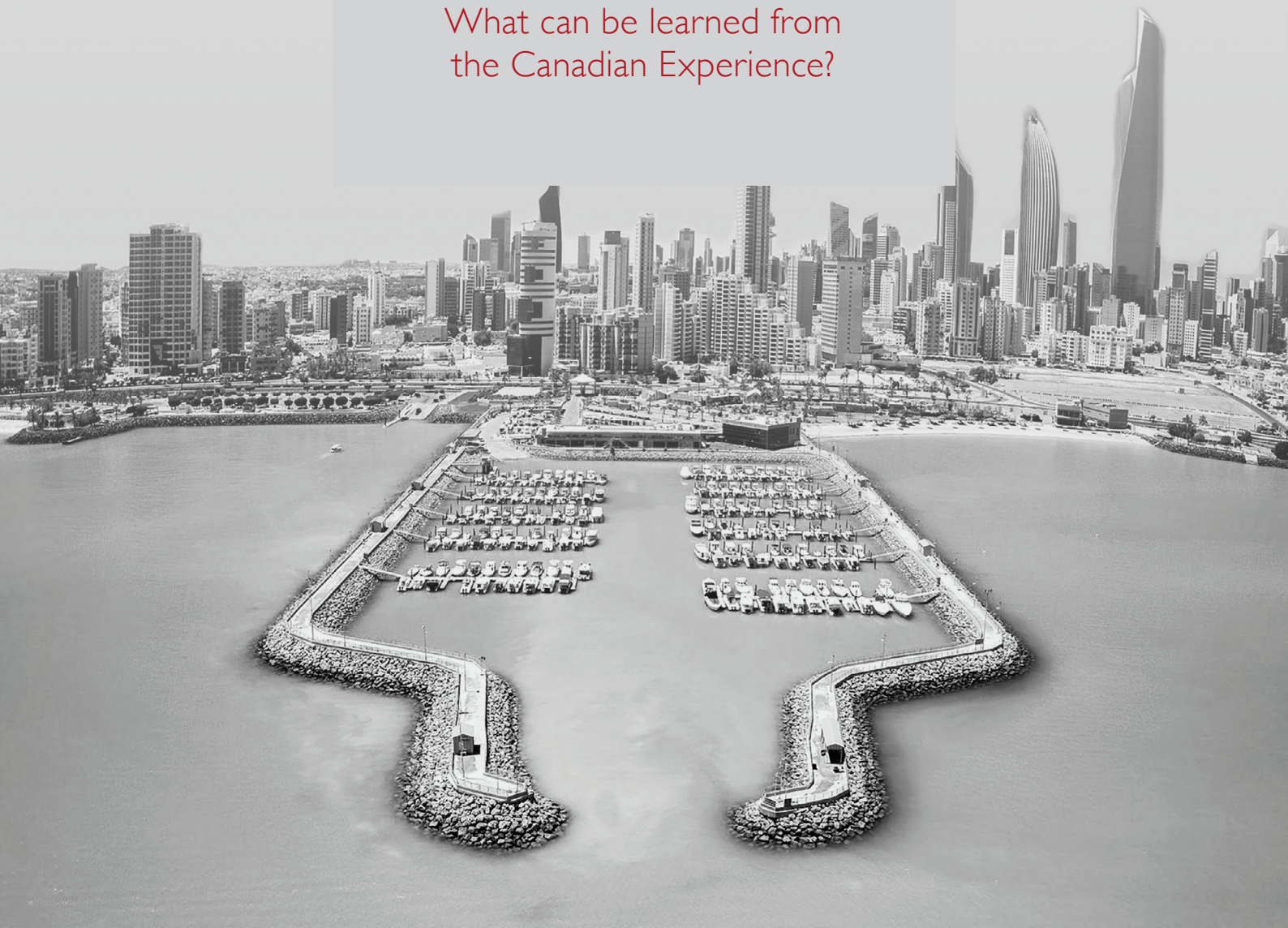




Policy Paper on Enhancing the National Performance Management System

What can be learned from
the Canadian Experience?



مركز الكويت للسياسات العامة
Kuwait Public Policy Center



*Empowered lives.
Resilient nations.*



uOttawa
Faculté des sciences sociales
Faculty of Social Sciences

Authored by Eric Champagne for KPPC.

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Contact Details:

Kuwait Public Policy Center

kppc@scpd.gov.kw

Tel: 22452359

The Kuwait Public Policy Center

General Secretariat of the Supreme Council for Planning and Development

State of Kuwait

About the Authors

Dr. Eric Champagne is an Associate Professor of Public Administration at the School of Political Studies and Director of the Centre on Governance at the University of Ottawa. Dr. Champagne spent several years at the World Bank working as a program manager and public sector reform specialist and as a strategic advisor to the Government of Canada on issues related to governance and public sector management. Dr. Champagne's main fields of research and teaching are public sector management and governance; program evaluation; public policy development; multi-level governance in the areas of infrastructure, transportation and security; and public sector reforms. His academic and professional work includes a broad range of approaches and tools to improve public policy implementation and results.

Dr. Francis Gaudreault has recently graduated from the University of Ottawa with a Ph.D. in Public Administration and he is currently an Associate Researcher at the University of Ottawa's Center on Governance. Mr. Gaudreault is an expert in public sector reforms and particularly in developmental policies in emerging countries. He is also an international consultant working on public management projects in Canada and around the world.

Ms. Rawan Sheikh is a Research Assistant at the University of Ottawa's Center on Governance. She is currently pursuing her master degree in Public Administration. Before this, Ms. Sheikh has spent several years as a project manager with UNDP Kuwait, and had filled many positions in both public and private sectors in different countries. Ms. Sheikh is also a holder of a Master in Business Administration and several professional certifications including PMP, PRINCE2, and SPHRi.

Executive Summary



The present policy paper explores issues related to government effectiveness by studying the current Canadian performance management model to inform and enhance the national performance management system of Kuwait. It addresses performance management challenges in Kuwait identified by the Kuwait Public Policy Centre (KPPC) and the United Nations Development Programme (UNDP), including weak accountability for civil servants; lack of ties between financial planning and performance outcomes; insufficient citizen-centric policies; and lack of performance measurement. Through a comprehensive desk review and interviews conducted with public officials in Canada and Kuwait, this paper provides an analysis of Kuwait's performance management strengths and challenges, and looks at the Canadian performance management model as an example.

In 2016, the Government of Canada introduced the Policy on Results to demonstrate that "public spending achieves results that matter to citizens". To ensure overall alignment and track progress on top priorities, Canada has created a new Cabinet committee on Agenda, Results and Communications to set the Government's results agenda. This Committee was combined with the Results and Delivery Unit to help government and individual ministers focus and deliver on political priorities and promises. These government priorities are specified in the publicly released Ministerial Mandate Letters to foster accountability and transparency and let Canadians see exactly what their government is going to do to fulfill their promises, meet new challenges, and implement their agenda. The Policy on Results is also associated with an important digital accountability tool called GC Infobase which allows the government to tell a clear performance story by publishing financial information, people management and planning information.

With the new system in place, all organizations are committed to a new reporting structure called the Departmental Results Framework which consists of the department's core responsibilities, departmental results and departmental results indicators. This is coupled

with the Expenditure Management System, which applies to all government programs, and includes a systematic examination to ensure that programs meet the needs of citizens, focus on results, provide value for taxpayers' money, and align with the government's priorities and responsibilities.

Additionally, there is the Employee Performance Management System which is defined as a "comprehensive approach that includes the following: setting commitments, performance objectives, and expected behaviours; assessing results; and providing continuous feedback and coaching". The employee performance management system is time-specific and requires three steps: 1) establishing performance expectations at the beginning of the fiscal year; 2) reviewing performance at mid-year; and 3) assessing performance by year-end. This is enmeshed with the Values and Ethics Code for the Public Sector which encompasses five core values: Respect for democracy; respect for people; integrity; stewardship; and excellence.

In regard to the state of Kuwait, this research has identified two existing strengths within the Government of Kuwait that could be the foundation for a future sustainable performance measurement system (PMS): the already existing Government Performance Follow-up Agency; and the clear key performance indicators (KPIs) present within the Kuwait National Development Plan. These two initiatives are strong starting points and could be stretched to cover all government institutions as a part of a wider PMS.

Lastly, this policy paper will provide a set of recommendations which are three-dimensional and to be further developed: 1) resource management and PMS infrastructure (human resources and employment management system; process automation and IT infrastructure); 2) general PMS implementation (vertical and horizontal coordination and communication; results-based management policies and indicators); 3) e-government and open-government (accountability structures; open and e-government with digital governance; and 4) change management approach with stakeholder participation and engagement.

In sum, more technical aspects are central to any performance management system, but it is also important to focus on two unavoidable cross-cutting topics which are necessary for the proper development of a performance management system: committed leadership and context-based policies. Therefore, any government seeking to succeed in performance management should focus on adopting those two central components.

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Abbreviations

GCC	Gulf Cooperation Council
GSSCPD	General Secretariat of the Supreme Council for Planning and Development
KNDP	Kuwait National Development Plan
KPPC	Kuwait Public Policy Center
TOR	Terms of Reference
UNDP	United Nations Development Programme
PMS	Performance Management System

Introduction



On January 30, 2017, the Government of Kuwait unveiled the country's Vision 2035 and National Development Plan, branded as "New Kuwait". This long term socio-economic development plan intends to "transform Kuwait into a financial, cultural, and institutional leader in the region by 2035, and is based on five strategic directions and the following seven pillars: Effective public administration, Sustainable diverse economy, Enhanced infrastructure, Sustainable living environment, High quality health care, Creative human capital and Enhanced global position" (GK, 2017:1).

Kuwait's mid-range National Development Plan 2015/2020 (KNDP) is derived from the visionary statement declared by His Highness the Emir of Kuwait Sheikh Sabah Al Ahmad Al Sabah. The KNDP sets the nation's ambitious long-term vision and expectations to "transform Kuwait into a financial and trade center, attractive to investors, where the private sector leads the economy, creating competition and promoting production efficiency, under the umbrella of enabling government institutions, which accentuates value, safeguards social identity, and achieves human resource development as well as balanced development, providing adequate infrastructure, advanced legislation and inspiring business environment" (GSSCPD 2015:10).

As the first pillar of the KNDP, public administration is considered an encompassing aspect of development. The effective public administration pillar involves reforming administrative and bureaucratic practices to reinforce integrity, transparency and accountability throughout the government. Reforming public administration also improves effectiveness and efficiency in policy implementation and service delivery, as administration plays a very important role in Kuwait's social and economic affairs (GSSCPD, 2015).

To accomplish the KNDP objectives, the State of Kuwait, represented by the General Secretariat of the Supreme Council of Planning and Development (GSSCPD) and the United Nations Development Programme (UNDP), collaborate closely to support the establishment of Kuwait Public Policy Center (KPPC) in order to address policy making matters through the policy cycle which includes policy research and agenda setting, training, implementation and evaluation. This document comes as an element of KPPC's research agenda on the public administration pillar and as a fruit of collaboration between GSSCPD, UNDP and the University of Ottawa's Centre on Governance (an international partner of KPPC).

This policy paper aims to explore issues related to government effectiveness by studying the current Canadian performance management model. The main goal of this policy paper is to address the performance management challenges that KPPC has identified in Kuwait, including performance indicators on government effectiveness; accountability of policy-makers and civil servants; financial planning across government entities in relation to performance outcomes; citizen-centric policies that permit the quality of public services and customer satisfaction; policies that promote efficiencies in service delivery; and the quality and outcomes of public services in relation to performance measurement.

Therefore, this policy research will inform key policy-makers and managers in the State of Kuwait on matters associated with performance management systems. Considerations that will be explored include key strategies, methodologies and processes around performance management, as well as the new trends that are driving implementation in today's complex world. This will be done through the analysis of Canada's performance management system. Additionally, this research will show that developing a performance management system and driving change require a nuanced approach that clearly considers individual contexts, program choices and organization culture.

This paper was developed using different research methodologies including a desk review of documents provided by the KPPC and field visits, secondary data collection from different Kuwaiti institutions and Kuwait's central statistical bureau (CSB). With regards to the research on the Canadian model of the performance management system (PMS), multiple governmental data was collected notably within the Treasury Board Secretariat and the Prime Minister's Office, relevant academic literature, and a dozen of informal interviews with Canadian high-level public servants and policy-makers. Some international reports on Kuwait were also revised to enrich understanding of the context and relation to PMS. Reports include, but are not limited to, opinion surveys by World Bank, the Organization for Economic Co-operation and Development (OECD) benchmarks, and UNDP Human Development Reports.

This document is structured around four major sections. Section one reviews the challenges facing public administration in Gulf countries in general and, in particular, in Kuwait. Section two addresses an overview of the study and practice of performance management in Canada and the world, while the third section explores new theories and practices in performance management based on the Canadian experience. Section four tackles human productivity and how it is linked to the PMS of human resources and talent management in the public sector. Section four also provides a road map with short term and long-term recommendations to enhance overall PMS at the State of Kuwait (road map to be validated with stakeholders during training sessions in Kuwait).

I. Challenges Facing Public Administration in Kuwait



The challenges and issues facing Kuwait's Public Administration are not unique. Governments around the world are struggling with similar issues and continue to try to adapt and evolve according to their growing needs. The World Bank conducted an opinion survey in 2015 highlighting the most important 15 development priorities for the Gulf Cooperation Council (GCC) countries. The survey found that public sector governance and reforms are the second most important development need across GCC (World Bank, 2016). The first most important development need is quality of education; economic growth and diversification is the third; and anti-corruption reforms has been identified as the fourth (Annex A).

