Guide for the Development of Results-based Management and Accountability Frameworks

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Section 1.   Introduction to the Results-based Management and Accountability Framework

This is a guide to assist managers and evaluation specialists in establishing a foundation to support a strong commitment to results, a prime responsibility of public service managers. As outlined in the management framework for the federal government, *Results for Canadians*, public service managers are expected to define strategic outcomes, continually focus attention on results achievement, measure performance regularly and objectively, learn from this information and adjust to improve efficiency and effectiveness.

The Results-based Management and Accountability Framework (RMAF) is intended to serve as a blueprint for managers to help them focus on measuring and reporting on outcomes throughout the lifecycle of a policy, program or initiative. This document describes the components of a Results-based Management and Accountability Framework and to offer some guidance to managers and evaluation specialists in their preparation.

1.1   What is a RMAF?

Whether related to a policy, program or initiative, a Results-based Management and Accountability Framework is intended to help managers:

❑   describe clear roles and responsibilities for the main partners involved in delivering the policy, program or initiative — a **sound governance structure**;

❑   ensure clear and logical design that ties resources to expected outcomes – a **results-based logic model** that shows a logical sequence of activities, outputs and a chain of outcomes for the policy, program or initiative;

❑   determine appropriate performance measures and a **sound performance measurement strategy** that allows managers to track progress, measure outcomes, support subsequent evaluation work, learn and, make adjustments to improve on an ongoing basis;

❑   set out any **evaluation work** that is expected to be done over the lifecycle of a policy, program or initiative; and

❑   ensure **adequate reporting** on outcomes.

If successfully developed, the Framework should represent:

❑   an understanding between the partners on what they aim to achieve, how they plan to work together to achieve it, and how they will measure and report on outcomes;

❑   a tool for better management, learning and accountability throughout the lifecycle of a policy, program or initiative; and

❑   an early indication that the policy, program or initiative is set up logically — with a strong commitment to results — and with a good chance to succeed.

1.2   Why Do We Need a RMAF?

The management framework for the federal government, *Results for Canadians*, sets up the expectation that managers will focus on measuring progress toward the attainment of the results of their policies, programs and initiatives such that ongoing improvements can be made. The Treasury Board (TB) *Policy on Transfer Payments*[1] formalises the requirement for a RMAF as part of a TB submission, and the TB *Evaluation Policy*[2] indicates that there are other occasions when a RMAF may provide benefits to managers, even when not required under the TB *Policy on Transfer Payments*.

The Government direction and policy is to provide members of Parliament and the public with relevant, accurate, consolidated, and timely information on how tax dollars are being spent and what Canadians receive as a result. The Government of Canada is committed not only to measuring and reporting on results, but also to establishing clear standards against which actual performance will be reported.

Three parliamentary instruments are crucial in working towards these objectives. Departmental Reports on Plans and Priorities (RPP), which are tabled in the spring along with the government's Main Estimates, report on the rationale for initiatives and establish the strategic outcomes against which actual performance will be measured. Departmental Performance Reports (DPR) are Estimates documents, which are tabled in the fall. They report on achievements against the strategic outcomes that were established in the departmental RPP. The third key document is Managing for Results which is also tabled each fall, along with the DPR, as part of the "Fall Reporting Package." This government-wide report on performance is now being refocused to summarise Canada's progress within a set of key societal indicators.

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[1] http://www.tbs-sct.gc.ca/Pubs_pol/dcgpubs/TBM_142/ptp_e.html
[2] http://www.tbs-sct.gc.ca/pubs_pol/dcgpubs/TBM_161/ep-pe_e.html

All three of these reports are tabled in Parliament by the President of the Treasury Board and may be referred to the relevant Standing Committee of the House of Commons for further review.

The form and focus of departmental planning and reporting is drawn from an organisation's Planning, Reporting and Accountability Structure (PRAS). The Departmental PRAS, a Treasury Board approved document, provides the framework by which the RPP and DPR are developed and resources are allocated to most federal organisations. The PRAS requires departments and agencies to clearly outline the shared outcomes they want to achieve on behalf of Canadians.

The RMAF should be prepared at the outset of a policy, program or initiative, ideally at the time when decisions are being made about design and delivery approaches. When the RMAF is part of a Treasury Board submission, it's approval is implicit. RMAFs prepared outside a Treasury Board submission process, however, need to proceed through an approval process given that the RMAF represents a serious commitment to results measurement and reporting.

In order to better meet commitments under the *Social Union Framework Agreement (SUFA)*[3] to improve accountability and transparency to Canadians, managers should consult the *SUFA Accountability Template*[4] in the development of RMAFs. This comprehensive template, which reflects all aspects of SUFA accountability provisions, is the basis of a pilot project in support of the Federal Government's SUFA accountability commitments.

Although RMAFs generally address most of the measurement and reporting requirements in the SUFA template, there are specific areas that may require examination. These include areas related to: mechanisms to engage Canadians in the development and review of social policies and outcomes; establishment of mechanisms for Canadians to appeal administrative practices;   use of comparable indicators where appropriate; and tracking Canadians' understanding of the Federal contribution to policies, programs and initiatives.

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[3] http://socialunion.gc.ca
[4] http://www.tbs-sct.gc.ca/rma/account/SUFA_Template.htm
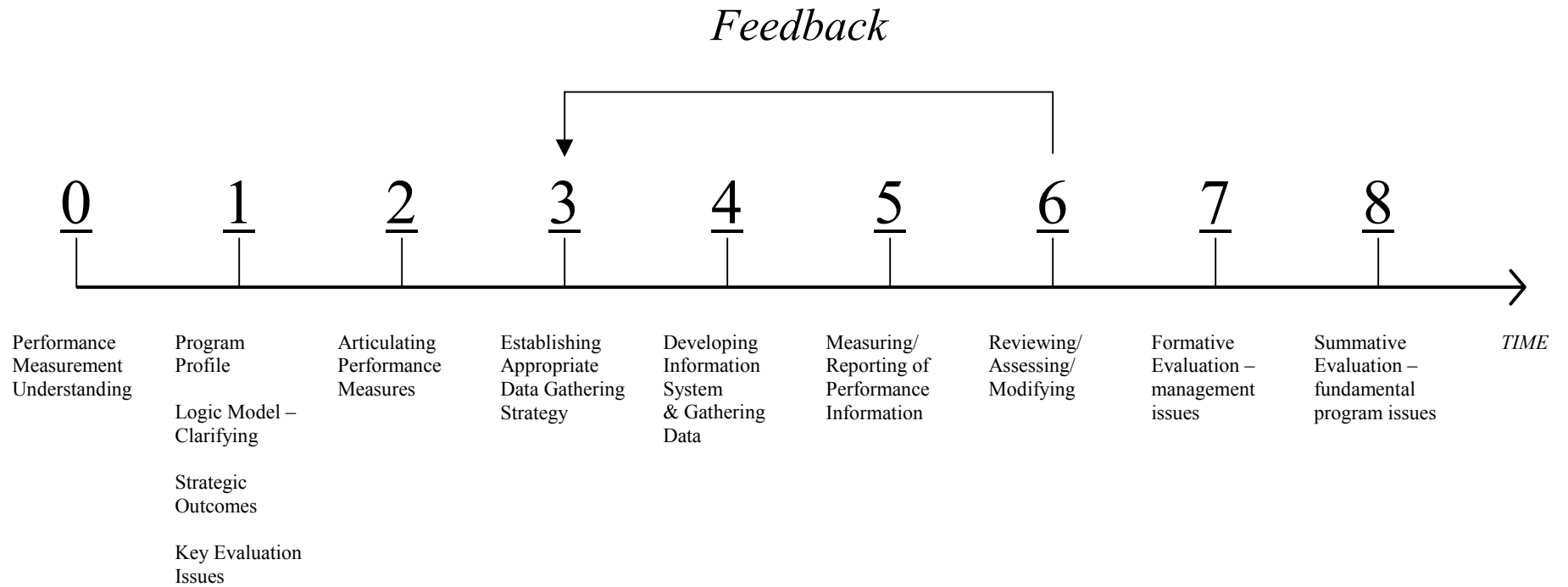
1.3   Continuum of Results Measurement

The measurement of results is not an isolated activity. Rather, the process of measuring results begins with the design of a policy, program or initiative and evolves over time. Different results-measurement activities occur at different points in time, but always as part of the ongoing management of a policy, program or initiative. This continuum, from the initial consideration of performance measurement, through performance monitoring to formative and summative evaluation, is presented in Exhibit 1.1.

