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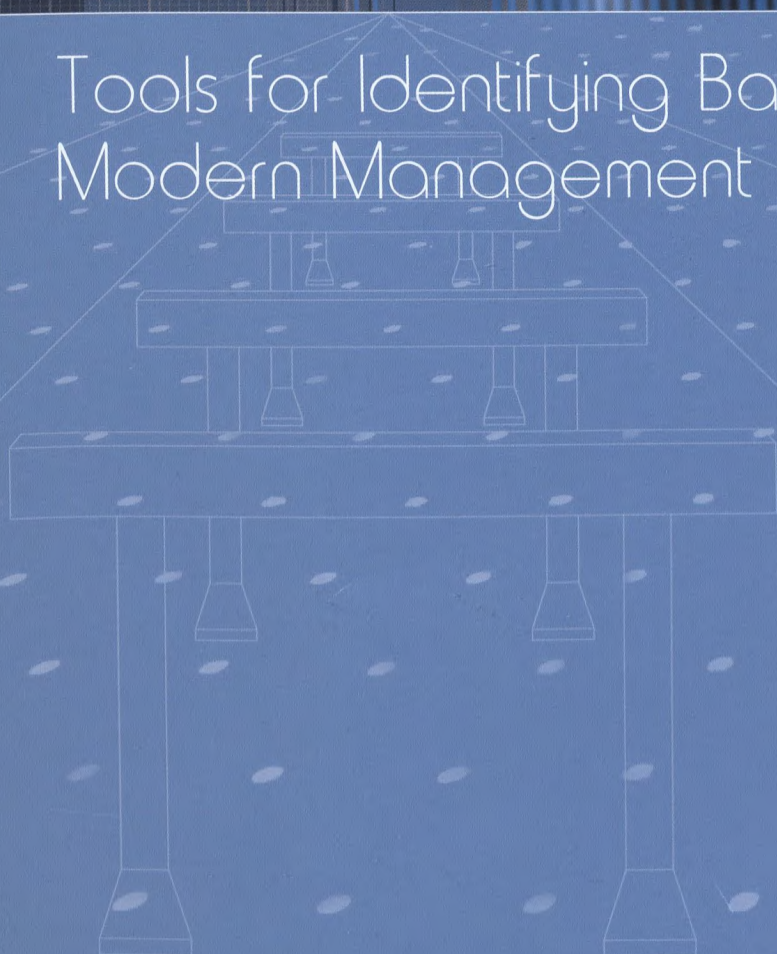
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# Overcoming Barriers to Modern Comptrollership

## Tools for Identifying Barriers to Modern Management

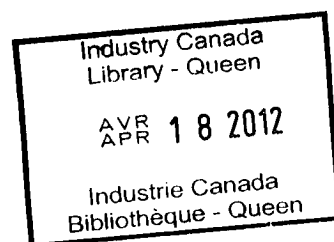


Canada

# OVERCOMING BARRIERS TO MODERN COMPTROLLERSHIP

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*TOOLS FOR IDENTIFYING BARRIERS TO MODERN  
MANAGEMENT*



Aussi offert en français sous le titre *Surmonter les obstacles à la modernisation de la fonction de contrôleur - Des outils pour l'identification des barrières à la gestion moderne.*

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## **BACKGROUND**

Modern Comptrollership (MC) was launched as a government-wide initiative in June 2001. To sustain the progress achieved, it is now being integrated into the overarching Management Accountability Framework (MAF). The MAF outlines steps to achieving high organizational performance. It incorporates all elements of modern management within one comprehensive tool to be used by Deputy Ministers in measuring accountability.

On launching its MC action plan, Industry Canada sought to determine the barriers to implementation. It quickly became apparent that research was needed on the extent and types of barriers faced by federal departments and agencies in implementing MC.

The Barriers Project was designed to meet that need. It involved three federal departments: Industry, Health and Natural Resources.

This guide emerges from the Barriers Project. It presents the process, tools and lessons learned — information that can be useful to other federal departments and agencies wishing to conduct similar studies.