In addition to the challenges of public administration and governance, the 2017 Independent Country Programme Evaluation (ICPE) report developed by the UNDP highlights three of Kuwait's developmental challenges:

"Kuwait is the first Arab country in the Gulf to create an elected parliament and enjoys a relatively open political system. The relative openness of the Kuwaiti political system is characterized by ongoing tension among stakeholders which results in frequent turnover in government and impacts the functioning of institutions and implementation of national development plans. Regarding public administration, the KNDP identifies several areas for improvement including institutional capacities, strategic planning and enhancement and alignment of development policies, coordination among different government entities and promoting transparency and anti-corruption" (UNDP, 2017:3).

UNDP (2004) has defined the scope of public administration reforms covering four core areas:

1. Civil service reform, which is concerned with human resources in the public sector;
2. Increasing the efficiency and responsiveness of the policy-making system;
3. Reforming the public sector revenue and expenditure management system; and,
4. Reforming the machinery of government, which is concerned with the rules, institutions, and structure of the administration necessary to carry out government policy, including new tools for public administration, notably e-governance and e-government.
5. The four areas have embedded elements of the overall performance management that comes at the heart of any reform, as it deals with the challenges faced by governments in defining, measuring, and stimulating employee performance with the ultimate goal of improving organizational performance.

The operating model and reform areas vary depending on the specific country context, including national culture, scale and urgency of the transformation required. The State of Kuwait is introducing multiple interventions through KNDP by developing a National Governance Framework that is suggesting five programs which can be used to implement governance (GSSCPD, 2018):

1. Institutionalization of governance by establishing a national committee of governance, creation of a unified governance manual, and a program to support governance practices by developing managers and organizing conferences.
2. Participation of society in public policy-making through partnership programs with civil society organizations and public sector.
3. Participation of society in accountability issues through the: (1) government transformation program; (2) e-government; (3) establishment of governance observatory to report on citizen satisfaction; and, (4) develop a mechanism for citizens' complaints.
4. Participation of society at boards and committees of public institutions.
5. Participation of society at the performance evaluation of public institutions and recruitment of its executive leadership.

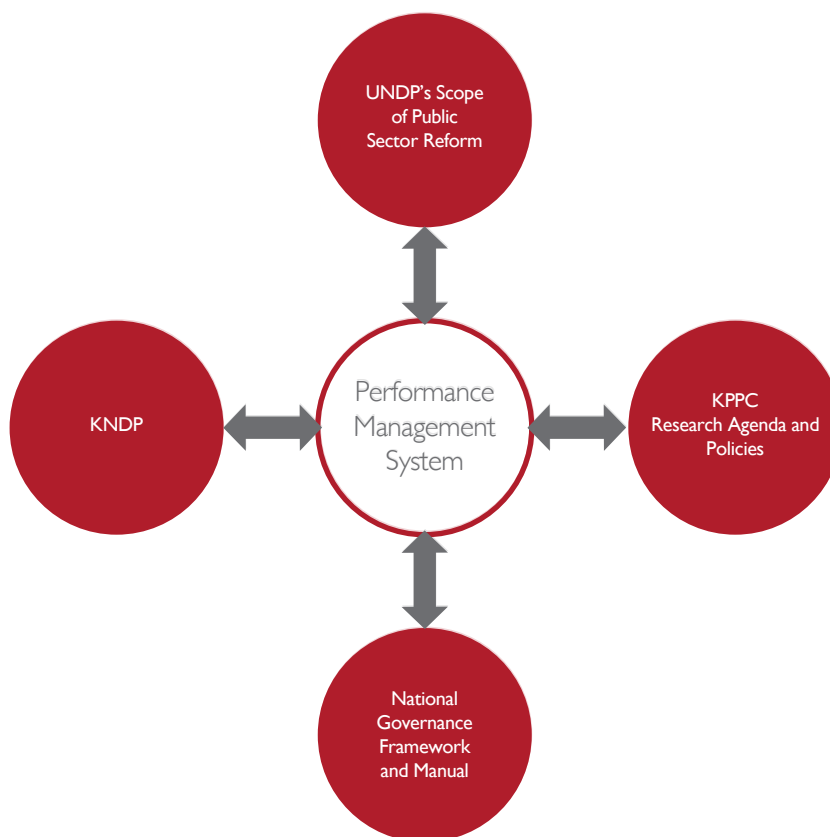
To support the governance framework, a national governance manual was developed in order to define governance and how it can be used by public entities (GSSCPD, 2018). It addressed six principles: transparency, accountability, integrity, participation, equality, and sustainability. Each principle has a definition, indicator, and generic steps for implementation. To implement this framework; the manual highlights the importance of:

1. Leadership
2. PMS, Standard Operating Procedures, and Results-Based Management.
3. Awareness of the governance concept and employment of nudge to reinforce positive behavioural changes.

The purpose of this section is to acknowledge the complexity and the size of the public administration in Kuwait and the fact that performance management is a core element of public sector reform in Kuwait as specified in the KNDP, National Governance Framework, National Governance Manual, and the UNDP's scope of public sector reform (Figure 1).

FIGURE 1

The Institutional Framework of Kuwait's Performance Management System



KPPC has identified several observations related to the PMS in Kuwait, including (1) weak accountability for civil servants; (2) financial planning across government is not tied to performance outcomes; (3) lack of citizen-centric policies that ensure the quality of public services and customer satisfaction; (4) lack of policies that promote efficiencies in service design and delivery; and, (5) poor quality and outcomes of public services and lack of performance measurement. In the following sections, this paper presents an approach for enhancing performance management based on the Canadian model.

II. Performance Management Framework: An Overview



In general terms, a performance management framework consists of a set of results-oriented tools and instruments to set and monitor targets. The tools focus on measurement, outcomes, evaluation of impact, and statistical modelling. In order to understand performance management, this section will firstly explore the logic behind this approach to management.

In the last thirty years or so, the contemporary notion of performance management has been developed and employed widely in both the public and the private sectors. This idea could be summarized with the concept of “performance regime” where public organizations manage to (1) steer between policy instruments and state power; and (2) intervene in state actions through performance targets or goals (Talbot, 2010:81). For the Government of Canada, performance management is defined as “a tool for improving the work performance and productivity of individuals, teams and organizations” (Treasury Board of Canada, 2015:1). Formerly, the term was articulated and elaborated in a report by the OECD:

“Performance management encompasses performance measurement but is broader. It is equally concerned with generating management demand for performance information that is, with its uses in program, policy and budget decision-making processes and with establishing organizational procedures, mechanisms and incentives that actively encourage its use. In an effective performance management system, achieving results and continuous improvement based on performance information is central to the management process” (OECD, 2007: 6).

Over the years, frameworks of performance management have been widely employed across OECD countries and although the developments and implications of the framework vary among governments, the purpose is rather universally applied. This purpose can be understood by looking at the seven major objectives of performance management (Talbot, 2007:496-501) which are listed in Figure 2.

FIGURE 2

Objectives of Performance Management



To enhance government accountability and transparency



To enable users of public services to make informed decisions



To deliver citizen-oriented public services



To improve efficiency of public institutions



To produce effective and evidence-based public policies



To allocate resources measured by outcomes

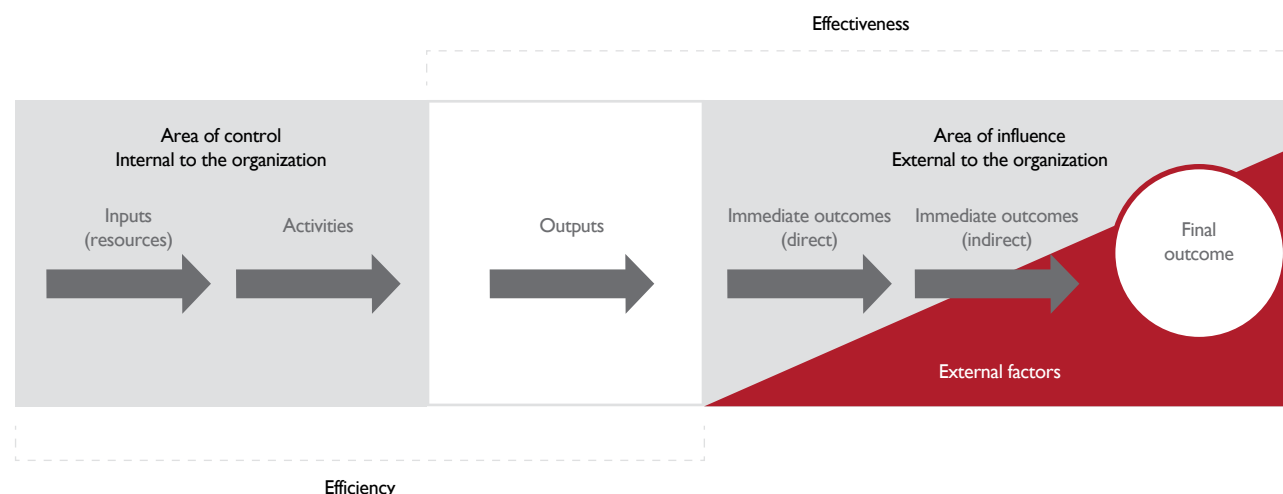


To establish a positive public value

These objectives are achieved by results-oriented decision-making processes. This includes setting program targets, allocating resources based on priorities, measuring the outputs, and analyzing the results. In other words, performance management is a multi-dimensional approach to reform organizations and produce substantial data results that are periodically monitored and evaluated in order to effectively implement public policies and deliver services.

FIGURE 3

The Logic Model



Source: Government of Canada, Treasury Board Secretariat.

One of the primary inter-mechanisms in performance management to achieve public outcomes is a tool named Results-Based Management (RBM). RBM refers to a public sector implementation tool based on a project life-cycle approach. The ultimate goal of RBM is to maximize the achievement of results of a public policy, program or project. The approach relies largely on a theory of change. Below is a description of the theory of change provided by the Treasury Board of Canada (2010: 12):

“Every program [and project] is based on a “theory of change” – a set of assumptions, risks and external factors that describes how and why the program [or project] is intended to work. This theory connects the program’s [or project’s] activities with its [expected ultimate outcome]. It is inherent in the program [or project] design and is often based on knowledge and experience of the program [or project design team], research, evaluations, best practices and lessons learned”.

The theory of change is best illustrated by a logic model, which is a visual illustration of the sequence leading to results and the links between the inputs, activities, outputs and outcomes.

Another important feature of RBM is the performance measurement system based on a set of indicators and targets. RBM relies on a performance measurement strategy and framework. This strategy translates the theory of change into an operational plan for performance measurement, including the determination of performance indicators in relation to the outputs and the outcomes in the logic model. The strategy also describes how these indicators and targets will be measured, how frequently they will be monitored, and at what cost (Figure 4).

FIGURE 4

The Performance Measurement Framework

Expected Results	Indicators	Baseline data	Targets	Data source	Data Collection Methods	Frequency	Responsibility
Final Outcomes							
Intermediate Outcomes							
Immediate Outcomes							
Outputs							

Another important component of RBM is the monitoring and evaluation plan which provides specifics on how the measurement framework and the overall project will be implemented, how the components of the projects will be monitored, who is responsible for what, and timelines. RBM projects have an evaluation strategy from project inception. The evaluation strategy includes the identification of potential evaluation questions and the data collection strategy, which will serve as a basis for mid-term or final evaluations.

When well implemented and when there is a sound monitoring and evaluation system in place, RBM can bring lots of benefits and can be a real public management asset to improve efficiency and effectiveness on public policies and programs. Results-based management is a powerful tool to better understand the goals of a public initiative. It can provide a focus on what matters most and improve decision-making. It can be a powerful accountability tool to make people more responsible for public sector results. It helps reduce inefficiencies and waste of money while optimizing resources. It allows for integrating performance information into budgeting and public finance. It is also a useful learning tool for exposing mistakes and weak links in the theory of change or organizational capacity. That being said, implementing an RBM system also presents some challenges. In the next section, we will review some of these challenges.

In Canada, two dominant performance-focused generations have been brought into the governing process over the years: RBM and the Policy for Results. The next sections will explore these two approaches.

III. The Case of Canada's Performance Management System



This section looks at the evolution of performance management practices in Canada. Although Canada has been using performance management systems for decades, the approaches have evolved over time. The paper will describe the features of past and current approaches and will begin by exploring the classic model of RBM that is well established internationally to inform decision-making on public policy and program delivery and accountability. Following this, the paper will discuss the most recent performance management system that was put into place in Canada as a way to enhance the performance management system of the federal government.

3.1. First Generation of Performance Management: Results-Based Management

RBM was first introduced in Canada in the mid-1990 with the *Planning, Reporting and Accountability Structure* (PRAS) Policy (1996) which mostly involved planning, monitoring and evaluating the performance of governmental policies and programs. It initially focused on what departments did (i.e. lines of business) to identify weaknesses of the previous generation of public administration. However, it was later criticized for its lack of focus on outcomes and inability to sufficiently link resources to outcomes (TBS, 2016).

Twelve years later, in 2008, the Treasury Board of Canada launched the *Management, Resources and Results Structure* (MRRS) Policy, which focused much more on outcomes and introduced an elaborate program alignment architecture. However, that created low-qual-

ity performance indicators for reporting and often did not reflect how departments were actually organized.

