices in BE facilitation reported in this research,
3. Investigate the level of BE usage among organisations and the change in this level as perceived by BECs, and
4. Provide recommendations for improvement in a) the most important BE facilitation activity to focus on/ improve for the next few years, b) the highest impact BE facilitation activity, and c) the activity that BECs rate their processes the lowest in.

2. Literature Review

A literature review was carried out to develop an understanding of the existing research on facilitating the use of BE. It was found that the existing knowledge can be classified into three parts which are; a) why do organisations undertake a BE journey, b) why should they try to become more mature in BE, and c) the role of BECs to facilitate this journey.

2.1. Why do Organisations Undertake a BE Journey?

With regards to the reasons for using BEFs, the study of Sternad et al., 2019 found that organisations (public or private) use BEFs due to active (striving for operational excellence) and passive (adapting to changing requirements) internal motivations (which is supported by the studies of Gómez-López et al.; 2016 and Araújo and Sampaio; 2014), and active (market developments) and passive (responding to customer requirements) external motivations (which is supported by the study of Inaki et al; 2006). On the other hand, the study of Mann et al., (2011b) found that organisations use BEFs to become more competitive (such as becoming world-class, improving quality, and improving performance measures).

2.2. Why Should Organisations Aim to Become More Mature in BE?

Research on raising BE maturity levels reveals that organisations that are more mature in BE, outperform the organisations that are at initial stages of BE or do not use a BE approach altogether (Tickle et al., 2016; van Schoten et al., 2016; Zárraga-Rodríguez & Alvarez, 2013). Research suggests that organisations can advance their BE maturity by using the existing holistic BEFs for managing one or more of their improvement initiatives (Mohammad et al., 2011), or by following specific approaches within the BEFs, for example, people criterion in the EFQM (Escrig & Menezes, 2015) and other “soft issues” (such as human resource; Escrig et al., 2019) of the BEFs.

2.3. How can BECs Facilitate Organisations in their BE Journey?

Using a BEF to gain BE maturity comes with challenges such as organisational cultural implications (Kassem et al., 2019; Al-Tabbaa et al., 2013), gaining support from the leadership, generating a drive and excitement for adopting BE across the organisation, communicating the BE strategy, and making the adoption of BE meaningful to the people in the organisation (Brown,

2013). The study of Mann and Grigg (2007), suggests that in order to facilitate this journey, BECs should divert their focus from designing and developing their BEFs (Saunders et al., 2008a; 2008b) to raising the awareness levels of BE in their countries (Grigg & Mann, 2008a), developing tools and techniques to assist organisations in their BE journey (Mann & Grigg, 2005), and establish effective award processes that both assessors and participating organisations benefit from (Grigg & Mann, 2008b).

3. Methodology

This section provides an overview of the research methodology of this paper in four sub-sections which are; a) research paradigm, b) population and sampling, c) developing the survey and the structured interview instrument, and d) data collection and analysis.

3.1. Research Paradigm

The research paradigm of this paper is pragmatism which recognises that there can be different ways of interpreting data and undertaking research, that no single point of view can give a complete picture, and that there may be multiple realities (Bryman, 2016). Pragmatism is an outcome of culmination (or moderation) of the two completely mutually exclusive paradigms which are positivism (which is to gain knowledge through scientific methods that can be verified mathematically or logically, is objective in nature, and relies on quantitative data; Creswell, 2017) and interpretivism (which is to gain knowledge by relying on the meanings that humans attach to their actions, is subjective in nature, and relies on qualitative data; Creswell, 2017). Therefore, this paper follows a mixed-method research design comprising of a survey and follow-up structured interviews thus collecting and analysing both quantitative and qualitative data from the

respondents. In term of time horizon, this is a cross-sectional research which involves looking at data from a population at one specific point in time.

3.2. Population and Sample:

Research (using the publicly available sources such as BEC websites and business newspapers) conducted in 2018, identified 65 BECs in 55 countries. Criteria were set for considering a BEC as active and including them in the list. The criteria were that the BEC must a) administer a BEF that is based on sound Total Quality Management (TQM) principles and follows the same understanding of BE as that of the GEM Council⁸. This means that awards that were named ‘excellence awards’ but did not address the core principles of BE (or did not use similar assessment methods) were excluded from this research, and b) have had held a BEA between 2016 and 2018 or had planned one for 2019.

3.3. Developing the survey and the structured interview instrument:

The survey and structured interview instrument for this paper was developed by modifying and updating survey instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a, 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008). Once developed, the survey was shared with the BECs for feedback

⁸ The GEM Council is an organisation consisting of custodians of the major BEFs and national BEA bodies. These organisations provide mutual learning and opportunities for sharing best practices to public and private organisations in their specific regions. The current members of the GEM Council are Business Excellence Australia, Baldrige Performance Excellence Program (USA), China Association of Quality (China), CII-IQ (India), Dubai Government Excellence Program (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020b).

on the completeness of the survey and the clarity of the terminologies used. The feedback (received from 11 BECs) was used to refine the survey, which was shared with the GEM Council (in their annual general meeting in August 2018 in Sydney) for final approval. The final survey comprised of seven questions out of which, six questions represented the objectives of this paper and whereas a seventh question asked the BECs to share their general comments about this research.

Survey and Structured Interview Questions

1: *The following are services that your organisation may be providing to assist organisations in implementing a BE approach within your country/region/sector. Please answer the following:*

- a) *Based on your experience what degree of impact does each of the listed services have on assisting organisations in applying BE?*
- b) *How would you rate your own services in this particular area?*
- c) *Tick ✓ the 5 services that you think should be focused on /Improved over the next few years to help organizations use a business excellence approach.*

2: *Select up to three BE Facilitation services, from the above table, that your organisation is particularly effective at delivering. Please explain what practices / processes are employed that makes them so effective. In particular, highlight those practices that are particularly innovative or you believe are good/best practice.*

3: *Have you run any major programmes to encourage organisations to follow a BE path or assess themselves against BE criteria that have been particularly effective? If so, please explain below (or leave blank if you have already answered this question when responding to the question above).*

4: *Do you measure the number of organisations that use a BE approach to manage their business in your country/region?*

5: *Please rate below the extent to which, in your opinion, the use of BE within your country has changed over the last three years. Please briefly explain the reason of change below:*

6: *In your opinion, what percentage of organisations in your country in the following types of organisations uses a BE approach to running their organisation? You may provide your best estimate for this question.*

3.4. Data collection and analysis:

After the interested BECs registered their interest to participate in the research. The survey was sent to the CEOs or members of the Board of Directors of these BECs via email. The survey was undertaken (and submitted via email) by 29 BECs in 26 countries, out of which 13 also undertook

the optional structured interview (conducted via Skype) to seek more detail in responses to the questions (especially those related to best practices) and, if required, confirm the information provided in the survey.

Two main challenges with the data validation were: a) the response bias in the perception-based questions in the survey; and b) the missing values in the data because some of the questions did not apply to the BECs, for example, not all the BECs undertake all the activities investigated in this research. To mitigate these: a) the BECs were followed up with to clarify any suspected anomalies in the data; b) publicly available sources (such as BEC websites) were used to verify the responses; c) the BECs were provided with a draft report (with analysed data and results from the survey and structured interviews) to correct their response if needed (internal validation of data), add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered; and d) averages and percentages were used based on the number of responses (*n* values) to each question (thus making the data comparable and consistent).

The quantitative data were analysed using Minitab 19.0. Results for each question were firstly summarised using frequency tables and graphs. Where it was necessary to compare group scores, the Mann-Whitney U test was used to test the significance of the differences between group medians. Mann-Whitney test was used because (1) the data are ordinal-scaled, and (2) group frequencies are in some cases too low to permit reliable parametric hypothesis testing.

With regards to the qualitative data, the transcripts of the detailed responses to the qualitative questions (in the survey and structured interview) were thoroughly read to manually highlight the dominant themes in the mentioned best practices. This process was repeated several times and the themes were split and merged as the analysis developed until a set of themes and best practices that accurately represented the data were obtained.

4. Results

This section presents the findings of this research in three sub-section which are; a) identifying the key BE facilitation activities, b) identifying the best practices in facilitating BE as reported in this research, and c) investigating the BE usage levels. The objectives one to three of this research are addressed in this section.

4.1. Identifying the Key BE Facilitation Activities

There are three key BE facilitation activities that this paper aimed to identify which are; a) the activity with the highest perceived impact, b) the activity that BECs rate their processes the lowest in, and c) the most important activity for the BECs to focus on/ improve for the next few years. These activities are identified so that their implications can be discussed and recommendations for improvement can be provided for them in the discussion section of this paper. To achieve this, the BECs were provided with a list of 22 BE facilitation activities in the question 1 of the survey (provided in the methodology section). These activities are shown in Figure 6.1.

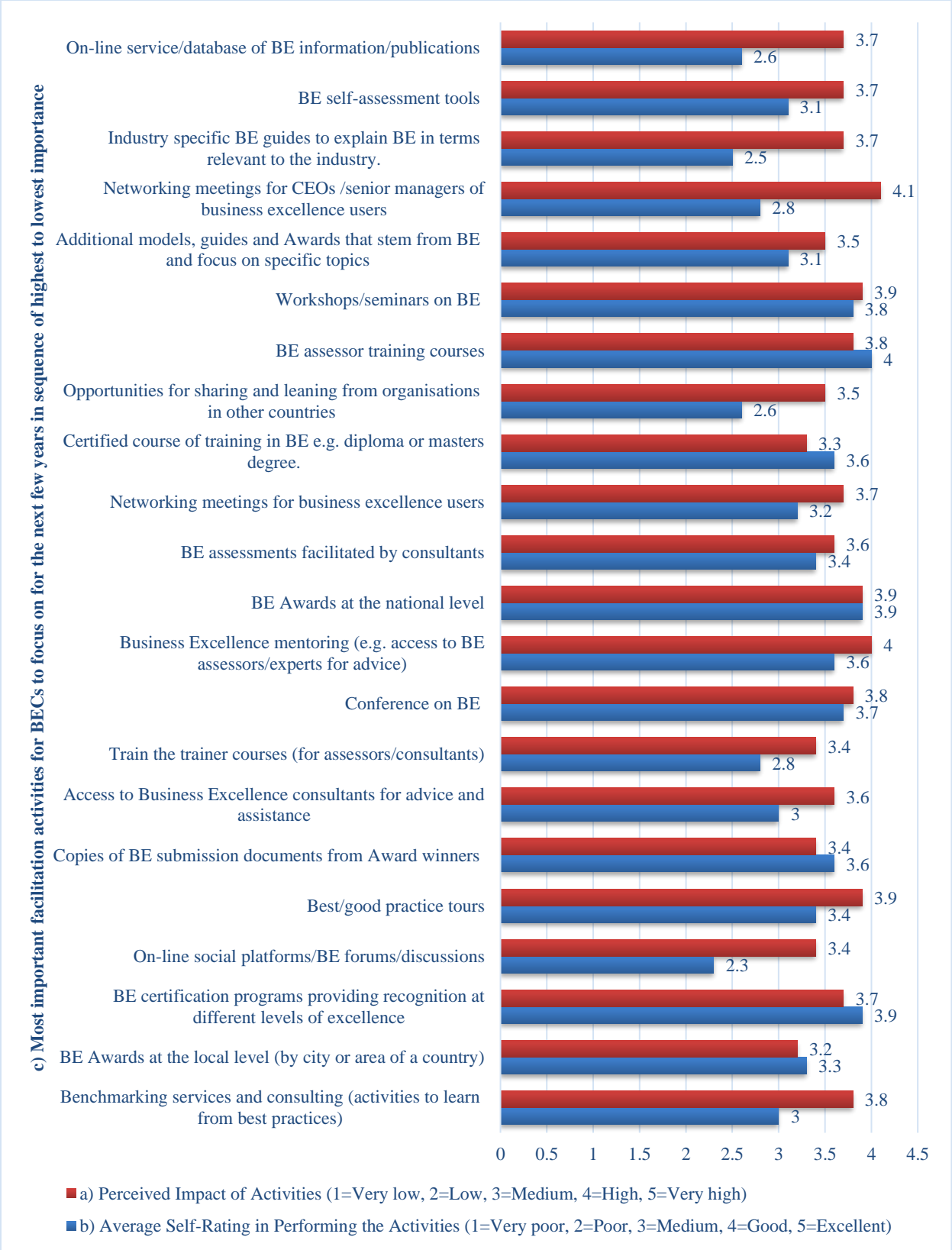


Figure 6.1: BE facilitation activities investigated in questions 1a, b, and c

Figure 6.1 shows the results of three sub-questions from question number 1 which were; a) the perceived average rating of the impact of BE facilitation activities (shown as red bars), b) the average ratings by BECs of their processes in carrying out these activities (shown as blue bars), and c) (selecting up to 5 of) the BE facilitation activities that are perceived to be the most important to focus on for the next few years (the activities are listed in the sequence of the highest to the lowest importance in Figure 5.1 based on their number of votes).

“On-line service/database of BE information/publications” was rated as the most important activity to focus on for the next few years (with 9 votes where the average number of votes across all BE facilitation activities is 3). Arranging “networking meetings for CEOs /senior managers of business excellence users” was perceived to have the highest impact with a rating of 4.1 out of 5 (where 4 represents high and 5 represents very high).

BECs rated their processes the highest in offering “BE assessor training courses” with a rating of 4 out of 5 (where 4 represents good) and the lowest in organising “on-line social platforms/BE forums/discussions” with a rating of 2.3 (where 2 represents poor and 3 represents average).

The data provides an opportunity to identify the activities that BECs perceive to have a high impact but rate their processes low in (according to the averages shown in Figure 6.1), as these are areas for improvement. An example of this is “networking meetings for CEOs/ senior managers of BE users” that has an average impact rating of 4.1 and an average self-rating of 2.8. Based on these averages, all the activities listed in Figure 6.1 can be placed under one of the quadrants shown in Figure 6.2. Therefore, the activities that fall in the category of high impact and low self-rating (Quadrant 4 in Figure 6.2) based on the averages shown in Figure 6.1 are areas for improvement.

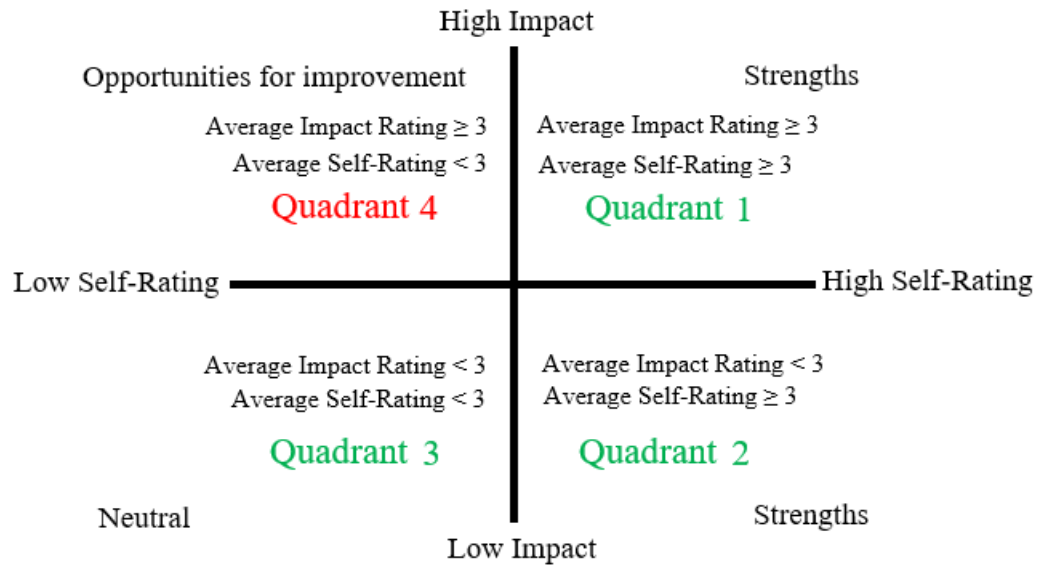


Figure 6.2: Quadrant chart for plotting BE facilitation activities based on their impact and self-rating

However, because the data in Figure 6.1 shows the averages of two non-normal data groups, the perceived impact and self-rating values from the example used above cannot be considered suitable to identify of the difference between these two independent data groups. Therefore, while the bar graphs shown in Figure 6.1 provide accurate information regarding the average perceived impact rating and the average self-rating of the BE promotion activities separately, these graphs cannot be used to compare these two variables to identify a difference between them.

Mann-Whitney U-test (that is used to test the significance of differences in two groups of data as an alternative to T-test for ordinal, non-parametric, and non-normal data; Neuhäuser, 2011) is carried out to test the significance of difference between the two groups of data. For this purpose, the following hypotheses were tested for each of the 22 BE facilitation activities:

Null hypothesis: H₀: There is no difference between the perceived impact of BE facilitation activities and the BECs' rating of their processes

Alternate hypothesis: H₁: There is a difference between the perceived impact of BE facilitation activities and the BECs' rating of their processes

Table 6.1: Results of the Mann-Whitney U-test carried out on the impact and self-rating data groups

BE Facilitation Activities	Number of Observations		Median			Adjusted p-Value (where Alpha = 0.05)
	Perceived Impact	BECs Self-Rating	Perceived Impact	BECs Self-Rating	Difference	
On-line service/database of BE information/publications	27	27	4	3	1	0.133
BE self-assessment tools	28	25	4	4	0	0.388
Industry specific BE guides to explain BE in terms relevant to the industry.	27	26	4	3	1	0.004*
Networking meetings for CEOs /senior managers of business excellence users	27	26	4	4	0	0.037*
Additional models, guides and Awards that stem from BE and focus on specific topics	28	27	4	4	0	0.958
Workshops/seminars on BE	28	24	4	5	-1	0.000*
BE assessor training courses	28	25	4	5	-1	0.000*
Opportunities for sharing and leaning from organisations in other countries	28	26	4	3	1	0.258
Certified course of training in BE e.g. diploma or masters degree.	27	26	3	3.5	-.5	0.683
Networking meetings for business excellence users	27	26	4	4	0	0.270
BE assessments facilitated by consultants	28	26	4	4	0	0.430
BE Awards at the national level	28	27	4	5	-1	0.003*
Business Excellence mentoring (e.g. access to BE assessors/experts for advice)	28	26	4	4	0	0.416

Conference on BE	28	26	4	5	-1	0.003*
Train the trainer courses (for assessors/consultants)	26	26	4	3	1	0.049
Access to Business Excellence consultants for advice and assistance	27	26	4	4	0	0.778
Copies of BE submission documents from Award winners	27	26	3	4	-1	0.356
Best/good practice tours	28	26	4	4	0	0.659
On-line social platforms/BE forums/discussions	27	26	3	3	0	0.039*
BE certification programs providing recognition at different levels of excellence	28	26	4	4.5	-.5	.326
BE Awards at the local level (by city or area of a country)	26	27	3.5	1	2.5	0.05
Benchmarking services and consulting (activities to learn from best practices)	28	26	4	3.5	-.5	0.248

**An adjusted p-Value of less than 0.05 indicates a significant difference between the two independent groups of data. Mann-Whitney U-test outcomes of these activities (along with their boxplots) are provided in the appendices of this paper.*

Seven of the BE facilitation activities (highlighted in blue color in Table 6.1) were found to have a significant difference (alternate hypothesis was accepted for these activities). Three of these activities fall under the “high average impact and low average self-rating” category. These activities are “industry specific BE guides to explain BE in terms relevant to the industry”, “networking meetings for CEOs /senior managers of business excellence users”, and “on-line social platforms/BE forums/discussions”. Of these activities, recommendations for improvement are provided in the discussion section for the “networking meetings for CEOs /senior managers of business excellence users” being also the highest impact activity and “on-line social platforms/BE forums/discussions” being also the lowest self-rated activity.

The overall average self-rating of BECs in performing BE facilitation activities is 3.3 (out of 5) which means that the BECs rate their processes “above average” in terms of their overall BE

facilitation activities. It was found that BECs rate their processes below this average in 11 of the activities in total, and all the five activities that they perceive are the most important to focus on.

4.2. Identifying the Best Practices in Facilitating BE as Reported in this Paper

In response to the descriptive questions in the survey and structured interviews, BECs reported a wide range of best practices in terms of facilitating BE in their countries. Following a qualitative data analysis explained in the methodology section of this paper, four main themes that all the best practices fall under. These themes are assistance with using the BEFs, tours and visits, training and development, and qualifications and certifications. The best practices that were relevant to the context of BE facilitation were identified and reproduced to present them in a brief form as shown in Table 6.2, while covering the full range of the best practices.

Table 6.2: Best practices for facilitating the use of BE as reported by BECs

Themes	Best Practices
Assistance with Using the BEFs	<p><i>Organisations Starting their BE Journey:</i></p> <ul style="list-style-type: none"> - Assistance is provided to these organisations to guide them on how to use the holistic BEFs and to develop a process by which they can begin the implementation of the BE principles. At the initial stage, the organisations are assisted with self-assessment using the BEF while mentoring is provided at the later stages. - Complex BEFs are simplified through a user-friendly guide which is a smaller (and simpler) version of a BEF to save the organisations’ time (in reading and understanding the entire BEF document/s). <p><i>Topic/ Area-Specific Models:</i></p> <ul style="list-style-type: none"> - In addition to the holistic BEFs such as the Baldrige Excellence Framework and the EFQM Excellence Model, topic/ area-specific models are provided such as Corporate Responsibility, Knowledge Management, Environmental Sustainability, and Leadership. <p><i>Consultation:</i></p> <ul style="list-style-type: none"> - Consultants are arranged by the BECs (with the cost incurred by the organisation using the BEF) to work with and guide organisations in using BE. - A highly cost-effective (zero profit) professional counselling is provided to organisations to consult with the BECs on issues related to applying BE.

	<p>Publications:</p> <ul style="list-style-type: none"> - BEA submission documents are provided to other organisations to learn from their best practices. - Case studies are published by BECs covering BEA recipients with detailed accounts of how they adopted BE for other organisations to learn.
<p>Tours and Visits</p>	<p>Tours to BE Award (BEA) Recipients:</p> <ul style="list-style-type: none"> - Tours BEA recipient organisations are organised by BECs for the aspiring and potential users of BE where the BEA recipients showcase their success stories and share their best practices with the organisations interested in following a BE path. <p>Benchlearning:</p> <ul style="list-style-type: none"> - Benchlearning (a systematic and integrated link between benchmarking and mutual learning activities) is carried out by member organisations of BECs, that host visits for other organisations in the country to share their approaches that may be interesting for other organisations and to obtain feedback on these approaches. <p>International Tours:</p> <ul style="list-style-type: none"> - Tours to other countries are arranged by BECs to have their country’s organisations visit other countries (including partner countries with exchange agreements) to learn from their organisations.
<p>Training and Development</p>	<p>Organisational Leadership:</p> <ul style="list-style-type: none"> - Organisational leaders are trained by giving senior executives a broad business vision, making them capable of generating innovative solutions. <p>Training the Trainers (assessors and consultants):</p> <ul style="list-style-type: none"> - From the batch of BE assessor trainees, the highest performing trainees are selected to become BE trainers when they go back to their organisations or to independently train other assessors/ consultant trainees. <p>BE Events:</p> <ul style="list-style-type: none"> - Conferences and forums are organised by BECs that are attended by an audience larger than a training session where award-winning organisations share their BE journey and experiences. <p>Networking Meetings:</p> <ul style="list-style-type: none"> - Networking meetings are organised by BECs throughout the year attended by organisations from all sectors where they network with their fellow executives for future collaboration.
<p>Qualifications and Certifications</p>	<p>Defining Standards:</p> <ul style="list-style-type: none"> - Professional standards are defined and certification programs are designed and developed by BECs for Quality Managers and Quality Specialists. <p>Tertiary Curriculum:</p>

	<ul style="list-style-type: none"> - BE qualifications are introduced in business schools and universities and a curriculum is designed by the BECs. <p>Executive Fellowships:</p> <ul style="list-style-type: none"> - Executive fellowships are offered by BECs to the C-Suite executives that are competitively selected to participate in a program that enables networking and learning from other executives and the top executives from award recipients. They enjoy in-person meetings and visits to award recipient facilities to see excellence in action. They also work on a capstone project which is something of strategic importance to their organisation. <p>Organisational BE Maturity Certification:</p> <ul style="list-style-type: none"> - Organisations are certified (outside of the normal award cycle) to recognise different levels of BE maturity to encourage them to increase their level more. <p>Self-assessors Certification:</p> <ul style="list-style-type: none"> - Employees of organisations are certified as self-assessors following a training course coordinated by the BECs. Trainees may also join the course to become independent consultants and assessors.
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4.3. Investigating the BE Usage Levels

A key finding of this research was around the usage levels of BE among organisations. Table 6.3 shows the results of the awareness levels in various types of organisations and the overall awareness levels. The BECs responding to this question were also asked a question whether they measure the awareness levels in their country/ region.

Table 6.3: Perceived average (median) percentages of BE usage levels among different types of organisations by BECs who measure and do not measure the usage levels

Type of Organisation	Median Values			11-20% Across All Organisatio
	Measure BE Usage	Do not Measure BE Usage	Overall	
SMEs for-profit organisations (less than 50 employees)	0-10%	0-10%	0-10%	
Businesses (50 employees and greater)	0-10%	11-20%	11-20%	
Multinational/ International Organisations	21-40%	21-40%	21-40%	
Government Organisations	11-20%	11-20%	11-20%	

Non-Government/ Not For Profit Organisations	0-10%	11-20%	0-10%	
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It was found that the perceived average (median) percentage of organisations using BE across all BECs is 0-10% for “SMEs for-profit organisations (less than 50 employees)” and “Non-Government/ Not For Profit Organisations”, 11-20% for “Businesses (50 employees and greater) and Government Organisations”, and 21-40% for “Multinational/ International Organisations”. The BECs that do not measure the BE usage levels perceived slightly higher (11-20%) usage levels than those who measure it (0-10%) among “Businesses (50 employees and greater)” and “Non-Government/ Not For Profit Organisations”.

However, it may be argued that these perceptions may be different between the group of BECs reporting that they measure the level of BE usage in their countries and the group of BECs that reported otherwise. Therefore, Mann-Whitney U-test was carried out to address the issue of a potential difference in the perceptions of these two groups of BECs regarding the percentage of organisations using BE in their countries. The following hypotheses were tested for each type of the organisation:

Null hypothesis: H_0 : There is no difference between the BECs that measure BE usage levels in their countries and those that do not in terms of the percentage of organisations using BEFs.

Alternate hypothesis: H_2 : There is a difference between the BECs that measure BE usage levels in their countries and those that do not in terms of the percentage of organisations using BEFs.

Based on the results of the test, there was found no difference between the perceptions of the BECs that measure and the BECs that do not measure the BE usage levels in their countries, hence, null hypothesis was accepted. Therefore, measuring or not measuring the level of BE usage is not a factor in terms of BECs’ perceptions of the percentage of organisations using BE in their countries.

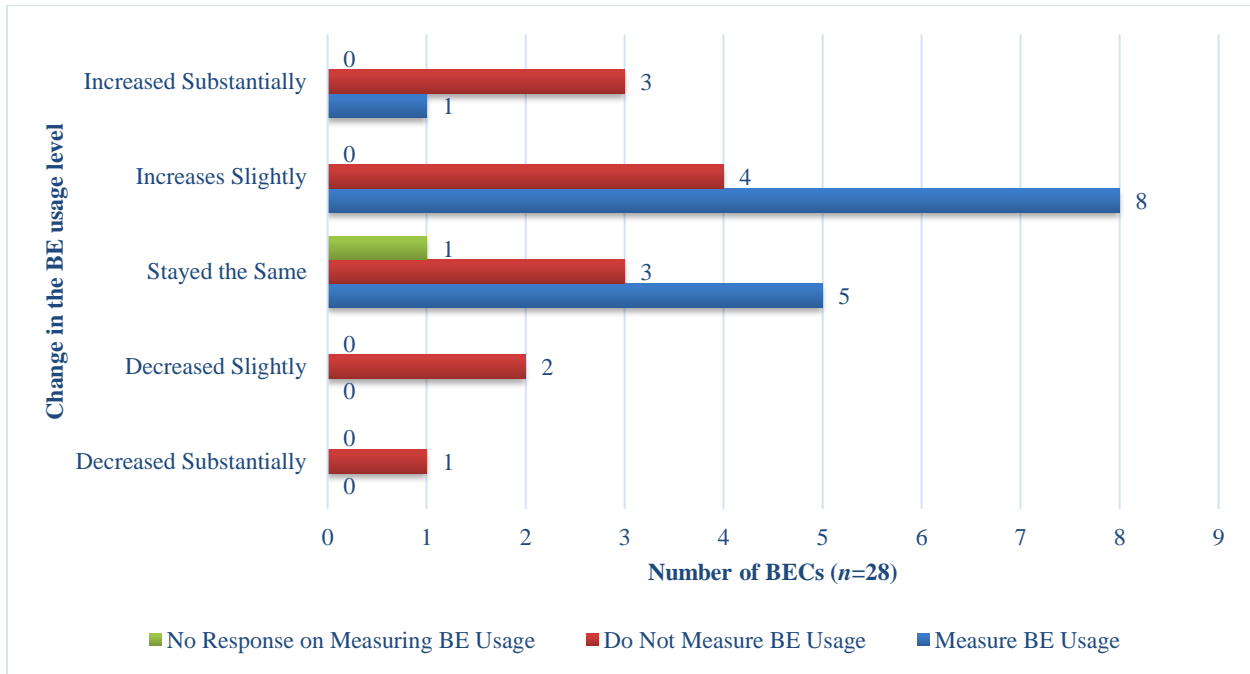


Figure 6.3: Perceived change in the BE usage levels (over the last three years) by BECs who measure and do not measure the usage levels

Most (57.1%) of the BECs perceived a slight (42.8% BECs) or substantial (14.3% BECs) increase in the BE usage levels in their respective countries over the last three years, 32.1% perceived no change, 7.1% perceived a slight decrease, and 3.7% perceived a significant decrease. Once again, for the same reason as for the previous point, Mann-Whitney U-test was carried out to address the issue of a potential difference in the perceptions of the two groups of BECs (that measure BE usage level and that do not measure BE usage levels) and the following hypotheses were tested for this purpose.

Null hypothesis: H_0 : There is no difference between the BECs that measure BE usage levels in their countries and those that do not in terms of the perceived change in BE awareness levels.

Alternate hypothesis: H_3 : There is a difference between the BECs that measure BE usage levels in their countries and those that do not in terms of the perceived change in BE awareness levels.

Based on the results of the test, there was found no difference between the perceptions of the BECs that measure and the BECs that do not measure the BE usage levels in their countries, hence, null hypothesis was accepted. Therefore, measuring or not measuring the level of BE usage is not a factor in terms of BECs' perceptions of change in BE usage levels in their countries.

5. Discussion and Recommendation

The previous section shared the survey results by identifying the key BE facilitation activities, listing best practices in facilitating BE, and identified the usage levels of BE to address the objectives one to three. This section will provide recommendations for improvement in the key BE facilitation activities thus addressing the fourth objective of this paper.

5.1. The Most Important BE Facilitation Activity to Focus on/ Improve for the Next Few Years

Firstly, it was found that BECs consider “on-line service/database of BE information/publications such as showing best practice case studies, examples of BE applications, the types of BE assessments that can be used, benchmarks, and descriptions of business improvement tools and techniques” as the most important BE facilitation activity to focus on for the next few years, whereas, it was rated the third lowest in terms of BECs rating of their processes in performing this activity, making it a key area of improvement. The most useful examples (best practices) for this are the online databases that are currently active, such as those of the National Institute of Standards and Technology (NIST) that governs the Malcolm Baldrige Excellence Program. NIST maintains an online database of application documents (summaries) submitted by the Baldrige Award recipients (at the time of their application) that serve as guides for the new applicants (NIST, 2020a), an archive of a large number of case studies (of organisations that used and benefitted from the Baldrige Excellence Framework; NIST, 2020b), and a wide range of

improvement and self-assessment (NIST, 2019a; 2019b; 2019c; 2019d; 2019e; 2019f) tools. Similar to this is the EFQM's range of online assessments such as a "light touch" assessment which is a simple questionnaire for organisations that are interested in BE or at an early stage of their BE journey (EFQM, 2020a), the Business Matrix assessment which is an intermediate level assessment tool, and the Business Matrix Advanced assessment, which is a thorough self-assessment tool following the full RADAR⁹ Attributes (EFQM, 2020b).

5.2. The Highest Impact BE Facilitation Activity

Secondly, it was found that holding "networking meetings for CEOs /senior managers of BE users" is the highest impact BE facilitation activity that also has a significant difference between its perceived impact and self-rating by the BECs. This finding aligns with the findings of a previous study of Terziovski (2003) that attending networking meetings improves the chances of organisational heads to achieve BE in their organisations because it allows "*searching and incorporating diverse points of views, challenging the status quo, learning from failures, communicating with people outside the company (including experts), and allocation of resources to support communication linkages*". To improve in this activity, BECs are recommended that (as done by Scotland) they formulate several active networks (groups of organisations based on their industry, sector, and other common attributes defined by the BECs to promote intra-network knowledge sharing) that meet throughout the year (organisations that are part of a network are provided with a schedule/calendar of their network's meeting and reminders are sent to these

⁹ RADAR (Results, Approaches, Deployed, Assessment, and Refinement) is a tool within the EFQM Excellence Model that allows a structured approach for questioning organisational performance (EFQM, 2014)

organisations) and in one grand networking meeting held once a year and attended by all the networks.

5.3. The Lowest Self-Rated BE Facilitation Activity

Thirdly, it was found that BECs rate their processes the lowest in organising “on-line social platforms/BE forums/discussions” that also has a significant difference between its perceived impact and self-rating by the BECs. The Dubai Forum for Government Best Practices (organised by the Dubai Government Excellence Program) is an example of a learning and knowledge-sharing platform (DGEP, 2014; Dubai Gazette, 2016). It is an annual 2-days event where former Dubai Government Excellence Award recipients present their experiences and success stories to upwards of 1500 attendees (the number of attendees is not only the measure of a forum’s success but also determines how far-reaching its benefits will be for fostering a culture of BE in the country). In addition to these, the DGEP also holds smaller 1-day sessions several times in a year covering specific BE topics with upwards of 500 attendees. Upon further investigating the digital sources, it was found that the EFQM held a highly attended discussion forum in 2019 with agenda to bring global leaders together to network, share, and collaborate, and to launch the new EFQM Excellence Model (EFQM, 2019). Furthermore, the EFQM has planned (and started promoting) well in advance for the next forum in 2021 (EFQM, 2020C).

5.4. BE Usage Levels

Lastly, BECs perceive an increase in the BE usage levels among the organisations in their countries with 57.1% BECs perceiving a slight to a substantial increase. The reasons reported for this increase were a) an increase in the number of enterprises and people recognising BEFs as an effective tool for performance improvement, b) increased efforts on the part of BECs to make

organisations aware of the benefits of using BE, c) the new generation of leaders being more concerned with doing things in an organised manner, motivated by globalisation and increase in global competition, d) the national level reforms and initiatives for good governance and productivity in the public sector resulting in growing interest and commitment to service excellence in the sector, e) a growing need for austerity in the public sector, and f) the vision and support of national leaders for BE (in the case of UAE, all the government entities must undertake a BE journey as per the Government's directive).

However, the BE usage levels are found to be low with only 11-20% organisations (of all types) perceived to be using BE, which is another key area for improvement identified in this paper. To increase the BE usage levels, it is recommended that (as done by the Czech Republic) the BECs provide professional counselling to their member organisations (and non-member organisations that show interest in pursuing a BE path) where they can consult (preferably free-of-cost) with the BECs on issues related to applying BE (the low usage levels may be because of complexity of BEFs and a lack of guidance on how to embark on a BE journey that discourage organisations from undertaking the journey), raise the awareness levels of BE among CEOs and organisational heads, and hire dedicated employees with specialised jobs such as communication with the country's organisations, research and publications, maintaining the website and databases, and coordinating training between trainees, trainers, and the BEC. To be confident in their BE usage levels, BECs should use scientific methods for carrying out BE consumer research using representative sampling. Ideally, data should be collected directly from a large number of organisations across the country/ region using the national database of registered organisations.

6. Conclusion

The paper has found that “on-line service/database of BE information/publications” is the most important BE facilitation activity for BECs to focus on for the next few years, holding “networking meetings for CEOs /senior managers of business excellence users” has the highest impact on facilitating BE as well as the largest gap between the average rating by BECs of their processes and the average impact rating, and the BECs rate their processes the highest in offering “BE assessor training courses” and the lowest in conducting “on-line social platforms/BE forums/discussions”. It was found that BECs perceive the usage levels of BE to have increased, however, they perceive that only 11-20% of organisations are using BE. Recommendations are made to the BECs to improve the highest impact, most important, the lowest self-rated BE facilitation activities, and to increase the BE usage levels.

This research could be improved by having a higher number of participant BECs and by having a higher number of structured interviews. For the future, this research can be carried out periodically, for instance after every two years to track the progress of the BECs in terms of rating of their processes in carrying out key BE facilitation activities and the BE usage levels in their countries, and by adding more questions to the survey to investigate the reasons of low BE usage levels. Additionally, this research can be improved in the future through triangulation of results by collecting data from organisations that are using BEFs in different countries and BE assessors to compare these responses with the responses of the BECs and by collecting data on the actual BEF usage levels in countries as opposed to perceptual data from the BECs.

