## Questionnaire I – The Process of Self-Assessment

| **Step 1: Decide how to organise and plan the self-assessment (SA)** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **1.1 Assure commitment and ownership of the management for launching the process.** | There is no evidence of commitment and ownership of the management | There is some evidence of commitment of the management for launching the process, but limited to some of the managers involved | There is evidence of commitment and ownership of the management for launching  the process | There is clear evidence of commitment and ownership of the management for launching the process, acting as guide and sponsor, and communicating the targets and advantages | There is strong evidence of com- mitment and ownership of all the management for launching the process, acting as guide and spon- sor, communicating the objectives and advantages and participating in the project definition |
| **1.2 Assure a clear management decision regarding completion of the SA in consultation with the organisation, the scope of the SA (SA covers the whole organisation or only parts/units/ departments...) and the overall objective of the SA.** | There is no evidence of a decision by the management. The decision has been taken by one or more persons without consultation with the management | There is some evidence of consul- tation with the management, but without a discussion of the criteria for the decision and choice, a formal decision and a clear definition of the objectives | There is evidence of consultation with the management team and of a formal decision, but the criteria for the choice and the objectives are not clearly defined | There is clear evidence of the management decision to realise the evaluation, within the frame- work of the periodic meetings, involving the heads of the functions. The decision has been formalised in a document and the SA objectives have been clearly defined, but the criteria for the choice are not completely evident | There is strong evidence of a management decision, taken after a well-pondered discussion invol- ving the heads of the competent functions, with a definition of the scope of the SA based on well- defined criteria. The decision and the scope have been formalised  in a document. The SA objectives and advantages for the stakehol- ders have been clearly defined |
| **1.3 Define the framework for the SA process and the following ctions, and plan the SA activities.** | There is no evidence of a real plan | There is some evidence of a plan, but it partly covers the SA process and the subsequent actions | There is evidence of a plan for the SA process and the subsequent actions, but it is not completely structured (responsibilities, resources, time scheduling) | There is clear evidence of planning for the SA process and the subsequent actions, including responsibilities, resources, time scheduling and monitoring | There is strong evidence of plan- ning for the SA process and the subsequent actions, in coherence with the plans and strategies of the organisation. The plan inclu- des responsibilities, resources, time scheduling |
| **1.4 Appoint an SA process leader with a high level of knowledge of the organisation or form an SA Committee headed by the**  **SA process leader.** | There is no evidence of formalised tasks assigned by the management | There is some evidence of a task assigned by management, but not formalised and without clear criteria for the choice | There is evidence of a formalised task assigned by management, but there is limited evidence of appropriate criteria for the choice (including the appropriate knowledge of CAF model) | There is clear evidence of a formalised task assigned by the management, with definition of the SA leader on the basis of knowledge of the organisation and appropriate knowledge of CAF model | There is strong evidence of a formalised task assigned by the management, with definition of the SA leader on the basis of knowledge of the organisation, expertise of the CAF model and acknowledged leadership |
| **1.5 Define the scoring panel to be used.** | There is no evidence of definition of the scoring panel, in coherence with the model | There is some evidence of definition of the scoring panel but it is not fully coherent with the model and the differences are not completely acceptable | There is evidence of definition of the scoring panel to be used, coherent with the model, but the coherence with the SA plan (resources, time scheduling) has not been verifieD | There is clear evidence of definiti- on of the scoring panel to be used, completely coherent with the model and the SA plan (resources, time scheduling). | There is strong evidence of definition. The scoring panel is completely coherent with the model and the SA plan (resources, time scheduling). Its choice has been evaluated and is based on the organisation context and maturity |
| **1.6 Allocate resources for the SA and define how to prioritise distribution of the resources.** | There is no evidence of evaluation of resources required for the SA | There is some evidence of the evaluation of resources required for the SA, but the allocation of the required resources is not evident | There is evidence of evaluation of the resources required for the SA. The allocation of the resources has been defined, but the availability of resources is not evident for all the activities | There is clear evidence of evaluation of the resources required for the SA. The allocation of the resources has been defined and their availability is essentially evident, but prioritisation criteria are not evident | There is strong evidence of evalu- ation of the resources required for the SA. The resources have been allocated, defining their priorities. The availability of required resour- ces and the prioritisation criteria are evident for all positions |