In hindsight, the first two generations of results-based management policies (PRAS and MRRS) had many weaknesses. Management did a lot of reporting that was in fact not widely read notably because it created a large quantity of low-quality performance information. Additionally, during the implementation of policies, the main focus—which was the outcomes that mattered to Canadians or what was promised by leaders during elections—was often lost. The poor quality of performance information thus did not serve its essential role of supporting ministerial decision-making and providing lessons learned. Overall, policy-makers and the population had a hard time understanding what departments were doing and how well they were doing it (TBS, 2016).

The basic elements of results-based management can be set out quite easily. In the context of programs, managing for results requires (Auditor General of Canada, 1997:11-12):

1. Fostering an organizational climate that encourages managing for results;
2. Agreeing on expected results;
3. Measuring results to improve performance; and,
4. Effectively reporting performance.

Measurement of results in the public sector remains an important challenge. Moving towards a results-focused culture is also seen as an important challenge, and good performance reporting tends to be an especially slow transition process (Auditor General of Canada, 2000). Also, agreeing on expected results is often considered a challenge but rather straightforward, while setting performance expectations may be the most difficult aspect of RBM to accomplish. Indeed, for authors such as Wholey and Newcomer (1997:100) “the most important initial step in performance-based management is getting a reasonable degree of consensus on key results to be achieved [...]”. In the end, it is essential to be able to set out clear statements of what is to be accomplished. The concept of “performance” requires a comparison of what was expected with what was achieved. It is not possible to assess performance either for managers or for the public without knowing first what level of performance was expected (Auditor General of Canada, 2003).

3.2. The latest Generation of Performance Management: The Policy on Results

3.2.1. Objectives and Expected Results of the Policy on Results

In order to fix these problems that spread over a period of twenty years, the Government of Canada introduced its new Policy on Results in 2016 “clearly demonstrating that public spending achieves results that matter to Canadians” (TBS, 2016:4). This framework (Figure 5) was established to help departments and the government as a whole to (1) Articulate the results they aim to achieve; (2) Identify the programs and resources that contribute to results; (3) Measure ongoing performance and evaluate programs; (4) Tell a meaningful performance story to Canadians; and, (5) Use performance information to support funding requests (Auditor General of Canada, 2003; TBS, 2016). In other words, this policy aims not only at enhancing capacity and efficiency, but also to “tell a story” to the population, which is more and more critical of the government’s performance in a highly digitalized and mediatized era. In addition, departmental results are made public and can be used as a motivator. Figure 5 illustrates the objectives and expected results of the Policy on Results according to the Treasury Board of Canada (2016b).

3.2.2. Enhancing Accountability and Governance: Telling a Performance Story to Citizens

To ensure overall alignment, and track progress on top priorities, a new Cabinet committee on Agenda, Results and Communications (ARC) was created to set the government's results agenda. This Committee was combined with the quite powerful Results and Delivery Unit in the Privy Council Office to ensure government and individual ministers focus and deliver on political priorities and promises.

Government priorities—which were often part of the political program presented during the elections—are specified in the ministerial mandate letters (Appendices A and B). In 2015, the Trudeau government took an unprecedented step towards accountability and transparency by publicly releasing these letters so Canadians could see exactly what their government was going to do to fulfill their promises, address new challenges, and deliver on their commitments.

FIGURE 5

Objectives and Expected Results of the Policy on Results



Improve the achievement of results across government



Departments measure and evaluate performance, using the resulting information to manage and improve programs, policies and services



Departments are clear on what they want to achieve and how to assess success



Enhance the understanding of the results government seeks to achieve, does achieve, and the resources used to achieve



Parliamentarians and the public receive transparent, clear and useful information on the results that departments have achieved and the resources used to do so



Resources are allocated based on performance including through Treasury Board submissions, through resource alignment reviews, and internally by departments themselves

Source: Treasury Board of Canada, 2017b.

These letters, from the Prime Minister to each minister, outline overall expectations as well as more specific policy objectives for respective ministers. The mandate letters direct each minister to track and regularly report on progress against their commitments, assess the effectiveness of ongoing work, and invest resources to achieve results. These letters highlight the importance of all ministers making a contribution to government-wide commitments, like strengthening the middle class and improving outcomes for Indigenous Canadians. The letters also underline the values that should inform the Government's work, like transparency, collaboration and a commitment to evidence (PCO, 2017).

The fact that mandate letters—and their updates—are publicly available make it easier for the population to hold the Government to account for its commitments, therefore, making the government more open and transparent. These letters are also an important tool that allows Canadians to see the Prime Minister's expectations for each minister and gives Canadians a clear idea of how the Government will deliver its agenda. The Mandate Letters outline the policy objectives that each minister will work to accomplish, as well as the pressing challenges that each minister will address in their role, they are not an exhaustive list of all files a minister will work on. The architecture for the Mandate Letter data set also form the basis of the government's reporting through the Mandate Letter Tracker. Concordantly, the Privy Council Office (PCO) also created a public website for the Mandate Letter Tracker to allow citizens to review the progress of government commitments according to top priorities.

The website provides the following information for each commitment:

- A shortened descriptive text of the commitment;
- The mandate letter date associated with the commitment;
- The government priority associated with the commitment;
- The minister(s) responsible;
- The completion status (Completed – fully met; Completed – modified; Actions taken, progress made; Actions taken, progress made toward an ongoing goal; Actions taken, progress made, facing challenges; Not being pursued;
- Up to five links to other relevant information pertaining to the commitment; and
- Comments on progress.

It is also important to note that the Policy on Results is also coupled with an important tool which allows greater public accountability and transparency on financial transactions, people management and planning information. This tool is called the GC Infobase (Figure 6), where the public and employees can find the latest information on all government finances, people and results. Developed since 2013 and released since 2016, GC InfoBase is a good example of an innovative data visualization tool that delivers searchable information by easily-navigated topics. On the results section, data on the planned results and indicators for any organization is accessible in a clear manner. This tool and the Policy on Results allow the government to tell a clear performance story to the Canadians and provide Canadians with all of the necessary details on the government's advancement on political engagements, therefore enriching accountability within institutions.

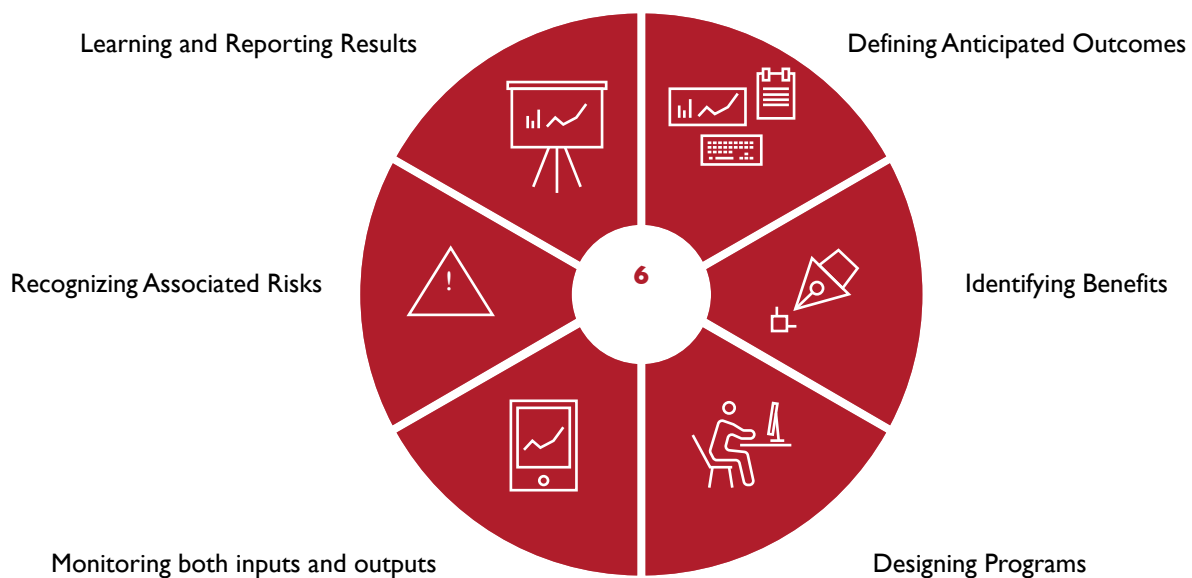
3.2.3. The Management Cycle and the Departmental Results Framework

The Policy on Results is also associated with a particular management cycle. As shown in Figure 7, the management cycle contains the different stages which include (1) defining anticipated outcomes; (2) identifying benefits; (3) designing programs; (4) monitoring both inputs and outputs; (5) recognizing associated risks; and, (6) learning and reporting results (Foreign Affairs, Trade and Development Canada, 2008; 2016).

According to this model, collecting and measuring performance information is a pivotal step of the life-cycle. In this regard, the Policy for Results brings many enhancements to performance measurement and evaluation, which is summarized by the Developmental Results Framework; Program Inventories; Performance Information Profiles; and Renewed Evaluation.

To facilitate the new system, all organizations have migrated to a new results-based reporting structure called the Departmental Results Framework (DRF). The DRF consists of the department's core responsibilities, departmental results, and departmental results indicators (see the following graph). The department's core responsibilities derive directly from the minister's mandate letter, is approved by the TBS and describes the federal department's roles and responsibilities. The departmental results describe what the department is trying to achieve or is hoping to influence/achieve. As for the third component of the DRF, the departmental results indicators describe how the department plans to assess progress using proper data and ensuring the assessment is evidence-based.

FIGURE 6

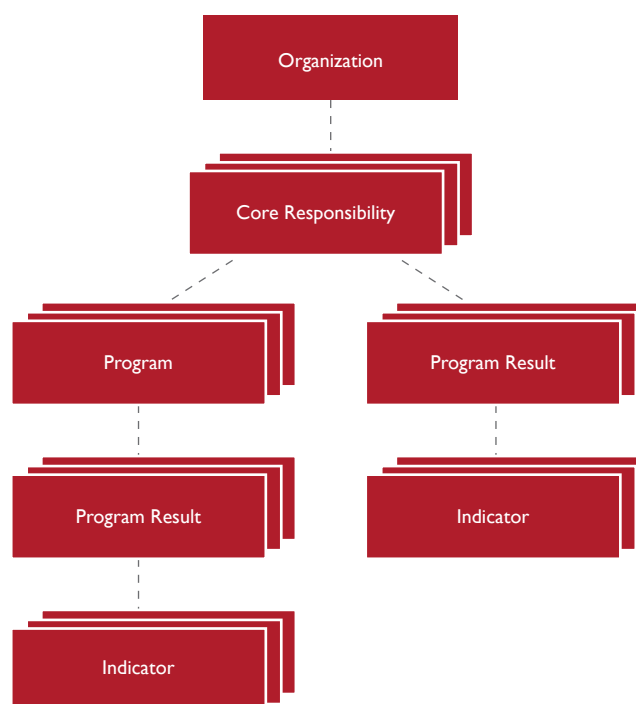
Stages of Result-Based Management

Source: Global Affairs Canada, 2016.

Organizations group their programs and departmental results through their core responsibilities. Progress for each result is measured by indicators and targets. For instance, this year (2018-19), organizations from the Government of Canada have 1,599 results to achieve, measured by 2,747 indicators.

FIGURE 7

Departmental Results framework



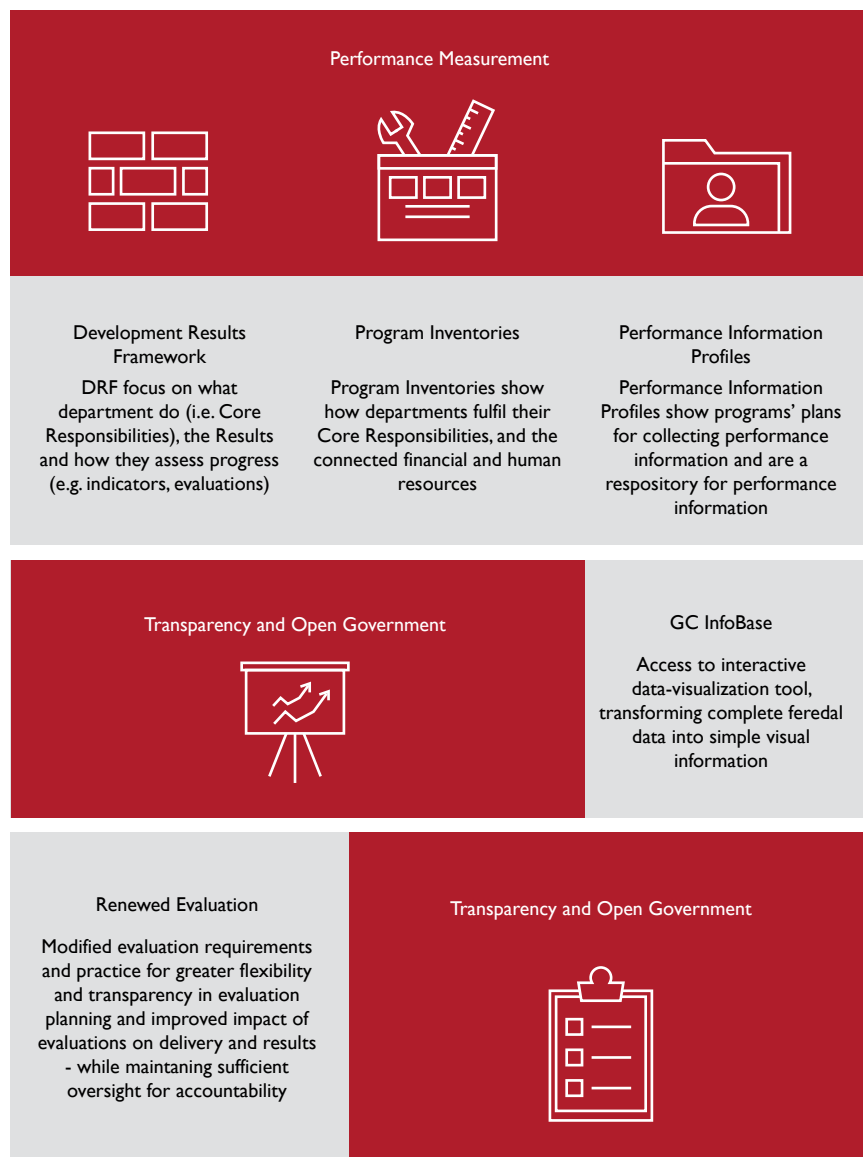
The core responsibilities are generally distributed between four sections: spending oversight, administrative leadership, employer, and regulatory oversight (TBS, 2015):

1. Spending oversight consists of reviewing spending proposals and authorities; reviewing existing and proposed government programs for efficiency, effectiveness and relevance; and providing information to Parliament and Canadians on government spending.
2. Administrative leadership consists of leading government-wide initiatives; policy development and setting the strategic direction for government administration related to service delivery and access to government information; as well as the management of assets, finances, information and technology.
3. The employer section consists of developing policies and setting the strategic direction for people management in the public service; managing total compensation (including pensions and benefits) and labour relations; undertaking initiatives to improve performance in support of recruitment and retention objectives.
4. Regulatory oversight consists of developing and overseeing policies to promote good regulatory practices, review proposed regulations to ensure they adhere to the requirements of government policy, and advance regulatory cooperation across jurisdictions (TBS, 2015; Canadian Heritage, 2017).