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Appendices

1. Industry specific BE guides to explain BE in terms relevant to the industry

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
Difference: $\eta_1 - \eta_2$

Descriptive Statistics

<u>Sample</u>	<u>N</u>	<u>Median</u>
Impact	27	4
Self-Rating	26	3

Estimation for Difference

<u>Difference</u>	<u>CI for Difference</u>	<u>Achieved Confidence</u>
1	(-0.0000000, 2)	95.07%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$
Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

<u>Method</u>	<u>W-Value</u>	<u>P-Value</u>
Not adjusted for ties	885.50	0.006
Adjusted for ties	885.50	0.004

2. Networking meetings for CEOs /senior managers of business excellence users

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
Difference: $\eta_1 - \eta_2$

Descriptive Statistics

<u>Sample</u>	<u>N</u>	<u>Median</u>
Impact	27	4
Self-Rating	26	4

Estimation for Difference

<u>Difference</u>	<u>CI for Difference</u>	<u>Achieved Confidence</u>
0.0000000	(-1, 0.0000000)	95.07%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$
Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

<u>Method</u>	<u>W-Value</u>	<u>P-Value</u>
Not adjusted for ties	669.00	0.290
Adjusted for ties	669.00	0.270

3. Workshops/seminars on BE

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
Difference: $\eta_1 - \eta_2$

Descriptive Statistics

<u>Sample</u>	<u>N</u>	<u>Median</u>
Impact	28	4
Self-Rating	24	5

Estimation for Difference

<u>Difference</u>	<u>CI for Difference</u>	<u>Achieved Confidence</u>
-1	(-1, 0.0000000)	95.15%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$

Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

<u>Method</u>	<u>W-Value</u>	<u>P-Value</u>
Not adjusted for ties	560.00	0.001
Adjusted for ties	560.00	0.000

4. BE assessor training courses

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
Difference: $\eta_1 - \eta_2$

Descriptive Statistics

<u>Sample</u>	<u>N</u>	<u>Median</u>
Impact	28	4
Self-Rating	25	5

Estimation for Difference

<u>Difference</u>	<u>CI for Difference</u>	<u>Achieved Confidence</u>
-1	(-2, -1)	95.10%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$

Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

<u>Method</u>	<u>W-Value</u>	<u>P-Value</u>
Not adjusted for ties	560.50	0.001
Adjusted for ties	560.50	0.000

5. BE Awards at the national level

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
 Difference: $\eta_1 - \eta_2$

Descriptive Statistics

Sample	N	Median
Impact	28	4
Self-Rating	27	5

Estimation for Difference

Difference	CI for Difference	Achieved Confidence
-1	(-2, 0.0000000)	95.02%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$

Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

Method	W-Value	P-Value
Not adjusted for ties	612.00	0.004
Adjusted for ties	612.00	0.003

6. Conference on BE

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
 Difference: $\eta_1 - \eta_2$

Descriptive Statistics

Sample	N	Median
Impact	28	4
Self-Rating	26	5

Estimation for Difference

Difference	CI for Difference	Achieved Confidence
-1	(-2, -0.0000000)	95.06%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$

Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

Method	W-Value	P-Value
Not adjusted for ties	601.50	0.004
Adjusted for ties	601.50	0.003

7. On-line service/database of BE information/publications

Method

η_1 : median of Impact
 η_2 : median of Self-Rating
 Difference: $\eta_1 - \eta_2$

Descriptive Statistics

Sample	N	Median
Impact	27	4
Self-Rating	27	3

Estimation for Difference

Difference	CI for Difference	Achieved Confidence
1	(0.0000000, 2)	95.14%

Test

Null hypothesis $H_0: \eta_1 - \eta_2 = 0$

Alternative hypothesis $H_1: \eta_1 - \eta_2 \neq 0$

Method	W-Value	P-Value
Not adjusted for ties	827.50	0.144
Adjusted for ties	827.50	0.133

8. Results of the Mann-Whitney U-test carried out on measuring BE usage levels and the perceived change in BE usage levels

N-Value		Median			Standardised p-Value
Yes	No	Yes	No	Difference	
14	13	4	3	1	0.429

9. Results of the Mann-Whitney U-test carried out on measuring usage levels and the perceived percentage of organisations using BEFs

Type of organisation	N-Value		Median			Standardised p-Value
	Yes	No	Yes	No	Difference	
SMEs for-profit organisations (less than 50 employees)	14	12	1	1	0	0.618
Businesses (50 employees and greater)	14	12	1.5	2	-.5	0.409
Multinational/ International Organisations	14	12	3	2.5	.5	0.937
Government Organisations	14	13	2.5	2	.5	0.635
Non-Government/ Not For Profit Organisations	14	12	1	1.5	.5	0.387

6.2. Chapter Highlights

This chapter aimed to investigate the current state of and best practices in facilitating the use of Business Excellence (BE). This aim was achieved by meeting four objectives that were: investigating the most important, highest impact, and lowest-self rated BE facilitation activities; listing best practices in facilitating BE; investigating the perceived BE usage levels; and providing recommendations for improving BE facilitation activities.

Mann Whitney U-test analysis found that of the 22 BE facilitation activities investigated in this chapter, seven had a significant difference between the current state (self-rating of BECs activities) and the desired state (perceived impact of these activities). While all these activities were classified as potential areas for improvement, only those that were also found to be the most important, have the highest impact, and the lowest self-rating were discussed in detail.

‘On-line service/database of BE information/publications’ is the most important activity for BECs to focus on for the next few years, arranging ‘networking meetings for CEOs /senior managers of business excellence users’ is perceived to have the highest impact on effectively facilitating the use of BE in a country/ region, and ‘on-line social platforms/BE forums/discussions’ is the lowest self-rated BE facilitating activity. A detailed set of best practices was provided in this chapter to improve these activities.

With regards to the current BE usage levels, it was found that 11-20% organisations are perceived to be using BE. However, the usage levels were perceived to have increased over the last three years with 42.8% BECs perceiving a slight and 14.3% perceiving a substantial increase. It was also found that measuring or not measuring BE usage levels in their country does not affect BECs’ perceptions of the percentage of organisations using BE in their countries/ regions and the change in these levels. However, it is worth mentioning here that even the BECs that measure BE usage

levels do not use robust usage measurement methods. BECs are recommended to measure BE usage in their countries using scientific methods.

A range of best practices reported by this research's participants are provided in this chapter to help improve the BE facilitation activities of BECs. These practices are classified into four categories or themes, namely; assistance to organisations in using the BEFs, tours and visits of organisations to BE Award (BEA) winning organisations, BE training and development of organisation's executives and leaders, and qualifications and certifications on BE.



STATEMENT OF CONTRIBUTION DOCTORATE WITH PUBLICATIONS/MANUSCRIPTS

We, the candidate and the candidate's Primary Supervisor, certify that all co-authors have consented to their work being included in the thesis and they have accepted the candidate's contribution as indicated below in the *Statement of Originality*.

Name of candidate:	Saad Ghafoor
Name/title of Primary Supervisor:	Dr. Robin .S. Mann
In which chapter is the manuscript /published work:	6
Please select one of the following three options:	
<input type="radio"/> The manuscript/published work is published or in press <ul style="list-style-type: none"> • Please provide the full reference of the Research Output: 	
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<input checked="" type="radio"/> It is intended that the manuscript will be published, but it has not yet been submitted to a journal	
Candidate's Signature:	Saad Ghafoor <small>Digitally signed by Saad Ghafoor Date: 2021.04.28 10:20:08 +1200</small>
Date:	28-Apr-2021
Primary Supervisor's Signature:	<small>2021.04.30 11:21:11</small> Robin Mann
Date:	30-Apr-2021

This form should appear at the end of each thesis chapter/section/appendix submitted as a manuscript/publication or collected as an appendix at the end of the thesis.

CHAPTER 7: AWARDING BUSINESS EXCELLENCE

7.1. About the Chapter

This chapter aims to investigate the current state of and best practices in awarding Business Excellence (BE) by BE Custodians (BECs). BE Awards (BEA) must not be confused with other business and industry awards because the focus of a BEA is solely on assessing the performance of an organisation against a BE Framework (BEF) criterion.

Studying awarding BE is important because a key role of the BE Custodians (BECs) (since 1988 when the Baldrige Award was first awarded) is to recognise and publicise organisations for achieving higher levels of BE maturity. To achieve this, BECs hold award rounds in which qualified assessors assess award applicant organisations against the BEFs promoted and facilitated by these BECs. The number of applications in a BE Award (BEA) indicate the profile of that award, an estimate of BE awareness and usage, and the popularity of a culture of BE in a country. For the BECs to improve the BEA activities in their countries/ regions, they can learn from each other's best practices shared in this chapter.

Following the same methodology as the previous chapter (6), of the 46 questions in the thesis survey, 18 questions covered the objectives of this chapter.

The key literature on this topic comprises of studies focused on comparing various BEAs worldwide and the BEFs that they use for assessing organisations (Mavroidis et al., 2007; Tan, 2002; Chuan & Soon, 2000; Xie et al., 1998; Ghobadian & Woo, 1996), the impact of participating in and winning BEAs on organisations (Plaček et al., 2019; Han et al., 2014; Lin et al., 2013; Mann et al., 2011; Przasnyski, 2002), and case studies on award-winning organisations covering how

they became award winners (Hasan & Hannifah, 2013; Angell & Corbett, 2009; Tutuncu & Kucukusta, 2007; Hill & Freedman, 1992).

The present study is unique and adds value to the existing knowledge on awarding BE by collecting data directly from the BECs on their self-perception of BEA activities, their assessor and applicant related activities, their award processes, and methods for improving these processes.

This chapter was produced as a peer-reviewed journal article and is yet to be submitted to a journal.

The Current State of and Best Practices in Awarding Business Excellence

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This paper aims to investigate how Business Excellence Custodians (BECs) award Business Excellence (BE). A key focus of this paper is on investigating the BE Award (BEA) activities that a) are the most important to focus on/ improve for the next few years, and b) BECs rate their processes the highest and the lowest in. This paper also presents a list of the BEA activities reported by BECs and makes recommendations for improvement in the activity that is the most important to focus on/ improve for the next few years and that the BECs rate their own processes the lowest in. BEA application submission and assessment processes are also investigated in this study. The data were collected from 29 BECs in 26 countries with the help of a survey, while 13 BECs also undertook optional follow-up structured interviews. It was found that carrying out “publicity to encourage award applications” is the most important activity to focus on/ improve for the next few years and the activity that the BECs rate their processes the lowest in. It was also found that BECs rate their processes in making “site visits to award applicants” the highest, rate their processes in overall BEA activities as “good”, and have generally a positive perception of their BEAs’ profile, process, and value (for BE assessors and organisations).

Keywords: Business excellence, awarding business excellence, recognising business excellence, business excellence frameworks, business excellence models.

1. Introduction

This section comprises of two sub-sections which are; a) a brief background of the paper, and b) the aim and objectives of the paper.

1.1. Background

Business Excellence Awards (BEAs) recognise organisations that show remarkable progress in their Business Excellence (BE) journeys, which is assessed by qualified BE assessors against a widely recognised BE Framework (BEF) (Brown, 2013). BEAs held on a national level (such as the Malcolm Baldrige National Quality Award (MBNQA) (NIST, 2020), and the Japan Quality Award (JQA); JQAC, 2020), also known widely as National Quality Awards (NQAs) are a source of publicity for the award recipient organisations (AROs) (because they get recognised as role models for other organisations) and promote the use of BE in a country (Grigg & Mann, 2008; Xie et al., 1998). The MBNQA was first launched in 1988 (NIST, 2019a) and became the first BEA as recognised by the Global Excellence Models (GEM) council¹⁰. Since then, other countries have developed their BEAs to recognise and promote BE and to foster a culture of BE in their organisations (Tan, 2002). Currently, 57 countries are found to have active BEAs held in 2018 or after (Ghafoor & Mann, 2021).

1.2. Aim and objectives of the paper

This paper aims *to investigate the current state of and best practices in awarding BE by the BECs.*

Objectives were set to: -

¹⁰ Global Excellence Models (GEM) Council is the body comprising of the organisations that are global leaders of BE and organisers of the major BEAs (EFQM, 2020a).

1. Investigate the BECs' perception of their BEAs' profile, process, and value (for assessors and participant organisations),
2. Investigate the BEA activities that are the most important for focus on/ improve for the next few years and the activities that the BECs rate their processes the highest and the lowest in,
3. Provide a list of best practices in awarding BE reported in this research,
4. Investigate the BEA application submission processes,
5. Investigate the numbers of BEA applicants and recipients,
6. Investigate the BEA eligibility, application, and site visit fees,
7. Investigate the incentives offered to the BEA applicants,
8. Investigate the BEA processes,
9. Investigate the BE assessor related activities,
10. Investigate the BECs' efforts in increasing the value of their BEA for assessors and participant organisations, and
11. Provide recommendations for improvement in the activity that the BECs consider the most important to focus on/ improve for the next few years and the activity that they rate their processes the lowest in,

2. Literature Review

A literature review was carried out to develop an understanding of the existing research on BEAs. It was found that the existing research covers the topics of a) comparisons between BEAs/NQAs (and their BEFs) worldwide, b) the impact of these awards, and c) case studies on AROs. However, there has been little research on the topic of how BECs administer BEAs in their countries. The study of Grigg and Mann (2008) is the only known account on administering BEAs in 16 countries (conducted in 2005) and is the nearest to the scope of the present study.

2.1. Comparisons of BEA/NQAs and their BEFs worldwide:

Research on the comparisons of BEAs/NQAs (listed in Table 7.1 that shows the 10 highest cited studies in this area) has mainly a) studied the EFQM Excellence Award (formerly known as the European Quality Award (EQA); EFQM, 2020b) and the MBNQA, b) studied the similarities, differences, strengths, and weaknesses of the BEF criteria used by the BEAs/NQAs for recognising BE, c) found the criteria across the different BEFs to be similar in nature, and d) found the criteria to be valid measures for BE.

Table 7.1: A list of 10 highest cited studies on comparisons between BEAs/NQAs and their BEFs

Year	Author/s	Number of BEAs/ NQAs Studied	EFQM/(EQA)	MBNQA	Canada	Australia	Deming Prize	Brazil	Japan	India	New Zealand	Singapore	South Korea	Sweden	United Kingdom
1995	Bohoris	3	✓	✓			✓								
1996	Laszlo	4	✓	✓	✓				✓						
1996	Ghobadian and Woo	4	✓	✓		✓	✓								
1998	Xie et al	9	✓	✓	✓			✓		✓	✓	✓		✓	✓
2000	Vokurka et al.	5	✓	✓	✓	✓	✓								
2001	Cauchick Miguel	6	✓	✓	✓	✓	✓	✓							
2011	Kim and Kim	6	✓	✓	✓	✓			✓				✓		
2000	Chuan and Soon	17			<i>Six from Asia, six from Europe, three from Africa, one from North America, and one from Oceania.</i>										
2002	Tan	16			<i>Five from Asia, four from Africa, three from South America, two from Europe, one from the US, and one from Europe.</i>										
2007	Mavroidis et al.	31			<i>31 of the European Union (EU) countries.</i>										

In addition to the BEA/NQA comparative studies, the designs of individual NQAs'/BEAs' BEFs were examined in the studies like Jäger (1996) who studied the introduction and benefits of the Austrian Quality Awards, Laszlo (1997) who studied the increasing emphasis of the BEAs/NQAs

of the U.S. and Canada on organisational results, Tan and Khoo (2002) who studied the principles of the Singapore Quality Award, Rawabdeh (2008) who studied the award characteristics, objectives, benefits, and the BEF criteria of the Jordanian Quality Award, and Lasrado (2017) who studied the role of the UAE's Dubai Quality Award (DQA) in fostering a culture of excellence in Dubai.

2.2. Impact of BEAs on organisations:

In terms of impact of BEAs, the literature suggests that participating in BEA programs enables organisations to achieve stakeholder value such as achieving cost-effectiveness (Plaček et al., 2019), competitive performance (Han et al., 2014, Mann et al., 2011), increasing shareholder value (Lin et al., 2013; Przasnyski, 2002), increasing profits (Hendricks & Singhal, 2000), and to gain publicity by getting recognised a role model organisations in their countries (Grigg & Mann, 2008). Furthermore, the study of Caroline (2001) suggested that holding BEAs is a formidable way for a country to improve its overall economic performance.

2.3. Case studies on AROs:

The literature comprising of AROs' case studies covers a multitude of topics. For example, the study of Hasan and Hannifah (2013) studied the Australian AROs to examine the applicability of BE in organisations from different sectors (public, private, service, education, healthcare, not-for-profit), Tutuncu and Kucukusta (2007) studied the Turkish AROs to determine the relationship between the EFQM Excellence Model and organisational commitment, Angell and Corbett (2009) studied the New Zealand AROs (that had received the award multiple times) to assess the progression of BE in them, Hill and Freedman (1992) studied how an MBNQA recipient

organisation manages its quality process, and de Macedo-Soares and Chamone (1994) studied the best practices of a Brazilian ARO recipient organisation.

3. Methodology

This section provides the research methodology of this paper in four sub-sections which are; a) research paradigm, b) population and sampling, c) developing the survey and the structured interview instrument, and d) data collection and analysis.

3.1. Research Paradigm

The research paradigm of this paper is pragmatism which recognises that there can be different ways of interpreting data and undertaking research, that no single point of view can give a complete picture, and that there may be multiple realities (Bryman, 2016). Pragmatism is an outcome of culmination (or moderation) of the two completely mutually exclusive paradigms which are positivism (which is to gain knowledge through scientific methods that can be verified mathematically or logically, is objective in nature, and relies on quantitative data; Creswell, 2017) and interpretivism (which is to gain knowledge by relying on the meanings that humans attach to their actions, is subjective in nature, and relies on qualitative data; Creswell, 2017). Therefore, this paper follows a mixed-method research design comprising of a survey and follow-up structured interviews thus collecting and analysing both quantitative and qualitative data from the respondents. In term of time horizon, this is a cross-sectional research which involves looking at data from a population at one specific point in time.

3.2. Population and Sample:

Research (using publicly available sources such as BEC websites and business newspapers) was conducted in 2018, which identified 65 BECs in 55 countries. Criteria were set for considering a

BEC as active and including them in the list. The criteria were that the BEC must a) administer a BEF that is based on sound Total Quality Management (TQM) principles and follows the same understanding of BE as that of the GEM Council. This means that awards that were named ‘excellence awards’ but did not address the core principles of BE (or did not use similar assessment methods) were excluded from this research, and b) have had held a BEA between 2016 and 2018 or had planned one for 2019. While this list was used for carrying out the research (survey and interviews), the list was later updated with January 2021 information that identified 57 countries with 74 BECs.

3.3. Developing the Survey and the Structured Interview Instrument:

The survey and structured interview instrument for this paper was developed by modifying and updating survey instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a, 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008). Once developed, the survey was shared with the BECs for feedback on the completeness of the survey and the clarity of the terminologies used. The feedback (received from 11 BECs) was used to refine the survey, which was shared with the GEM Council (in their annual general meeting in August 2018 in Sydney) for final approval. The survey comprised of 18 questions out of which, 17 questions represented the objectives of this paper and whereas an 18th question asked the BECs to share their general comments about this research.

Survey and Structured Interview Questions

1: How would you describe the profile /prestige of your country’s BE award?

2: The following are activities that your organisation may be undertaking as part of your awards process. Please answer the following:

3: Select up to three award processes / activities from the above table that your organisation is particularly effective at conducting. Please explain why you consider them to be effective? In

particular, highlight those practices that are particularly innovative or you believe are good/best practice?

4: *Have you run any major programmes to encourage organisations to apply for a BE award that you consider to have been particularly effective? If so, please explain (or leave blank if you have already answered this question when responding to the above question).*

5: *Do you think that there should be changes to the general process for applying and assessing organisations for a Business Excellence Award?*

6: *How do applicants submit their application?*

7: *Please use the table below to indicate the BE award schemes that you run. In relation to each, please indicate how many applicants and winners you had in your last awards program. In the final three columns, please provide the fees in US\$ that you charged.*

8: *What are the incentives offered to encourage organisations to apply for an award? It may be any form of benefit, please explain why should applicants apply for your award?*

9: *Do you give an award for the best applicant for the year (for example, if three organisations receive the highest award then is one of these selected as the most outstanding applicant)?*

10: *Please give a broad timeline of the award process using the table below with day 1 being the Announcement and promotion of the award.*

11: *Do you invite a special guest to the award event? If so, please specify who i.e. head of state or a business leader etc.*

12: *The following questions are related to evaluator/ assessors. Please respond in the right hand column unless you have other comments to add.*

13: *How confident are you that your assessments/ evaluations are consistent and reliable? (For example, would the same organisation score a similar amount of points if different assessment/ evaluation teams were used?)*

14: *How do you think award applicant organisations rate the value of your awards process in relation to the time and resource they have invested?*

15: *How do you think assessors/ evaluators rate the value of your awards process in relation to the time and resource they have invested?*

16: *What does your organisation do to increase the value of the award process for applicant organisations (i.e. enabling the participant organisations to see great benefits in participating) and what more can be done?*

17: *What does your organisation do to increase the value of the award process for assessors/ evaluators (i.e. enabling the participant organisations to see great benefits in assessing/ evaluating participants) and what more can be done?*

3.4. Data Collection and Analysis:

After the interested BECs registered their interest to participate in the research. The survey was sent to the CEOs or members of the Board of Directors of these BECs via email. The survey was undertaken (and submitted via email) by 29 BECs in 26 countries, out of which 13 also undertook the optional structured interview (conducted via Skype) to seek more detail in responses to the

questions (especially those related to best practices) and, if required, confirm the information provided in the survey.

Two main challenges with the data validation were: a) the response bias in the perception-based questions in the survey; and b) the missing values in the data because some of the questions did not apply to the BECs, for example, not all the BECs undertake all the activities investigated in this research. To mitigate these: a) the BECs were followed up with to clarify any suspected anomalies in the data; b) publicly available sources (such as BEC websites) were used to verify the responses; c) the BECs were provided with a draft report (with analysed data and results from the survey and structured interviews) to correct their response if needed (internal validation of data), add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered; and d) averages and percentages were used based on the number of responses (n values) to each question (thus making the data comparable and consistent).

With regards to the qualitative data, the transcripts of the detailed responses to the qualitative questions (in the survey and structured interview) were thoroughly read to manually highlight the dominant themes in the mentioned best practices. This process was repeated several times and the themes were split and merged as the analysis developed until a set of themes and best practices that accurately represented the data were obtained.

4. Results

This section is divided into 10 sub-sections that address the objectives one to ten of this paper.

4.1. BECs' perception of their BEAs' profile, process, and value (for assessors and participant organisations):

Figures 7.1 to 7.3 show the results of BECs' responses to their perceptions concerning the profile/prestige of their award, their confidence in the consistency and reliability of their assessment process, and the value of their award for the participating organisations and assessors.

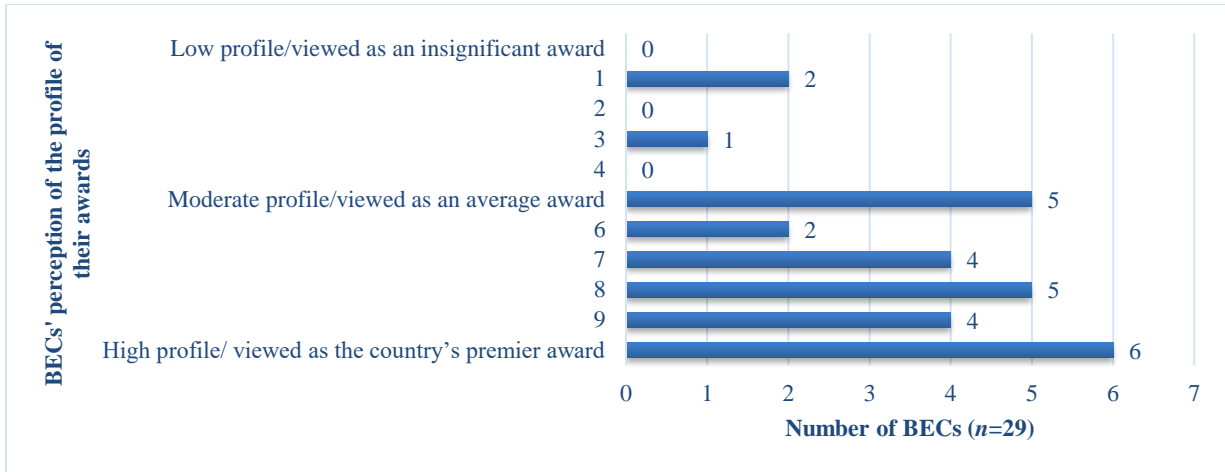


Figure 7.1: BECs perception of the profile/prestige of their BEAs

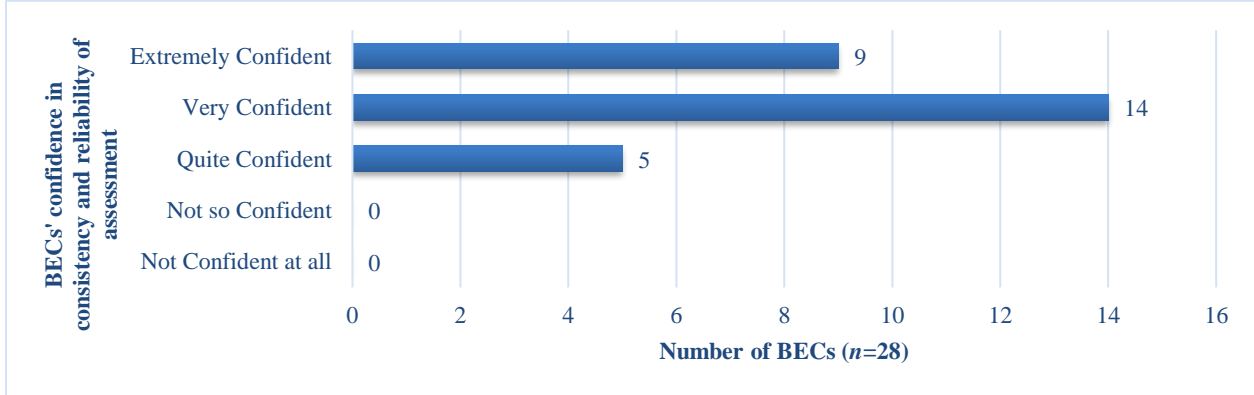


Figure 7.2: BECs' confidence on the consistency and reliability of their assessment process

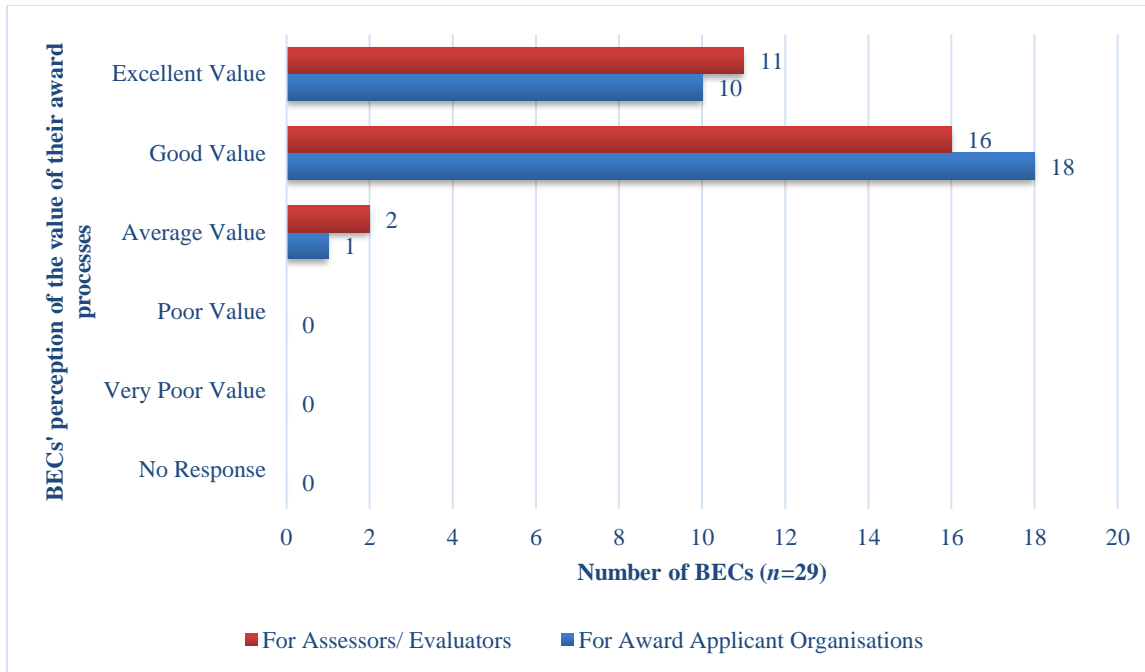


Figure 7.3: BECs’ perception of the value of their award processes for their assessors and applicant organisations

It was found that the BECs generally have positive perceptions about their BEAs as; a) 72.4% of the BECs rated their BEAs to have a “moderate profile/viewed as an average award” or better, of which 20.7% (Japan, Jordan, Sweden, UAE (DGEP¹¹ and DED¹²), and the US) rated their BEAs to have a “high profile/viewed as the country’s premier award”, b) all of the BECs reported confidence in the consistency and reliability of their assessment process with 50% reporting that they are very confident, 32.1% reported extreme confidence, and 17.9% reported that they are quite confident, and c) 55.2% and 62% of the BECs perceived a good value of their BEA process for assessors and applicant organisations (respectively) in relation to their (assessor and applicant

¹¹ Dubai Government Excellence Program – Public Sector

¹² Department of Economic Development, Dubai – Private Sector

organisations) invested time and resources, whereas 38% and 34.5% BECs perceived an excellent value for assessors and applicant organisations, respectively.

4.2. BECs' rating of their processes in BEA activities and the importance of these activities:

Figure 7.4 shows a list of 20 activities (along Y-Axis) that the BECs were asked to rate their processes in and to select the top five activities that they need to focus on/ improve for the next few years.

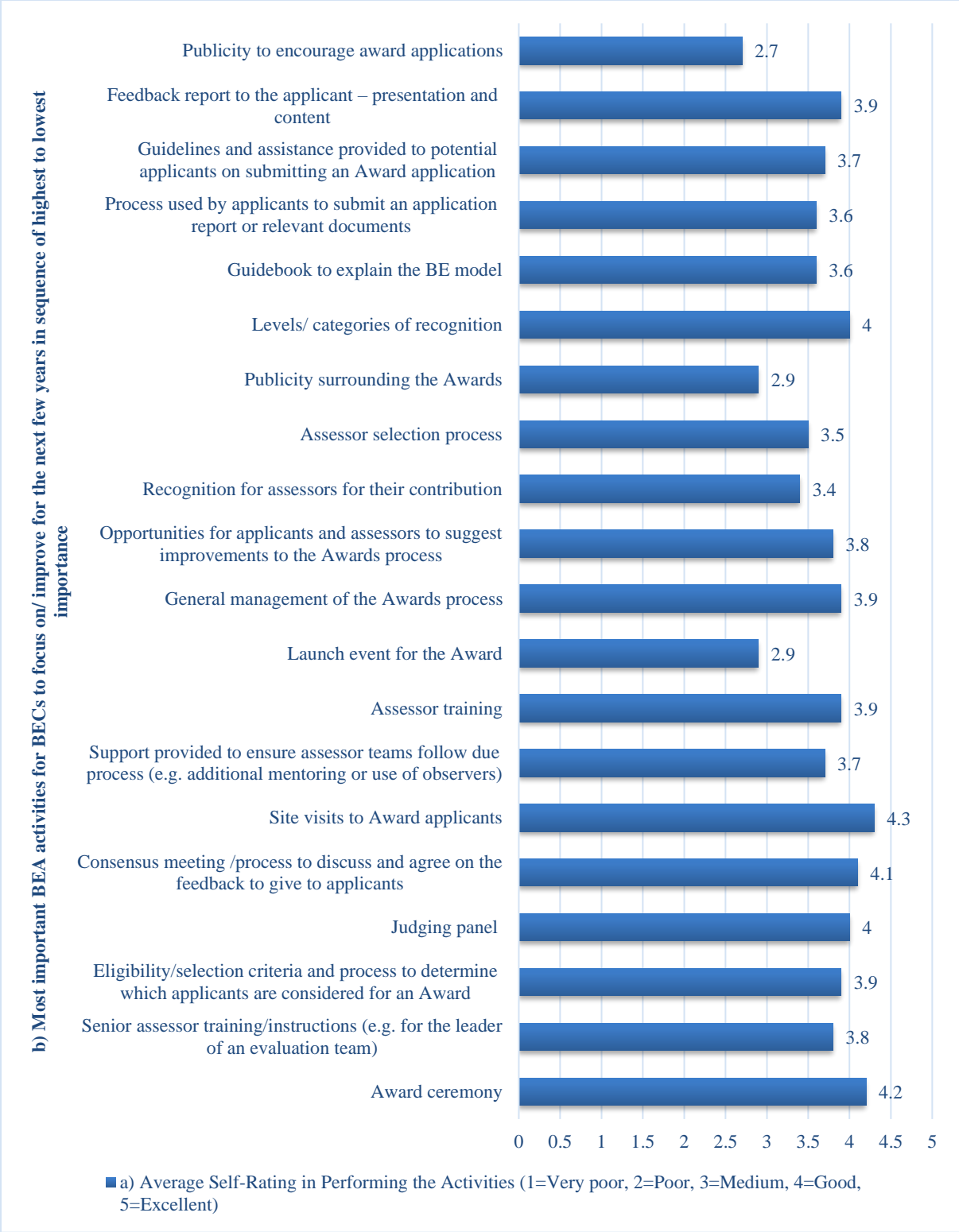


Figure 7.4: The average self-rating by BECs of their processes (shown as blue bars) and the activities that they perceive to be the most important to focus on/ improve for the next few years

Carrying out “publicity to encourage award applications” was rated as the most important activity to focus on/ improve for the next few years (with 12 votes) which is also the activity that the BECs rate their processes the lowest in with a rating of 2.7 (where 2 represents poor and 3 represents average). BECs rated their processes the highest in making “site visits to award applicants” with a rating of 4.3 out of 5 (where 4 represents good). The overall average self-rating of BECs in performing BEA activities is 3.8 (out of 5) which means that the BECs generally rate their processes “good” in terms of their overall BEA activities. Furthermore, BECs rate their processes below this average in nine of the activities in total, and four of the top five most important activities to focus on/ improve. Of these, we provide recommendations for improving the most important activity of carrying out “publicity to encourage award applications”.

4.3. Summary of the BECs’ best practices in carrying out BEA activities:

In response to the descriptive questions in the survey and structured interviews, BECs reported a wide range of best practices in terms of awarding BE in their countries. Following a qualitative data analysis explained in the methodology section of this paper, there were identified three main themes that all the best practices fall under. These themes are promoting the BEA, facilitating the BEA application process, site visits, the BEA assessment process, award and recognition categories, feedback reporting, award ceremony, and recognition of the award participants, recipients, and assessors. The best practices that were relevant to the context of awarding BE were identified and reproduced to present them in a brief form as shown in Table 7.2, while covering the full range of the best practices.

Table 7.2: Best practices for awarding BE as reported by BECs

Themes	Best Practices
Promoting the BEA	<p>Industry Leaders:</p> <ul style="list-style-type: none"> - Business leaders are requested to join BE conferences that are held to promote participation in BEAs by explaining the benefits of following a BE journey and participating in the BEA. <p>National Leaders:</p> <ul style="list-style-type: none"> - Excitement is created in the potential BEA applicants by inviting the national leadership to attend the award ceremony and announcing this attendance at the time of the launch of the award.
Facilitating the Application Process	<p>Guidance on Preparing an Application:</p> <ul style="list-style-type: none"> - Submission documents of the previous award-recipients are made available online to guide new applicants. <p>Simplifying the Application Process:</p> <ul style="list-style-type: none"> - Online forms are made available to complete an application report by following a set of simple steps. <p>Application Mentors:</p> <ul style="list-style-type: none"> - Industry-specific and field-specific mentors are provided to the applicant organisations to guide them through the entire application and assessment process and with the improvement process after receiving a feedback report.
Site Visits	<p>Comprehensive Assessment during Site Visits:</p> <ul style="list-style-type: none"> - Site visits are not limited to the meeting rooms and the top-level managers of the organisation being assessed. The assessors spend multiple days in each of the organisation, visit the areas like shop floors, retail, manufacture, and logistics, and talk to randomly selected employees for cross-checking.
BEA Assessment Process	<p>Ensuring Assessment Fairness:</p> <ul style="list-style-type: none"> - Assessors' scores and comments on an organisation are compiled in a report that is discussed in a consensus meeting where assessors agree on the score. - A calibrated process (to ensure that all the applicant organisations are assessed on the same standards) is followed by the judges to ascertain that the AROs satisfied the established requirements.
Award and Recognition Categories	<p>Recognising More than One Organisation:</p> <ul style="list-style-type: none"> - Multiple award schemes are held to recognise BE in different sectors (public and private), industries, and organisational sizes. - Multiple recognition levels (like Gold, Silver, Bronze) are used (outside of the main BEA) to appreciate the organisations that made a remarkable improvement in their BE maturity levels.
Feedback Reporting	<p>Robust Feedback Process:</p> <ul style="list-style-type: none"> - Assessors spend as many as two full days on meetings after the site visit (of each organisation) to develop a high-quality report.

	<ul style="list-style-type: none"> - Detailed reports are provided to participant organisations comprising of the overall BE score, BE scores in specific criteria, and the best practices from other organisations. - To ascertain that the participant organisations understand the report and its contents, assessors visit the organisations again (after the initial site visit and the award ceremony) to present and explain the opportunities for their improvement.
Award Ceremony	<p>Coverage of the Award Ceremony:</p> <ul style="list-style-type: none"> - The head of state is invited as the special guest in the award ceremony to hand over the awards which raises the prestige of the award. - The ceremony is broadcasted on national TV and the highlights from the ceremony are covered by the leading national newspapers.
Recognition of the Award Participants, Recipients, and Assessors	<p>Recognition through Publications:</p> <ul style="list-style-type: none"> - Recognition books are published after award rounds mentioning all the award participants, recipients, and assessors. - Award applicants and recipients are recognised on the BEC’s website. <p>ARO Engagement:</p> <ul style="list-style-type: none"> - Award-recipients are invited to the other BE-related events (seminars/webinars/conferences/workshops) to share their best practices with the organisations that have recently started a BE journey. <p>Assessor Recognition:</p> <ul style="list-style-type: none"> - The assessors are recognised in the award ceremony by calling them on the stage and handing over awards to high-performing assessors. - The assessors are recognised in the recognition book and the BEC’s website.