The diagram offers a pictorial view of the key stages and the process required to develop performance measures for any given policy, program or initiative. While shown as a linear process, it must be stated that performance measurement development is iterative and therefore review and feedback are critical parts of the process.

The development of a RMAF would involve stages 0 to 3 in this continuum — in essence, establishing the commitment for outcomes measurement. This is not an end in itself however. The ability to measure and report on results requires the 'implementation' of the RMAF – and this takes managers through stages 4 to 6, and lays the groundwork for evaluation activities (i.e. stages 7 and 8).

While program managers are accountable and need to be integrally involved in every stage, most organisations have specialists who can facilitate the development and implementation of results measurement. Notably, evaluators, key to stages 7 and 8, can also play a useful facilitation role in stages 0, 1 and 2. Likewise, information management specialists could be key advisors in stages 3 and 4. This is discussed in more detail in a later section of this Guide.

EXHIBIT 1.1
The Results Measurement Continuum
Key Stages to the Development/Implementation for Any Given Policy, Program or Initiative

Feedback

0	1	2	3	4	5	6	7	8

TIME

Performance Measurement Understanding	Program Profile	Articulating Performance Measures	Establishing Appropriate Data Gathering Strategy	Developing Information System & Gathering Data	Measuring/ Reporting of Performance Information	Reviewing/ Assessing/ Modifying	Formative Evaluation – management issues	Summative Evaluation – fundamental program issues
	Logic Model – Clarifying							
	Strategic Outcomes							
	Key Evaluation Issues							

1.4   Who Should Be Involved in the Development of a RMAF?

There are three key parties involved in the development and implementation of a Results-based Management and Accountability Framework: managers, evaluation specialists and, in the case of those involving Treasury Board submissions, analysts of the Treasury Board Secretariat.

Managers hold the primary responsibility for the development of the RMAF. Managers are:

- ❑ responsible for ensuring that the content of the framework is accurate and that it reflects the design and operation of the policy, program or initiative, as well as all reporting requirements; and

- ❑ responsible for implementing the RMAF, that is, ensuring that data are collected and reported on accordingly.

Evaluation specialists can be an effective support to managers in this process:

- ❑ working with managers, evaluators can provide important guidance and technical expertise throughout the development and implementation of the Results-based Management and Accountability Framework; and

- ❑ assisting in the development of the logic model, facilitating development of an appropriate set of performance measures and advising on key methodologies and measurement issues implicit in the performance measurement and evaluation strategies.

When RMAFs are developed to meet a Treasury Board commitment, **analysts of the Treasury Board Secretariat** can advise departmental managers and evaluators on general requirements related to the framework before it is approved by the departmental Minister and submitted to the Board. As such, it may be helpful to consult with this group during the preparation of a RMAF.

1.5   What are the Guiding Principles for this Process?

The development and implementation of a Results-based Management and Accountability Framework should be conducted under the following guiding principles:

❑   *utility* — to ensure that managers can use the framework to explain their policies, programs and initiatives to Canadians and to institute sound performance measurement approaches and manage for results.

❑   *shared ownership* — to meet the needs of all stakeholders and with the active involvement of managers, to ensure that information needs of managers, as well as formal accountability requirements are met;

❑   *transparency* — to ensure that all stakeholders understand what outcomes are expected as well as how and when they will be measured;

❑   *decision- and action-oriented* — to ensure that information needed by managers and other stakeholders is available when it is required for key decisions;

❑   *credibility* — to ensure that professional standards[5] are adhered to and that the framework establishes realistic commitments for measurement and reporting; and

❑   *flexibility* — to respond to the ever-changing context within which policies, programs and initiatives operate, the framework needs to be regularly revisited and adapted as necessary.

While there is not a specific required length for a RMAF, to be most useful the final document should consist of a concise presentation of each of the necessary components of a RMAF. A framework might be as short as 10 to 15 pages and, preferably, no longer than 30 to 35 pages. Managers should use their judgement in making decisions about the level of detail required, considering issues such as whether the information exists elsewhere (and thus does not need to be replicated in great detail) and maximising the probability that the document will be utilised (thereby restricting length to a manageable size).

The next sections of this document guide the reader through the components of a RMAF and the steps involved in their development. Key concepts from a lexicon developed for use by Treasury Board in the context of performance measurement and evaluation are presented in Annex A.

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[5]   See for example, Appendix B: <u>Evaluation Standards for the Government of Canada</u>, of the Treasury Board *Evaluation Policy*

Section 2.   Components of a RMAF

The Results-based Management and Accountability Framework addresses the requirement for both ongoing performance measurement as well as the need for longer-term evaluation planning. Ultimately, the Framework incorporates the principles of performance measurement and evaluation into all stages of policy, program or initiative management.

The Results-based Management and Accountability Framework contains several components:

1. **Profile** — a concise description of the policy, program or initiative, including a discussion of the background, need, target population, delivery approach, resources, governance structure and planned results.

2. **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[6] outcomes.

3. **Ongoing Performance Measurement Strategy** — a plan for the ongoing measurement of performance, including the identification of indicators for the outputs and outcomes in the logic model and a measurement strategy describing how these indicators will be collected, how often and at what cost.

4. **Evaluation Strategy** — a plan for the evaluation of the policy, program or initiative, including the identification of formative and summative evaluation issues and questions, the identification of associated data requirements, and a data collection strategy which will serve as the foundation for subsequent evaluation activities.

5. **Reporting Strategy** — a plan to ensure the systematic reporting on the results of ongoing performance measurement as well as evaluation, to ensure that all reporting requirements are met.

For each component, the purpose, a suggested process to be undertaken in developing it, and the product of the process are described in the next section.

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[6]   Note: The word "final" is used in this Guide to denote the broad, longer term outcomes of a policy, program, or initiative.

Section 3.   Steps in the Process of Developing a RMAF

The preparation of a Results-based Management and Accountability Framework is a systematic and methodical process through which various aspects of a policy, program or initiative and its performance are considered. This section of the Guide takes managers and evaluation specialists through the distinct steps in this process — the product of each step being a key element of the final framework.

Criteria for the self-assessment of a Results-based Management and Accountability Framework are presented in Annex B. These criteria can be used to help make decisions about the content and level of comprehensiveness to include in a framework. Treasury Board Secretariat analysts will use these criteria as they assess the frameworks submitted to Treasury Board.

3.1   Profile

a.   Purpose

This section of the framework concisely describes the policy, program or initiative. This description should provide to an independent reader a clear understanding of what the policy, program or initiative is intended to achieve as well as an appreciation for how it intends to do so. A necessary part of this is to clearly set the context. Thus, the profile should include brief descriptions of the:

- ❑ **origin** of the policy, program or initiative and a demonstration of the identified need to which the policy, program or initiative responds;
- ❑ **delivery approach**, including a clear statement of the roles and responsibilities of the main partners and how the policy, program, or initiative is intended to reach its clientele;
- ❑ **resources** allocated to the organisation over the funding period and how the funds will be used to implement the policy, program or initiative over this period;
- ❑ primary intended **beneficiaries** (the clients or target population);
- ❑ **planned results** (the benefits that departments have committed to over the funding period);
- ❑ **final outcomes** (which could also be strategic outcomes) to be achieved, or benefits intended to be provided to citizens through a policy, program or initiative; and

❑   **governance structure**, from the perspective of accountability and particularly in the context of policies, programs or initiatives which involve multiple partners. Who are the key stakeholders and what are their roles and responsibilities?

b.   Process

Much of the work required to complete the profile is often carried out during the development of initial planning documents for the policy, program or initiative. Thus, the profile development process often consists of the review of existing documentation, including Business Plans or MOUs. Some of the necessary information however, will not have been developed for these other purposes and will have to be prepared as part of the profile.

Managers, designers and delivery personnel, and other knowledgeable stakeholders should be consulted through interviews or other forms of discussion. These consultations provide a perspective on whether the "document-based" profile matches the "reality-based" profile of the policy, program or initiative, according to those who know it best. As such, the consultations help to clarify whether there have been any adjustments to the design of the policy, program or initiative or to the target client group during implementation, as well as whether there is agreement among all partners as to strategic outcomes. Further, these consultations can help to fill in gaps in the necessary profile information.

c.   Product

The profile should be a concise description of the policy, program or initiative which gives an independent reader a clear understanding of what it intends to achieve, why, with what resources and what target population it intends to reach. It should also clearly describe the delivery strategy and the governance structure for the policy, program or initiative.

