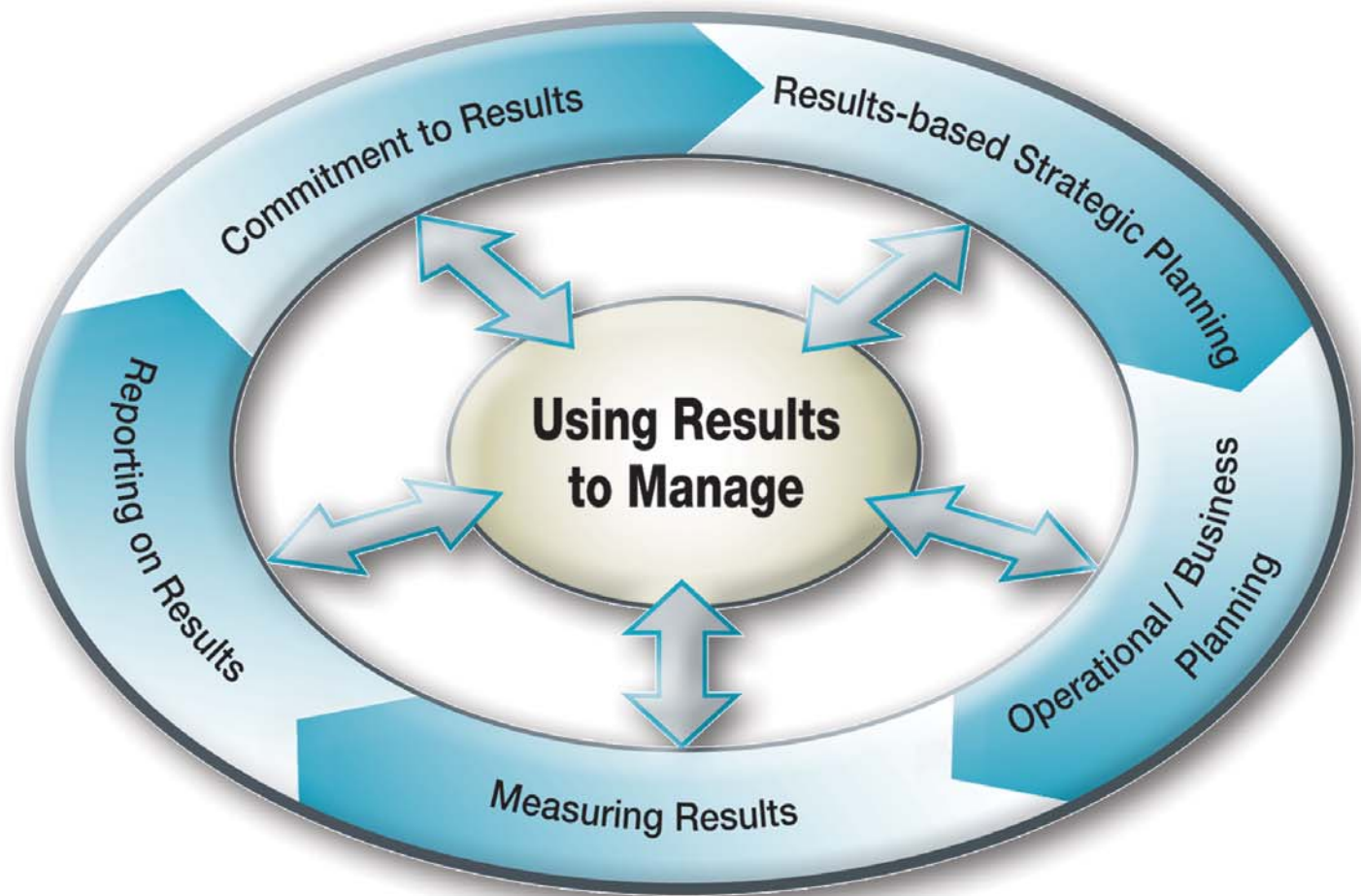




The Managing for Results Self-Assessment Tool



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Foreword

Governments around the world have been grappling with the concepts related to managing for results (MFR) for a long time. Different countries are striving to implement policies, programs, and initiatives that provide measurable benefits for their citizens. Canada is no different.

With the tabling of *Results for Canadians* in March 2000, the government committed itself to management excellence in four key areas: a citizen focus in designing and delivering the application of sound professional and ethical values to guide public service management; a focus on results as an integrating principle of management in all departments; and a continuous examination of its expenditures to assure responsible spending. Tools are being developed to facilitate the understanding of the key elements of managing for results and to support the commitments set out in *Results for Canadians*.

With this aim in mind, the Treasury Board of Canada Secretariat and the Office of the Auditor General of Canada have developed the Managing for Results Self-Assessment Tool. The tool responds to the needs of departments and agencies to have practical guidance on key elements of managing for results. It may be used by an organization, a directorate, a branch, or even a unit within a government department or agency to take stock of its ability to manage for results. The tool clearly communicates the interconnected nature of the key elements of managing for results by emphasizing the need to view them in an integrated fashion.

Throughout its development, several departments were engaged in testing the tool to assure its relevance and practicality. The tool also responds to the most recent reports of the Office of the Auditor General on the state of managing for results, which highlighted the need for more progress in this area.

It is our hope that departments and agencies will use this tool to improve their ability to manage for results. We invite ongoing feedback on the tool and we intend to keep improving it as we gain more experience in this area.



Jim Judd
Secretary of the Treasury Board and
Comptroller General of Canada



Sheila Fraser, FCA
Auditor General of Canada

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1. Introduction

1.1 What is managing for results?

“Managing for results” (MFR) means focussing on results in every aspect of management. Organizations that perform successfully have a clear vision of why they exist, what they want to achieve and how well they are achieving it. They plan their work keeping in mind a clear set of objectives, activities, outputs, outcomes and measures. To take stock of their progress, they measure and evaluate as they go. They adjust their plans and approaches as required, on the basis of what they have learned. They also issue public reports on their results, making them more accountable to Parliament and Canadians, and providing a basis for dialogue about future decisions.

Managing for results is not about achieving results at any cost. The methods used should accord with Public Service values and ethics; the means should treat people fairly, be undertaken with propriety and reflect good stewardship.

1.2 Why managing for results matters

Historically, governments have focussed their attention on resource inputs (what they spend), activities (what they do) and outputs (what they produce). Accurate information at this level is important, but more is required to meet the growing demand of Canadians for information on results achieved with their tax dollars. In addition, public-sector modern management initiatives (including Modern Comptrollership and improved reporting to Parliament) require managers to look beyond activities and outputs to the impact or effect of their programs. To deliver on these expectations, departments and agencies must expand their traditional views of management practices, with a focus on managing for results and continuous improvement.