4.4. BEA application submission process:

Figures 7.5 to 7.8 show the results of the BECs’ responses concerning the type of the award application document, its length, its minimum font size, and its mode of submission.

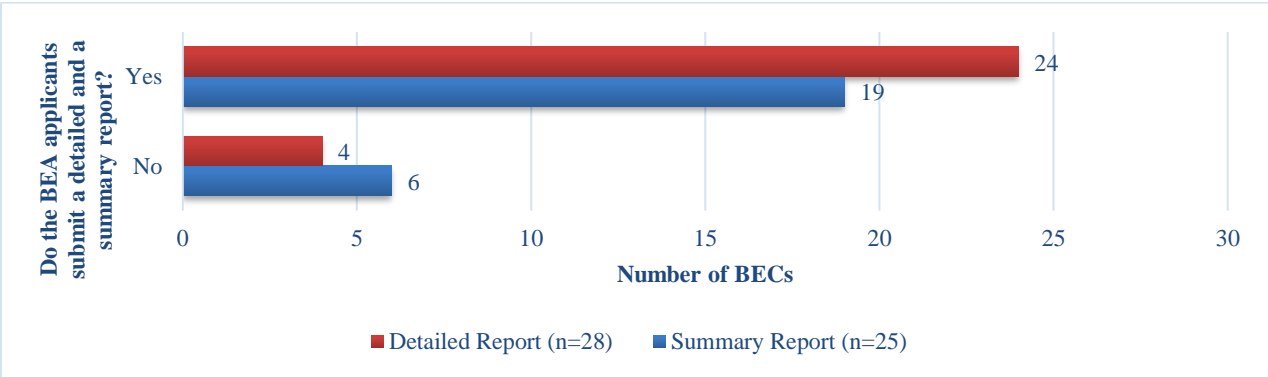


Figure 7.5: Detailed and summary submission documents

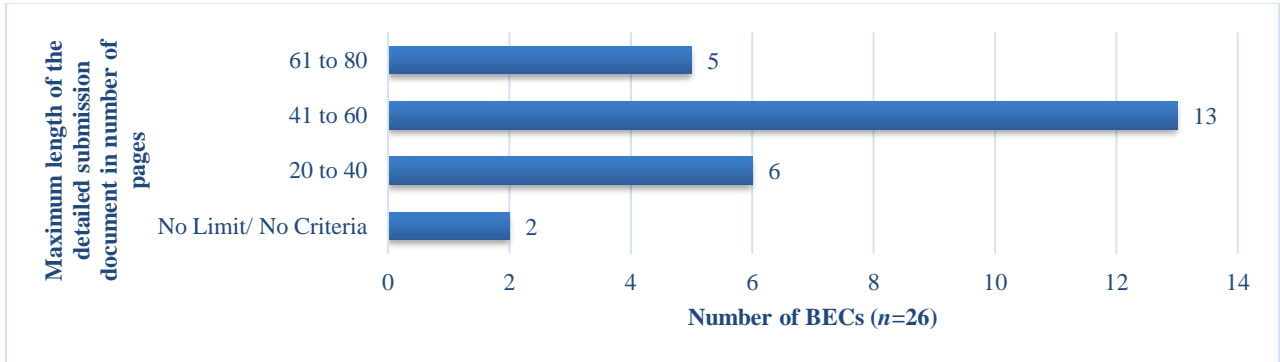


Figure 7.6: Maximum length of the detailed submission document in number of pages

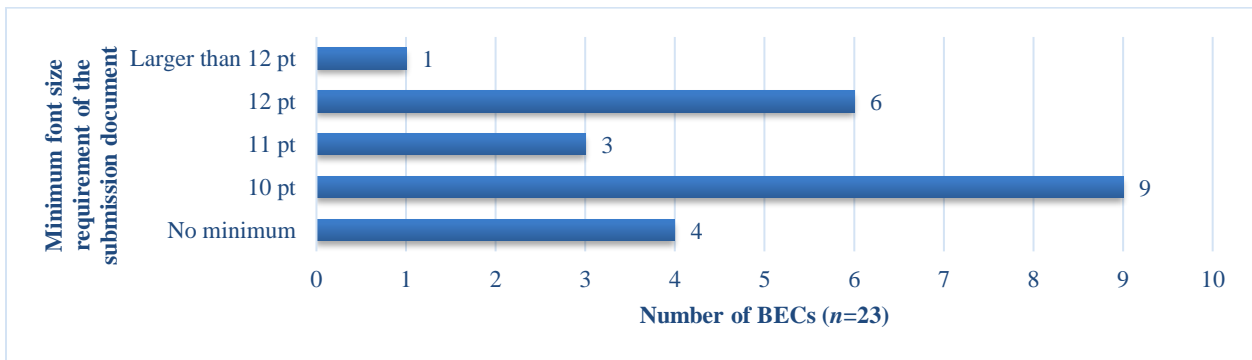


Figure 7.7: Minimum font size requirement of the submission document

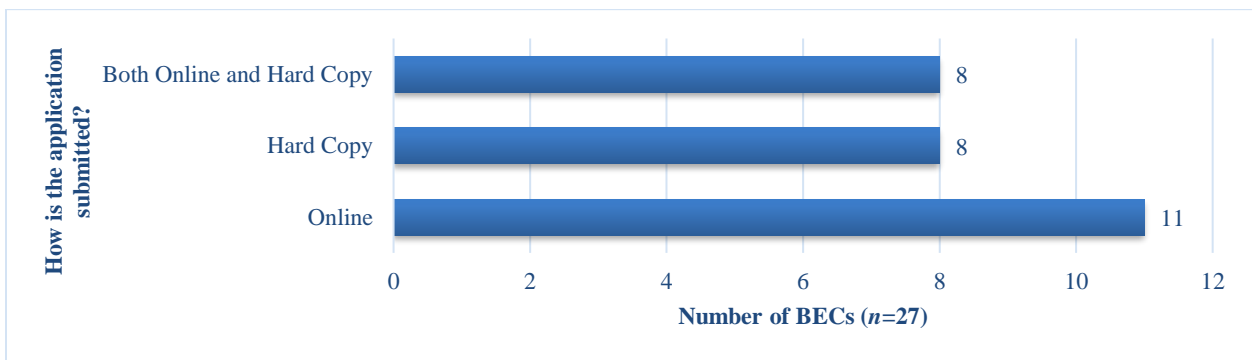


Figure 7.8: How is the application submitted?

It was found that a) 76% and 85.7% of the BECs require BEA applicants to submit a summary and a detailed document, respectively, b) 80.8% of the BECs limit the maximum length of the detailed submission document to 60 pages, c) 39% of the BECs limit the minimum font size of the submission document to 10pts, 26.1% to 12pts, and 17.4% do not have a specified lower limit of the font size, d) 40.8% of the BECs reported that they facilitate BEA application submissions online only, 29.6% facilitate the submissions by hard copy only, and 29.6% facilitate both online and hard copy submissions, and e) BEA applicants can submit their strategic and operational documents (such as the strategic plan, processes, and policies) as an alternative application process (offered by Australia).

4.5. Numbers of BEA applicants and recipients:

Figure 7.9 shows the names of all the countries/ BECs participating in the study with the horizontal bars representing the numbers of award applicants and award winners.

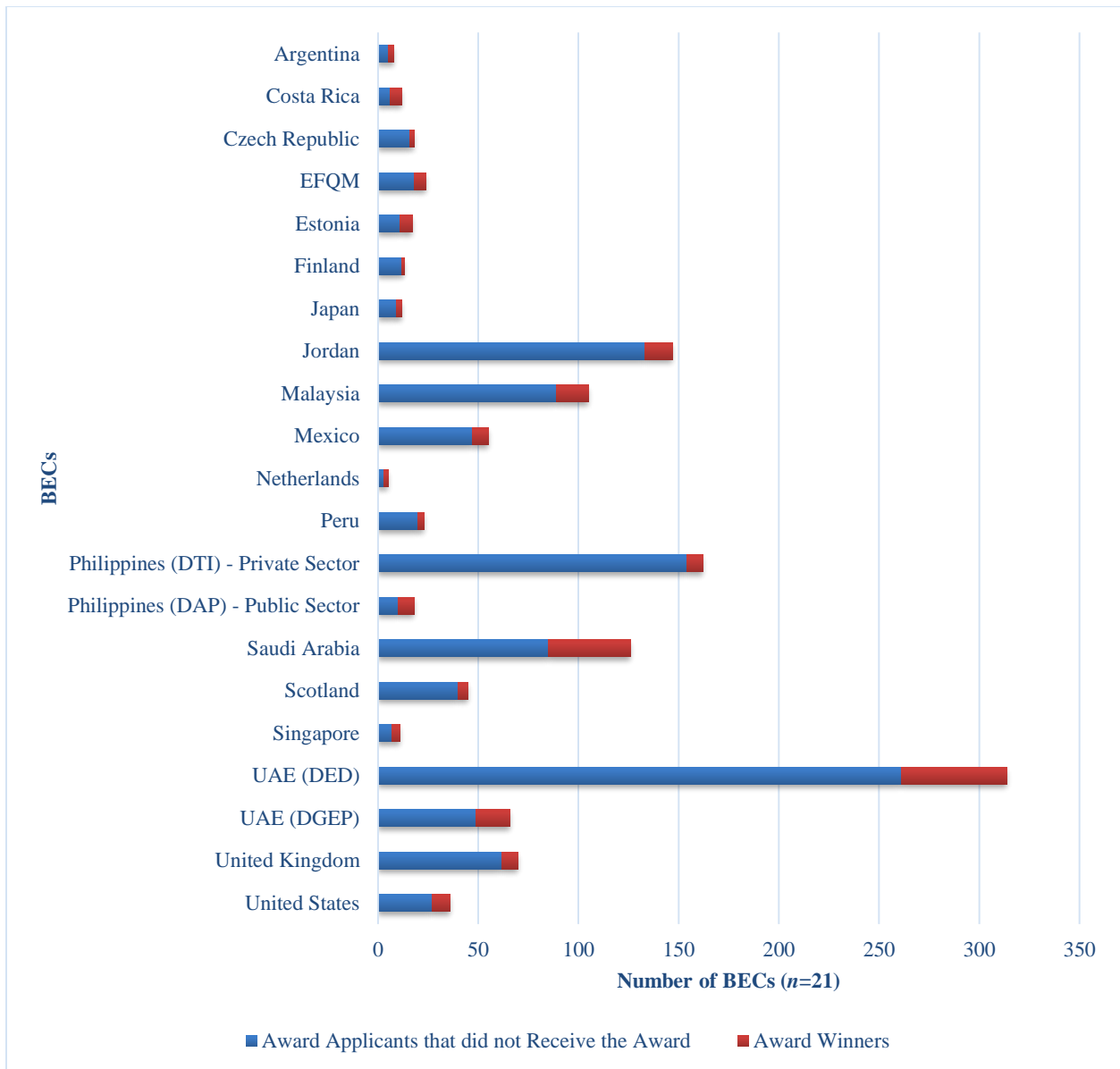


Figure 7.9: Numbers of BEA applicants and recipients in the last awards program (held between 2016 and 2018)

The UAE (DED – private sector) was found to have the highest number (261) of BEA applicants in their last BEA program (also with the highest number (53) of AROs) followed by the Philippines (DTI – private sector) with 154 applicants.

As opposed to the BECs that are responsible for the private sector or generic BEAs (like the two BECs mentioned above), the BECs that are responsible for only the public sector BEAs have a limited number of organisations (government entities) participating in the awards resulting in their lower numbers comparatively. Examples of such BECs are the UAE (DGEP) and the Philippines (DAP). With regards to the reasons for high participation levels in the UAE (DED) and the Philippines (DTI) awards, these BECs follow the BEA publicity approaches recommended in the discussion section of this paper.

4.6. Eligibility, application, and site visit fees:

Tables 7.3 to 7.5 shows the eligibility, application, and site visit fees charged by the BECs that responded to these questions to the award-applicant organisations across 10 different industries.

Table 7.3: Eligibility fees for award

Type of award scheme→ BEC↓	Generic for all sectors/sizes	Business	Manufacturing	Service	Health	Education	Not for Profit	Government /public	Small to Medium Enterprise	BE Category Awards
Argentina			\$3,900	\$3,900			\$586			
Canada	Network \$1500, Builder \$5500, Premier \$13,500, Elite \$20,000, Governor's Circle \$30,000									
Costa Rica	"\$3700" 1000+, "\$3,350" 100+, "\$1850" 50+, "\$950" <50 Employees									
Japan	\$90									
Jordan			\$2,815							
Peru						\$250				
Saudi Arabia	\$480									
UAE (DGEP)								Free		
UAE (DED)	Free									
United Kingdom	\$13,000 - \$23,750									\$600
United States	\$400									

Table 7.4: Application submission fee

Type of award scheme→ BEC↓	Generic for all sectors/sizes	Business	Manufacturing	Service	Health	Education	Not for Profit	Government /public	Small to Medium Enterprise	BE Category awards	Other Costs
Argentina			\$16,100				\$2,346				
Australia	\$17,000										
Canada	\$1,650-\$2,750										
Costa Rica	Included in the amount mentioned in question 7.3										
Europe-EFQM			\$43,000	\$13,000	\$15,000	\$13,000		\$45,000			
Japan	\$15,765							\$ 11,261			
Mexico								Small 800 Medium 3,000 Large 5,000			
Netherlands	\$15,000-\$20,000										
Philippines (DAP)								\$1,000 Large, \$600 Small			
Philippines (DTI)	\$1,000										
Saudi Arabia	\$8,000 Government, \$16,000 Private										
Scotland	\$2,327-\$3,234 for committed to excellence, \$7,372-\$9,957 for recognised for excellence										
Singapore	\$2,000										
UAE (DGEP)								Free			

UAE (DED)	For DQA ¹³ and DHDA ¹⁴ *Appreciation category = 275\$ *Award category = 545\$ *Gold category=815\$ *Global=2700\$ *For DSES ¹⁵ = 325\$ per outlet registered – annual membership fee						
United States		≤500 wforce: \$10,800 others: \$20,200	K-12: \$4800 Other: ≤500	≤500 wforce: \$10,800 others: \$20,200	\$10,800		

Table 7.5: Site visit fees

Type of award scheme→ BEC↓	Generic for all sectors/sizes	Business	Manufacturing	Service	Health	Education	Not for Profit	Government /public	Small to Medium Enterprise	BE Category awards	Others
		Argentina			\$5,000						
Canada	Included in the fee mentioned in questions 7.3 and 7.4										
Costa Rica	If necessary, the organisation has to assume cost of examiners displacement, lodging, and food.										
Japan	Actual travel cost for assessors, such as transportation, accommodation, and meals.										
Mexico								Average \$1,500 for travel expenses			
UAE (DGEP)								Free			
UAE (DED)	Free										

¹³ Dubai Quality Award

¹⁴ Dubai Human Development Award

¹⁵ Dubai Service Excellence Scheme

The UAE (DGEP) reported that it does not charge the applicant organisations (public sector entities) a fee. The reason for this is that all the government entities in Dubai must participate in the awards as per the Government's directive (DGEP, 2020), whereas, the UAE (DED) provides free site visits (thus lowering the overall cost of participating in the BEA) to encourage more organisations to apply for the award, which may partially explain why the DED's had the highest number of BEA applicants in their last award round compared to other BECs. It is also shown in the tables above that the fee amount can vary for organisations from different industries. For example, Argentina charges only 15% fee to the not-for-profit sector of what it charges the manufacturing and service sector.

A dissimilarity in the fee structure of BECs for organisations from different industries may be to encourage more organisations from certain industries to apply for BEAs by lower the fees or because the BECs consider the fact that organisations in some industries can only afford to pay a lesser amount in fee than those in others such as not-for-profit organisations in the case of Argentina.

When providing more than one award schemes, the BECs generally reported having the same application process for organisations to participate in the BEAs and the same ceremony to recognise (award) them in, however, they reported that the assessment processes can be different (for example, the assessment of organisations through site visits or mystery shopping) for different award categories (such as private or public sector awards, awards for different industries).

4.7. Incentives offered to the applicants:

By analysing the survey and structured interview question regarding the incentives offered to the applicants, it was found that the BECs generally offer four types of incentives to their BEA applicants which are: -

- a) Providing a detailed feedback report (which is developed by independent and qualified BE assessors) to organisations with their overall BE score, scores in the specific criteria, and best practices from other organisations that they can use to improve their management and performance.
- b) The award ceremony that is attended by the national leadership, ministers and secretaries (of relevant ministries), and business leaders (from different industries), making it a prestigious, widely broadcasted, and highly publicised event.
- c) Free workshops or BE related material to facilitate the BEA participants in progressing in their BE journey.
- d) (In case of some BECs) a financial reward for the BEA recipients (for example, the UAE (DGEP) AROs receive amounts of 50,000, 30,000, and 20,000 AEDs for the 1st, 2nd, and 3rd place respectively).

4.8. The BEA processes:

Table 7.6 shows the names of the countries/ BECs (shown in the left-most column) and the timeline for their award processes with six key stages in the award process (shown in the top-most row).

Table 7.6: Broad timeline of award processes

Stages in the award process→ BEC↓	Announcement and promotion of award and application made available	Deadline for applications	Review of applications completed	Judges meeting	Announcement of the BEA recipients and holding the award ceremony	Issue of Feedback Report to applicants
	Day	Day	Day	Day	Day	Day
Argentina	1	135	300	302	350	340
Australia	No schedule, ongoing					
Canada	1	120	210	240	245	290
Costa Rica	1	140	200	230	240	300
Czech Republic	1	240	320	345	365	370
El-Salvador	1	135	165-225	285	315	345-360
Estonia	No schedule					
Europe-EFQM	1	120	200	230	300	231
Finland	As agreed with applicants					
Japan	1	50	150	160	200	210
Jordan	1	270	390	400	510	530
Malaysia	1	90	90	N/A	270	300
Mexico	1	40	54	140	260	260
Netherlands	No fixed schedule					
Philippines DAP	1	150	210	270-300	350	360
Saudi Arabia	1	30	37	58	72	86
Scotland	1	180	300	340	350	360
Singapore	1	150	270	300	330	360
Sweden	1	150	270	360	Announced directly after judges meeting, ceremony agreed with royal court	360
UAE (DGEP)	1	30	75	85	180	190
UAE (DED)	1	210	365	380	395	410
UAE (SKEA ¹⁶)	1	180	240	270	300	315
United Kingdom	1	180	270	270	360	370
United States	1	113	233	310	324	293

It was found that Saudi Arabia has the fastest award process lasting 86 days from the announcement and promotion of the award to the issue of feedback report to applicants, compared to the average (median) 327 days. The key reason reported for the fast process is that the review of applications takes only seven days to complete after all the applications are received and all the assessments, including site visits, are done in 14 days which is the time between the ‘review of applications completed’ and the ‘judges’ meeting’. This is particularly quick considering that

¹⁶ Sheikh Khalifa Excellence Award

Saudi Arabia is one of the 65.5% BECs who arrange for site visits to all the applicant organisations. Further investigation was done to authenticate these claims by calculating the number of days required for 14 three-member assessment teams spending two to three days at each of the 85 applicant organisations as reported by Saudi Arabia. It was found that the process can be completed in 14 days as claimed. Furthermore, while Saudi Arabia requires a detailed report (with a maximum length of 70 pages) when submitting an award application, a brief summary report is required to be submitted by the participants for a pre-assessment to identify if the organisation is eligible to apply. This further reduces the number of organisations requiring thorough assessments and site visits. Other BECs can learn from Saudi Arabia with regards to making their award process more time efficient.

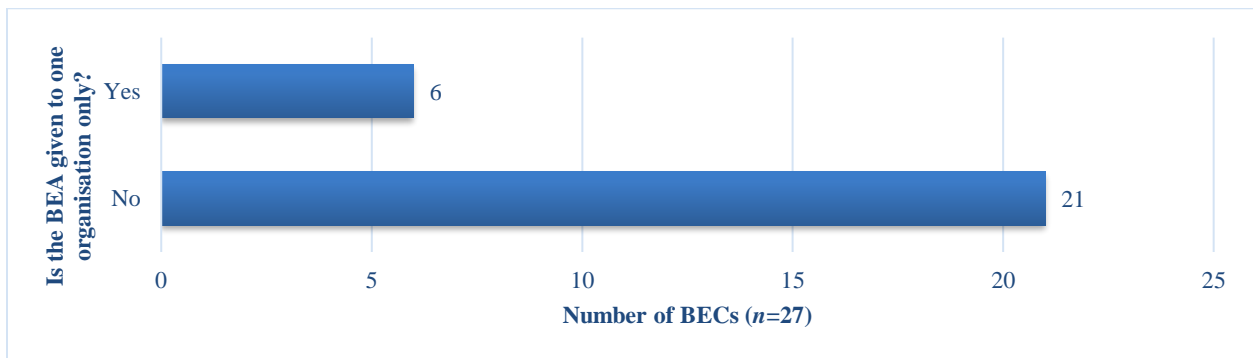


Figure 7.10: Is the BEA given to one organisation only?

Figure 7.10 shows that 77.8% of the BECs reported that they award multiple applicant organisations to recognise all the applicant organisations that show remarkable progress in their BE journeys and in the cases where there may be a tie between organisations.

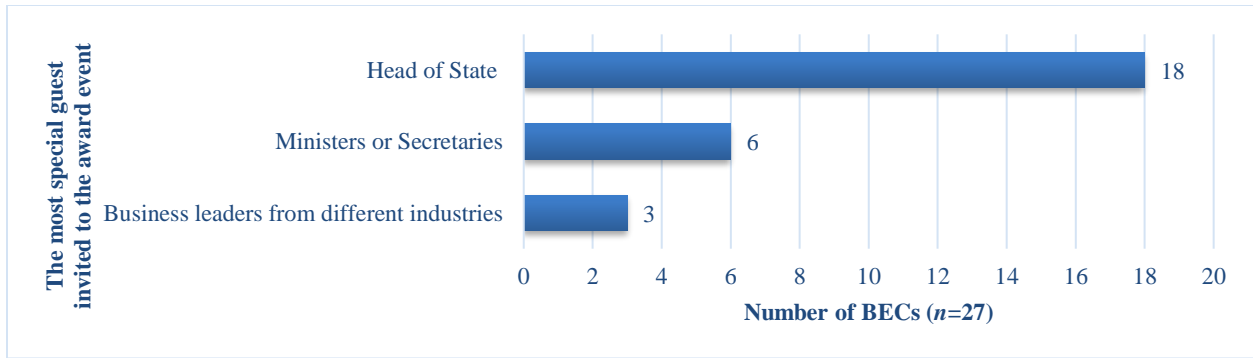


Figure 7.11: The most prominent personality invited to the award ceremony

Note: For the BECs that reported multiple special guests, the most prominent (main) guest was chosen (in the sequence of 1= Head of State, 2= Ministers or Secretaries, and 3= Business Leaders) to produce the results shown in Figure 11.

Figure 7.11 shows that a special guest is invited to the BEA event by all the BECs, which in most (66.7%) of the cases is the head of state (such as the President, the Prime Minister, or the Ruler of the Kingdom). Inviting a high-profile special guest explains the positive perceptions of BECs regarding the profile and prestige of their award on their national level as discussed earlier in this section.

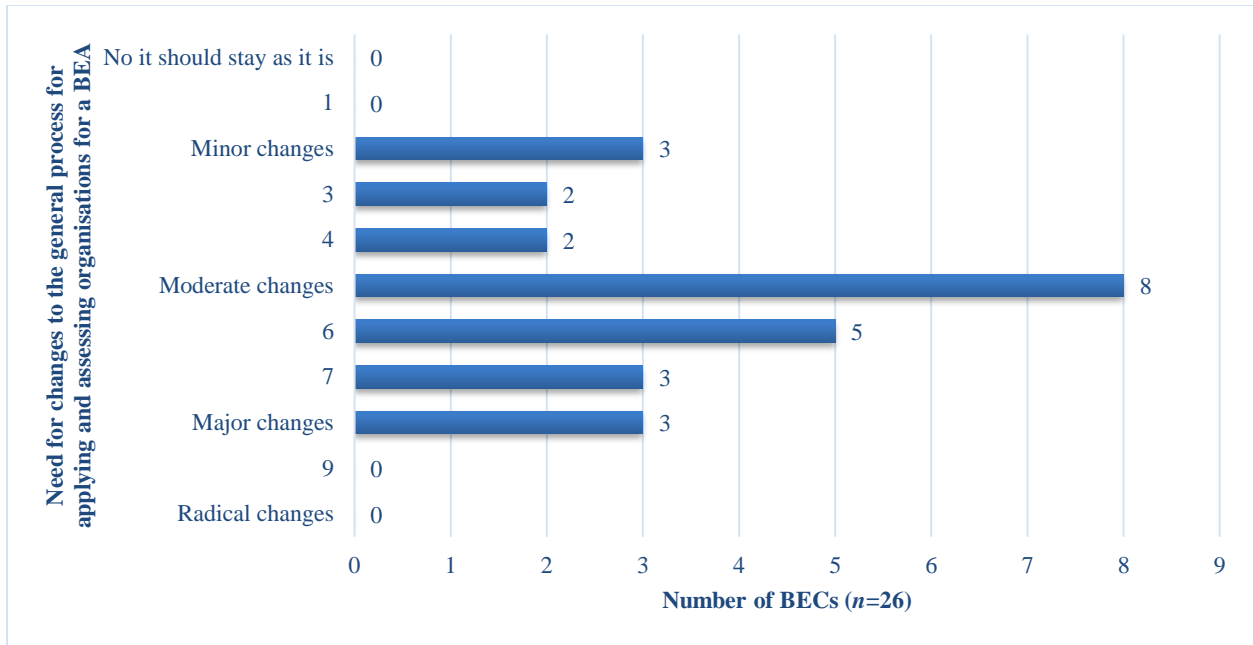


Figure 7.12: Changes required in the award process in view of the BECs

Figure 7.12 shows that 30.8% of the BECs perceived that their BEA process requires moderate changes (rated 5 out of 10 on the scale), 30.8% perceived that a moderate to major change is required (rated 6 and 7 on the scale), and 15.4% perceive that a minor to moderate change is required (rated 2 and 3). Figures 7.13 (a, b, and c), 7.14, 7.15, and 7.16 show examples of BEA processes from Canada, the EFQM, the Philippines, and the UAE (DED), respectively.

Excellence Canada
CAE/PEP Verification Process
 December 2013 r0 (page 1 of 2)

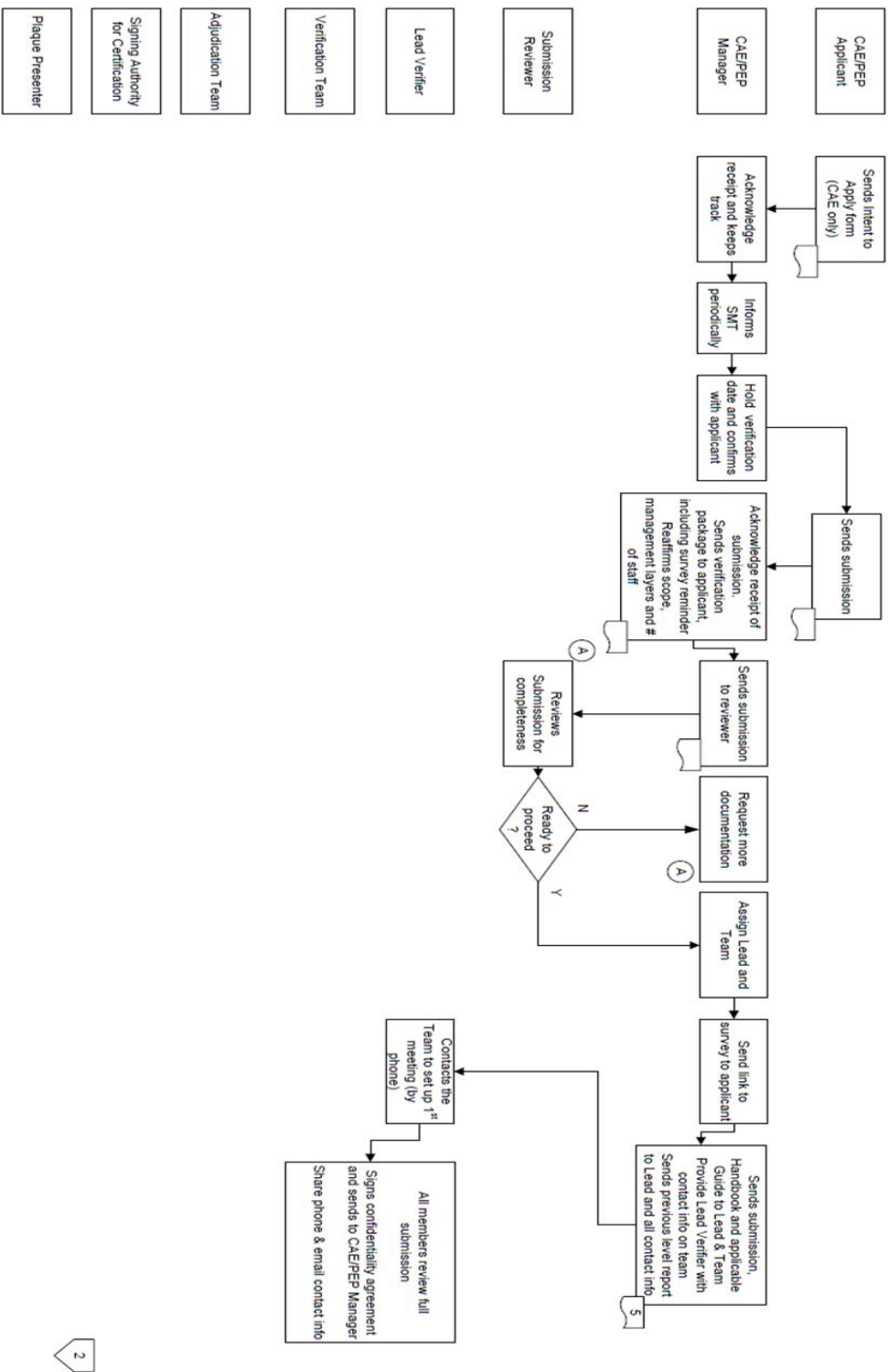


Figure 7.13 (a): BEA process of Canada (Part 1) Provided by the BEC with the survey

Excellence Canada
CAE/PEP Verification Process
December 2013 (page 2 of 2)

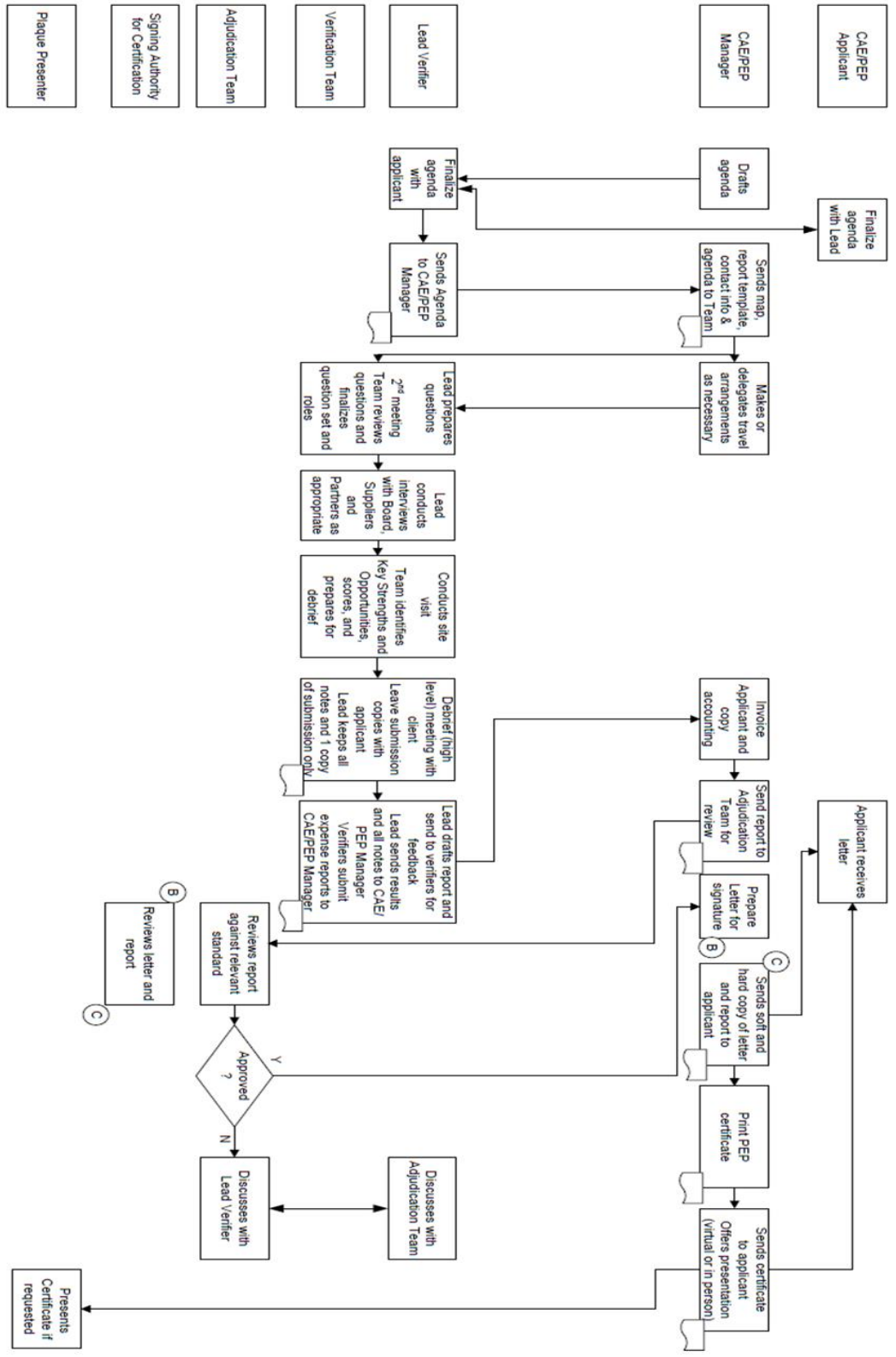


Figure 7.13 (b): BEA process of Canada (Part 2). Provided by the BEC with the survey

How to Prepare a Submission for Certification

PRIOR TO PREPARING THE SUBMISSION

Using the Guide (for reference) and the Self-Assessment worksheets, conduct an internal assessment before making a submission to any Level of the program. This will help decide if the organization is ready to make a submission, and, if a good rating is achieved, assist the organization in developing its submission. When doing an assessment, it is very beneficial to obtain input from people in all functions, and all levels of the organization.

CONTENT FOR SUBMISSION

1. Profile

Briefly describe the organization in one or two pages and attach an organization chart.

2. Scope

Describe whether this is an organizational-wide submission or whether it is only for a single unit within the organization, e.g., a department.

3. Contact

Include the address of the organization, a contact name, phone and fax numbers, and an email address.

4. Respond to each of the Requirements

- a. Outline your actions and achievements by responding to all the Requirements of the Level for which the submission is being made.
- b. A submission template is provided for the actual application. Keep the same headings and in the same sequence as the Requirements, i.e., re-state the Requirement and then respond to it underneath. Be brief when responding to each Requirement statement. Try to use brief key statements or points that will give Excellence Canada Verifiers the opportunity to review specifics. Use the probe points in the Guide to assist you in determining the types of things Verifiers are looking for.
- c. It is imperative to give real examples of what you do in practice to meet the Requirements.

5. Supporting Documentation

- a. Attach supporting documentation with the submission as appendices, e.g., attach mission statement, sample newsletters, survey results, etc.

Letter of Support

- b. Attach a letter of support from the President or from a senior executive.

1. Self-Assessment Results

- a. Attach the self-assessment results to the submission (e.g., identify strengths, opportunities, and a score for each of the Requirements).

2. Glossary of Terms

- a. If acronyms are used in the submission, please attach a glossary of terms.

SIZE OF SUBMISSION

Try not to exceed 30 pages for the actual submission (any specific documentation included as an appendix to the submission is additional). A good rule is to prepare no more than 1-2 pages for each Requirement statement.

SUBMISSION FORMAT

We request that you send a soft copy of your submission and supporting documentation, either on USB or by using a file transfer program. We no longer accept hard copies.

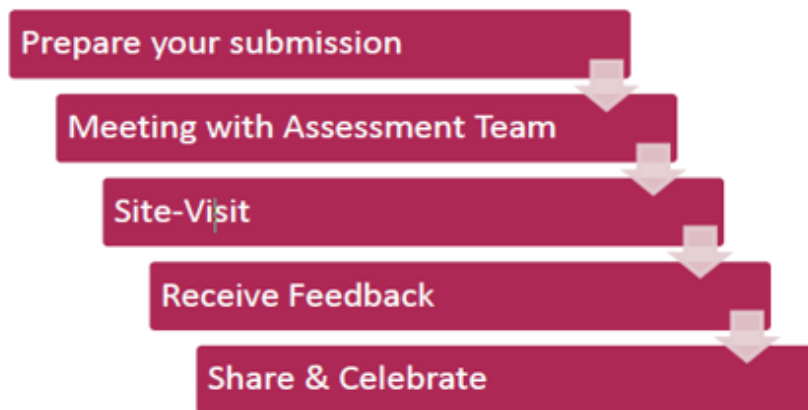
Figure 7.13 (c): Certificate submission guidelines for Canada. Provided by the BEC with the survey

The Award Process overview

The EFQM Global Excellence Award follows an annual cycle. The period to apply is normally between October and December the previous year.

The process starts when sending the application form and submission document and when you establish the contact with the Assessment Team in February – March.

The assessment is carried out typically in May and the process ends in October, during the Awards Gala as part of the annual EFQM Forum.



