

Performance Improvement Framework

Agency Self Review Workbook

November 2010

Developed by the State Services Commission, the Treasury and the Department of the Prime Minister and Cabinet in conjunction with State Services chief executives

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Introduction

What is the Performance Improvement Framework?

The Performance Improvement Framework (PIF) is a joint central agency initiative to help senior leaders drive performance improvement across the State Services. It is based on leading international private and public sector performance improvement models, and is tailored for the New Zealand State Services.

The PIF consists of:

- A **comprehensive model** for performance and capability improvement;
- A **cycle of formal performance reviews** which identify priority areas for action, and a process to ensure these are addressed;
- A **self review tool** for agencies to measure and improve their own performance.

Why has the Performance Improvement Framework been developed?

New Zealanders expect a high performing, trusted and accessible State Services, delivering the right things, in the right way, at the right prices. Improving agency, sector and system performance through an effective performance framework is key to meeting these expectations.

State Services leaders can draw on the PIF as an assessment and continuous business improvement tool, to manage their agency's development. The framework will also provide the central agencies with a view of performance and capability across the system.

The PIF is designed to provide:

- transparent and comparative performance information;
- a common performance language that provides clear signals on expectations and agency performance; and
- a strengthened culture of continuous business improvement.

How can agencies use the Framework?

The Agency model of the PIF can be applied in two ways:

- **Formal review:** Agencies are provided with an independent assessment of their capability, performance and ability to deliver on Government's priorities.
- **Self review:** Agencies use the framework as a self review tool to measure and improve their own performance.

Why do a self review?

Agencies wanting to assess their performance should consider undertaking a self review to identify areas for improvement, particularly if an agency is not scheduled to undertake a formal review in the near future. Self reviews provide a systematic approach for agencies to understand their strengths and weaknesses, and a way to use the information as a management tool to create continuous improvement.

What does a self review involve?

Unlike the formal review a self review does not involve external lead reviewers or a review team from central agencies, and moderation is completed internally.

It is envisaged that a dedicated team from the agency would come together for a self review. The level of resource and the amount of time required will depend on the size and scope of the agency, but by their nature, PIF reviews are short and sharp. As with a formal review, self reviews require commitment and involvement by the senior leaders in the agency. Ultimately the quality of a self review will depend on the agency's commitment to the process, and planning for adequate resources during the review process is essential.

About this workbook

This workbook is designed to provide guidance and good practice tips for agencies wishing to use the PIF to self-assess their agency's capability and results. The workbook is organised around five phases (which is one phase less than for formal review as the Calibration and Moderation phase is not involved in self review). The self review phases are shown below:



Each phase in this workbook contains specific guidance on the process for completing the review and general good practice evaluation tips. Some worksheets and templates are included to assist those involved in organising the review.

As more agencies undertake self review, this workbook will be updated based on their learnings.

We welcome your feedback. Email us at: performance.improvement.framework@ssc.govt.nz

Performance Improvement Framework

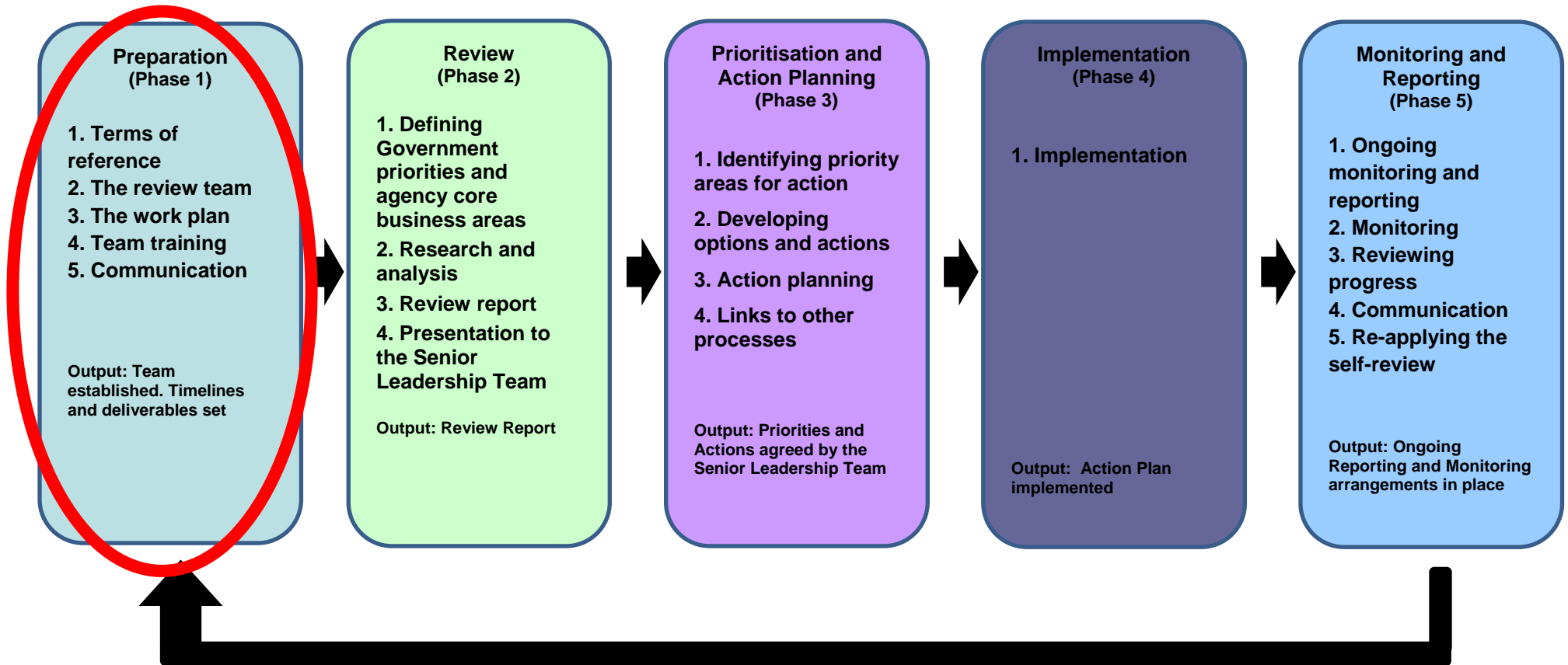
Agency Self Review

Phase 1: Preparation



Contents of the PIF Phases

This phase focuses on the five steps outlined in 'Preparation'.



Contents

1. Terms of Reference
2. The review team
3. The work plan
4. Team training
5. Communication

1. Terms of Reference

The **Terms of Reference** (TOR) is the formal instruction given by the agency chief executive to the review team to undertake the PIF self review. It outlines the scope, key deliverables and roles and responsibilities of each review team member.

While it is possible to limit the scope to only parts of the framework, the value of the PIF is the attention it draws to the organisation as a whole and the areas that might not have been considered a problem in the past. The combination of results and capability also means the review considers current performance and the sustainability of that performance.

Before beginning the review it is critical that there is a clear understanding and agreement on what will be covered by the review. For example, the set of government priorities and the core business should be agreed with the senior leadership team (SLT). A TOR template is provided in Template 1.

Helpful Hints

Preferably look at all areas of the Performance Improvement Framework. Scaling the review should be based how in-depth the assessment is taken, not which areas to cover.

2. The review team

A team should be established with responsibility for undertaking the agency review. Indicative roles are set out below.

An agency may vary the team balance and how these roles are undertaken. In particular the overall ownership and oversight by the agency chief executive (or the chair in the case of a Crown entity) is vital.

Roles may be full or part time, although the Performance Review Manager should be able to devote a large part of his/her time to the review. If a number of team members are part time, this will extend the duration of the review.

Title	Description
Review Sponsor	The Review Sponsor is either the CE or a Tier 2 manager who has oversight of the assessment, promotes the assessment across the agency and overcomes roadblocks as they arise.
Performance Review Manager (PRM)	The PRM is the assessment project manager who plans the review, schedules all activities, organises, trains and leads the review team, and monitors progress.
Review team	Review team members undertake document analysis, conduct interviews and write up draft findings for the assessment areas they are allocated. The review team as a group will finalise the draft report, providing challenge and consistency across the overall review. The review team should represent a range of skills and experience. Team members with particular functional skills may undertake assessment activity in areas in which they usually work, but their input should be balanced by others who can bring an independent perspective to the assessment of that area.
Team Administrator	The Team Administrator supports the PRM and review team members by gathering documentation, arranging interviews and arranging resources required by the review team.
Agency senior leadership team (SLT)	The agency SLT provides moderation of the draft review report, ensuring that it is robust and fair across the different areas covered. The SLT undertakes prioritisation and action planning, and oversees implementation, monitoring and reporting.

The agency could also consider supplementing the team with a second tier manager from an agency that has already undertaken a PIF formal or self review. This person could bring knowledge of the PIF process as well as independent challenge to the judgements made in the review.

The team should meet early and agree how they will divide up the assessment work. The review team needs to have dedicated time to review documents and information, as well as allow time to discuss progress and findings together. A dedicated joint workspace with a white board will also assist the team to make connections across the different areas of the review.

3. The work plan

The review work plan sets out the key steps and milestones for each phase of the review. The following table outlines indicative timings, based on a largely part-time review team. The timing will also vary according to the size and complexity of the agency and review coverage. A work plan is shown in Template 2.

Phase	Description	Standard Duration
1. Preparation	Scoping the self review. Preparation to ensure that those involved in the self review know what to do and are setup to do it.	15 working days
2. Research and analysis	Gathering information relevant to PIF lead questions and lines of enquiry. Initial analysis of the Agency's performance using the PIF model.	15 working days
3. Review findings	Thorough and focused discussion of findings and forming of judgment about the Agency's performance. Writing of team review report.	5 working days
4. Presentation to SLT	Internal moderation to ensure robustness and fairness of findings; may include ratification of ratings or some parts of the report.	5 working days
5. Action planning	Recommendations are prioritised and translated into an action plan.	5 working days

Helpful Hints

You can use the work plan to help produce a project status report. Just add columns about status and actual completion date. Issues, risks and quality can be recorded in the Notes column.

Q&As

Q. What if we want to condense or need to lengthen the timing of the process?

A. *There is a balance between staying with the planned timeframe and ensuring the review achieves its objectives. Timing is important to ensure that the review is completed and staff read and see the outcomes of the review. However, the value of the review is in the action planning and a review that is bogged down in the review phase will be at risk.*

4. Team training

It is recommended that the review team undertake some kind of training prior to commencing the review. The central agencies will run six-monthly training sessions on self review. In between sessions SSC Performance Specialists and Vote Analysts are available to advise on techniques for completing the review phases.

5. Communication

The agency chief executive should communicate at an early stage with all staff about the decision to undertake a PIF self-review. This communication should describe the PIF, its benefits and why it is important for the agency to undertake a self-review.

Once the terms of reference, review team and work plan have been established, the chief executive should communicate key information to all staff seeking their cooperation to the review.

Terms of Reference

Performance Improvement Framework Self Review

<Agency Name>

Status: DRAFT

Date: <dd/mm/yyyy>

Author: <Performance Review Manager>

Version: <#>

The <Agency Name> will hereafter be referred to as “the Agency”.

The Agency is to undertake a self review using the Performance Improvement Framework (PIF). This Terms of Reference (TOR) is prepared to ensure that all those involved in the review have a common understanding of the purpose, scope and timeframes of the review, as well as the responsibilities of each party.

1. Purpose of the Self Review

1.1 Objectives

The PIF self review specifically aims to:

- Assess how well the Agency has identified and responded to current Government priorities;
- Assess how effectively and efficiently the Agency is delivering on its core business;
- Assess the Agency's capability in the following operational management areas:
 - Leadership, Direction & Delivery
 - External Relationships
 - People Development
 - Financial & Resource Management;
- Assist the Agency to identify priority areas for action and develop an action plan to address these.

1.2 Scope

The following activities are deemed **in scope** for this self review:

- All activities related to the planning and logistics associated with the review. These may include (but are not limited to):
 - Providing logistical support to the review team;
 - Identifying and sourcing documents and files needed for the review;
 - Communicating with Agency staff and other stakeholders.

- All activities related to the review of the Agency across all components of the PIF, including the identification of priority areas for focus and action arising from the PIF review;
- All activities related to the development of an action plan by the Agency to address the priority areas for action;
- All activities related to the final approval of the review report.

2. PIF Process, Deliverables & Timeframes

2.1 Summary of the PIF Process

PIF self review commences from a preparation phase characterised by signing of terms of reference, conduct of relevant training for the review team and formal announcement by the CE within the Agency.