3.2   Logic Model

a.   Purpose

A logic model identifies the linkages between the activities of a policy, program or initiative and the achievement of its outcomes. It succinctly clarifies the set of activities that make up a policy, program or initiative and the sequence of outcomes that are expected to flow from these activities. As such, a logic model serves as a "roadmap", showing the chain of results connecting activities to the final outcomes and, thus, identifying the steps that would demonstrate progress toward their achievement. The logic model serves as a tool with multiple uses:

- ❑ to clarify for managers and staff the linkages between activities, outputs and the expected outcomes of the policy, program or initiative. In so doing, it will serve to clarify and distinguish the expected immediate, intermediate and ultimate outcomes;

- ❑ to communicate externally about the rationale, activities and expected results of the policy, program or initiative;

- ❑ to test whether the policy, program or initiative "makes sense" from a logical perspective; and

- ❑ to provide the fundamental backdrop on which the performance measurement and evaluation strategies are based (i.e., determining what would constitute success).

b.   Process

The recommended process for developing a logic model is to undertake methodical, interactive and inclusive work with knowledgeable personnel in the area.

- ❑ Managers should consider partnering with their departmental or agency evaluation specialists in the development of the logic model. The combination of the subject area expertise of policy, program or initiative personnel with the logic model experience of evaluators affords an effective way of developing such a model in a timely fashion.

To develop a logic model, it is necessary to identify each of the following components:

- ❑ *Activities* — What are the key activities that staff are engaged in under the policy, program or initiative? That is, what are the key activities intended to contribute to the achievement of the outcomes (as opposed to the administrative activities necessarily undertaken to provide the infrastructure for the policy, program or initiative)

❑   ***Outputs*** — What are the outputs of the key activities. That is, what demonstrates that the activities have been undertaken? Outputs are the products or services generated by the activities and they provide evidence that the activity did occur.

❑   ***Immediate outcomes*** —What are the short-term outcomes that stem from the activities and outputs? Outcomes in a logic model typically have an action word associated with them (e.g., "increased", "improved") and represent the consequences of the activities and outputs.

❑   ***Intermediate outcomes*** — What are the next links in the chain of outcomes that occur, flowing from the activities and outputs and occurring after the immediate outcomes have been achieved? These outcomes could be considered to be medium-term.

❑   ***Final outcomes*** — What are the final outcomes of the policy, program or initiative, or, why are these activities being engaged in? These are generally outcomes that take a longer time period to be realised, are subject to influences beyond the policy, program or initiative itself, and can also be at a more strategic level.

It is important to realise that the logic model represents a diagram of the policy, program or initiative theory, that is, how a set of activities is expected to lead to the intended outcomes. There are some elements of policies and initiatives, however, which are not typically depicted in a logic model. These elements which are not included are:
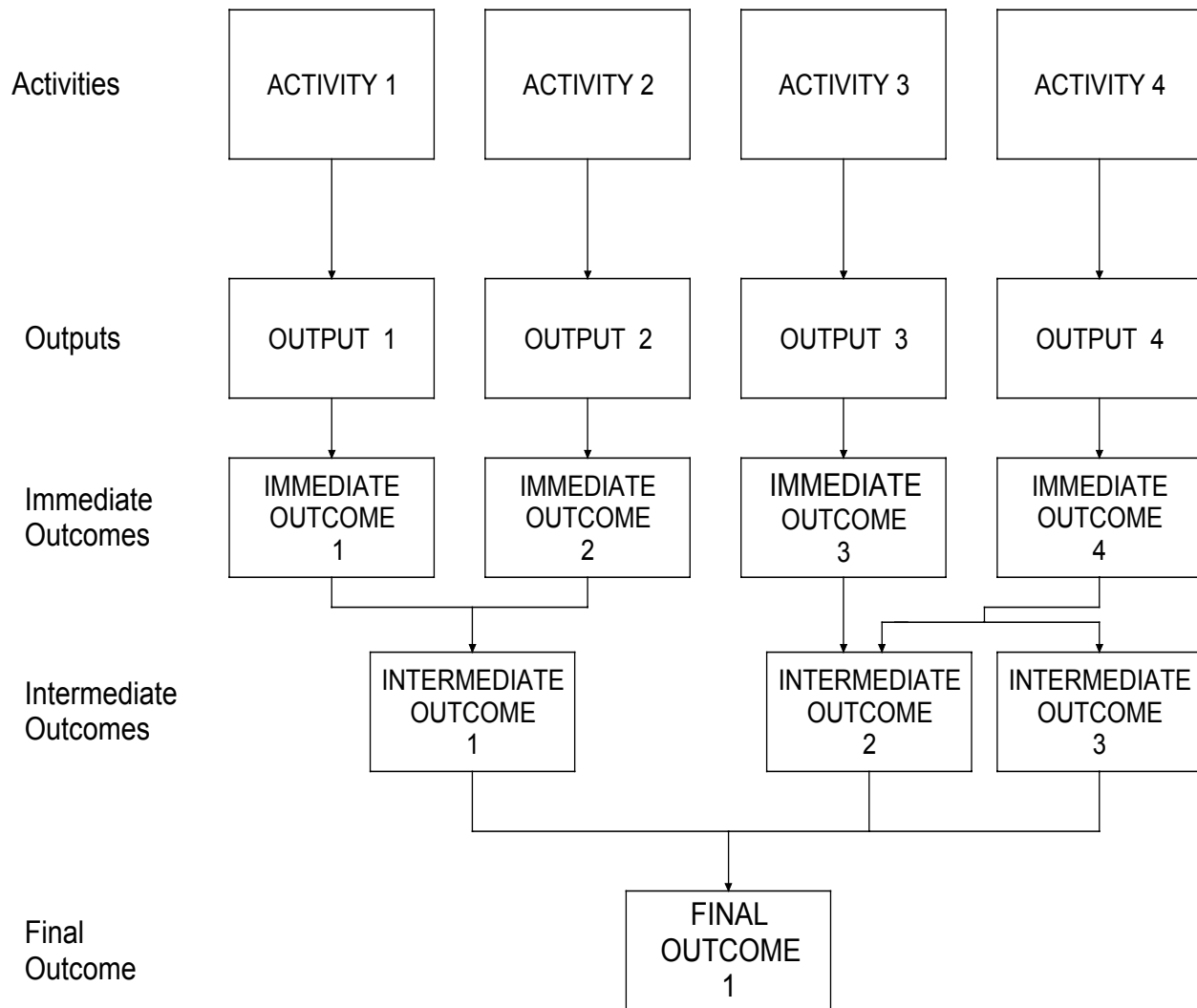
❑   the specific, step-by-step operational details about how a policy, program or initiative is delivered; and

❑   organisational or infrastructure-related activities, which are also focused on process and include activities such as hiring staff, purchasing equipment or carrying out accountability responsibilities — although these are crucial policy, program or initiative activities, they are not included in the logic model.

To develop a logic model, the team needs to identify, in turn, the key elements in each of these components of the logic model. One effective process is to develop the model in a group working session, facilitated by an evaluation specialist. Individuals with different perspectives from the policy, program or initiative would then contribute to the development of the model. Depending on the complexity of the policy, program or initiative, the full model could be elaborated in a one- or two-day session. The final product would represent a shared understanding of the underlying logic of the policy, program or initiative.

There are several different styles of logic model presentation, and each organisation should use the format most appropriate for their internal audience. Flexibility is paramount, as long as the core components of the logic model are presented (i.e., activities, outputs and outcomes). For example, some organizations may choose to present their logic model in a table rather than in the flow chart style presented here

(Exhibit 3.1). Similarly, there is no specific number of levels of outcomes that need to be presented. While many logic models show the three described here (immediate, intermediate and final), some may only have two, while others may have more. The determining factor is whether the logic model appropriately depicts the sequence of outcomes resulting from the activities and outputs. Two possible versions of logic models are presented in Exhibits 3.1 and 3.2 below.

EXHIBIT 3.1
"Flow Chart" Logic Model

Activities	ACTIVITY 1	ACTIVITY 2	ACTIVITY 3	ACTIVITY 4
Outputs	OUTPUT 1	OUTPUT 2	OUTPUT 3	OUTPUT 4
Immediate Outcomes	IMMEDIATE OUTCOME 1	IMMEDIATE OUTCOME 2	IMMEDIATE OUTCOME 3	IMMEDIATE OUTCOME 4
Intermediate Outcomes	INTERMEDIATE OUTCOME 1		INTERMEDIATE OUTCOME 2	INTERMEDIATE OUTCOME 3
Final Outcome		FINAL OUTCOME 1		

The format suggested by Exhibit 3.1 is to present the information of a logic model in a diagram which resembles a flow chart. In this format, each component is presented across a row of the model. The expected chain of events from the activities through to the final outcomes appears as the linkages connecting the boxes.