Assessment Process – Assessor view

All the assessors participating in the EFQM Global Excellence Award are trained against the EFQM Excellence Model 2013. They normally work in teams of 5 – 9 assessors (depending on the size and scope of your organisation) and they spend around 500 hours assessing your organisation.

EFQM sends the “Call for Assessors” somewhere in November – December the previous year and carries out the selection process in January/February, once all the organisations have applied.

The different phases from an assessor’s point of view are briefly explained below:

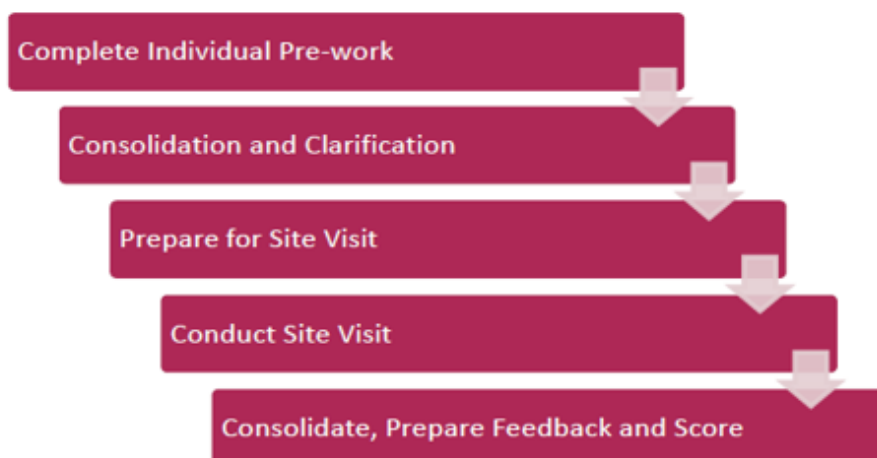


Figure 7.14: BEA process of the EFQM. *Provided by the BEC with the survey*

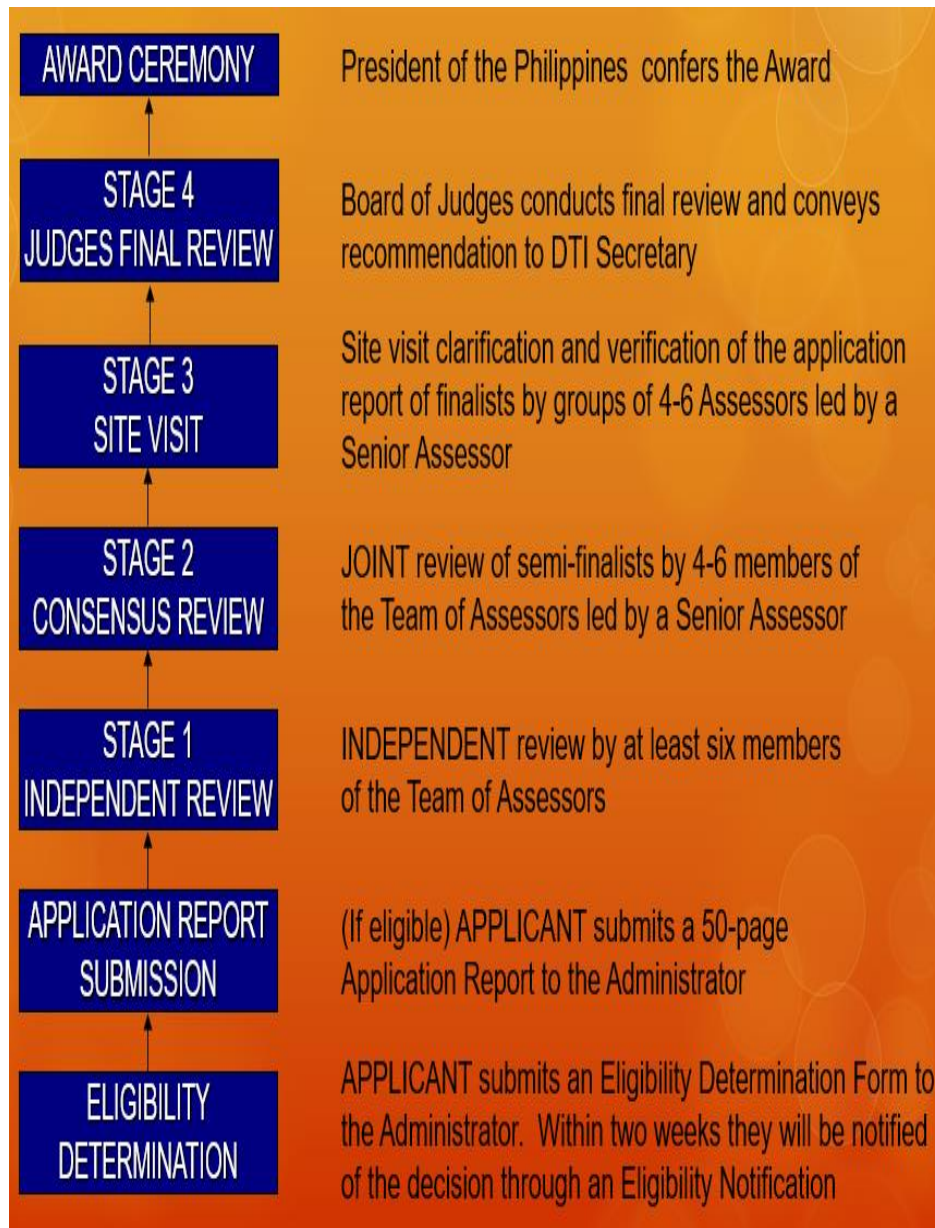


Figure 7.15: BEA process of the Philippines. *Provided by the BEC with the survey*

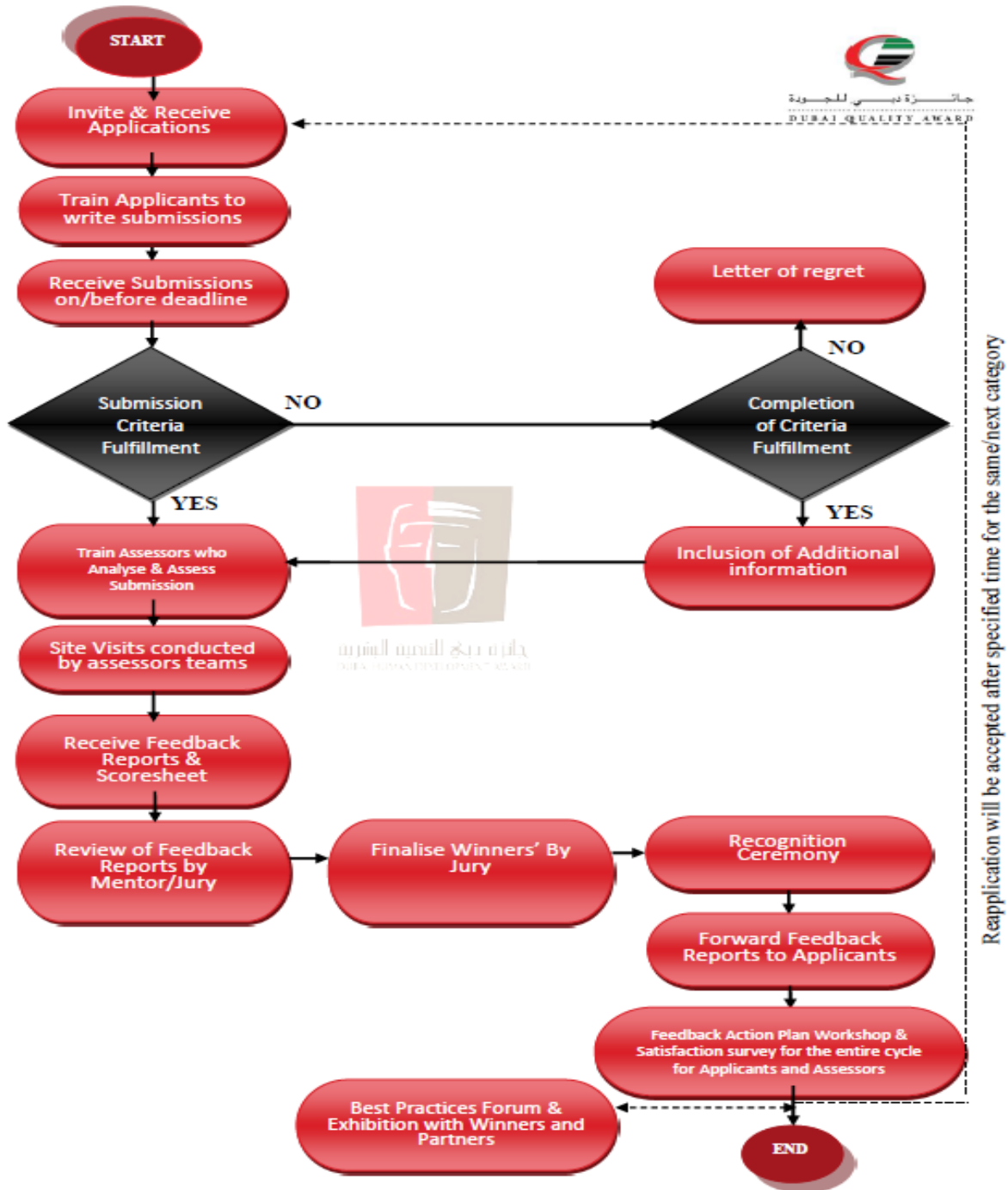


Figure 7.16: BEA process of the UAE (DED). *Provided by the BEC with the survey*

4.9. BE assessors related activities:

Figure 7.17 shows the results of BECs’ responses to five of the assessor related nominal (Yes/No) questions.

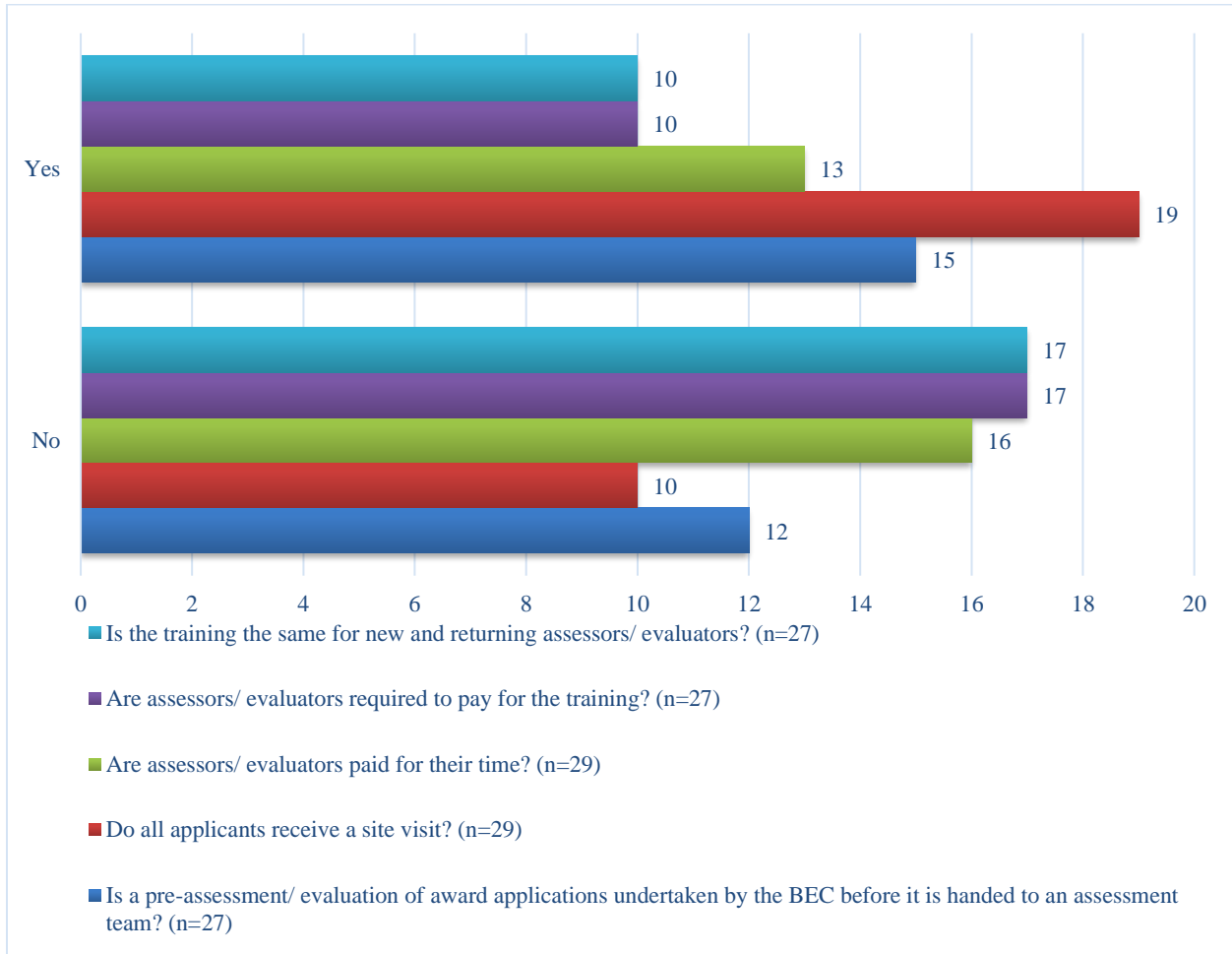


Figure 7.17: Assessor related questions

Figure 7.17 shows that a) 55.6% of the BECs do a pre-assessment of award applications before handing them to the assessors, b) 65.5% of the BECs arrange for site visits to all of the BEA applicant organisations, c) 55.2% of the BECs do not pay their assessors for their time, d) 58.6% of the BECs do not require their assessors to pay for their training, e) 63% of the BECs do not provide the same training to the new and returning assessors.

Table 7.7 shows the results of the BECs' responses to six of the assessor-related scalar questions.

Table 7.7: Assessor related questions

Questions → BEC↓	Assessor team size (number of people)	Duration of site visits (in days)	Number of assessors completing the training course in the last training round	Duration of training (in days)	Number of assessor trainee applicants in the last round	Number of assessors required in the last round
Argentina	5-12	2-3	50	5	50	50
Australia	2-3	2-4	30	2	5	12
Canada	4	3-5	50	5	50	50
Costa Rica	3-5	2-3	82	12-16	92	75
Czech Republic	2-3	1-3	12	3		
Ecuador	3	2	40	6		3
El-Salvador	4-5	1-2	10	3		55-60
Estonia	3-5	2	7	2-3		
Europe-EFQM	5-9	5	100	5	150	60
Finland	4-8	2	30	3	200+	50
India	5-6	5				
Japan	4-5	3	100	2	100	
Jordan	3	3	147	3	455	206
Malaysia	4	1	44	4	20	44
Mexico	5-6	2-3	30	2	60	160
Netherlands	4-6	1-2	6	2		12
Peru	3	2	40	6		5
Philippines DAP	5-7	3-5		8		
Philippines DTI	5-7	3-5	30	3-4	28	49
Saudi Arabia	3	2-3	250	5	300	42
Scotland	6	5	60	2-3	35	30
Singapore	6	3	40	2		50
Spain	3-5	2-4	12	15	6	6
Sweden	4-7	3-4	100	7-8	80	60
UAE (DGEP)		2-5	105	2	105	105
UAE (DED)	6-7	2-3	240	3	300	210
UAE (SKEA)	6	1-3				
United Kingdom	2-5	5				15
United States	9	3	360	3	487	350

Table 7.7 shows that a) the average (median) assessor team size is 4 members ($n=28$), b) the average (median) duration of a site visit is 2 days ($n=29$), c) the average (median) number of assessor that completed BE training course in the last training round is 44 ($n=25$), d) the average (median) duration of training is 3 days ($n=26$), e) the average (median) number of assessor trainee applicants in the last round is 86 ($n=18$), and f) the average (median) number of assessors required

in the last round is 50 ($n=23$). In terms of training the assessors, the US reported the highest number of trainee applicants (487) and training graduates (360).

In two assessor-related descriptive questions, the BECs were asked to describe the process and criteria for the selection of assessors. It was found that generally, the interested individuals are required to make a formal application (to become an assessor) which is followed by interviews (in some cases a committee of BE judges examines the applicants) and a reference check with their previous employers. These individuals must meet the minimum education (bachelor degree or higher), work experience (minimum of 3 years of professional experience in a relevant field), and skills (capacity for synthesis and analysis, objectivity, ease of oral and written communication, discretion, teamwork, and business vision) requirements set by the BECs to be eligible for their BE assessor training. Once the training is complete and the trainees are evaluated, the BECs assemble a team (or teams) of assessors (with their examination done no earlier than two years ago) for the award round based on required numbers. The selected assessors are required to sign a document to commit to the principles of confidentiality, impartiality, credibility, and professional ethics.

4.10. Increasing the value of the BEA processes for assessors and participant organisations:

In terms of increasing the value of the award process for applicant organisations, the BECs reported that they do this by: -

- a) providing face-to-face feedback to the participating organisations to identify their areas of improvement and by working with them to make these improvements and by making the

assessment process a means for organisational improvement rather than just identifying their strengths and weaknesses, and

- b) providing a capacity-building program following up from a detailed feedback report that can be in the form of regular participation in BE conferences (where award-winning organisations share their best practices), training/workshops (in which employees/executives from organisations are trained to implement BE in their organisations), and technical assistance/mentoring to organisations (in the form of guidance and consultation on BE implementation).

In terms of value for the assessors, the BECs generally reported that they: -

- a) Provide opportunities for BE assessors to gain experience in BE assessment,
- b) Recognise them in the award ceremonies, in published handbooks, and by offering them membership of special BE professional groups,
- c) Offer them free annual training to upskill themselves for improved employability (provided by 58.6% of the BECs), and
- d) offer monetary compensation (provided by 44.8% BECs) for their time.

5. Discussion and Recommendations

While the previous section shared the findings of the survey and addressed the objectives one to ten of this paper, this section discusses some of the key findings and provides recommendations for improving the key (the most important and the lowest-self rated) activity in awarding BE, thus addressing the objective 11 of this paper.

5.1. Value of the Award Processes for Assessors and Applicant Organisations

One of the key findings from the paper was that the BECs perceive their award processes to have “very good” or “excellent” value for the assessors and client organisations. Its implication for the BECs is that there should be seen an increase in the interest among organisations. This should show in the form of an increase in the number of BE users and BEA applicants worldwide in the coming years. However, it is important to note that these are perceptions of the BECs that can be best substantiated by surveying the applicant organisations and assessors as to how valuable do they consider the BEAs to be. In this regard, the research from Mann (2011) on the value of BEAs for participant organisations (by collecting data from 74 BEA participant organisations of which 30 were AROs) found that organisations believe that undertaking a BE journey (in general) and participating in BEAs (in particular) results in long-term competitiveness and sustainability in organisations, hence find value in following a BE path.

5.2. BE Assessor Training

Another key finding in this paper was that NIST had the highest number of BE assessor trainee applicants (487) and trained the highest number (360) of BE assessors. This implies that NIST is the most popular BEC with regards to BE assessor training. This can be partially explained by the prestige attached with the MBNQA as the trainees get an opportunity (to be assigned) to assess Baldrige Award-applicant organisations after completing their training and because the Baldrige-trained BE assessors may serve as assessors in the other State BE awards of the country. According to NIST (2019b), the “Baldrige Examiner” training program promises the trainees to a) gain understanding of the Baldrige Excellence Framework, b) develop the ability to use the framework within their organisation, c) develop a network with peers and enhance their professional growth,

d) develop analytical and consensus-building skills, and e) receive an award-winning Examiner Preparation Course certificate.

5.3. Recommendations for Improving the Most Important and Lowest Self-Rated Activity

By analysing the best practices provided in the structured interviews and detailed survey responses in this study (particularly from the BECs that reported the highest number of BEA applicant organisations in their last round of awards which are the UAE (DED) and Philippines (DTI)), three key approaches (recommendations) were highlighted for achieving this. These are: -

a) Promoting the BEA ceremony (at the time of the launch of the award round) as a way for the participating organisations to be appreciated for undertaking a BE journey and for the AROs to be recognised as the national role models by the national leadership with wide broadcasting by the leading national Television channels and coverage by the leading newspapers (for example, the names of the UAE (DED) AROs are included in the newspaper articles on the award ceremony; Gulf News, 2020).

b) Promoting the BEA as a means for participant organisations to receive a detailed feedback report (which is produced as a result of a thorough examination of each organisation according to an internationally recognised BEF by a highly qualified BE assessment team) containing their overall BE score, their scores in specific BE criteria, the best practices from other organisations that can be learnt from, and a follow-up support from the BEC in the areas for improvement (both these approaches align with the previous study from Lasardo (2017) that found the major benefits that organisations perceive to get from participating in their national BEAs).

c) By partnering with the national or regional associations for quality (for example, in the case of Philippines, the Philippines Society for Quality (PSQ, 2020) and the Asia Pacific Quality

Organisation (APQO, 2020) are the national and regional quality associations, respectively), leveraging them in promoting the award to the organisations or to make it mandatory (with the support of the government; Aherns, 2013) for all the organisations in the country or organisations of a particular sector/industry to follow a BE path and participate in the BEAs (as is the case of the UAE (DGEP) - public sector).

6. Conclusion

The study has found that doing “publicity to encourage award applications” is the most important BEA activity for BECs to focus on/ improve for the next few years as well as the activity that the BECs rate their processes the lowest in. This paper has made recommendations to improve this activity. It was found that the BECs rate their processes the highest in making “site visits to award applicants” and have a positive view of their BEA process and its value for assessors and participant organisations. Most of the BECs invite the head of state to the BEA event to recognise the AROs and offer multiple awards and recognition to the organisations that show remarkable improvement in their BE journeys.

This research could be improved by having a higher number of participant BECs and by having a higher number of structured interviews. For the future, this research can be carried out periodically, for instance after every two years to track the progress of the BECs in terms of rating of their processes in carrying out key BEA activities and the number of applicant organisations in their BEAs. Additionally, this research can be improved in the future through triangulation of results by collecting data from organisations that participated in BEAs in different countries and BE assessors in these awards to compare these responses with the responses of the BECs.

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7.2. Chapter Highlights

This chapter aimed to investigate the current state of and best practices in awarding Business Excellence (BE). This aim was achieved by meeting 11 objectives that encompassed: self-perception of BE Custodians (BECs) with regards to their BE Awards' (BEAs') profile, process, value (for assessors and applicant organisations); investigating the most important and lowest self-rating BEA activities; listing best practices in awarding BE; investigating the BEA application and award processes, number of applicants and award winners, eligibility and assessment fees, incentives offered to award winners, and BE assessor-related activities; increasing the value of awards for assessors and applicant organisations; and providing recommendations for improving BEA activities.

51.7% BECs perceive their awards to have a moderate and 20.7% to have a high profile in their countries, 82.1% BECs show high to extreme confidence in their awards' reliability and consistency, and more than 90% BECs perceive that their awards have good or excellent value for their assessors and applicant organisations.

'Publicity to encourage award applications' is the most important activity to focus on/ improve for the next few years which is also the activity that the BECs rate their processes the lowest in. A detailed set of best practices was provided in this chapter to improve this activity.

With regard to BEA application process, most BECs require a summary (85.7%) and a detailed (76%) report to be submitted with the application and 69% BECs require the detailed documents to be between 41 and 80 pages long. With regards to award application numbers, Dubai (DED – private sector) had the highest number of applicants (261, compared to the global average of 50 applicants). The eligibility and assessment fees vary significantly across the BECs. From the announcement of the award round to the announcement of award winners and issuance of feedback

report to the applicants, the BEA process takes 327 days on average with Saudi Arabia requiring 86 days being the fastest award cycle.

The incentives offered to the applicant organisations include providing them with a detailed feedback report, the attendance of the national leadership in the award ceremony, free workshops or BE related material, and in some cases a financial reward for the award recipient organisation.

With regards to BE assessors, 55.2% of the BECs do not pay their assessors for their time and 58.6% of the BECs do not require their assessors to pay for their training. The Baldrige Performance Excellence Program (BPEP) trained the highest number of BE assessors (487, compared a global average of 44 BE assessors).

A range of best practices reported by this research's participants are provided in this chapter to help improve the BE award activities of BECs. These practices are classified into eight categories or themes, namely; promoting BE Awards (BEAs), facilitating the award application process, conducting site visits to award applicant organisations, BEA assessment process, award and recognition categories, feedback reporting to award applicants, award ceremony, and recognition of the award participants, recipients, and assessors.



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CHAPTER 8: THE STRENGTHS AND OPPORTUNITIES FOR IMPROVEMENT OF THE BALDRIGE PERFORMANCE EXCELLENCE PROGRAM

8.1. About the Chapter

This chapter aims to investigate the strengths and opportunities for improvement of the Baldrige Performance Excellence Program (BPEP) and provide recommendations on how the BPEP can be improved. While the previous chapters studied designing BEFs, and promoting, facilitating, and awarding BE; this chapter covers all these areas from the perspective of the BPEP.

It is important to study this because the BPEP governed by the National Institute of Standards and Technology (NIST) of the United States was the first Business Excellence (BE) Custodian (BEC) to hold a BE Award (BEA) in 1988 and is therefore of great interest to investigate its journey over 30 years of developing the Malcolm Baldrige Excellence Framework (MBEF), promoting and facilitating its use, and awarding BE in the US. For the BPEP to improve the BE activities in the US, they can learn from the other BECs' best practices shared in this chapter.

Data were collected directly from NIST and compared with the global data/ averages from the other 28 BECs participating in this research.

The key literature on this topic comprises of studies focused on the design and evolution of the MBEF (Mai et al., 2018; Peng & Prybutok, 2015; Karimi et al., 2014; Jayamaha et al., 2008; Dahlgaard & Dahlgaard, 2007; Curkovic, 2000), the benefits and reasons for organisations to use the MBEF (Ruben & Gigliotti, 2019; Brong, 2019; Farris, 2017; Calhoun, 2002), and guidelines on how organisations can use the MBEF (Dalimunthe et al., 2016; Beard & Humphrey, 2014).

The present study is unique and adds value to the existing knowledge on the BPEP because no published academic research to date has obtained data directly from NIST on how it administers the BPEP, nor undertaken a detailed analysis of the BPEP's strengths and opportunities for improvement relative to other national or regional BE programs.

This chapter was produced as a peer-reviewed journal article and was submitted to the 'Quality Management Journal'. Following a peer-review decision of 'revise and resubmit', the chapter/paper was revised, resubmitted, and was subsequently accepted for publication. This chapter/paper can be cited as:

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The Strengths and Opportunities for Improvement of the Baldrige Performance Excellence Program

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This research investigates the strengths and opportunities for improvement of the National Institute of Standards and Technology's (NIST's) Baldrige Performance Excellence Program (BPEP) in terms of designing the Malcolm Baldrige Excellence Framework (MBEF) and its deployment (promoting the MBEF, facilitating its use, and awarding Business Excellence (BE)) within the United States. Data were collected directly from NIST and compared to the data from 28 other BE Custodians (BECs) from 26 countries to identify the BE promotion, facilitation, and award related activities that the other BECs could learn from the BPEP and the best practices that the BPEP could learn from the other BECs. It was found that BPEP's key strengths are a) the design of the MBEF, with 34.5% of BECs adopting it, second only to the EFQM with 44.8% adopters b) the awards process is robust with NIST rating its processes in this area more highly than in other areas. The BPEP's key opportunities for improvement were in increasing the awareness of BE and facilitating organisations to use a BE approach. Recommendations are provided on how the BPEP can be improved, with examples of practices used by other BECs.

Keywords: Baldrige Excellence Framework, Baldrige Performance Excellence Program, Baldrige Award, National Institute of Standards and Technology.

1. Introduction

The National Institute of Standards and Technology (NIST) was established in 1901 (then known as the National Bureau of Standards, which was renamed “NIST” in 1988) and serves as the premier physical sciences laboratory and non-regulatory agency for the Department of Commerce in the United States (NIST, [ca. 2020]). One of the major programs run by NIST is the Baldrige Performance Excellence Program (BPEP) which was developed to oversee the only Presidential Award for performance excellence in the country (NIST, 2020a). The BPEP offers a wide range of products and services dedicated to improving organisational performance and one such product is the Baldrige Excellence Framework (NIST, 2020b), which is referred to as the “Malcolm Baldrige Excellence Framework” (MBEF) in this paper, to avoid confusion with the acronym of “Business Excellence Framework” (BEF). The MBEF was developed as a leadership and performance management framework for empowering organisations to accomplish their missions, to improve their results, and to become more competitive (NIST, 2020b). It was launched and awarded in 1988 after the Malcolm Baldrige National Quality Improvement Act of 1987 was passed (NIST, 2019a).

A literature search on peer-reviewed research on BE published from 1990 to 2020 identified a total of 415 journal papers (Ghafoor et al., 2020) and revealed that the studies on the MBEF mainly focus on its design (its categories and their interrelationships, for example, research by Curkovic et al., 2000; He et al., 2011), its impact on organisational results (empirical studies on whether the MBEF helps organisations achieve performance excellence, for example, research by Wilson & Collier, 2000; Jayamaha et al., 2011), its use and practice (case studies and guidelines on how to use the MBEF in organisations, for example, research by Stankard & Snell, 2007; Dalimunthe et al., 2016), and the Baldrige Award (whether the award-winning organisations have higher

performance than the non-winners, for example, research by Griffith, 2017; Mann, 2011). The studies of Saunders et al., (2008a,b); Grigg & Mann, (2008a,b); Mann et al., (2011a,b); and Tickle et al., (2016) were major studies that examined the state of BE at national and regional levels. No published academic research to date has obtained data directly from NIST on how it administers the BPEP, nor undertaken a detailed analysis of the BPEP's strengths and opportunities for improvement relative to other national or regional BE programs.

This paper aims *to investigate the strengths and opportunities for improvement of the BPEP and provide recommendations on how the BPEP can be improved.*

Objectives were set to:

- a) Identify the strengths and opportunities for improvement of the BPEP concerning the design of the MBEF and deploying (promoting, facilitating, and awarding) BE in the US, and
- b) Provide recommendations on how the BPEP can improve the activities that it considers the most important to focus on for the next few years.

2. Literature Review

A literature review was carried out to obtain an understanding of previous research on the MBEP. The literature review is divided into two sections: designing the MBEF; and deployment of the MBEF.

2.1. Designing the MBEF

The “Malcolm Baldrige National Quality Award” (MBNQA) was launched in 1988 (NIST, 2020a), and the criteria in the original framework were: Leadership, Information and Analysis, Strategic Quality Planning, Human Resource Utilisation, Quality Assurance of Products and Services, Results from Quality Assurance of Products and Services, and Customer Satisfaction as

shown in Figure 8.1, that evolved into the current MBEF Criteria that were issued in the last BPEP booklet in 2019 as shown in Figure 8.2. The main change in the evolution of the BPEP from the original version is that it has become more holistic and results-focused (Peng & Prybutok, 2015; Dahlgaard & Dahlgaard, 2007).

The MBEF aims to: a) help organisations understand what is required to become competitive and achieve long term success; b) help leaders, managers, and employees have a common understanding of their organisation’s challenges, opportunities, and future direction; c) enable employees to understand how they can contribute to their organisation’s success; and d) help organisations understand and meet, or exceed customer requirements, and ensure efficient operations for long-term success (Baldrige Performance Excellence Program, 2019).

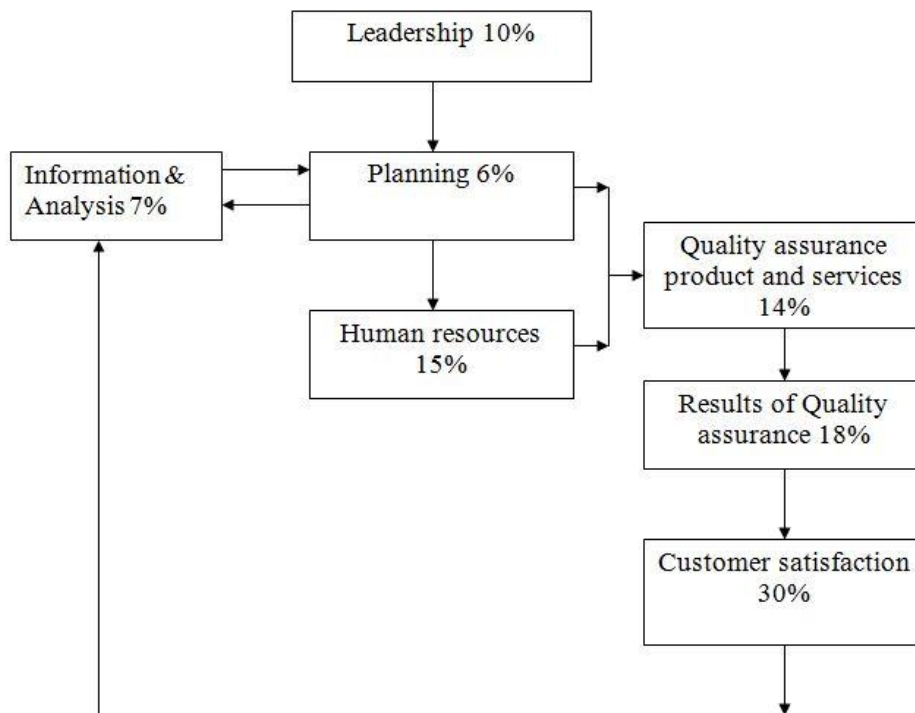


Figure 8.1: The Original Baldrige Excellence Framework Criteria (NIST, 2019b)



Figure 8.2: The Current Baldrige Excellence Framework Criteria (Baldrige Performance Excellence Program, 2019)

There are several published papers on validating the designs of the various BEFs, and as the study of Ghafoor et al. (2020) found, almost one quarter (24.6%) of all BE papers are related to the design and composition of the BEFs. Similarly, empirically testing the MBEF has been a popular topic of research, with several studies conducted on assessing whether it follows the Total Quality Management (TQM) dimensions (for example, research by Curkovic et al., 2000); validating the causal relationship between the framework criteria (for example, research by Meyer & Collier, 2001; Pannirselvam & Ferguson, 2001; Jayamaha et al., 2008; Karimi et al., 2014; Mai et al., 2018); and testing the ability of the framework in predicting organisational results (for example, research by Wilson & Collier, 2000; Jayamaha et al., 2011). While some studies suggest that there is a strong relationship between the MBEF's criteria and organisational outcomes (Badri et al., 2006), some others suggest that non-BE related factors such as national culture affect the relationships between the framework's criteria and the organisational outcomes (Flynn & Saladin, 2006).

According to researchers, there are several reasons why organisations use the MBEF, such as it identifies strengths and areas of improvement based on its seven criteria (Calhoun, 2002; Farris, 2017); it provides the freedom to management to make independent business strategies for improving performance excellence (Brong, 2019); it is an integrated management framework covering all the factors that define an organisation, and providing measurable performance outcomes (Thompson & Blazey, 2017); it focuses on the requirements for achieving excellence rather than procedures, techniques, and tools (Ruben & Gigliotti, 2019); it is easy to adapt for organisations of all sizes (Farris, 2017); and it is proven to be valid in improving performance excellence of organisations (McGuire III, 2006). The literature suggests that the MBEF meets the measurement requirements of a BEF which are; adequately representing the constructs or categories (Figure 8.1) and constructing a reliable overall picture of an organisation's performance achievement through these categories (Dean & Tomovic, 2004; Williams et al., 2007).

2.2. Deploying the MBEF

Case studies of organisations and industries that used the MBEF such as that of Dalimunthe et al. (2016) help in understanding how the framework should be used. Other studies include a model on how to align an organisation's information technology resources with the MBEF to achieve performance excellence (Beard & Humphrey, 2014), and how to change organisational structure to achieve excellence by using the MBEF (Cauchick Miguel, 2008). While there are studies that provide empirical evidence that MBEF is a credible source for achieving performance excellence (Goldstein & Schweikhart, 2002; Menezes et al., 2018; Parast & Golmohammadi, 2019, Miller & Parast, 2018), and that the Baldrige Award winners are model organisations (Griffith, 2017; 2015; Jones, 2014); some authors (in their studies from different time periods) have critiqued the MBEF suggesting that the Baldrige Award might have become obsolete and that it does not deliver on its

promise of excellence (Cook & Zhang, 2019), that the BPEP has fallen off track and there is a dire need for action to bring it back on track (Hubbard & Klute, 2011), and that the number of Baldrige Award participants (especially businesses) is reducing to alarmingly low levels with no manufacturing sector award applicants since 2013 (Baldrige21, 2020).

3. Methodology

Data were collected directly from the BPEP through a survey and structured interview and were compared with data collected from 28 other BECs from 26 countries as part of a larger study as discussed in the introduction section. These 29 BECs including the BPEP were among the 65 BECs in 55 countries that were identified as “active” BECs. The BECs were considered active if they had held a BE award in 2016 or after or had planned to hold a BE award in 2019 (this research was conducted in 2018 and 2019). The CEOs and the members of the boards of directors of these BECs were contacted through invitation emails requesting their participation in the research. Of these 29 BECs, the BPEP and 12 other BECs participated in an optional on-line interview.

The survey and the structured interview instruments were developed by modifying and updating the research instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a; 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008). Once developed, the survey was shared with the BECs for feedback on the completeness of the survey and the clarity of the terminologies used. The feedback (received from the BPEP and 10 other BECs) was used to refine the survey, which was shared with the GEM Council¹⁷ (in their annual general meeting in August 2018 in Sydney) for final

¹⁷GEM Council Members: Business Excellence Australia, Baldrige Performance Excellence Program (USA), China Association of Quality (China), CII-IQ (India), Dubai Government

approval. For the perception-based questions in the survey, there was a risk of bias, which was mitigated by following up with the BPEP and the other participating BECs to address any suspected anomaly in the data.