A three-week research and analysis phase follows where the review team members gather relevant evidence, conduct interviews and analyse information against the PIF dimensions. At the end of this phase, it is expected that each analyst has prepared an individual working paper that could be collated as a team review report. A team synthesis to firm up the report, including pictorial ratings and narrative judgment follows.

The review report will be presented to the SLT for challenge and internal moderation to ensure that the findings are robust and fair. The self review ends with prioritisation and action planning to be led by the SLT.

The entire self-review period runs for about 2 months.

2.2 Key Deliverables

The following table outlines the deliverables and major activities, and their associated completion dates for the self review:

Activity/Deliverable	Description	Duration or Completion Date
Planning & Logistics	Terms of Reference is signed by all parties. Necessary logistics support and documents are provided to the review team.	Completed no later than <Day, Date>
Government Priorities & Core Business Areas identified	There is agreement between the SLT and the review team on the Government Priorities and Core Business Areas to be reviewed.	Completed no later than <Day, Date>
Research & Analysis	A period of desk analysis and interviews undertaken by the review team.	<Start Date – End Date>
Review findings	Team synthesis and draft report for presentation to SLT.	Completed no later than <Day, Date>
Presentation to SLT	Internal moderation and finalisation of report.	Completed no later than <Day, Date>
Action Plan	Priority areas identified and action plan finalised by the SLT.	Completed no later than <Day, Date>

3. Personnel, Roles and Responsibilities

3.1 Selection of Review Team Members

The SLT is responsible for nominating a Review Sponsor, a Performance Review Manager and the rest of team members.

3.2 Key Personnel

The following table outlines the key personnel involved in the self review:

Review Sponsor	<Sponsor's Name>
Review Team	<p>Performance Review Manager <Name, Designation></p> <p>Analysts (mix of skills) 1.<Name, Designation> 2.<Name, Designation> 3.<Name, Designation> 4.<Name, Designation> Note: The PRM can also act as an analyst in his/her areas of technical expertise.</p> <p>Team Administrator <Name, Designation></p>
Agency senior leadership team (SLT)	1.<Name, Designation> 2.<Name, Designation> 3.<Name, Designation>

3.3 The Agency Sponsor's role

The Review Sponsor has oversight of the assessment, promotes the assessment across the agency and overcomes roadblocks as they arise.

3.4 The Performance Review Manager's Role

The Performance Review Manager (PRM) plans the review, schedule activities, organises, trains and monitors progress. The PRM is also the first point of contact for the self review. Specifically, the PRM ensures that:

- All planning is undertaken for the entire review process;
- All deliverables from the review process are produced on time;
- Document management and recording standards are maintained throughout the review;

3.5 The Review Team's Role

The primary role of the review team is to undertake research and analysis and provide judgement of the Agency's performance using the PIF model. In doing this, the review team members:

- Identify the most appropriate lines of enquiry and information sources that are likely to provide evidence for the lead questions and appropriate lines of enquiries;
- Identify, collect and analyse agency information;
- Conduct interviews;
- Write up findings to come up with a complete report.
- Present the findings before the SLT.

3.6 The Team Administrator's Role

The Team Administrator supports the PRM and review team members by gathering documentation, arranging interviews and arranging resources required by the review team.

3.7 The Senior Leadership Team

The Agency's SLT provides moderation of the draft review report, ensuring that it is robust and fair across the different areas covered. It also undertakes prioritisation and action planning and oversees implementation, monitoring and reporting.

4. Additional Matters

4.1 Government Priorities and Agency Core Business

SLT must outline the Government priorities and Agency's core business prior to the review phase commencing. The review team will initially identify government priorities and core business based on existing accountability documents and Ministerial letters and the SLT is expected to confirm these. The agreed Government priorities and core business will be the main subject of the results component of the PIF Model.

Agreement to the Terms of Reference

I am satisfied that the approach outlined in the Terms of Reference will achieve the stated objectives of this review.

<Agency CE Name>
Chief Executive, Agency

Date

Self Review – Template 2

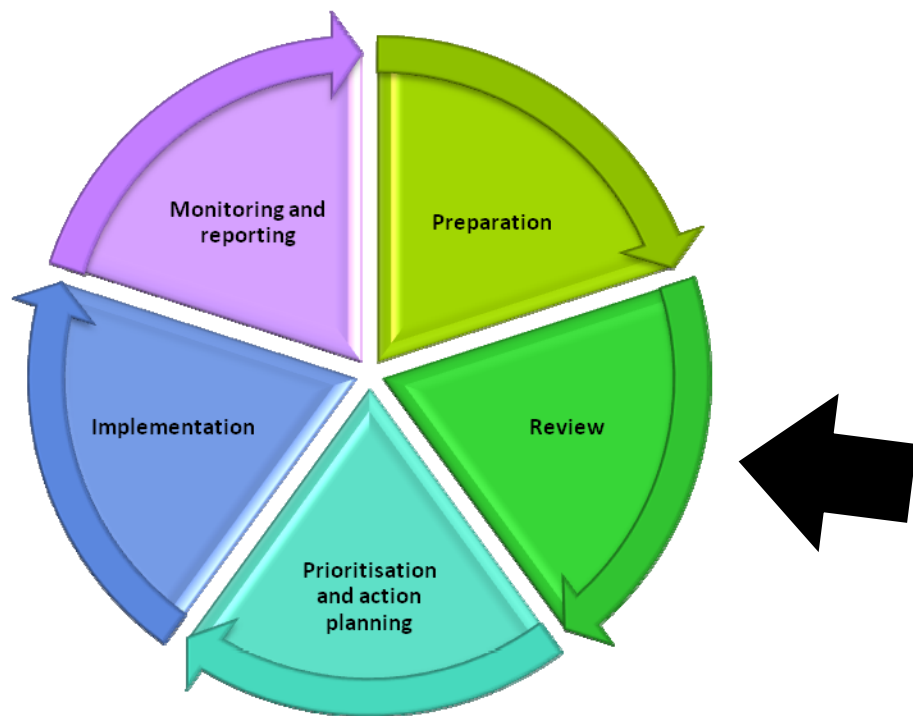
Performance Improvement Framework (PIF) Self Review Work Plan

Agency	Name of Agency		Review Team	Review Sponsor:		
Chief Executive	Name of Chief Executive 2010			Team Manager:		
Year				Team Administrator:		
Senior Leadership Team				Analysts:		
Phase	Activity	Specific Task	Deliverable	Responsibility	Expected Completion Date	Notes
Preparation	Terms of Reference (TOR)	Draft and finalise TOR				
		CE signs TOR	Signed TOR			
	CE announces self review	CE informs agency staff of the self review	Engagement plan, Intranet notices, fact sheets			
	Training	Review team attend self-review training/orientation				
	Team planning	Team planning, tasking and identification of information needs	Work plan, specific roles and responsibilities			
	Logistics support	Arrange logistic support including a working area, computer, Intranet/Internet access, printer, phone, whiteboard, and stationery supplies	The tools to do the job			
		Collate standard documents and organise interviews	Collate standard documents (eg SOI, Annual Reports, Output Plan, Briefing to Incoming Minister, Outcomes Framework)	Standard documents		
Organise interviews for the analysts	Interview schedule					
Research and Analysis	Individual working report	Document analysis and collation of additional documents as need be	Additional evidence			
		Conduct Interviews	Interviews			
		Prepare individual working report with provisional judgement	Individual working report			
	Team working report	Collate individual working report	Draft team working report			
Review findings	Team synthesis	Discuss initial findings and check for consistency				
		Finalise ratings and narrative judgement	Review paper			
		Finalise review report	Review report for SLT's comment			
Presentation to SLT	Internal moderation	Present findings to the SLT	Presentation			
		Discuss results of review	Moderation			
		Finalise review ratings	Moderated review report			
Action Planning	Prioritisation and action planning	Agree on priority areas for action	Priority areas for action			
		Discuss action plan	Action plan			
		Agree on monitoring and reporting arrangements	Monitoring and reporting agreement			

Performance Improvement Framework

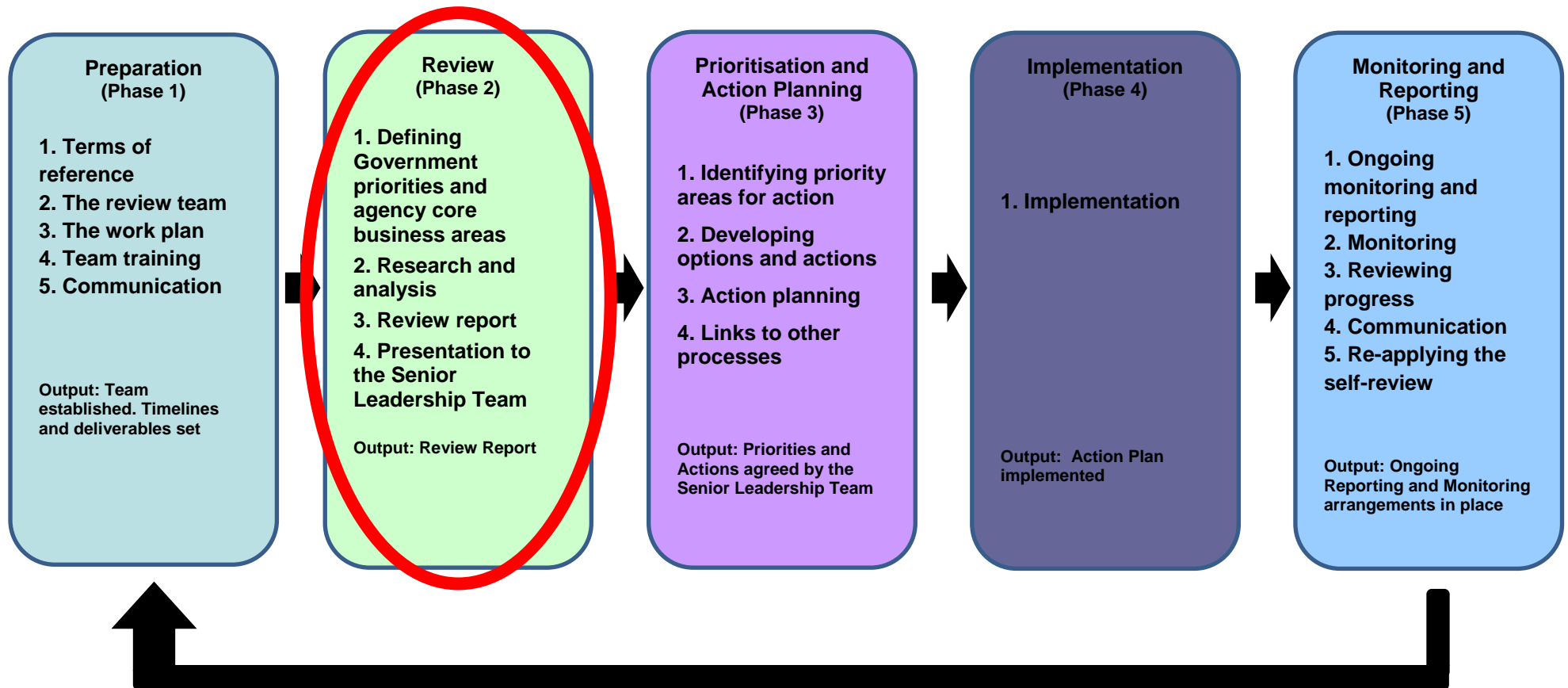
Agency Self Review

Phase 2: Review



Contents of the PIF Phases

This phase focuses on the four steps outlined in 'Review'.



Contents

1. Defining Government priorities and agency core business areas
2. Research and analysis
3. Review report
4. Presentation to the Senior Leadership Team

1. Defining Government priorities and agency core business areas

The first part of the model focuses on the results the agency is achieving. It requires a clear articulation of the priorities that Government is expecting the agency to deliver, and of the expected impacts of the agency's business as usual. The worksheet that follows can be used prior to commencing the review, to help the senior leadership team agree:

- What are the Government's priorities for the agency?
- What are the agency's core business areas and the expected impact of that delivery?

Useful sources of information are the letters of expectations from Ministers to the Prime Minister, the Prime Minister's reply, legislation, the agency's Statements of Intent and other accountability documents.

Helpful Hints

Accountability documents should reflect the agency's immediate results and longer term direction. If these documents summarise the strategic planning of the organisation it will not take long for the SLT to agree the key government priorities and core business areas.

Ministerial letters and the Prime Minister's reply will guide the selection of priorities.

If your accountability documents do not capture best practice strategic planning, then please refer to the Capability Toolkit and SSC performance information website for further assistance.

Q&As

Q. What if there is not a clear set of expectations from Ministers or the Board?

A. *The chief executive or Board Chair needs to seek this clarity from the Minister.*

Worksheet on defining areas for review

What are the Government Priorities and Core Business Areas? This should be worked through with the Senior Leadership Team.