FIGURE 8

What the Policy on Results Brings to the table

WHAT THE POLICY ON RESULTS BRINGS TO THE TABLE



The Program Inventory identifies the programs that contribute to the department's core responsibilities and results. It shows how departments fulfill their core responsibilities and manage connected financial transactions and human resources by following the structure of: spending oversight, administrative leadership, employer, and regulatory oversight (TBS, 2015; Canadian Heritage, 2017). Finally, the Information Profile shows the program's plans for collecting information and is a repository for performance information.

3.2.4. The Expenditure Management System

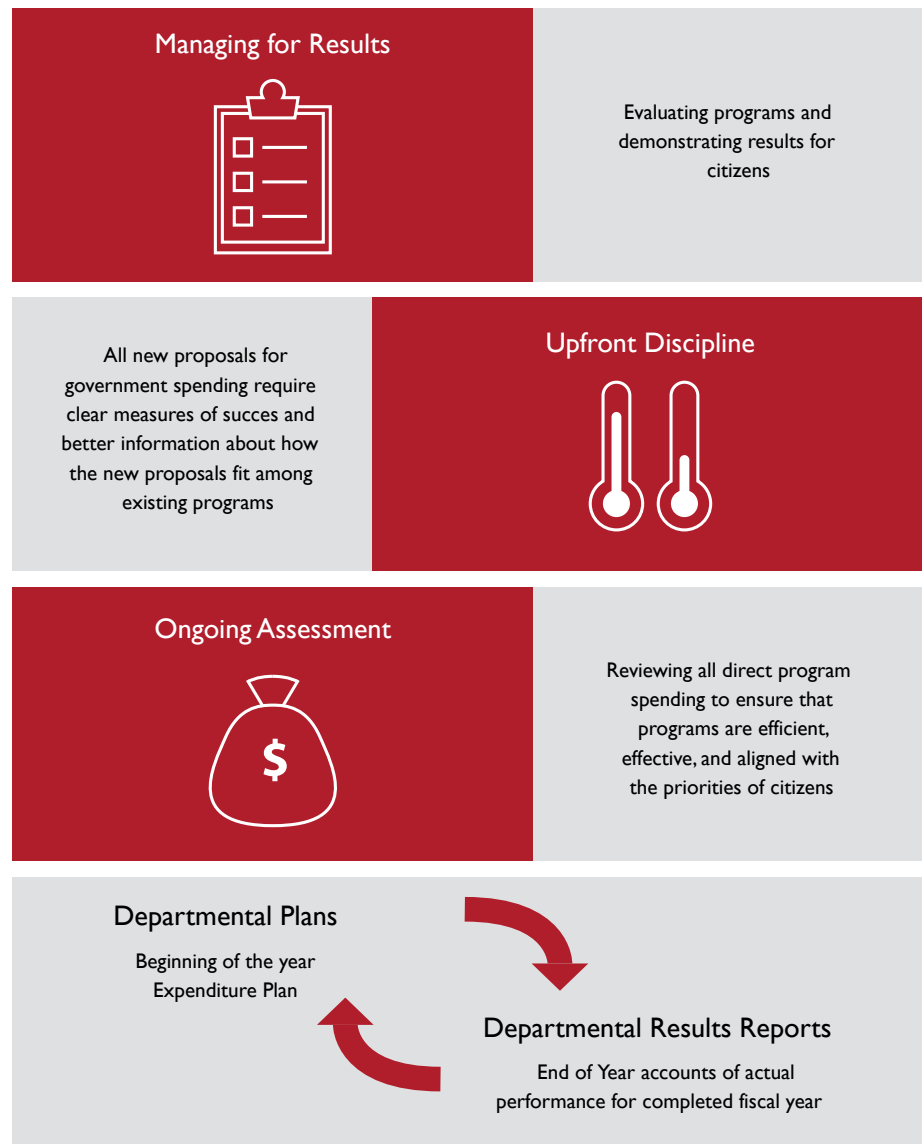
Once a year, the government prepares a budget that outlines its priorities, policies and plans to influence the overall behaviour of the national economy. The government must also prepare and present to Parliament a spending plan. Thus, annually, over 130 governmental organizations are required to present to Parliament their planned expenditures or estimates for the following year in a larger document called the Main Estimates. The Main Estimates lists the financial resources required by individual departments, agencies and crown corporations for the upcoming fiscal year. This allows policy-makers to make informed decisions and vote accordingly. In order to facilitate this process and integrate performance management and accountability, the government has built a new framework: The Expenditure Management System.

Within this structure, all government programs (existing and new proposals) must go through a systematic examination to ensure that they meet the needs of citizens, are focused on results, provide value for taxpayers' money and, notably, are aligned with the government's priorities and responsibilities (TBC, 2015c).

The approach is built on three pillars (Figure 10):

1. Managing for results: evaluating programs and demonstrating results for citizens;
2. Upfront discipline: all new proposals for government spending require clear measures of success and better information about how the new proposal fits among existing programs;
3. Ongoing assessment: reviewing all direct program spending to ensure that programs are efficient, effective, and aligned with the priorities of citizens.
4. The Expenditure Management System includes the Departmental Expenditure Plans which consist of two documents: the Departmental Plan (DP) and the Departmental Results Reports (DRR).

FIGURE 9

Expenditure Management System**HOW IT WORKS**

The Departmental Plans are in fact expenditure plans for each department and agency that describe departmental priorities, strategic outcomes, programs, expected results and associated resource requirements for a three-year period beginning with the year indicated in the title of the report (TBS, 2017). As for the Departmental Results Reports, they are individual department and agency accounts of actual performance, for the most recently completed fiscal year, against the plans, priorities and expected results set out in their respective Departmental Plans. In short, Departmental Results Reports inform parliamentarians and Canadians of the results achieved by governmental organizations for citizens (TBS, 2017).

This framework also follows a results-based management approach for all spending. As previously mentioned, results-based management uses a life-cycle approach by integrating planning, monitoring and reporting to improve decision-making. Each department defines expected results for all of its spending, measures performance against anticipated results and sets standards of performance against best practices. Program evaluation is also an integral component of this approach. Overall, the aim is thus to help identify management strengths and weaknesses across government and assist employees in planning and managing resources, expenditures and results (TBS, 2015). Performance evaluations also aims to show clear metrics and results for citizens to understand what they are getting for their taxpayer dollars, how much money went to a program and what the program actually achieved (TBS, 2014b).

3.2.5. The Advantages of the Policy on Results

In hindsight, Canada's performance management model aims to enhance the capacity of the public service and to fix the weaknesses of the previous generation's performance management programs. Figure 11 summarizes the general advantages provided by the Policy on Results from 2016. The Policy on Results offers a (1) much simpler and flexible structure which focuses on more meaningful results and indicators to avoid the fact that previous performance reports were not read enough by managers and policy-makers. (2) Departments are also focusing much more on meaningful results and indicators to correct the fact that in the past most of the performance information documentation were of too low quality and often in too large quantity. (3) The focus on outcomes was also a designated weakness of the previous generation; the new generation has then decided to create better performance measurement models and more flexible evaluations to allow departments to more freely pilot, gather evidence, and innovate when designing policies and programs. (4) In terms of accountability, the new generation has brought new tools and structure which enable the production of a clear and compelling story to Canadians—and Parliamentarians—on the difference that government departments are making in their lives, the department's main focus and their performance results.

Measuring is undoubtedly the central aspect of performance management. Therefore, one important question to ask is: what are departments measuring? In the DRF, the results are outcomes or outputs. The number of results are small and focus on three aspects: the highest outcomes attributable to departmental activities (or the end goals); the government or governmental priorities (high profile outputs or outcomes); and short and long-term goals depending on the context. In the Performance Information Profiles, the program design tools (such as the logic model) identify all important outputs and outcomes (which are the why and the how of the program); a focus on short and long-term goals; and the evaluation of programs are supported.

In the end, the evidence gained with this performance management system and its measurement data allows for: better innovation, smarter spending, and more clear reporting. It allows for better innovation because departments have the evidence needed to make wiser decisions, make corrections and experiment with program design. The government can also spend smarter because ministers have evidence in the form of performance information to make spending decisions and ensure impact.

Finally, it allows for better reporting as citizens and parliamentarians have easy access to evidence in order to audit departmental results and resources (Treasury Board of Canada, 2016). The impact of this should be an improvement in the attainment of results across government and enhancement in the understanding of results achieved and resources used across government. In other words, while the Policy on Results is not perfect, most of the weaknesses of the previous system were addressed with the Policy on Results.

FIGURE 10

Policy on Results: Before and After

3.2.6. The Weaknesses of the Policy on Results—and Other Similar Models

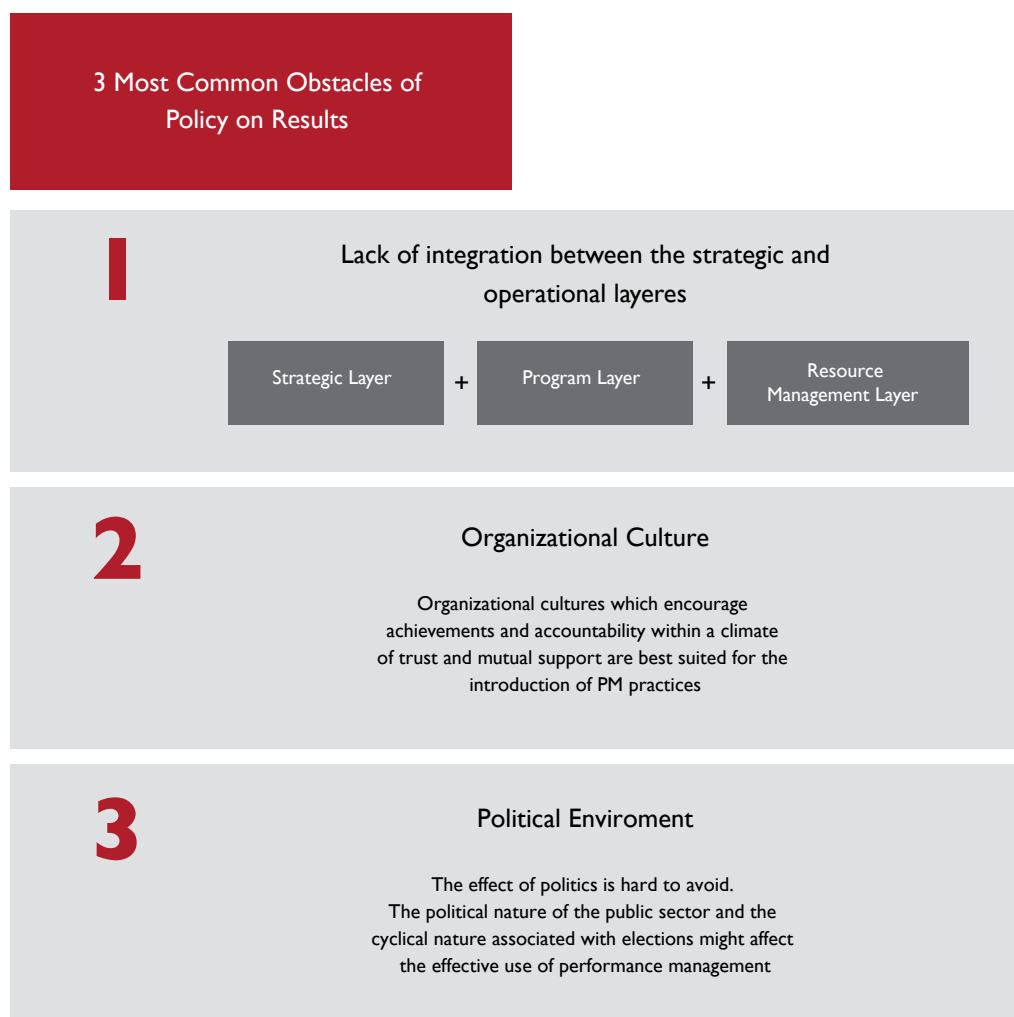
According to a great majority of the interviews with managers in the Government of Canada, the Canadian performance management system is quite respectable when compared to other similar countries, but it is far from perfect. While most departments create quite detailed frameworks and models for planning and measuring, the gap still occurs at the third stage in the cycle: the use of performance measures to improve program delivery. In other words, the implementation cycle tends to be broken because only a small number of managers use recurrent and effective performance measures to make key decisions (Interviews; Berman et al., 2019).