Increasingly, today’s public-sector managers have greater flexibility and discretion in deciding how best to use resources and deliver services. Good results information enables them to manage well in this environment. Better information on what is working and what is not helps managers provide more effective services to Canadians.

Managing for results helps staff in all departments/agencies and their key partners to understand the difference that their programs are making for Canadians. It also helps them communicate that information in a credible way to Parliament and Canadians. This increased transparency is key to greater accountability, and helps citizens to be involved in a constructive dialogue about their priorities and needs. In turn, the dialogue enables the public sector to better allocate resources and adapt programs and services appropriately. Managing for results is thus a catalyst for learning, innovation and improvement.

1.3 MFR within the government’s management agenda

Managing for results is not a new concept in the federal government. Starting in the 1980s and continuing through the 1990s, various departments and agencies experimented with results-based management practices. These tended to involve the use of performance measurement strategies and periodic evaluations to help inform decision making. The experiments achieved

some success. However, improvement across government requires, among other things, a coherent view of the most important elements of managing for results.

The Managing for Results Self-Assessment Tool presents those elements. It shows how managers can make the transition from basic awareness of managing for results to full implementation and continuous learning in essential management areas.

In 1997, the Office of the Auditor General (OAG) assessed the existing state of results-based management in the federal government. With a few exceptions, it found that federal departments were not moving toward managing for results. In 2000 the Auditor General noted that, again with some exceptions, overall progress toward managing for results was slow. Departments were often stuck at the planning stage.

In March 2000, the President of the Treasury Board tabled *Results for Canadians: A Management Framework for the Government of Canada* in the House of Commons. This document sets out an agenda for improving and modernizing management practices in federal departments and agencies. Four broad management commitments form the foundation for the government's delivery of services and benefits to Canadians: citizen focus, values, results and responsible spending.

Under *Results for Canadians* the government aims to delegate authority to the front line, where initiative and creativity can help achieve gains in program performance and citizens' quality of life. But the government must also ensure due diligence, proper stewardship, and accountability in the use of public funds. Accordingly departments and the Treasury Board Secretariat (TBS) must work together to actively monitor management practices and controls, and make improvements as necessary.

In June 2003, the Treasury Board Secretariat introduced the Management Accountability Framework. This framework provides Deputy Heads with a clear statement of management expectations in support of the vision of a modern public service set out in *Results for Canadians*. The Self-Assessment Tool supports the implementation of the Framework by helping organizations apply a more results-focussed approach when assessing their management practices and reporting to parliament on how well their services and programs respond to the needs of Canadians.

1.4 Relationship with the Modern Comptrollership Initiative

The government's Modern Comptrollership initiative is designed to support management improvement in the four "pillars" of sound management practice:

- results-based management, particularly the integration of financial and non-financial performance information;
- the application of values and ethics in the workplace;
- the design and implementation of appropriate controls; and
- the application of integrated risk management.

Modern comptrollership is not a specialist function. It deals with the core practices that all managers must apply to achieve sound stewardship and results when they are using public funds.

Managers must understand that they are responsible for integrating all four pillars in decision making throughout the normal life cycle of their work, from planning through implementation, monitoring, evaluation and reporting on results. Managers must have support and guidance on each of the four pillars. They must have practical tools to help them understand what needs to be done and how to make progress in their workplace. Finally, those with an interest in modern management practices and controls must work together to develop, test and provide the tools that will support managers. The aim of this Self-Assessment Tool is to do exactly that.

The Tool has been designed specifically to help departments and agencies assess their strengths and weaknesses in using results to support decision making and improvement. As part of any implementation plan for modern management, managers need to integrate MFR into decision making throughout the management cycle of their work.

1.5 Key points about the Tool

- The Tool describes the transition or improvement path toward managing for results.
- The Tool is flexible and can be applied at a departmental, program, directorate, branch or unit level. In any particular case, however, some categories may not be relevant to the level at which the Tool is being applied. It is critical that the assessment make sense to those managing at the organizational level being assessed.
- The Tool takes into account the OAG's most recent reports on managing for results, as well as the requirements for results-based management set out in *Results for Canadians*.
- The Tool will continue to evolve on the basis of experience and feedback from user groups.
- The Tool is based on using results to manage and on its five key supporting functions: commitment to results; results-based strategic planning; operational/business planning; measuring results; and reporting on results.
- The worksheets have been developed to help organizations assess their current status in managing for results. Findings can help them develop and prioritize an action plan for improving their ability to manage for results.

1.6 New features

The Managing for Results Self-Assessment Tool aims to help managers identify the gaps between existing and desired management practices. On the basis of what they learn, they can then develop sound remediation plans. The Tool departs from conventional capability models by focussing on the characteristic behaviours of an organization as it makes the transition to effective MFR.

In an effort to move beyond the theoretical, we have suggested possible **measures** or **indicators** to help assess where an organization is with respect to the stages in the proposed

Tool — that is, to determine whether it exhibits the proper attributes/characteristics. In addition, to further clarify the Tool, percentages have been added to help quantify terms such as “few,” “some,” “frequently” and “regularly.” These defined percentages are intended to act as guideposts and convey a sense of the level of MFR activity at any given stage.

A collaborative effort: The Managing for Results Self-Assessment Tool reflects several viewpoints, including those of TBS and the OAG, as well as Public Service managers who have championed managing for results in their organizations. These viewpoints have been invaluable.

In the development of the Tool, a focus group of people working in the areas of evaluation and results-based management played an important role in refining the Tool. We gratefully acknowledge the donation of time and useful feedback received from this group and others consulted. (For a list of participants, see the Annex.)

Work in progress: While the categorizations, definitions and attributes presented here reflect current MFR thinking, this is an “evergreen” tool. It will be modified as experience accumulates.

2. Overview of the Tool

As presented in the table on pages 10 to 15, the Managing for Results Self-Assessment Tool consists of six elements that include one pivotal characteristic and five supporting elements (found on the left of each row), plus five transitional stages in managing for results (one stage per column). To give a better sense of the overall logic of the Tool, each of these elements and stages is described separately.

