

Guidelines for Drafting the Performance Component of the Annual Report

2011



Transparency & Accountability Office
Government of Newfoundland and Labrador

Table of Contents

1.0 Introduction 1

2.0 Mission Reporting 2

3.0 Strategic Issue Reporting 4

4.0 Discussion of Results 7

5.0 Performance Reporting Tips 8

6.0 Conclusion 9

1.0 Introduction

This document is meant to guide government entities captured under the *Transparency and Accountability Act* as they develop the performance components of their annual reports to be tabled in 2011. This document provides sample layouts and examples; each entity should choose the format which best suits the needs of their organization in compliance with the Act.

In terms of performance reporting under the Act, 2011 is a significant year in terms of performance reporting as it is the first year in which government entities will be required to report on their mission statement and accompanying indicators. This is in addition to 2008-11 goals and 2010-11 objectives established for each strategic issue.

This document provides an example of performance reporting for each performance component through the use of a fictitious entity (the Department of Roads). A sample mission, goal and objective (all with measures and indicators) are provided. The Department referenced in the examples would be considered a Category 1 entity (planning towards outcomes) with a fiscal year end of March 31.

Please note: Readers are reminded that some government entities have different fiscal year ends which may impact upon the timelines referenced in these examples (e.g. December 31st year end entities tabling reports for 2010 will be reporting on 2008-10 goals and 2010 objectives).

After having read this document, readers should understand the required performance components of reports tabled in 2011. The checklists below outline these requirements.

Reporting Checklist for 2010-11

Mission:

- Introductory paragraph
- Mission statement, measure and indicators (consistent with the 2008-11 plan)
- Comparison of planned versus actual results for each indicator
- Discussion of results

Strategic Issues:

- Introductory paragraph
- Goals with associated measures and indicators
 - Identification of planned versus actual results for each indicator
- Objectives with associated measures and indicators for the 2010-11 year
 - Identification of planned versus actual results for each indicator
- Discussion of overall performance (results)

2.0 Mission Reporting

As 2011 is a mission-ending year, government entities are required to report on their mission in the 2010-11 annual reports. Reporting on a mission is very similar to reporting on objectives and goals. Missions as performance statements are structurally identical to objectives and goals, having a measure and indicators (indicators being the key performance measure/indicator of success). As such, entities must include the following:

- Mission statement with associated measures and indicators
 - Identification of planned versus actual results for each indicator (presented in a table or summarized in text)
 - Discussion of results

Entities may choose to use a table comparing planned versus actual results for each indicator associated with the mission or provide the results summarized in text. Regardless of how results are presented, it is crucial that the reader is able to clearly identify **planned** versus **actual** results as per the legislation. While demonstrating that indicators have been met should in itself demonstrate that a mission has been achieved, a discussion of results following performance reporting for indicators is strongly encouraged to clearly summarize results, reaffirming that the result expressed in the mission statement has been achieved or explaining why it has not been achieved if necessary.

Below is a sample mission statement for the Department of Roads. In the example, the entity has opted to present planned versus actual results for indicators in paragraph form. Again, entities should present these results in a format that best suits the organization while adhering to policy and legislative requirements.

The Department of Roads Mission Statement

Introduction: This introductory section should explain the context of the mission (as referenced in the corresponding plan), and clearly provide context as to why the entity felt it was a necessary priority focus.

[The mission statement, measure and indicators are to be repeated as they appear in the 2008-11 plan]

Mission: By March 31 2011, The Department of Roads will have improved highway and arterial roads in the Province.

Measure: Improved highway and arterial roads in the province.

Indicators:

- Improvements made to the Trans-Canada Highway
- Phase III construction and improvements to the Trans-Labrador Highway Completed
- Paved gravel roads in the province in areas with the highest need of improvement
- Ensured compliance of all bridges and overpasses with Level 1 Safety Requirements

A substantial number of improvements were made to the Trans-Canada Highway over the mission cycle. Approximately 500km of new pavement was laid on the Trans-Canada Highway from 2006-11,

from Port aux Basques to St. John's inclusive. In addition, various maintenance projects for the Trans-Canada Highway were carried out over the past mission cycle including:

- New road rumble strips to alert inattentive drivers to potential dangers – approximately 250km laid
- Extensive brush cutting along Trans-Canada Highway to increase visibility of moose and other wildlife approaching the highway

As planned, the Department was also able to expand the Trans-Labrador Highway during this time, thus providing substantial new highway infrastructure to the people of Labrador. Specifically, Phase III of the Trans-Labrador Highway was completed sufficiently to open to traffic on 16 December 2010. This portion of the Trans-Labrador Highway is a 250 km section of Route 510 built for \$130 million and runs south of Lake Melville/Hamilton Inlet to connect Cartwright Junction (87 km south of Cartwright) with Happy Valley-Goose Bay. In addition to the highway completion/extension, four permanent bridges, road surface work, signage and guardrails were completed to the entire Trans-Labrador Highway at a cost of \$35 million.