## **STEPS TO IDENTIFYING BARRIERS TO MODERN MANAGEMENT**

This section discusses the key steps involved in obtaining qualitative and quantitative data. It provides focus group, interview and survey questions, as well as important lessons learned from the Barriers Project. The information and tools should help other organizations identify barriers to modern management.

### **QUALITATIVE DATA**

The qualitative component of the Barriers Project involved a first phase of focus groups and a second phase of telephone interviews with senior managers and specialists — the individuals most likely to have to manage people, resources and projects.

The focus groups identified key issues needing to be incorporated into the design of the subsequent telephone interviews and survey. They also gathered more detailed information not available through quantitative methods.

A total of 16 focus groups were conducted with employees from the three participating departments. Half the focus groups were held with managers and half with specialists. The right number of focus groups varies depending on the size and diversity of the organization being studied.

Following the focus groups was a series of one-on-one telephone interviews with senior managers at the ADM and DG levels. Lasting 30 to 60 minutes, these gathered senior management reactions to employee views expressed in the focus groups. Interviewee names were provided by each of the three participating

departments. Rather than being chosen at random, the interviewees were pre-selected to ensure representation of diverse perspectives. Before being interviewed, they were given a summary of the results of the focus group research for their review. This allowed interviewees to reflect and provide comments and explanations on the issues noted in the focus groups.

### **LESSONS LEARNED**

- Two focus groups in the National Capital Region were intended for senior managers (DGs and above), but the actual participants were from lower managerial levels. In most focus groups (particularly the specialist groups), many participants were quite junior and had no real management experience or responsibilities.

*Lesson: To obtain useful data of high quality, confirm that the intended individuals will attend focus groups.*

- In both focus groups and interviews, the participation rate was lower than hoped for. A study of this type targets senior managers, who may find it difficult to commit the necessary time.

*Lesson: To achieve an adequate participation rate, choose the timing carefully (especially not near the end of the fiscal year) and explain the benefits of participation.*

- The costs are high for employees from all regions to participate in focus groups. On the other hand, a diverse sample ensures that results are unbiased and accurate, including input from employees throughout the organization.

*Lesson: Be aware of the costs of all-region participation in focus groups, as well as the benefits.*

- Since three departments took part in the project, it was difficult to isolate the views and experiences of a single organization.

*Lesson: Build in specific questions addressing aspects unique to different organizations.*

#### **Key steps in conducting focus groups**

- Hold a brainstorming session to develop a list of issues to be explored in your research. The list represents your group's best guess as to what is impeding the implementation of modern management.
- Determine who will moderate the focus groups.
- Identify your target population.
- Select the participants.
- Send a letter to participants requesting them to attend.
- Follow up with participants to confirm their attendance.
- Determine the format of the sessions (length of time) and the approach (structured or non-structured discussion).
- Conduct a few pilot sessions to test your approach.
- Present the ground rules to participants and reiterate that their contribution is confidential.
- Conduct the focus groups and record results.



## RESEARCH TOOLS

To help your organization conduct a similar qualitative study of the barriers to modern management, attached are the following research tools:

- **Focus Group Guide — Specialists.** This is an outline specifically for focus groups involving functional specialists. It includes issues to be addressed in the introduction to the session; questions and issues to be addressed in the session itself; and the amount of time to be allotted for each issue to ensure that the focus group stays on track.
- **Focus Group Guide — Managers.** This provides the same information as the specialists' focus group guide, with the issues tailored for managers.
- **Senior Managers' Interview Guide.** This lists questions for use in interviews of senior managers.

## QUANTITATIVE COMPONENT

The quantitative component of the study involved a survey targeting management-level employees and functional specialists. The purpose was to measure the magnitude of different barriers, quantify views expressed in group discussions and allow for detailed analysis to identify resistance to change. A significantly larger sample participated in the survey than in the focus groups and interviews.

The survey questions were based on the findings from focus groups and telephone interviews. The total sample population was 6291, including 2340 employees at Industry, 2195 at Health and 1756 at Natural Resources. The sample covered roughly 50 percent of employees in the three organizations. A typical response rate is from 40 to 50 percent of the sample. Depending on the sample population, the response rate may vary.