The implementation cycle is precisely what the Policy on Results aims to fix, but this has proven to be a slow process especially in such a large governmental institutional context which tend to develop slowly and be risk-averse. According to most public servants interviewed, there are three consistent impediments to implementation of performance management: (1) lack of integration between the strategic and operational layers in the organization; (2) organizational culture; and (3) the political environment. Figure 12 illustrates these three key barriers.

The lack of integration between the strategic and operational layers is indeed an unavoidable issue in the context of large organizations. The typical organization includes three layers, the strategic layer, which establishes strategic outcomes; the program layer which includes the performance management cycle; and, the resource management layer. These layers often have to respond to different stakeholders with different plans and different performance reports. One of the effects is the creation of a massive amount of internal work and sometimes different versions of performance measures which deter proper integration and discourage manager from relying on performance information to make decisions (Siddiqui, 2012).

The second barrier is the organizational culture. Most studies show that organizational cultures which encourage achievements and accountability within a climate of trust and mutual support are best suited for the introduction of performance management practices. However, these characteristics are hard to create and while most organizations are able to focus on achievement, the notion of accountability is rarely seen in organizations let alone the level of trust needed for open discussion on performance results.

FIGURE II

Obstacles Facing the Policy on Results

Finally, the third barrier is the political environment, an inescapable reality in public organizations. In public service, the effect of politics is hard to avoid as every interviewee noted. Indeed, it is often said that the political nature of the public sector and the cyclical nature associated with elections diminishes the effective use of performance management. For good and for bad, this political environment thwarts the pragmatic, objective-driven and forward-looking nature of the performance management cycle.

In sum, although the Canadian Government has made significant investments in their performance management systems over time, the reality shows that, so far, there is still much to be done with these results to enhance continuous learning and to improve program delivery. Ultimately, learning from the data provided by performance measurement is probably the most important aspect of the policy and should be the utmost goal for every manager and policy-maker.

3.2.7. Lessons for Future Models: Adaptive Approaches to Performance Management

Today's organizational environments are much more complex than it was a few decades ago. In most countries, developed or emerging, solving social problems or stimulating economic development is difficult and challenging. Several sectors and issues demonstrate glaring gaps at the implementation level. The global refugee crisis, public safety and terrorists issues, immigration reforms, challenge of funding new and old infrastructures, climate change, population aging and its consequence on social services, economic development in periods of recession, delivering new social services (such as daycare; affordable housing etc.) are just a few examples of complex public policy problems facing Canada that require different approaches. Organizations are also confronted with the management of diverse and complex business operations and projects. Globalization is often considered as one of the main factors of complexity. Erosion of boundaries, liberalization, movements of capital, people and knowledge are creating a need for innovative and adaptive management approaches.

While more linear answers are still undeniably needed, we live today in a time where it is no longer possible to view problems in the public sector simply through traditional means. Rather, the world of policy-making and the public sector must now be viewed as a holistic system with complex relationships and dependencies. It is thus important to focus on the dynamic interplay between the public sector environment (internal factors) and the social environment (external factors), and to take into consideration other factors such as leadership, stakeholder capacities, engagement and readiness, political environment, and information and communication.

These new considerations in today's organization also apply to performance management systems. Indeed, no matter how great a performance management model is, one must always keep in mind that every department or organization is different in terms of context and culture. Therefore, in a performance management system, it is always important to leave space for people on the ground to provide feedback and adapt the larger performance system to the specifics of reality for better, more accurate results. For instance, the Canadian Departmental Results Framework or the different stages of performance information life-cycle are always affected by the organizational structures and its behavioural culture as it operates under the influence of institutional environment where political domains, stakeholders and public sector culture can also influence the life-cycle process and the performance of departments and employees.

In conclusion, today's performance management must be much more flexible and adaptive than previous generations. Performance management should be a well-oiled auto-learning machine that listens to the people actually implementing the policies in a more lateral approach. It should be forward-looking and fundamentally based on the unique contextual needs of organizations; and successfully drive better accountability, quality, productivity, development, and recognition outcomes. Finally, with the changing nature of work, performance management should be a driver of not only performance but also innovation and accountability. One should never lose sight that ethics and integrity should always be at the center of public administration practices.

IV. Human Productivity: How it is Linked to the Performance Management System



4.1. Public Sector Employee Productivity in Kuwait

In February 2019, Marmore (the research arm of Kuwait's Financial Center) has published a report investigating GCC countries productivity between 2007 and 2017. The report found that labour productivity of Kuwait has decreased significantly (41% decline) over the ten years study period. Productivity refers to how efficiently the production inputs such as labour and capital are being used in an economy to produce a given level of output. Productivity is considered a key source of economic growth and competitiveness, it is the basic statistical information for many international comparisons and country performance assessments. Productivity rises when labour is working smarter, faster or with better skills and education or when employees have access to technological innovations. Also, policy decisions regarding the provision of productivity also influence labour productivity (Marmore 2019).

According to the report, factors affecting productivity in Kuwait can be grouped into 3 categories (Marmore, 2019):

1. Increased government spending mainly on compensation.
2. Most of the Kuwaiti labour force works in the public sector. The availability government employment reduces the interest of Nationals to acquire relevant skills to seek private employment, as wages in the public sector are higher.
3. Human capital and levels of education of the average civil servant reveals significant challenges for meeting future needs.

As of the 2015 labour survey, 46% hold a university degree and above, while 18% hold a secondary degree or equivalent and 16% are below secondary education. With 54% below university education, the existing workforce faces the difficult challenge of struggling to address future challenges, especially for civil service jobs that require a certain level of education and skills (LMIS, 2019).

Given the ambitions of Kuwait regarding its development, economic diversification and effective government, this issue is now being addressed very seriously by the Kuwaiti Government. The government will only succeed with its policy implementation and delivery of services if its employees are talented, motivated, efficient and ethical. What is known from many decades of public sector reforms is that training and capacity building within programs are not enough to engage in a transformative and sustainable change process. Major civil service reforms that have been successful in the past have prioritized the following items:

- A meritocratic civil service: a system that prioritizes merit over political or personal connections in human resource management decisions.
- A civil service driven by integrity: adopting strong ethical values as a code of conduct and as an expectation (and making sure this is applied).
- A performance-oriented civil service management system: making sure that employee performance management is embedded and associated with the overall performance management system.
- A civil service that is well remunerated: making sure that salaries and benefits are competitive with the private sector.

Of course, there is not a one-size-fits-all in terms of solutions and reforms, and the Kuwaiti Government will need to find its own way.

In the following section, the paper will examine the example of Canada to identify potential solutions to some of the Government of Kuwait's issues. The paper will also review three potential approaches that can support the priorities presented above: employee performance management system, code of conduct for public sector employees and talent management approaches.

4.2. Employee Performance Management System in Canada

A performance management system is not only an approach to monitor results and service delivery, it is also a powerful tool for improving the work performance and productivity of individuals, teams and organizations. It is an increasingly important tool that allows responding to budgetary and fiscal pressures, increasing demands for public services, and the need for more transparency in reporting on the use of government funds.

While some experts tend to focus on the role of executives in performance management, it is often the role of subordinates that is the most important for proper implementation. In fact, a good execution of the performance management program in the public service can help build and maintain trust between an employer and an employee, create conditions to allow all employees to maximize their contributions and provide world-class service to the population and boost overall economic development (TBS, 2014a). In Canada, employee performance management is defined by the Treasury Board of Canada as a “comprehensive approach that includes the following: setting commitments, performance objectives, and expected behaviours; assessing results; and providing continuous feedback and coaching” (NRC, 2018).

According to the Treasury Board of Canada, the Canadian employee performance management program aims at building a high-performance culture by aligning individual objectives with departmental and government-wide priorities; recognizing and rewarding individual successes; and addressing performance concerns when necessary (NRC, 2018).

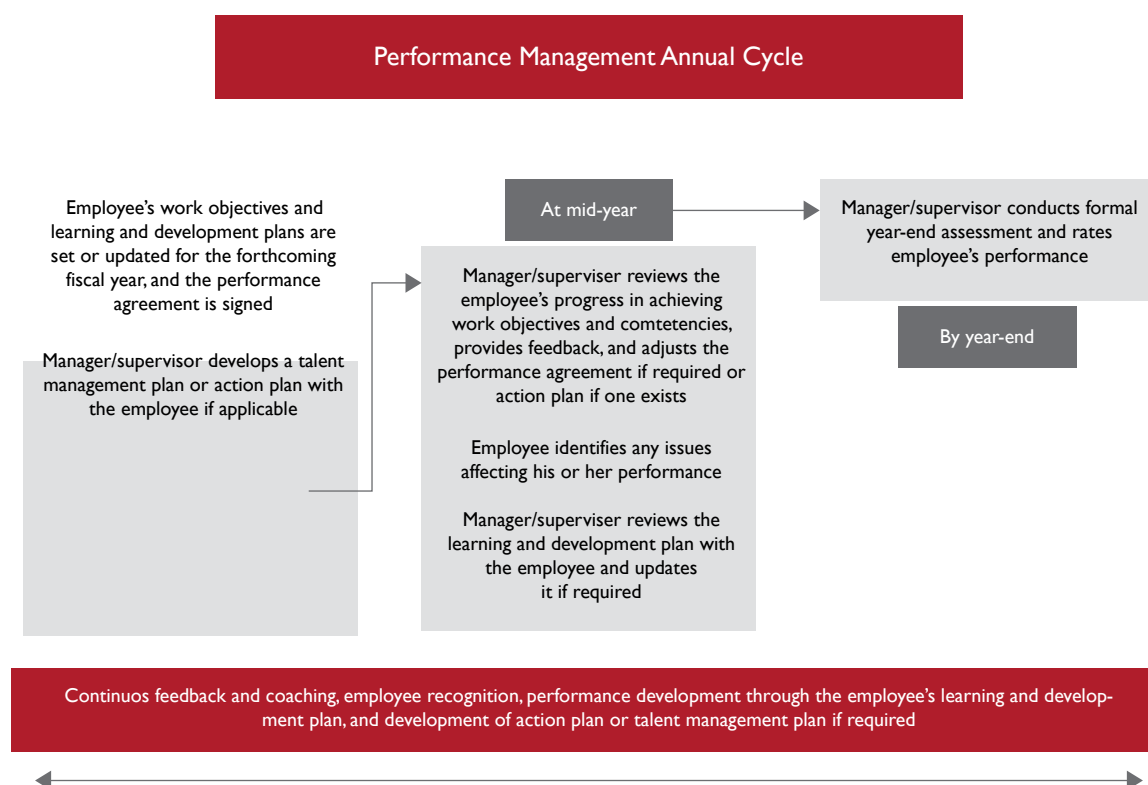
Performance management is an ongoing process that involves planning, developing, coaching, providing feedback and evaluating employee performance. This process is also part of an annual employee performance management cycle, which is essential in order to understand the larger performance management system in Canada (Figure 13).

Some of the performance management requirements are time-specific and require three steps:

1. at the beginning of the fiscal year, when performance expectations are established;
2. at mid-year, when performance is reviewed; and,
3. by year-end, when performance is assessed.

FIGURE 12

Employee Performance Management Cycle



Source: Treasury Board Secretariat, 2014a.

At the beginning of the fiscal year, work objectives along with learning and development plans are set for the upcoming year. As an important step, the performance management agreement is signed by the employee. Typically, a performance management agreement would include: three to six work objectives linked to the organization's performance goals; improvement in core or technical competencies; and, a learning and development plan. Lastly, the manager has to develop a talent management plan with the employee.

At mid-year, the manager reviews the employee's progress in terms of work objectives and competencies. The manager also has to provide feedback and adjust the performance agreement accordingly. At this step, the employee has to identify and explain any issues affecting his or her performance. Then, the manager has to review and update—if necessary—the learning and development plan with the employee.

By the end of the year, the manager conducts a formal year-end assessment and then rates the employee's performance. For employees on probation, there are additional requirements that are ongoing and apply to activities throughout the year, such as review panels.

The ratings of objectives are the following (PIPSC, 2018:7-8):

- 5/5 points: Surpassed. Performance is outstanding. The employee makes an exceptional contribution to strategic organizational goals and objectives and consistently surpasses position requirements.
- 4/5 points: Succeeded (+). Performance exceeds expectations and consistently generates strong results above those required of the position.
- 3/5 points: Succeeded. Performance fully meets all expectations. The employee has effectively achieved all of his or her work objectives.
- 2/5 points: Succeeded (-). Performance meets some but not all expectations. The employee demonstrates the potential and motivation to achieve his or her work objectives; however, occasional lapses have been observed during the performance management cycle.
- 1/5 points: Performance did not meet expectations. Performance results were well below expected performance indicators or standard defined for the work objectives and/or hampered the achievement of organizational goals and objectives.

The Directive on Performance Management was developed to support all departments and agencies across the core public administration. This Directive provides guidance on how to establish an effective employee performance program and processes to support a consistent government-wide approach to ensuring a high-performance culture. The Directive applies to all non-executive employees, as a separate process was already in place for executives, under the TB Directive on the Performance Management Program (PMP) for Executives.