Table 8.1: Countries and BECs that participated in the survey and structured interviews (shown in highlighted rows)

Country	BEC	BEF
Argentina	Excelencia	MBEF
Australia	Business Excellence Australia	Unique design
Canada	Excellence Canada	Unique design
Costa Rica	Cámara de Industrias de Costa Rica	MBEF
Czech Republic	Czech Society for Quality	EFQM
Ecuador	CODEFE	EFQM
El-Salvador	Subsecretaría de Gobernabilidad de la Presidencia de la República de El Salvador	MBEF
Estonia	Estonian Association for Quality (EAQ)	EFQM
Europe -EFQM	European Foundation for Quality Management	EFQM
Finland	Excellence Finland	EFQM
India	IMC Ramkrishna Bajaj National Quality Award Trust	MBEF
Japan	Japan Quality Award Council	MBEF
Jordan	King Abdullah II Center for Excellence (KACE)	EFQM
Malaysia	Malaysia Productivity Corporation (MPC)	MBEF
Mexico	Institute for Total Quality Development	Unique design
Netherlands	INK	EFQM
Peru	CORFEP	EFQM
Philippines (DAP)	Development Academy of the Philippines (Public Sector)	MBEF
Philippines (DTI)	Department of Trade and Industry – Competitiveness Bureau (Private Sector)	MBEF
Saudi Arabia	King Abdulaziz Quality Award	Adopted from both MBEF and EFQM
Scotland	Quality Scotland	EFQM

Excellence Program (UAE), EFQM (Europe), FNQ (Brazil), FUNDIBEQ (Iberian Peninsula and Latin America), IFCT (Mexico), JQA (Japan), Malaysia Productivity Corporation, and Enterprise Singapore (EFQM, 2020a)

Singapore	Enterprise Singapore	MBEF
Spain	Club Excelencia en Gestión	EFQM
Sweden	SIQ – The Swedish Institute for Quality	MBEF
United Arab Emirates DGEP	Dubai Government Excellence Program (Public Sector)	Unique design
United Arab Emirates DED	Business Excellence Department, Dubai Economy	EFQM
United Arab Emirates SKEA	Sheikh Khalifa Excellence Award (SKEA) – Abu Dhabi Chamber	EFQM
United Kingdom	British Quality Foundation	EFQM
United States of America	Baldrige Performance Excellence Program	MBEF

4. Results

This section presents findings on the strengths and opportunities for improvement of the BPEP in four sub-sections which are a) designing and adopting BEFs, b) promoting BE, c) facilitating organisations in undertaking a BE journey, and d) awarding BE. The opportunities for improvement identified in this section are further analysed and recommendations are provided for them in the discussion section.

4.1. Designing BEFs

This sub-section comprises of the strengths and opportunities for improvement for the BPEP with regards to the MBEF's design.

The first strength of the BPEP is that the MBEF is adopted by 10 other BECs participating in this research which indicates their support of the relevance of its design. This is second only to the EFQM, which is adopted by 13 other BECs. Five of the BPEP adopters (El-Salvador, India, Japan, and Philippines (DAP and DTI)) made minor and five (Argentina, Costa Rica, Malaysia, Singapore, and Sweden) made major changes to the BPEP before adopting. As a potential opportunity for improvement, however, all the adopters of the MBEF made changes to the model

to make it more compatible, whereas, eight of the EFQM's 13 adopters adopted it in its original form. This may be a potential area for the BPEP to investigate the reasons for the modifications and to potentially revise the basic MBEF such that it can be readily adopted by the adopting BECs in its original form.

The second strength of the BPEP is that it revises and updates the MBEF more frequently (once every two years) compared to the other BEFs (once every three years on average). Figure 8.3 shows that 62.5% of the BECs revise their BEFs every three years or later, hence these BEFs are less frequently revised compared to the MBEF.

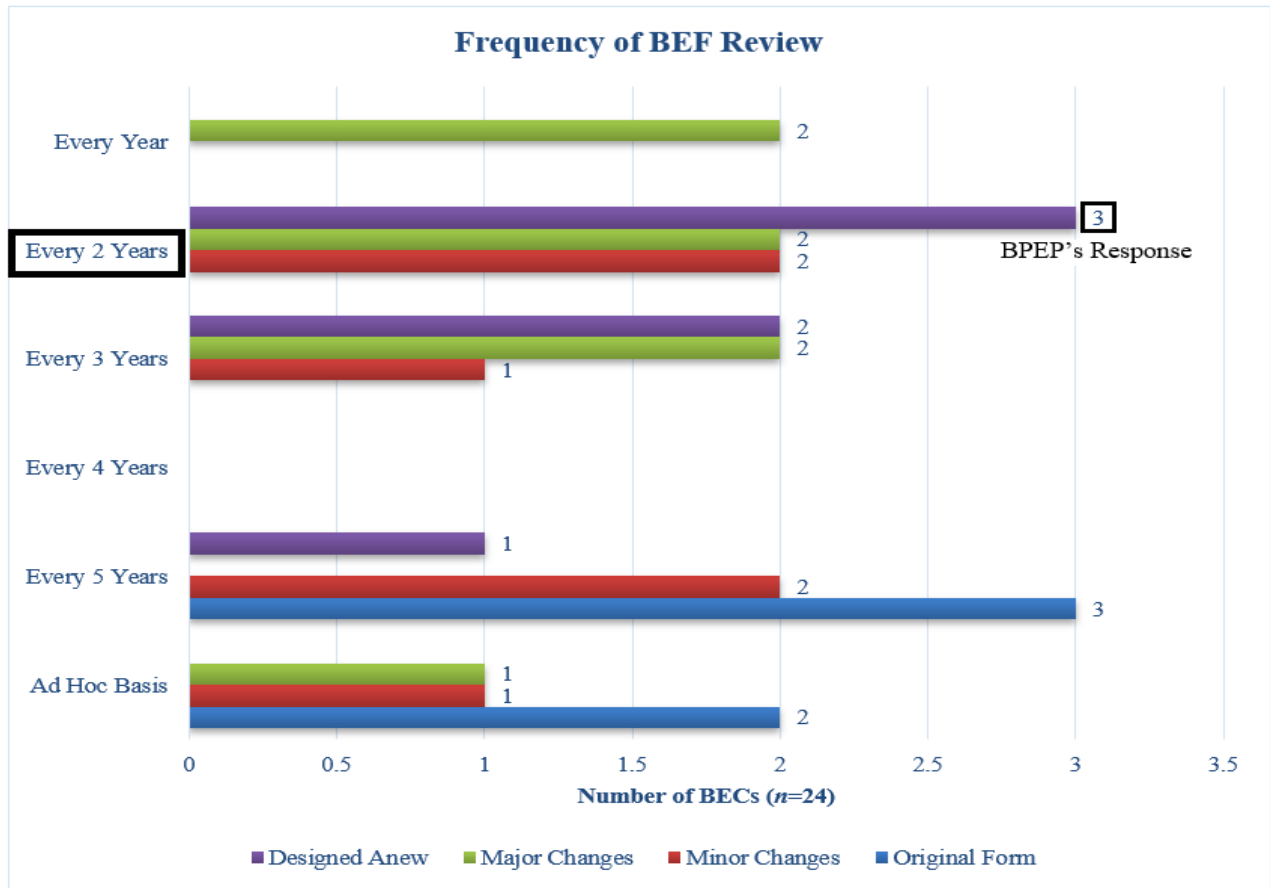


Figure 8.3: How often do the BECs review their BEF?

The third strength of the BPEP (and a best practice for other countries to learn from it) is that it reviews the MBEF through an ongoing process of monitoring developments in high performing organisations and their proven practices supported by research and thought leaders. The BPEP systematically reviews its model every two years by seeking suggestions and recommendations from stakeholders and experts including users of the MBEF, assessors, award judges, client organisations, advisory bodies, program staff, and state and regional program directors. This is followed by developing themes for the changes and making multiple task forces comprising of diverse stakeholder groups' representatives, which are convened to review all inputs related to specific themes and make specific recommendations for change. After carefully considering the task forces' recommendations, a draft of the revised framework is sent to the stakeholder groups for review and comment. After getting their inputs, the final version is prepared. While this project is led by one person, up to 150 people contribute to it. The BPEP also reported that to improve the review process, there should be more active engagement and participation by thought leaders and business and industry leaders.

The fourth strength of the BPEP is that it indicated being "very confident" in both the core values and concepts (being based on sound BE principles) and the categories/ criteria, items/ criterion, and scoring mechanism (being appropriate for assessing BE) of the MBEF. Figure 8.4 shows how this response compares to other countries with only three BEC's having a higher level of confidence. A majority of the BECs are at the same level of confidence as the BPEP in terms of the core values and concepts(51.7%) and the categories/ criteria, items/ criterion, and scoring mechanism (65.5% BECs) of their BEFs.

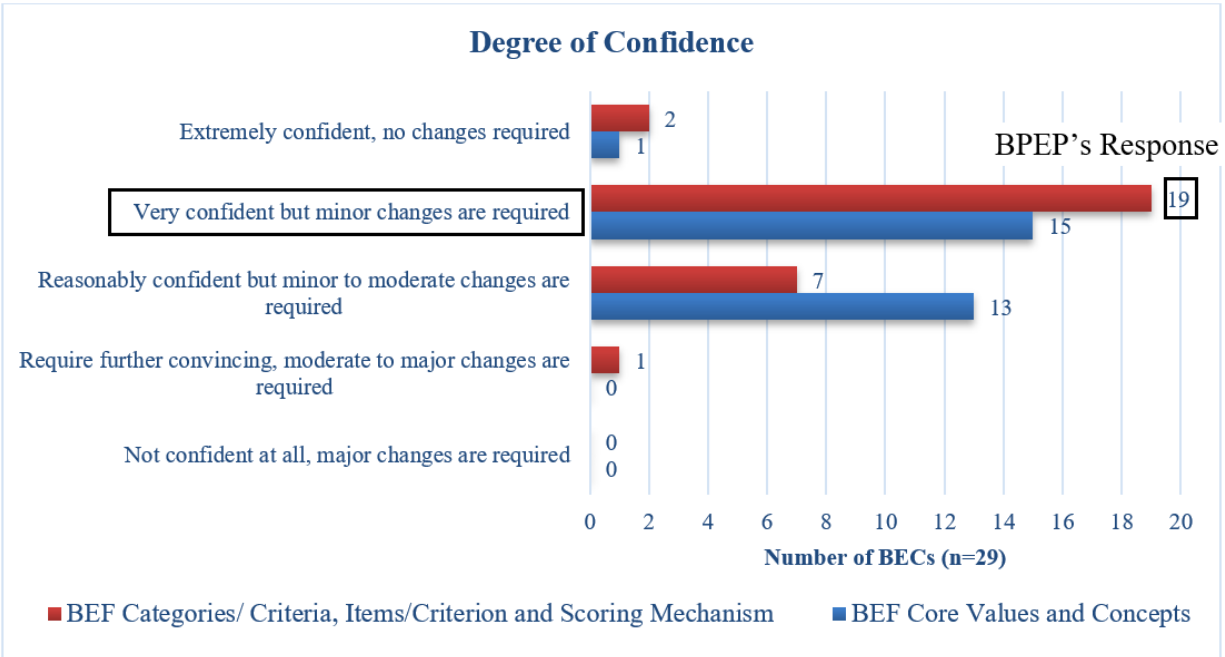


Figure 8.4: How confident are the BECs in the BEF core values and concepts and BEF categories/ criteria, items/ criterion and scoring mechanism?

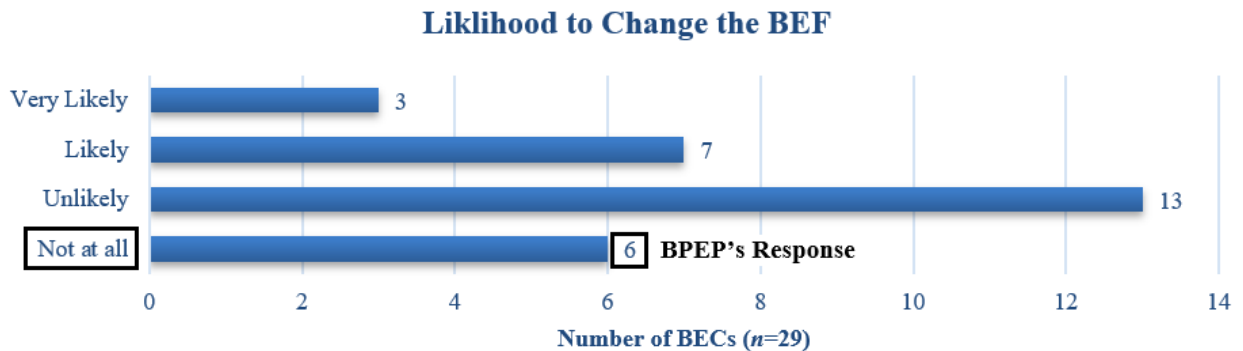


Figure 8.5: How likely are the BECs to switch or significantly change their BEF?

The fifth strength of the BPEP is that it reported being “not at all” likely to significantly modify the MBEF which indicates confidence in the current framework. This contrasts with the responses of other BEC’s with a sizeable proportion indicating they were likely to change their BEF(refer to Figure 8.5) with 24.2% indicating “likely”, and 10.3% indicating “very likely” to change their

BEFs. Of those likely (or very likely) to change their BEF, 60% use the EFQM Excellence Model (which was relaunched with a major revision in 2019; EFQM, 2020b), 30% use the MBEF, and 10% have a unique BEF. However, referring to the point regarding a potential opportunity for improvement mentioned before, the BPEP might need to change the MBEF to make it more readily adoptable by the adopting BECs.

4.2. Promoting BE

This sub-section comprises of the strengths and opportunities for improvement for the BPEP with regards to promoting BE in the U.S.

Table 8.2: BPEP’s self-rating of BE promotion activities, the most important activities to focus on/ improve, and the countries with “excellent” self-rating in these activities

BPEP’s Rating of their Process	BE Promotional Activities	Global Average of BEC’s Rating their own Processes	Other BECs that Rate their Process as “Excellent” in the Activities
Highest	Workshops/training in BE	3.7 (n= 25)	Mexico, Saudi Arabia, Scotland, Sweden, and the UAE (DED)
Highest	Promotion of BE via social media (twitter, face book, linked-in etc)	3.3 (n= 25)	Sweden and Saudi Arabia
Highest	Conference on BE	3.3 (n= 24)	Mexico and the UAE (DED)
	Defined strategy/roadmap for raising BE awareness in your country/region	3.1 (n= 25)	Malaysia and the UAE (DED)
	Obtaining the assistance of organisations that already use BE to promote BE	3.4 (n= 26)	Finland, Malaysia, and Mexico
	Promotion of BE via websites	3.1 (n= 25)	Canada and the UAE (DED)
	Encouraging industry/ membership-based associations to promote BE to their members	2.2 (n= 24)	Sweden
	Obtaining the assistance of consultants to promote BE	2.7 (n= 25)	El-Salvador, Japan, Spain, and the UAE (DED) rated their

			processes as “Good”
	Access to simple-to-understand publications that explain BE and its benefits	2.9 (n= 25)	The UAE (DED)
	Presentations from Award winners	3.3 (n= 25)	Finland, Mexico, Scotland, and Sweden
	Having BE Awards at the local level (by city or area of a country)	2.9 (n= 26)	Finland, Malaysia, Scotland and the UAE (DED)
	Raising the profile of the national BE award	3 (n= 25)	Mexico, Scotland, and Sweden
	Obtaining the assistance of assessors to promote BE	3.3 (n= 25)	Mexico and the UAE (DED)
Lowest	Marketing of BE to CEO’s/senior managers/board of directors	3.1 (n= 25)	Malaysia, Mexico, and Peru
Lowest	Press releases on BE	2.5 (n= 25)	Sweden
Does not do	Encouraging government institutions to promote and use BE	2.8 (n= 26)	Malaysia, Sweden, and the UAE (DED)
Does not do	Encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)	2.3 (n= 24)	Mexico and Sweden
Does not do	Encouraging schools to promote and teach BE to their pupils	2.3 (n= 24)	Mexico and Sweden
Does not do	Providing free copies of the BE Model and Criteria	3.7 (n= 25)	Argentina, Canada, EFQM, Mexico, Sweden, and the UAE (DED)
Does not do	Marketing of BE to managers/employees	3.4 (n= 25)	Saudi Arabia and the UAE (DED)

Table 8.2 shows the 20 BE promotion activities that BECs were given to rate their processes (on a scale of 0 to 5 where 0 represents “do not do”, 1 represents “very poor”, 2 represents “poor”, 3 represents “average”, 4 represents “good”, and 5 represents “excellent”) in performing these promotional activities.

The table shows the four BE promotion activities (as shaded rows) that are the most important for the BPEP to focus on/ improve for the next few years, its three “highest” self-rated, its two

“lowest” self-rated, and the five that it “does not do”. The global self-rated average in performing each of the activities and the countries that rate their processes as “excellent” are also shown in the table.

The BPEP’s perceived overall average rating of their processes in promoting BE in the US (3.6 out of 5) is higher than the global overall self-rated average (3.1) ($n=26$).

The BPEP proposed some of its own BE promotional techniques that other BECs could learn from:-

- a) Social Media, blogs, and Twitter are used for promoting BE in the US. The BPEP follows a systematic and consistent process to share best practices from the Baldrige Award recipients and other high performing organisations and to promote program needs and offerings whilst highlighting program impacts.
- b) The MBEF is expanding reach and interest by moving in new areas and provides a specific solution in the form of cybersecurity, which is a key challenge facing organisations, thus, pulling them towards the MBEF.
- c) The BPEP leverages communities (including the BE assessors trained and deployed by the BPEP) and has several thousand organisations in their meeting list that they keep in constant touch with.

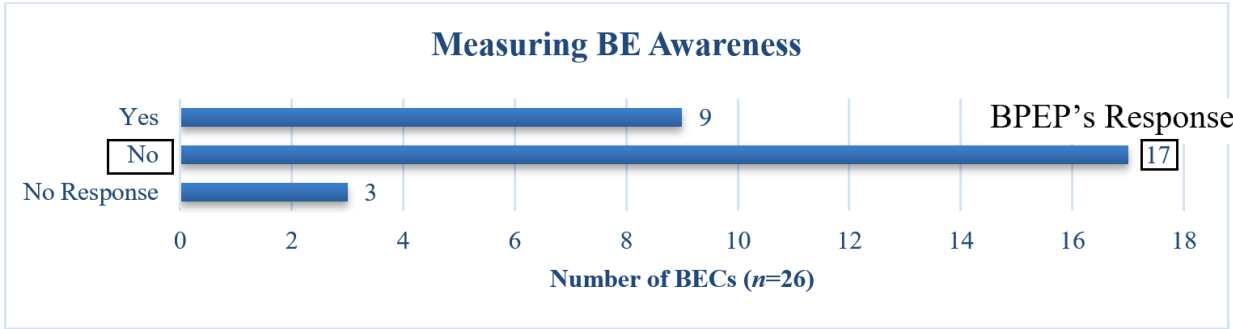


Figure 8.6: Do the BECs measure the number of organisations aware of BE in their respective countries?

Figure 8.6 shows that 65.4% BECs, which includes the BPEP, do not measure the number of organisations that are aware of BE in their respective countries which is an opportunity for improvement for the BPEP.

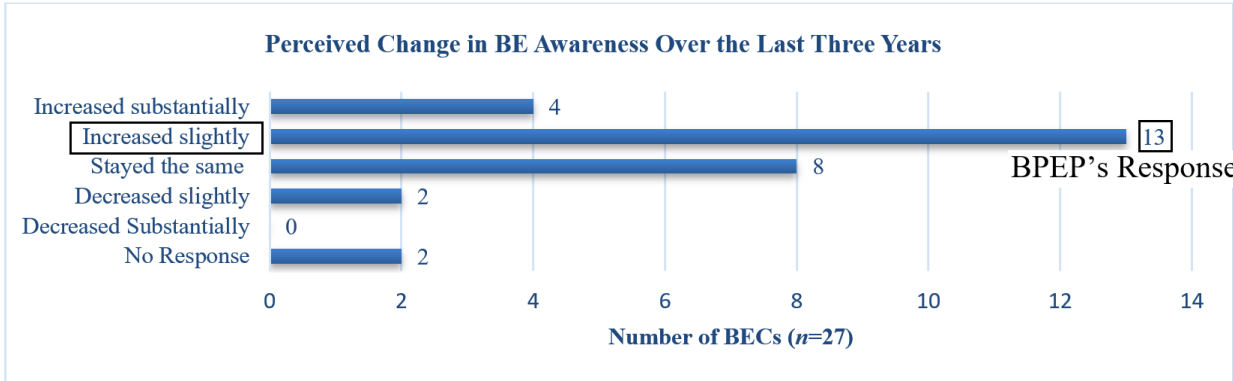


Figure 8.7: How much has the awareness about BE changed over the last three years as perceived by the BECs?

Figure 8.7 shows that 62.9% BECs reported an increase (48.1% including the BPEP reported a slight increase and 14.8% reported a substantial increase) in the perceived awareness of BE in their countries over the last three years.

Table 8.3: What are the perceived percentages of CEOs and organisational heads aware of BE?

Type of Organisation	Global Perceived Average of BE Awareness Levels	BPEP’s Response on Perceived BE Awareness Levels	The BECs that Rate the Highest Perceived Awareness Levels
SME’s for-profit organisations (less than 50 employees)	0-10% (<i>n</i> =26)	0-10%	Costa Rica and Jordan with 40-60%
Businesses (50 employees and greater)	11-20% (<i>n</i> =26)	11-20%	Canada, Costa Rica, Jordan, Netherlands, and the UAE (SKEA) with 40-60%
Multinational/ International Organisations	21-40% (<i>n</i> =26)	11-20%	Finland, Malaysia, and the Netherlands with 80-100%
Government Organisations	21-40% (<i>n</i> =27)	0-10%	Finland and the UAE (DGEP and DED) with 80-100%
Non-Government/ Not For-Profit Organisations	11-20% (<i>n</i> =26)	0-10%	Netherlands, Saudi Arabia, and Scotland with 41-60%

Table 8.3 shows that the BPEP’s perceived level of BE awareness among CEOs and organisational heads in the US is 11-20% in “Businesses (50 employees and greater)” and “Multinational/ International Organisations”, and 0-10% in the “SME’s for-profit organisations (less than 50 employees)”, “Government Organisations”, and “Non-Government/ Not For-Profit Organisation”. This is another opportunity for improvement for the BPEP. The table shows the countries that have rated their awareness levels the highest and can be learnt from by the BPEP.

4.3. Facilitating BE

This sub-section comprises of the strengths and opportunities for improvement for the BPEP with regards to facilitating the use of BE in the U.S.

Table 8.4: BPEP’s self-rating of BE facilitation activities, the most important activities to focus on/ improve, and the countries with “excellent” self-rating in these activities

BPEP’s Rating of their Process	BE Facilitation Activities	Global Average of BEC’s Rating their own Processes	Other BECs that Rate their Process as “Excellent” in the Activities
Highest	Industry-specific BE guides to explain BE in terms relevant to the industry	2.5 (n=26)	Canada, Spain, and Sweden (rated their processes as “Good”)
Highest	Networking meetings for CEOs /senior managers of BE users	2.8 (n=26)	Spain
Highest	BE assessor training courses	4 (n=25)	Finland, Japan, Jordan, Saudi Arabia, Scotland, Sweden, and the UAE (DGEP and DED)
Highest	BE Awards at the national level	3.9 (n=27)	Argentina, Canada, Finland, Mexico, Scotland, Singapore, Sweden, and the UAE (DGEP)
Highest	Conference on BE	3.7 (n=26)	Canada, Costa Rica, Estonia, Finland, Mexico, Netherlands, and the UAE (DGEP and DED)
Highest	Best/good practice tours	3.4 (n=26)	Costa Rica, Finland, and Mexico
	On-line service/database of BE information/publications	2.6 (n=27)	Sweden
	BE self-assessment tools	3.1 (n=25)	Argentina and Scotland
	Additional models, guides and Awards that stem from BE and focus on specific topics such as Corporate Responsibility, Knowledge Management, Environmental Sustainability and Leadership	3.1 (n=27)	Argentina and Malaysia
	Workshops/seminars on BE	3.8 (n=26)	Sweden and the UAE (DGEP, DED, and SKEA)
	Networking meetings for BE users	3.2 (n=26)	Scotland and the UAE (DGEP)

	Copies of BE submission documents from Award winners	3.6 (n=26)	Mexico, Philippines (DAP), and the UAE (DED)
	On-line social platforms/BE forums/discussions	2.3 (n=26)	The UAE (DGEP)
	BE Awards at the local level (by city or area of a country)	3.3 (n=27)	Finland, Jordan, Malaysia, and the UAE (DED)
Lowest	Opportunities for sharing and learning from organisations in other countries	2.6 (n=26)	Mexico and the Philippines (DAP)
Lowest	Access to BE consultants for advice and assistance	3 (n=26)	Finland
Does not do	Certified course of training in BE e.g. diploma or masters degree.	3.6 (n=26)	Finland, Japan, Jordan, Saudi Arabia, Sweden, and the UAE (DGEP)
Does not do	BE assessments facilitated by consultants	3.4 (n=26)	Finland and Scotland
Does not do	BE mentoring (e.g. access to BE assessors/experts for advice)	3.6 (n=26)	Finland, Singapore, and the UAE (DGEP)
Does not do	Train the trainer courses (for assessors/consultants)	2.8 (n=26)	Japan, Jordan, and the UAE (DGEP)
Does not do	BE certification programs providing recognition at different levels of excellence (that run outside the normal awards cycle)	3.9 (n=26)	Canada, Finland, Mexico, Scotland, Singapore, Spain, and Sweden
Does not do	Benchmarking services and consulting (activities to learn from best practices)	3 (n=26)	Mexico and Sweden

Based on the same pattern and rating methodology as explained for Table 8.2 before, Table 8.4 shows 22 BE facilitation activities.

The table shows the five BE facilitation activities (as shaded rows) that are the most important for the BPEP to focus on for the next few years, its six “highest” self-rated, its two “lowest” self-rated, and the six that it “does not do”.

The BPEP’s perceived overall average rating of their processes in facilitating BE in the US (3.8 out of 5) is higher than the global overall self-rated average (3.3) (n=27).

The BPEP proposed some of its own BE facilitation techniques that other BECs could learn from:-

- a) C-Suite (executive-level managers) are competitively selected to participate in a program that enables networking and learning from other executives. Top executives are selected from several of the Baldrige Award recipients. The executives enjoy face-to-face meetings and visits to award recipient facilities to see excellence in action. They also work on a capstone project, which has strategic importance for their organisation, and receive ongoing feedback on their project from Baldrige staff and award recipient executives.
- b) The annual conference provides the opportunity to get a broad exposure to BE, or a deep dive into a particular area, or both. Every session provides the opportunity to engage with the recipients, ask probing questions, and seek advice, while the emphasis is on sharing and learning as a core value of the Baldrige community.
- c) To mitigate the complexity of the MBEF, the BPEP created a guide for the framework in 2012 and has been continuously updating it since. This user-friendly guide is easy to understand and saves time for organisations starting their BE journey.

4.4. Awarding BE

This sub-section comprises of the strengths and opportunities for improvement for the BPEP with regards to awarding BE in the U.S.

Perceived Profile/ Prestige of the Award

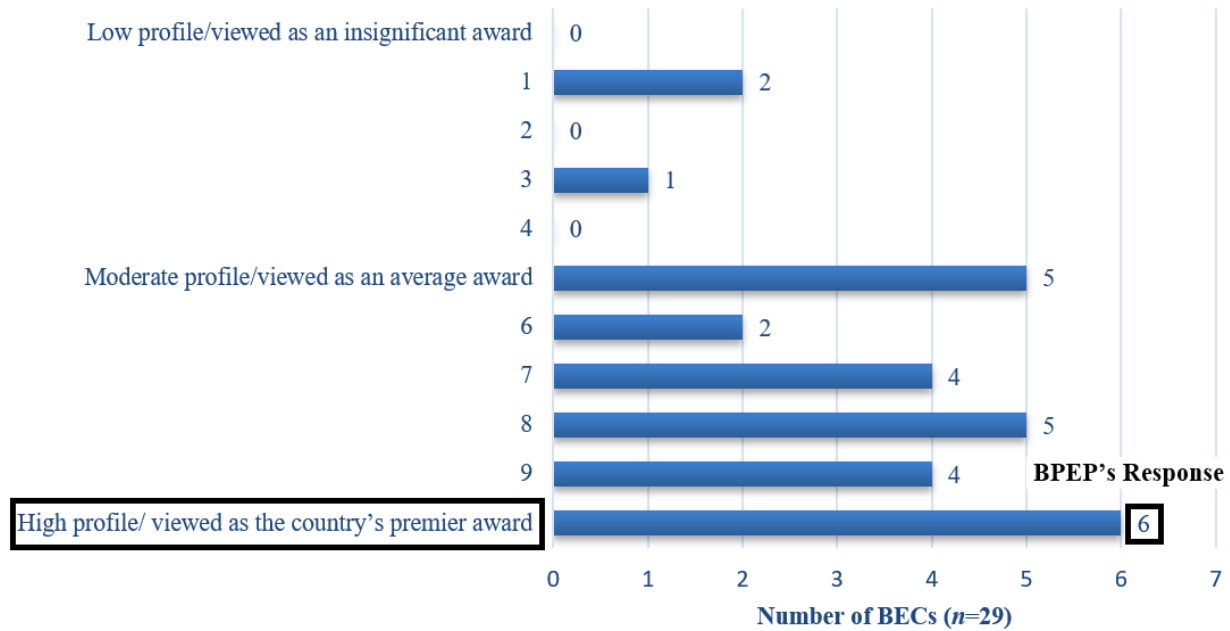


Figure 8.8: How do the BECs rate the profile/ prestige of their BE awards?

Figure 8.8 shows that 20.7% of the BECs including the BPEP perceived their BE award to be the premier award in the country, while, 72.4% of the BECs perceived their BE award to have a higher than moderate (average award) profile.

The BPEP reported 27 award applicants in the last award round (held in 2018) which is lesser than the global average (mean = 48 and median = 38). For comparison, the UAE (DED), who hold the business sector BE award in the UAE, reported the highest (261) number of award applicants.

Table 8.5: BPEP’s self-rating of BE award activities, the most important activities to focus on/improve, and the countries with “Excellent” self-rating in these activities

BPEP’s Rating of their Process	BE Award Activities	Global Average of BEC’s Rating their own Processes	Other BECs that Rate their Process as “Excellent” in the Activities
Highest	Feedback report to the applicant – presentation and content	3.9 (n=28)	Costa Rica, Finland, Japan, Netherlands, Scotland, Sweden, and the UAE (DGEP and DED)
Highest	Guidebook to explain the BE model	3.6 (n=28)	Saudi Arabia, Scotland, Sweden, and the UAE (DED and SKEA)
Highest	Assessor selection process	3.5 (n=28)	The UAE (DGEP and DED)
Highest	General management of the Awards process	3.9 (n=27)	Finland, Japan, Mexico, and the UAE (DGEP, DED)
Highest	Assessor training	3.9 (n=28)	Scotland, Sweden, and the UAE (DGEP, DED)
Highest	Support provided to ensure assessor teams follow due process (e.g. additional mentoring or use of observers)	3.7 (n=27)	The UAE (DGEP, DED, SKEA)
Highest	Site visits to Award applicants	4.3 (n=28)	Australia, Canada, Finland, Japan, Philippines (DAP), Singapore, Sweden, and the UAE (DGEP, DED, SKEA)
Highest	Consensus meeting /process to discuss and agree on the feedback to give to applicants	4.1 (n=28)	Argentina, Australia, Finland, Japan, Mexico, Philippines (DTI), Sweden, and the UAE (DGEP and DED)
Highest	Judging panel	4 (n=27)	Costa Rica, El Salvador, Finland,

			Japan, Jordan, Mexico, Singapore, Sweden, and the UAE (DGEP, DED)
Highest	Eligibility/selection criteria and process to determine which applicants are considered for an Award (this may involve a short-listing process)	3.9 (n=28)	Canada, Japan, Jordan, Mexico, Singapore, Sweden, and the UAE (DGEP, DED)
Highest	Senior assessor training/instructions (e.g. for the leader of an evaluation team)	3.8 (n=28)	Mexico, Philippines (DAP), Scotland, Sweden, and the UAE (DED)
	Publicity to encourage award applications	2.7 (n=28)	Sweden
	Guidelines and assistance provided to potential applicants on submitting an Award application (to obtain good submissions)	3.7 (n=28)	Philippines (DAP), Scotland, and the UAE (DED)
	Process used by applicants to submit an application report or relevant documents	3.6 (n=28)	Finland, Saudi Arabia, Scotland, Sweden, and the UAE (DGEP and DED))
	Levels/ categories of recognition	4 (n=28)	Canada, Costa Rica, Finland, Japan, Mexico, Saudi Arabia, and the UAE (DGEP, DED)
	Publicity surrounding the Awards	2.9 (n=28)	Jordan, Sweden, and the UAE (DGEP and DED))
	Opportunities for applicants and assessors to suggest improvements to the Awards process	3.8 (n=28)	Japan, Philippines (DAP), Scotland, Sweden, and the UAE (DED)
	Award ceremony	4.2 (n=26)	Canada, Czech Republic, Finland, Jordan, Malaysia, Mexico, Saudi Arabia, Scotland, Singapore, Sweden, and the UAE (DGEP, DED, and SKEA)
Lowest	Recognition for assessors for their contribution	3.4 (n=28)	Jordan, Sweden, and the UAE (DGEP and SKEA)

Does not do	Launch event for the Award	2.9 (n=28)	Czech Republic and Sweden
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Based on the same pattern and rating methodology as explained for Table 8.2 before, Table 8.5 shows 20 BE award activities.

The table shows the five BE award activities (as shaded rows) that are the most important for the BPEP to focus on for the next few years, its 11 “highest” self-rated, the one “lowest” self-rated, and the one that it “does not do”.

The BPEP’s perceived overall average rating of their processes in awarding BE in the US (4.4 out of 5) is higher than the global overall self-rated average (3.7) ($n=28$).

The BPEP proposed some of its own BE award techniques that other BECs could learn from: -

- a) The general management of the awards process focuses on the needs of assessors and applicants. The award process itself is a major source of attraction towards the award. The Baldrige Award is very well respected all around the world, hence the participating organisations enthusiastically participate in it.
- b) While the judges own the process, the BPEP maintains a high level of transparency of the award by preventing judges from reviewing information or voting on any applicant with which they have a real or even perceived conflict, by limiting the judges to three-year terms, and by ensuring representation from all award sectors.
- c) Site visits to applicants are meticulously planned and are focused on verifying and clarifying the feedback. Only half of the applicant organisations determined by the judges receive site visits. During the site visit, the organisation is assigned to a team that spends approximately 100 hours (3-4 days) in meetings and interviews with the people in the organisation on all

levels. The assessors walk around and talk to random people to ensure transparency of the examination. After this, they take another 2-3 days for preparing the report. The team then shares the information with the organisation.

In terms of submitting an award application, the BPEP requires award applications submitted in hard copy accompanied by a CD drive, while 40.7% BECs facilitate online submission of the award application, 29.6% facilitate hard copy submission, and 29.6% facilitate both ($n=27$). The duration of an average award cycle for the BPEP is slightly smaller with 293 days compared to the global average of 307 days ($n=20$).

For the assessment process, 51.9% BECs ($n=27$) carry out a pre-assessment of award applications before handing them over to the assessors, while, the BPEP carries out a pre-assessment of the applicants' eligibility to apply (while the applicants are not evaluated against the criteria at this stage). The average size of the assessment/ evaluation team globally is five members ($n=29$), whereas, the team size for the BPEP is nine members. It was found that 65.5% BECs provide a site visit to all the award applicants ($n=29$), whereas, the BPEP provides site visits to only those award applicants that (in a pre-assessment) are considered to be more likely to receive the award. In terms of compensating assessors for assessing award participants, 55% BECs including the BPEP do not compensate them ($n=29$). The average number of individuals that completed the assessor training course in the previous year (2017) globally was 40 ($n=25$), whereas, the BPEP trained 360 individuals in that year. The average number of individuals that applied for BE assessors training in the previous year (2017) globally was 92 ($n=14$), whereas, for the BPEP it was 487. The average assessor training globally lasts for three days ($n=24$), which is the same as for the BPEP. In terms of charging the assessors a fee for their training, 59% BECs ($n=27$) including the BPEP, do not charge them. It was found that 63% BECs ($n=27$) have different

training for new and returning assessors, whereas, the training is the same for both in the BPEP. The average number of assessors trained in the last round (2017) globally was 92 ($n=20$), whereas, the BPEP trained 487 in that year. The average number of assessors required in the last round (2017) globally was 50 ($n=25$), whereas, the BPEP required 350 in that year. In terms of the confidence in the consistency and reliability of their assessment process, 82% BECs including the BPEP are very (or extremely) confident. In terms of the value of the award process for applicant organisations, 62% BECs perceived good value, whereas, 34% including the BPEP perceived excellent value ($n=29$). In terms of the value of the award process for assessors, 55% BECs including the BPEP perceived good value, whereas, 38% perceived excellent value ($n=29$).

5. Discussion

The previous section identified the strengths and opportunities for improvement (especially the activities in Tables 8.2, 8.4, and 8.5) for the BPEP in the areas of BE design, promotion, facilitation, and award activities. In this discussion, these findings are analysed, and recommendations are provided based on the best practices of other BECs that rated their processes as “excellent” in the activities that were the opportunities for improvement for the BPEP.

Firstly, based on an analysis of the participants of the research, the MBEF (adopted by 10 BECs) is the second most popular BEF after the EFQM Excellence Model (adopted by 13 BECs), which is an accurate representation of all the BECs with active BE awards as reported by (Ghafoor and Mann, 2020) that 31% of these BECs have adopted the MBEF, second only to the EFQM (40.8% adopters).