Government Priorities	Core Business Areas
Government Priority 1 Indicators e.g. Reducing the number of children living in poverty.	Core Business Areas 1 e.g. Delivery of core benefit system. Expected Impact:
Government Priority 2 Indicators	Core Business Delivery 2 Expected Impact:
Government Priority 3 Indicators	Core Business Delivery 3 Expected Impact:

2. Research and analysis

The major methods for gathering information are document reviews, data analysis and face to face interviews. In some cases focus group sessions with staff may be used and SLT should undertake at least one reflective critical review of the agency.

Document collection

A list of the documents likely to be required for a review is shown in Template 4. The template can also be used to record how the review team access these documents.

It is important to start document collection well in advance of the Research and Analysis step as it can take time to collect the documents required. The Team Administrator should organise the collection of documents and chase up those that are not forthcoming.

Many agencies will find they do not have all the information they need to answer a PIF question. This finding is as significant as the tangible findings regarding service and cost levels. The questions in the PIF framework are designed to cover all areas considered critical to good management and performance improvement, and consequently serious consideration should be given to remedying these information gaps.

Helpful Hints

Have one person responsible for collecting all the documents.

Q&As

Q. What if we haven't got some information sources we need?

A. *Note those omissions, and use the information sources you have. One recommendation may be that the agency needs to improve its data information sources, collection and analysis.*

Interviews

Interviews can be time consuming and therefore the review team need to be clear *who* they need to talk to and about *what* areas. Interviews need to be organised well in advance to ensure availability of interviewees. Where interview information is required by more than one review team member, the interview questions may need to be collated from those various members.

The Performance Review Manager, supported by the Team Administrator, should usually be responsible for scheduling all interviews. Template 6 provides a way of recording the scheduling of interviews.

A small number of external interviews may be necessary. Examples are the Minister or a representative of key stakeholders such as a lobby group or other sector agency. Where an external person is asked to be interviewed a more formal process should take place. Formal letters outlining the interview times, content and confidentiality should be provided by the Agency to the interviewee (Template 5 is an example of a letter confirming arrangements for an external interview).

Helpful Hints

Set up interviews well in advance.

Self Review - Template 4

Documents collected for the review phase

The documents listed below are those that will almost always be required in the Review phase (based on what has been used in formal reviews)

Collect the documents on the list, as well as adding any documents relevant to the review of your agency. Start early on to allow enough time to locate documents before the review phase starts. Preferably all documents would be available electronically to the review team.

Tick (✓) when collected	Document description	Note / Comment
Generic		
<input type="radio"/>	Statement of Intent (last 3 years)	
<input type="radio"/>	Annual Report (last 3 years)	
<input type="radio"/>	Organisational Chart(s)	
<input type="radio"/>	Quarterly report to the Minister(s) (last 4)	
<input type="radio"/>	Information Supporting the Estimates (current)	
<input type="radio"/>	Briefing to the Incoming Minister(s) (latest)	
<input type="radio"/>	Output Plan (last 2 years)	
<input type="radio"/>	Baseline Alignment Proposal (latest)	
Government Priorities		
<input type="radio"/>	Priority letter from the responsible Minister(s) to the Prime Minister and Prime Minister's response	
<input type="radio"/>	Progress Report on Government Priorities (last 3)	
<input type="radio"/>	Government policy statement(s) or equivalent	
<input type="radio"/>	Relevant Ministerial speeches, media releases, or party manifestos	
	Please list any other documents you think will be relevant	

Tick (✓) when collected	Document description	Note / Comment
Core Business Areas		
<input type="radio"/>	Outcomes framework or equivalent (supporting the SOI)	
<input type="radio"/>	Business model or service delivery model documentation	
<input type="radio"/>	Unit-level strategic and business plans	
<input type="radio"/>	Performance monitoring reports / indicators	
<input type="radio"/>	Terms of reference and progress reports for key projects	
<input type="radio"/>	Evaluation reports of key programmes	
<input type="radio"/>	Regulatory plan and regulatory analysis	
<input type="radio"/>	Independent assessments of the quality of policy advice	
<input type="radio"/>	For monitoring departments - letters of expectation issued to Crown entities, monitoring framework, relationship agreement, quarterly reports to the Minister	
	Please list any other documents you think will be relevant	
Leadership, Direction and Delivery		
<input type="radio"/>	Statement of Agency's strategic direction or its equivalent	
<input type="radio"/>	SLT Terms of Reference, SLT meeting minutes for the last 3 months	
<input type="radio"/>	Sample Board papers, including sub-committees (for Crown entities)	
<input type="radio"/>	Delegation schedules	
<input type="radio"/>	Culture and values statements	
<input type="radio"/>	Operations manual, managers' handbook or any related material	
<input type="radio"/>	Evaluation programme	
	Please list any other documents you think will be relevant	
External Relationships		
<input type="radio"/>	Ministerial satisfaction survey; Ministerial servicing report	
<input type="radio"/>	Sector plan and reports from sector forums	

Tick (✓) when collected	Document description	Note / Comment
<input type="radio"/>	List of priority stakeholders	
<input type="radio"/>	Stakeholder survey, Common Measurements Tool results, customer/client satisfaction survey or related materials	
<input type="radio"/>	Relationships and engagement plan, engagement report	
<input type="radio"/>	Communications plan	
<input type="radio"/>	Kiwis Count Service Line Results	
<input type="radio"/>	Relationship agreement with monitoring department (for Crown entities)	
	Please list any other documents you think will be relevant	
People Development		
<input type="radio"/>	Strategies that cover People Development/HR/ Training and Development/ Recruitment etc	
<input type="radio"/>	Policies/frameworks for succession planning and Talent Management	
<input type="radio"/>	Centralised (or business-unit) training or leadership development budgets and analysis	
<input type="radio"/>	Copies of people management guidelines or support material for managers	
<input type="radio"/>	Workforce planning reports, other regular reporting e.g. Quarterly staffing report	
<input type="radio"/>	Policies and guidelines relating to performance management, delegation, promotion, managing conflict of interest, and fraud, corruption and theft	
<input type="radio"/>	Remuneration approaches, policies (system design) & proposals	
<input type="radio"/>	Reports or statistics from performance management process	
<input type="radio"/>	Health and safety policies, plans, reports, summary information on extent of Lost-Time Injuries or other safety & wellbeing metrics	
<input type="radio"/>	Employment relations and bargaining strategies	
<input type="radio"/>	Partnership agreements or equivalent	
<input type="radio"/>	Reports from engagement, satisfaction or other staff surveys	
<input type="radio"/>	Copies of agenda, reports, papers and minutes from any HR governance groups (e.g. Sub-committees, steering groups, etc)	
<input type="radio"/>	Pay and employment equity review (if applicable)	
	Please list any other documents you think will be relevant	

Tick (✓) when collected	Document description	Note / Comment
Financial and Resource Management		
<input type="radio"/>	Estimates (latest)	
<input type="radio"/>	Budget reports to SLT	
<input type="radio"/>	Budget forecasts for 3-5 years	
<input type="radio"/>	Budget & budget procedures	
<input type="radio"/>	Output costing reports	
<input type="radio"/>	Value for money or line-by-line reviews	
<input type="radio"/>	BASS report (if any)	
<input type="radio"/>	Fees model (if applicable)	
<input type="radio"/>	Capital asset management (CAM) plan	
<input type="radio"/>	Capital business cases (last 2 years)	
<input type="radio"/>	Gateway reviews (by discussion)	
<input type="radio"/>	Information Systems Strategic Plan (ISSP)	
<input type="radio"/>	ICT monitoring reports, ICT review, ICT programme	
<input type="radio"/>	Audit Management Letters	
<input type="radio"/>	Internal Audit Programme / reports	
<input type="radio"/>	Departmental Internal Control Environment (DICE) Reports	
<input type="radio"/>	Audit & Risk Committee Terms of Reference / Agenda / Minutes	
<input type="radio"/>	Risk Register and associated reporting	
<input type="radio"/>	Policies and procedures relating to delegations, risk, internal controls, procurement and information security	
<input type="radio"/>	Reports by the monitoring department on an entity's financial performance (for Crown entities)	
	Please list any other documents you think will be relevant	

Self Review – Template 5

Letter to an external interviewee

Date

Name

Position

Organisation

Address

Dear [*interviewee name*]

Performance Improvement Framework Review of [*agency name*]

Thank you for agreeing to participate in the interviews for [*agency name*] review. [*CE's name*] nominated you as someone who could provide comment and insight into our Agency's performance. The aim is to understand the current and future capability of our Agency, and the future challenges and areas for development as our Agency moves forward.

Your details [*name, position and status*] will remain confidential and will be known only to the review team. We will only release your name if you expressly wish it. Information gathered is summarised to ensure anonymity of individuals. You will have an opportunity to review the interview notes. I have attached a summary of the review focus and lead questions that will guide the discussion.

I will phone your office on [*day, date, time*] and meet you at [*venue*].

Your feedback will provide valuable input to our Agency's self review using the Performance Improvement Framework. It will assist in identifying areas for future development. I have also attached an explanation of the process. This attachment covers issues of confidentiality. If you have any further questions regarding the process please contact me on [*phone number*] or email

[*E-mail address*].

Thank you for your assistance.

Yours sincerely

INFORMATION FOR INTERVIEWEES

What is the purpose of the performance improvement reviews?

[Agency name] is currently using the self-review version of the Performance Improvement Framework model as a way to understand their current performance and identify areas for improvement.

What is the process for performance improvement reviews?

A review team is researching information on [Agency name] with the aim of reviewing the management capability and results performance and identifying any areas for potential development.

What are you being asked to do?

You are being asked to have a discussion with the review team around a series of questions or topics that we will inform you of in advance. In agreeing to act as an interviewee you undertake to provide a considered response. You should make judgements based on your own understanding of the agency's role and on your personal knowledge and experience of the work of the agency.

How are interviewees' comments used?

The information gathered from interviews will be used to fill any gaps in information, confirm points of notice or provide contradiction or clarification to other forms of information.

What levels of confidentiality are there? And will I get to see the interview transcript?

All individual information will be aggregated into the overall report to ensure anonymity of interviewees. Please tell the interviewer if you wish your identity to be disclosed.

You will receive a 1-2 page summary of your interview notes including any quotations we may wish to use. Should you feel the need to amend or add to these you will have 3 working days to make these changes. Please keep in mind these notes are classed as sensitive and are not seen by anyone except the review team unless otherwise stated by you.

Further questions?

If you have any further questions please contact:

[Contact details]

Thank you for your assistance.

[Name of Agency, address]

3. Review report

As Research and Analysis progresses, the review team will meet at key points to discuss findings and start to synthesise the review report. The team will challenge findings, and consider where findings overlap, and they either support or contradict each other. Finding should be evidence-based. Recording and document management protocols should ensure traceability – that is, where a rating is made, the review team should be able to show the supporting evidence for that judgement.

The review report should be short, and in a format that allows readers to focus on the key findings and the areas which are identified in the review as having the best opportunity for improvement. A mock-up review report is available as a guide to the style of report.

4. Presentation to the Senior Leadership Team

The senior leadership team should debate the review report. This process will include checking that the report is robust and evidence-based and that all appropriate evidence has been collected. SLT should also reflect objectively on themselves and the organisation.

The PIF Model

Applying the PIF model to a review challenges the reviewers to consider the following questions:

- Is the agency delivering on core business and government priorities?
- Is that delivery sustainable?

The PIF will assess whether or not the agency knows its business and is developing and deploying the capability needed to deliver on its business now and in the future.