### Key steps in conducting the self-administered Web survey

- Develop a sample frame of managers and specialists.
- Pre-test the survey, using a small sample.
- Finalize survey questions and format. The survey should consist mainly of closed-ended questions.
- Send an e-mail message to those selected for the survey, informing them of its purpose and inviting them to participate.
- Send a reminder to the participants to increase the response rate.
- A few weeks later, e-mail those who have not yet completed the survey, inviting them to participate.
- In the e-mail messages, provide a Web address and a PIN (Personal Identification Number) code giving access to the survey. Assign a unique PIN to allow for greater control of the sample and flexibility during data collection (e.g. permitting respondents to quit the survey and return later).
- Once the survey phase is completed, compile and analyze the results.
- Address the results in your organization's action plan for implementing modern management.

## LESSONS LEARNED

- The 19 percent response rate to the survey was lower than the expected 35 to 40 percent, and so the survey results should be interpreted with caution. The low response rate may have been the result of choosing a busy time of year for the survey; more generally, it has been attributed to apathy toward MC.

*Lesson: Since the MAF incorporates the best elements of all modern management frameworks and is used as an accountability tool for DMs, it should encounter less apathy.*

- The survey was too long. It tried to cover too much material and was too time-consuming to complete. This fact may have discouraged responses.

*Lesson: Keep the survey as brief as possible.*

### Developing an employee list

Employee lists must be accurate to ensure that the right employees are targeted. Here are some ideas on how to proceed:

- Contact the Human Resources Management System (HRMS) administrator to obtain a list of employees. This can take up to three weeks.
- Get the approval of your Access to Information and Privacy (ATIP) group to obtain and use information. Take care that individual employee responses to any interview or survey remain private.
- Many departments keep e-mail addresses in a separate database from the main employee list. An accurate employee e-mail address list may have to be created manually, or by matching Personal Record Identifier (PRI) numbers to the names in each database.
- Maintain privacy by recording and transmitting employee data on CD-ROM. E-mail attachments are not normally secure.

## RESEARCH TOOLS

To help your organization conduct a similar study, attached is the **About Modern Management Practices — Modern Comptrollership Survey** used for the Barriers Project. It consists of carefully selected and tested questions.

Although the aim was to identify barriers to implementation of Modern Comptrollership, the term “modern comptrollership” itself appeared in only half of the surveys, being replaced elsewhere by the term “modern management.” That is the case in the attached version, making it more applicable to a study of all the aspects of modern management included in the MAF.

## CONCLUSION

A study on modern management in your organization will clarify how modern management practices fit into the daily management of work units, identify areas of concern in the implementation of modern management practices, and point to potential solutions. The information obtained will help guide future progress of Modern Comptrollership and the MAF.



In the Barriers Project, apathy toward MC was a significant factor in the low participation rate of managers and specialists. This problem is not expected to continue since the MAF is incorporated into the Guidance for Deputy Ministers prepared by the Privy Council Office, supports the *Values and Ethics Code*, will be used as a basis for dialogue between Treasury Board Secretariat and departments/agencies, and will provide the template for future reports on management.

# FOCUS GROUP GUIDE — SPECIALISTS

## 1.0 INTRODUCTION (10 MINUTES)

- ☐ Purpose of discussion
- ☐ Audio-taping, confidentiality
- ☐ Ground rules, role of moderator
- ☐ Introductions: name, position

## 2.0 GENERAL UNDERSTANDING OF MODERN COMPTROLLERSHIP/MODERN MANAGEMENT PRACTICES (30 MINUTES)

1. What kind of roles can specialists play in supporting managers in their decision-making? (10 min)
2. What does modern management mean to you? What role can specialists play in this process? (10 min)
3. What is your understanding of the rationale for trying to modernize management practices? (10 min)

## 3.0 SUPPORTS, BARRIERS AND POTENTIAL SOLUTIONS (40 MINUTES)

4. Do you feel equipped to assist managers in improving their management practices? (10 min)
  - ☐ Do you feel that managers are aware of the types of support that you can provide them with? Do they take advantage of it/are they open to receiving information and advice? Are there any issues with regard to control that get in the way of managers taking full advantage of your assistance?
5. Do you have the right tools, systems, and information to assist managers in their decision-making? Do you feel that you know what managers need? (15 min)
  - ☐ Quality and integration of information/information sources (financial, HR, etc.)
  - ☐ User-friendliness of information/systems
  - ☐ Time to provide the support/training to managers in understanding/using information/systems