Using this approach to logic model development, members of the team would first brainstorm about what they see as the key activities of their policy, program or initiative. The results of the individual brainstorming are then shared and discussed as a group, and a final set of agreed-upon activities is identified as the first row of the model. This row would be the top row in Exhibit 3.1.

The members of the team then return to individual brainstorming to identify the outputs that are associated with each of the already-identified activities of the policy, program or initiative. An activity might have several different outputs (goods and services or other products), and there will be one set of outputs for each activity box in the top row of the model. Again, the results of the individual brainstorming are shared and discussed and a final set of agreed-upon outputs added to the model, as the second row.

This process is repeated for each subsequent component: in particular, the immediate and intermediate outcomes. Thus, participants brainstorm about what would be the first outcomes they would expect to see happen because of the activities and outputs. Following discussion and agreement, the group would move to the next level of outcomes in the chain of results. Finally, the logic model should end with the identification of the final outcomes.

Experience has shown that some groups may find it useful to start their logic model work with the identification of final outcomes, that is, to begin with this last row of the model, and then move to the activities and work down, to fill in the middle of the model. Each organisation or group will need to decide for themselves which starting point works best for them. It can be helpful to refer back to statements of strategic outcomes in planning documents to verify that they are represented in the logic model.

The development of the 'flow chart' type of logic model (Exhibit 3.1) typically proceeds more smoothly if the "wiring" or connections from elements of one row to another are not added into the model until the component boxes for the full model have been identified. Thus, the final stage should be identifying the

specific linkages through the model. These linkages illustrate the theorised causal connections from the activities to the outcomes.

Another version of a logic model is provided in Exhibit 3.2 below. This is an approach that describes the logic of a policy, program or initiative through a 'results chain'. Note that the results chain can include multiple inputs, activities, outputs or outcomes.

EXHIBIT 3.2
'Results Chain' Logic Model
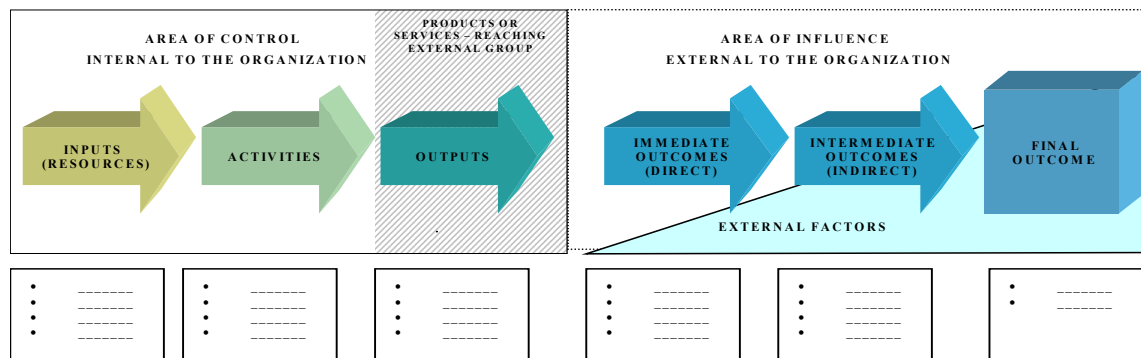
The logic model should be accompanied in the RMAF by a short explanatory text that describes what is implied within each box on the model as well as a brief discussion of external or environmental factors that may influence the degree to which the policy, program or initiative is expected to successfully achieve its final outcomes. This discussion provides an opportunity to identify outcomes in the logic model that are beyond the direct influence or control of the policy, program or initiative, but to which the policy, program or initiative contributes.

It is important to realise that the development of a logic model is an iterative process. Following the development through the group working session, it is advisable to critically review the product and make any adjustments deemed necessary.

Finally, once developed, it is often helpful to solicit the feedback of:

❑   individuals who are familiar with the policy, program or initiative but who were not part of the working session, to verify that all necessary elements are represented in the model; and

❑   evaluation specialists, to ensure the elements of the model are appropriate.

c.   Product

The final product of this process is a one-page logic model, which clearly identifies the linkages from the activities through associated outputs to the sequence of expected outcomes, with detail presented in accompanying text. This succinct description of what a policy, program or initiative is doing and what it expects to achieve through these activities becomes an important reference for subsequent stages of the RMAF development. It is also a useful stand-alone product that departmental managers can use to provide the necessary context and rationale for their program, policy or initiative.

3.3   Ongoing Performance Measurement Strategy

3.3.1   Identification of Performance Indicators

a.   Purpose

Ongoing performance measurement is the regular collection of information for monitoring how a policy, program or initiative is doing at any point in time. It can be used to report on the level of attainment of planned results and on performance trends over time.

To develop an ongoing performance measurement strategy, the first step is to clearly identify the key pieces of information that need to be collected (i.e., the performance indicators) in order to determine the progress of the policy, program or initiative toward the achievement of its final outcomes as described in the logic model.

❑   More specifically, performance indicators need to be identified which will show whether an output was produced or a specific outcome was achieved.

Ongoing performance measurement provides regular snapshots of the performance of a policy, program or initiative. Through this monitoring, it serves as a descriptive tool about how the policy, program or initiative is doing.

❑   It is important to realise that ongoing performance measurement does not address the issues of *how* an outcome was achieved or *why* a strategic outcome was or was not realised. Explanations of how or why outcomes were achieved comes from evaluation, which is discussed in greater detail in a later section of this guide.

Performance measurement information provides managers with knowledge they require in order to manage their policy, program or initiative on an ongoing basis. It can provide reassurance that outcomes are unfolding as expected, or can serve as an early warning that the planned results are not occurring (which could lead to a decision for additional research, such as through evaluation, to determine why). Performance measurement and evaluation are also inextricably connected — ongoing performance measurement could be considered to be part of evaluation. The ongoing performance monitoring information that has been regularly collected is utilised in periodic evaluations (which focus more in-depth on explaining the outcomes achieved) of a policy, program or initiative.

Client feedback or client satisfaction information could also be considered a special type of performance measure. While satisfaction in and of itself is not typically considered an outcome of a policy, program or initiative (i.e., it is more typically an indication of the quality of an output), assessments of client satisfaction can provide valuable information to contribute to policy, program or initiative improvements and thereby, potentially enhance the probability that outcomes will be achieved.

b.   **Process**

The key tool that is required to develop the set of indicators has already been created at this stage of the development of the Results-based Management and Accountability Framework, namely the logic model. This ensures that the performance measurement strategy is based on a sound, logical foundation and will allow the testing of the theory behind how policy, program or initiative outcomes are expected to be realised.

The process to identify potential performance indicators involves going through each row of the logic model, except the activities row, and determining what specific piece of information or particular data would be required to assess whether each output has been produced or outcome achieved. For example:

- ❑   If an output is a type of document, the indicator that would demonstrate that the output had been produced might simply be the number of documents produced.
- ❑   If an immediate outcome is an increase in awareness of a particular issue within a target group, an indicator might be the actual level of awareness among members of this target group. The reach of a policy, program or initiative is therefore also important to consider at this point.

Performance indicators can be quantitative (i.e., based on numbers or objective information) or qualitative (i.e., narrative or subjective information). At this stage in the RMAF development, however, the goal is not to also identify *how* the indicators will actually be collected; this is addressed in the development of the measurement strategy. Here, the focus is on identifying the particular pieces of information necessary to answer the questions of whether an output was produced or outcome achieved. Annex C presents an example of a table that can be used to organise and present the indicators.

c.   **Product**

This stage in the process produces a concise set of performance indicators (e.g., one to three) for each output and outcome outlined in the logic model. These indicators will serve as a key element of the ongoing performance measurement strategy.

3.3.2   Measurement Strategy

a.   Purpose

A measurement strategy is required to establish a realistic plan for the collection of necessary data for ongoing performance measurement. At this stage, the products of the previous activities should be consolidated into measurement tables to organise the strategy. An example of a set-up for a measurement table is presented in Annex C although flexibility in the format of presentation to meet the needs of organizations is acceptable.[7]

The measurement strategy outlines parameters for the measurement of the key performance indicators. For each indicator, the measurement strategy should clearly indicate through what method the information will be collected, by whom, and how often. Consideration should also be given to whether there is a need for baseline information to be collected for any indicators at the outset. Estimated costs for data collection and analysis should also be identified in this strategy.