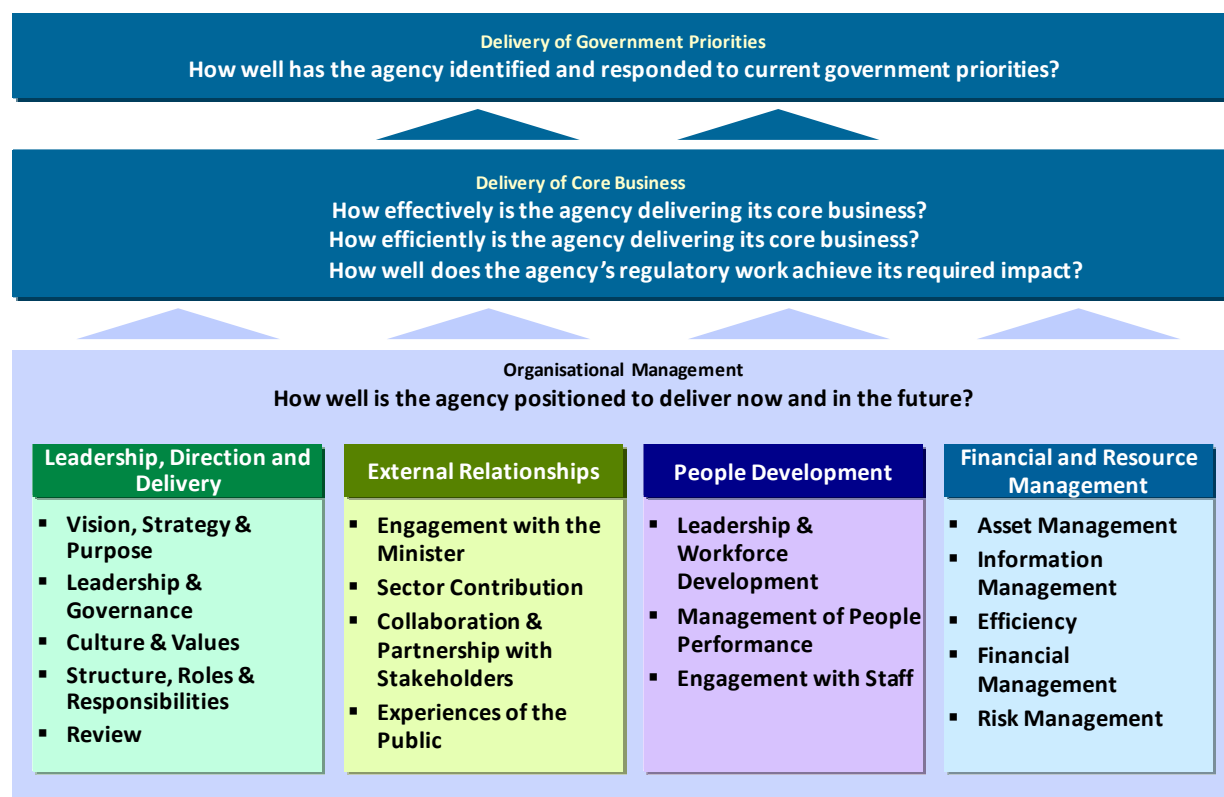
The Structure of the Performance Improvement Framework

The Framework has two major components:

1. RESULTS
2. ORGANISATIONAL MANAGEMENT

Each of these components has a number of **Critical Areas**. For example, the RESULTS component encompasses two critical areas: (1) Delivery of Government Priorities and (2) Delivery of Core Business.

The ORGANISATIONAL MANAGEMENT component encompasses four critical areas. Each critical area has a number of **Elements**. These are designed to provide a greater level of detail and focus for each of the critical areas. The following diagram summarises the **Critical Areas** and **Elements** of the Framework.



Each Critical Area in the RESULTS component and each Element in the ORGANISATIONAL MANAGEMENT component has a number of **Lead Questions**. These help define the Critical Area or Element.

Results

Critical Area	Lead Questions
Government Priorities	1. How well has the agency responded to current government priorities?
Core Business	2. How effectively is the agency delivering its core business? 3. How efficiently is the agency delivering its core business? 4. How well does the agency's regulatory work achieve its required impact?

Organisational Management

Critical Area	Element	Lead Questions
Leadership, Direction and Delivery	Vision, Strategy & Purpose	5. How well has the agency articulated its purpose, vision and strategy to its staff and stakeholders? 6. How well does the agency consider and plan for possible changes in its purpose or role in the foreseeable future?
	Leadership & Governance	7. How well does the senior team provide collective leadership and direction to the agency? 8. How well does the board lead the Crown Entity? <i>(For Crown Entities only)</i>
	Culture & Values	9. How well does the agency develop and promote the organisational culture, behaviours and values it needs to support its strategic direction?
	Structure, Roles & Responsibilities	10. How well does the agency ensure that its organisational planning, systems, structures and practices support delivery of government priorities and core business? 11. How well does the agency ensure that it has clear roles, responsibilities and accountabilities throughout the agency and sector?
	Review	12. How well does the agency monitor, measure, and review its policies, programmes and services to make sure that it is delivering its intended results?
External Relationships	Engagement with the Minister(s)	13. How well does the agency provide advice and services to its Minister(s)?
	Sector Contribution	14. How well does the agency provide leadership to, and / or support the leadership of other agencies in the sector?
	Collaboration & Partnerships with Stakeholders	15. How well does the agency generate common ownership and genuine collaboration on strategy and service delivery with stakeholders and the public?
	Experiences of the Public	16. How well does the agency meet the public's expectations of service quality and trust?
People Development	Leadership & Workforce Development	17. How well does the agency develop its workforce (including its leadership)? 18. How well does the agency anticipate and respond to future capability requirements?
	Management of People Performance	19. How well does the agency encourage high performance and continuous improvement among its workforce? 20. How well does the agency deal with poor or inadequate performance?
	Engagement with Staff	21. How well does the agency manage its employee relations? 22. How well does the agency develop and maintain a diverse, highly committed and engaged workforce?
Financial and Resource Management	Asset Management	23. How well does the agency manage agency and Crown assets, and the agency balance sheet, to support delivery?
	Information Management	24. How well does the agency utilise information & communications technologies to improve service delivery?
	Efficiency	25. How robust are the processes in place to test for efficiency and make efficiency improvements? 26. How well does the agency balance cost and quality when considering service delivery options?
	Financial Management	27. How well does the agency manage its financial information and ensure financial probity across the business?
	Risk Management	28. How well does the agency manage agency risks and risks to the Crown?

Lines of Enquiry and Performance Indicators

To assist with reviews, the PIF model has incorporated Lines of Enquiry and Performance Indicators into each part of the model. The Lines of Enquiry are a set of more in-depth, probing questions that will assist in answering a lead question. Performance Indicators (PIs) describe what a ‘Strong’ rating could look like (although this is not necessarily a full list of PIs and others may apply).

People Development	
Leadership & Workforce Development	17. How well does the agency develop its workforce (including its leadership)?

Lead Question

17. How well does the agency develop its workforce (including its leadership)?

Lines of Enquiry

- How does the agency align its people development strategy and practices with its business strategy?
- What development and support is available to those in managerial or leadership roles and how effective are these?
- What approaches does the agency take to build its overall management and leadership capability?
- What approaches does the agency take to enhance the capability of its general workforce and how effective are these?
- How well does the agency prioritise and manage its people development spend?

Performance Indicators

- ★ The people development strategy (including leadership development) is aligned with wider business strategy and agency priorities.
- ★ The agency has individual development plans for all staff, explicit managerial responsibility for development, and priority and importance given to meaningful development activities.

Making Review Ratings

The Results section of the PIF looks at how well the agency is delivering on its core business activities and government priorities. Therefore EVERY core business area and government priority for that agency should be reviewed and rated. Each core business area is assessed on two dimensions: efficiency and effectiveness.

For example:

SUMMARY OF REVIEW

RESULTS

Government Priorities	Rating	Core Business	Rating (Efficiency)	Rating (Effectiveness)
Greater efficiency for governments ICT Procurement		ICT procurement		
Use syndicated suppliers to drive an efficient State Services		School lunches		
Best practice available through State Services		Policy advice		
			Rating	
		Regulatory Impact		

ORGANISATIONAL MANAGEMENT

Leadership, Direction and Delivery	Rating
Vision, Strategy & Purpose	
Leadership & Governance	
Culture & Values	
Structure, Roles and Responsibilities	
Review	
External Relationships	Rating
Engagement with the Minister(s)	
Sector Contribution	
Collaboration & Partnerships with Stakeholders	
Experiences of the Public	

People Development	Rating
Leadership & Workforce Development	
Management of People Performance	
Engagement with Staff	
Financial and Resource Management	Rating
Asset Management	
Information Management	
Efficiency	
Financial Management	
Risk Management	

Anchor Statement

Strong	Well placed	Needing development	Weak	Not assessed ?
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PART TWO: The Government Priorities Critical Area

The first part of the Results section looks at how well the agency is delivering on Government priorities. The lines of enquiry cover four areas and allow for an assessment of how well the agency has understood and articulated the priority, how well they have put indicators in place, and how well they have deployed resources and managed risks associated with the priority.

EACH government priority needs to be identified, assessed using the lines of enquiry, and rated separately.

1. How well has the agency responded to current government priorities?

Lines of Enquiry

Definition/identification. What are the critical government priorities that the agency is responsible for delivering? Are the critical priorities defined at an intermediate outcome level, impact level or output level?





Resource allocation. Has the agency committed the appropriate resources and effort to the priorities?

Achievement. Are there robust indicators for the critical priorities? Are the critical priorities being achieved?

Risk. How has the agency identified any significant delivery risks and does it have systems in place to mitigate these?

Performance Indicator

★ The agency is delivering on government's critical priorities.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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PART THREE: The Core Business Critical Area

The second part of the Results section looks at how well the agency is delivering on its core business areas. There are two parts to this Critical Area of the PIF: the first looks at the effectiveness and efficiency of the core business areas, and the second looks at regulatory impact.

The Effectiveness & Efficiency of the Agency’s Core Business

For this part of the review there are two lead questions: one looking specifically at efficiency and the other at effectiveness. The lines of enquiry in the effectiveness area cover five areas and the lines of enquiry in the efficiency section covers six areas.

EACH core business area needs to be identified, assessed using the two lead questions and their associated lines of enquiry. Each core business area therefore needs to be rated on both efficiency and effectiveness.

If the agency has Crown entity monitoring responsibility, that should be included as a core business area unless it is regarded as not material for the purposes of the review.

2. How effectively is the agency delivering its core business?

Lines of Enquiry

Core business. What are the core functions, business and operational services (core business) that the agency is responsible for delivering?

Outputs and measures. Has the agency identified the right outputs and impact measures for the desired outcomes?





Achievement. Does the agency deliver core business to the right people at the right time and in the right way?

Review and alternatives. Does the agency review delivery? Does the agency consider alternative delivery options to achieve the intended impact?

Crown entities. How well does the agency undertake its Crown entity monitoring responsibilities including assisting the Crown entity to improve performance?

Performance Indicators

- ★ The agency’s core business is delivering the intended results.
- ★ The agency’s targets and indicators show the links between inputs, outputs, impacts and outcomes.
- ★ Managers can articulate the appropriate balance between standards and cost.
- ★ The monitoring agency has clearly defined its expectations to the Crown entity.
- ★ The Minister is kept informed with good information.
- ★ The agency can demonstrate its Crown entity monitoring has helped the monitored agency improve performance.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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3. How efficiently is the agency delivering its core business?

Lines of Enquiry

Indicators. Does the agency set, monitor and report on efficiency indicators in its accountability documents?

Expectations. Should expectations for delivery of its core business be higher (quality, quantity, targeting, timeliness, location, cost and coverage)?

Balance. Is the core business being achieved in a way that balances cost, quality and quantity?





Resources. Has an increase in resources to the agency led to more core business being done, or the core business being delivered at a higher quality? Is more being achieved for less?

Review and alternatives. How does the agency review and consider alternative delivery options to achieve the efficiency gains?

Benchmarking. Does the agency compare its services against benchmarks (including international where appropriate and available)?

Performance Indicators

- ★ The agency can demonstrate it has improved efficiency.
- ★ The agency can describe the trade-offs it made when making delivery decisions (e.g. changes to policy settings, ICT, management of capital assets, use of people resources).
- ★ The agency can demonstrate it has considered efficiency gains from alternative delivery options.
- ★ The agency identifies measures and reports on the cost, quality and quantity of its delivered services.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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The Agency's Regulatory Impact

A PIF review considers the impact of the agency's regulatory work. The following lead question is used to provide an overall assessment of how well the agency manages its regulatory responsibilities.

Unlike the core business areas, this component does not ask you to rate every regulation administered by the agency. There is just one single rating looking at the agency's overall performance in this area.

4. How well does the agency's regulatory work achieve its required impact?

Lines of Enquiry





Regulatory environment. What are the key interventions (or types of interventions) made by legislation or regulation administered by the agency?

Achievement. What are the impacts and outcomes sought from key legislative interventions? What does the agency know about the achievement of impacts, outcomes and unintended consequences?

Review of regulatory work: Does the agency undertake periodic regulatory reviews? What have they found?

Performance Indicators

- ★ The agency manages key legislative interventions to deliver benefits that exceed total costs.
- ★ Analysis demonstrates current interventions deliver higher net benefits than alternatives.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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PART FOUR: The Leadership, Direction & Delivery Critical Area

The Leadership, Direction & Delivery section is large and involves five elements, several of which have two lead questions. The following tables outline the lead questions and their associated lines of enquiry and performance indicators.