- ☐ Common, understood guidelines for decision-making/conduct
  - ☐ Communication of departmental strategic priorities
  - ☐ Direction/leadership from senior management (e.g. improvements to management practices communicated/discussed, emphasized as priority, encouraged/valued, supported/empowered, formally recognized as part of responsibilities)
  - ☐ Standards/objectives against which one can compare work units' performance (e.g. Results-based Management Accountability Frameworks (i.e. RMAFs))
  - ☐ Direction regarding department's approach to risk-taking
6. What barriers prevent you from assisting managers to improve their management practices? (15 min)
- ☐ Day-to-day limitations/barriers/frustrations
  - ☐ Organizational barriers
  - ☐ Corporate culture/resistance to change (e.g. from whom? Why: lack know-how/training to be comfortable, fear of criticism for getting it wrong/making mistakes, do not believe in new ways, fear of loss of power in decision-making, etc.?)
7. What are some of the solutions to dealing with these barriers that we haven't already discussed (e.g. type of organizational environment/support needed)?
- ☐ Are there barriers without solutions?
8. Is there anything that you would like to say before we end the discussion?

Thank You For Your Participation

# FOCUS GROUP GUIDE — MANAGERS

## 1.0 INTRODUCTION (10 MINUTES)

- ☐ Purpose of discussion
- ☐ Audio-taping, confidentiality
- ☐ Ground rules, role of moderator
- ☐ Introductions: name, position

## 2.0 GENERAL UNDERSTANDING OF MODERN COMPTROLLERSHIP/MODERN MANAGEMENT PRACTICES (30 MINUTES)

1. Let's start by talking about the management activities that you find to be the most challenging (10 min max)
2. What are some of the things that managers can do to improve their management practices and skills? (10 min max)
3. What does modern management mean to you? (What are the goals, principles, or practices involved ?) (10 min max)

## 3.0 SUPPORTS, BARRIERS AND POTENTIAL SOLUTIONS (50 MINUTES)

4. Do you feel supported and encouraged in your efforts to improve your management practices? (10 min max, including point below)
  - ☐ Do you feel **entitled** to ask for and receive support to improve your management practices?
5. Do you have the various tools and supports you need to help you manage? (15 min max for whole section)
  - ☐ Quality and integration of information/information sources (financial, HR, etc.)
  - ☐ User-friendliness of information/systems and support/training in understanding/using information/systems
  - ☐ Support from specialists
  - ☐ Common guidelines for decision-making/conduct and clear strategic priorities and roles

- ☐ Direction/leadership from senior management (e.g. improvements to management practices communicated/discussed, emphasized as priority, encouraged/valued, supported/empowered, formally recognized as part of responsibilities)
  - ☐ Standards/objectives against which one can compare your work unit's performance (e.g. Results-based Management Accountability Frameworks (RMAFs))
  - ☐ Direction regarding department's approach to risk-taking
6. Apart from specific tools, what are the barriers that prevent you from improving your management practices? (15 min max for whole section)
- ☐ Day-to-day limitations/barriers/frustrations
  - ☐ Organizational barriers
  - ☐ Corporate culture/resistance to change (e.g. from whom? Why: lack know-how/training to be comfortable, fear of criticism for getting it wrong/making mistakes, do not believe in new ways, fear of loss of power in decision-making, etc.?)
7. Are there any solutions to dealing with these barriers that we haven't already discussed (e.g. type of organizational environment/support needed)?
- ☐ Are there any barriers without solutions? (10 min max)
8. Is there anything that you would like to say before we end the discussion?