| **Step 2: Communicate the self-assessment project** | | | | | |
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| **Levels** | 1 | 2 | 3 | 4 | 5 |
| **Actions** |  |  |  |  |  |
| **2.1 Define a communication plan, to include the expected benefits, the goal and the activities of the SA.** | There is no evidence of a commu- nication plan | There is some evidence of a com- munication plan, but the contents do not guarantee adequate infor- mation about the SA (objectives, goal and activities, stakeholders involved etc.) | There is evidence of a communi- cation plan, including sufficient information about the SA (objec- tives, goal and activities, relevant stakeholders involved etc.) | There is clear evidence of a communication plan, including detailed information about the objectives, the goal, the expected benefits and a description of the activities. The communication plan is addressed to the relevant stakeholders | There is strong evidence of a communication plan, with a de- tailed indication of the objectives and goal of the activities, the expected benefits for the different stakeholders and a detailed description of the activities. The communication plan is addressed to all the stakeholders and defines the involvement of the different parties in the plan |
| **2.2 Implement the communica-** | There is no evidence of implemen- | There is some evidence of imple- | There is evidence of implemen- | There is clear evidence of imple- | There is strong evidence of imple- |
| **tion plan using different tools** | tation of the communication plan | mentation of the communication | tation of the communication | mentation of the communication | mentation of the communication |
| and/or of the defined tools, or | plan and of the tools used, but the | plan, using different tools; the | plan, using different tools in an | plan, using the appropriate tools |
| the communication is limited and | plan is implemented in a limited | contents of the communication | evaluated and defined way. The | in the different phases and for dif- |
| generic | way, or the communication is not | are adequate | contents of the communication | ferent parties in an evaluated and |
| completely adequate | are complete | defined way. The contents of the |
| communication are complete and |
| the effectiveness of the communi- |
| cation has been verified |
| **2.3 Communicate during the different phases of the SA pro- cess to all relevant stakeholders and**  **stimulate the involvement in the SA of the top and middle managers, staff and employees** | There is no evidence of commu- nication in the different phases of the SA and to relevant stakehol- ders, and there are no initiatives for involvement of internal parties | There is some evidence of imple- mentation of the communication plan, but not in a systematic way in the phases of the SA and / or not to the relevant stakeholders, and/or it is not adequate to stimulate the involvement of the internal parties | There is evidence of implementa- tion of the communication plan, realised in a systematic way in the main phases of the SA and to the key relevant stakeholders, in an adequate way to stimulate the involvement of internal parties | There is clear evidence of imple- mentation of the communication plan, realised in a systematic way in all the phases of the SA and addressed to the relevant stake- holders, and it is clearly addressed to the involvement of the internal parties | There is strong evidence of imple- mentation of the communication plan, realised in all the different phases of the SA and addressed to all the relevant stakeholders, and it is clearly and specifically addressed to the involvement of all the relevant internal parties (top and middle managers, staff and employees) |

| **Step 3: Create a self-assessment group(s)** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **3.1 Decide if it is necessary to create one or more SA groups, define their number, create and organise them (choosing their chair, assigning responsibilities to each member as needed).** | There is no evidence of the decision to create SA group(s) and to assign the chair and responsi- bilities | There is some evidence of the decision and criteria to create an SA group, but the criteria for the choice of its size and the assign- ment of the chair and responsibili- ties are not clear | There is evidence of the deci- sion and criteria to create the SA group(s) and to define their size, but the assignment of the  responsibilities inside the group(s) is partial or has not formally been defined | There is clear evidence of the decision and criteria to create the SA group(s), on the basis of an evaluation of the number of the SA groups and their size; the creation of the SA group(s) was formalised with the appointment  of the chair and the assignment of tasks and responsibilities | There is strong evidence of the decision and criteria to create the SA group(s), on the basis of an evaluation of the number of the SA groups and their size,  documenting the reasons for the choices; their creation was forma- lised with the appointment of the chair and the assignment of all the required tasks and responsibilities to each member |
| **3.2 Decide if the manager(s) should be part of the SA group(s).** | There is no evidence of an eva- luation and decision about the participation of the manager(s) in the SA group(s) | There is some evidence of a deci- sion about the participation of the manager(s) in the SA group(s), but the evaluations for the decision are not clear | There is evidence of an evaluation and decision about the participa- tion of the manager(s) in the SA group(s) | There is clear evidence of evalu- ations and a decision about the participation of the manager(s) in the group(s), considering the culture of the organisation and indicating the possible role of the managers | There is strong evidence of formal evaluations and a decision about the participation of the manager(s) in the group(s), con- sidering the culture and tradition  of the organisation and indicating the role of the managers in the different phases |
| **3.3 Select the participants of the SA group(s) on the basis of specified criteria such as their knowledge of the organisation, their personal skills and their representativeness.** | There is no evidence of criteria for selection of the participants of the SA group(s) | There is some evidence of criteria for the selection of the partici- pants of the SA group(s), but they are not or are only partly based on knowledge of the organisation, personal skills and representa- tiveness | There is evidence of criteria for the selection of most of the partici- pants of the SA group(s), based  on specified criteria such as their knowledge of the organisation, their personal skills and their representativeness | There is clear evidence of criteria for the selection of all the parti- cipants of the SA group(s), based on specified criteria such as their knowledge of the organisation, their personal skills and their representativeness. The selection criteria have been documented | There is strong and documented evidence of criteria for selection of all the participants in the SA group, based on knowledge of the organisation, personal skills and representativeness and partici- pation of all internal functions involved; the characteristics of  the selected participants have been taken into account in the definition of the roles and in the organisation of the group(s) |