ELEMENT: Vision, Strategy & Purpose

5. How well has the agency articulated its purpose, vision and strategy to its staff and stakeholders?

Lines of Enquiry

Setting strategy. How does the agency set its long-term direction and articulate its vision?

Alignment. How does the agency identify and set short-term strategy in line with outcomes, government priorities and organisational strengths? What processes does the agency use to determine outcomes in line with government priorities?

Impact and outcomes. How does the agency identify and articulate the impacts it seeks to achieve, as well as the inter-linkages with other sector and agency's strategies?

Performance Indicators

- ★ The agency has clearly defined and well communicated outcomes, impacts and clear rationale for intervention selection (intervention logic).
- ★ The agency demonstrates clear linkages between strategy and implementation documents and individual action.
- ★ The agency's vision, strategy and impacts complement other sector agencies' direction.
- ★ Staff can articulate what the agency wants to achieve, its role and purpose.
- ★ Strategy is considered by the management team regularly throughout the year.
- ★ Strategy links organisational results in a way that informs organisational management.

6. How well does the agency consider and plan for possible changes in its purpose or role in the foreseeable future?

Lines of Enquiry





Future focus. Does the agency consider its environment, and the implications for its role and function in the future?

Core competency. How does the agency align its organisational strengths and competencies so that it can remain agile?

Innovation and risk. How does the agency balance innovation, experimentation, risk taking while managing risk and maintaining quality?

Performance Indicators

- ★ The agency uses systems of review and evaluation to complete scanning, amend strategy and adjust direction when required.
- ★ The agency demonstrates forward planning to capitalise on agency strengths and further develop new competencies where required.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Leadership & Governance

7. How well does the senior team provide collective leadership and direction to the agency?

Lines of Enquiry

Strategic focus. How effectively does the leadership team look at strategically important issues and matters that affect the agency?

Common purpose. To what extent do members of the leadership team share a common and coherent vision for the future of the agency, and the critical issues facing the agency?

Quality of interaction. To what extent does the leadership team engage in effective discussion, debate, and agree actions on strategically important issues?

Mutual support. How much support do the leadership team give each other?

Role modelling. How successfully does the leadership team show it is 'walking the talk'? Does the leadership team assess its own performance?

Performance Indicators

- ★ The agency's leadership team consider, debate and agree on strategically important issues and subsequent actions.
- ★ The agency's leadership team shows collective responsibility for its decisions.
- ★ The agency's leadership team have a development plan in place.

8. How well does the board lead the Crown agent? (Crown Entities Only)

Lines of Enquiry





Relationship. How effectively does the Chair lead the Board? How does the Board (through the Chair) maintain relevant and timely communication with the leadership team through the chief executive?

Strategic management. How does the Board undertake strategy setting and performance monitoring?

Self review. How does the Board periodically assess its own performance and that of individual members? Are the required skills and perspectives identified when appointing board members?

Performance Indicators

- ★ The Board sets strategy and performance goals which are aligned to government priorities.
- ★ The performance of the Board as a whole, and its individual members, is assessed.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Culture & Values

9. How well does the agency develop and promote the organisational culture, behaviours and values it needs to support its strategic direction?





Lines of Enquiry

Defining values. How does the agency define the values and culture needed to support policy, service delivery and effective regulation?

Developing culture. How does the agency promote the values and culture needed to support policy, service delivery and effective regulation?

Performance Indicators

- ★ The agency has articulated the desired culture, and has leadership, systems and processes in place to support the required behaviours.
- ★ Managers and staff can articulate ‘what kind of place this is’ with some consistency.
- ★ The agency has integrated the desired culture and values into the way the business is managed and across all areas of work.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Structure, Roles & Responsibilities

10. How well does the agency ensure that its organisational planning, systems, structures and practices support delivery of government priorities and core business?

Lines of Enquiry

Planning. How does the agency ensure the strategic, business and action plans remain dynamic and serviceable?

Systems and structure. How do the agency's system and organisational structures support service delivery and its wider strategy?

Policies and practices. How do the agency's policies and practices support an effective and efficient service?

Performance Indicators

- ★ The agency business unit structures and plans support the agency's purpose and delivery.
- ★ Planning effectively turns strategy into achievement of intended impacts.
- ★ The agency's policies and practices facilitate the delivery of an effective and efficient service.





11. How well does the agency ensure that it has clear roles, responsibilities and accountabilities throughout the agency and sector?

Lines of Enquiry

Accountability requirements. What processes does the agency use to ensure accountabilities and responsibilities are appropriate, transparent and well understood, internally and externally?

Performance Indicator

- ★ Accountabilities and responsibilities are appropriately set, clearly documented and well understood throughout the agency and across the sector.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Measurement & Review

12. How well does the agency monitor, measure and review its policies, programmes and services to make sure that it is delivering its intended results?

Lines of Enquiry

Setting performance measures. What mechanisms does the agency use to identify and set the appropriate performance measures?





Monitoring progress. How does the agency check that it is managing performance? How does the agency monitor and measure its progress towards achieving its outcomes, results and impacts?

Monitoring effectiveness. What processes does the agency use to review and evaluate the effectiveness of its policies, programmes, administered regulations and services?

Review performance assumptions. Are the results of programmes reviewed against the expected impacts and outcomes in the original business case, rather than just against programme objectives?

Performance Indicators

- ★ The agency monitors and assesses its performance.
- ★ The agency's performance measures accurately reflect its performance.
- ★ Performance indicators and measures are specific, measurable, achievable, relevant and time-bound (SMART).
- ★ The agency uses performance information to improve policy, regulatory interventions and service delivery.
- ★ Measurement and review is 'live', not only a once a year event.

Strong		Well placed		Needing development		Weak		Not assessed ?
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PART FIVE: The External Relationships Critical Area

This section looks at four elements, each with one lead question. The following tables outline the lead questions and their associated lines of enquiry and performance indicators.

ELEMENT: Engagement with the Minister

13. How well does the agency provide advice and services to their Minister(s)?





Lines of Enquiry

Quality. What mechanisms does the agency use to give relevant Ministers good advice in a timely manner? Does the agency maintain a culture of ‘no surprises’ with the Minister?

Crown entities. What processes does the agency use to monitor and report on Crown entities to assist Ministers?

Performance Indicators

- ★ The Ministers report that the advice is accurate, honest and timely.
- ★ The agency:
 - reviews the accuracy of assumptions
 - predicts risks and opportunities
 - manages unintended consequences
 - receives independent evaluation of the quality of policy advice.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Sector Contribution

14. How well does the agency provide leadership to, and/or support the leadership of other agencies in the sector?





Lines of Enquiry

Relationships. Does the agency maintain effective working relationships with others in the sector?

Sector collaboration. How does the agency identify and pursue opportunities for shared outcomes, joint initiatives, shared services and collaborative work programmes across the sector?

Performance Indicators

- ★ The agency has strong sector relationships.
- ★ The agency has knowledge and understanding of the needs and roles of other members of the sector.
- ★ The agency’s strategy and services complement those of the other sector agencies.
- ★ Where appropriate, sector agencies work jointly.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Collaboration & Partnerships with Stakeholders

15. How well does the agency generate common ownership and genuine collaboration on strategy and service delivery with stakeholders and the public?

Lines of Enquiry





Stakeholder (including Māori and iwi) engagement. How well does the agency collaborate with stakeholders when forming strategy, implementing policy or delivering services?

Emerging issues. What processes does the agency use to keep itself conversant with emerging policy issues for those most affected and interested?

Impact assessment. What processes does the agency use to review and evaluate outcomes and impacts in collaboration with those most affected and interested?

Performance Indicators

- ★ Stakeholders voluntarily support and comply with strategies and policies.
- ★ The agency understands and is responsive to stakeholders.
- ★ The agency adapts its direction and delivery to improve its impact on those most affected and interested.
- ★ Stakeholders are informed of changes to government priorities and services.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Experiences of the Public

16. How well does the agency meet the public's expectations of service delivery quality and trust?

Lines of Enquiry




Monitoring. Does the agency understand and monitor public expectations of service quality and trust?

Expectations. Does the agency use this information to set clear service standards and expectations?

Service improvement. Does the agency use information on public expectations of service quality and trust to improve service delivery?

Performance Indicators

- ★ The public trusts the agency and has high regard for its service delivery.
- ★ The Minister is aware of any discrepancies between public expectations and current service delivery.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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PART SIX: The People Development Critical Area

This section looks at three elements, each with two lead questions. The following tables outline the lead questions and their associated lines of enquiry and performance indicators.

ELEMENT: Leadership & Workforce Development

17. How well does the agency develop its workforce (including its leadership)?

Lines of Enquiry

Alignment with strategy. How does the agency align its people development strategy and practices with its business strategy?

Leadership capability. What approaches does the agency take to build its overall management and leadership capability? How effective are these approaches?

Targeting development. What approaches does the agency take to enhance the capability of its general workforce and how effective are these? How well does the agency prioritise and manage its people development spend?

Performance Indicators

- ★ The people development strategy (including leadership development) is aligned with wider business strategy and agency priorities.
- ★ The agency has individual development plans for all staff, explicit managerial responsibility for development, and priority and importance given to meaningful development activities.

18. How well does the agency anticipate and respond to future capability requirements?

Lines of Enquiry

Planning. How does the agency anticipate and plan for future capability requirements and workforce risks?

Implementation. What approaches does the agency take to ensure that future capability requirements are implemented, and workforce risks are mitigated?

Performance Indicator

- ★ The agency has plans in place to either attract or develop the necessary future capability and minimise future workforce risks.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Management of People Performance

19. How well does the agency encourage high performance and continuous improvement among its workforce?

Lines of Enquiry

Supporting processes. How does the agency set expectations, track progress and provide feedback to individual staff members? How does the agency ensure that its performance management processes are consistent, timely, fair and relevant?

Alignment. How does the agency ensure that individual objectives are aligned with team, business unit and agency objectives?

High performance. How does the agency encourage and support high performance and continuous improvement in both individuals and teams?

Performance Indicators

- ★ The agency demonstrates that formal performance management processes are clearly understood, consistently applied and deemed by all staff to be a valuable activity.
- ★ The agency demonstrates that individual performance targets are clearly aligned with the team, business unit and agency’s overall performance targets.
- ★ The agency is able to demonstrate how it rewards / recognises high performance and how effectively this approach either maintains or encourages higher levels of performance among teams or individuals.

20. How well does the agency deal with poor or inadequate performance?





Lines of Enquiry

Identification. What systems does the agency have in place to identify inadequate or unacceptable performance?

Managerial capability. How capable and willing are managers to address poor performance within their teams? What support does the agency provide to managers to help them address poor performance within their teams?

Performance Indicators

- ★ The agency is able to demonstrate that all staff understand what constitutes inadequate or unacceptable performance.
- ★ The agency is able to demonstrate that managers effectively address poor performance.
- ★ Staff acknowledge that poor performance is effectively managed.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Engagement with Staff

21. How well does the agency manage its employee relations?

Lines of Enquiry

Relationships. How well does the employee relations strategy align with the wider human resources and business strategy? How effectively does the agency engage with the union(s), other employee representative groups and individuals?

Sector view. How does the agency ensure that its bargaining parameters and strategies reflect wider sector priorities?

Safety. How does the agency ensure that it creates and maintains a safe working environment for all staff? How does the agency promote a 'culture of safety' among its staff?

Performance Indicators

- ★ The agency's employee relations strategy is clearly aligned to the overall business strategy.
- ★ The agency effectively and constructively engages with unions, other employee representative groups and individuals.
- ★ The agency's bargaining parameters and strategies reflect wider sector priorities and precedents.
- ★ The agency has well-understood and consistently applied workplace safety practices that demonstrably facilitate a safe working environment.

22. How well does the agency develop and maintain a diverse, highly committed and engaged workforce?





Lines of Enquiry

Employee engagement. What processes does the agency have in place to understand the views and monitor the commitment and engagement levels of its workforce? What approach does the agency take to enhance the commitment and engagement levels of its workforce?

Diversity. How well does the agency encourage diverse ideas, cultures and thinking throughout the organisation?

Performance Indicators

- ★ The agency is able to demonstrate how it has built or maintained high levels of commitment and engagement among its staff.
- ★ The agency is able to demonstrate how it has effectively incorporated diverse ideas, culture and thinking into its day-to-day activities.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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PART SEVEN: The Financial & Resource Management Critical Area

This section looks at five elements, each with one or two lead questions. The following tables outline the lead questions and their associated lines of enquiry and performance indicators.

ELEMENT: Asset Management

23. How well does the agency manage agency and Crown assets, and the agency balance sheet, to support delivery?

Lines of Enquiry

Planning. How does the agency identify the assets it needs now and in the future? Do plans reflect future needs? Does asset planning consider a full range of options including better use of the existing asset portfolio and non-asset based solutions? Is the asset plan consistent with the financial baseline?