In 2006-08, the Department of Roads surveyed gravel roads in the province to identify those with greatest need for improvements. Factors such as usage and safety were considered with approximately 450km of gravel road identified for improvement. Over the period of 2008-11, the Department was successfully able to pave these priority gravel roads, contributing to safer conditions and making significant improvements to arterial roads in the province.

Over the mission cycle, the Department of Roads successfully inspected all bridges and overpasses, identifying any necessary upgrades to ensure they comply with Level 1 safety regulations. A total of 13 bridges and 10 overpass junctions were retrofitted to ensure compliance. The Department was unable to retrofit one of the existing overpasses near Gander due to uncooperative conditions. However, this work is scheduled to be completed in 2011 and does not affect the overall progress made towards the mission.

In addition, all new bridges and overpasses in the province were constructed in accordance with Level 1 safety regulations. In total, 8 new bridges and 10 new overpass junctions were constructed.

3.0 Strategic Issue Reporting

In compliance with legislation and best practice, the performance section of annual report tabled in 2011 must include the following for each strategic issue:

- Introductory paragraph(s)
- Goals with associated measures and indicators
 - Identification of planned versus actual results for each indicator (presented in a table or summarized in text)
- Objectives with associated measures and indicators for the 2010-11 year
 - Identification of planned versus actual results for each indicator (presented in a table or summarized in text)
- Discussion of overall performance (results)

Below is a detailed example illustrating how performance reporting for a goal and 2010-11 objective could proceed using the fictitious entity the Department of Roads.

REPORT ON PERFORMANCE 2010-11	
ISSUE: Improvements to the Trans-Canada Highway	
<p>Introduction: This introductory section should explain the context of the issue (as referenced in the corresponding plan). This will provide the reader with a more complete understanding of how the accomplishment of the goal and 2010-11 objective has impacted the overall issue. Information provided in this paragraph sets the stage and establishes a link between work undertaken in the reporting year and the achievement of the overall goal. If appropriate, progress an entity has made towards any relevant strategic directions (i.e. components to be addressed at the Strategic, Business or Activity plan level) may also be described in this section.</p> <p><i>[The goal statement, measure and indicators are to be repeated as they appear in the 2008-11 plan]</i></p>	
Goal:	By March, 31, 2011, the Department of Roads will have improved the quality of roads between St. John’s and Gander.
	Measure: Improved quality of roads between St. John’s and Gander.
Indicators	Actual Results
Laid 200km of new highway asphalt from St. John’s to Gander	Over the planning period (2008-11), the Department of Roads successfully laid 200km of new highway asphalt between St. John’s and Gander. Each year, the Department focused on specific sections of this route (St. John’s – Whitbourne, Whitbourne – Clarenville and Clarenville – Gander). As a result of this new asphalt, highway conditions have greatly improved. Road widening and extension of existing divided highways have contributed to safer conditions for driver.
Developed and carried out new maintenance projects	<p>A variety of projects developed and undertaken to improve the quality of roads between St. John’s and Gander:</p> <ul style="list-style-type: none"> ▪ 100km of highway was upgraded with road shoulder rumble

	<p>strips. Areas where rumble strips were placed were identified as areas where drivers may be more prone to wandering to the shoulder.</p> <ul style="list-style-type: none"> ▪ Extensive brush cutting was carried out throughout the route from St. John's to Gander. This is especially important in areas where moose and other wildlife commonly approach the highway. ▪ Specific areas along the route were identified as priority for road widening. Specifically, points between St. John's and Clarenville were identified, as well as the entire route from Gambo to Gander. The road widening in these areas will provide added safety for drivers.
Remediated bridges in the area to meet Level 1 criteria	Throughout the planning cycle, the Department of Roads was able to identify nine bridges that required retrofitting to meet Level 1 criteria. The Department contracted an engineering firm to identify the bridges that did not meet Level 1 criteria as well as other necessary upgrades. All bridges along the route, now remediated, are better equipped to handle weather-related stresses and contribute to a safer highway.
Ensured all overpass junctions meet Level 1 Criteria	<p>A total of seven overpass junctions were upgraded to meet level 1 criteria. Two new overpass junctions were constructed over the planning period; these were constructed to meet Level 1 Criteria.</p> <p>While the Department made great process towards achieving this significant indicator, a single overpass near Gander was not upgraded before the end of the construction season in 2010 due to uncooperative weather conditions. This work has been postponed and will commence in April 2011.</p>

The success reported above with respect to the 2008-11 goal is due in large part to the work completed in 2010-11, as per the objective. Performance measures for this period are provided below.

[The 2010-11 objective, measure and indicators are to be repeated as they appear in the 2008-11 plan and the 2010-11 Annual Report]

Objective: By March 31, 2011, the Department of Roads will have improved the quality of roads between Clarenville and Gander.

Measure: Improved quality of roads between Clarenville and Gander.