| **Step 4: Organise training** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **4.1 Organise information/ training activities for leaders and managers (top and middle) to promote ownership and commitment.** | There is no evidence of informati- on / training activities for leaders and managers | There is some evidence of infor- mation / training activities but it does not involve all the proper levels and/or it is not adequate to promote ownership and com- mitment | There is evidence of information  / training activities for the leaders and managers to promote owner- ship and commitment | There is clear evidence of infor- mation / training activities, based on the needs of the different ma- nagement levels and to promote ownership and commitment at each level | There is strong evidence of information / training activities, organised to take into account the different aspects (model, SA  process, metrics, steps, etc.), based on the needs of the different management levels to promote ownership and commitment at each level |
| **4.2 Prepare a plan for all the training activities of the SA group(s).** | There is no evidence of a plan for training activities | There is some evidence of a plan for the training activities, but the contents are partial and not ade- quate for the needs of the groups (completeness, time, teachers, ...) | There is evidence of a plan for trai- ning activities for the SA group(s); the plan has been formalised and the contents are adequate for the needs of the groups (complete- ness, time, teachers...) | There is clear evidence of planning for training activities for the SA group(s); the activities have been planned in detail, the feasibility has been verified, the plan has been formalised and the contents are adequate for the needs of  the groups (completeness, time, teachers, ...) | There is strong evidence of trai- ning activities for the SA group(s); they have been planned in detail, the feasibility has been verified, the plan has been formalised and the contents are adequate for the needs of the groups (complete- ness, time, teachers,...); the plan includes steps to verify the effec- tiveness of the training activities |
| **4.3 Train the members of the SA group(s).** | There is no evidence of training of the SA group(s) | There is some evidence of realisa- tion of the training, but not com- plete with respect to the plan or not adequate for the needs of the members of the SA group(s), with regard to contents, participation, time scheduling and teachers | There is evidence of realisation of the training activities. The training respects the key elements of the plan and it is adequate for the needs of the members of the SA group(s), with regard to contents, participation, time scheduling and teachers | There is clear evidence of realisa- tion of the training activities. The members of the SA group(s) are adequately trained according to the specific needs of each member and to the training plan. | There is strong evidence of rea- lisation of the training activities. The members of the SA group(s) are adequately trained according to the specific needs of each member and to the training plan. The effectiveness of the training has been positively verified |

| **Step 5: Perform the self-assessment** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **5.1 Relevant documents and information for SA are collected and made available to all the SA groups** | There is no evidence of relevant documents and information for SA being made available to SA group(s) | There is some evidence of docu- ments being made available, but they do not sufficiently cover the necessary information for all the key processes and results of the organisation and for all the areas of the model | There is evidence of documents and information for SA being collected and made available. They cover the key processes and results of the organisation and most areas of the model | There is clear evidence of documents and information for SA being collected and made available. They cover all the rele- vant processes and results of the organisation and all the areas of the model | There is strong evidence of documents and information for SA being collected and made available. They consider all the relevant processes / projects and results, and all the areas of the model. They provide informati- on on planned activities (plan), their realisation (do), verification (check) and improvement (act) for all areas of the model |
| **5.2 The members of the SA group(s) make up a list of strengths and areas for impro- vement and a score for each sub-criterion of CAF.** | There is no evidence of lists of strengths and areas for impro- vement and/or scores being prepared by the members of SA group(s) | There is some evidence of individual inputs being made available with some indications of strengths, areas for improvement and/or scores, but they are not available from all the members and/or are not complete for each sub-criterion | There is evidence of individual inputs being made available from all the members, with strengths, areas for improvement and/or scores, complete for each sub- criterion of CAF | There is clear evidence of indivi- dual inputs with a list of strengths, areas for improvement and scores from all the members of the SA group(s), complete for each sub- criterion of CAF; the inputs are structured and detailed to address the improvement actions | There is strong evidence of indivi- dual inputs with a list of detailed and suitable strengths, areas for improvement and scores, available from all the members of the SA group(s) and complete for each sub-criterion of CAF; the individual inputs are detailed with notes and comments to support the analyses and the improvement actions |
| **5.3 The chair collects the indi- vidual inputs and prepares the consensus meeting assuring all conditions for its success.** | There is no evidence of collection of the individual inputs for use  in the consensus meeting. No evidence of preparation for the consensus meeting | There is some evidence of coll- ection of the individual inputs, but there is no aggregation and analysis for use in the consensus meeting. Limited evidence of preparation for the consensus meeting | There is evidence of collection of the individual inputs and aggre- gation for the consensus meeting. The consensus meeting is planned | There is clear evidence of colle- ction, aggregation and analysis of the individual inputs for the consensus meeting. There is clear evidence of preparation for the consensus meeting (time scheduling and roles, availability of relevant documents) | There is strong evidence of colle- ction, aggregation and analysis of the individual inputs as a basis for the evaluations in the consensus meetings. A detailed preparati- on of the consensus meeting is evident, with time scheduling,  assignment of roles collection and availability of relevant documents, definition of rules and criteria to facilitate the consensus etc. |
| **5.4 The SA group reaches con- sensus on strengths, areas for improvement and scoring for each sub-criterion.** | There is no evidence of a real con- sensus process on strengths, areas for improvement and scoring to obtain a final evaluation | There is some evidence of the consensus process but it does not cover all the sub-criteria for strengths, areas for improvement and scores | There is evidence of the consen- sus process, complete for all the sub-criteria for strengths, areas for improvement and scores | There is clear evidence of the consensus process, effective and complete for strengths, areas for improvement and scores with a defined approach. The evaluations are formally documented and agreed | There is clear evidence of the consensus process, effective and complete: the individual assess- ments are documented and the consensus is formally agreed by all the participants, with strengths, areas for improvement and  scores. The evaluations and the decisions taken, and the variations from individual evaluation and consensus are formally registered and analysed |