Implementation of the measurement strategy ensures that information on outcomes is available when it is required. As such, it is critical that this work be carried out in the context of the information needs of managers as well as accountability and reporting commitments.

b.   Process

The set of performance indicators previously identified serves as the starting point for this stage of the RMAF development. For each indicator, several things need to be identified: the data source and collection method; the timing and frequency of the data collection; and the responsibility for measurement. To the degree possible, the cost of measurement should also be articulated, usually by methodology rather than indicator, as one methodology might be used to collect information on several indicators.

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[7]   It should be noted that this example table also includes columns to indicate that some outcomes might not be appropriately measured as part of ongoing performance measurement but instead should be reserved for evaluation efforts.

With respect to method, performance indicators tend to come from one of three primary sources:

❑   administrative data - information that is already being collected in policy, program or initiative files or databases, or could be collected with adjustments to regular processes;

❑   primary data collection - information that needs to be collected through specialised data collection exercises such as focus groups, expert panels or surveys; and

❑   secondary data - data that have been collected for other purposes, but which could also be used in this context, such as national statistics on health or economic status, for example.

In determining the method to be utilised, other considerations include the type of data needed (i.e., qualitative or quantitative) and the specific source of the data (i.e., clients, general public, specific files, policy, program or initiative documents, etc.).

In terms of identifying the timing of data collection, those indicators that are part of ongoing performance monitoring will be collected regularly, and "regularly" will need to be defined differently for each indicator. For example, some indicators might need to be collected at each transaction; others may only need to be collected annually. Indicators that need to be collected as part of baseline information should also be flagged. It should be noted that the final outcomes of a policy, program or initiative are usually not part of regular performance measurement as they are typically difficult to measure as well as to attribute to particular activities.

Once a comprehensive set of performance indicators and associated measurement strategies has been identified, a smaller set of the best indicators needs to be identified. Criteria to consider in winnowing the set of indicators include:

❑   reliability, validity and credibility of the indicator;

❑   cost-effectiveness in terms of cost to collect and process; and

❑   whether it is directly linked to the output or outcome in question.

Evaluation specialists can be of particular assistance in the identification of performance indicators as well as in the selection of the "best" final set of indicators. Information management and/or information technology personnel can also contribute to this process, particularly if the implementation of the ongoing performance measurement strategy necessitates a data system design or redesign.

The ongoing performance measurement strategy should be linked to the actual implementation of the policy, program or initiative. The development of the measurement strategy should also be guided by acknowledgement of what is practical and reasonable to implement. The most rigorous data collection strategy will fail if it is too labour-intensive or expensive to be implemented.

c.   Product

The product of this stage of the RMAF development is a detailed and realistic performance measurement strategy that indicates what data will be collected, how (including by whom) and when, as well as providing the linkages between the data collection and the outputs and outcomes in the logic model. It also identifies the estimated cost for this data collection.

3.4   Evaluation Strategy

3.4.1   Identification of Evaluation Issues and Questions

a.   Purpose

A key component of the Results-based Management and Accountability Framework is the elaboration of an evaluation strategy for the policy, program or initiative. Evaluation provides a periodic opportunity to take an in-depth look at how a policy, program or initiative is doing. The primary focus is usually on being able to bring about improvements to facilitate the achievement of outcomes or to determine the degree to which the policy, program or initiative led to the achievement of desired outcomes (i.e., attribution). Evaluations typically occur at two points in the lifecycle of a policy, program or initiative:

- ❑   the first is relatively early on in the life of a policy, program or initiative (e.g., normally within the first two years), in which case the focus of the questions is on examining management issues of how the policy, program or initiative is being implemented, whether adjustments are necessary and whether progress toward the achievement of the outcomes is occurring (often called **formative** or **mid-term evaluations**);

- ❑   the second is after a policy, program or initiative has been in place long enough to realistically expect that some outcomes may have been achieved (e.g., normally within five years of policy, program or initiative start-up), and the focus of the questions is on the degree to which these outcomes have been achieved as well as to determine the

contribution of the policy, program or initiative to these achieved outcomes (often called **summative evaluations**).

The first step in developing an evaluation strategy involves identifying the issues and associated questions that need to be addressed during the periodic evaluations. The identification of the evaluation issues and questions provides a guide for the development of the strategy that ensures all essential issues will be addressed during later evaluation. A key benefit to the identification of issues at this stage is that these are then used to elaborate a set of data requirements and data collection strategies, which, on implementation, helps to ensure that information necessary for evaluation is available when it is needed. As such, the evaluation strategy needs to be linked to the ongoing performance measurement strategy as some evaluation data requirements will be met through ongoing performance measurement activities.

Evaluation issues are the broad areas which need to be explored within an evaluation while evaluation questions are the more specific research questions that need to be answered in order to be able to address each evaluation issue. Some issues and questions might only be relevant during a formative evaluation, others only in the context of a summative evaluation and yet some might be relevant during both. Every policy, program or initiative will have its own unique set of evaluation issues as well as intended schedule for evaluation. For example, initiatives of a limited timeframe may require a formative evaluation after being in place for only a year, whereas longer-term policies, programs or initiatives may require a formative evaluation after two or three years of operation.

b.   Process

As presented in Appendix B: <u>Evaluation Standards for the Government of Canada</u>, of the Treasury Board *Evaluation Policy*, there are three primary issue areas for evaluation that need to be considered:

❑ **Relevance** - Does the policy, program or initiative continue to be consistent with departmental and government-wide priorities, and does it realistically address an actual need?

❑ **Success** - Is the policy, program or initiative effective in meeting its intended outcomes, within budget and without unwanted negative outcomes? Is the policy, program or initiative making progress toward the achievement of the final outcomes?

❑ **Cost-Effectiveness** - Are the most appropriate and efficient means being used to achieve outcomes, relative to alternative design and delivery approaches?

For every policy, program or initiative, consideration must be given to these key evaluation issues (i.e., relevance, success and cost-effectiveness). Relevance issues might include whether the policy, program or initiative is the most appropriate response to an identified need. There may also be issues around whether the identified need which led to the implementation of the policy, program or initiative has changed. Issues related to success involve measuring the results achieved throughout the sequence of outcomes as presented in the logic model, or the degree of progress toward the attainment of the final outcome. In addition, questions should also be raised to explore the degree to which unintended positive or negative outcomes have resulted from the policy, program or initiative. Cost-effectiveness is tied to relating resources expended to performance in terms of outputs and outcomes.

As well, issues related to the implementation or delivery of a policy, program or initiative should be considered within the set of evaluation issues. Here, questions address how the policy, program or initiative is actually being implemented compared to how it was intended to be implemented. Aspects of delivery also come into question here, including assessment of the outputs and the reach (i.e., the degree to which the intended beneficiaries are being reached).

The adequacy of the performance measurement strategy should also be the focus of an evaluation question.

There are several methods that can be used to identify the set of appropriate evaluation issues and associated questions. Certainly, a careful review of documents associated with the policy, program or initiative is an excellent place to start as this may uncover aspects that should receive attention in an evaluation. In addition, interviews with managers, designers, staff and key stakeholders will clarify what the key evaluation interests are for those people most closely associated with the policy, program or initiative.

Once a comprehensive list of evaluation issues and associated questions has been established, a process of prioritisation then needs to occur to ensure that the final set of issues is reasonable and realistic.

❑   As no evaluation endeavour could successfully address all possible issues and
      questions, it is important to review the list to separate those questions which necessarily
      need to be addressed from those which are not critical for evaluation, but are instead
      questions for which the answers would be "nice to know."

In prioritising the evaluation issues, managers need to take into account their risk management considerations and determine the most important areas for attention. The process of developing an inventory of possible evaluation questions and then determining those of highest priority helps to ensure that the final set of evaluation questions both addresses key information requirements of managers, and is practical to implement in terms of timing and resourcing. It also allows for the documentation of all evaluation issues which were considered so that there is a record of those issues contemplated but determined to be of lower priority for an evaluation of the policy, program or initiative.

c.   Product

The product of this phase of RMAF development is a set of issues and questions which, when answered, will allow for a thorough assessment to be made of the relevance, success and cost-effectiveness of a policy, program or initiative, and provide information to managers to guide their decision-making.

3.4.2   Identification of Data Requirements

a.   Purpose

The next step in the development of an evaluation strategy is to clearly identify the key pieces of information that need to be collected in order to answer each evaluation question. In particular, it is important to identify at this stage any evaluation data requirements which rely on the ongoing collection of information, to ensure that the necessary data are available at the time of any evaluation study.

b.   Process

The key tools that are required to identify the evaluation data requirements have already been created at this stage of the development of the Results-based Management and Accountability Framework, namely the set of evaluation issues and questions.

