



The Trials and Tribulations of Developing an Effective Horizontal Results Framework (HRF)

Performance and Planning
Exchange

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Objective



Our objective is to initiate a broader discussion within the Performance Measurement Community to use the Horizontal Results Framework (HRF) as a tool to improve the achievement of results and demonstrate change. The following presentation provides an overview of our experiences and what we see as good practices in dealing with Horizontal Initiative (HI).

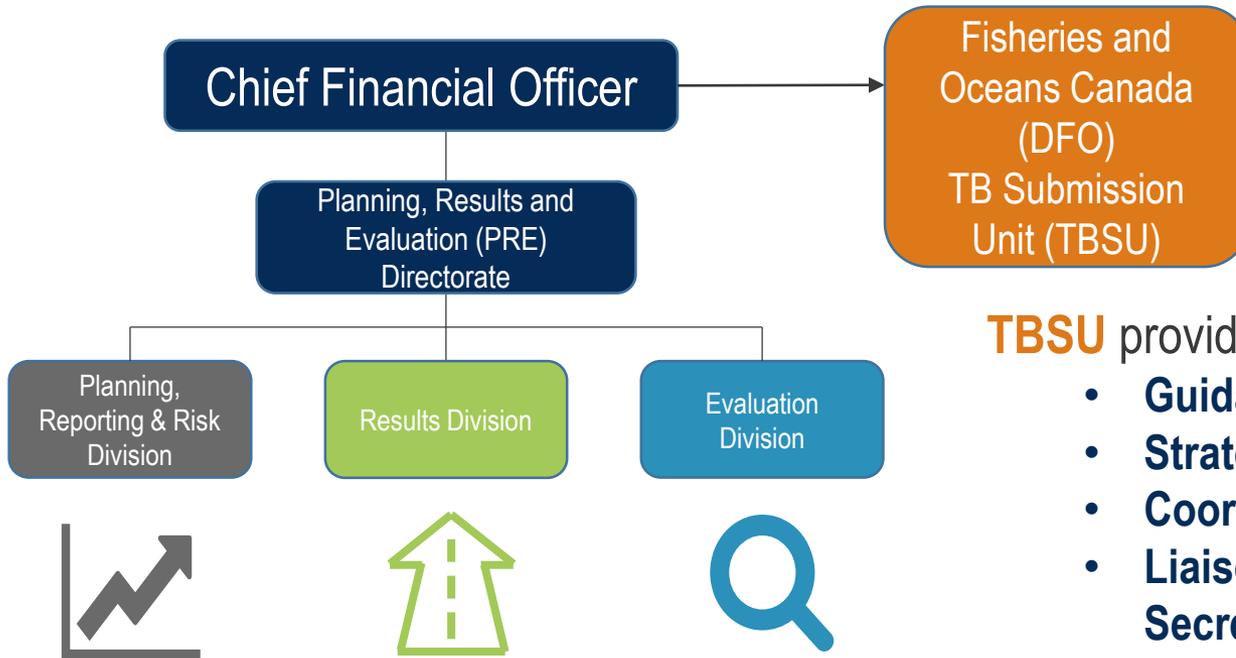
- 1 Our Organization
- 2 The Treasury Board Submission Process
- 3 What is a HRF?
- 4 Developing the HRF – Step-by-Step
- 5 Good Practices
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Quick Facts

- Fisheries and Oceans Canada (DFO) is a partner in 8 Horizontal Initiatives
- There are 21 active Horizontal Initiatives across government