2.1 The pivotal characteristic and supporting elements

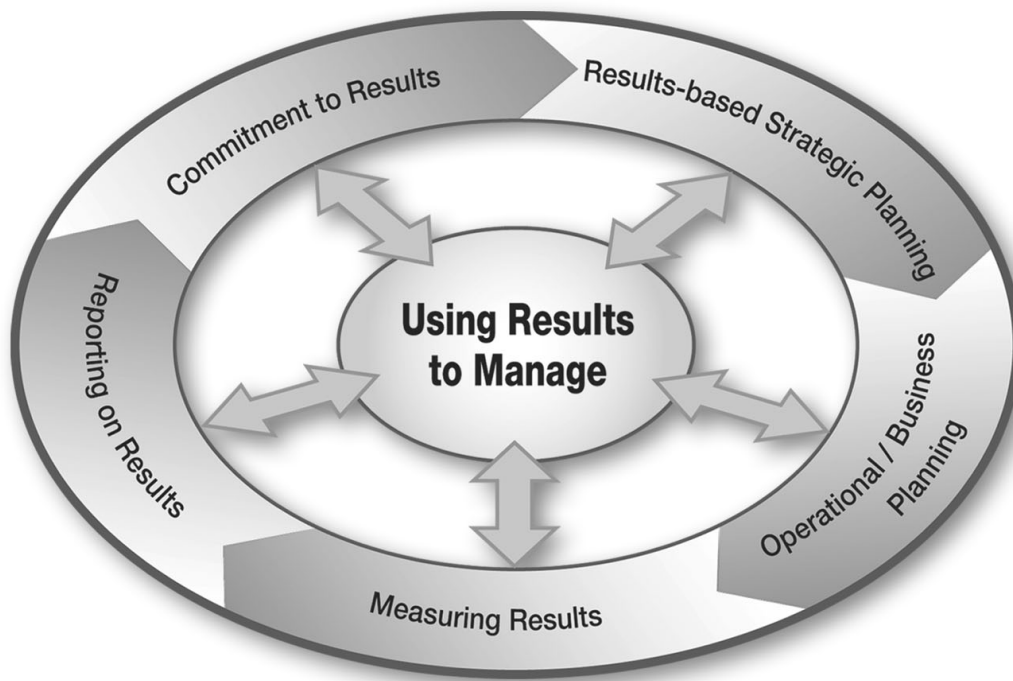
Using results to manage is the pivotal characteristic, the essence of the Tool. It has a threefold focus: the extent to which the organization is using information on inputs, activities, outputs and outcomes; its desire and ability to demonstrate evidence-based learning by carefully analyzing results information; and its use of such information to plan, modify operations and allocate resources. This characteristic best shows an organization's progress in moving toward managing for results.

The other five elements support the development of the pivotal characteristic:

- A **Commitment to results:** This element focuses on the organizational leadership and support for managing for results, the implementing capacity of an organization, the reinforcement of the values of managing for results, and its presence in management accountability.
- B **Results-based strategic planning:** This element encompasses the notion that results should be linked to high-level organizational objectives and expressed through to operational processes. Managing for results should also be linked to risk management.
- C **Operational/business planning:** The focus of this element is on performance expectations and how these align with the corporate outcomes of an organization. The expectations include outputs and outcomes, wherever possible.
- D **Measuring results:** This element examines whether data collection includes outcomes in addition to the measurement of inputs, activities and outputs. It further describes how measurement is linked to planning and reporting, and it integrates cost with results measurement. The evaluation role is also a key part of the development of a measurement strategy.¹
- E **Reporting on results:** Rather than focusing on the reports provided to Parliament, this element highlights the integration of external reporting with the actual MFR practices and results within an organization.

¹ The OAG has developed a separate self-assessment tool for rating Departmental Performance Reports on the basis of how well departments report accomplishments — that is, how they measure outcomes against previously stated performance expectations. See the April 2002 OAG Report of the Auditor General of Canada, Chapter 6, "A Model for Rating Departmental Performance Reports." In addition, in 2001 TBS issued principle-based guidance on performance reporting for Reports on Plans and Priorities and Departmental Performance Reports.

As shown in the diagram below, the pivotal characteristic and five supporting elements are integrated components of a continuous cycle of learning and improvement. Each element builds on and contributes to the next. The focus is on using performance information to make improvements.



2.2 The five transition stages

MFR implementation follows a sequence of stages common to all organizational transitions.² These are conceptual stages that describe the predominant behaviours of the organization at a particular point. The pivotal characteristic and five elements overlie the five stages of the Tool. The stages are as follows:

1) **Awareness:** The organization is aware of, but not committed to, managing for results. In this stage, people in the organization recognize that what they have been doing is inadequate and that there must be a better way of proceeding. Managers may express a broad commitment to managing for results, saying that they wish to be in line with broader public policy, but their statements lack conviction. This stage can involve a sense of fear, guilt and unhappiness with past performance. It can also lead to attempts to place blame, as various organizational stakeholders become frustrated with parts of the organization that do not implement MFR-

² This section draws on Beverly A. Parsons, "Finding Transformative Themes Across Multiple System Change Evaluations," paper presented to the November 1998 Annual Meeting of the American Evaluation Association. Ms. Parsons is Executive Director of InSites, a Colorado-based organization that conducts research and evaluation, and provides technical assistance in support of change in the field of education.

related practices. With increased exposure to the idea of managing for results, groups become more open to the possibility of change, leading to the next stage.

2) **Exploration:** The organization begins to commit to managing for results and explores different approaches. During this stage, people begin to pick up on new ideas from a variety of sources. The exploration may take the form of learning groups, benchmarking studies and pilot projects. One problem at this stage is that people may prefer one technique or system over others, without having given them a full trial. Another problem may be that too many different ideas are tried at once, resulting in practices that are never fully explored. During the exploration stage, enough people across the organization develop a sense of the benefits of MFR and want to explore it in a broader context. This willingness leads to the next stage.

3) **Transition:** The organization has committed itself to managing for results and attempting to make the transition from previous systems. In this stage, people begin to make a commitment to the new practices required. They drop old practices in favour of new ones because the old practices can no longer solve the organization's day-to-day problems. This stage can be characterized by hard decisions on what to keep and what to discard in terms of MFR strategies. For example, the conversion to a set of results-oriented measures is likely to mean that some old measures need to be dropped. As more people see the benefits provided, managing for results becomes more widespread throughout the organization.

4) **Full implementation:** The organization fully implements managing for results in all areas. In this stage, groups across the organization begin to see and look forward to the real benefits of the new management approach. Resources are allocated and plans are designed to support new practices, not to maintain old and outdated ones.

5) **Continuous learning:** The organization now uses the managing for results plan. It periodically adjusts and updates existing tools, methods and processes that support the use of MFR information in the organization, including training tools, new approaches to planning, experimentation with advanced measurement tools, and development of reporting mechanisms that further align internal and external reporting.

A critical point to bear in mind is that no organization fits neatly into any one stage. Rather, the self-assessment may show that an organization is at different stages with respect to various elements. It is also expected that activity and output information from the earlier stages of the Tool will continue to be produced in the more advanced stages. The key difference is that the increasing use of outcome information at the more advanced stages will supplement activity and output information used in decision making.