The process to identify the data requirements involves going through the set of evaluation issues and associated questions and determining what pieces of information would be required in order to be able to answer the questions and address the evaluation issues. At this stage of the process, the focus is on the

identification of the specific data requirements without moving into the identification of the data collection strategies as well (as this is the next step).

It is important to realise the connection here between the performance measurement strategy and the evaluation strategy. The evaluation issue of success focuses on the degree to which the expected results were realised. As such, the data requirements for these questions will overlap with the indicators identified for outcomes, as developed for the performance measurement strategy.

Once a comprehensive set of data requirements has been identified, select the best. As presented earlier, criteria to consider in winnowing the set of data requirements include:

❑   reliability, validity and credibility of the indicator;
❑   cost-effectiveness in terms of cost to collect and process; and
❑   whether it is directly linked to the evaluation question.

c.   Product

The product of this phase of RMAF development is reasonable set of data requirements such that each evaluation issue and question has corresponding indicators identified.

3.4.3   Data Collection Strategy

a.   Purpose

A measurement strategy is required to establish a realistic plan for the collection of necessary data for evaluation. At this stage, the products of the previous activities related to the evaluation strategy should be consolidated into summary tables to organise the strategy. An example of a set-up for an evaluation summary table is presented in Annex D.

The measurement strategy outlines attributes of the measurement of the key data requirements needed to be collected in order to be able to respond to the evaluation questions. For each data requirement, the measurement strategy should clearly indicate the source for the data, through what method the

information will be collected and how often. Where possible, costs for data collection and analysis strategies should also be identified.

For evaluation purposes, the measurement strategy also articulates when particular questions are intended to be addressed (i.e., for a formative evaluation or a summative evaluation) as well as whether information from ongoing performance measurement is intended to be utilised to address an evaluation question (i.e., primarily in the context of issues of success).

While performance measurement provides descriptive information about the outcomes of a policy, program or initiative, evaluation needs to go far deeper into the performance story in order to be able to explain why outcomes were or were not achieved. Evaluation, then, is more complex and involved than ongoing performance measurement.

The measurement strategy for evaluation needs to address the more specific research design and analysis issues associated with determining the degree to which the policy, program or initiative itself contributed to the achievement of results.

> ❑   For example, the evaluation strategy may need to include the collection of data from a comparison group of non-participants in a policy, program or initiative in order to assess the difference made among participants. Complex statistical analysis may also be required.

The issue of attribution, or determining the degree to which a policy, program or initiative made a difference, is among the more difficult of evaluation issues to address and, as such, expertise in research methodology is typically needed to assist with the preparation of this component of the evaluation strategy.[8]

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[8]   For additional background on evaluation design, see "Program Evaluation Methods: Measurement and Attribution of Program Results", Third Edition, Treasury Board of Canada, Secretariat, available at http://www.tbs-sct.gc.ca/eval/pubs/method/pem.htm.

b.   Process

The set of data requirements identified for the evaluation issues and questions serves as the starting point for this stage of the framework development. For each data requirement, several things need to be identified: the data collection method, the timing of the data collection (i.e., formative evaluation, summative evaluation), and the responsibility for measurement. To the degree possible, the cost of measurement should also be articulated in the RMAF.

As presented earlier, with respect to method, data requirements tend to come from one of three primary sources:

❑   administrative data - information that is already being collected in administrative files or databases, or could be collected with adjustments to regular processes;

❑   primary data collection - information that needs to be collected through specialised data collection exercises such as focus groups, file reviews, expert panels or surveys; and

❑   secondary data - data that have been collected for other purposes, but which could also be used in this context, such as national statistics on health or economic status, for example.

In determining the method to be utilised, other considerations include the type of data needed (i.e., qualitative or quantitative) and the specific source of the data (i.e., clients, general public, files, etc.).

It is important to recognise that some of the data required for evaluation purposes may need to be collected on an ongoing basis. The sample table presented in Annex D provides a column to itemise those indicators which need to be measured as part of the ongoing monitoring strategy to ensure their availability for evaluation. Thus, in the establishment of an ongoing performance measurement strategy, the data requirements for evaluation need to also be addressed.

In terms of identifying the timing of data collection, as discussed above, there are typically two timeframes:

❑   formative or mid-term evaluation, where the focus is on improvement to the policy, program or initiative in order to enhance the probability that outcomes will be achieved; and

❑   summative, which occurs somewhat later in the life of a policy, program or initiative and is more directly focused on the achievement of outcomes.

The schedule for these activities should be presented within the text of the RMAF.

c.   Product

This phase of RMAF development results in the production of a detailed and realistic measurement strategy that indicates what data will be collected, how, by whom, when, and at what estimated cost, as well as providing the linkages between the data collection and the specific evaluation issues and questions. This component serves as the foundation for the detailed design of subsequent evaluation activities related to the policy, program or initiative, the elaboration of which (e.g., methodological considerations for data collection which only occurs sporadically as part of particular evaluation activities) would occur as the evaluation schedule dictates.

3.5   Reporting Strategy

a.   Purpose

The final component of the Results-based Management and Accountability Framework ensures that plans are in place to systematically report on the results of ongoing performance measurement and evaluation, and that reporting commitments are met. There are many potential users of this information and the reporting strategy should consider all of their needs. Potential users of performance information might include: policy, program or initiative management, central agencies, and stakeholders (internal and external). Uses of this information will depend on the type of user and could include management decision-making, accountability, communication and information sharing.

b.   Process

Most policies, programs and initiatives have responsibilities to report annually. This responsibility provides an excellent opportunity to roll up the results of ongoing performance measurement and regularly report on progress.

As well, most policies, programs and initiatives have responsibilities to conduct periodic evaluations. For example, new initiatives are often required to conduct a mid-term evaluation shortly after implementation as well as a summative evaluation as the funding period draws to a close.

In presenting the reporting strategy, two key elements need to be identified and described:

- ❑ the management authority (or authorities, when multiple partners are involved) responsible for reporting the performance information and the evaluation results; and

- ❑ the mechanism (e.g., annual progress reports, Departmental Performance Reports, mid-term evaluation, summative evaluation) and the timeframe for reporting performance information to the lead department (if applicable), Treasury Board Secretariat, Treasury Board Ministers and/or Parliament.

The reporting strategy should be summarised in a table such as the example presented in Exhibit 3.3.

EXHIBIT 3.3
Sample Reporting Table

Results Measurement Activity	Product	Date for Reports
Ongoing Performance Measurement	Annual Performance Report	end of Year 1 end of Year 2 end of Year 3 end of Year 4
Formative/Mid-term Evaluation	Formative/Mid-term Evaluation Report	Year 3
Summative Evaluation	Summative Evaluation Report	Year 5

c.   Product

The product of this phase of development is a clear strategy for reporting indicating when ongoing performance measurement reporting and periodic evaluation reporting will occur, by whom and how.

3.6   Implementation and Review

The responsibility for the implementation of the RMAF lies with the policy, program or initiative management. The performance measurement strategy needs to be operationalised and monitored by managers to ensure not only that it is proceeding as intended, but also that it is producing useful information. Adjustments should be made where required to adapt the performance measurement activities such that the utility of the information is maximised. Annual performance reports and formative/mid-term evaluation studies provide an opportunity for managers to take stock of the effectiveness of the performance measurement strategy, including the degree to which the information being collected responds to the identified data requirements. As such, it is advisable to monitor the performance measurement strategy against the unfolding of the strategic plan (that is, the implementation of the policy, program or initiative) and to incorporate the review of these measurement activities as part of the reporting strategy.

Performance measurement is typically an iterative process, building on early measurement experience which might focus primarily on outputs. Over time, measurement activities should, however, evolve and concentrate on outcomes, thereby enhancing the telling of the performance story.

3.7   Helpful Hints

The process of developing and implementing RMAFs is relatively new, and thus, learnings about the most effective way to carry out this work are only now beginning to emerge. Some helpful hints coming out of RMAF work completed to date include the following:

- ❑   Build on the business, or strategic plan for the policy, program or initiative.
- ❑   Involve partners and key policy, program or initiative stakeholders.
- ❑   Ensure that senior management is kept aware of the process and are on board.
- ❑   Establish a working group of representatives from all areas of the policy, program or initiative and keep the same membership for all stages of the RMAF development.
- ❑   Obtain clear commitments to do the work and ensure that resources are available for the development and implementation of the RMAF.
- ❑   Select indicators based on what will provide the best information, not on what will be easiest to implement.
- ❑   Establish a realistic set of indicators and data collection strategies.