| **Step 6: Prepare a report describing the results of self-assessment** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **6.1 Edit a final report containing** | There is no evidence of a formal | There is some evidence of a final | There is evidence of a final report | There is clear evidence of a final | There is strong evidence of a final |
| **the following elements for each** | final report for the activities of | report for the activities of SA, | covering all the sub-criteria of the | report covering all the sub-criteria | report covering all the sub-criteria |
| **sub-criterion:** | SA or the final report does not | including some indications on | model, and indicating strengths, | of the model, and indicating | of the model, and indicating in |
|  | include information on strengths | strengths, areas for improvement | areas for improvement and scores. | strengths, areas for improvement | detail the strengths, areas for im- |
| * **strengths** | and/or areas for improvement | and scores, but the indications are | and scores. The report contains | provement and scores. The report |
| * **areas for improvement** | and/or a score | not complete or do not cover each | information and comments to | contains information and com- |
| * **score** | sub-criterion of the model | address the organisation in order | ments to address the organisation |
| to evaluate corrective and impro- | in order to evaluate effective cor- |
| vement actions | rective and improvement actions |
| and their weight and priority |
| **6.2 Present the final report to the Senior Management of the organisation** | There is no evidence of presentati- on of the final report to the senior management | There is some evidence of presen- tation of the final report to the se- nior management but there is no evidence of presentation in formal and documented meeting(s) | There is evidence of presentation of the final report to the senior management of the organisati- on in formal and documented meeting(s) | There is clear evidence of pre- sentation of the final report to the senior management of the organisation. It has been presen- ted and discussed in formal and documented meeting(s), with a detailed analysis of strengths and weaknesses | There is strong evidence of presentation of the final report to the senior management of the or- ganisation. It has been presented and discussed in formal and do- cumented meeting(s), in which a detailed analysis of strengths and weaknesses and a first evaluation of the possible intervention areas have been made |
| 6.3. Communicate the main results to people in the organisation and other relevant stakeholders. | There is no evidence of communi- cation of the SA results | There is some evidence of commu- nication of the main results, but it does not involve all the relevant internal and external parties | There is evidence of communica- tion of the main results, addressed to the people in the organisation and to all other relevant stake- holders | There is clear evidence of com- munication of the main results, with detailed information, in a formal way and with appropriate tools. The communication was addressed to the people of the organisation and to other relevant stakeholders | There is clear evidence of com- munication of the main results, with detailed information, in a formal way and with appropriate tools. The communication was addressed to the people in the organisation and to all other rele- vant stakeholders. The information was clearly addressed to involve interested parties in the corrective and improvement actions |