3. Key Terms and Definitions

A number of commonly used terms appear throughout the Self-Assessment Tool. Some of them are defined below. For a better understanding of other terms, consult the Treasury Board Secretariat's lexicon at http://www.tbs-sct.gc.ca/eval/pubs/RMAF-CGRR/rmaf-cgrr05_e.asp

Activity: An operation or work process internal to an organization, intended to produce specific outputs (e.g. products or services). Activities are the primary link in the chain through which outcomes are achieved.

Input: Resources (human, material, financial, etc.) used to carry out activities, produce outputs and/or accomplish results.

Logic model: An illustration of the results chain or how the activities of a policy, program or initiative are expected to lead to the achievement of the final outcomes. Usually displayed as a flow chart.

Outcome: An external consequence attributed to an organization, policy, program or initiative that is considered significant in relation to its commitments. Outcomes may be described as immediate, intermediate or final, direct or indirect, intended or unintended.

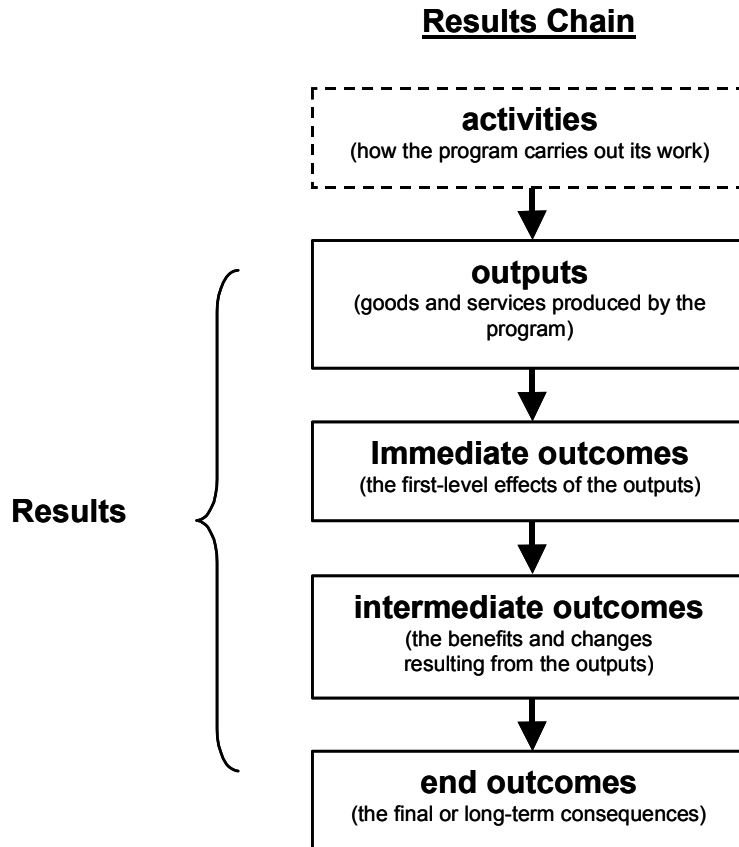
Output: Direct products or services stemming from the activities of a policy, program or initiative, and delivered to a target group or population.

Performance measure: An indicator that provides information (either qualitative or quantitative) on the extent to which a policy, program or initiative is achieving its outcomes.

Planned results (targets): Clear and concrete statement of results (including outputs and outcomes) to be achieved within the time frame of parliamentary and departmental planning and reporting (1–3 years), against which actual results can be compared.

Results chain: The causal or logical relationship linking activities and outputs with the outcomes of a given policy, program or initiative that they are intended to produce. Usually displayed as a flow chart.

The diagram on the next page presents a **logic model** or **results chain** illustrating how these terms interrelate.



4. The Managing for Results Self-Assessment Tool

Few: 1%–25% Some: 26%–50% Frequently: 51%–75% Routinely: 76%–99%					
	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Pivotal characteristic: Using results to manage	<ul style="list-style-type: none"> Activity and output information used by managers in a few programs to modify operations. Outcomes play no role in decision making. Limited understanding of how Public Service values and ethics link to achievement of results. 	<ul style="list-style-type: none"> Activity and output information used in some programs to modify operations. Outcome information considered in a few management decisions on modifying operations, re-allocating resources, and revising strategies and policies. Public Service values understood and linked to the achievement of results. 	<ul style="list-style-type: none"> Activity and output information used frequently to modify program operations. Some information on outcomes and the capacity to continue delivering them is analyzed and used in decisions of corporate and line management on modifying operations, re-allocating resources, and revising strategies and policies. 	<ul style="list-style-type: none"> Information on outcomes and the capacity to continue delivering them (as well as the means used to achieve them^a) is frequently analyzed and used in decision making on modifying operations, re-allocating resources, and revising strategies and policies. 	<ul style="list-style-type: none"> Performance information^b on outcomes is routinely and consistently analyzed and used (as a matter of course) for decisions throughout the organization on modifying operations, re-allocating resources, and revising strategies and policies. The type of outcome and related performance information being gathered is reviewed for usefulness and adjusted.
Use of results information in managing					
Possible indicators	The extent to which evidence and analysis of outcome results are used to support planning, design, delivery and resource allocation decisions.				
Notes	a "Means" used to deliver results include Public Service values and ethics, propriety, stewardship and treating people fairly. b "Performance information," in addition to results, includes the means used to deliver results and information on the capacity (in terms of people and assets) to continue delivering the results.				

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element A: Commitment to results					
Support	<ul style="list-style-type: none"> Deputy or assistant deputy head (or equivalent) verbally commits to building capacity to manage for results. Organization unit head verbally commits to building capacity to manage for results. 	<ul style="list-style-type: none"> With managers aware of and committed to managing for results, pilots or other test initiatives are undertaken. 	<ul style="list-style-type: none"> Champions or leaders that promote MFR practices are identified and encouraged to visibly show the benefits of managing for results in their organizations. 	<ul style="list-style-type: none"> Strong support for building and testing MFR abilities and management systems. Senior managers demand performance information for improving results abilities and management systems. 	<ul style="list-style-type: none"> Support at all levels for periodic adjustment of the organizational infrastructure to sustain MFR practices.
Possible indicators	The extent to which supportive statements are made by key managers with respect to managing for results. The extent to which human resource time is spent on MFR initiatives. The level of financial support for MFR initiatives. The extent, seriousness and diversity of MFR initiatives.				
Leading people for results	<ul style="list-style-type: none"> Limited or no training on managing for results. Performance appraisal systems, including recognition, linked to the spending of resources (inputs) as well as activities and outputs. 	<ul style="list-style-type: none"> MFR training needs identified; training packages developed and some training provided (basic training and technical skills). Performance appraisal systems linked primarily to outputs and a few outcomes. There is a general awareness of the goals/objectives of the organization. 	<ul style="list-style-type: none"> MFR training provided to key managers and functional experts. Performance appraisal systems linked to outcomes in some areas. All staff have a commonly shared vision of the results that the organization is trying to achieve. 	<ul style="list-style-type: none"> MFR training available to all managers and staff. Performance appraisal systems linked to outcomes in all areas. All staff have a commonly shared vision of the results of the organization and understand their role in achieving these results. 	<p>Stage 4 plus:</p> <ul style="list-style-type: none"> Training adjusted for lessons learned and best practices. The capacity to manage people to achieve sustained results is constantly monitored and adjusted.
Possible indicators	The availability of MFR training packages, developed for the organization. The level of investment in MFR training and development. The investment in human resources (training days) made by the organization. The percentage of staff taking part in MFR training initiatives. The extent to which individual performance accords make reference to outcome results (% as compared to activities). The extent to which appraisals draw on and use outcome information.				