❑   Review data collection regularly to ensure it is producing relevant and useful information.

❑   Maintain a flexible approach and adapt the RMAF as needed.

❑   Accept that the RMAF does not have to be perfect.

❑   View performance measurement development as an iterative process in which the ability to measure and tell the performance story improves over time.

Annex A
LEXICON

LEXICON

Results-Based Management and Accountability

❑ **Accountability** — The obligation to demonstrate and take responsibility for performance in light of agreed expectations. There is a difference between responsibility and accountability – responsibility is the obligation to act whereas accountability is the obligation to answer for an action. *(Responsabilisation)*

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

❑ **Attribution** — The assertion that certain events or conditions were, to some extent, caused or influenced by other events or conditions. This means a reasonable connection can be made between a specific outcome and the actions and outputs of a government policy, program or initiative. *(Attribution)*

❑ **Business Line** — A business line is a mechanism for aligning collective effort and resources to Strategic Outcomes across a department's internal organisations. In smaller agencies, business lines may be synonymous with organisations but in larger, more complex departments, business lines are not likely to be organisationally based. Business lines function as forums for setting direction, ensuring coherence in program delivery, establishing clear accountabilities for results across internal organisations, tracking and reporting on performance and providing a shared context for allocating resources to results. *(Secteur d'activité)*

❑ **Departmental Performance Reports (DPR***)* — Departmental Performance Reports, tabled in the fall of each year by the President of Treasury Board on behalf of all federal departments and agencies named in Schedule I, I.1 and II of the *Financial Administration Act*, are part of the Estimates and Supply process. The reports explain what the government has accomplished with the resources and authorities provided by Parliament. The performance information in the reports is intended to help Members of Parliament advise the government on resource allocation in advance of the annual budget and Supply process in the spring. *(Rapports ministériels sur le rendement - RMR)*

❑ **Effect** — *Effect* like *impact* is a synonym for *outcome* although impact is somewhat more direct than an effect. Both terms are commonly used, but neither is a technical term. For technical precision, Treasury Board Secretariat recommends that *outcome* be used instead of *effect*. *(Effet)*

❑ **Effectiveness** — The extent to which an organisation, policy, program or initiative is meeting its planned results. Related term*:* **Cost Effectiveness** — The extent to which an organisation, program, etc. is producing its planned outcomes in relation to expenditure of resources. *(Efficacité)*

❑ **Efficiency** — The extent to which an organisation, policy, program or initiative is producing its planned outputs in relation to expenditure of resources. *(Efficience)*

❑ **Evaluation** — The systematic collection and analysis of information on the performance of a policy, program or initiative to make judgements about relevance, progress or success and cost-effectiveness and/or to inform future programming decisions about design and implementation. *(Évaluation)*

❑ **Final Outcome** — These are generally outcomes that take a longer period to be realised, are subject to influences beyond the policy, program or initiative, and can also be at a more strategic level. *(Résultat final)*

❑ **Goal** — A general statement of desired outcome to be achieved over a specified period of time. The term goal is roughly equivalent to *Strategic Outcome.* For technical precision, Treasury Board Secretariat recommends that *Strategic Outcome* be used instead of *goal* (see also *objectives*). *(But)*

❑ **Horizontal Result (Collective Result)** — An outcome that is produced through the contributions of two or more departments or agencies, jurisdictions, or non-governmental organistions. *(Résultat horizontal)*

❑ **Impact** — *Impa*ct like *effect* is a synonym for *outcome*, although an impact is somewhat more direct than effect. Both terms are commonly used, but neither is a technical term. For technical precision, Treasury Board Secretariat recommends that outcome be used instead of *impact. (Impact)*

❑ **Indicator** — A statistic or parameter that provides information on trends in the condition of a phenomenon and has significance extending beyond that associated with the properties of the statistic itself. *(Indicateur) -* **Related terms***:*

> **Comparable Indicator—** An indicator based on common baseline information, definitions and database collection, and a compatible reporting system. This term is expressly used in relation to Social Union Framework Agreement. *(Indicateur comparable)*

> **Societal Indicator** — An indicator used to track the state of Canadian society. It is used to place departmental achievements in a broad societal context, and, in relation with *performance indicators*, is used to shape government decisions on policies, programs and initiatives. (***Indicateur sociétal ou indicateur de société***)

Other indicators used in the federal context but not defined include sustainable development indicators, environmental indicators, etc.

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

❑ **Logic Model** — (also referred to as Results-based 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. See *Results Chain. (Modèle logique)*

❑ **Mission Statement** – A formal, public statement of an organisation's purpose. It is used by departmental management to set direction and values. *(Énoncé de mission)*

❑ **Objective** — The high-level, enduring benefit towards which effort is directed. The term is roughly equivalent to *Strategic Outcome*. For technical precision, Treasury Board Secretariat recommends that *Strategic Outome* be used. *(Objectif)*

❑ **Outcome** — An external consequence attributed to an organisation, 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. *(Résultat)*

❑ **Output** — Direct products or services stemming from the activities of a policy, program or initiative, and delivered to a target group or population. *(Extrant)*

❑ **Performance** — How well an organisation, policy, program or initiative is achieving its planned results measured against targets, standards or criteria. In results-based management, performance is measured and assessed, reported, and used as a basis for management decision-making. *(Rendement)*

❑ **Performance Measurement Strategy** — Selection, development and on-going use of performance measures to guide corporate decision-making. The range of information in a performance measurement strategy could include: reach; outputs and outcomes; performance indicators; data sources; methodology; and costs. *(Stratégie de mesure du rendement)*

❑ **Performance Measures** — An indicator that provides information (either qualitative or quantitative) on the extent to which a policy, program or initiative is achieving its outcomes. *(Mesures de rendement)*

❑ **Performance Monitoring** — The on-going process of collecting information in order to assess progress in meeting Strategic Outcomes, and if necessary, provide warning if progress is not meeting expectations. *(Suivi du rendement)*

❑ **Performance Reporting** — The process of communicating evidence-based performance information. Performance reporting supports decision-making, serves to meet accountability requirements and provides a basis for citizen engagement and a performance dialogue with parliamentarians. *(Reddition de compte)*

❑ **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. *(Résultats prévus – Cibles)*

❑ **Planning, Reporting and Accountability Structure (PRAS***)* — A PRAS defines an organisation's core business (business lines) and also defines its accountabilities, key measures and resource allocations. Approved by TBS, the overall objectives of the PRAS policy are to provide departments and agencies with a basis to plan and manage as well as to serve as a solid foundation for communicating performance information to parliamentarians. *(Structure de la planification, de rapport et de responsabilisation – SPRR)*

❑ **Reach** — The individuals and organisations targeted and directly affected by a policy, program or initiative. *(Portée)*

❑ **Reports on Plans and Priorities (RPP***)* — As part of the Main Estimates, the RPPs provide information on departmental plans and expected performance over a three-year period. These reports are tabled in Parliament each spring, after resource allocation deliberations. They generally include information such as mission or mandate, strategies, as well as Strategic Outcomes and performance targets. *(Rapports sur les plans et les priorités – RPP)*

❑ **Result** — The consequence attributed to the activities of an organisation, policy, program or initiative. Results is a general term that often includes both outputs produced and outcomes achieved by a given organisation, policy, program or initiative. In the government's agenda for results-based management and in *Results for Canadians*, the term *result* refers exclusively to *outcomes*. *(Résultat)*

❑ **Results Chain (synonyms: results-based logic model, results sequence)** — The causal or logical relationship between activities and outputs and the outcomes of a given policy, program or initiative, that they are intended to produce. Usually displayed as a flow chart. *(Enchaînement de résultats)*