Secondly, the MBEF is revised more frequently (once every 2 years) compared to the global average (once every three years), and it is perhaps because of this practice, that the BPEP perceives

to be “very satisfied” with the core values and concepts and the categories/ criteria, items/ criterion and scoring mechanism of the MBEF. However, this is achieved through efforts put into an ongoing review process comprising of as many as 150 BE experts and representatives from various stakeholders. The EFQM Excellence Model has gone through a radical new design in 2019 comprising of the criteria; Purpose, Vision and Strategy, Organisational Culture and Leadership (under the direction category), Engaging Stakeholders, Creating Sustainable Value, Driving Performance and Transformation (under the execution category), Stakeholder Perceptions, and Strategic and Operational Performance (under results category), while the previous version comprised of Leadership, People, Strategy, Partnership and Resources, and Processes, Products and Services as enablers and People Results, Customer Results Society Results, and Business Results (EFQM, 2020b). It may be recommended that the BPEP reviews these radical changes to the EFQM design to consider their relevance with the MBEF and investigates the reasons for why all the adopting BECs made modifications to the MBEF before adopting.

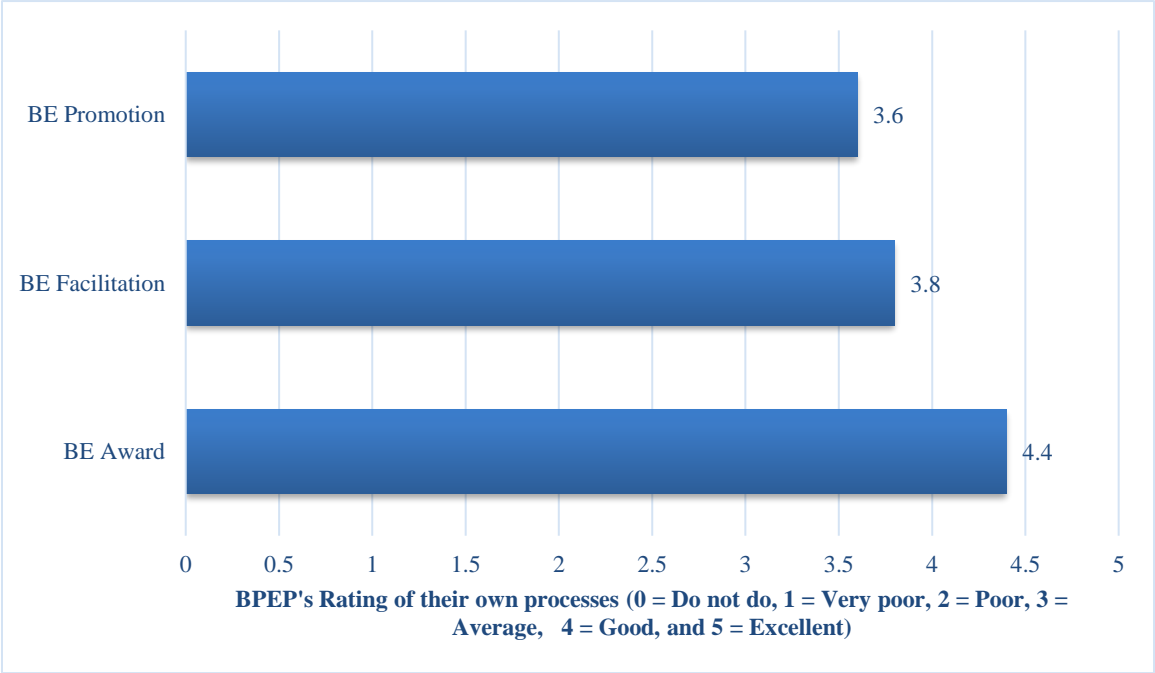


Figure 8.9: BPEP's rating of their own processes in BE promotion, facilitation, and award activities

With respect to the deployment of BE, the BPEP were asked to rate between 20 to 22 of their processes in each of the areas of BE promotion, facilitation, and award, and on average their processes rated as 3.6, 3.8, and 4.4 respectively as shown in Figure 8.9.

The BPEP rated its processes in terms of BE award activities as highest in 11 out of 20 of the BE award activities as shown in the results section (Table 8.5). In addition to that, as shown in the results section, the BPEP trained a higher number of BE assessors (360) compared to the global average (40) and deployed a higher number of BE assessors (350) compared to the global average (50) in their last award round, which is surprising as the number of organisations applying for the Baldrige Award (27) is lower than the global average (mean = 48 and median = 38). The higher number of trained assessors may be because of the large population size of the United States in comparison to other BECs' countries and due to BPEP-trained assessors also serving as BE assessors in the State awards in the country. A higher number of people applied for the BPEP training (487) compared to the global average (92). In terms of training fee, the BPEP does not charge a fee to assessor trainees, however, they are required to cover their travel and stay expenses (more than 95% of trainees need to travel to attend the training as reported by the BPEP), while those who do not intend to serve as assessors (in the award process) are charged a fee for training. A high number of BPEP trainee applicants may be because of the publicity and prestige associated with the world-renowned Baldrige Award (Liu et al., 2020; Link & Scott, 2019) that attracts aspiring BE assessors to train with the BPEP.

The main opportunity for improvement for the BPEP with regards to awarding BE was to increase the number of award applicants, especially for business sector organisations (since the BPEP has had a low number of business sector award applicants since 2013; Baldrige21, 2020), for which,

they can consider learning from the UAE (DED) regarding how they achieve a high number of award applicants, for example, 261 award applicants in the last round (2018). The UAE (DED) holds the business sector BE award which is not mandatory (voluntary) for organisations to participate in, as opposed to the UAE (DGEP) who hold a government sector award which is mandatory for all the (37 government) organisations to participate in. The UAE (DED) attracts a high number of BE award applicants mainly because of the recognition (in receiving the award by the National leadership with media coverage of the event) that the award promises.

Figure 8.9 indicates that the main opportunities for improvement for the BPEP are in the areas of promoting and facilitating the use of BE in the U.S. that they can learn from the BECs that rate their processes as “excellent” in these areas.

With regards to the BE promotion activities that the BPEP rates as the most important to focus on/improve for the next few years (and does not rate its processes the “highest” in and/or does not report using a best practice in);

- For “raising the profile of the national BE award”, they can learn from the UAE (DED) who invites a high-profile national personality to attend every award ceremony and announce this attendance at the time of the launch of the award to create excitement among the participant organisations, or from the UAE (DGEP which is supported by the government) who make it mandatory for all public sector organisations to participate in the award.

With regards to the BE promotion activities that the BPEP rates its processes the lowest in;

- For “press releases on BE”, they can learn from Spain, who employs a dedicated person responsible for sending out information-rich press releases (with secondary responsibility of managing other social media as well) to the organisations in the country.

- For “marketing of BE to CEOs/ senior managers/ board of directors”, they can learn from Saudi Arabia who visits many organisations in all sectors (private and public) to promote positive impact and results of adopting BE by meeting the organisational heads continuously.

With regards to the BE promotion activities that the BPEP “does not do” but rates as the most important to focus on/ improve for the next few years;

- For “providing free copies of the BE model and criteria”, they can learn from Finland (that has 80-100% BE awareness levels in Multinational/ International Organisations and government organisations) who provides free downloadable up-to-date copies of their BEF (the EFQM Excellence Model in Finnish language) from their website. Doing this, trades off a portion of revenue (that would have been generated from BEF download fees) in favor of a higher degree of awareness.

Similarly, with regards to the BE facilitation activities that the BPEP rates as the most important to focus on/ improve for the next few years (and does not rate its processes the “highest” in and/or does not report using a best practice);

- For “additional models, guides and awards that stem from BE and focus on specific topics”, they can learn from Argentina who developed an Excellence in Management Framework, however, by the time of writing this paper, the BPEP has introduced a Cybersecurity Assessment Model (NIST, 2019c).
- For “networking meetings for BE users”, they can learn from the UAE (DGEP), who holds several highly attended one-day events throughout the year on specific areas of BE such as innovation management, human capital, and smart governance (as opposed to annual events that are already held by the BPEP) where award winners make presentations about their journey to excellence.

With regards to the BE facilitation activities that the BPEP rates its processes the lowest in;

- For “opportunities for sharing and learning from organisations in other countries”, the BPEP can learn from the Philippines (DAP), who accesses opportunities for the deputation of international technical experts to share best practices and also arrange for Philippines organisations to travel internationally to so that they can learn best practices from overseas organisations.

Amongst the BE facilitation activities that the BPEP “does not do”, there are no activities that the BPEP rates as the most important to focus on/ improve for the next few years, however, recommendations are provided for some of these activities, such as;

- For “certified course of training in BE”, they can learn from Japan, who offers BE training courses for employees of organisations (in addition to training BE assessors which the BPEP already does) that use or aspire to adopt the BEF, leading up to their certification.
- For “BE mentoring”, they can learn from Singapore, who helps organisations to understand and prepare for certification and awards through advice from BE experts.
- For “train the trainer courses (for assessors/consultants)”, they can learn from Japan, who invites applications for assessors training and (during the application processing and training) select the individuals that are most suitable (because of their experience and expertise) for becoming potential instructors of accredited BE assessors.

Finally, for the BPEP to improve awareness and usage levels of BE in the U.S., and to increase the number of award applicants, it is advised that it establishes sound BE awareness and usage measurement systems. For this, they can learn from Malaysia, who estimate the number of companies using BE by adding the number of award applicants to the number of companies who

participate in government-funded development projects that require the use of BE as a measure. Alternatively, they could employ a market research company to undertake an independent assessment of awareness and usage levels. This approach was used previously by Australia to gain an accurate understanding of awareness and usage across each Australian states and different sizes of companies. Companies were selected randomly, and a phone call was made to their CEOs or members of the senior management team who were asked if they had heard of and/or used the Australian Business Excellence Framework (Grigg & Mann, 2008b).

6. Conclusion

The objectives set for this research have been met. Previous studies on the BPEP focused mainly on discussing the design and composition of the MBEF, how is it being used, how it ought to be used, what are the implications of the Baldrige Award on the award-winning organisations, and how can the MBEF be used for measuring performance excellence. The current paper has contributed to identify the strengths and opportunities for improvement of the BPEP and provide recommendations on how the BPEP can be improved.

This paper identified the areas that are the most important for the BPEP to focus on for the next few years, the activities that they rate as their highest, their lowest, and the activities that they do not do. The paper has provided recommendations on how to improve these activities which are mostly in the areas of promoting and facilitating BE. This research is particularly helpful for the BPEP to have a higher awareness level of BE in the U.S. and to better facilitate the national organisations in following a BE path, thus spreading the culture of using BE in the U.S.

The key strengths identified in the paper are that the MBEF is widely adopted by other BECs and is a trusted BEF, is more frequently reviewed and thus more up-to-date than the other BEFs on

average, the BPEP rates its processes as high in the activities relating to awarding BE, and that the BPEP trains nine times more BE assessors than the other BECs around the world on average, which is because of the size of the country and the popularity of the BPEP's training.

The limitations of this research that can be addressed to improve this research in the future are having a higher number of participant BECs and countries from all the continents/ regions and a higher number of structured interviews for more detailed best practices. For the future, it is recommended that this research is carried out periodically, for instance after every two years to track the progress of the individual BECs as well as that of BE in general world-wide. Additionally, for further insights and data triangulation purposes, it would be useful to obtain data from BE assessors and organisations that have experienced the processes and services of BECs as this may identify strengths and opportunities for improvement different from those identified by the BECs.

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8.2. Chapter Highlights

This chapter aimed to investigate the strengths and opportunities for improvement of the Baldrige Performance Excellence Program (BPEP) and provide recommendations on how the BPEP can be improved. This aim was achieved by meeting two objectives which were: identifying the strengths and opportunities for improvement of the BPEP concerning the design of the Malcolm Baldrige Excellence Framework (MBEF) and deploying BE in the US; and providing recommendations for improving the activities that the BPEP considers the most important to improve over the next few years.

With regards to the design and development of the MBEF, there are five key strengths. These are: MBEF is the second most popularly adopted BEF, adopted by 10 BECs; the BPEP revises and updates the MBEF more frequently (once every two years) compared to the other BEFs; the BPEP reviews the MBEF through an ongoing process of monitoring developments in high performing organisations and their proven practices supported by research and thought leaders; the BPEP is “very confident” in both the core values and concepts (being based on sound BE principles) and the categories/ criteria, items/ criterion, and scoring mechanism (being appropriate for assessing BE) of the MBEF; and the BPEP is “not at all” likely to significantly modify the MBEF which indicates confidence in the current framework.

With regards to raising the awareness of BE in the US, the BPEP aims to focus on ‘promotion of BE via social media (twitter, face book, linked-in etc)’, ‘raising the profile of the national BE award’, ‘obtaining the assistance of assessors to promote BE’, and ‘providing free copies of the BE Model and Criteria’. The BPEP perceived 0-10% of CEOs and organisational heads in the U.S. to be aware of BE (compared to a global average of 11-20%) while it is perceived that awareness has slightly increased over the last three years.

With regards to facilitating organisations on their BE journey, the BPEP aims to focus on ‘industry-specific BE guides to explain BE in terms relevant to the industry’, ‘networking meetings for CEOs /senior managers of BE users’, ‘on-line service/database of BE information/publications’, ‘additional models, guides and Awards that stem from BE and focus on specific topics such as Corporate Responsibility, Knowledge Management, Environmental Sustainability and Leadership’, and ‘networking meetings for BE users’.

With regards to awarding BE in the US, the BPEP aims to focus on ‘feedback report to the applicant – presentation and content’, ‘consensus meeting /process to discuss and agree on the feedback to give to applicants’, ‘publicity to encourage award applications’, ‘process used by applicants to submit an application report or relevant documents’, and ‘publicity surrounding the Awards’. The BPEP runs a highly popular BE assessor training program that trained 487 in the year 2018 compared to a global average of 92.


The BPEP’s perceived overall average rating of their processes in awarding BE (rated 4.4 out of 5 compared to the global average of 3.7) is higher than the perceived overall average in facilitating (rated 3.8 compared to the global average of 3.3), and promoting BE (rated 3.6 compared to the global average of 3.1). A range of best practices reported by this research’s participants are provided in this chapter to help improve the BPEP’s BE activities.



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Name of candidate:	Saad Ghafoor
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In which chapter is the manuscript /published work: 8	
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CHAPTER 9: THE STRENGTHS AND OPPORTUNITIES FOR IMPROVEMENT OF THE DUBAI GOVERNMENT EXCELLENCE PROGRAM

9.1. About the Chapter

This chapter aims to investigate the strengths and opportunities for improvement of the Dubai Government Excellence Program (DGEP) and provide recommendations on how the DGEP can be improved. This chapter follows the same pattern as the previous chapter (8) and covers the Business Excellence (BE) Framework (BEF) designing, and BE promotion, facilitation, and awarding from the perspective of the DGEP.

It is important to study this because the DGEP has a unique public sector focus in contrast to the generic BE Custodian (BEC) such as the Baldrige Performance Excellence Program (BPEP) and the EFQM and is therefore of great interest to investigate its journey of developing the Government Excellence Model (GEM 2.0), promoting and facilitating its use, and awarding the Dubai Government Entities. For the DGEP to improve the BE activities in the Dubai, they can learn from the other BECs' best practices shared in this chapter.

Data were collected directly from the DGEP and compared with the global data/ averages from the other 28 BECs participating in this research.

The key literature on this topic comprises of studies focused on the history and impact of BE in Dubai (Hammad et al., 2020; Al Zaabi 2019; Bowe 2019; Aherns, 2014), and the design and composition of GEM (2.0) and the Dubai Government Excellence Model (AlZawati et al., 2020; Salah & Salah, 2019; Hammad & Dweiri, 2018).

The present study is unique and adds value to the existing knowledge on the DGEP because no published academic research to date has obtained data directly from the DGEP on how it administers the DGEM, nor undertaken a detailed analysis of the DGEP's strengths and opportunities for improvement relative to other national or regional BE programs.

Business Excellence in Dubai's Government Sector

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Purpose: The Dubai Government Excellence Program (DGEP) has been heralded as the driving force for the transformation of Dubai's government sector since its introduction in 1997. This research investigates the strengths and opportunities for improvement of the DGEP in terms of designing the Dubai Government Excellence Model (DGEM) and deploying (promoting, facilitating, and awarding) Business Excellence (BE) within Dubai's Government Entities (DGEs); and provides recommendations to improve the DGEP's services.

Methodology: A literature review was carried out to develop an understanding of previous research on the DGEP and the DGEM. A questionnaire and structured interviewed on the design of BE Frameworks (BEFs) and their deployment were piloted, finalised, and issued to 65 BE Custodians (BECs) (including DGEP) with 29 surveys and 13 structured interviews completed by BECs from 26 countries.

Findings: DGEP has a strong approach towards engaging organisations on the excellence journey, for example, it is obligatory for all Dubai Government Entities (DGE) to undertake this journey and to participate in the excellence award. Dubai can be considered as a global leader in BE as evident from DGEs' performance indicators over the years that are shared in this paper. DGEs have also been assessed and recognised at international level by the EFQM.

Originality: This paper helps to improve the understanding of the current state of and strengths and opportunities for improvement in the DGEP and contributes to the relevant literature that is

previously limited mainly to the history and impact of BE in Dubai and the design and composition of the DGEM.

1. Introduction

1.1. The Dubai Government Excellence Program

The Dubai Government Excellence Program (DGEP) was initiated in September 1997 under the patronage of HH Sheikh Mohammed bin Rashid Al Maktoum, Vice President of the United Arab Emirates (UAE), and Prime Minister of Dubai. It was envisaged to be the driving force behind developing Dubai's government sector by fostering Business Excellence (BE) in Dubai Government Entities (DGEs) (Kahlout, 2005). In his book entitled "My Vision: Challenges in the Race for Excellence", HH Sheikh Mohammed bin Rashid Al Maktoum quoted that "*This program is the force behind improvements of the public sector. It propagated a spirit of competition not known by governmental departments before. All managers, officials, and employees seek to compete to provide the best and win one of the awards*" (Al Maktoum, 2004). A brief history and evolution of the DGEP is provided in the literature review of this paper.

The DGEP governs the Dubai Government Excellence Award (DGEA) which is a combination of two awards namely Institutional Awards with 10 categories and the Dubai Excellence Medal (for individuals) with nine categories (DGEP, 2020a) provided in table 1.

Table 1: Institutional Award and Dubai Excellence Medal Categories (DGEP, 2020a)

<u>Institutional Award Categories</u>
<i>The Elite Award, Leading Government Entity, Best Entity in Innovation Field, Best Entity Achieving Dubai Plan 2021, Happiest Work Environment, Best Entity in Digital Government, Best Entity in Service Provision, Best Entity in Efficiency and Governance, Best People-of-Determination-Friendly Entity, and Best Entity in the Emiratisation Field.</i>
<u>Dubai Excellence Medal Categories</u>

Dubai Medal for Assistant Director General /CEO, Dubai Medal for Supervisory Employee, Dubai Medal for Customer Happiness Employee, Dubai Medal for Innovative Employee, Dubai Medal for Specialised Employee, Dubai Medal for Administrative Employee, Dubai Medal for Field Employee, Dubai Medal for Young Employee, and Special Recognition – The Unknown Soldiers.

1.2. The 4th Generation Government Excellence System

The 4th Generation Government Excellence System (4GGES) was launched in March 2015 and implemented for the first time by the UAE Federal Government in 2016 (GEM, 2020a). The original version of the 4GGES was also known as the Government Excellence Model (GEM) while the current version (which is its 2nd version) is called GEM (2.0). Like its previous version, the GEM (2.0) is intended to result in major leaps in performance and is used (in original or modified form) by all the BE Custodians (BECs) responsible for facilitating and awarding BE in government entities and ministries in the UAE (GEM, 2020b). The Dubai Government mandated the DGEP to be the custodian of the GEM (2.0) (then GEM) in Dubai since 2016 to efficiently respond to the requirements of DGEs (DGEP, 2020b). The DGEP uses a modified version of GEM (2.0), which will, from here onwards be referred to as the Dubai Government Excellence Model (DGEM).

It was found that there are eight BEAs currently active (held in or after 2018) in the UAE targeting private or public organisations/ ministries in Dubai and Abu Dhabi. As shown in table 2, six BECs in the UAE use GEM (2.0) or its modified version while two BECs (targeting the private sector) use the EFQM Excellence Model.

Table 2: Active BEAs in the UAE

BEA Name	Target Audience/ Organisations	BEC Name	Business Excellence Framework
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Dubai Government Excellence Awards	DGEs	DGEP	Modified GEM (2.0)
Dubai Quality Award	Dubai Private Sector	DED ¹⁸	EFQM Excellence Model
Mohammed Bin Rashid Government Excellence Award	Abu Dhabi Ministries	SKGEP ¹⁹	GEM (2.0)
Abu Dhabi Award for Excellence in Government Performance	Abu Dhabi Government Entities	ADAEP ²⁰	Modified GEM (2.0)
Sheikh Khalifa Excellence Award	Abu Dhabi Private Sector	SKEA ²¹	EFQM Excellence Model
Sheikh Saqr Program for Government Excellence Award	Ras Al Khaimah Government Entities	SSPGE ²²	GEM (2.0)
Ajman Excellence Award	Ajman Government Entities	AEP ²³	GEM (2.0)
Sharjah Excellence Award	Sharjah Private Sector	SCCI ²⁴	EFQM Excellence Model

1.3. Aim and objectives of the paper

The current study aims *to investigate the strengths and opportunities for improvement of the DGEP and provide recommendations on how it can improve its services.*

Objectives were set to: -

1. Identify the strengths and opportunities for improvement of the DGEP concerning the design of the DGEM and deploying (promoting, facilitating, and awarding) BE in Dubai, and

¹⁸ Department of Economic Development (DubaiDED, 2020)

¹⁹ Sheikh Khalifa Government Excellence Program (SKGEP, 2020a)

²⁰ Abu Dhabi Award for Excellence Program (ADAEP, 2020)

²¹ Sheikh Khalifa Excellence Award (SKEA, 2020)

²² Sheikh Saqr Program for Government Excellence (Sheikh Saqr Program for Government Excellence, 2020)

²³ Ajman Excellence Program (Ajman Excellence Program, 2020)

²⁴ Sharjah Chamber of Commerce and Industry (Sharjah.gov, 2021)

2. Provide recommendations on how the DGEP can improve the activities that it considers the most important to focus on for the next few years.

2. Literature Review

A literature review was carried out to obtain an understanding of previous research on BE in Dubai (in general) and on the DGEP (in particular). It was found that much of the literature is related to the history of BE in Dubai (including the formulation of the DGEP) and the design of the DGEM (and its comparison with the design of the other major BEFs). This section is divided into two sub-sections which are the history and impact of BE in Dubai and the GEM (2.0) and DGEM designs.

2.1. The history and impact of BE in Dubai

Dubai Quality Award was established in 1994 to promote quality and excellence in the UAE and to increase competitiveness among the business community of the country (DQG, 2021). The DGEP first adopted the EFQM Excellence Model in 1997 (until 2015) but included small modifications to it to make it more suitable for DGEs (Ahrens, 2014). The changes were made to the criteria text to better suit the work of DGEs and the weights of criteria were changed slightly to better suit the priorities and focus of the government. The model structure and its assessment methodology were kept the same as the original model. Figure 1 shows the DGEP-modified version of the standard EFQM Excellence Model (in 1997) that was the DGEP's first BEF adopted for assessing DGEs competing in the Distinguished Government Entity Award (Hammad et al. 2020; Ahrens 2014).

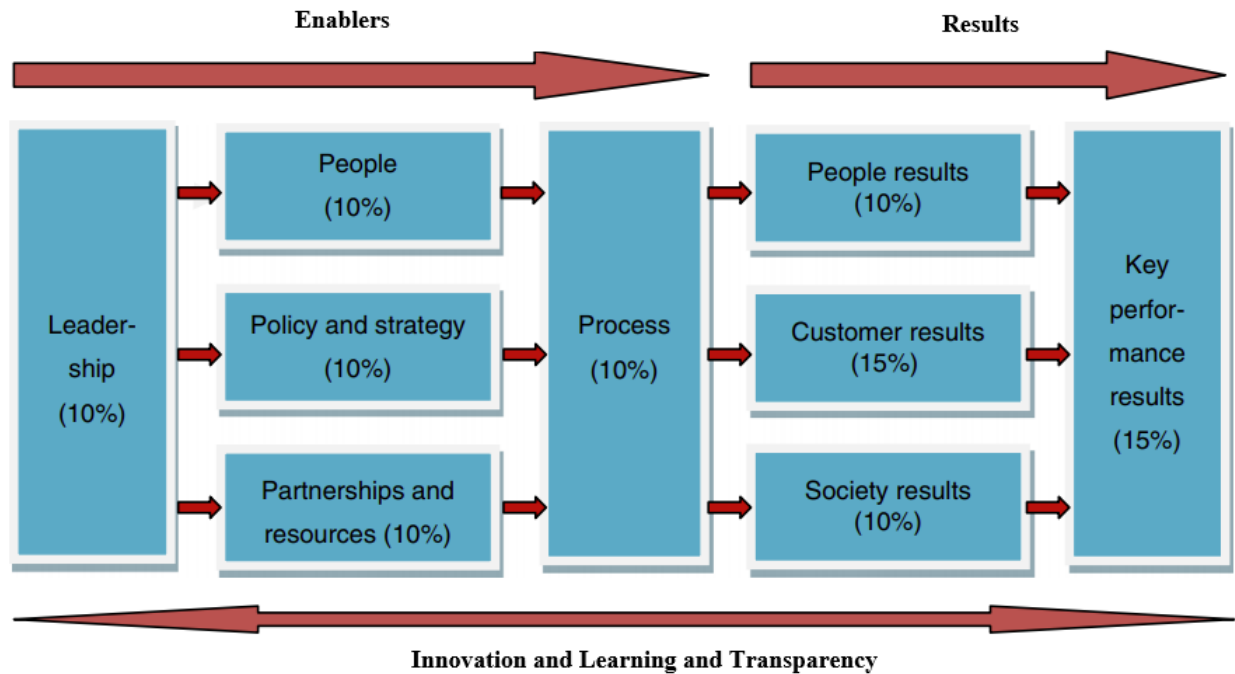


Figure 1: EFQM Excellence Model-based BEF previously used by the DGEP (Hammad et al., 2020)

Since 1997, some of the excellence award categories (such as then entitled Distinguished Government Authority and Distinguished Government Department) have been obligatory for DGEs to participate in. EFQM Certified Assessors were tasked with assessing how the DGEs compared to benchmark expectations for the various EFQM Excellence Model components (Aherns, 2014). To put the size of the assessment task in perspective, there are 43 DGEs comprising of 13 government departments, 8 public authorities, 10 public corporations, 3 law enforcement bodies, 3 academic and training institutions, 3 councils, 2 judicial entities, and 1 centre (Media Office.ae, 2021).

In 2015, the Government of UAE decided to design a unique BEF that is more applicable to the government entities of the UAE and has a larger focus on the government’s objective to make the country’s government entities world-class and leaders in their areas of work (Al Zaabi 2019; Bowe

2019). The EFQM Excellence Model served as a guide in designing the GEM (2.0) which was launched in 2015 (GEM, 2020b) and adopted by the Government of Dubai through the DGEP in 2016 (Hammad & Dweiri, 2018). The GEM (2.0) criteria text was amended based on specific requirements of the DGEs. For example, the original GEM (2.0) had a criterion “National Agenda” which was changed to “Dubai Plan 2021” to make the DGEM focused on achieving the Dubai Government-specific goals (as shown in figure 2; DGEP 2020c). However, just like the earlier (slightly modified) adoption of the EFQM Excellence Model by the DGEP, the overall structure and assessment methodology of the GEM (2.0) was kept the same and it was used for assessing organisations competing for the Leading Government Entity Award (DGEP 2020c).

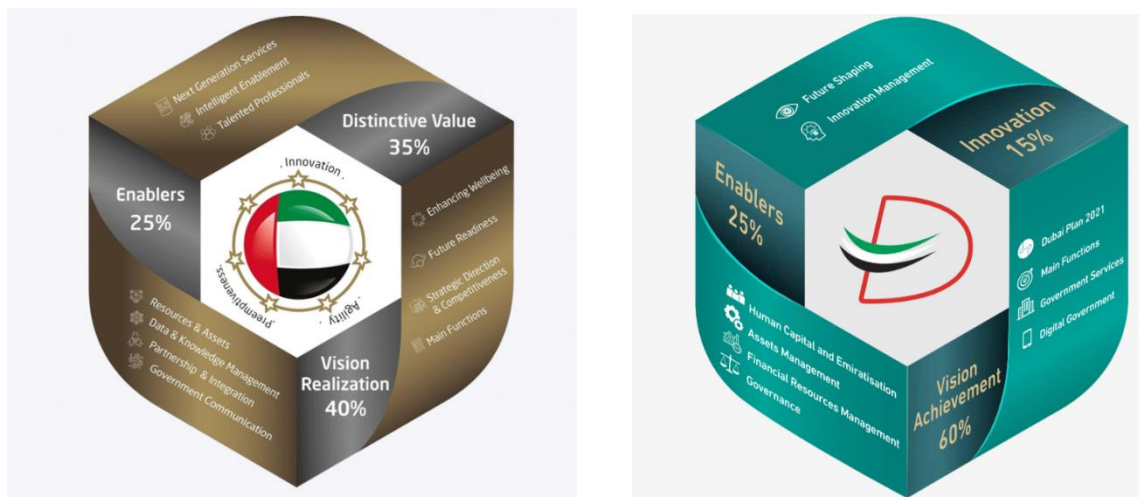


Figure 2: The GEM (2.0) (GEM, 2020b) and the current DGEM Model (DGEP, 2020c)

With regards to the outcome of deploying BE in the public sector of Dubai, the study of Thawani (2014) found that BE has played a key role in Dubai’s journey of becoming a flourishing service and knowledge-based economy. Moreover, the study of Ahern (2013) found that the leadership of Dubai has proven to be a formidable support in fostering a culture of BE resulting in rationalisation of excellence, measured effectiveness, and efficiency in the public sector of Dubai

(Aherns, 2014). Benchmarking projects for improving the government entities’ performance such as “Dubai We Learn” (Mann et al., 2019) and “Dubai Smart Government” initiative (Obeid Alshamsi et al., 2019) were undertaken to achieve and support a culture of excellence in the country.

2.2. The GEM (2.0) and the DGEM design

Table 3: Composition of the GEM (2.0) and DGEM (GEM 2020a; 2020c; 2020d; DGEP, 2020c).

GEM (2.0)		DGEM
<i>Principles</i>	<i>Pillars</i>	
<i>Ambitious Vision</i>	<i>Vision Realisation</i>	<i>Achieving Vision</i>
<i>Enhancing Wellbeing</i>	<i>Distinctive Value</i>	<i>Innovation</i>
<i>Leadership at the Helm</i>	<i>Enablers</i>	<i>Enablers</i>
<i>Anticipating and Adapting</i>	<i>Criteria</i>	
<i>Inspiring Confidence</i>	<i>Enhancing Wellbeing</i>	<i>Dubai Plan 2021</i>
<i>Embracing the Ecosystem</i>	<i>Future Readiness</i>	<i>Main Functions</i>
<i>Outcome-Based Measurement</i>	<i>Strategic Direction and Competitiveness</i>	<i>Government Services</i>
<i>Benefits Realisation, Leading Government</i>	<i>Main Functions</i>	<i>Digital Government</i>
<i>Transformational and Disruptive Mindset</i>	<i>New Generation Services</i>	<i>Future Shaping</i>
	<i>Intelligent Enablement</i>	<i>Innovation Management</i>
	<i>Talented Professionals</i>	<i>Human Capital and Emiratisation</i>
	<i>Resources and Assets</i>	<i>Assets Management</i>
	<i>Data and Knowledge Management</i>	<i>Financial Resources Management</i>
	<i>Partnership and Integration</i>	<i>Governance</i>
	<i>Government Communication</i>	

In terms of similarities and differences between the DGEM and the other major BEFs, the study of AlZawati et al. (2020) found that there is no difference between the core values of the 2013 EFQM Excellence Model and the DGEM, however, there is a difference between the two models’ criteria. Hammad and Dweiri (2018) added to this that the DGEM has a greater focus on results

than on the enablers compared to the 2013 EFQM Excellence Model. Similarly, the study of Salah and Salah (2019) found that the DGEM encompasses most of the 2019-2020 Baldrige Excellence Framework's dimensions, however, is more explicitly focused on results. It was found that the literature did not present an account of studying the practices of the DGEP as a custodian of BE in Dubai. This is a gap that the current study aims to fill.

3. Methodology

This section provides the research methodology of this paper in four sub-sections which are; 3.1) research approach, 3.2) population and sampling, 3.3) developing the questionnaire and the structured interview instrument, and 3.4) data collection and analysis.

3.1. Research Approach

The research aim is met through an in-depth study of DGEP and comparing the DGEP's responses and practices with the other BECs. Because a range of views was sought along with some depth of information, this research follows a mixed-method design in keeping with a pragmatism epistemology. It comprised of a questionnaire and follow-up structured interviews thus collecting and analysing both quantitative and qualitative data from the CEOs or organisational heads of the BECs. In term of time horizon, this is cross-sectional research which involves looking at data from a population at one specific point in time.

3.2. Population and Sample:

Data were collected directly from the (leadership of) DGEP with the help of a questionnaire and a structured interview, which was compared with the data collected from (the leadership of) 28 other BECs from 25 countries using the same questionnaire and structured interview. These 29 BECs including the DGEP (that agreed to participate in this research) were among the 65 BECs in 55

countries that were identified as “active”. The BECs were considered active if they had held a BEA in 2016 or after or had planned to hold a BEA in 2019 (this study was conducted in 2018 and 2019). Of the 29 participating BECs, the DGEP and 12 other BECs undertook an optional Skype interview to add detail to responses to the questions (especially those related to best practices) and, if required, confirm the information provided in the questionnaire.

Table 4: Countries and BECs that participated in the survey and structured interviews (shown in highlighted rows)

Country	BEC	BEF
Argentina	Excelencia	MBEF
Australia	Business Excellence Australia	Unique design
Canada	Excellence Canada	Unique design
Costa Rica	Cámara de Industrias de Costa Rica	MBEF
Czech Republic	Czech Society for Quality	EFQM
Ecuador	CODEFE	EFQM
El-Salvador	Subsecretaría de Gobernabilidad de la Presidencia de la República de El Salvador	MBEF
Estonia	Estonian Association for Quality (EAQ)	EFQM
Europe -EFQM	European Foundation for Quality Management	EFQM
Finland	Excellence Finland	EFQM
India	IMC Ramkrishna Bajaj National Quality Award Trust	MBEF
Japan	Japan Quality Award Council	MBEF
Jordan	King Abdullah II Center for Excellence (KACE)	EFQM
Malaysia	Malaysia Productivity Corporation (MPC)	MBEF
Mexico	Institute for Total Quality Development	Unique design
Netherlands	INK	EFQM
Peru	CORFEP	EFQM
Philippines (DAP)	Development Academy of the Philippines (Public Sector)	MBEF
Philippines (DTI)	Department of Trade and Industry – Competitiveness Bureau (Private Sector)	MBEF
Saudi Arabia	King Abdulaziz Quality Award	Adopted from both MBEF and EFQM
Scotland	Quality Scotland	EFQM

Singapore	Enterprise Singapore	MBEF
Spain	Club Excelencia en Gestión	EFQM
Sweden	SIQ – The Swedish Institute for Quality	MBEF
United Arab Emirates DGEP	Dubai Government Excellence Program (Public Sector)	Unique design
United Arab Emirates DED	Business Excellence Department, Dubai Economy	EFQM
United Arab Emirates SKEA	Sheikh Khalifa Excellence Award (SKEA) – Abu Dhabi Chamber	EFQM
United Kingdom	British Quality Foundation	EFQM
United States of America	Baldrige Performance Excellence Program	MBEF

3.3. Developing the Questionnaire and the Structured Interview Instrument:

The questionnaire and the structured interview instrument was developed by modifying and updating the research instruments of two prior studies that investigated the state of BE on national and regional levels. These studies were carried out on the behalf of the Asian Productivity Organisation (APO) (Mann et al., 2011a; 2011b) and Standards Australia International (SAI) Global (Grigg & Mann, 2008). Once developed, the questionnaire was shared with the BECs for feedback on the completeness of the questionnaire and the clarity of the terminologies used. The feedback (received from the DGEP and 10 other BECs) was used to refine the questionnaire, which was shared with the Global Excellence Models (GEM) Council²⁵ (in their annual general meeting in August 2018 in Sydney) for final approval.

3.4. Data Collection and Validation:

Two main challenges with the data validation were: a) the response bias in the perception-based questions in the survey; and b) the missing values in the data because some of the questions did not apply to the BECs, for example, not all the BECs undertake all the activities investigated in

²⁵ An organisation consisting of custodians of the major BEFs and national BEA bodies.

this research. To mitigate these: a) the BECs were followed up with to clarify any suspected anomalies in the data; b) publicly available sources (such as BEC websites) were used to verify the responses; c) the BECs were provided with a draft report (with analysed data and results from the survey and structured interviews) to correct their response if needed (internal validation of data), add missing values if they had mistakenly missed any, and to feel encouraged to answer the questions that they had not answered; and d) averages and percentages were used based on the number of responses (*n* values) to each question (thus making the data comparable and consistent).

4. Results

This section presents findings on the strengths and opportunities for improvement of the DGEP in four sub-sections which are; 4.1) designing and adopting BEFs, 4.2) promoting BE, 4.3) facilitating organisations in undertaking a BE journey, and 4.4) awarding BE. The opportunities for improvement identified in this section (especially in promoting and facilitating BE) are further analysed and recommendations are provided in the discussion section.

4.1. Designing and adopting BEFs

The DGEP uses a modified version of GEM (2.0) and reported that it is used because it is the National model for UAE especially designed for government organisations. The DGEP reported having “reasonable confidence” in the principles and criteria of the DGEM with “minor to moderate changes” required to update the model. Figure 3 shows the responses of the other BECs included in this research.