Utilisation. What processes does the agency use to monitor asset usage, condition, availability, functionality and operational effectiveness? Does the agency identify and dispose of surplus assets?





Control. How does the agency protect and enhance its fixed assets? Are there routine inventory checks and maintenance?

Financing. Does the agency's asset planning take into account depreciation funding, asset utilisation, capital charges and revaluation policy?

Intangibles. How does the agency identify and manage intangible assets like goodwill, brands and trademarks?

Performance Indicators

- ★ . The agency has an agency wide asset plan that describes current and future asset needs, asset maintenance, acquisitions and financing including the use of depreciation funding.
- ★ The agency provides reports on asset performance to key stakeholders accurately and in a timely manner.
- ★ The agency's asset policies are transparent in external reporting so stakeholders, including responsible Ministers, understand the true value and opportunity cost of asset ownership.
- ★ Asset acquisition is suitably contestable.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Information Management

24. How well does the agency utilise information and communications technologies to improve service delivery?

Lines of Enquiry

ICT planning and management. How does the agency actively plan for and manage its current and future ICT needs?





Service delivery channels. Do the agency's service delivery channels reflect current service needs and future delivery opportunities? Are they actively managed, user-friendly and suitably linked to cross-government services?

Monitor, review and adapt. How does the agency project manage, monitor, review and adapt its ICT services to optimise government investment and continuously improve systems?

Data integrity. How does the agency identify and protect crucial data? Are privacy policies in place? How does the agency ensure the integrity and quality of data?

Performance Indicators

- ★ . The agency has an ICT plan based on business needs, and the strengths and weaknesses of available ICT options.
- ★ The agency's technology systems cost-effectively support current and predicted service delivery.
- ★ The business case clearly articulates the link between the technology chosen and the impact required.
- ★ The investment is appropriate to the business requirement and the gaps or deficiencies are clearly understood.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Efficiency

25. How robust are the processes in place to test for efficiency and make efficiency improvements?

Lines of Enquiry

Evidence. Do reports on performance use appropriate evidence that demonstrates achievement of results and value for money?

Specification. Are outputs clearly specified in terms of both quantity and standards?

Funding. Do funding changes relate to changes in volumes or standards?

Documentation. Are the business models documented?

Value. How does the agency ensure it gets the best value for money for inputs it purchases, from both the agency and whole of government perspective? Are inputs acquired through contestable processes?

Benchmarking. Does the agency use meaningful benchmarks for improving efficiency?

Review. Does the agency have a process for reviewing and improving efficiency?

Innovation. Does the agency actively self-test and innovate?

Performance Indicators

- ★ The agency demonstrates improved quality, price and quantity tradeoffs.
- ★ The agency uses benchmarks to improve efficiency and describes these in accountability documents.
- ★ The agency has clear documentation that shows the logical progression from inputs to outputs and then to impacts.

26. How well does the agency balance cost and quality when considering service delivery options?

Lines of Enquiry

Trade-offs. When policy or service delivery options are considered, are cost, quality and price trade-offs identified?

Capacity. What is the capacity of the agency to analyse cost, quantity and quality trade-offs (e.g. the people with the appropriate skills and time to use them or other suitable resources that undertake this analysis)?

Improvement. How does the agency identify the cost of additional quality improvements?

Cost-benefit analysis. Does the agency appropriately include cost-benefit analysis in decision making? How well does the agency undertake cost-benefit analysis?

Ministers. Does the agency provide high quality advice to Ministers on these issues?

Performance Indicators

- ★ Tradeoffs are explicitly documented and inform decision making.
- ★ The agency demonstrates rigour of discussion on quality, price and quantity tradeoffs during planning.
- ★ The agency conducts regular funding reviews to continuously improve performance.
- ★ Inefficient programs are identified, and improved or discontinued.

Strong



Well placed



Needing development



Weak



Not assessed ?

ELEMENT: Financial Management

27. How well does the agency manage its financial information and ensure financial probity across the business?

Lines of Enquiry

External reporting. Are external reports timely, accurate and fairly represent the financial performance of the agency?

Probity. Are limits on spending adhered to? Are all financial obligations met in a timely fashion?

Output costing. Are outputs clearly specified and properly costed?

Cost recovery. How does the agency analyse and set cost recovery levels?





Managing expenditure. How well does the agency plan its resource requirements? Does the agency manage its expenditure throughout the year as planned?

Internal control. Are internal controls documented, understood and adhered to? Are systems and controls appropriate to the underlying risk?

Fraud. How well does the agency deal with fraud when it is detected?

Performance Indicators

- ★ The agency monitors and reports financial information accurately and on time.
- ★ The agency stays within its annual allocated budgets and does not need additional funding.
- ★ The agency has appropriate costing mechanisms in place and uses this information to improve the management of the business.
- ★ The agency manages cost and recovery levels to properly meet its obligations.
- ★ The agency demonstrates a culture of self-awareness and appropriate systems for internal control.
- ★ Managers know their financial obligations, meet them and understand the implications of their decisions.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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ELEMENT: Risk Management

28. How well does the agency manage agency risks and risks to the Crown?

Lines of Enquiry

Identification and assessment. How does the agency identify and assess risk? Are risks communicated through the agency?

Management. How does the agency manage and mitigate risk? Does learning inform future risk management?

Audit and Risk Committee. Is there an audit and risk committee to oversee the risk framework?





Stakeholders. Are the perspectives of other stakeholders including the Minister taken into account in risk management?

Engagement. Does the agency actively engage with stakeholders and the wider community in understanding the risks and consequences of its interventions?

Balance. Does the agency identify appropriate levels of risk taking and properly balance this with other objectives?

Performance Indicators

- ★ The agency can articulate the main risks it faces; outline its mitigation strategies and demonstrate improvement derived from learnings.
- ★ The agency follows appropriate processes, including documentation and active risk oversight.
- ★ There is a high level of stakeholders' understanding of, and engagement in, the identification and management of risk.
- ★ The agency staff participate in the identification and mitigation of risk.

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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Performance Improvement Framework

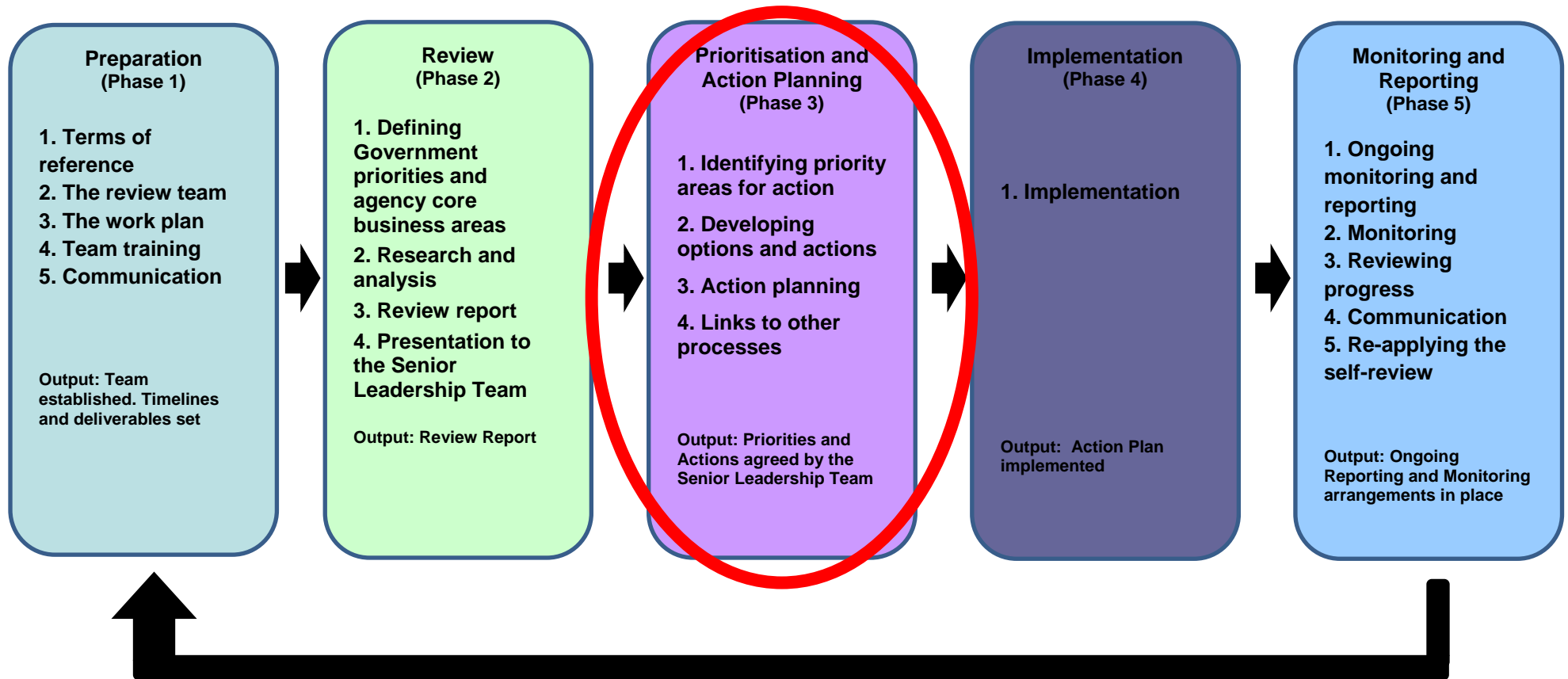
Agency Self Review

Phase 3: Prioritisation and Action Planning



Contents of the PIF Phases

This phase focuses on the four steps outlined in 'Prioritisation and Action Panning'.



Content

1. Identifying priority areas for action
2. Developing options and actions
3. Action planning
4. Links to other processes

Introduction

This phase is in a different format than the others and is primarily written for those with limited experience in action planning. It suggests and outlines a variety of approaches to prioritising and planning improvements. Agencies may already have well aligned systems and processes for action planning and monitoring performance and these should be used where appropriate.

This phase is intended to encourage the application of project management techniques to the prioritisation and action planning stages of the PIF review. It describes simple processes and well-known techniques. Nevertheless these techniques, if applied with the commitment of the senior management team, can be very effective in creating a significant improvement in an agency's performance.

1. Identifying priority areas for action

After the review has been completed, the Senior Leadership Team will have a series of findings and recommendations.

The Senior Leadership Team can expect that there will be:

- a range of recommendations identified from the review;
- high expectations within the Agency that 'something' is going to be made better or happen;
- pressures as to what can be done within the resources available;
- recommendations that are dependent upon the success of others;
- recommendations that have time constraints surrounding them.

To realise the benefits of the review and achieve performance improvement the agency needs to identify the priority areas for action that will have the maximum impact, both immediately and over the longer term.

The findings and priority areas for action from the review need to align and support the Agency's longer term direction. This phase assumes that the Agency is clear on its Vision, Mission, Strategies and performance measures.

It is likely that the review will include a range of recommendations. Some may be broad issues while others may be quite specific actions. We recommend that the Senior Leadership Team hold a workshop to consider all the findings and recommendations from the review to come up with a set of priority areas for action.

It may be useful for SLT to consider each recommendation or finding against the following factors, to ask what would be the:

- a. impact on government priorities?
- b. effect the future direction of the Agency?
- c. impact on the way the Agency conducts its business?
- d. impact on the Agency's current focus areas
- e. effect the Agency's current outputs, targets and initiatives?
- f. impact on the agency's performance?
- g. best way to implement this?

A simple and effective technique for prioritisation is a discussion by senior managers and invited staff, followed by some form of voting. One simple voting process involves using "post-its" for each recommendation, and putting them on a whiteboard to ascertain the consensus about priorities.

Alternatively you may choose to bring in a facilitator and ask them to design techniques for prioritisation.

We recommend that an agency focuses on the top two or three priorities and then sequences the others for future improvement.

Helpful Hints

If there is an extensive list of recommendations, it may be useful for a sub-group of the Senior Leadership Team to undertake an initial prioritisation exercise.

There may be a risk of selecting priority areas for action that are achievable but may not have the maximum impact on performance improvement.

Q&As

Q. How many priority areas for action should there be?

A. *The SLT is best placed to determine what is manageable and appropriate depending on the context of the agency, however a small number (2-3) of critical areas for action is recommended to maintain focus and drive improvement.*

2. Identifying options and actions

After the Agency has an agreed set of priority areas for action, it would then identify options to address the priority areas. The Agency will have its own functional experts to draw on when developing options. Other resources are also available. The Capability Toolkit (available on the SSC website) provides guidance and references on good practice in specific areas of performance. SSC Performance Specialists and Treasury Vote Managers will also be able to provide information on other central agency resources that may be useful.