Our Organization



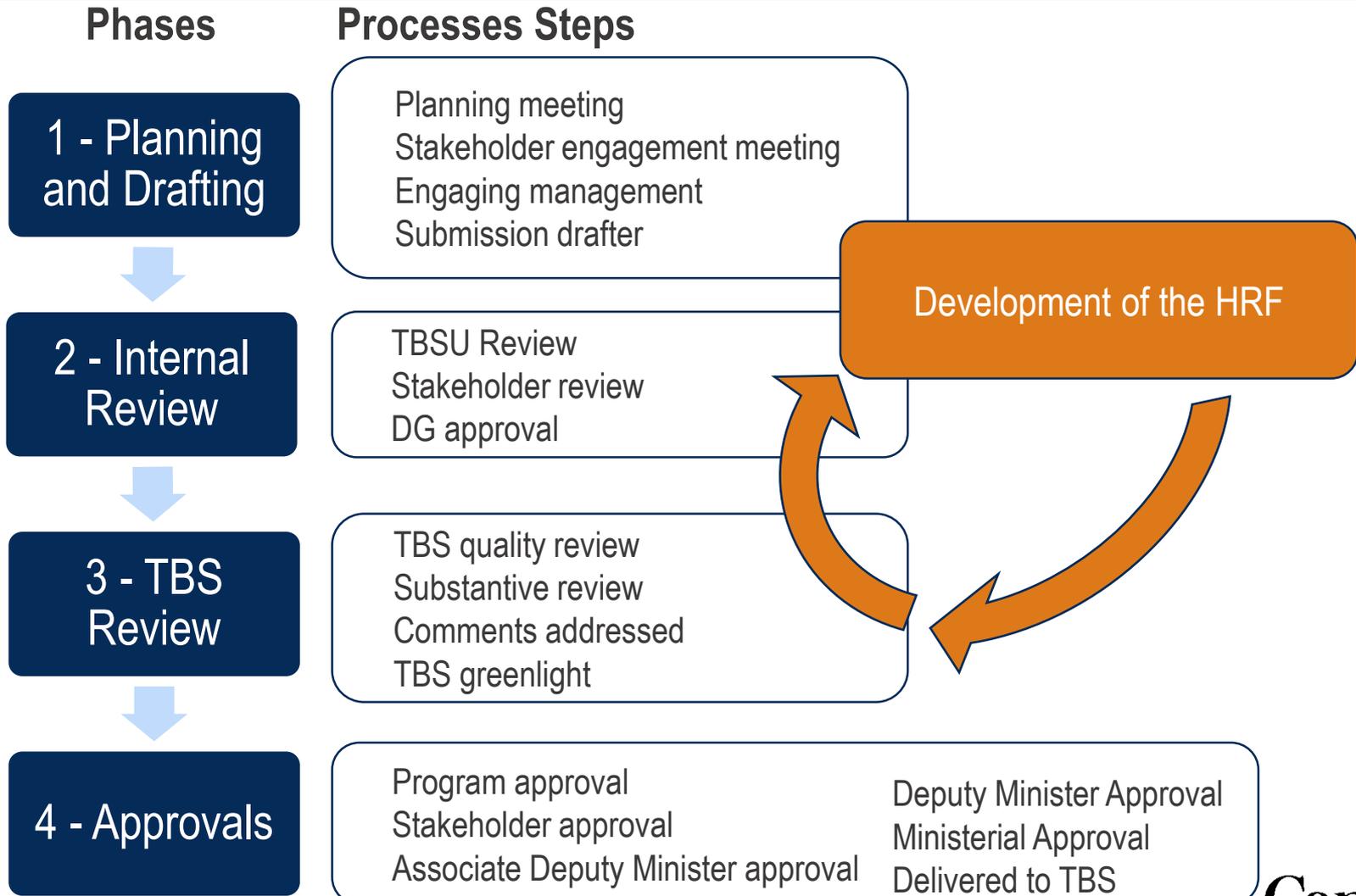
TBSU provide services, which include:

- **Guidance**
- **Strategic advice**
- **Coordination**
- **Liaison with Treasury Board Secretariat (TBS)**

The Results Division coordinates the feedback within the PRE Directorate (Planning, Results, and Evaluation).



DFO TB Submission Process

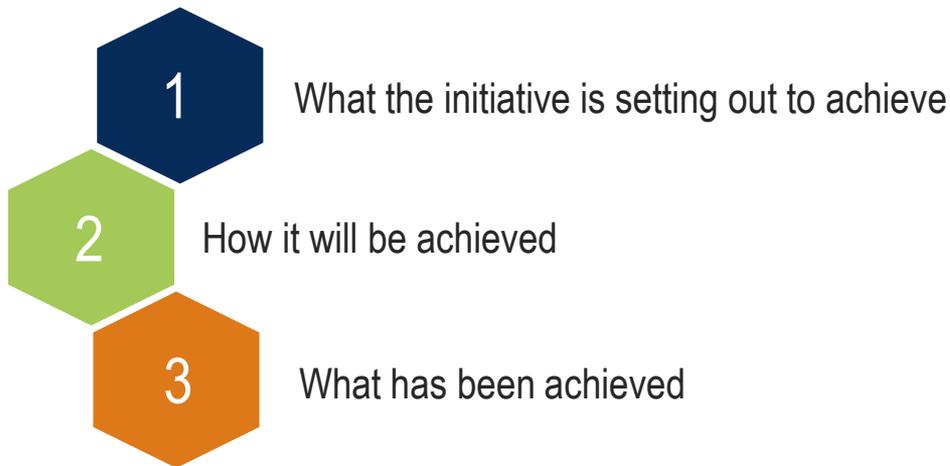




Horizontal Results Framework

- What are Horizontal Initiatives?
- What do Horizontal Initiatives require?

Similar to the Delivery and Expected Results Appendix (referred to as the Results Appendix), the **Horizontal Results Framework** is meant as a **tool** for decision makers which maps out:



Moreover, the **HRF** serves to consolidate the individual activities of departments into shared goals.