EXHIBT A – 1
RESULTS CHAIN

❑
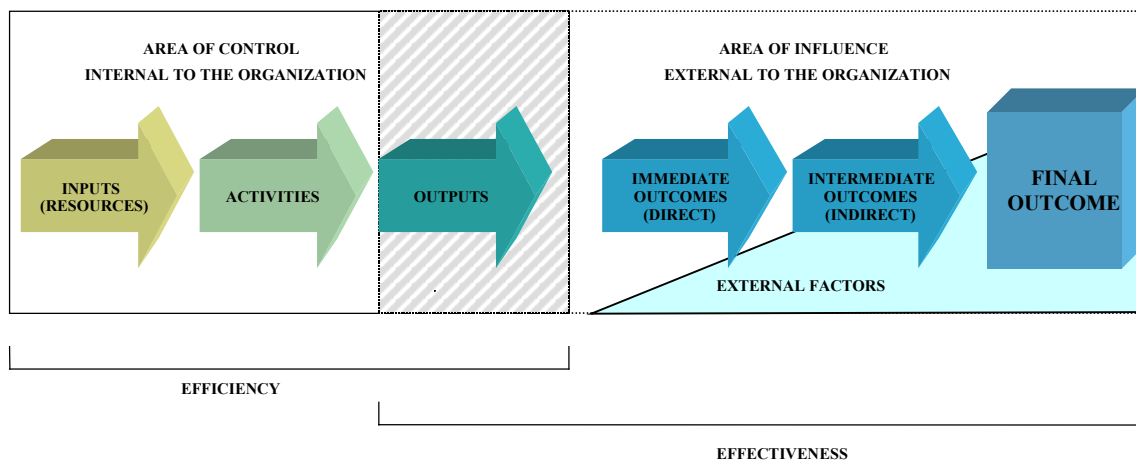
❑ **Results for Canadians** – Describes the management framework for the federal government of Canada. Published in the early 2000, this key document outlines the four management commitments for the federal government: citizen focus, values, results and responsible spending. *(Des résultats pour les Canadiens et les Canadiennes)*

❑ **Results-based Management** — A comprehensive, life cycle, approach to management that integrates business strategy, people, processes and measurements to improve decision-making and drive change. The approach focuses on getting the right design early in a process, implementing performance measurement, learning and changing, and reporting performance. *(Gestion axée sur les résultats)*

❑ **Results-based Management and Accountability Framework (RMAF***)* — A document which serves as a blueprint for managers to help them focus on measuring and reporting on outcomes throughout the lifecycle of a policy, program or initiative. *(Cadre de gestion et de responsabilisation axés sur les résultats – CGRR)*

❑ **Service Commitment —** Service commitments or standards generally set performance objectives for the delivery of government products or services to the public, specifying the quality or level of service to which a department or agency commits, or can be expected to deliver to clients. *(Engagement en matière de service)*

❑ **Strategic Outcomes** — (In previous documents these were also called: Departmental Outcomes, Strategic Objectives; Key Results Commitments, Business Line Outcomes.) The long-term and enduring benefits to Canadians that stem from a department's vision and efforts. These outcomes describe the difference a department is mandated to make. In most cases, these outcomes will require the combined resources and sustained effort of several partners over a long period of time. Most importantly, however, progress toward these outcomes will require, and Canadians will expect, the leadership of a federal department or agency. *(Résultats Stratégiques)*

❑ **Target Group (Target Population) –** The set of individuals that an *activity* is intended to influence. *(Groupe Cible)*

Annex B

Criteria for Self-Assessment

Criteria for the Self-Assessment of
Results-based Management and Accountability Frameworks

The following set of criteria has been developed to serve as a guide for the self-assessment of the adequacy of the content of a RMAF. These criteria provide an indication of the core elements that should be presented within each component of a RMAF. Authors should refer to the criteria as they develop a RMAF to ensure that their resulting document contains all of the necessary elements and at a sufficient level of detail. Recipients of RMAFs may also use these criteria in determining whether a RMAF has sufficiently responded to the core requirements.

1. Profile of Policy, Program or Initiative (Roles and Responsibilities)

Issues/Requirements	Criteria
1. Origin and Rationale	❑ The context for the policy, program or initiative is clearly described. ❑ Need is clearly defined and supported by a brief, sound analysis of the gap between current and desired societal conditions.
2. Mandate and Strategic Outcomes	❑ The strategic outcomes of the policy, program or initiative are clearly stated and consistent with the overall mandate of the organisation.
3. Governance	❑ The roles and responsibilities within the organisational structure responsible for the policy, program or initiative are established. ❑ When there are multiple partners, the respective roles and responsibilities in relation to accountability (i.e., performance measurement, evaluation) are clearly defined.
4. Client/Target Populations	❑ The intended intermediate and final clientele(s) of the policy, program or initiative is (are) identified.
5. Delivery Approach	❑ The way the policy, program or initiative intends to reach its clientele or target population with its products and services is well articulated.
6. Planned outcomes	❑ The planned outcomes are defined in terms of the benefits that departments, and by extension managers, have committed to provide to Canadians or to any other final target population *over the funding period*.
7. Resources	❑ The resources allocated to the organisation and each delivery partner over the funding period, including separate funds committed by them are identified. The way these funds will be used to implement the policy, program or initiative over that period are also discussed.

2. Linkages (Logic Model)

Issues/Requirements	Criteria
1. Logic Model	❑ The program design plausibly describes the linkages between activities, outputs and outcomes at every level. ❑ The discussion of the model clearly identifies the factors within the control/influence of the policy, program or initiative that are being used to achieve the final outcomes.

3. Performance Measurement Strategy

Issues/Requirements	Criteria
1. Performance Measurement Indicators	❑ The document defines the indicators that will be used to address performance measurement as well as assess and report on performance *over the funding period* (including baseline measures).
2. Performance Measurement Approaches	❑ The document also identifies data sources and methodologies that will be used to measure and analyse performance.
3. Performance Measurement Tables	❑ Tables are used to provide, for each component of the policy, program or initiative identified in the logic model, succinct descriptions of the following elements: ▪ Main activities (what will be done?) ▪ Outputs and expected outcomes (what will be achieved?) ▪ Performance indicators (how will we objectively know?) ▪ Data sources (where will we get the information?) ▪ Methodology (how will we measure and analyze, and at what costs?)

4. Evaluation Strategy

Issues/Requirements	Criteria
1. Evaluation Issues	❑ The evaluation issues are identified in accordance with the general evaluation policy requirements (i.e. need to address relevance, success, and cost-effectiveness) and their relationships to the logic model.
2. Mid-term (Formative) Evaluation	❑ For new or substantially modified policies, programs or initiatives, a *mid-term evaluation study* (formative evaluation) examining management issues (design and implementation) is often appropriate. If such an evaluation is required, the target date for the delivery of the related evaluation report is clearly specified.
3. Final (Summative) Evaluation	❑ At a subsequent stage, a final *summative evaluation study* addressing evaluation issues is normally required, and the target date for the delivery of the related evaluation report is clearly specified.

5. Reporting Strategy

Issues/Requirements	Criteria
1. Reporting Responsibilities	❑ The management authority (or authorities when multiple partners are involved) responsible for reporting the performance information described in the *Performance Measurement Tables* is clearly identified. ❑ In the case of interdepartmental initiatives, the responsibility for the co-ordination of reporting activities and the preparation of annual reports (normally assigned to the lead department) is clearly defined.
2. Reporting Approach	❑ The mechanism and timeframe for reporting performance information to lead department (if applicable), TBS, TB Ministers and/or Parliament are clearly specified.

6. Implementation and Review

Issues/Requirements	Criteria
1. Review (follow-up) Process	❑ A formal process and timeframe are defined with a view to effectively: ▪ ensure the performance measurement strategy has been implemented; ▪ monitor progress made in collecting and reporting performance information; ▪ review and assess the appropriateness of the available performance information; and, ▪ make recommendations for adjustments or improvements to the framework (if necessary).

Annex C

Sample Summary Table:

Ongoing Performance Measurement

Sample Summary Table:
Ongoing Performance Measurement Strategy

Element		Performance Indicator	Data Source/ Collection Method	Responsibility for Collection	Timing/Frequency of Measurement		
					Ongoing Measurement	Formative Evaluation	Summative Evaluation
Outputs	Output 1						
	Output 2						
	Output 3						
	Output x						
Outcomes	Immediate Outcome 1						
	Immediate Outcome 2						
	Immediate Outcome x						
	Intermediate Outcome 1						
	Intermediate Outcome 2						
	Intermediate Outcome x						
	Final Outcome 1						
	Final Outcome 2						
	Final Outcome x						

Annex D:

Sample Summary Table:

Evaluation Strategy

Sample Summary Table:
Evaluation Strategy

Evaluation Issues	Evaluation Questions	Indicator	Data Source/ Collection Method	Responsibility for Collection	Timing/Frequency of Measurement		
					Ongoing Monitoring	Formative Evaluation	Summative Evaluation
Rationale	Rationale question 1						
	Rationale question X						
Success	Success question 1						
	Success question 2						
	Success question 3						
	Success question X						
Cost-Effectiveness	Cost-Effectiveness question 1						
	Cost-effectiveness question 2						
	Cost-effectiveness question X						
Alternatives (design and delivery)	Alternatives question 1						
	Alternatives question X						