Indicators	Actual Results
80 kilometres of new pavement laid	Building on its progress in highway improvement in 2009-10 (i.e., Whitbourne to Clarenville), the Department focused its efforts on stage 3 of its three year goal to improve highway driving conditions for motorists on the island part of the province. By March 31, 2011, the Department actually exceeded its objective, laying a total of 90 kilometres of new asphalt between Clarenville and Gander. This additional work was facilitated by a recently negotiated Federal-

	provincial roads initiative (funded through the Economic Action Plan) and a longer than normal construction season.
Road widening completed between Gambo and Gander	Road widening was completed for the entire 47.5km route between Gambo and Gander. This includes the J.R. Smallwood Boulevard from Gambo to the Trans-Canada Highway. This route was identified in the previous planning cycle as a priority route for improvement due to increased traffic. This initiative is in addition to the newly laid pavement described in the indicator above.
New maintenance projects carried out on existing paved roads	A total of 15 new maintenance projects were carried out which included 35 kilometres of new road shoulder rumble strips, a road safety feature that alerts inattentive drivers to potential dangers; and extensive brush cutting to increase driver visibility of moose and other wildlife approaching the roadway.
Bridges and culverts remediated between Clarenville and Gander based on engineering assessment	<p>An engineering assessment outlined necessary improvements to bridges and culverts in the area between Clarenville and Gander in the event of extreme weather conditions. The assessment lead to a series of recommendations that would allow bridges to meet Level 1 safety criteria.</p> <p>A total of 6 bridges in the region were identified as structurally deficient. As a result, plans were made in line with the recommendations made in the engineering assessment to upgrade these bridges, adding additional support and reinforcements.</p> <p>Select points along the highway from Clarenville to Gander were identified as having culverts that either needed to be widened or deepened to appropriately channel water from the highway. The recommendations suggested through the engineering assessment report were completed by October 31, 2010. It is estimated a total of 60kms of culverts were improved.</p>
<p><i>[Following compared versus actual results for 2010-11 Objective indicators, entities should provide a discussion of results. Please refer to the following section for further information on developing discussion of results.]</i></p>	

4.0 Discussion of Results

This section allows for discussion of results which further speaks to an entity's overall level of success in achieving the objective and for this particular reporting year, the goal associated with the issue. The information provided in this section may be especially useful in cases where the entity's accomplishment of the objective is not already evident based on the indicator reporting. As this is also a mission-ending year, the same principles can be applied to development of a discussion of results for mission statements, especially in cases where additional explanation is required or where a mission indicator has not been fulfilled.

A discussion of results may also be used as a way to assess the impact of an unfulfilled indicator on the overall success of a goal or objective. The following is an example based on one of the goal indicators ("ensured all overpass junctions meet Level 1 Criteria" – see page 5) for which the entity reported variance:

As noted above under goal indicators, not all overpasses were remediated to meet Level 1 safety criteria. Due to uncooperative weather conditions in Fall 2010, the Department was unable to remediate the final overpass near Gander as planned. While the variance has been noted, the Department has been successful in meeting its goal of improving the highway between St. John's and Gander. The Department will remediate this final overpass, again as noted above, in spring of 2011. This slight variance from the goal has not affected the Department's significant contribution to government's strategic direction to improve safety for the motoring public on the province's highways.

As this is a goal-ending year, entities are not required to develop indicators for the coming year; **the 2011-12 indicators under the new strategic issues identified in 2011-14 plans will have already been made public through tabling in the House of Assembly.**

5.0 Performance Reporting Tips

When reporting on the performance results, entities are reminded to consider the following points to enhance clarity, readability, and ensure the reader is able to understand progress made towards planned performance.

Identification of progress

Entities are reminded that if an objective or indicator stated a planned change (e.g., increase or decrease), then the progress provided must clearly demonstrate the change. For example, if a specific percentage of change was expressed in an indicator:

Indicator	Actual performance for 2010-11
Increased by 20%, the number of clients served as compared to 2009-10	Inadequate information: a total of 752 clients were served during 2010-11 (unable to determine an increase) Adequate information: a total of 752 clients were served during 2010-11, marking an increase of 26% over the 2009-10 fiscal year.

Improvement may not be specifically quantifiable over an established baseline as in the example above. In fact, this is often the case. Note that if words such as “improved” or “enhanced” are used in the wording of the objective or an indicator (the intended result), then convincing evidence must be provided which clearly illustrates an improvement over a previous state; otherwise, an explanation of variance is required.

Ensuring that appropriate information is included in the report is necessary to ensure that the public is able to determine progress/achievement, or lack thereof.

Detail around work undertaken to achieve the planned result

Please ensure that the performance information provided in the report includes detail to give the reader an understanding of the extent of work undertaken to achieve the result/s. For example, reporting on an indicator of “Recommendations made to the Minister” with “Recommendations were made to the Minister”, while technically compliant with legislation (in that it minimally reports success on the indicator), does not give the reader a full appreciation of the work involved leading to the entity’s ability to make recommendations or the impact of those recommendations. Elaboration on this indicator may have included details on the entity having engaged in several consultation processes, conducting surveys or other research etc., all resulting in the entity’s ability to make fully informed recommendations to the Minister.

6.0 Conclusion

The preceding information is provided to entities for guidance in the development of their upcoming Annual Report. As entities are closing up the work for the fiscal year and preparing their Annual Report, please feel free at any time to contact the Transparency & Accountability Office:

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