Horizontal Results Framework - Template

Horizontal Initiative Name				
Shared Outcome				
Total \$				
	Theme A Outcome Total \$	Theme B Outcome Total \$	Theme C Outcome Total \$	Internal Services
Department A	Activity A (new program) \$total Activity B (top-up) \$total Activity C (top-up) \$total	Activity G (top-up) \$total Activity H (top-up) \$total	Activity L (top-up) \$total Activity M (top-up) \$total Activity N (top-up) \$total	Internal Services \$total
Department B	Activity D (new program) \$total Activity E (top-up) \$total	Activity I (top-up) \$total		Internal Services \$total
Department C	Activity F (top-up) \$total	Activity J (new program) \$total Activity K (top-up) \$total	Activity O (new program) \$total	Internal Services \$total

Horizontal Initiative Name			Total funding	HI shared outcome	Performance indicator(s)	Target	Date to achieve target	Data source	Data frequency
(Insert name of horizontal initiative)			(For whole initiative, start date to end date)		(relevant, meaningful measures of outcome, qualitative or quantitative)	(e.g. 75%)	(e.g. March 2019)	(Insert data source)	(Insert frequency data will be reported)
Theme A Name:			Total funding	Theme outcome	Performance indicator(s)	Target	Date to achieve target	Data source	Data frequency
(Insert name of theme)			(for theme, start date to end date)	(directly attributable theme outcome, representing a roll up of output(s)/outcome(s) of programs within the theme)	(relevant, meaningful measures of outcome, qualitative or quantitative)	(e.g. 75%)	(e.g. March 2019)	(Insert data source)	(Insert frequency of collection)
Department	Link to PI Program	Horizontal initiative (HI) activity	Total funding	HI Activity output(s)/outcome(s)	Performance indicator(s)	Target	Date to achieve target	Data source	Data frequency
(Insert abbreviation of department name)	(Insert name of PI Program)	(Insert name of activity specifically contributing to the horizontal initiative)	(for horizontal initiative activity)	(i.e. directly attributable to the proposed policy/ program/ initiative)	(relevant, meaningful measures of outcomes, qualitative or quantitative)	(e.g. 75%)	(e.g. March 2019)	(Insert data source)	(Insert frequency of collection)
Theme B Name:			Total funding	Theme outcome	Performance indicator(s)	Target	Date to achieve target	Data source	Data frequency
(Insert name of theme)			(for theme, start date to end date)	(i.e. directly attributable theme outcome, representing a roll up of output(s)/outcome(s) of programs within the theme)	(relevant, meaningful measures of outcome, qualitative or quantitative)	(e.g. 75%)	(e.g. March 2019)	(Insert data source)	(Insert frequency of collection)



Developing the HRF – Step by Step



One size does not fit all!



Developing the HRF – Step by Step

Step 1: Enablers Meeting

- Clarify the type of funding (e.g. grants and contributions)
- Results Division provides advice on developing the results story first, before the rest of the TB sub
- Clarify the participating departments and identify the programs involved
- Confirm if the Initiative qualifies as a HI
- Establish the lead department
- Lay out critical path

Step 2: Building the shared results story

- Leverage existing themes from Memorandum to Cabinet (MC) linked to HI
- Establish the shared and thematic outcomes
- Identify key activities
- Identify program (from program inventory) that the funding contributes towards
- Discuss options for governance structure for HI



Developing the HRF – Step by Step

Step 3: Developing measures

- Leverage existing outcomes and indicators from Departmental Results Framework (DRF) and Performance Information Profiles (PIPs)
- Develop new outcomes and indicators where gaps exist
- Link results to financials
- Establish targets, data sources and data collection frequency

Step 4: Working with partners

- Workshops to develop outcomes with:
 - Program representatives for each department
 - Performance measurement advisors (your results team or division) for each department
 - Evaluation Division from each department

Step 5: Liaising with TBS Program Sector

- “Signal checks” with TB Sub for direction on the development of shared and thematic outcomes



Good Practices

- Engage early with policy enablers
 - Sets the perimeters of what information is needed

- Develop the HRF before writing the submission
 - Acts as the foundation of the full submission
 - Ensures a consistent results story
 - Clarifies the roles and responsibilities of the partners

- Establish governance structure early
 - Explore existing structures
 - Identifies the HI requirements

Good Practices

- Ensure that all key players are around the table
 - Program leads (at the appropriate level and with program knowledge)
 - Performance measurement experts (results team or division)
 - Evaluation Division

- Create thematic working groups
 - Ensures that all key players are around the table
 - Program leads (with the appropriate level and program knowledge)
 - Performance measurement experts (results team or division)
 - Evaluation/Evaluators
 - Meaningful and focused discussion
 - Facilitates agreement
 - Delineates each departments roles and responsibilities contributing to the themes
 - Productive results are achieved



Good Practices

- Identify the use of existing outcomes and indicators, early in the HRF drafting stage
 - Are we doing something new or more of the same?
 - No need to reinvent the wheel
 - Leverage what is said in the MC
 - Targets should demonstrate the incrementally where we use existing indicators

- Confirm feasibility of results data collection
 - Engage with the program's operations people
 - New indicators mean new data
 - Are systems in place to capture and collect data



Good Practices

- Ensure outcomes follow a theory of change
 - Short term (1 to 2 year) measures and longer term (3 to 5 year) measures

- Establish reporting timelines
 - Provide all participants with an understanding of when data is to be collected and submitted to the lead department
 - Ensure consistent reporting across activities, themes and shared outcomes
 - Ensure clarity over who is responsible for collecting shared outcomes



Tribulations





Questions?



Examples to share