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element B: Results – based Strategic Planning					
Results based Strategic Planning	<ul style="list-style-type: none"> Organizational objectives defined and prioritized. Planning and performance focussed on outputs 	<ul style="list-style-type: none"> Organizational objectives and priorities logically linked to some key outcomes, as demonstrated through a results chain or logic model. 	<ul style="list-style-type: none"> Strategic planning framework links all immediate, intermediate and end outcomes. Strategic planning framework used as a tool in all planning (including human resources, assets, etc.). Strategic plan identifies horizontal outcomes and recognizes the need for partnering. 	<ul style="list-style-type: none"> Strategic planning framework informs planning decisions. Strategic planning framework for horizontal initiatives has been implemented and informs planning decisions. 	<ul style="list-style-type: none"> <i>Stage 4 plus:</i> Strategic planning framework is central to planning, and is routinely reviewed and updated on the basis of lessons learned and changing circumstances.
Possible indicators	<p>The extent to which planning documents describe outcomes for organizational objectives. The extent to which a results chain is formed, leading from activities and outputs (under the control of operational processes) to a sequence of logical outcomes that are subject to decreasing organizational influence. The extent to which planning documents across various levels and groups consistently refer to outcomes and results chains.</p>				
Strategic risk management	<ul style="list-style-type: none"> General awareness of broad risks to the organization is not focussed on outcomes. 	<ul style="list-style-type: none"> Environmental scan identifies key risks in terms of outputs and outcomes. 	<ul style="list-style-type: none"> Risk management is practised but not linked to department-wide outcomes. 	<ul style="list-style-type: none"> Integrated risk management is linked to department-wide outcomes, and is integrated into the strategic planning process and resource allocation cycle. 	<ul style="list-style-type: none"> <i>Stage 4 plus:</i> Outcome information informs the periodic update of the risk profile of the entire organization. Results of integrated risk management support learning and the continuous improvement of the organization.
Possible indicators	<p>The extent to which there is documented evidence of an environmental scan for risks to the organization. The extent to which there is a uniform approach to managing risk. The extent to which risk management is incorporated into the existing management processes, and the frequency with which the results of risk management inform the periodic update of the organization's risk profile.</p>				

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element C: Operational/business planning	<ul style="list-style-type: none"> • Program performance expectations set in terms of outputs. • Most performance expectations are clear but few are measurable. 	<ul style="list-style-type: none"> • Corporate and line expectations/standards identified and linked to objectives and priorities. • Performance expectations in the form of outcomes, not just outputs, are clear and measurable in some program areas. • Risk areas are identified in the context of outputs and outcomes. 	<ul style="list-style-type: none"> • Some objectives and priorities are linked to specific key corporate and line expectations, and to those responsible for achieving them. • Planning focuses on the need to achieve expected outcomes in select areas. • Many programs have clear and measurable performance expectations in the form of outcomes. • Operational plan identifies horizontal outcomes and recognizes the need for partnering. • Development of measures based on operational needs and strategic plan. • Risk management strategies are applied to some aspects of operational planning (outputs and outcomes). 	<ul style="list-style-type: none"> • All objectives and priorities are linked to corporate and line expectations, and to those responsible for achieving them. • Performance expectations in the form of outcomes are clear and measurable in all areas. • Operational plan for horizontal initiatives has been implemented and informs planning decisions. • Risk management strategies applied to every aspect of operational plan (outputs and outcomes). 	<ul style="list-style-type: none"> • <i>Stage 4 plus:</i> • Performance expectations are regularly reviewed and updated in light of corporate lessons learned and changing circumstances.
Possible indicators	<p>The extent to which planning documents set outcome expectations. The extent to which planning documents set specific targets in terms of outcomes. The type and consistency of performance expectations in planning documents. The extent to which planning documents incorporate statements pertaining to risk management into discussions of results. The extent to which departmental documents incorporate statements pertaining to risk management into discussions of results.</p>				

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element D: Measuring results					
<i>Ongoing measurement</i>	<ul style="list-style-type: none"> Inputs, activities and outputs are measured. 	<ul style="list-style-type: none"> Some key outcome information is gathered in programs. 	<ul style="list-style-type: none"> Key outcome data collected more frequently and systematically. Comparative information (baselines, benchmarks) used to compare present performance with that of earlier periods and/or similar organizations. Measures revised in view of preliminary findings of pilot projects. 	<ul style="list-style-type: none"> Key outcome data regularly collected, validated and related to costs. 	<p><i>Stage 4 plus:</i></p> <ul style="list-style-type: none"> Measures reviewed at specified intervals to identify and correct gaps in performance information.
Possible indicators					
The extent to which measurement initiatives include outcomes information as part of their scope. The extent to which outcomes information is demonstrably measured in the context of specific expectations or plans. The extent to which ongoing systems measure outcome-results.					
<i>Evaluation</i>	<ul style="list-style-type: none"> Evaluation occurs when there is an external requirement. 	<ul style="list-style-type: none"> Evaluation is used in some cases and is only sometimes integrated into measurement strategy. 	<ul style="list-style-type: none"> Evaluation is integrated with the rest of measurement strategy and accepted as a management aid. Strategies for evaluating horizontal initiatives are increasingly considered at the design phase. 	<ul style="list-style-type: none"> Regular evaluation is an integral part of policy and program management. 	<ul style="list-style-type: none"> Same as stage 4.
Possible indicators					
The extent to which evaluations are conducted as a visible part of program management, as compared to the conducting of evaluations to meet a previously agreed external requirement. The extent to which evaluation evidence is integrated into departmental planning, reporting and management functions, such as resource allocation decisions.					