The Treasury Board Secretariat also developed an enterprise-wide solution known as the Public Service Performance Management Application (PSPM App). The PSPM App is designed to allow all employees and their managers to use a uniform web interface in order to complete their performance agreements and to document discussions and ratings related to performance. The Performance Management Directive requires that “all employees know what is expected of them; have an opportunity to understand how their performance will be measured; and, at least twice a year, receive formal feedback on their strengths as well as support for areas of improvement” (NRC, 2018). Managers are expected to supplement the Directive by making ongoing constructive feedback a regular part of managing their teams. These requirements are illustrated in the TBS table of the “Performance Management Annual Cycle” above, and must also be documented in the PSPM App.

4.3. Code of Conduct and Ethics

International experience shows that public sectors that are driven by values, integrity, professionalism and ethics are much more efficient than those which are not. This is why the code of conduct and code of ethics, which describe standards of behaviour for government executives and employees, have been adopted by many public administrations around the world. Most anticorruption initiatives in the world are using this instrument to communicate the expected ethical standards. The code of conduct and ethics are important instruments of integrity and accountability when government officials comply with the standards. This is a tool that helps build citizens and private sector confidence. When it comes to collecting tax revenues or creating an economic climate to generate and attract investments, ethical behaviour of public officials is of utmost importance.

Canada is no exception and has been using a values and ethics code for decades, which has evolved over time. The latest iteration of the code was adopted in 2012. Each employee of the Government of Canada must adhere to the Values and Ethics Code for the Public Sector (Treasury Board of Canada, 2010).

The Code embraces five core values (Figure 14):

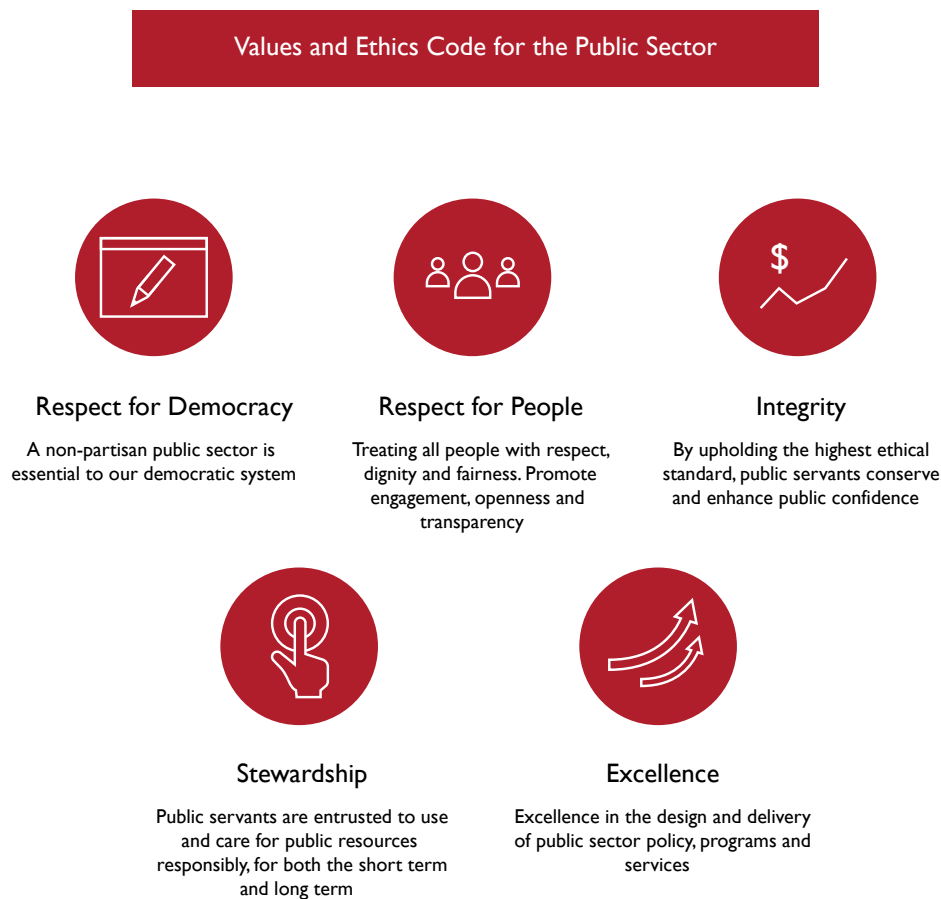
1. Respect for democracy
2. Respect for people
3. Integrity
4. Stewardship
5. Excellence

Adopting a code of conduct and ethics is relatively easy. The difficult part is how to make sure employees will comply with it. In order to tackle these issues a government needs strong leadership and a robust integrity management system (OECD, 2017). The OECD recommendation on public integrity insist on a comprehensive and holistic approach based on three pillars:

- Having a system in place to reduce opportunities for corrupt behaviour (reduce policy coverage, improve procurement practices; transparency and open government)
- Changing a culture to make corruption unacceptable socially (leadership; raising awareness inside and outside the public sector)
- Making people accountable for their actions (oversight; enforcement)
- A code of conduct and ethics is a good starting point to increase public sector performance; however, it needs to be backed up by a system-based approach.

FIGURE 13

Code of Conduct and Ethics



Source: Treasury Board Secretariat, 2012. Values and Ethics Code for the Public Sector.
<https://www.tbs-sct.gc.ca/pol-cont/25049-eng.pdf>

4.4. Talent Management

To maintain a highly motivated civil service and manage talent nowadays has become paramount. The performance management system is key to enhancing productivity and it comes with the help of other tools and higher levels of examination related to human resources and talent management (TM). TM is often described as the systematic attraction, identification, development, engagement/retention, and deployment of talents and it is a branch of Human Resources Management (HRM). Talent as a term is also defined differently depending on the originating school of thought, for example, it could refer to “excellent abilities”, or it could also be used to describe terms like “key employees” or “high potentials” (Hmood and Sheikh 2012).

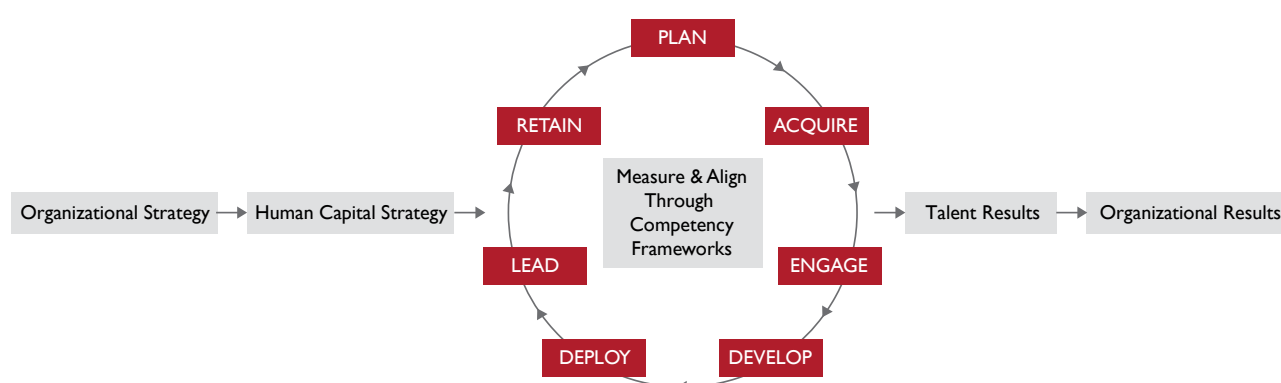
Identifying talents within the public sector and working with them could have endless benefits for the public sector. The goal of TM is to increase overall staff productivity through the improved attraction, retention, and optimization of talent. TM strategies are superior not just because they focus on productivity, but also because these strategies are forward-looking and proactive, meaning they continuously seek out talent and opportunities to better optimize potentials.

When considering the HRM strategies and TM in public sector, a government and its relevant departments can take the initiative of reviewing the HRM policy of public sector organizations and create a proper workforce plan to promote TM in public service by placing the right talented people, with the right skills, at the right time (Faruk, 2018).

Talent planning, acquisition, development, deployment and retention is usually based on a set of behavioural and technical competencies that are identified per each position based on the institution's performance objectives and expected results. Figure 15 presents one of the most popular frameworks for managing talents in any given organization, of course, any model needs to be adapted to the specific context and sector (Hmood and Sheikh 2012).

FIGURE 14

Talent Management Framework



There are many successful examples of talent management practices in the public sector and its contribution to mitigating risks associated with succession planning, performance, enhanced productivity and employee motivation. However, the intentions of this paper is not to go into further detail, but rather to open the doors for a higher level of analysis and anchor current work with future aspects of performance management.

V. Recommendations and Roadmap to Setup a National Performance System



5.1. The Strengths of Kuwait's Present Public Administration

In terms of the performance management system, the State of Kuwait already has a set of strengths on which it could—and should—build its future bureaucracy. We have identified two features which we believe should be considered as the foundation for a future sustainable PM system. Indeed, it is important to know and build on existing strengths before looking at the aspects for improvement (recommendations). The first strength is the already existing Government Performance Follow up Agency (GPFA) which was established in 2007. This agency aims at improving the performance of governmental bodies and corrects any deficiency through a process of continuous follow-up. It offers recommendations and solutions to settle issues and obstacles often faced by administrative bodies. Therefore, the government of Kuwait should continue to build on this great initiative in setting up a performance management system.

The second notable strength of the government is related to performance management features within the Kuwait National Development Plan (KNDP). The KNDP has a clear strategic direction with 7 performance areas (pillars), each one linked to a clear set of key

performance indicators (KPIs). The KPIs are being measured periodically and published on a platform accessed by all stakeholders, thus fostering concepts like transparency, public participation, and open governments. This initiative is a strong starting point and could be stretched to cover all government institutions as a part of a wider performance management system.

5.2. Recommendations for the Creation of a Performance Management System in Kuwait

Effective, accountable and inclusive institutions are the foundation of a capable government which can deliver services and improve people's lives. Reinventing public administration and its performance management system is without a doubt a positive and necessary step. Without proper modernization and transformation, public organizations cannot adapt to today's needs nor implement contemporary public policies (UN, 2019).

Based on the review and comparative analysis of the performance management systems in Kuwait and Canada including challenges and opportunities discussed in the two interactive workshops with Kuwaiti public servants and interviews with high level public managers, the proposed solution is a set of recommendations anchored within 3 dimensions: 1) resource management and PMS infrastructure; 2) general PMS implementation; and 3) e-government and open-government. These three areas are supported by a set of cross-cutting themes.

FIGURE 15

Cross cutting topics: committed leadership, efficiency, effectiveness, and context-based policies

Resource Management & PMS Infrastructure	Human Resource and Employment Management System Process automation and IT infrastructure
General PMS Implementation	Multi-level process governance approach, including vertical and horizontal coordination and communication Results based management policies and indicators Introducing institutional capacity and maturity assessments
E-Government & Open Government	Accountability structures Open and e-government Change management communication and approach - stakeholder participation and engagement

5.2.1. Recommendations on Resource Management and PMS Infrastructure

Recommendations under this dimension focuses on policy areas and issues that will pave the way for the implementation of the performance management system. These are generally the two recommended measures for human resource management reform: 1) cost control measures that include the reduction of personnel, pay reduction and savings in training policies; and 2) reforms primarily intended to ensure that the motivation and commitment of employees are retained at all times even in retrenchments (OECD, 2016). Both types have their pros and cons; however, any HRM reform should be undertaken to ensure long-term capacity, productivity, and performance.

Based on the discussions and information gathered during the workshops/interviews and the analysis conducted in this paper, it is recommended to employ the second type of reform using competency models (technical and behavioural). This includes revising the models of career development and succession planning in the public sector in Kuwait; modifying training and development opportunities in order to tie them with proper training needs analysis (TNA); revising policies on compensation and incentives; and revising criteria for employee performance management (i.e. shift the focus on compliance with attendance to focus on achieving performance targets). If applied, it is believed that these recommendations would enhance Kuwait's public service performance and motivate its employees by focusing on results and communicating in detail what is expected of employees.

5.2.2. General PMS Implementation

As demonstrated by researches in Canada and Kuwait, coordination between different departments and governmental agencies is always challenging. To overcome this challenge, governance and coordination are unavoidable. Techniques and concepts such as multi-level governance, and horizontal and vertical coordination need to be addressed and synchronized in the PMS for the Government of Kuwait.

In addition, it was evident from the examples discussed in this paper and in the workshop that a shift is recommended from Management by Objectives (MBO) to Results-Based Management (RBM). Contrary to the MBO approach which mostly concentrates its efforts on identifying general objectives, RBM focuses on achieving results and measurable targets. Tools like mandate letters and mandate letter trackers can be introduced to guide the RBM process at the higher levels as learned from the Canadian experience.

Furthermore, an important point to highlight is the significance of organizational readiness to implement a PMS and an organization's maturity level, as not all organizations are on the same maturity level. This can be done through an institutional capacity assessment which serves as an indicator of the level of readiness and organizational maturity that is needed to support the PMS implementation and mitigate risks and challenges.

5.2.3. Digital Governance and Open Government

In the last two decades, citizens around the world have been calling for more transparent, accountable, and responsive governments. This situation is no different in Kuwait. In order to ensure open government, it is thus necessary to establish a digital government and ensure proper digital governance and popular participation in policy-making. There are many outcomes anticipated from an open performance management system, such as enhanced accountability and transparency, in addition to the achievement of results and efficiency. Indeed, a more open government is also a more efficient government.