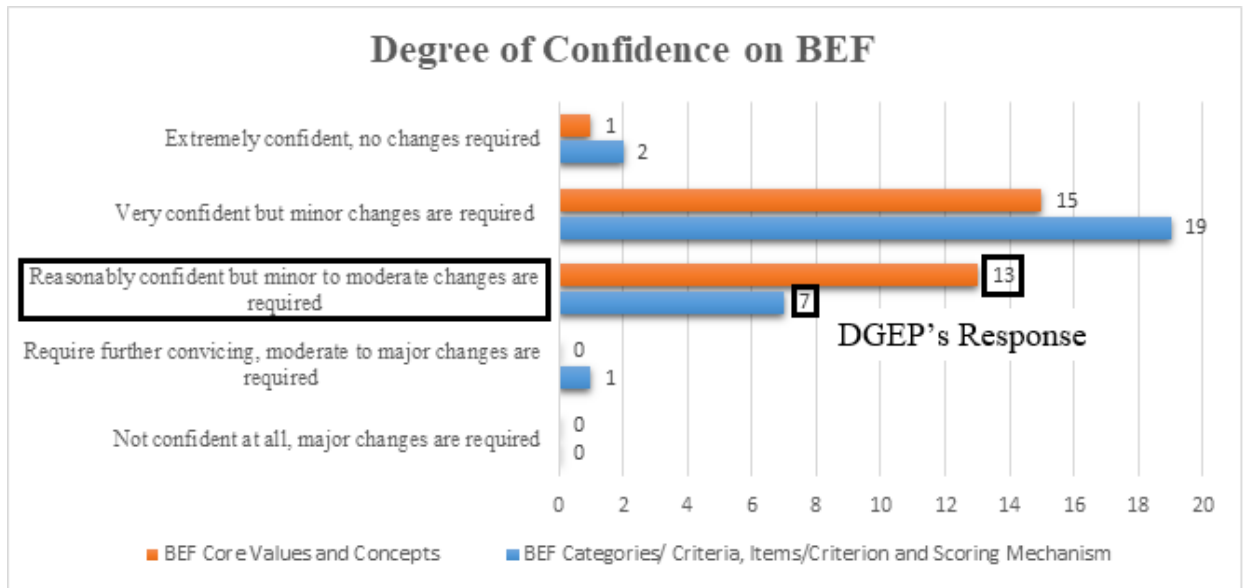


Figure 3: How confident are the BECs in the BEF core values and concepts and BEF categories/criteria, items/ criterion and scoring mechanism?

In terms of the DGEM design and how it is reviewed, DGEP reported that the following steps are undertaken: -

- i) a team is assembled within the DGEP responsible for reviewing the DGEM,
- ii) the team conducts preliminary research to identify the changes that may be required in the DGEM,
- iii) the team organises a group of brainstorming sessions with BE experts, client organisations, and BE assessors to obtain their input,
- iv) a draft of the modified model is developed,
- v) the draft is shared with all the before mentioned stakeholders for feedback,
- vi) final changes are made to the model, and
- vii) the new model is communicated to the client organisations.

In terms of the design of the DGEM, the key strength identified in the study is that it is tailored to the needs of government entities with focus on the Dubai Government's plan for 2021 thus significantly increasing the BEF's relevance to the DGEs. The key opportunity for improvement on the other hand is that the DGEs score in the DGEM is difficult to be benchmarked against the scores of the other organisations using other BEFs such as the Baldrige Excellence Framework or the EFQM Excellence Award. It is recommended that the DGEs are encouraged to undertake independent assessments using the Baldrige Excellence Framework or the EFQM Excellence Model to also compare their performance against international counterparts and facilitate learning and sharing with other organisations worldwide. The Dubai Electricity and Water Authority (DEWA) and the Dubai Police have been assessed using the EFQM Excellence Model in the past and have received the EFQM Excellence Award in 2019 (EFQM, 2019) and 2018 (EFQM, 2018), respectively.

4.2. Promoting BE

Table 5 shows how DGEP rates its processes in performing BE promotion activities, the most important activities to focus on for the next few years for the DGEP (shown as shaded rows), and the countries that rate their processes as "Excellent" in these activities. It is important to mention here that this was a perception-based self-rating of BECs' activities and the DGEP reported being more critical of their processes. Owing to this, they did not self-rate any of the activities as "Excellent". This critical approach is reflected in the DGEP's responses to facilitation and award activities as well.

Table 5: BE Promotion Activities and the DGEP

DGEP's Self Rating	BE Promotional Activities	Other BECs that Rate their Processes as "Excellent" in the Activities
Good	Defined strategy/roadmap for raising BE awareness in your country/region	Malaysia and the UAE (DED)
	Promotion of BE via social media (twitter, face book, linked-in etc)	Sweden and Saudi Arabia
	Marketing of BE to managers/employees	Saudi Arabia and the UAE (DED)
	Obtaining the assistance of organisations that already use BE to promote BE	Finland, Malaysia, and Mexico
	Conference on BE	Mexico and the UAE (DED)
	Workshops/training in BE	Mexico, Saudi Arabia, Scotland, Sweden, and the UAE (DED)
	Presentations from Award winners	Finland, Mexico, Scotland, and Sweden
	Press releases on BE	Sweden
	Providing free copies of the BEF and Criteria	Argentina, Canada, EFQM, Mexico, Sweden, and the UAE (DED)
	Encouraging government institutions to promote and use BE	Malaysia, Sweden, and the UAE (DED)
	Raising the profile of the national BEA	Mexico, Scotland, and Sweden
Average	Promotion of BE via websites	Canada, Japan, Spain, and the UAE (DED)
	Marketing of BE to CEO's/senior managers/board of directors	Malaysia, Mexico, and Peru
Low	Access to simple-to-understand publications that explain BE and its benefits	The UAE (DED)
	Encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)	Argentina, Mexico, and Sweden
Does not do	Obtaining the assistance of consultants to promote BE	El-Salvador, Japan, Spain, and the UAE (DED) rated their processes as "Good"
	Obtaining the assistance of assessors to promote BE	Mexico and the UAE (DED)
	Encouraging schools to promote and teach BE to their pupils	Mexico and Sweden
	Encouraging industry/ membership-based associations to promote BE to their members	Sweden
	Having BEAs at the local level (by city or area of a country)	Finland, Malaysia, Scotland, and the UAE (DED)

To improve the processes in the (BE promotion, facilitation, and award) activities that DGEP considers as the most important to focus on for the next few years, they can potentially learn from the other BECs that rated their processes as “excellent” in performing them. Based on these best practices, recommendations are provided in the discussion section of the paper.

The study also found that 81-100% (as reported by the DGEP) of the organisational heads in DGEs are aware of BE compared to the global average (median) of 21-40% (in government organisations, and 11-20% across all types of organisations). Furthermore, it was found that 81-100% of the DGEs are undertaking a BE journey compared to the global average (median) of 11-20% (both in government organisations and across all types of organisations). The reason for high BE awareness and usage levels is that all the DGEs (therefore 100%) are obligated by the Dubai Government to follow a BE path, participate in the BEAs, and show progress in their BE maturity levels. Other BECs can follow this practice to raise the awareness and usage levels of BE in their countries.

4.3. Facilitating Organisations in undertaking a BE Journey

Table 6 shows how DGEP rates its processes in performing BE facilitation activities, the most important activities to focus on for the next few years for the DGEP (shown as shaded rows), and the countries that rate their processes as “Excellent” in these activities.

Table 6: BE Facilitation Activities and the DGEP

DGEP's Self Rating	BE Facilitation Activities	Other BECs that Rate their Process as "Excellent" in the Activities
Excellent	Conference on BE	Canada, Costa Rica, Estonia, Finland, Mexico, Netherlands, and the UAE (DED)
	Workshops/seminars on BE	Sweden and the UAE (DED, and SKEA)
	BE assessor training courses	Finland, Japan, Jordan, Saudi Arabia, Scotland, Sweden, and the UAE (DED)
	Certified course of training in BE e.g. diploma or masters degree.	Finland, Japan, Jordan, Saudi Arabia, and Sweden
	Train the trainer courses (for assessors/consultants)	Japan and Jordan
	Networking meetings for BE users	Scotland
	On-line social platforms/BE forums/discussions	None
	BE mentoring (e.g. access to BE assessors/experts for advice)	Finland and Singapore
Good	Networking meetings for CEOs /senior managers of BE users	Spain
Average	Best/good practice tours	Costa Rica, Finland, and Mexico
	BEAs at the local level (by city or area of a country)	Finland, Jordan, Malaysia, and the UAE (DED)
	Opportunities for sharing and learning from organisations in other countries	Mexico and the Philippines (DAP)
	Benchmarking services and consulting (activities to learn from best practices)	Mexico and Sweden
Low	On-line service/database of BE information/publications	Sweden
	Additional models, guides and Awards that stem from BE and focus on specific topics such as Corporate Responsibility, Knowledge Management, Environmental Sustainability and Leadership	Argentina and Malaysia
Does not do	Copies of BE submission documents from Award winners	Mexico, Philippines (DAP), and the UAE (DED)
	BEAs at the national level	Argentina, Canada, Finland, Mexico, Scotland, Singapore, and Sweden
	Industry-specific BE guides to explain BE in terms relevant to the industry	Canada, Spain, and Sweden (rated their processes as "Good")
	BE self-assessment tools	Argentina and Scotland
	BE assessments facilitated by consultants	Finland and Scotland

	BE certification programs providing recognition at different levels of excellence (that run outside the normal awards cycle)	Canada, Finland, Mexico, Scotland, Singapore, Spain, and Sweden
	Access to BE consultants for advice and assistance	Finland

The DGEP proposed some of its BE facilitation techniques and campaigns that other BECs could learn from: -

The Dubai smart training initiative uses mobility, interactivity, and connectivity capabilities of smart phones and devices to offer BE training (available 24 hours a day) from anywhere in the world. The objectives of this initiative are to: a) align the training initiative with the Dubai Smart Government Initiative, b) support and enhance continuous government sector learning, c) make the latest knowledge of excellence, innovation, and quality available to the largest number of government employees, and d) use the latest smart technology to increase awareness of the DGEM (DGEP Smart Training, 2019). At the time of this research (2019), there were 43 courses available on Google Play and Apple Store and with more than 100,000 registered trainees. Each course contains videos, presentations, interactive exercises, and exams.

The Dubai forum for best practices provides an effective platform for learning and knowledge sharing. It is an annual 2-days event where the DGEP award winners present their experiences and success stories to more than 1500 attendees. Also, the DGEP organises smaller 1-day sessions covering different topics several times per year with more than 500 attendees.

The Dubai we learn initiative was launched (in 2015) to a) promote a culture of organisational learning and transfer and exchange of knowledge in the DGEs, b) improve performance, foster innovation and creativity, and apply best practices in the government, c) develop human resources according to the global methods, tools, and standards of training, and d) establish Dubai as a global

leader in government administration (DGEP & COER Ltd., 2019). A total of 11 benchmarking projects were carried out in the last round of this initiative held in 2018 (BPIR, 2019).

Five types of formal training on BE targets different segments of the audience including excellence managers, internal assessors, experts, and leaders. The training is designed to enable trainees to help their organisations in their BE journey.

Continuous communication with clients is carried out through emails, phone calls, and one-to-one meetings to provide guidance and to answer questions.

4.4. Awarding BE

Table 7 shows how DGEP rates its processes in performing BEA activities, the most important activities to focus on for the next few years for the DGEP (shown as shaded rows), and the countries that rate their processes as “Excellent” in these activities.

Table 7: BEA Activities and the DGEP

DGEP’s Rating of their Process	BEA Activities	Other BECs that Rate their Process as “Excellent” in the Activities
	Assessor selection process	The UAE (DED)
	Assessor training	Scotland, Sweden, and the UAE (DED)
	Process used by applicants to submit an application report or relevant documents	Finland, Saudi Arabia, Scotland, Sweden, and the UAE (DED)
	Support provided to ensure assessor teams follow due process (e.g. additional mentoring or use of observers)	The UAE (DED, SKEA)
	Eligibility/selection criteria and process to determine which applicants are considered for an Award (this may involve a short-listing process)	Canada, Japan, Jordan, Mexico, Singapore, Sweden, and the UAE (DED)
	Site visits to Award applicants	Australia, Canada, Finland, Japan, Philippines (DAP),

Excellent		Singapore, Sweden, and the UAE (DED, SKEA)
	Consensus meeting /process to discuss and agree on the feedback to give to applicants	Argentina, Australia, Finland, Japan, Mexico, Philippines (DTI), Sweden, and the UAE (DED)
	Feedback report to the applicant – presentation and content	Costa Rica, Finland, Japan, Netherlands, Scotland, Sweden, and the UAE (DED)
	Judging panel	Costa Rica, El Salvador, Finland, Japan, Jordan, Mexico, Singapore, Sweden, and the UAE (DED)
	Award ceremony	Canada, Czech Republic, Finland, Jordan, Malaysia, Mexico, Saudi Arabia, Scotland, Singapore, Sweden, and the UAE (DED, and SKEA)
	Levels/ categories of recognition	Canada, Costa Rica, Finland, Japan, Mexico, Saudi Arabia, and the UAE (DED)
	Publicity surrounding the Awards	Jordan, Sweden, and the UAE (DED)
	Recognition for assessors for their contribution	Jordan, Sweden, and the UAE (SKEA)
	Opportunities for applicants and assessors to suggest improvements to the Awards process	Japan, Philippines (DAP), Scotland, Sweden, and the UAE (DED)
	General management of the Awards process	Finland, Japan, Mexico, and the UAE (DED)
Good	Senior assessor training/instructions (e.g. for the leader of an evaluation team)	Mexico, Philippines (DAP), Scotland, Sweden, and the UAE (DED)
Low	Guidebook to explain the BEF	Saudi Arabia, Scotland, Sweden, and the UAE (DED and SKEA)
Does not do	Publicity to encourage award applications	Sweden
	Launch event for the Award	Czech Republic and Sweden
	Guidelines and assistance provided to potential applicants on submitting an Award application (to obtain good submissions)	Ecuador, El-Salvador, Philippines (DAP), Saudi Arabia, Scotland, and the UAE (DED)

The DGEP proposed some of its own BE awarding techniques and campaigns that other BECs could learn from: -

- a) *A fully automated system/portal for assessment* gives applicants access to upload their submission documents and information and to receive feedback reports. The system provides robust governance for an assessment process where assessors must follow the system's procedure.
- b) *The award ceremony* is a prestigious event attended by His Highness Shaikh Mohamed Bin Rashid Al Maktoum, UAE Deputy President, Prime Minister, and ruler of Dubai who has attended all the ceremonies conducted to date. This continuous involvement and dedication from the highest leadership are instrumental in promoting BE.

A potential best practice of both the GEM (2.0) and DGEM is the assessment approach. Whilst EFQM and Baldrige assessments are undertaken by one team (refer to table 8) DGEP used four assessment teams in their 2018 awards cycle with each team having a specific responsibility to assess the government entities on one of the following: Innovation, Smart Government, Human Capital or Core Process. Each team consisted of subject matter experts recruited from other countries to ensure that the assessments were based on international best practice knowledge. The emphasis on using subject matter experts enabled pertinent and probing questions to be asked at the site visit which might otherwise not be asked (for example, for a core process team that assessed Dubai Customs there would be a team of experts with experience in customs operations). An interesting aspect of this assessment approach was that whilst the core process team spent three days on the site visit and two days consolidating their findings, the other teams spend half to one day on a site visit but were tasked to assess many government entities which enabled them to develop a good understanding of the relative strengths of the different government entities. Another positive aspect of the four-team approach was that all the teams came together to share their assessment findings and reach a consensus viewpoint. This consensus meeting was extremely

valuable in identifying issues missed by the other teams and cementing a common viewpoint when similar findings were shared and ultimately gave the teams confidence that their overall assessment findings were correct. Finally, another difference of the DGEP approach in comparison to EFQM and Baldrige is that DGEP compensates the assessors for their time.

Table 8: The assessment approach used by the DGEP compared to the Baldrige Award and the EFQM Excellence Award

	DGEP	Baldrige Award	EFQM Excellence Award
Assessor training			
How many trainees applied in the last round of assessor training?	105	487	150
How many assessors were required in the last award round?	105	350	60
How many assessors were trained?	105	360	100
Duration of training	12 hours	50 hours	24 hours + 6.5 hours of EFQM Foundation Training
Assessors' site visits to participant organisations			
Number of assessment teams per applicant	4	1	1
Number of assessors in a team	Varies (a total of 100 assessors)	9	5-9
Do all applicants receive a site visit?	Yes	No	Yes
Duration of site visit	3 days for core process team & 1 day for other teams	3 days	5 days
Are assessors paid for their time?	Yes	No	No

In comparison, the assessment team members (comprising of nine members for Baldrige and between five and nine members for the EFQM) have a mixed set of skills and experiences and are trained to strictly assess against the BEF criteria. The Baldrige Examiner Training Experience

(BETE) features online-only modules, self-study, and one-on-one coaching with Baldrige Master Examiners. Comprising of 13 self-paced online-only modules, BETE has an estimated training duration of 50 hours (NIST, 2021). EFQM assessor training on the other hand is four-day (or 24 hours) long comprising of 13 modules (EFQM, 2021a). However, it has a pre-requisite in the form of EFQM Foundation Training which is a one-day (or 6.5 hours) long training comprising of 8-modules (EFQM, 2021b). The EFQM assessor training is also delivered online only through Adobe Connect. The DGEP reported a training duration of two days which is approximately 12 hours, much less than the EFQM and Baldrige. Increasing the assessor training duration can be a potential opportunity for improvement for the DGEP.

Of interest is that the award recognition process used by DGEP was changed in 2020 to be more inclusive and provide greater encouragement to the lower performing government entities (as typically the same DGEs were being recognised at the highest level). Figure 4 shows the three leagues (Elite, Excellence, and Foundation) that organisations compete in based on their score.

Scores based on last assessment cycle	Awards levels	Entities per League	Awards Categories
600 +	Elite	4	One Category
450-599	Excellence	13	7 Categories
450 <	Foundation	15	No Categories

Figure 4: DGEP Excellence Award leagues (Source: Alneaimi, 2020)

5. Discussion

The previous section identified the strengths and opportunities for improvement for the DGEP in the areas of BE design, promotion, facilitation, and award. In this section, these findings are discussed, and recommendations are provided based on the best practices of other BECs that rated their processes as “excellent” in the DGEP’s opportunities for improvement.

Firstly, the GEM (2.0) was found to be a popular BEF for the public-sector adopted not only by Dubai (DGEP) but also by Abu Dhabi (SKGEP and ADAEP) and Egypt (Egypt Government Excellence Award) (SKGEP, 2020b) and while most (49 out of 56) countries have one active BEA (Ghafoor & Mann, 2020), the UAE has eight active BEAs that are specific to public-sector organisations and ministries (five BEAs) or private-sector organisations (three BEAs) in the Emirates of Abu Dhabi (three BEAs), Dubai (two BEAs), Ras Al Khaimah (one BEA), Ajman (one BEA), and Sharjah (one BEA). This focus on excellence with national and local leadership support from the government in most of the Emirates is mirrored in the private sector with high participation levels in the awards in the private sector with DED indicating 261 applicants (in this research) for the 2018 awards round.

Whilst the focus on excellence in Dubai and the UAE is evident, it is important to substantiate whether the culture of BE has helped to advance the performance of Dubai’s public sector. One of the most important measures used by DGEP to track government performance is customer happiness with the service provided by government entities. The customer happiness index (which consists of data from customer surveys and mystery shoppers) shows an improvement from 630 in 2004 to 850 in 2018 (35% increase) as shown in figure 5. The decrease in performance from

2017 was due to several factors including changes to the customer happiness questions, introduction of VAT, and growing requirements of customers.

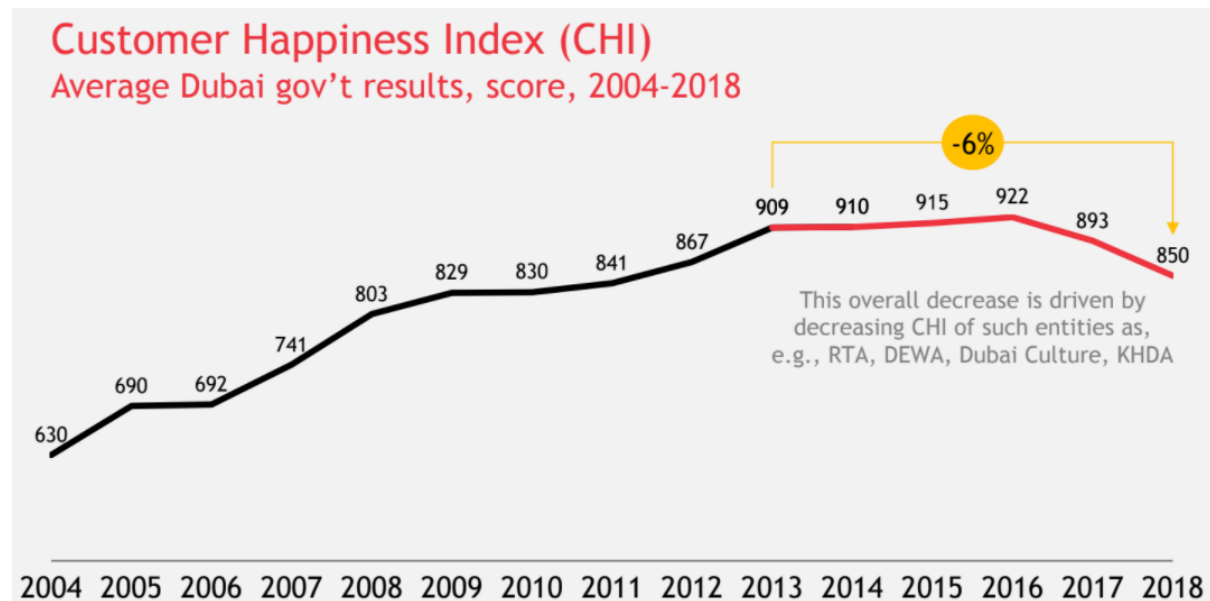


Figure 5: Customer Happiness Index Rating of Dubai Government (Source: Alneaimi, 2020)

Other indicators of the success of DGEP includes the Government Effectiveness Index (GEI, developed by the World Bank Group). The GEI rates countries with a score between -2.5 (weakest) and 2.5 (strongest) and measures the quality of public services, civil service, policymaking, policy implementation, and the credibility of a governments' commitment towards these qualities (The World Bank, 2020a). The GEI score of the UAE has improved from .85 (and a global ranking of 41) in 2002 (which is when the UAE started to use BE) to .90 (and a global ranking of 42) in 2010, and to 1.38 (and a global ranking of 24) in 2019 (The Global Economy, 2020). Similarly, the Infrastructure Ranking (comprising of the quality of trade and transport-related infrastructure, such as ports, railroads, roads, and information technology) of the UAE has improved from 18th in 2007 to 10th in 2018 (The World Bank, 2020b) and the Ease of Doing Business ranking (comprising of the conduciveness of the regulatory environment of a country to

start and operate a local firm) of the UAE has improved to 16th in 2020 (The World Bank, 2020c) from 33rd in 2010 and 47th in 2009 (The World Bank, 2020d). The improvements in the UAE’s international rankings suggest that the performance of Dubai’s public sector has continuously improved since the country started its BE journey.

With respect to the deployment of BE, the DGEP rated between 20 to 22 of their processes in each of the areas of BE promotion, facilitation, and award, and on average their processes rated as 2.7, 2.7 (where 2 represents poor and 3 represents average), and 4.4 (where 4 represents good and 5 represents excellent) respectively (as shown in figure 6). This shows that the main opportunities for improvement for the DGEP are in the areas of promoting and facilitating BE in DGEs.

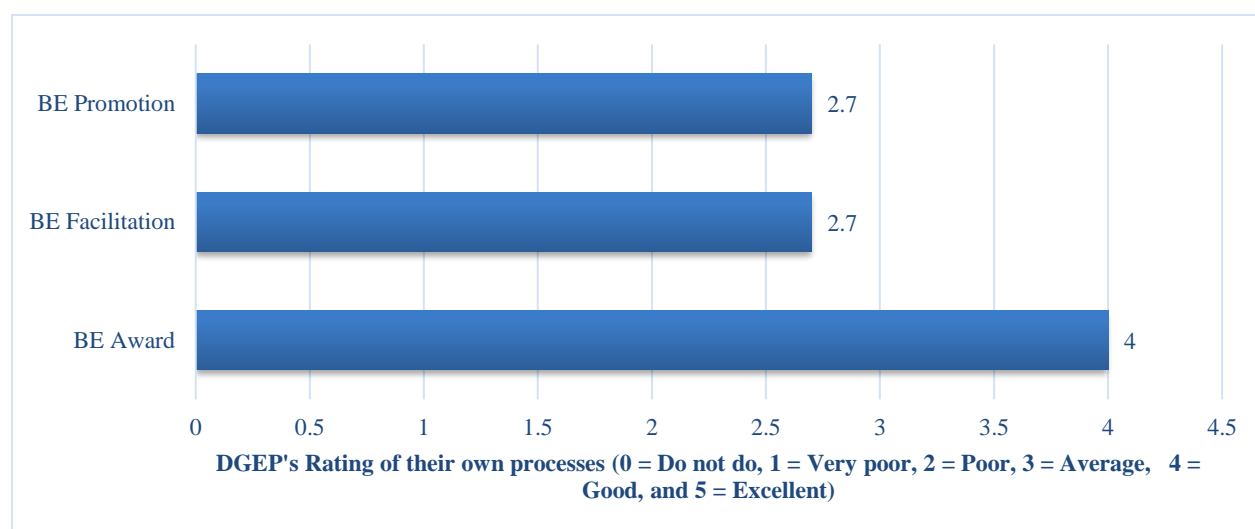


Figure 6: DGEP’s rating of their own processes in BE promotion, facilitation, and award activities

In terms of promoting BE, the activities that the DGEP considers the most important to focus on for the next few years are; “promotion of BE via websites”, “access to simple-to-understand publications that explain BE and its benefits”, “encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)”, “encouraging schools to promote and teach BE to their pupils”, and “having BEAs at the local level (by city or area of a country)”. In

terms of facilitating BE, these activities are; “on-line service/database of BE information/publications”, “copies of BE submission documents from Award winners”, and “BE self-assessment tools”, and in terms of awarding BE, these activities are; “guidebook to explain the BEF” and “guidelines and assistance provided to potential applicants on submitting an Award application (to obtain good submissions)”. Looking at Tables 5, 6, and 7, the DGEP does not do or rates its processes as low in these activities.

To improve these activities, especially in the areas of BE promotion and facilitation, the DGEP can consider learning from the other BECs. For example, in terms of promoting BE, for “promotion of BE via websites”, the DGEP can potentially learn from Spain, who have a dedicated person responsible solely for sending out information-rich press releases to the organisations in the country and has a secondary responsibility of managing the BEC’s social media account. Similarly, Japan revised their website to make it more user friendly, develop and maintain a web-membership that acquired 1800 registrations (at the time of conducting this research), and send monthly newsletters to these web-members (organisations and individuals). The Japan Quality Award Council (JQAC) website has been divided into sections (with a separate section for organisations that are new to BE) containing videos and text materials for promoting the use of BE to these audiences (JQAC, 2020).

Similarly, for “access to simple-to-understand publications that explain BE and its benefits”, the DGEP can learn from the National Institute of Standards and Technology (NIST) that provides readers with access to a wide range of publications explaining the Baldrige Excellence Framework and its benefits for organisations, criteria specific publications on the framework, case studies of organisations that implemented the framework (NIST, 2020a), and simple-to-understand brochures enabling an understanding of the benefits of using it (NIST, 2020b).

For “encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)”, and “encouraging schools to promote and teach BE to their pupils” the DGEP can learn from Argentina who is carrying out BE assessor training as a postgraduate or MBA course which has lowered BE assessor training costs and is spreading more awareness about BE. Similarly, Mexico is liaising with the Universidad Nacional Autónoma de México (UNAM) to offer a course about the Mexican BEF to develop a generation of “BE ambassadors” from among Business Administration students.

In terms of facilitating BE, for “on-line service/database of BE information/publications such as showing best practice case studies, examples of BE applications, the types of BE assessments that can be used, benchmarks, and descriptions of business improvement tools and techniques” the DGEP can learn from NIST that governs the Malcolm Baldrige Excellence Program and maintains an online database of summary application documents of Baldrige Award recipients as guides for the new applicants (NIST, 2020c). This may also be useful to improve the facilitation activity of providing “copies of BE submission documents from award winners” and the awarding activity of “guidelines and assistance provided to potential applicants on submitting an award application (to obtain good submissions)”. Additionally, NIST provides an archive of case studies of organisations benefitting from the Baldrige Excellence Framework (NIST, 2020d).

Similarly, for “BE self-assessment tools”, the DGEP can learn from Scotland that has made “EQUIP” online tool for BE self-assessment available on their website. EQUIP has three solutions namely EQUIP for Validation, EQUIP Advanced, and EQUIP Care, each of which have been aligned to the EFQM Excellence Model to help organisations to prepare for and achieve the EFQM recognition more easily (Quality Scotland, 2020). NIST has developed a range of BE improvement (NIST 2019a; 2019b) and self-assessment (NIST, 2019c; 2019d; 2019e; 2019f)

tools. Similarly, the EFQM's range of online assessments comprises of a "light touch" assessment which is a simple questionnaire for organisations that are interested in BE or at an early stage of their BE journey (EFQM, 2020a), the Business Matrix assessment which is an intermediate level assessment tool, and the Business Matrix Advanced assessment, which is a thorough self-assessment tool following the full RADAR²⁶ Attributes (EFQM, 2020b).

Lastly, in terms of awarding BE, for publishing a "guidebook to explain the BEF", the DGEP can learn from NIST that publishes free of cost executive guides to the criteria of the latest Baldrige Excellence Framework explaining in detail how the framework is being used by organisations worldwide. The last guide was published in 2020 that provided detailed case studies from several sectors and industries (manufacturing, service sector, SMEs, health care, education, and not for profit; NIST, 2020e).

6. Conclusion

The objectives set for this research have been met. This study has identified the strengths and opportunities for improvement of the DGEP and provided recommendations on how the DGEP can be further improved. By doing so, the study has filled the gap in the literature that focused mainly on discussing the history and impact of BE in Dubai and the design of the DGEM.

The study examined: the design features of the DGEM in the literature review; found that the DGEP is reasonably confident of the DGEM in terms of its principles and criteria; and identified the activities in promoting, facilitating, and awarding BE that are the most important for the DGEP to focus on for the next few years and the activities that it rates its processes as excellent, good,

²⁶ RADAR (Results, Approaches, Deployed, Assessment, and Refinement) is a tool within the EFQM Excellence Model that allows a structured approach for questioning organisational performance (EFQM, 2014)

average, and low in, and the ones that it does not do. The DGEP was found to be strong in performing BEA related activities and rated its processes as good and can be learnt from by the other BECs around the world that may be struggling with their BEA activities. This study has provided recommendations on how to improve the activities that the DGEP rates its process in as low or does not do (but considers them important to focus on for the next few years) which are mostly in the areas of promoting and facilitating BE.

Dubai is a global leader in their approach towards engaging organisations on an excellence journey and is an example for other BECs to follow. Data from the indicators like Dubai's Customer Happiness Index and the international Government Effectiveness Index indicate a high degree of positive change in DGEs' performance over the years, thus indicating the success of DGEP. This success may be attributed to the constant evolution of the program (ensuring the model's alignment with the overall Government strategy in the "Dubai Plan 2021" and making the recognition more inclusive through the introduction of a league-based award system) and sustaining a perfect BEA participation rate of all the DGEs since 1997.

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9.2. Chapter Highlights

This chapter aimed to investigate the strengths and opportunities for improvement of the Dubai Government Excellence Program (DGEP) and provide recommendations on how the DGEP can be improved. This aim was achieved by meeting two objectives which were: identifying the strengths and opportunities for improvement of the DGEP concerning the design of the Dubai Government Excellence Model (DGEM) and deploying BE in the US; and providing recommendations for improving the activities that the DGEP considers the most important to improve over the next few years.

In terms of the design of the DGEM, it was found that the key strength identified in the study is that it is tailored made for government entities with focus on the Dubai Government's plan for 2021. The key opportunity for improvement on the other hand is that the Dubai Government Entities (DGEs) score in the DGEM is difficult to be benchmarked against the scores of the other organisations using other BEFs such as the Baldrige Excellence Framework or the EFQM Excellence Award.

With regards to raising the awareness of BE in Dubai, the DGEP aims to focus on 'promotion of BE via websites', 'access to simple-to-understand publications that explain BE and its benefits', 'encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)', 'encouraging schools to promote and teach BE to their pupils', and 'having BEAs at the local level (by city or area of a country)'. Dubai is a unique case in terms of BE awareness and usage levels where 81-100% of the organisational heads in DGEs are perceived to be aware of BE of 21-40% in government organisations and 11-20% across all types of organisations.

With regards to facilitating organisations on their BE journey, the DGEP aims to focus on 'on-line service/database of BE information/publications', 'copies of BE submission documents from

Award winners’, and ‘BE self-assessment tools’. It was found that 81-100% of the DGEs are undertaking a BE journey compared to the global average (median) of 11-20% (both in government organisations and across all types of organisations). The reason for high levels of BE awareness and use is that all the DGEs are obligated by the Dubai Government to follow a BE path, participate in the BEAs, and show progress in their BE maturity levels.

With regards to awarding BE in the Dubai, the DGEP aims to focus on ‘guidebook to explain the BEF’ and ‘guidelines and assistance provided to potential applicants on submitting an Award application (to obtain good submissions)’.

The BPEP’s perceived overall average rating of their processes in awarding BE (rated 4 out of 5 compared to the global average of 3.7) is higher than the perceived overall average in facilitating (rated 2.7 compared to the global average of 3.3), and promoting BE (rated 2.7 compared to the global average of 3.1). A range of best practices reported by this research’s participants are provided in this chapter to help improve the BPEP’s BE activities.



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STATEMENT OF CONTRIBUTION DOCTORATE WITH PUBLICATIONS/MANUSCRIPTS

We, the candidate and the candidate's Primary Supervisor, certify that all co-authors have consented to their work being included in the thesis and they have accepted the candidate's contribution as indicated below in the *Statement of Originality*.

Name of candidate:	Saad Ghafoor
Name/title of Primary Supervisor:	Dr. Robin .S. Mann
In which chapter is the manuscript /published work:	9
<p>Please select one of the following three options:</p> <p><input type="radio"/> The manuscript/published work is published or in press</p> <ul style="list-style-type: none"> Please provide the full reference of the Research Output: <p><input type="radio"/> The manuscript is currently under review for publication – please indicate:</p> <ul style="list-style-type: none"> The name of the journal: The percentage of the manuscript/published work that was contributed by the candidate: Describe the contribution that the candidate has made to the manuscript/published work: <p><input checked="" type="radio"/> It is intended that the manuscript will be published, but it has not yet been submitted to a journal</p>	
Candidate's Signature:	Saad Ghafoor <small>Digitally signed by Saad Ghafoor Date: 2021.04.28 19:07:06 +1200</small>
Date:	28-Apr-2021
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Date:	30-Apr-2021

This form should appear at the end of each thesis chapter/section/appendix submitted as a manuscript/publication or collected as an appendix at the end of the thesis.

CHAPTER 10: THESIS CONCLUSION

The research enclosed in this thesis aimed to investigate the current state of and best practices in designing Business Excellence (BE) Frameworks (BEFs) and deploying BE worldwide. This aim was achieved through five objectives that were: conducting a systematic literature review on BE; investigating how BEFs are designed and developed; how is the use of BE promoted; how is the use of BE facilitated; and how is BE awarded. These objectives were met through the methodology detailed in the Chapter 3 of this thesis, and the ‘Methodology’ sections of all the objective-based chapters.

This chapter concludes the thesis and is divided into five sections which are: a) a brief overview of this doctorate; b) the main findings of this thesis; c) key contributions of this research, d) outlook to future research opportunities, and e) reflection on the research approach.

10.1. Brief Overview of this Doctorate

This doctorate has undertaken a mixed-method and pragmatic approach to study *the current state of and best practices in BE* from the lens of BE Custodians (BECs) by collecting data directly from 29 BECs worldwide. It conducted a systematic literature review to develop an understanding of the existing knowledge on BE and identified a lack of research on the role of BECs in fostering a culture of BE in a country/ region. It then sequentially studied how BECs design and develop BE Frameworks (BEFs), how they promote their use, how they facilitate organisations in using them, and how they award BE in their countries/ regions. These components were presented as four separate chapters in this thesis. Two BECs were then selected for an in-depth study, namely: the U.S.-based Baldrige Performance Excellence Program (BPEP); and the Dubai-based Dubai

Government Excellence Program (DGEP), to investigate their strengths and opportunities for improvement (in two separate chapters) relative to the other BECs worldwide.

10.2. Main Findings of the Thesis

While a complete set of research findings is provided and discussed in the previous chapters, this section comprises 15 sub-headings summarising and synthesising the main findings from all the chapters of this thesis.

A closer inspection of papers is required to identifying relevant BE literature:

The Elsevier SCOPUS, which is the largest database of peer-reviewed publication, was used for searching BE papers. While the initial search found 10089 papers classified by SCOPUS as BE-related, analysis revealed that only 415 of these studies were BE papers, following the same understanding of BE as advanced by the Global Excellence Models (GEM) Council and having 50% or more of their content focused on BE. This means that the digital databases that work based on keywords, provide limited support for finding relevant literature on BE and for that matter, on any discipline. A researcher must conduct a closer inspection to identify the relevant papers that form only a small percentage of the search result in a digital peer-reviewed paper database.

Literature on designing BEFs dominates the landscape:

It is expected that literature on any subject should cover a broad range of topics, however, in the case of BE literature, it focuses too much on studying the design and composition of BEFs, and that too mostly of the Baldrige Excellence Framework and the EFQM Excellence Model. More than half of the highest impact (based on citation rate) BE papers focused on this area alone. A few other areas were somewhat covered such as: how do organisations use BEFs; what impact does BE have on organisations; and specific BE topics such as Balanced Scorecard, Customer and

Market Focus, and Leadership. It was clear that the existing literature lacked an understanding of how are these BEFs promoted to the organisations in a country, how are organisations facilitated in using the BEFs, how is BE being awarded, and how all these activities can be improved.