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element E: Reporting on results					
<i>Reporting on Results</i>	<ul style="list-style-type: none"> External reporting is not at all linked with internal management reporting practices.* 	<ul style="list-style-type: none"> External and internal reporting practices share common priorities and outcome areas, but do not reconcile results and resources. External data are reported, analyzed and used on a few occasions for decision making and program management. 	<ul style="list-style-type: none"> External and internal management reporting practices share common priorities and key outcome-results. For the most part, they have a reconcilable linkage between outputs, activities and resources. External data are sometimes reported, analyzed, and used for decision making and program management. 	<ul style="list-style-type: none"> External and internal management reporting share all key priorities, outcomes and outputs, activities, and resource information. Data reported externally used regularly for managing. 	<ul style="list-style-type: none"> Same as stage 4.
Possible indicators	The extent to which external and internal management reporting share common outcome-oriented priorities and key outcome-results. The extent to which external and internal reports consistently link outcome-results to output activities and resource use information. The extent to which data are reported externally, and used in decision making and program management.				
Note	* This refers to reporting beyond the unit, including senior management and public reporting.				

5. Conducting a Self-Assessment

Step 1: Find the worksheets that relate to the Self-Assessment Tool.

On the following pages, you will find worksheets that relate to each element (or sub-element) of the tool.

Step 2: Consider key questions related to the Self-Assessment Tool.

To help assess at which stage you are for each element (or sub-element), consider the key questions (listed on the following page) and what information you would be able to provide to document your response.

Potential sources of information:

- departmental and branch management and performance reports
- budget documents
- minutes of management meetings
- internal communications
- business plans
- strategic plans
- surveys

Step 3: Record evidence.

Once you have gathered enough evidence, record it in the evidence box provided in the individual worksheets.

Step 4: Assess your stage of MFR development.

After all the evidence is gathered, assess the appropriate stage at which your organization is for each element (or sub-element). Place a checkmark on that stage. *(Be sure to consider the evidence in its entirety before deciding on a particular stage.)*

Step 5: Explain your choice.

Provide an explanation of your choice on the individual worksheet.

Step 6: Provide comments.

Provide any comments that you might have on the tool itself. For example, you may wish to comment on:

- the clarity of the cells or indicators in the element or sub-element
- proposed alternative attributes

- proposed changes to specific attributes of the Tool
- proposed changes in wording

Key questions to consider in measuring attributes:

- **Using results to manage**

Use: To what extent is your organization using results information to manage and adjust ongoing operations, strategic plans, policies and resources?

- **Commitment**

Support: To what extent is there tangible support from management for building and strengthening MFR practices?

Leading people for results (human resource management): To what extent is MFR-related training available to managers and staff throughout the organization? To what extent do the appraisal systems in your organization relate individual accomplishments to outcomes? To what extent do your organization's values and ethics reflect an outcome focus?

- **Results-based strategic planning**

Results-based strategic planning: To what extent is there a linkage between the immediate and intermediate outcomes and the organization's strategic outcomes? To what extent are horizontal initiatives reflected in your organization's strategic plans?

Strategic risk management: To what extent is risk management systematically practised in your organization and linked to outcomes?

- **Operational/Business planning**

Implementing the strategic plan: To what extent does your business plan specify organization-wide performance expectations that are clear, concrete and time-bound?

- **Measuring Results**

Ongoing Measurement: To what extent do you measure outcomes? How easy is it to relate these measurements to financial measures? How often is this linking done?

Evaluation: To what extent is evaluation integrated into the management of programs and policies?

- **Reporting on Results**

Reporting on Results: To what extent are the results data used for internal managing and for external reporting? How consistent is the information used for managing with the information reported externally?

6. MFR Self-Assessment Worksheets

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Pivotal characteristic: Using results to manage					
<i>Use of results information in managing</i>	<ul style="list-style-type: none"> Activity and output information used by managers in a few programs to modify operations. Outcomes play no role in decision making. Ongoing dialogue on Public Service values and ethics. 	<ul style="list-style-type: none"> Activity and output information used in some programs to modify operations. Outcome information considered in a few management decisions for modifying operations, re-allocating resources, and revising strategies and policies. Public Service values understood and linked to the achievement of results. 	<ul style="list-style-type: none"> Activity and output information used frequently to modify program operations. Some information on outcomes and the capacity to continue delivering them is analyzed and used in decisions of corporate and line management on modifying operations, re-allocating resources, and revising strategies and policies. 	<ul style="list-style-type: none"> Information on outcomes and the capacity to continue delivering them (as well as the means used to achieve them^a) is frequently analyzed and used in decision making for modifying operations, re-allocating resources, and revising strategies and policies. The type of outcome and related performance information being gathered is reviewed and adjusted. 	<ul style="list-style-type: none"> Performance information^b on outcomes is routinely and consistently analyzed and used (as a matter of course) for decisions throughout the organization on modifying operations, re-allocating resources, and revising strategies and policies. The type of outcome and related performance information being gathered is reviewed and adjusted.
Possible indicators	The extent to which evidence and analysis of outcome results are used to support planning, design, delivery and resource allocation decisions.				
Notes					
^a	"Means" used to deliver results include Public Service values and ethics, propriety, stewardship and treating people fairly.				
^b	"Performance information," in addition to results, includes the means used to deliver results and information on the capacity (in terms of people and assets) to continue delivering the results.				

<p>Key question to consider <i>Use: To what extent is your organization using results information to manage and adjust ongoing operations, strategic plans, policies and resources?</i></p>	<p>Support/evidence (Steps 3 and 4)</p>	<p>Explanation (Step 5)</p>	<p>Comments on attributes (Step 6)</p>
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MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element A: Commitment to results					
<i>Support</i>	<ul style="list-style-type: none"> Deputy or assistant deputy head (or equivalent) verbally commits to building capacity to manage for results. Organization unit head verbally commits to building capacity to manage for results. 	<ul style="list-style-type: none"> With managers aware of and committed to managing for results, pilots or other test initiatives are undertaken. 	<ul style="list-style-type: none"> Champions or leaders that promote MFR practices are identified and encouraged to visibly show the benefits of managing for results in their organizations. 	<ul style="list-style-type: none"> Strong support for building and testing MFR abilities and management systems. Senior managers demand performance information for improving results abilities and management systems. 	<ul style="list-style-type: none"> Support at all levels for periodic adjustment of the organizational infrastructure to sustain MFR practices.
Possible indicators	The extent to which supportive statements are made by key managers with respect to managing for results. The extent to which human resource time is spent on MFR initiatives. The level of financial support for MFR initiatives. The extent, seriousness and diversity of MFR initiatives.				