## Questionnaire II – The Process of Improvement Actions

| **Step 7: Draft an improvement plan, based on the accepted self-assessment report** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **7.1 Collect all proposals for ac- tions for improvement, including the ideas formulated during the SA.** | There is no evidence of collection of ideas and proposals for impro- vement actions | There is some evidence of collec- tion of proposals for improvement, but without the involvement of the interested functions and/or without a complete analysis of the results of the SA | There is evidence of collection of proposals for improvement ac- tions, from the involved functions and for all the results of the SA, taking into consideration the ideas formulated during the SA. | There is clear evidence of collec- tion of proposals for improvement actions, from all the involved functions, in a formal way, starting from and taking into considera- tion the ideas formulated during the SA. The proposals are derived from a complete analysis of all the results of the SA | There is evidence of collection of proposals for improvement actions, in a formal way, starting  from and taking into consideration the ideas formulated during the SA. The proposals are based on a detailed and documented analysis (meetings, etc.) of all the results  of the SA, within each function involved |
| **7.2 Prioritise improvement actions with regards to their effectiveness and feasibility.** | There is no evidence of prioritisati- on of improvement actions or use of prioritisation criteria | There is some evidence of pri- oritisation of the improvement actions, but the criteria are not clear or coherent | There is evidence of prioritisation of the improvement actions, on the basis of defined and coherent criteria | There is clear evidence of priori- tisation of the improvement ac- tions, on the basis of defined and coherent criteria. The prioritisation criteria are documented, taking into consideration the impact on strategy and objectives of the organisation, and the feasibility of the actions | There is strong evidence of prioritisation of the improvement actions, on the basis of defined and coherent criteria. The analysis of possible actions, the prioritisa- tion criteria and the evaluations are documented, taking into consideration a quantized evalua- tion of the impact on strategy and objectives of the organisation, and the feasibility of the actions |
| **7.3 Define a structured action plan for the selected improve- ment actions based on the PDCA Cycle (Plan-Do-Check-Act).** | There is no evidence of an action plan or the action plan cannot define the main phases of the ac- tivities (start, phases of activities, intermediate checks, final check(s) etc.) | There is some evidence of an action plan, but the main defined phases are not based on the PDCA cycle (approach, deployment, check and reviews, further impro- vement actions) | There is evidence of an action plan for the selected improvement actions, based on the PDCA cycle (approach, deployment, check and reviews, further improvement actions) | There is clear evidence of a struc- tured action plan for the selected improvement actions, defining the scheduling for the approach, the deployment of the actions, the checks and reviews during the development of the actions | There is strong evidence of a structured action plan for the selected improvement actions, defining for the single phases and activities a detailed scheduling for the approach, the deployment of the actions for the target areas, the checks and reviews during the development of the actions.  The plan contains the definition of further improvement actions and follow-up |
| **7.4 Establish ways to measure the performance of the actions and the results.** | There is no evidence of a definiti- on of indicators, targets or metrics for all or most of the improvement actions | There is some evidence of a definition of indicators, targets or metrics, but not complete or adequate to measure the perfor- mance and results of the actions (lack of indicators and/or targets; lack of definition of metrics, ...) | There is evidence of a definition of indicators, targets and metrics, adequate to measure the perfor- mance and results of the actions | There is clear evidence of indica- tors, targets and metrics of the improvement actions, defined in a complete, quantitative and con- sistent way for each action. The indicators and targets consider the expected results in terms of outputs and outcome | There is strong evidence of indi- cators, targets and metrics of the improvement actions, defined in a complete, quantitative and con- sistent way for each action. The  indicators and targets consider the expected performance and results in terms of outputs and outcome, effectiveness, efficiency and exter- nal benchmarking |
| **7.5. Integrate the action plan into the normal strategic planning process.** | There is no evidence of corre- lation between the action plan and the strategic planning of the organisation | There is some evidence of integra- tion of the action plan (but with limited correlation of time schedu- ling and/or planning of resources and/or impact of the actions on strategic objectives) | There is evidence of integration of the action plan into the strategic plan of the organisation (time scheduling, resources, impact  of the actions on the strategic objectives) | There is clear evidence of integra- tion of the action plan into the strategic plan of the organisation (time scheduling, resources, im- pact of the actions on the strategic objectives, checks and reviews and related responsibilities) | There is strong evidence of inte- gration of the action plan into the strategic plan of the organisation (time scheduling, resources, im- pact of the actions on the strategic objectives, checks and reviews, in- volvement of leaders, etc); the SA activity and the consequent action plan are formalised as part of the strategic planning and control |