There are many ways that options can be assessed and prioritised. Some processes for assessing strategic options include:

- analysing the suitability of options;
- assessing the extent to which the strategic options exploit opportunities and avoids threats;
- optimising the organisation's strengths and core competencies;
- assessing the implications for the cultural and political context.

The Agency can use a two step process for analysing strategies by examining the broader external context and the more immediate internal environment. Step 1 involves examining the Agencies' strengths and vulnerabilities. The second step involves evaluating each opportunity using Strengths-Weaknesses-Opportunities-Threats (SWOT) criteria.

There are also a variety of comparative tools. A Threats-Opportunities-Weaknesses-Strengths (TOWS) matrix can assess the match between the external and internal environments (David, 1993). The TOWS model matches the:

- internal strengths with external opportunities;
- internal weaknesses with the external opportunities;
- internal strengths with external threats;
- internal weaknesses with external threats.

Matching can also occur in the form of: Strengths/Opportunities; Weaknesses/Opportunities; Strengths/Threats; and Weaknesses/Threats which become strategy/ies in themselves.

Agency's need to be aware that matching the key external and internal characteristics with the actions is the most difficult part of prioritising as 'good judgment' and 'fit for purpose' analysis is required, there being no one best set of matches.

There are also forms of weighing up, ranking, or weighting of the range of options to identify which actions will deliver the greatest benefit and cause the least detrimental effect to stakeholders.

The Agency may also wish to consider some 'quick wins' in developing its actions. Quick wins can energize staff and build momentum for improvement. They may be particularly important if priority areas for action involve change where impacts and benefits are medium to long term.

It is important also for the Agency to be aware of how the actions may impact on current risks or create new risks. As part of the option and action planning process, the Agency may need to examine the current risks and consider the risks impacts of proposed options and actions.

3. Action planning

Action planning is crucial to sustained improvement. Action planning closes the link between government's priorities, the agency's priorities, future direction and actions. There are seven general elements to a good action plan. These elements are described below, including prompt questions that relate to each element.

3a. Fit for purpose

An action plan needs to be fit for purpose. Some actions may involve substantial change (such as integration of an IT system across regional offices) and would require processes such as business case, cost benefit analysis, and significant resource considerations. Other actions (such as improvement to Risk Management practices) may not need substantial resources but may require a change in processes and culture across the Agency.

3b. Linking actions to strategy

The priority actions are those that need addressing over the next year. It is important that the ‘action’ is stated as an actionable objective. Good starters for a measurable objective are: ‘To develop, deliver, implement, review, or withdraw’. Avoid action statements that start with ‘To ensure ...’, as these are harder to measure or for staff to understand what is to be done.

Prompt question - What specific actions must be implemented in the next six months of the year?

3c. Milestones and indicators

Each action should be able to show that it will contribute to improving, or changing ‘something’ for the Agency. It is useful for staff either watching the progress or involved with the change to have milestones which track progress during the year.

The Agency needs to have an awareness of the potential impacts of the change including the impacts on customers, stakeholders and public (media) reaction. The Agency also needs to be aware of the potential risks associated to the impacts, outcomes and change. Actions need to be integrated into the Agency’s risk management plans. Table 1 provides an example of indicators.

Prompt question - What are the expected milestones and indicators of success?

3d. Roles and responsibilities

Responsible parties may come from a range of other government agencies, non-government organisations, and private sector companies. We recommend that the Agency discuss the self-review with Central Agencies – specifically Deputy Commissioners.

It is crucial for the Agency to consider how the actions align with the delivery aspect of the Agency; that is, aligning people development with the actions. Figure 3 provides an example of how actions may link to the performance of a senior staff member.

Prompt questions - Who are the responsible parties? What are their roles and responsibilities?

3e. Timing of Actions

Timing of actions will be critical to success. Some actions will be interdependent and need to be appropriately sequenced. Others will need to be implemented in align with other significant government processes, such as the financial or budget cycle, calendar year (staff holidays/absences), and planning (SOIs). Any event that can have a significant positive or negative impact on the action planning and implementation is critical to consider e.g. an economic downturn.

Prompt question - When will the actions be taken?

3f. Resources

This element requires a clear understanding of the resourcing implications and requirements on the agency itself. Resources can be either Human - a skill set, or technological, financial etc.

Prompt question - What resources will be required and where will they come from?

3g. Review and monitoring and assurance

When creating performance measures to improve identified areas of improvement, the challenge is ensuring performance objectives are supported by the organisation's own measures. That means the Agency must be clear on what will be measured, the method of

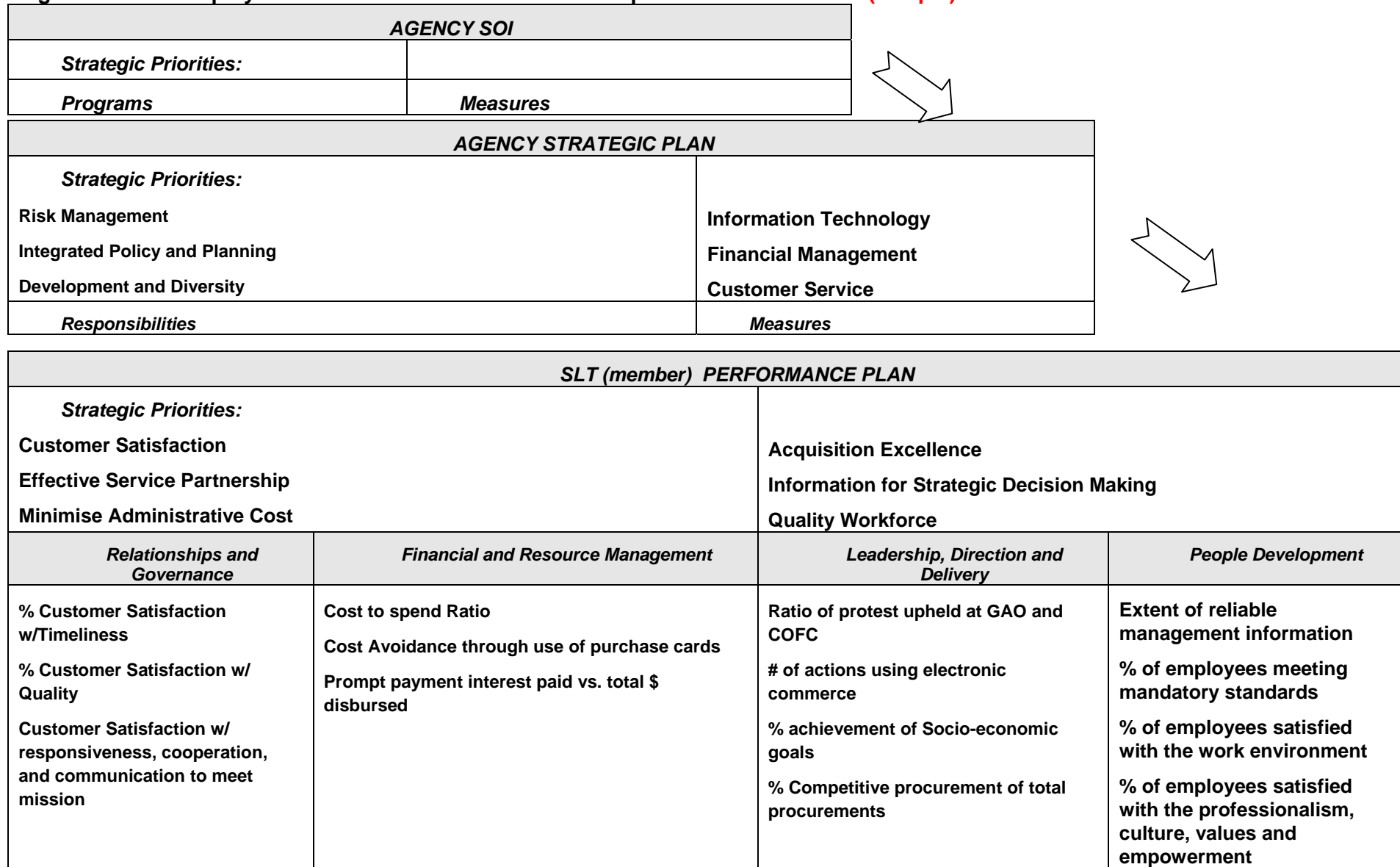
measurement, the data source, and the time period for the measurement. It is recommended a mix of both quantitative and qualitative measures be included.

Prompt question - How will action plan implementation be reviewed and monitored and accountability assured?

Table 1: Linking Actions to performance measures (sample only – would need to be adapted to Performance Improvement Framework)

STRATEGY XXX PERFORMANCE MEASURES						
Measure Category	Sample Measure	Data Systems	Customer	Internal Process	Financial	Learning & Growth
A. Customer Satisfaction and Service Partnership	Percentage of time program offices are satisfied with support contractors	Past Performance Eval. Form, PMAT	X			
B. Performance Based Contracting	Percentage of contracts with performance based SOW	MIS, Automated Procurement Sys.		X		
	Percentage of contractors meeting metrics in performance based SOWs	Past Performance Evaluation Form		X		
	Percentage of service contract dollars that are fixed price versus total service contract dollars	FPDS		X		
	Percentage of programs with Program Deviation Reports versus total number of programs	MIS		X		
	B.5. Percentage of contracts with delivery/performance incentives where incentive awards were received	Past Performance Evaluation Form		X		
C. On Time Delivery	Percentage of contracts where initial contractual delivery date meets actual delivery/acceptance date	Past Performance Evaluation Form	X			
D. Procurement Administrative Lead Time (PALT)	Average time from receipt of mutually agreed to starting point (e.g. approved PR) to award	MIS/Automated Procurement Sys.				
	Average time from issuance of final solicitation to award	MIS/Automated Procurement Sys.		X		
	Average time frame from issuance of charge order to completion of negotiations	MIS/Automated Procurement Sys.				
	Number of protests lost versus number of contracts awarded	GAO, FPDS.		X		
E. Cost to Spend Ratio	Procure. Org. labour/OH costs adjusted for complexity divided by procure, dollars obligated incl. simp.acq. (e.g. purchase Cards)	FPDS. MIS		X		
F. Procurement Workload Analysis	Ration between no. of procure, actions processed and/or dollars obligated (adjust. For complexity) and total FTE on board	Surveys, FPDS, MIS			X	
G. Electronic Commerce/Automation	Public RFQ's issued through an electronic commerce system as a percentage of eligible transactions	FACTNET, MIS		X		
	Percentage of Pos issued through an electronic commerce system as a percentage of simplified acquisition actions	FACTNET, MIS		X		
	Percentage of vendor payments made through electronic funds transfer	FACTNET, MIS		X		

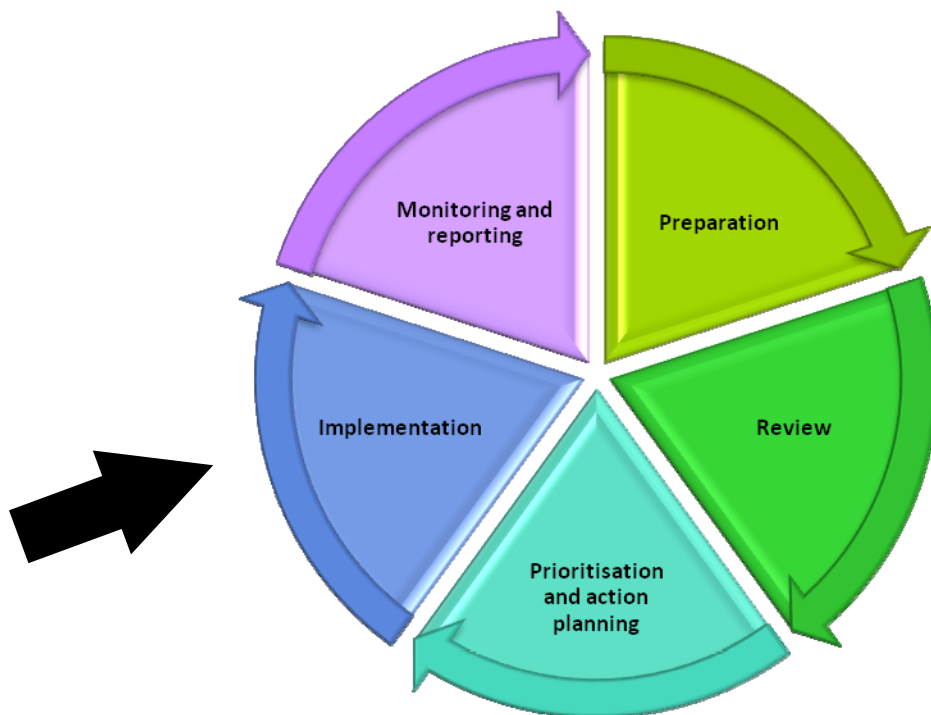
Figure 3: Links Employee Performance and Performance Improvement Framework (sample)