An open performance management system is possible with the use of strategies, such as publishing performance audits, real-time tracking of achievements in comparison with anticipated results, and consultation sessions with different stakeholders. This can also be enhanced with technological innovation that would support e-government services such as open government portals and Big Data Analytics. Digital government is a necessary shift to become more agile, open, and user-focused. In order to drive digital transformation, it is thus necessary to develop the expertise to connected fields such as big data analytics and artificial intelligence. The most important aspect of digital transformation is not the technology itself, but rather digital governance including human resources and capacity development. Therefore, enhancing digital capacity and literacy in this area is central. This is only possible through proper training of public servants and especially managers that are expected to decide what kind of information and questions they want the algorithm to answer.

Concordantly, it is recommended that a “whole-of-government approach” be developed to support an open and digital government, which would reinforce the outcomes of the performance management system and its sustainability.

VI. Conclusion



In conclusion, this policy paper aimed at exploring issues related to government effectiveness by studying the current Canadian performance management model in order to inform and enhance the national performance management system of Kuwait. Indeed, the main goal was to address the performance management challenges in Kuwait identified by KPPC, including weak accountability for civil servants; lack of ties between financial planning and performance outcomes; not enough citizen-centric policies and lack of performance measurement.

Through the use of a comprehensive desk review and interviews with public servants (mid and high-level) conducted in Canada and Kuwait, an evaluation of Kuwait's performance management strengths and challenges was completed, while using the Canadian model as a comparative example.

In 2016, the Government of Canada introduced the Policy on Results to clearly demonstrate that public spending achieves results that matter to citizens.

To ensure overall alignment and track progress on top priorities, Canada has created a new Cabinet committee on Agenda, Results and Communications to set the government's results agenda. This Committee was combined with the Results and Delivery Unit to ensure government and individual ministers focus and deliver on political priorities and promises. These government priorities are specified in the publicly released ministerial mandate letters to ensure accountability and transparency and to allow Canadians to see exactly what their government plans to do to fulfill their promises, address new challenges, and deliver on their commitments. The Policy on Results is also coupled with an important digital accountability tool called GC Infobase, which allows the government to tell a clear performance story and explain financial transactions, people management and planning information.

To facilitate implementation of the new system, all organizations are centralized to a new reporting structure based on results called the Departmental Results Framework, which consists of the department's core responsibilities, departmental results and departmental results indicators. This is coupled with the Expenditure Management System, which includes the systematic examination of all government programs to ensure that they meet the needs of citizens, focus on results, provide value for taxpayers' money, and align with the government's priorities and responsibilities.

The Employee Performance Management System in Canada is defined as a "comprehensive approach that includes the following: setting commitments, performance objectives, and expected behaviours; assessing results; and providing continuous feedback and coaching". The Employee Performance Management System is time-specific and requires three steps: establishing performance expectations at the beginning of the fiscal year; reviewing performance at mid-year; and, assessing performance by year-end. This is enmeshed with the Values and Ethics Code for the Public Sector which encompasses five core values: 1) Respect for democracy; 2) Respect for people; 3) Integrity; 4) Stewardship; and, 5) Excellence.

This research has identified two existing strengths within the Government of Kuwait that could be the foundation of a future sustainable PM system: the existing Government Performance Follow up Agency; and the clear KPIs present within the Kuwait National Development Plan. These two initiatives are strong starting points and could be stretched to cover all government institutions as a part of a wider performance management system.

Finally, based on our field trip to Kuwait and the study of both Canada and Kuwait public administrations, a set of recommendations emerged from this policy paper. These are anchored within 3 dimensions: 1) resource management and PMS infrastructure (human resource and employment management system; process automation and IT infrastructure); 2) general PMS implementation (vertical and horizontal coordination and communication; results-based management policies and indicators); and, 3) e-government and open-government (accountability structures; open and e-government with digital governance; and change management approach -stakeholder participation and engagement).

In sum, while the technical aspects are central to any performance management system, two cross-cutting topics are unavoidable to ensure proper development of a performance management system: a committed leadership and context-based policies. Therefore, any government seeking to succeed in performance management should focus on adopting those two central components.

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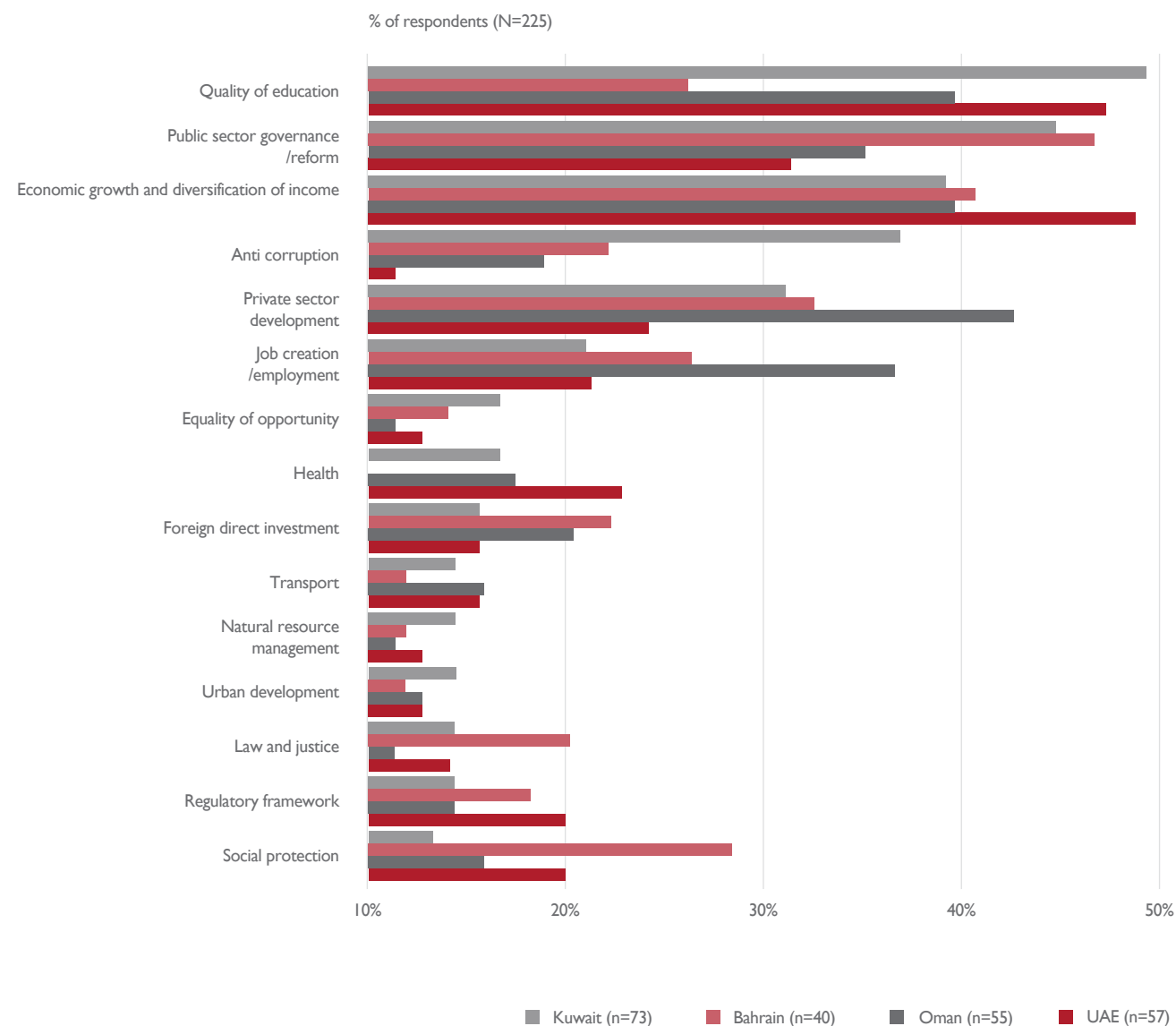
Appendix

Appendix A: FY15 Country Opinion Survey Report for Gulf Cooperation Council Countries

Appendix B: The Ministerial Mandate Letter: Minister of Innovation, Science and Economic Development (November 12, 2015)

APPENDIX A

FY15 Country Opinion Survey Report for Gulf Cooperation Council Countries



APPENDIX B

**The Ministerial Mandate Letter: Minister of Innovation, Science and Economic Development
(November 12, 2015)**

Dear Mr. Bains:

I am honoured that you have agreed to serve Canadians as Minister of Innovation, Science and Economic Development. We have promised Canadians a government that will bring real change – in both what we do and how we do it. Canadians sent a clear message in this election, and our platform offered a new, ambitious plan for a strong and growing middle class. Canadians expect us to fulfill our commitments, and it is my expectation that you will do your part in delivering on those promises to Canadians.

We made a commitment to invest in growing our economy, strengthening the middle class, and helping those working hard to join it. We committed to provide more direct help to those who need it by giving less to those who do not. We committed to public investment as the best way to spur economic growth, job creation, and broad-based prosperity. We committed to a responsible, transparent fiscal plan for challenging economic times.

I expect Canadians to hold us accountable for delivering these commitments, and I expect all ministers to do their part – individually and collectively – to improve economic opportunity and security for Canadians.

It is my expectation that we will deliver real results and professional government to Canadians. To ensure that we have a strong focus on results, I will expect Cabinet committees and individual ministers to: track and report on the progress of our commitments; assess the effectiveness of our work; and align our resources with priorities, in order to get the results we want and Canadians deserve.

If we are to tackle the real challenges we face as a country – from a struggling middle class to the threat of climate change – Canadians need to have faith in their government's honesty and willingness to listen. I expect that our work will be informed by performance measurement, evidence, and feedback from Canadians. We will direct our resources to those initiatives that are having the greatest, positive impact on the lives of Canadians, and that will allow us to meet our commitments to them. I expect you to report regularly on your progress toward fulfilling our commitments and to help develop effective measures that assess the impact of the organizations for which you are answerable.

I made a personal commitment to bring new leadership and a new tone to Ottawa. We made a commitment to Canadians to pursue our goals with a renewed sense of collaboration. Improved partnerships with provincial, territorial, and municipal governments are essential to deliver the real, positive change that we promised Canadians. No relationship is more important to me and to Canada than the one with Indigenous Peoples. It is time for a renewed, nation-to-nation relationship with Indigenous Peoples, based on recognition of rights, respect, co-operation, and partnership.

We have also committed to set a higher bar for openness and transparency in government. It is time to shine more light on government to ensure it remains focused on the people it serves. Government and its information should be open by default. If we want Canadians to trust their government, we need a government that trusts Canadians. It is important that we acknowledge mistakes when we make them. Canadians do not expect us to be perfect – they expect us to be honest, open, and sincere in our efforts to serve the public interest.

Our platform guides our government. Over the course of our four-year mandate, I expect us to deliver on all of our commitments. It is our collective responsibility to ensure that we fulfill our promises, while living within our fiscal plan. Other issues will arise or will be brought to our attention by Canadians, stakeholders, and the public service. It is my

expectation that you will engage constructively and thoughtfully and add priorities to your agenda when appropriate.

As Minister, you will be held accountable for our commitment to bring a different style of leadership to government. This will include: close collaboration with your colleagues; meaningful engagement with Opposition Members of Parliament, Parliamentary Committees and the public service; constructive dialogue with Canadians, civil society, and stakeholders, including business, organized labour, the broader public sector, and the not-for-profit and charitable sectors; and identifying ways to find solutions and avoid escalating conflicts unnecessarily. As well, members of the Parliamentary Press Gallery, indeed all journalists in Canada and abroad, are professionals who, by asking necessary questions, contribute in an important way to the democratic process. Your professionalism and engagement with them is essential.

Canadians expect us, in our work, to reflect the values we all embrace: inclusion, honesty, hard work, fiscal prudence, and generosity of spirit. We will be a government that governs for all Canadians, and I expect you, in your work, to bring Canadians together.

You are expected to do your part to fulfill our government's commitment to transparent, merit-based appointments, to help ensure gender parity and that Indigenous Canadians and minority groups are better reflected in positions of leadership.

As Minister of Innovation, Science and Economic Development, your overarching goal will be to help Canadian businesses grow, innovate and export so that they can create good quality jobs and wealth for Canadians. You will achieve this goal by working with provinces, territories, municipalities, the post-secondary education system, employers and labour to improve the quality and impact of our programs that support innovation, scientific research and entrepreneurship. You will collaborate with provinces, territories and municipalities to align, where possible, your efforts. I expect you to partner closely with businesses and sectors to support their efforts to increase productivity and innovation. You will work closely with the Minister of International Trade to help Canadian firms compete successfully in export markets.

You will be the leader of a strong team of ministers, consisting of the Minister of Science and the Minister of Small Business and Tourism. You will also be the portfolio Minister for the six regional development agencies.

In particular, I will expect you to work with your colleagues and through established legislative, regulatory, and Cabinet processes, including our first Budget, to deliver on your top priorities:

- Restore the long-form census and update legislation governing Statistics Canada to reinforce the institution's independence.
- Improve the quality of publicly available data in Canada. This will require working with Statistics Canada, the President of the Treasury Board and other departments and agencies to develop an Open Data initiative that would consider big data and make more of the data paid for by Canadians available to the public.
- Develop an Innovation Agenda that includes:
 - expanding effective support for incubators, accelerators, the emerging national network for business innovation and cluster support, and the Industrial Research Assistance Program. These investments will target key growth sectors where Canada has the ability to attract investment or grow export-oriented companies. You will assist the Minister of Finance to ensure tax measures are efficient and encourage innovation, trade and the growth of Canadian businesses; and
 - working with Regional Development Agencies to make strategic investments that build on competitive regional advantages. For those communities that have relied heavily on one sector in the past for economic opportunities, investments that support transition and diversification may be appropriate. Communities that have relied on traditional manufacturing are likely to require specific strategies to support economic growth.
- Support the Ministers of Environment and Climate Change and Natural Resources in making strategic investments in our clean technology sector.
- Support the Ministers of Natural Resources, Environment and Climate Change, Indigenous and Northern Affairs, and Fisheries, Oceans and the Canadian Coast Guard in making investments that will make our resource sectors world leaders in the use and development of clean and sustainable technology and processes.