| **Step 8: Communicate the improvement plan** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **8.1. Define a com- munication plan**  **- the appropriate information with the appropriate media to the appropriate target group, addressed to all the stakeholders - of the improvement actions.** | There is no evidence of a communication plan for main stakeholders and/or with appropriate information | There is some evidence of a communication plan (but not addressed to the main stakeholders and/or limited information) | There is evidence of a communi- cation plan, addressed to the main stakeholders, with appropriate infor- mation and appropriate media. The communication plan considers a few phases of the improvement activities | There is clear evidence of a communication plan, addressed to all the stakeholders, with appropriate information and with the use of appropriate media. The communication plan considers the main phases of the improvement activities | There is strong evidence of a commu- nication plan: the plan is complete and detailed, addressed to all the stakeholders, with extensive information and with the use of the appropriate media for the dif- ferent target groups. The communication plan considers all the different phases of the improvement activities |
| **8.2. Implement the communication plan.** | There is no evidence of implementation of a communication plan | There is some evidence of implementation of  a communication plan (the communication plan that has been applied in part or the extent to the stakeholders and to diffe- rent phases has not been respected) | There is evidence of implementa- tion of the communication plan addressed to the different stakehol- ders, with appropriate information and with appropriate media, as plan- ned or with limited modifications | There is clear evidence of imple- mentation of the communica- tion plan addressed to different stakeholders, with appropriate information and with appropriate media, as planned. The implemen- tation is documented | There is clear evidence of implementation of the communication plan, and the effec- tiveness of the communication (to different stakeholders, with appropriate information and with appropriate media) has been verified and improved. The implementation is fully documented |
| **8.3. Inform the relevant stakeholders regularly – especially the people of the organisation - on the status and progress, including evaluations and experiences.** | There is no evidence of information for relevant stakeholders on the status, progress and related evaluations and experiences | There is some evidence of information on the status, progress and related eva- luations and experiences, but the information is not provided regularly, or is limited to the status and progress, or limited to few stakeholders | There is evidence of information to the people of the status, progress and related evaluations and experiences. The information is provided regularly to the people of the organisation and limited for other relevant stakehol- ders (only some phases, as start, end of activities, ...) | There is clear evidence of infor- mation to all the stakeholders on the status of activities, progress, evaluations and experiences, for all the relevant phases of the impro- vement plan. | There is strong evidence of information to all the stakeholders on the status of activities, progress, evaluations and expe- riences, for all the relevant phases of the  improvement plan. The lessons learned and the opportunities to extend the expe- riences are investigated, documented and communicated |

| **Step 9: Implement the improvement plan** | | | | | |
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| **Levels** | **1** | **2** | **3** | **4** | **5** |
| **Actions** |  |  |  |  |  |
| **9.1 Define clear ownership of the improvement program and the projects, and ensure transpar- ency in task and responsibility delegation.** | There is no evidence of definition of ownership of the program and the projects | There is some evidence of definiti- on of ownership for the programs and/or for the projects, but the level or the coherence of the roles for the assigned responsibilities are not demonstrated  Limited evidence of transparency and responsibility delegation | There is evidence of definition of ownership for the improvement program and for the projects.  The ownership is communica- ted, ensuring transparency and  responsibility delegation. The level of assigned responsibilities is ade- quate and the roles of the owners are coherent with the activities to be realised | There is clear evidence of definiti- on of ownership for the improve- ment program and the projects. The level of assigned responsi- bilities is adequate and the roles of the owners are coherent with the activities to be realised. The delegation of responsibilities is formally defined and communica- ted to guarantee transparency | There is strong evidence of defi- nition of ownership for the entire improvement program and for the single projects and activities, at appropriate level and coherent with the activities to be realised. The delegation of responsibilities is formally defined and communi- cated to all the interested stake-  holders to guarantee transparency and to promote involvement and collaboration |
| **9.2 Implement the improvement plan as scheduled.** | There is no evidence of implemen- tation of the improvement plan | There is some evidence of imple- mentation of the improvement plan, but relevant deficiencies are evident in terms of completeness, extent of deployment, controls, monitoring, changes to the plan- ning due to lack of resources or changes to priorities etc. | There is evidence of implemen- tation of the improvement plan, with a substantial alignment to the scheduling. The deviations from the scheduled plan are documented and motivated. No relevant deficiencies are evident in terms of completeness, extent of deployment, controls, monitoring, changes to the planning due to lack of resources or changes to priorities etc. | There is clear evidence of imple- mentation of the improvement plan, with a structured control. The deviations from the scheduled plan are limited and do not reduce the completeness, extent of de- ployment, controls or monitoring; they are analysed, documented and motivated | There is strong evidence of imple- mentation of the improvement plan, with a structured control.  The deviations from the scheduled plan are analysed and documen- ted, and are clearly finalised to improve the scheduling and to assure the attainment of the best possible objectives (completeness of the activities, extent of deploy- ment, controls, monitoring etc.) |
| **9.3 Involve employees in the different improvement actions to ensure anchoring of the impro- vement projects throughout the institution.** | There is no evidence of involve- ment of employees in the impro- vement actions | There is some evidence of involvement of employees in the improvement actions and of an approach to anchor the projects throughout the institution | There is evidence of involvement of employees in the improvement actions, not limited to realisation of the projects, but also finalised to anchor the projects throughout the organisation | There is clear evidence of involvement of employees in the improvement actions, not limited to realisation of the projects, but also finalised to anchor the pro- jects throughout the organisation, with definition of involvement and roles of different parties in the follow-up | There is strong evidence of involvement of employees in the improvement actions, not limited to realisation of the projects, but also clearly addressed to anchor the projects throughout the orga- nisation, with definition of involve- ment and roles of different parties, plans for follow-up, deployment, objectives and responsibilities |
| **9.4 Define a consistent approach for monitoring and assessing the improvement actions.** | There is no evidence of a defined approach for monitoring and assessing the improvement plan | There is some evidence of monito- ring and assessing the improve- ment plan, but the approach is not clear or consistent | There is evidence of monitoring and assessing the improvement plan, and the approach is defined in a consistent way | There is evidence of monitoring and assessing the improvement plan, in a defined and formalised way, with a clear and consistent approach for the main phases of the activities | There is evidence of monitoring and assessing the improvement plan, in a defined and formalised way, with a clear and consistent approach for all the main phases of the activities, defining the responsibilities and involving the main stakeholders |
| **9.5 Monitor on a regular basis the implementation of the improvement actions.** | There is no evidence of monito- ring of implementation of the improvement actions | There is some evidence of monitoring of implementation of the improvement actions, but it does not guarantee monitoring of the main phases of the process (main intermediate steps, end of projects, surveys of results) | There is evidence of monitoring of the main phases of the implemen- tation of the improvement actions, (main intermediate steps, end of projects, surveys of results etc.) | There is clear evidence of monitoring of all the relevant phases of the implementation of improvement actions, with formal feed-back on progress and inter- mediate and final results | There is strong evidence of moni- toring of all the relevant phases of the implementation of improve- ment actions, involving the main stakeholders and with formal  and communicated feed-back on progress and intermediate and final results |