Thank You For Your Participation

## SENIOR MANAGERS' INTERVIEW GUIDE

1. From your own perspective in the department, what is your sense of the progress that is being made on modern management practices or Modern Comptrollership? How well is it going?
2. What are the barriers that you are hearing about from your managers that impede its progress?
  - ☐ Are these generic barriers or are they tied to a specific theme area or pillars under Modern Comptrollership (risk assessment, performance measurement, values or appropriate levels of control — balancing flexibility and rules)?
3. What are the barriers that prevent you from implementing the culture change associated with MC?
  - ☐ Do you feel mandated to improve management practices in your department? Are there any rewards tied to this effort?
  - ☐ Do you feel that you have the tools to do this in your department?
4. We have just recently convened a series of focus groups with middle managers and specialists in your department (as well as several others) across the country and heard about some of the barriers perceived by these employees (see list provided). Looking at that list, are there any particular points that stand out for you for any reason (e.g. that are central to your understanding of MC barriers, that are new to you, that you disagree with)?
5. Considering these barriers that we have just talked about, can you tell me about any potential solutions that come to mind?
  - ☐ Any solutions that you believe to be more valuable or realistic than other solutions?
  - ☐ Are there solutions that you have heard about that you don't think will address the problem(s) or that are untenable or unworkable?
6. Is there anything that you can think of, in your own area, that would have to be in place in order for these solutions to come about (e.g. particular conditions)?
  - ☐ At the end of the day, what do you think would have to happen in order for departments to fully embrace Modern Comptrollership?
7. Finally, we will be surveying 5000 managers and specialists on their views with respect to MC implementation in their departments. Part of that survey will be to quantify our understanding of the barriers from the focus groups, and to assess the level of support for solutions we have identified. Can you think of anything that would be particularly valuable for you to know from that survey?

- In terms of communications, for example, what (if anything) do you need to know about how managers are feeling and what their barriers are to enable you as a senior manager to fulfill your responsibilities towards the Modern Comptrollership initiative?

Thank you for your time and valuable feedback. We will be developing a summary of the findings from these consultations and earlier focus groups over the next month or so, as well as developing the survey questionnaire, as we just discussed. If you hear of anything over the next few weeks or think of something that you would like to add in terms of barriers or solutions, or topic areas of use in the survey, please let us know.



## **ABOUT MODERN MANAGEMENT PRACTICES — MODERN COMPTROLLERSHIP SURVEY**

The purpose of this survey is to consult with managers and functional specialists at all levels of your department about modern management practices. This will help the department to better understand how modern management practices fit into the daily management of work units, identify areas of concern around the implementation of modern management practices, and point to potential solutions. This information will help to guide future progress of the Modern Comptrollership initiative in your department.

The responses are being collected and maintained by \_\_\_\_\_, an independent research firm. All of your answers will be kept strictly confidential and no individual identities or responses will be revealed to your department or anyone else. All managers and functional specialists are encouraged to participate. Only through full participation and candid answers can everyone gain the most from this survey. You can look forward to seeing the results of this survey in May.

Sincerely,

XXXXXXXX

### ***INSTRUCTIONS***

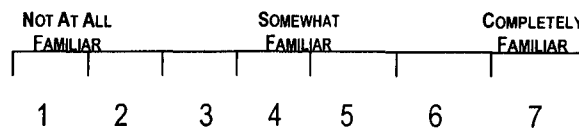
The questionnaire is very easy to fill out. Here are a few instructions to follow:

- Consider the questions and your answers carefully.
- Use the mouse to move to the answer box you wish to fill in.
- You must complete all questions on a page before you can advance to the next page in the questionnaire.
- On each screen, after selecting your answer, click on the right arrow or left arrow at the bottom of the screen to move from screen to screen in the questionnaire.
- If you leave the survey before completing it, you can return to the survey URL later and enter your PIN, and you will be returned to the page from which you left. Your answers up to that point in the survey will be saved.
- If you have any questions about how to complete the survey, please call \_\_\_\_\_ or send an e-mail to \_\_\_\_\_.