- With the support of the Ministers of Finance and International Trade, develop appropriate investments and strategies for the auto sector to adjust to Canada's potential participation in the Trans-Pacific Partnership.
- Support the Minister of International Trade in the development of programs to support Canadian businesses to increase their exports, expand the range of their trading partners, and adjust to, take advantage of, and prepare for, the implementation of new trade agreements.
- Support the Minister of Public Safety and Emergency Preparedness in a review of existing measures to protect Canadians and our critical infrastructure from cyber-threats.
- Support the Minister of Science in establishing new Canada Research Chairs in sustainable technologies.
- Increase high-speed broadband coverage and work to support competition, choice and availability of services, and foster a strong investment environment for telecommunications services to keep Canada at the leading edge of the digital economy.
- Work with the Minister of Indigenous and Northern Affairs and the Minister of Employment, Workforce Development and Labour to promote economic development and create jobs for Indigenous Peoples.
- Work with the Ministers of Public Services and Procurement and National Defence to ensure the identification of industrial benefits for Canadian firms, including in the Naval and Canadian Coast Guard fleet renewal and the National Shipbuilding Procurement Strategy.

These priorities draw heavily from our election platform commitments. The government's agenda will be further articulated through Cabinet discussions and in the Speech from the Throne when Parliament opens.

I expect you to work closely with your Deputy Minister and his or her senior officials to ensure that the ongoing work of your department is undertaken in a professional manner and that decisions are made in the public interest. Your Deputy Minister will brief you on issues your department may be facing that may require decisions to be made quickly. It is my expectation that you will apply our values and principles to these decisions, so that issues facing your department are dealt with in a timely and responsible manner, and in a way that is consistent with the overall direction of our government.

Our ability, as a government, to successfully implement our platform depends on our ability to thoughtfully consider the professional, non-partisan advice of public servants. Each and every time a government employee comes to work, they do so in service to Canada, with a goal of improving our country and the lives of all Canadians. I expect you to establish a collaborative working relationship with your Deputy Minister, whose role, and the role of public servants under his or her direction, is to support you in the performance of your responsibilities.

In the coming weeks, the Privy Council Office (PCO) will be contacting you to set up a meeting with PCO officials, your Deputy Minister and the Prime Minister's Office to further discuss your plans, commitments and priorities.

We have committed to an open, honest government that is accountable to Canadians, lives up to the highest ethical standards, and applies the utmost care and prudence in the handling of public funds. I expect you to embody these values in your work and observe the highest ethical standards in everything you do. When dealing with our Cabinet colleagues, Parliament, stakeholders, or the public, it is important that your behaviour and decisions meet Canadians' well-founded expectations of our government. I want Canadians to look on their own government with pride and trust.

As Minister, you must ensure that you are aware of and fully compliant with the Conflict of Interest Act and Treasury Board policies and guidelines. You will be provided with a copy of Open and Accountable Government to assist you as you undertake your responsibilities. I ask that you carefully read it and ensure that your staff does so as well. I draw your attention in particular to the Ethical Guidelines set out in Annex A of that document, which apply to you and your staff. As noted in the Guidelines, you must uphold the highest standards of honesty and impartiality, and both the performance of your official duties and the arrangement of your private affairs should bear the closest public scrutiny. This is an obligation that is not fully discharged by simply acting within the law. Please also review the areas of Open and Accountable Government that we have expanded or strengthened, including the guidance on non-partisan use of departmental

communications resources and the new code of conduct for exempt staff.

I know I can count on you to fulfill the important responsibilities entrusted in you. In turn, please know that you can count on me to support you every day in your role as Minister.

I am deeply grateful to have this opportunity to serve with you as we build an even greater country. Together, we will work tirelessly to honour the trust Canadians have given us.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'Justin Trudeau', written in a cursive style.

Rt. Hon. Justin Trudeau, P.C., M.P.
Prime Minister of Canada

APPENDIX C

Appendix C: The Ministerial Mandate Letter: President of the Treasury Board of Canada (November 12, 2015)



Dear Minister:

I am honoured that you have agreed to serve Canadians as President of the Treasury Board.

We have promised Canadians a government that will bring real change – in both what we do and how we do it. Canadians sent a clear message in this election, and our platform offered a new, ambitious plan for a strong and growing middle class. Canadians expect us to fulfill our commitments, and it is my expectation that you will do your part in delivering on those promises to Canadians.

We made a commitment to invest in growing our economy, strengthening the middle class, and helping those working hard to join it. We committed to provide more direct help to those who need it by giving less to those who do not. We committed to public investment as the best way to spur economic growth, job creation, and broad-based prosperity. We committed to a responsible, transparent fiscal plan for challenging economic times.

I expect Canadians to hold us accountable for delivering these commitments, and I expect all ministers to do their part – individually and collectively – to improve economic opportunity and security for Canadians.

It is my expectation that we will deliver real results and professional government to Canadians. To ensure that we have a strong focus on results, I will expect Cabinet committees and individual ministers to: track and report on the progress of our commitments; assess the effectiveness of our work; and align our resources with priorities, in order to get the results we want and Canadians deserve.

If we are to tackle the real challenges we face as a country – from a struggling middle class to the threat of climate change – Canadians need to have faith in their government's honesty and willingness to listen. I expect that our work will be informed by performance measurement, evidence, and feedback from Canadians. We will direct our resources to those initiatives that are having the greatest, positive impact on the lives of Canadians, and that will allow us to meet our commitments to them. I expect you to report regularly on your progress toward fulfilling our commitments and to help develop effective measures that assess the impact of the organizations for which you are answerable.

I made a personal commitment to bring new leadership and a new tone to Ottawa. We made a commitment to Canadians to pursue our goals with a renewed sense of collaboration. Improved partnerships with provincial, territorial, and municipal governments are essential to deliver the real, positive change that we promised Canadians. No relationship is more important to me and to Canada than the one with Indigenous Peoples. It is time for a renewed, nation-to-nation relationship with Indigenous Peoples, based on recognition of rights, respect, co-operation, and partnership.

We have also committed to set a higher bar for openness and transparency in government. It is time to shine more light on government to ensure it remains focused on the people it serves. Government and its information should be open by default. If we want Canadians to trust their government, we need a government that trusts Canadians. It is important that we acknowledge mistakes when we make them. Canadians do not expect us to be perfect – they expect us to be honest, open, and sincere in our efforts to serve the public interest.

Our platform guides our government. Over the course of our four-year mandate, I expect us to deliver on all of our commitments. It is our collective responsibility to ensure that we fulfill our promises, while living within our fiscal plan. Other issues will arise or will be brought to our attention by Canadians, stakeholders, and the public service. It is my expectation that you will engage constructively and thoughtfully and add priorities to your agenda when appropriate.

As Minister, you will be held accountable for our commitment to bring a different style of leadership to government. This

will include: close collaboration with your colleagues; meaningful engagement with Opposition Members of Parliament, Parliamentary Committees and the public service; constructive dialogue with Canadians, civil society, and stakeholders, including business, organized labour, the broader public sector, and the not-for-profit and charitable sectors; and identifying ways to find solutions and avoid escalating conflicts unnecessarily. As well, members of the Parliamentary Press Gallery, indeed all journalists in Canada and abroad, are professionals who, by asking necessary questions, contribute in an important way to the democratic process. Your professionalism and engagement with them is essential.

Canadians expect us, in our work, to reflect the values we all embrace: inclusion, honesty, hard work, fiscal prudence, and generosity of spirit. We will be a government that governs for all Canadians, and I expect you, in your work, to bring Canadians together.

You are expected to do your part to fulfill our government's commitment to transparent, merit-based appointments, to help ensure gender parity and that Indigenous Canadians and minority groups are better reflected in positions of leadership.

As President of the Treasury Board, your overarching goal will be to lead the management agenda of the government and oversee the implementation and delivery of Cabinet-approved initiatives. I want you to lead the government's efforts to ensure that departments and other federal organizations are able to use the best available information. Responsible governments rely on sound evidence to make decisions to ensure we obtain good value for our money. You should work with your colleagues to ensure that they are devoting a fixed percentage of program funds to experimenting with new approaches to existing problems and measuring the impact of their programs. I expect you to instill a strengthened culture of measurement, evaluation, and innovation in program and policy design and delivery. This should include publicly releasing all key information that informs the decisions we make.

In particular, I will expect you to work with your colleagues and through established legislative, regulatory, and Cabinet processes to deliver on your top priorities:

- Establish new performance standards, in collaboration with the Minister of Families, Children and Social Development, who is responsible for Service Canada, the Minister of Public Services and Procurement, the Minister of Democratic Institutions, and the Minister of Innovation, Science and Economic Development, and set up a mechanism to conduct rigorous assessments of the performance of key government services and report findings publicly. As well, develop a new service strategy that aims to create a single online window for all government services with new performance standards.
- Strengthen oversight on government advertising and modernize the Communications Policy of the Government of Canada to reflect the modern digital environment.
- Take a leadership role to review policies to improve the use of evidence and data in program innovation and evaluation, more open data, and a more modern approach to comptrollership.
- Strengthen the oversight of taxpayer dollars and the clarity and consistency of financial reporting. Ensure consistency and maximum alignment between the Estimates and the Public Accounts and exercise due diligence regarding costing analysis prepared by departments for all proposed legislation and programs.
- Work with the Leader of the Government in the House of Commons to improve reporting to Parliament.
- Ensure that all federal services are delivered in full compliance with the Official Languages Act, supported by the Minister of Canadian Heritage.
- Accelerate and expand open data initiatives and make government data available digitally, so that Canadians can easily access and use it.
- Work with the Minister of Justice to enhance the openness of government, including leading a review of the Access to Information Act to ensure that Canadians have easier access to their own personal information, that the Information Commissioner is empowered to order government information to be released and that the Act applies appropriately to the Prime Minister's and Ministers' Offices, as well as administrative institutions that support Parliament and the courts.
- Bargain in good faith with Canada's public sector unions.
- Work with the Minister of Finance and your colleagues to conduct a review of tax expenditures and other spending

to reduce poorly targeted and inefficient measures, wasteful spending, and government initiatives that are ineffective or have outlived their purpose.

- Take action to ensure that the public service is a workplace free from harassment and sexual violence.

These priorities draw heavily from our election platform commitments. The government's agenda will be further articulated through Cabinet discussions and in the Speech from the Throne when Parliament opens.

I expect you to work closely with your Deputy Minister and his or her senior officials to ensure that the ongoing work of your department is undertaken in a professional manner and that decisions are made in the public interest.

Your Deputy Minister will brief you on issues your department may be facing that may require decisions to be made quickly. It is my expectation that you will apply our values and principles to these decisions, so that issues facing your department are dealt with in a timely and responsible manner, and in a way that is consistent with the overall direction of our government.

Our ability, as a government, to successfully implement our platform depends on our ability to thoughtfully consider the professional, non-partisan advice of public servants. Each and every time a government employee comes to work, they do so in service to Canada, with a goal of improving our country and the lives of all Canadians. I expect you to establish a collaborative working relationship with your Deputy Minister, whose role, and the role of public servants under his or her direction, is to support you in the performance of your responsibilities.

In the coming weeks, the Privy Council Office (PCO) will be contacting you to set up a meeting with PCO officials, your Deputy Minister and the Prime Minister's Office to further discuss your plans, commitments and priorities.

We have committed to an open, honest government that is accountable to Canadians, lives up to the highest ethical standards, and applies the utmost care and prudence in the handling of public funds. I expect you to embody these values in your work and observe the highest ethical standards in everything you do. When dealing with our Cabinet colleagues, Parliament, stakeholders, or the public, it is important that your behaviour and decisions meet Canadians' well-founded expectations of our government. I want Canadians to look on their own government with pride and trust.

As Minister, you must ensure that you are aware of and fully compliant with the Conflict of Interest Act and Treasury Board policies and guidelines. You will be provided with a copy of Open and Accountable Government to assist you as you undertake your responsibilities. I ask that you carefully read it and ensure that your staff does so as well. I draw your attention in particular to the Ethical Guidelines set out in Annex A of that document, which apply to you and your staff. As noted in the Guidelines, you must uphold the highest standards of honesty and impartiality, and both the performance of your official duties and the arrangement of your private affairs should bear the closest public scrutiny. This is an obligation that is not fully discharged by simply acting within the law. Please also review the areas of Open and Accountable Government that we have expanded or strengthened, including the guidance on non-partisan use of departmental communications resources and the new code of conduct for exempt staff.

I know I can count on you to fulfill the important responsibilities entrusted in you. In turn, please know that you can count on me to support you every day in your role as Minister.

I am deeply grateful to have this opportunity to serve with you as we build an even greater country. Together, we will work tirelessly to honour the trust Canadians have given us.

Yours sincerely,



Rt. Hon. Justin Trudeau, P.C., M.P.
Prime Minister of Canada

You can find the Mandate letters here: <https://pm.gc.ca/eng/mandate-letters>.



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