Increased research on BE:

There was found an upward trend in the number of BE publications as discussed in the literature review chapter, however, it will be overly simplistic to deduce that this is solely because of an increasing popularity of BE research. While the popularity of BE may be increasing, several other factors may have contributed to increased BE publication. A growing number of higher education institutes, their faculty, and their students, and advancement in digital technologies (such as search engines, databases, and online libraries) have resulted in an increased production of papers in all disciplines, not just in BE. There is also a growing expectation from students and faculty to get published, causing the focus to not always be on the quality of publications but on the quantity, thus further increasing the number of papers being produced. The number of journals and their reviewers has also subsequently increased making it easier to publish papers and expediting the publication process.

Getting published and high citation rates:

Researchers should ideally aim to publish in high-impact journals. Such journals are regarded as the best in a field with their articles encompassing high-quality research and getting highly cited across the academic spectrum. High-impact journal papers were found to get as many as six times more citations than the overall average. In the case of BE, while 114 journals were found to publish BE papers, only a handful of them are rated highly by the Academic Journal Guide (AJG). The Journal of Operations Management, the International Journal of Production Research, and the

International Journal of Operations and Production Management are the top three highest impact journals that have published at least 5 BE papers. To get published in high-impact journals, researchers should use robust analytical techniques to explore the current and most relevant problems in BE and produce clearly written manuscripts. They should aim to broaden the knowledge base on BE by exploring the currently underexplored areas such as the role and importance of BE in the world of industry 4.0, the Internet of Things, and the incorporation of robotics and automation in manufacturing and supply chain. Citation rates can also be maximised through careful selection of keywords in the article title so that the paper shows in the maximum number of searches.

BE promotion and facilitation activities require more improvement than BE award activities:

A key finding of this research is that BECs rate their BE award services (rated 3.7 out of 5) much higher than their BE facilitation (3.1) and BE awareness (2.7) services. This indicates that the BECs have generally focused their energies more on conducting the award rounds and award ceremonies than on promoting and facilitating the use of BE. It would be unfair to criticise the BECs' focus on BE award rounds and ceremonies because conducting these rounds and ceremonies is a major undertaking and is viewed as the apex of a country's BE efforts (indicating the level of BE use and maturity in a country). It also serves as a great way to promote the use of BE for non-BE-user organisations. However, it has a limited effect on fostering a culture of BE in a country, which can be obtained through widespread awareness of BE among a country's organisations and the availability of support for these organisations in using BE. This research shows that the BECs appreciate a need to focus more on the BE promotion and facilitation activities in the next few years to foster a culture of BE in their countries. This thesis lists BE promotion, facilitation, and awarding activities in the chapters 5, 6, and 7, respectively; and

discusses in detail the most important activities to focus on and improve for the next three years, the highest impact activities, and the lowest self-rated (by the BECs) activities, and how can these activities be improved.

Need to increase BE engagement and mutual learning for BECs:

This research found that there are as many as 65 active BECs in 55 countries worldwide, however, there was found no clear evidence of these BECs formally cooperating with each other to improve their activities and sharing their knowledge and practices with each other. This highlights the need for a greater engagement of BE worldwide. For example, some BECs are more proficient in carrying out (and have best practices to share in) awarding BE, some in promoting, some in facilitating the use of BE, and some in developing their BEFs. By setting up mutual learning opportunities, the BECs' activities in all these areas can improved. The GEM Council should take the lead in bringing BECs together and providing them with mutual learning opportunities. The report produced in this research and shared with all the participating BECs can be a starting point for this, as BECs can see what their opportunities for improvement are, and easily find and contact the other BECs that are good in these activities. Similar research should be done on a regular basis (yearly or every three years) to keep the list of active BECs and their best practices up to date.

Moderate to low review frequency and high design satisfaction with BEFs:

This research found that the BEFs are moderately up to date, as most (68%) BECs revised their BEFs three years ago (2015) or sooner. This may be because almost all the BECs reported being highly satisfied with their BEF design (the fundamental concepts/ core values and concepts and categories/ criteria, items/ criterion, and scoring mechanisms). It was also found that because a majority of the BECs adopt BEFs, they also adopt the revisions made to these BEFs (especially

the BECs that adopted the BEFs in their original form). The designers and adopters of the Baldrige Excellence Framework reported a slightly higher satisfaction (3.7 out of 5 on the satisfaction scale) with its design than those of the EFQM Excellence Model (3.5 out of 5). The BEFs can be revised more frequently to keep them at par with the changing megatrends, which was reported as the most important influencer for BEF revision. It is recommended that BECs should make smaller, more frequent changes to their BEFs rather than rare and abrupt changes. The recommended BEF review framework (provided in Chapter 4) comprises of people (who are involved in the review process); agenda (what aspects of a BEF need to be reviewed); timing (when is the review process carried out), and process (how will the review be carried out).

Need to improve the marketing of BE to CEO's/senior managers/ board of directors:

BECs perceive that 'marketing of BE to CEO's/senior managers/ board of directors' is the most important BE promotion activity to focus on and improve for the next few years as well as the highest impact BE promotion activity. This is because top leadership (such as the CEO/ senior manager/ director) of an organisation is the epicentre in fostering a culture of excellence in the people of that organisation and the pivotal influence for adopting BE in an organisation. While detailed best practices are provided in Chapter 5, briefly, this can be improved by delivering presentations to non-BE user organisational heads, reaching out to organisational heads through email and phone calls, and networking with organisations and developing a BE community.

Need to increase the understanding and use of BE in the education sector:

'Encouraging schools to promote and teach BE to their pupils' was found to be the lowest self-rated BE promotion activity. This research found that for a widespread awareness and use of BE in a country, the education sector must practice and preach BE. Singapore is an example of this

where school leaders/principles are trained to implement BE in their schools (as organisations), effectively transforming them into innovative learning communities. This prepares pupils, the future leaders of the country to practice excellence, understand its importance, and making it a habit from an early age. This can also be achieved through BECs liaising with schools and universities in their countries to offer training courses and degree programs in BE and in doing so, the universities and schools embracing BE that will likely lead to an improved understanding of BE among their faculties, staff, and students, and improve the overall quality of their services.

Need to improve BECs' on-line service/database of BE information/publications:

BECs perceive that 'on-line service/database of BE information/publications' is the most important BE facilitation activity to focus on and improve for the next few years. These include showing best practice case studies, examples of BE applications, the types of BE assessments that can be used, benchmarks, and descriptions of business improvement tools and techniques. While detailed best practices are provided in Chapter 6, briefly, this can be improved through databases containing case studies on using BEFs, a wide range of improvement and self-assessment tools, and previous award application documents to guide new applicants.

Need to improve the networking meetings for CEOs /senior managers of business excellence users:

BECs perceive that 'networking meetings for CEOs /senior managers of business excellence users' is the highest impact BE facilitation activity. Briefly, this can be achieved by formulating several active networks (groups of organisations based on their industry, sector, and other common attributes defined by the BECs to promote intra-network knowledge sharing) that meet throughout the year (organisations that are part of a network are provided with a schedule/calendar of their

network's meeting and reminders are sent to these organisations) and in one grand networking meeting held once a year and attended by all the networks.

Need to improve the publicity to encourage award applications:

BECs perceive that the 'publicity to encourage award applications' is the most important BE award activity to focus on and improve for the next few years. While detailed best practices are provided in Chapter 7, briefly, this can be achieved by promoting the BE award ceremony at the time of the launch of the award round, providing a detailed feedback report to the award applicants as an incentive for participation, and partnering with national or regional associations for quality.

BE awareness and usage levels have slightly increased but have a significant room for improvement:

With regards to the perceived BE awareness levels, CEOs and organisational heads of 11-20% organisations are aware of BE, and with regards to the perceived BE usage levels, 11-20% organisations are using BE. The Dubai Government Excellence Program (DGEP) is a unique case in this regard where 100% of the target organisations are aware of and use BE. The target organisations in the case of the DGEP are the Dubai Government Entities, and the reason for 100% awareness and usage levels is that the Dubai Government has mandated all government entities not only to undertake a BE journey but to also show progress in their BE maturity levels. While both awareness and usage levels are perceived to have increased over the last three years, there is room for considerable increase in these levels. BE usage levels are linked with BE awareness levels, and to improve these, the BECs should adopt best practices in BE promotion provided in detail in Chapter 5.

Need to measure the BE awareness and use levels in a country:

This research found that a majority (65.3%) of the BECs do not measure the level of BE awareness in their countries, and those that measure, do not necessarily follow a robust method to measure BE awareness. Because of this, BE awareness or usage levels would remain BECs' perceptions and be viewed with scepticism. Currently, one of the methods in use is maintaining database of all organisations that are members of the local quality councils and the national BEC. By adding up the number of members from all the councils and the national BEC, a somewhat precise picture of BE awareness can be drawn. Ideally, BECs should use scientific methods for measuring BE awareness and maintain a database of organisations aware of and using BE.

Adopting BEFs is more common than designing them anew for BECs:

Most BECs consider designing a new BEF as either an unaffordable or unnecessary endeavour. They require significant resources to develop as was the case in the design of the pioneer BEFs (Baldrige and EFQM) and the handful of unique BEFs (such as the Australian and the Canadian BEFs) that followed and designing a new BEF may mean reinventing the wheel. Therefore, most BECs resort to adopting existing BEFs instead of designing a new one. Not only are the existing BEFs scientifically developed to suit the needs of generic organisations (or the needs of a certain sector in a certain region, like the UAE-origin Government Excellence Model that was primarily designed for the government entities of the region), using the same BEFs allows BECs and organisations to benchmark themselves against organisations from around the world that are using the same scale. User guidelines, examples, best practices, and consultation are readily available for the existing BEFs that a new user organisation can learn from and use. When adopting a BEF, BECs either adopt it in its original form or make changes to it before adoption and the EFQM Excellence Model is more popular amongst the former, while the Baldrige Excellence Framework is more popular amongst the latter.

10.3. Key contributions of this research

From an academic contribution perspective, this is the largest global study on BE to the best of the researcher's knowledge. This was achieved by studying 29 BECs in 27 countries worldwide that use a wide range of BEFs, as opposed to the previous research that was limited mainly to the EFQM Excellence Model and the Baldrige Excellence Framework, with a few studies on Dubai, Singapore, and Australia as exceptions. Another uniqueness of this research is that it collected data directly from BECs while the previous research mainly collected data from BE user organisations. This research provides a new methodology for developing a survey to study BE, where the BECs' and GEM Council's experience and understanding of BE were used for improving the terminology and design of the survey.

This research encompasses the most comprehensive literature review comprising 415 BE papers published in 114 journals, which also provides useful recommendations to future BE researchers on how to publish high quality and high impact BE papers. This research also broadened the theoretical base of BE which was previously dominated by studying the design and composition of BEFs and was limited to only a handful (5 areas provided in Chapter 1 and 2) areas. This research provides future researchers more avenues to explore within the areas of BEF design and development, BE promotion, BE facilitation, and BE awards.

For BE practitioners and organisations, this research provided a detailed confidential report (comprising 350 pages) to BECs. This report allows a participating BECs to: assess its current standing and its relative strengths and opportunities for improvement; identify which BECs excel in these opportunities for improvement; and provides that BEC's contact information, thus providing a mutual learning opportunity. This research also developed a framework to help BECs and BE practitioners in developing a BEF more effectively and provided guidelines for BECs to

promote, facilitate, and award BE more effectively in their countries. These guidelines (in chapters 5, 6, and 7, respectively) cover a range of practices for BECs to adopt.

10.4. Outlook to Future Research Opportunities

Referring to the systematic literature review conducted in this thesis, most of the BE literature and research has been limited to studying the design of the EFQM Excellence Model and the Baldrige Excellence Framework. While this is understandable because these are popularly adopted BEFs, a general neglect of the several other BEFs in use worldwide such as the Canadian, Australian, UAE, and Mexican BEFs and other research areas such as evidence of the impact of using BE on tangible organisational outcomes and scientific inquiries of BE usage and awareness levels highlights the constriction of BE literature.

In wake of the COVID 19 pandemic, it will also be interesting to see how the BECs can revise their BEFs to suit the organisational requirements in the post-COVID world, such as providing contactless services, logistical and supply chain changes, and e-services. The pandemic has redefined quality standards and the need is greater than ever to create a global mutual learning environment for organisations. This may be a great opportunity for BEFs to emerge as guidelines for organisations to improve and maintain quality of their services in the ‘new normal’ way of operation. Future research should be focused on what changes are required in the BEFs to help organisations in meeting the new requirements that are now expected of them.

This research collected data directly from 29 BECs, however, it can be improved in the future by collecting data from these BECs’ client organisations and BE assessors. Additionally, the research can be broadened to a greater number of BECs and ask a higher number of questions in the survey and interviews. This research can then also be repeated periodically, for example, every three years

to track changes in the BE awareness and usage, the reasons behind these changes, and to keep renewing and updating the list of best practices for improving the BE activities of BECs.

10.5. Reflection on the Research Approach

The research phase of the project which comprised surveying and interviewing lasted for 12 months. During this period, a large amount of information was collected that helped in understanding the current state of and best practices in BE in terms of, its design, promotion, facilitation, and award. This research is the most extensive to date on BE around the world.

However, there are limitations to the research approach that should be considered for the future:

- The scope of the study was limited only to the BECs that had held an award in 2016 or after. This was done to make sure that only the active BECs were surveyed. It was assumed that these BECs were the best to get relevant information from.
- While 29 of the total 67 active BECs participated in the study (which is a good percentage), the project achieved the support of 34 BECs at one stage. 5 of the BECs decided to not participate in the study because they could not commit the time required. This may be due to the survey tool that requires an estimated 4 hours to complete.
- No participants from Africa participated in this survey. This is attributed to a small number of BECs in African countries. Few countries, like Egypt and South Africa have BE initiatives but did not participate in this project.
- Only 13 of the BECs that took the survey also participated in the interview. A higher number of interviews would have added more value to the project.

The data were collected by the BECs', who based on their perceptions, rated their processes such as in the areas of promoting, facilitating, and awarding BE. Some BECs may have rated their

processes through a critical lens while others may have not, causing unevenness in the data. However, the main purpose was not to compare BECs against each other but to identify their relative strengths and weaknesses with respect to the BEC processes and to identify their best practices. This research can be further strengthened by collecting data from the organisations that use BE and BE assessors to triangulate the data and authenticate the information provided by the BECs more.

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APPENDIX A: SURVEY AND STRUCTURED INTERVIEW INSTRUMENT

Cover Letter for Survey

Business Excellence (BE) Custodian Survey

Introduction: -

The Centre for Organisational Excellence Research (COER), New Zealand is investigating best practices in designing, deploying and supporting business excellence as well as measuring the impact and success of excellence models/ framework. This research aims to assist all BE custodians in their custodian role.

Reason to Participate: -

Your contribution will lead to an improved understanding of business excellence and assist your country to develop future initiatives in business excellence. As a participant you will be provided with a confidential Benchmarking Report that shows the approaches of all BE Custodians in designing, deploying and sustaining an effective National/Regional/Sectoral approach to BE. It is envisaged that this report and the best practices therein will help BE Custodians to raise the profile and use of business excellence worldwide. As a participant in this research your organisation will be recognized on the project website <https://www.excellencewithoutborders.org/> with your logo shown and a link back to your website.

Eligibility for Completing this Survey: -

Your organisation has been found eligible for this survey and hence a request for completing this survey has been made to you. It is requested that the person who completes this survey can accurately reflect the views of your organisation. This person is likely to be the CEO or a Senior Director of your organisation.

Time Required for Completing this Survey: -

We are very thankful to you for investing time in completing this important survey. It is estimated that this survey requires 3 hours to complete. Therefore, plan to complete the survey in two or more sittings. The more time that each BE custodian invests in completing the survey the more beneficial the findings will be for all concerned.

Confidentiality: -

This project strictly follows Massey University guidelines for ethics and confidentiality. As a participant in this study your survey responses will be shared with all other BE Custodians in the form of a Benchmarking Report to encourage sharing and learning between participants. This information must not be shared outside the participants. Information that can be shared for public release will be provided by COER after it has been agreed by all participants as acceptable for public release. Global Excellence Models (GEM) Council will take the first look of the benchmarking report before it is issued to the BE Custodians. Data for public release will be

anonymous or omitted if there are objections by one or more participants. For further information refer to Section 9 of the survey.

Timetable for Survey Completion: -

Survey to be completed by 25 November 2018 and emailed to S.G.Ghafoor@massey.ac.nz
Follow-up interviews to be completed by 25 December 2018

An interview schedule is provided in Section 8 of the survey. Please select the time that you would like me to call.

If you have problems in adhering to the completion dates/schedule please inform me as soon as possible.

We look forward to your feedback & a big THANK YOU for your help!

Saad Ghafoor

Saad Ghafoor

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Structure of the BE Custodian Survey

The survey has been divided into the following sections: -

Section 1 – Participant Information

Section 2 – Designing Business Excellence Models/ Frameworks

Section 3 – Promoting Business Excellence

Section 4 – Facilitating Organisations in Using Business Excellence

Section 5 – Awarding Excellence

Section 6 – Interview Schedule

Section 7 – Information Sharing Protocol

Terminology used in the Survey: -

- Business Excellence Model is used throughout the survey. This term is interchangeable with Business Excellence Framework.
- Assessor is used throughout the survey. This term is interchangeable with evaluator.
- Business Excellence (BE) Custodian are organisations (private or public) that own, instigate, administer or support BE Models/ Frameworks and associated BE programs within their country or geographical 'region'. They have responsibility for the oversight, development, deployment, measurement and management of such BE Models/ Frameworks.

Additional Sources Requested: -

When sending back the filled out survey, it is requested that you attach the following resources in the return email.

1. Your BE Model/ Framework Criteria/ Categories
2. Description of your award process (key stages)

Also, please send any other material that you think will help us to understand your systems and /or services.

Section 1 – Participant Information

1.1 Your contact details

1	Name	
2	Position	
3	Organisation	
4	Address	
5	Telephone #	
6	Skype address (for follow up structured interview if available, to clarify responses)	
7	Email	

Section 2 – Designing Business Excellence Models/ Frameworks

2.1 How has the model/ framework that your organisation promotes been developed? (Please choose one)

Tick one that applies

Adopted in original form from another excellence model/ framework	
Adopted but minor modifications from another excellence model/ framework	
Adopted but major modifications from another excellence model/ framework	
Designed anew	

2.2 If adopted, from which model/ framework was it adopted from?

Click here to enter text.

2.3 Provide reasons for your choice of model/ framework. You may provide a detailed response below.

Click here to enter text.

2.4 If your organisation is responsible for designing its model/ framework or adopting and revising another model/ framework, when was the last time you conducted a major review of the model/ framework?

Tick one that applies

5 Years Ago or Before	4 Years Ago	3 Years Ago	2 Years Ago	Last Year	This Year

2.5 How often do you undertake major reviews (involving your stakeholders and significant research) of your model / framework?

Tick one that applies

Every Year	Once Every Two Years	Once Every Three Years	Once Every Four Years	Once Every Five Years	On an Adhoc Basis

2.6 If your model/ framework has changed in the last 5 years what have been the prime influencers of this change?

Tick the one that applies for each influencer

Influencer	High Importance	Medium Importance	Low Importance
Academic Research			
Changing Megatrends			
Declining interest in the BE model			
Changes in other BE models			
Views of Assessors			
Views of Client Organisations			
Influence of Government			

Influence of Sponsors			
Research or influence of consulting companies			

2.7 In general, are you confident that the design of the business excellence model/ framework used in your country is based on sound business principles? (The EFQM Model refers to these as Fundamental Concepts and Baldrige as Core Values and Concepts)

Tick the one that applies

A	Extremely confident, no changes required	
B	Very confident but minor changes are required	
C	Reasonably confident but minor to moderate changes are required	
D	Require further convincing, moderate to major changes are required	
E	Not confident at all, major changes are required	

If selecting D or E please explain why you think this

Click here to enter text.

2.8 In general, are you confident that the business excellence model/ framework (including the categories/criteria and items/criterion parts and scoring mechanism) has been designed appropriately for assessing business excellence?

Tick the one that applies

A	Extremely confident, no changes required	
B	Very confident but minor changes are required	
C	Reasonably confident but minor to moderate changes are required	
D	Require further convincing, moderate to major changes are required	
E	Not confident at all, major changes are required	

If selecting D or E please explain why you think this

Click here to enter text.

2.9 What is the likelihood for your organisation to switch to another model/ framework or to significantly modify your existing model/ framework in the near future?

Tick the one that applies

Very likely	
Likely	
Unlikely	
Not at all	

If very likely, please explain why: -

[Click here to enter text.](#)

2.10 Please outline below the normal process for model/ framework development and/or review? For example, who leads the review process (E.g. one individual, steering committee, consultants etc)? What stakeholders are involved and how are decisions made in the review process? (If this process is written down, it would be helpful if you could kindly provide a copy).

[Click here to enter text.](#)

2.11 How, in your opinion, could your review process be improved?

[Click here to enter text.](#)

2.12 Do you have any general comments that you would like to share on Section 2?

[Click here to enter text.](#)

Section 3 – Promoting Business Excellence

3.1 What is the main purpose of your promotional activity? Rank the importance of the reasons below with 1 being the most important.

Rank from 1 to 3 in the right column

Raising awareness of what is business excellence and encouraging organisations to start the journey	
Encouraging organisations that are familiar with business excellence to continue their journey	
Raising the profile of the business excellence award and encouraging applicants	
Other (Please specify)	

3.2 The following are methods that your organisation may be using to create awareness of BE within your country/region/sector. Please answer the following:

Awareness activities	Based on your experience what degree of impact does each of the listed activities have on raising awareness of BE in general? Indicate with a tick.					How would you rate your own processes for this particular activity? Indicate with a tick.						Tick ✓ the 5 activities that you think should be focused on /improved over the next few years to raise awareness levels and understanding of business excellence.
	V. low to no impact	Low impact	Moderate impact	High impact	Very high impact	Do not do	Very Poor	Poor	Average	Good	Excellent	
A Defined strategy/roadmap for raising business excellence awareness in your country/region?												
B Promotion of BE via websites												
C Promotion of BE via social media (twitter, face book, linked-in etc)												
D Marketing of BE to CEO's/senior managers/board of directors												
E Marketing of BE to managers/employees												
F Obtaining the assistance of assessors to promote BE												
G Obtaining the assistance of consultants to promote BE												
H Obtaining the assistance of organisations that already use BE to promote BE												
I Conference on BE												
J Workshops/training in BE												
K Presentations from Award winners												
L Press releases on BE												
M Access to simple-to-understand publications that explain BE and its benefits												
N Providing free copies of the BE Model and Criteria												
O Encouraging schools to promote and teach BE to their pupils												
P Encouraging tertiary institutions to promote and teach BE to their students (for example, MBA students)												

Q	Encouraging industry/ membership based associations to promote BE to their members																			
R	Encouraging government institutions to promote and use BE																			
S	Having BE Awards at the local level (by city or area of a country)																			
T	Raising the profile of the national business excellence award																			
U	Other – please specify:																			
V	Other – please specify:																			

3.3 Please select up to three promotional activities, from the above table, that your organisation is particularly effective at delivering. Please explain what practices / processes are employed that makes them so effective? In particular, highlight those practices that are particularly innovative or you believe are good/best practice.

Awareness activity No. 1

Click here to enter text.

Awareness activity No. 2

Click here to enter text.

Awareness activity No. 3

Click here to enter text.

3.4 Have you run any major awareness campaigns on BE that have been particularly effective? If so please explain below (or leave blank if you have already answered this question when responding to the question above).

Click here to enter text.

3.5 How many organisations that use or intend to use BE are in your contact database that you regularly communicate with (at least once every 3 months) in promoting business excellence?

Click here to enter text.

3.6 Do you measure the number of organisations that are aware of business excellence in your country/region?

Tick the one that applies

A	Yes		B	No	
---	-----	--	---	----	--

If yes, what measurement(s) do you use? How do you collect the data and how frequently?

Click here to enter text.

3.7 Please rate below the extent to which, in your opinion, awareness of BE within your country has changed over the last three years in general.

Tick the one that applies

A	Increased substantially	
---	-------------------------	--

B	Increased slightly	
C	Stayed the same	
D	Decreased slightly	
E	Decreased substantially	

Please briefly explain the change below i.e. what industries/ sectors have experienced the most change:

[Click here to enter text.](#)

3.8 Estimate the percentage of CEO's/ organisational heads, in each of the following types of organisations, that would be aware of your BE model/ Framework? You may provide your best estimate for this question.
Tick those that apply

	Kind of Organisation	0-10%	11-20%	21-40%	41-60%	61-80%	81-100%
A	SME's for profit organisations (less than 50 employees)						
B	Businesses (50 employees and greater)						
C	Multinational/ International Organisations						
D	Government Organisations						
E	Non-Government/ Not For Profit Organisations						

3.9 Do you have any general comments that you would like to share on Section 3?

[Click here to enter text.](#)

Section 4 – Facilitating Organisations in Using Business Excellence

4.1 The following are services that your organisation may be providing to assist organisations in implementing a BE approach within your country/region/sector. Please answer the following:

	List of services that help organisations to use a business excellence approach within a country.	Based on your experience what degree of impact does each of the listed services have on assisting organisations in applying BE? Indicate with a tick.					How would you rate your own services in this particular area? Indicate with a tick.						Tick ✓ the 5 services that you think should be focused on /Improved over the next few years to help organizations use a business excellence approach.
		V. low to no impact	Low impact	Moderate impact	High impact	Very high impact	Do not do	Very Poor	Poor	Average	Good	Excellent	
A	On-line service/database of BE information/publications e.g. showing - best practice case studies, examples of BE applications, the types of BE assessments that can be used, benchmarks, descriptions of business improvement tools and techniques.												
B	Copies of BE submission documents from Award winners												
C	Industry specific BE guides to explain BE in terms relevant to the industry.												
D	Best/good practice tours												
E	Conference on BE												
F	Workshops/seminars on BE												
G	BE assessor training courses												
H	Certified course of training in BE e.g. diploma or masters degree.												
I	Train the trainer courses (for assessors/consultants)												
J	Networking meetings for business excellence users												
K	Networking meetings for CEOs /senior managers of business excellence users												
L	On-line social platforms/BE forums/discussions												
M	BE self-assessment tools												
N	BE assessments facilitated by consultants												
O	BE Awards at the national level												
P	BE certification programs providing recognition at different levels of excellence (that run outside the normal awards cycle)												
Q	BE Awards at the local level (by city or area of a country)												
R	Business Excellence mentoring (e.g. access to BE assessors/experts for advice)												
S	Access to Business Excellence consultants for advice and assistance												
T	Opportunities for sharing and leaning from organisations in other countries												
U	Benchmarking services and consulting (activities to learn from best practices)												

V	Additional models, guides and Awards that stem from BE and focus on specific topics such as Corporate Responsibility, Knowledge Management, Environmental Sustainability and Leadership																			
W	Other – please specify:																			
X	Other – please specify:																			

4.2 Select up to three BE Facilitation services, from the above table, that your organisation is particularly effective at delivering. Please explain what practices / processes are employed that makes them so effective. In particular, highlight those practices that are particularly innovative or you believe are good/best practice.

BE Facilitation service No. 1

Click here to enter text.

BE Facilitation service No. 2

Click here to enter text.

BE Facilitation service No. 3

Click here to enter text.

4.3 Have you run any major programmes to encourage organisations to follow a BE path or assess themselves against BE criteria that have been particularly effective? If so please explain below (or leave blank if you have already answered this question when responding to the question above).

Click here to enter text.

4.4 Do you measure the number of organisations that use a BE approach to manage their business in your country/region?

Tick the one that applies

A	Yes		B	No	
---	-----	--	---	----	--

If yes, what measurement(s) do you use? How do you collect the data and how frequently?

Click here to enter text.

4.5 Please rate below the extent to which, in your opinion, the use of BE within your country has changed over the last three years.

Tick the one that applies

A	Increased substantially	
B	Increased slightly	
C	Stayed the same	
D	Decreased slightly	
E	Decreased substantially	

Please briefly explain the reason of change below:

Click here to enter text.

4.6 In your opinion, what percentage of organisations in your country in the following types of organisations uses a BE approach to running their organisation? You may provide your best estimate for this question.

Tick those that apply

	Kind of Organisation	0-10%	11-20%	21-40%	41-60%	61-80%	81-100%
A	SME's for profit organisations (less than 50 employees)						
B	Businesses (50 employees and greater)						
C	Multinational/ International Organisations						
D	Government Organisations						
E	Non-Government/ Not For Profit Organisations						

4.7 Do you have any general comments that you would like to share on Section 4?

[Click here to enter text.](#)

Section 5 – Awarding Excellence

5.1 How would you describe the profile /prestige of your country's BE award?

Tick the one that applies

Low profile/viewed as an insignificant award			Moderate profile/viewed as an average award				High profile/viewed as the country's premier award			
0	1	2	3	4	5	6	7	8	9	10

5.2 The following are activities that your organisation may be undertaking as part of your awards process. Please answer the following:

List of activities/services that support an Award process.		How would you rate your award processes? Indicate with a tick.						Tick ✓ the 5 activities that you think should be focused on /improved over the next few years.
		Do not do	Very poor	Poor	Average	Good	Excellent	
A	Publicity to encourage award applications							
B	Launch event for the Award							
C	Assessor selection process							
D	Assessor training							
E	Senior assessor training/instructions (e.g. for the leader of an evaluation team)							
F	Guidelines and assistance provided to potential applicants on submitting an Award application (to obtain good submissions)							
G	Guidebook to explain the BE model							
H	Process used by applicants to submit an application report or relevant documents							
I	Support provided to ensure assessor teams follow due process (e.g. additional mentoring or use of observers)							
J	Eligibility/selection criteria and process to determine which applicants are considered for an Award (this may involve a short-listing process)							
K	Site visits to Award applicants							
L	Consensus meeting /process to discuss and agree on the feedback to give to applicants							
M	Feedback report to the applicant – presentation and content							
N	Judging panel							
O	Award ceremony							
P	Levels/ categories of recognition							
Q	Publicity surrounding the Awards							
R	Recognition for assessors for their contribution							
S	Opportunities for applicants and assessors to suggest improvements to the Awards process							
T	General management of the Awards process							
U	Other – please specify:							
V	Other – please specify:							

5.3 Select up to three award processes / activities from the above table that your organisation is particularly effective at conducting. Please explain why you consider them to be effective? In particular, highlight those practices that are particularly innovative or you believe are good/best practice?

Award activity No. 1

Click here to enter text.

Award activity No. 2

Click here to enter text.

Award activity No. 3

Click here to enter text.

5.4 Have you run any major programmes to encourage organisations to apply for a BE award that you consider to have been particularly effective? If so, please explain (or leave blank if you have already answered this question when responding to the above question).

Click here to enter text.

5.5 Do you think that there should be changes to the general process for applying and assessing organisations for a Business Excellence Award?

Tick the one that applies

No it should stay as it is		Minor changes			Moderate changes			Major changes		Radical changes	
0	1	2	3	4	5	6	7	8	9	10	

5.6 How do applicants submit their application?

Indicate your response in the box below

A	Do they submit a summary report? E.g. a broad overview of the applicant's strategy, achievements and business environment.	Yes/No
B	Do they submit a detailed report on how the organisation addresses the criteria?	Yes/No
C	If yes, what is the maximum length of the submission document (in pages or words?)	
D	If yes, what is the minimum font size that can be used for the submission document?	
E	Is the application submitted online, through hard copy or there is an option for both?	
F	If no report is submitted what is the process?	

5.7 Please use the table below to indicate the BE award schemes that you run. In relation to each, please indicate how many applicants and winners you had in your last awards program. In the final three columns, please provide the fees in US\$ that you charged.

Award type	Last Award's Program Held				
	No. of applicants	No. of award winners (include recognition level)	Eligibility fee US\$	Application /submission fee US\$	Site visit fee (if applicable) US\$
Generic for all sectors/sizes					
Business					
Manufacturing					
Service					
Health					
Education					
Not for Profit					
Government /public					
Small to Medium Enterprise					
BE Category awards					
Other.					
Other.					

If you provide more than one award do these all follow the same awards process or is a separate process provided for each award?

Click here to enter text.

If you have a web-link showing your various awards please provide it here

5.8 What are the incentives offered to encourage organisations to apply for an award? It may be any form of benefit, please explain why should applicants apply for your award?

Click here to enter text.

5.9 Do you give an award for the best applicant for the year (for example, if three organisations receive the highest award then is one of these selected as the most outstanding applicant)?

Click here to enter text.

5.10 Please give a broad timeline of the award process using the table below with day 1 being the Announcement and promotion of the award.

Key Steps	Count of Days
Announcement and promotion of award and application made available	Day 1
Deadline for applications	
Review of applications completed	
Judges meeting	
Announcement of the winners and holding the award ceremony	
Issue of Feedback Report to applicants	

5.11 Do you invite a special guest to the award event? If so, please specify who i.e. head of state or a business leader etc.

Click here to enter text.

5.12 The following questions are related to evaluator/ assessors. Please respond in the right hand column unless you have other comments to add.

Indicate your response in the column below

A	Is a pre-assessment/ evaluation of award applications undertaken by the BE custodian before it is handed to an assessment team? If so, what does the pre-assessment address? Other comments	Yes/No
B	What is the typical size of an assessment/ evaluation team?	
C	Do all applicants receive a site visit? Other comments	Yes/No
D	How long are typical site visits? Other comments	
E	Are assessors/ evaluator paid for their time? Other comments	Yes/No
F	How are assessors/ evaluators selected? (e.g. via an application form, interview, independent referees, by recommendation) Other comments	
G	What are the selection criteria? Other comments	
H	How many people completed your assessor/ evaluator training course in 2017?	
I	How many training days are typically required to become an assessor/ evaluator? Other comments	
J	Are assessors/ evaluators required to pay for the training? Other comments	Yes/No
K	Is the training the same for new and returning assessors/ evaluators?	Yes/No
L	How many people applied to be an assessor/ evaluator in the last round?	
M	How many assessors/ evaluators did you require for the last round?	

5.13 How confident are you that your assessments/ evaluations are consistent and reliable? (For example, would the same organisation score a similar amount of points if different assessment/ evaluation teams were used?)

Tick the one that applies

A	Extremely confident (e.g. scores from different teams on the same organisation would range within +/- 50 points)	
B	Very confident (scores would range within +/- 75 points)	
C	Quite confident (scores would range within +/- 100 points)	

D	Not so confident (scores would range within +/- 150 points)	
E	Not confident at all (scores would range within +/- 200 points)	

5.14 How do you think award applicant organisations rate the value of your awards process in relation to the time and resource they have invested?

Tick the one that applies

A	Excellent value	
B	Good value	
C	Average value	
D	Poor value	
E	Very poor value	

5.15 How do you think assessors/ evaluators rate the value of your awards process in relation to the time and resource they have invested?

Tick the one that applies

A	Excellent	
B	Good	
C	Average	
D	Poor	
E	Very poor	

5.16 What does your organisation do to increase the value of the award process for applicant organisations (i.e. enabling the participant organisations to see great benefits in participating) and what more can be done?

Click here to enter text.

5.17 What does your organisation do to increase the value of the award process for assessors/ evaluators (i.e. enabling the participant organisations to see great benefits in assessing/ evaluating participants) and what more can be done?

Click here to enter text.

5.18 Do you have any general comments that you would like to share on Section 5?

Click here to enter text.

Section 7 – Information sharing protocol

The information sharing protocol defines how information will be collected, stored and shared throughout the project with the various stakeholders.

Responsibilities of the Research Team

- Written and electronic data will be stored using secure filing procedures with access to data only given to named researchers;
- The data will only be used for the purposes for which it has been collected and for which permission from study participants has been gained;
- Potential participants may decline to be involved in the study, or to cease their involvement at any time and their data will be removed
- In the spirit of benchmarking and the Benchmarking of Code of Conduct the findings from the survey will be shared by COER to all participants in the form of a Benchmarking Report showing how each BE Custodian responded to the questions. The purpose of the Benchmarking Report is to encourage sharing and learning between the participants for the benefit of the Business Excellence movement worldwide.
- The research team will produce ppt slides and summary reports containing graphs that the participating BE Custodians will be able to share publically (for instance, to the participating clients and assessors/evaluators). Prior to this the approval of the GEM Council will be sought on the content.
- The research team intend to publish academic papers on the findings of the research. Data /information in these papers will be anonymised or permission will be sought from the respective BE custodians prior to publication. In all cases, academic papers will be shared for comment and the consent of the GEM Council prior to submission to an academic journal.

Responsibility of the GEM Council

- The GEM Council will be required to provide approval of the Benchmarking Report prior to its distribution to all participating BE Custodians.
- The GEM Council will be required to provide approval of all content that is for public release such as academic papers, ppt slides and summary reports.

Responsibilities of BE Custodians

- BE Custodians agree that information in the Benchmarking Report will not be shared publicly – it is for internal staff and board of directors' use only. Prior to sharing the report with staff the confidentiality of the information must be emphasized.
- Information that can be shared for public release will be provided by COER in the form of ppt slides and summary reports containing graphs that the participating BE Custodians will be able to share publicly (for instance, to participating clients and assessors/evaluators).
- The BE Custodian agrees that its name as a participant in the study can be shared publicly by the Research Team and the GEM Council with its logo shown on the Excellence Without Borders website (with a link back to the BE Custodians website).

If you agree to the above please include your signature, name and date below.

To be signed by all participants of the project “Excellence Without Borders”

Name:

Signature:

Date:

Finally, please remember to supply a copy of the following documentation:

- Your BE Model Criteria
- Description of your award process (key stages)

Also, please send any other material that you think will help us to understand your systems and /or services.

Thank you for completing the survey!

Please return the completed survey by email to:

Saad Ghafoor, S.G.Ghafoor@massey.ac.nz