Key question to consider

Support: To what extent is there tangible support from management for building and strengthening MFR practices?

Support/evidence (Steps 3 and 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
<i>Leading people for results</i>	<ul style="list-style-type: none"> Limited or no training on managing for results. Performance appraisal systems, including rewards and recognition, linked to the spending of resources (inputs), as well as activities and outputs. 	<ul style="list-style-type: none"> MFR training needs identified; training packages developed and some training provided (basic training and technical skills). Performance appraisal systems linked primarily to outputs and a few outcomes. There is a general awareness of the goals/objectives of the organization. 	<ul style="list-style-type: none"> MFR training provided to key managers and functional experts. Performance appraisal systems linked to outcomes in some areas. All staff have a commonly shared vision of the results that the organization is trying to achieve. 	<ul style="list-style-type: none"> MFR training available to all managers and staff. Performance appraisal systems linked to outcomes in all areas. All staff have a commonly shared vision of the results of the organization and understand their role in achieving these results. 	<ul style="list-style-type: none"> Stage 4 plus: Training adjusted for lessons learned and best practices. The capacity to manage people to achieve sustained results is constantly monitored and adjusted.
Possible indicators	<p>The availability of MFR training packages, developed for the organization. The level of investment in MFR training and development. The investment in human resources (training days) made by the organization. The percentage of staff taking part in MFR training initiatives. The extent to which individual performance records make reference to outcome results (% as compared to activities). The extent to which appraisals draw on and use outcomes information.</p>				

Key questions to consider

Leading people for results (human resources management): To what extent is MFR-related training available to managers and staff throughout the organization? To what extent do the appraisal systems in your organization relate individual accomplishments to outcomes? To what extent do your organization's values and ethics reflect an outcome focus?

Support/evidence (Steps 3 and 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element B: Results-based strategic planning					
<i>Results-based strategic planning</i>	<ul style="list-style-type: none"> Organizational objectives defined and prioritized. Planning and performance focussed on outputs 	<ul style="list-style-type: none"> Organizational objectives and priorities logically linked to some key outcomes, as demonstrated through a results chain or logic model. 	<ul style="list-style-type: none"> Strategic planning framework links all immediate, intermediate and end outcomes. Strategic planning framework used as a tool in all planning (including human resources, assets, etc.). Strategic plan identifies horizontal outcomes and recognizes the need for partnering. 	<ul style="list-style-type: none"> Strategic planning framework informs planning decisions. Strategic planning framework for horizontal initiatives has been implemented and informs planning decisions. 	<p><i>Stage 4 plus:</i></p> <ul style="list-style-type: none"> Strategic planning framework is central to planning, and is routinely reviewed and updated on the basis of lessons learned and changing circumstances.
Possible indicators	<p>The extent to which planning documents describe outcomes for organizational objectives. The extent to which a results chain is formed, leading from activities and outputs (under the control of operational processes) to a sequence of logical outcomes that are subject to decreasing organizational influence. The extent to which planning documents across various levels and groups consistently refer to outcomes and results chains.</p>				

Key questions to consider

Results-based strategic planning: To what extent is there a linkage between the immediate and intermediate outcomes and the organization's strategic outcomes? To what extent are horizontal initiatives reflected in your organization's strategic plans?

Support/evidence (Steps 3 & 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
<i>Strategic risk management</i>	<ul style="list-style-type: none"> General awareness of broad risks to the organization is not focussed on outcomes. 	<ul style="list-style-type: none"> Environmental scan identifies key risks in terms of outputs and outcomes. 	<ul style="list-style-type: none"> Risk management is practised but not linked to department-wide outcomes. 	<ul style="list-style-type: none"> Integrated risk management is linked to department-wide outcomes, and is integrated into the strategic planning process and resource allocation cycle. 	<ul style="list-style-type: none"> <i>Stage 4 plus:</i> Outcome information informs the periodic update of the risk profile of the entire organization. Results of integrated risk management support learning and the continuous improvement of the organization.
Possible indicators	<p>The extent to which there is documented evidence of an environmental scan for risks to the organization. The extent to which there is a uniform approach to managing risk. The extent to which risk management is incorporated into the existing management processes, and the frequency with which the results of risk management inform the periodic update of the organization's risk profile.</p>				

Key question to consider

Strategic risk management: To what extent is risk management systematically practised in your organization and linked to outcomes?

Support/evidence (Steps 3 & 4)	Explanation (Step 5)	Comments on attributes (Step 6)
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MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element C: Operational/business planning					
<i>Implementing the strategic plan</i>	<ul style="list-style-type: none"> • Program performance expectations set in terms of outputs. • Few program performance targets. • Most performance expectations are clear but few are measurable. 	<ul style="list-style-type: none"> • Corporate and line expectations or standards identified and linked to objectives and priorities. • Performance expectations are clear and measurable in some program areas. • Risk areas are identified in the context of outputs and outcomes. 	<ul style="list-style-type: none"> • Some objectives and priorities are linked to specific key corporate and line expectations, and to those responsible for achieving them. • Planning focuses on the need to achieve expected outcomes in select areas. • Many programs have clear and measurable performance expectations. • Operational plan identifies horizontal outcomes and recognizes the need for partnering. • Development of measures based on operational needs and strategic plan. • Risk management strategies are applied to some aspects of operational planning (outputs and outcomes). 	<ul style="list-style-type: none"> • All objectives and priorities are linked to corporate and line expectations, and to those responsible for achieving them. • Performance expectations (aligned to outcomes) are clear and measurable in all areas. • Operational plan for horizontal initiatives has been implemented and informs planning decisions. • Risk management strategies applied to every aspect of operational plan (outputs and outcomes). 	<ul style="list-style-type: none"> • Stage 4 plus: • Performance expectations are regularly reviewed and updated in light of corporate lessons learned and changing circumstances.
Possible indicators	<p>The extent to which planning documents set outcome expectations. The extent to which planning documents set specific targets in terms of outcomes. The type and consistency of performance expectations in planning documents. The extent to which planning documents incorporate statements pertaining to risk management into discussions of results. The extent to which departmental documents incorporate statements pertaining to risk management into discussions of results.</p>				

Key question to consider

Implementing the strategic plan: To what extent does your business plan specify performance expectations across the organization that are clear, concrete and time-bound?