## Questionnaire III – The TQM Maturity of the Organisation

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| **Principle of excellence**  **1. Result orientation** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
| **Definition** | The initiation level has not been reached | The organisation identifies relevant stake- holders and result areas. | The organisation defines a set of targets and results to be achieved in relation to the relevant stakeholders’ needs. | The organisation systematically monitors the results it achieves and uses it for conti- nuous improvement. |
| **Examples** |  | There is a focus on developing a result- oriented culture in the organisation.  The organisation has identified the diffe- rent stakeholders and segmented them into different categories.  It has defined relevant result areas linked to the mission of the organisation. | A result-oriented culture is systematically promoted in the organisation.  A first systematic assessment of the stakeholders - as well as their current and future needs and expectations - has been carried out.  A first set of corresponding targets has been defined for relevant stakeholders in relation to the result areas. | Stakeholders are involved in setting and reviewing results and targets.  The organisation has defined result targets for all key processes. These targets are connected with the dimensioning and planning of the assignments.  Employees know the targets relating to their work tasks and processes.  Management supervises the organisatio- nal development in terms of result targets for key processes and finances. |

| **Principle of excellence**  **2. Citizen/Customer focus** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
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| **Definition** | The initiation level has not been reached | The organisation focuses on the needs of existing and potential citizens/customers. | The organisation involves citizens/custo- mers in the evaluation and improvement of its performance. | The organisation responds to the needs of citizens/customers by developing and de- livering activities, products and services. |
| **Examples** |  | Management and employees have a com- mon understanding of who the customers are and which segments the organisation is servicing.  Employees understand the demands and expectations defined in legislation and regulation regarding citizen/customer service. | The first systematic measurement of customer satisfaction, expectations and needs has been carried out, and the institution is working on improvements related to this.  Management and employees develop and deliver services responding to the needs and expectations of citizens/cu- stomers. | Results from citizen/customer satisfaction measurements and dialogue are used   * to review and develop strategies and action plans for the entire organisation; * to respond adequately when things go wrong (e.g. complaints management).   Employees have a multi-facetted picture of citizen/customer needs - including ad- ditional needs to those that relate directly to key products/services (e.g. transparen- cy, involvement).  Both management and employees show concern for current and future custo- mer needs through their behaviour and attitudes. |

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| **Principle of excellence**  **3. Leadership and constancy of purpose** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
| **Definition** | The initiation level has not been reached | Leaders establish a clear mission state- ment. | Leaders establish vision and values. They drive and inspire people towards excellence. | Leaders demonstrate the capability to maintain constancy of purpose in a chan- ging environment. |
| **Examples** |  | Leaders provide the organisation with a well-defined mission according to legisla- tion and regulation requirements, as well as taking into account the stakeholders’ expectations. | Leaders provide the organisation with the definition of a mission, vision and values and share it with the people in the organisation.  Managers at all levels are focused on bringing the mission, vision and values into practice. | Stakeholders are confident about the constancy of purpose and steadiness of management.  Managers are perceived as role models.  The quality of management has been measured e.g. through management assessment or job satisfaction measure- ments. |