**1. What is your level in the organization?**

- Manager (DG, ADM) ..... ☐
- Director or equivalent ..... ☐
- Middle Manager..... ☐
- Specialist..... ☐

**2. How familiar are you with Modern Comptrollership?**



**3. To the best of your knowledge, what are the primary objectives of MC? (select all that apply)**

- To improve managers' ability to manage people..... ☐
- To improve managers' ability to manage finances ..... ☐
- To give managers added flexibility to make decisions ..... ☐
- To increase managers' accountability..... ☐
- To maximize results in the work unit..... ☐
- Add more possible objectives to the list..... ☐

**4. Which of these is more useful?**

- ☐ Streamlined administrative requirements (i.e. reduce "paperwork"/red tape)
- ☐ Accurate, useful and up-to-date information and tools for decision-making
- ☐ Clear framework for evaluating risk
- ☐ Definition of manager's role that includes core aspects of modern management practices and rewards and sanctions
- ☐ Clear framework for evaluating risk
- ☐ Time to "manage"/keep track of things
- ☐ Information and training on how to implement modern management practices
- ☐ Clear statement of values and ethics to guide decision-making
- ☐ Commonly used performance indicators and realistic performance targets
- ☐ Rules and regulations that allow for greater flexibility to make decisions
- ☐ Don't know

**5. Which of these is more useful?**

- Information and training on how to implement modern management practices
- Clear framework for evaluating risk
- Rules and regulations that allow for greater flexibility to make decisions
- Clear statement of values and ethics to guide decision-making
- Definition of manager's role that includes core aspects of modern management practices and rewards and sanctions
- Commonly used performance indicators and realistic performance targets
- Time to "manage"/keep track of things
- Streamlined administrative requirements (i.e. reduce "paperwork"/red tape)
- Accurate, useful and up-to-date information and tools for decision-making
- Don't know

**6. Which of these is more useful?**

- Clear statement of values and ethics to guide decision-making
- Clear framework for evaluating risk
- Time to "manage"/keep track of things
- Accurate, useful and up-to-date information and tools for decision-making
- Rules and regulations that allow for greater flexibility to make decisions
- Definition of manager's role that includes core aspects of modern management practices and rewards and sanctions
- Streamlined administrative requirements (i.e. reduce "paperwork"/red tape)
- Information and training on how to implement modern management practices
- Commonly used performance indicators and realistic performance targets
- Don't know

**7. a) First, how important are each of the following currently in your branch?**

	Not at all important 1	2	3	Somewhat important 4	5	6	Very important 7	Don't know / No answer
A strong emphasis on good management practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assignment of responsibilities and accountabilities that are clearly understood within and across organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Competencies or skills associated with modern management practices that are clearly defined, with access to corresponding training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Vehicles for information sharing of lessons learned and best practices with regard to good management practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ethics policies, guidelines and standards that are documented and clearly understood by staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Key measures for historical and ongoing monitoring of performance (e.g. service quality and efficiency of program delivery)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Service standards that are specific, measurable, achievable and well communicated to staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Linkage of achievement of results to performance agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policies, processes and tools available to systematically identify, assess, understand and act on risk across the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common understanding of the concept of risk, how it is measured and the tolerance levels accepted by the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Not at all important 1	2	3	Somewhat important 4	5	6	Very important 7	Don't know / No answer
Control processes that are clearly understood, uniform and continuously improved	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate analytical information (financial and non-financial), techniques and tools (e.g. cost-benefit, sensitivity, life cycle, benchmarking) available to managers for decision-making ["adequate" is defined as timely, accessible, reliable, consistent, integrated and requiring minimal manual intervention to be useful]	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

- b) Second, to what extent do you see evidence that your branch is supporting progress in these areas? *[Note: Supporting progress would come through priority setting; detailed communications of the importance, value and goals; and commitment of resources to make the changes.]*

	Not at all 1	2	3	Moderate extent 4	5	6	A Great extent 7	Don't know / No answer
A strong emphasis on good management practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Clear assignment of responsibilities and accountabilities (that are clearly understood by managers) within and across organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Modern management practices that are clearly defined, with access to corresponding training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Not at all 1	2	3	Moderate extent 4	5	6	A Great extent 7	Don't know / No answer
Vehicles for information sharing of lessons learned and best practices with regard to good management practices	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ethics policies, guidelines and standards that are documented and clearly understood by staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Key measures for historical and ongoing monitoring of performance (e.g. service quality and efficiency of program delivery)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Service standards that are specific, measurable, achievable and well communicated to staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Linkage of achievement of results to performance agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policies, processes and tools available to systematically identify, assess, understand and act on risk across the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Common understanding of the concept of risk, how it is measured and the tolerance levels accepted by the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Control processes that are clearly understood, uniform and continuously improved	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate analytical information (financial and non-financial), techniques and tools (e.g. cost-benefit, sensitivity, life cycle, benchmarking) available to managers for decision-making <i>["adequate" is defined as timely, accessible, reliable, consistent, integrated and requiring minimal manual intervention to be useful]</i>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**8. Rate the extent to which you agree or disagree with each of the following statements.**