Support/evidence (Steps 3 and 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element D: Measuring results					
<i>Ongoing measurement</i>	<ul style="list-style-type: none"> Inputs, activities and outputs are measured. 	<ul style="list-style-type: none"> Some key outcome information is gathered in programs. 	<ul style="list-style-type: none"> Key outcome data collected more frequently and systematically. Comparative information (baselines, benchmarks) used to compare present performance with that of earlier periods and/or similar organizations. Measures revised in view of preliminary findings of pilot projects. 	<ul style="list-style-type: none"> Key outcomes regularly collected, validated and related to costs. 	<ul style="list-style-type: none"> Stage 4 plus: Measures reviewed at specified intervals to identify and correct gaps in performance information.
Possible indicators					
The extent to which measurement initiatives include outcomes information as part of their scope. The extent to which outcomes information is demonstrably measured in the context of specific expectations or plans. The extent to which ongoing systems measure outcome-results.					

Key questions to consider

Ongoing measurement: To what extent do you measure outcomes? How easy is it to relate these measurements to financial measures? How often is this linking done?

Support/evidence (Steps 3 and 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element D: Measuring results					
<i>Evaluation</i>	<ul style="list-style-type: none"> Evaluation occurs when there is an external requirement. 	<ul style="list-style-type: none"> Evaluation is used in some cases and is only sometimes integrated into measurement strategy. 	<ul style="list-style-type: none"> Evaluation is integrated with the rest of measurement strategy and is accepted as a management aid. Strategies for evaluating horizontal initiatives are increasingly considered at the design phase. 	<ul style="list-style-type: none"> Regular evaluation is an integral part of policy and program management. 	<ul style="list-style-type: none"> Same as stage 4.
Possible indicators					
The extent to which evaluations are conducted as a visible part of program management, as compared to the conducting of evaluations to meet a previously agreed external requirement. The extent to which evaluation evidence is integrated into departmental planning, reporting and management functions, such as resource allocation decisions.					

Key question to consider

Evaluation: To what extent is evaluation integrated into the management of programs and policies?

Support/evidence (Steps 3 & 4)	Explanation (Step 5)	Comments on attributes (Step 6)

MFR Self-Assessment Tool Worksheet

	Stage 1 Awareness	Stage 2 Exploration	Stage 3 Transition	Stage 4 Full implementation	Stage 5 Continuous learning
Element E: Reporting on results					
<i>Reporting on Results</i>	<ul style="list-style-type: none"> External reporting is not at all linked with internal management reporting practices.* 	<ul style="list-style-type: none"> External and internal reporting practices share common priorities and outcome areas, but do not reconcile results and resources. External data are reported, analyzed, and used on a few occasions for decision making and program management. 	<ul style="list-style-type: none"> External and internal management reporting practices share common priorities and key outcome-results. For the most part, they have a reconcilable linkage between outputs, activities and resources. External data are sometimes reported, analyzed, and used for decision making and program management. 	<ul style="list-style-type: none"> External and internal management reporting share all key priorities, outcomes and outputs, activities, and resource information. Data reported externally used regularly for managing. 	<ul style="list-style-type: none"> Same as stage 4.
Possible indicators	The extent to which external and internal management reporting share common outcome-oriented priorities and key outcome-results. The extent to which external and internal reports consistently link outcome-results to output activities and resource use information. The extent to which data are reported externally and used in decision making and program management.				
Note	This refers to reporting beyond the unit, including senior management and public reporting.				

Key questions to consider

Reporting on results: To what extent are the results data used for internal managing and for external reporting? How consistent is the information used for managing with the information reported externally?

Support/evidence (Steps 3 & 4)	Explanation (Step 5)	Comments on attributes (Step 6)
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7. MFR Self-Assessment Chart

Use this like a Gant chart. Shade the boxes up to the level assessed. After completing the form, you will have a better idea of what particular facets of your organization are strong in MFR and where the weaknesses are. The table will give you some idea of where an action plan for implementing MFR can focus. The detailed self-assessment may provide more information on weaknesses.

To get a sense of where you stand overall, focus on the first element, "Using results to manage." You can either average out the findings to give you a relatively optimistic indication of transition level, or use an audit approach by selecting the lowest stage at which you are in this element.

Elements	Sub-elements	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Using results to manage	(no sub-elements)					
A: Commitment to results	1. Support					
	2. Leading people for results					
B: Results-based strategic planning	1. Strategic planning for results					
	2. Strategic risk management					
C: Operational/business planning	1. Implementing the strategic plan					
D: Measuring results	1. Ongoing measurement					
	2. Evaluation					
E: Reporting on results	(no sub-elements)					

ANNEX – Consultations

This project had its genesis in the work of the Montebello Group of senior public servants,³ who provided ongoing steering and oversight. The Montebello Working Group created by them provided advice to help refine the Tool.

In February 2002, consultations were also held with a small group of officers who were MFR leaders at Agriculture and Agri-Food Canada, the Canada Customs and Revenue Agency, Canadian Heritage, Industry Canada, Indian and Northern Affairs, and Transport Canada. The focus was on the lessons they had learned while pioneering MFR practices. Following are highlights of their comments:

- MFR is not easy to implement.
- You know you are progressing when people:
 - spend a lot of time trying to “get it right”;
 - are put on teams specifically to work on MFR and they take ownership of the process; and
 - appropriately challenge what goes into a corporate business plan.
- It’s important to report on results.
- Commitment to MFR by senior managers will invigorate the team under them.
- This Tool can be used as:
 - a marketing tool;
 - an assessment tool;
 - a tool to develop an action plan; or
 - a tool to measure the progress of a program.
- A problem-solving approach can help create a practical results focus for line groups.
- The use of a logic model or results chain has helped groups to focus on appropriate outcomes.
- A key is consistent, harmonized involvement and support across corporate and line functions, as well as between regions and headquarters.
- Community ownership of the risk-results approach is important; all levels must see themselves in the approach.
- A significant resource effort is required at all levels among all groups.

³ Including Maria Barrados, Jennifer Benimadhu, Ivan Blake, Bob Cook, Keith Coulter, Bruce Deacon, Carolyn Farquhar, Jean-Pierre Gauthier, Paul Gauvin, Blair Haddock, Sherry Harrison, Cathy Livingstone, John Mayne, Lee McCormack, John McLure, Janet Milne, Bruce Sloan and Judy Watling, as well as Chris Mihm and Sarah Veale from the General Accounting Office in the United States.

- The clear and consistent integration of management concepts into a few key management processes is important.
- Patience and persistence pay off.

The project team gratefully acknowledges the donation of time and useful feedback received from those consulted as part of this process⁴:

David Enns
Aileen Pangilinan
Tim LaForce
Gail Young

Vincent Ngan
Karen Swol
Paulette Panzeri
Robert McDonald

John Platts
Bryan Mclean
Joyce Hue

⁴ Work on managing for results in the United States was kindly provided to us by the Government Performance Project at Syracuse University.