Performance Improvement Framework

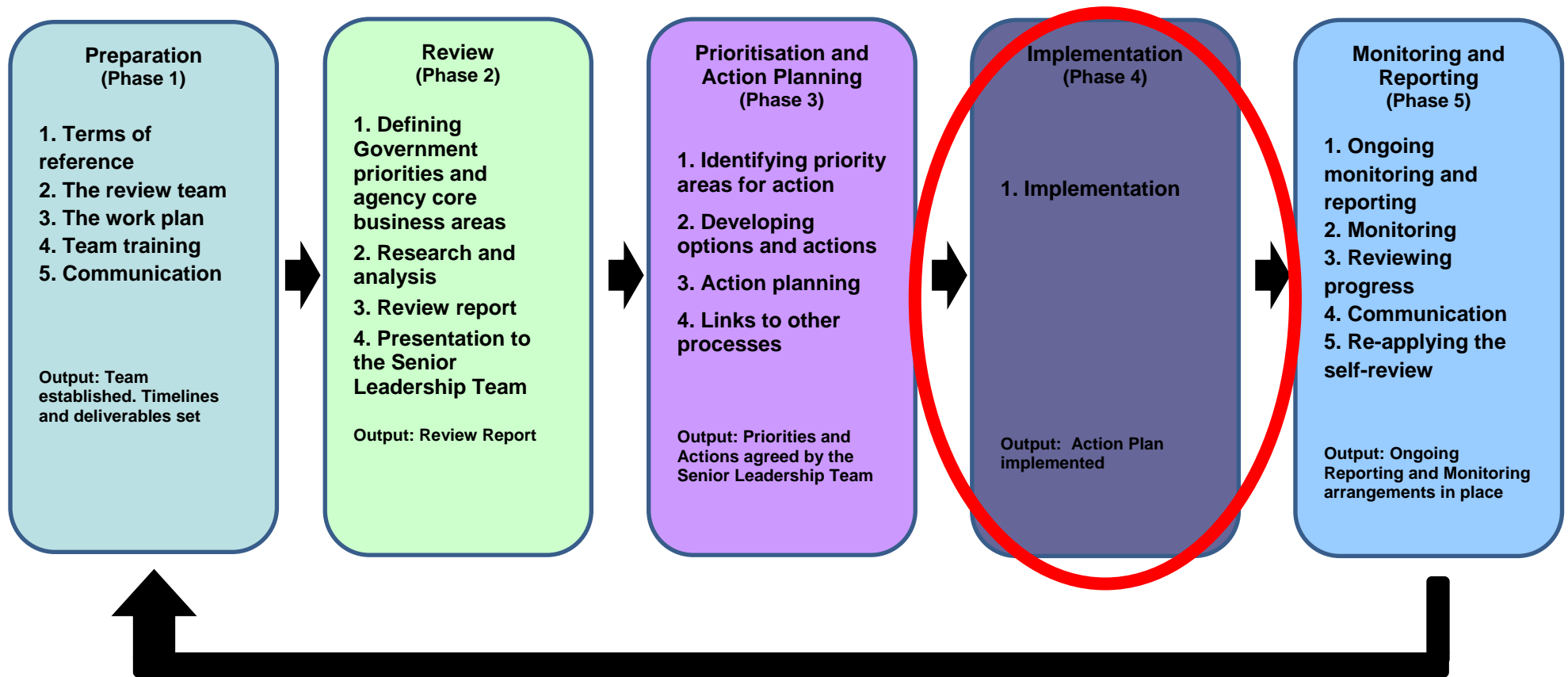
Agency Self Review

Phase 4: Implementation



Contents of the PIF Phases

This phase focuses on 'Implementation'.



Implementation

Implementation needs to be tailored to the needs and culture of the organisation. This phase does not specify particular implementation techniques, as there are too many variables to be factored into both the planning and actual implementation. Nevertheless, implementation needs to be enacted with appropriate supervision. Implementation of the PIF initiatives also needs to be linked to other projects and general strategic planning and monitoring processes.

Links to other processes

Accountability documents

The results from self-reviews can be used to inform decision making, and can be an input into accountability documents such as Statements of Intent. Priority actions may also (if the responsible Minister wishes) be included in the Output Agreement and Information Supporting the Estimates. This in-turn will require the Agency to formally report the actions in their Annual Report and/or through regular reporting to the Minister.

Performance Improvement Actions

The Government expects chief executives to work with their Ministers to make performance improvement a core part of their business, to explore innovative ways of delivering public services, and to clearly articulate how what they do contributes to Government's priorities and demonstrates good value for taxpayer dollars. Chief executives are expected to describe the practical and innovative steps they are taking to improve their services over the short (one year) to medium (three to five year) term as 'performance improvement actions' (PIAs). The priority areas for action that are an outcome of a PIF self-review can become PIAs for that agency for the relevant period.

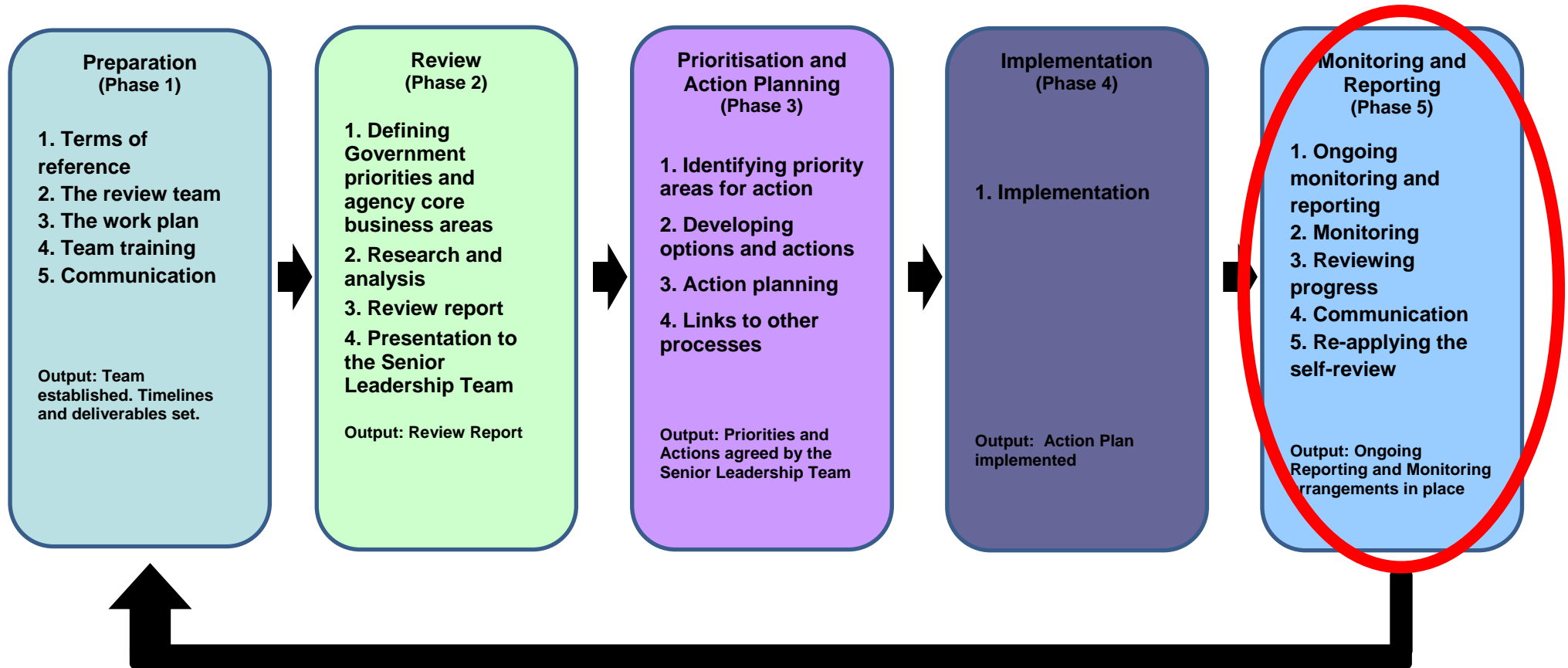
Performance Improvement Framework Agency Self Review

Phase 5: Monitoring and Reporting



Contents of the PIF Phases

This phase focuses on the five steps outlined in 'Monitoring and Reporting'.



Contents

1. Ongoing monitoring and reporting
2. Monitoring
3. Reviewing progress
4. Communication
5. Re-applying the self-review

1. Ongoing Monitoring and Reporting

This phase assumes that:

- the review has been completed
- A series of actions has been identified
- The actions have been operationalised into the agency's normal business processes.

The key to driving improvement will be monitoring the implementation and progress of priority actions and the longer term improvements.

This monitoring and measurement should be integrated into the agencies other monitoring and measurement strategies. Agencies should already have in place a process whereby learnings from general evaluation, measurement, review and assessments can be incorporated into the agency's continuous business improvement system, planning and reporting.

2. Monitoring

On-going reporting of progress against the action plans will be needed to ensure momentum is maintained. It is important that the Agency integrates any reporting into current systems so that the action plans are not seen separate from business-as-usual.

Reporting to the Senior Leadership Team will change over time. In the first few months more regular reporting, on whether the actions are assigned and implementation underway, will be needed. Within a few months the reporting should focus on milestone achievement and then quarterly the agency should be measuring the indicators – giving Senior Managers the opportunity to ensure the right actions are being implemented and they are having the intended impact on results or capability.

Timeframe	Reporting Requirement	Regularity of Reporting
First 2-3 months	Actions are assigned Action Planning is completed Implementation is underway	Fortnightly
3-12 months	Milestones monitoring	Monthly
Ongoing	Indicator measurement	Quarterly (or to fit in with current reporting system)

Helpful Hints

Integrate action plans into the agency reporting system. Having a separate system can cause confusion about priorities and disrupt integrated learning.

3. Reviewing progress

During this phase of the Performance Improvement Framework, the main focus of the senior leadership team should be on whether the action plans identified are having an impact on the priority area. Good indicators will assist the team but also qualitative evidence should be taken into account and management experience and judgment should be applied.

If the actions are not having the desired impact then the agency should return to the Action Planning phase (See Phase 3). Alternatively the Agency may talk to the central agencies about other possible approaches.

In parallel with reviewing progress, the Senior Leadership Team will need to identify when it is time to address another priority area. During the prioritising phase you will have sequenced the Priority Areas for action. There is not an 'ideal' time to start the next Priority. The team will need to use their judgment and also bear in mind when the next PIF review is scheduled to assess how quickly they need to achieve the action plan.

Helpful Hints

Continually check whether the identified actions are having an impact.

4. Communication

Regular and timely communication with the whole organisation will be necessary to gain the change impact. Some approaches to consider in change management leadership are Kotter, 1995 Why Transformation Efforts Fail, Harvard Business Review; and The Adkar model, <http://www.change-management.com/tutorial-adkar-overview.htm>.

5. Re-applying the self review

When is the right-time to re-apply the Performance Improvement Framework? An advantage of re-applying the self review is that it provides a clear measure of change and any performance improvement. The review findings would also help inform SLT planning and performance setting for the agency. It would also be a useful source of evidence for the targets set in the Information Supporting the Estimates.

However self-review is a major undertaking. Re-assessment would normally be undertaken two to three years after the first review. If the agency has some findings from the review that are deemed 'Critical' it may want to re-assemble the Review Team to review one or more areas after say 6-12 months, but for the majority of actions they will need to be fully implemented and given time to influence the agency before re-assessment is undertaken.

Useful Websites

www.ssc.govt.nz/pif

www.ssc.govt.nz/performanceandaccountability

www.treasury.govt.nz/statesector/performance

www.managementhelp.org

www.psi.govt.nz/capitalassetmanagement

www.risksociety.org.nz

www.hm-treasury.gov.uk/psp_choosing_the_right_fabric.htm

www.hm-treasury.gov.uk/psr_value_for_money.htm

www.hm-treasury.gov.uk/psr_governancerisk_index.htm

www.civilservice.gov.uk/cross-government/capability/introduction.aspx

www.eipa.eu/en/topics/show (common assessment frameworks)

www.ec.wmich.edu/ec/directory (evaluation frameworks)

www.tbs-sct.gc.ca/maf-crg/index-eng.asp

(Canadian Management Accountability Framework)

www.valuebasedmanagement.net/