	Strongly disagree			Neither			Strongly agree	Don't know / No answer
	1	2	3	4	5	6	7	
Managers in my branch are trusted by the organization to make decisions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Good management practices and performance are not tied to recognition or rewards (e.g. there is no incentive to improve)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I know where to go to find out about Modern Comptrollership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A reasonable amount of resources have been allocated to implement modern management practices in my branch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I have the proper information and tools to implement MC in my job	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Modern Comptrollership is just another in a long line of initiatives. I do not really believe that MC will result in real change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I understand what Modern Comptrollership is all about	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I have the tools to implement modern management practices in my job	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I lack the time to implement good management practices in my unit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
No one is really listening to the concerns of managers in trying to implement Modern Comptrollership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sound management is valued in my branch (e.g. there is a real commitment to it)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



	Strongly disagree 1	2	3	Neither 4	5	6	Strongly Agree 7	Don't know / No answer
I know how to implement modern management practices in my job	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**9. Please rate the effectiveness of each of the following in facilitating the implementation of modern management practices and Modern Comptrollership (MC) specifically.**

		NOT AT ALL EFFECTIVE			SOMEWHAT EFFECTIVE			EXTREMELY EFFECTIVE
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a.	Clearer communications about the purpose of MC .....	1	2	3	4	5	6	7
b.	Clearer communications about the benefits of MC .....	1	2	3	4	5	6	7
c.	More specific and tailored communications about MC to individual working units .....	1	2	3	4	5	6	7
d.	More training sessions and workshops .....	1	2	3	4	5	6	7
e.	Senior management taking ownership of MC and communications to units .....	1	2	3	4	5	6	7
f.	More specific examples and measurement of progress made to date .....	1	2	3	4	5	6	7
g.	Circulating best practices and case studies of how to apply MC and results .....	1	2	3	4	5	6	7
h.	Focussing more narrowly on a few key areas of MC to tackle in any given year or two .....	1	2	3	4	5	6	7

10. If you had to point to a single factor or element of Modern Comptrollership that is, in your view, impeding the progress of MC, what would that be?

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11. Do you manage (select all that apply):

Human resources ..... ☐  
Ongoing programs..... ☐  
Individual projects..... ☐  
Other (specify)..... ☐

12. How large is the unit that you are responsible for managing?

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13. What is your level in the organization?

Senior Manager (DG, ADM)..... ☐  
Director or equivalent..... ☐  
Middle Manager ..... ☐  
Specialist..... ☐

14. What type of area is your unit responsible for?

Policy..... ☐  
Research..... ☐  
Program/service delivery ..... ☐  
Operations..... ☐  
Corporate services ..... ☐  
Other (specify)..... ☐

15. How long have you been responsible for managing resources in the federal government?

NUMBER OF YEARS \_\_\_\_\_

16. How long have you been in the federal public service?

NUMBER OF YEARS \_\_\_\_\_

17. How long have you been with your current federal department?

NUMBER OF YEARS \_\_\_\_\_

18. Where are you located?

National Capital Region..... ☐  
Atlantic Region ..... ☐  
Quebec Region ..... ☐  
Ontario Region ..... ☐  
Prairie Region..... ☐  
Pacific Region ..... ☐

19. Are there other comments that you would like to add about the implementation of modern management practices that you feel would help the Modern Comptrollership team in your department? *[Note that these responses will be provided directly to the Modern Comptrollership team in your department, without any association to personal identity or other responses in this questionnaire.]*

Thank you for taking the time to complete the questionnaire. The results will help your department in moving forward with modern management practices in the future. Look forward to seeing the results of the survey.

**DATE DUE**  
**DATE DE RETOUR**

[illegible]

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