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| **Principle of excellence**  **4. Management of processes and facts** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
| **Definition** | The initiation level has not been reached | Processes are identified and managed. | The implementation of the strategy and planning of the organisation is enabled and assured through the processes. | Processes are continuously improved for effectiveness on the basis of internal per- formance measurement, bench learning and/or benchmarking. |
| **Examples** |  | A process-oriented way of thinking has been initiated within the organisation.  The key processes - linked to the relevant result areas - have been identified. | The organisation has completed the identification of all key processes.  Key processes have a clear ownership.  Targets for key processes are defined in line with the strategy and planning of the organisation.  The organisation measures results of key processes in relation to the targets.  The organisation has defined the basis for an information system to support process management. | The organisation has a detailed view of all processes through an information system (including management, operational and support processes).  All these processes are monitored relating to results and improved on a regular basis.  People know the processes they are invol- ved in and the targets of these processes.  Procedures are in place to ensure that targets are broken down and results are used for improvements. |

| **Principle of excellence**  **5. People development and involvement** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
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| **Definition** | The initiation level has not been reached | The organisation takes initiatives for developing and involving people. | The organisation develops competencies and involves people in a structured way to improve products, services and processes. | The organisation creates a working envi- ronment of shared values and a culture of trust, openness, empowerment and recognition. |
| **Examples** |  | A training portfolio is present, which takes into account people’s demand for further development of the existing competen- cies.  The organisation recognises the importance of involving people in the decision-making process.  People are invited to express their opinion on the organisational development. | The organisation identifies and develops the required competencies; thereby preparing people to meet and adapt to changes.  The organisation:   * carries out different kinds of training and competence development; * measures and improves employee satisf- action and motivation; * promotes internal mobility; * involves employees actively in the process of improving products, services and processes. | The organisation rewards and recognises people in a way that builds commitment and encourages their loyalty to the organisation.  The organisation:   * formulates the human resource policy according to the strategy and planning involving the people; * establishes a regular cycle regarding people development (appraisal, training and dialogue); * involves employees in the development of strategies and action plans, inviting them to generate and implement ideas for improvement. |

| **Principle of excellence**  **6. Continuous innovation and improvement** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
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| **Definition** | The initiation level has not been reached | The organisation learns from its activities and performance and looks for opportu- nities for improvement. | Continuous improvement is promoted in the organisation, through sharing know- ledge and taking into account people’s suggestions. | The organisation systematically challen- ges the status quo, encourages, accepts and integrates innovation and regularly compares its performance to other orga- nisations. |
| **Examples** |  | There is an assessment of performance in relevant result areas.  Management has started a dialogue with other organisations on how they work.  Improvements based on internal assess- ments and external observation have been initiated. | The organisation starts to incorporate the principles of the PDCA cycle when working with improvements.  The organisation exchanges experiences with other organisations.  The organisation identifies opportunities and obstacles to innovation and learning.  Continuous improvement is supported by the people on a regular basis e.g. by carrying out self-assessments.  Management encourages employees to take responsibility for improvement actions. | Management acknowledges the signifi- cance of strategic renewal and moderni- sation in order to accommodate future challenges regarding e.g. customer needs, recruitment, maintenance and political demands.  The organisation carries out bench-lear- ning, both internally and externally.  Projects/efforts are carried out according to the principles of the PDCA cycle.  The organisation uses creative methods to carry out concrete improvement initia- tives generating added value. |

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| **Principle of excellence**  **7. Partnership development** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
| **Definition** | The initiation level has not been reached | The organisation identifies its partners. | The organisation formalises partnerships to reach mutual advantages. | The organisation manages partnerships in a win-win situation to enable delivery of enhanced value and to optimise the use of resources. |
| **Examples** |  | Management is aware of the significance of the external relationships and partner- ships held by the organisation.  The organisation’s most important exter- nal relationships and partnerships have been identified.  The organisation enjoys different kinds of cooperation with external actors. | Management has a clear view of the most important external relationships and part- nerships and the development possibili- ties of these, based on a clearly identified mutual benefit.  The organisation is engaged in formalised key partnerships.  Employees are aware of the external relationships and partnerships, which are important to their position and tasks. | The organisation ensures systematic part- nerships with all significant partners.  Regular evaluation of the effectiveness and efficiency of existing partnerships and their improvement is carried out.  The organisation engages in the search for new partners. |

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| **Principle of excellence**  **8. Social responsibility** | **0** | **I = Initiation** | **R = Realisation** | **M = Maturity** |
| **Definition** | The initiation level has not been reached | The organisation is aware of its impact on society (social and environmental). | The organisation is actively involved in activities related to social responsibility and ecological sustainability. | The organisation meets or exceeds the major expectations and requirements of the local and - where appropriate - the global community. |
| **Examples** |  | The organisation makes a distinction bet- ween its mission and its corporate social responsibility as a public institution.  The organisation identifies the areas of impact in terms of social, economic  and ecological issues and impact on the media. | The organisation works on mutually bene- ficial projects on societal issues.  The organisation has started to imple- ment initiatives that have an impact on social, economic and ecological issues and on the media. | Management has defined a vision on relevant issues concerning corporate social responsibility, and employees share this vision.  The organisation integrates this vision into the strategy and action plans.  The organisation promotes opportunities and develops initiatives to work on mutu- ally beneficial projects with society.  The organisation has carried out measure- ments of corporate social responsibility and ecological sustainability in some areas and the results have been discussed. |