Handbook on Technical Assistance to Commonwealth Countries for Implementing

COMMITMENT FOR RESULTS (CFR)

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The Commonwealth

The Commonwealth

Table of Contents

<p align="center">## Handbook on Technical Assistance to Member Countries for Implementing</p>

<p align="center">## COMMITMENT FOR RESULTS (CFR)</p>

A. PURPOSE OF THE HANDBOOK

The main purpose of this handbook is to provide a guide on collaboration between the Commonwealth Secretariat and the Commonwealth member countries to implement the policy of Commitment for Results (CFR).

It covers the following:

1. The main steps in the collaboration process
2. Role and responsibilities of the Commonwealth Secretariat
3. Role and responsibilities of member countries

In addition, suitable electronic templates for this collaboration are available upon request.

Concept of CFR

A CFR provides a summary of the most important results that a department/ministry expects to achieve during the financial year. This document has two main purposes: (a) move the focus of the department from process-orientation to result-orientation, and (b) provide an objective and fair basis to evaluate department's overall performance at the end of the year.

International experience has shown that CFR is effective in tackling the most common barriers to improved performance of a public organization.

For further information please review:

Strategic Management for Accountability and Results Toolkit (SMART)
Guidelines for Drafting CFR

Information for getting copies of the above can be found in Section E on page 12.

B. Overview of the Technical Assistance Process

The typical steps in the collaboration between the Commonwealth Secretariat and member countries are summarized in the following table. The details of each step are discussed in the next section:

STEPS	WHAT	WHEN	WHO	WHERE
1	Request for technical assistance from Member country to Secretary General	Anytime	Government	
2	5-day Workshop on CFR for member country officials	T	The Commonwealth Secretariat / Government	Member country Capital (or Online)
3	Decide on CFR Guidelines for member country	T+ 5 days	Nodal Agency /Government	Member country Capital (or Online)
4	Issue CFR Guidelines for member country	T+ 7 days	Nodal Agency /Government	Member country Capital
5	Deadline for submitting Draft CFRs to member country Nodal Agency	T+ 20 days	Draft CFRs to Nodal Agency / Departments	Member country Capital
6	First review of draft CFRs by independent Commonwealth Advisory Task Force (ATF)	T+ 30 days	Nodal Agency / Commonwealth Secretariat	Online
7	Deadline for receiving revised draft of CFRs	T+ 45 days	Nodal Agency / Departments	Online
8	Finalize local ATF Members	T+ 45 days	Cabinet Secretary / Government	Member country Capital
9	Review of revised CFRs by Commonwealth ATF	T+ 55 days	Nodal Agency / Commonwealth Secretariat	Member country Capital
10	Meeting of the High-Power Committee (HPC) on Government Performance to approve finalized CFRs	T+ 70 days	Government / Nodal Agency	Member country Capital
11	Upload CFRs on departmental websites	T+ 75 days	Government Departments	Member country Capital

T = Agreed date for holding the Workshop on CFR in the Member country Capital

D. DETAILS OF THE PROCESS

STEP 1: REQUEST FOR TECHNICAL ASSISTANCE FROM MEMBER COUNTRY

Member country Governments interested in implementing Commitment for Results in various departments can initiate the process by writing officially to the Secretary-General of the Commonwealth. The Secretary-General will then authorise the Public Sector Governance Unit (PSGU) of the Governance and Peace Directorate (GPD) to launch collaboration with the concerned Member country. A sample letter that the Head of Government (or the Cabinet Secretary) could write to the Commonwealth Secretary-General is provided in the box below.

> Your Excellency:
>
> We have reviewed the Government Performance Management System and the Commitment for Results (CFR) proposed by the Commonwealth Secretariat and implemented by some countries. Based on this review, we believe that this system is also relevant to our country. Therefore, we will appreciate it, if you could please assist us with the implementation of the CFR policy.
>
> From the Handbook on Technical Assistance for implementing CFRs, it appears the next step in this process is to hold an online workshop on CFR for senior public officials. Please indicate a convenient date and time for holding this workshop.
>
> We have nominated Mr/Ms. …, Permanent Secretary (Finance / Planning / Performance Management / Administrative Reforms) as national coordinator for this exercise.
>
> We look forward to your support for this collaboration.
>
> Best regards,
>
> Yours sincerely,
>
>
> Head of Government

The real collaboration begins with the organization of the 5-day workshop on CFR. In this section we describe not only the workshop but also the respective roles and responsibilities of the member country and the Commonwealth Secretariat.

STEP 2: WORKSHOP ON CFR FOR MEMBER COUNTRY OFFICIALS

1. Agenda

The typical agenda for the five-day workshop is as follows:

Day 1:

Local Time	Title
09:00 AM – 09:30 AM	INAUGURAL SESSION
Session 1: 09:30 AM – 11:30 AM	The Problem: What are the main reasons for poor performance in government?
	The Solution: Nine Habits of Highly Effective Governments
	What Gets measured gets Done*
	Q&A / Discussion
11:30 AM – 11:45 AM	BREAK
Session 2: 11:45 AM – 01:15 PM	How to Measure Performance in Government
	In Search of Accountability – What, Why, How, When, Where and Who
01:15 PM – 02:15 PM	LUNCH BREAK
Session 3: 02:15 PM – 05:00 PM	Meta Evaluation – Evaluating the Quality of Government Performance Management System
	Case Study of Bhutan – An Interview with Former Prime Minister of Bhutan
	Q&A / Discussion

Day 2:

Local Time	Title
09:00 AM – 10:30 AM	Case Study of India *The Rise and Fall of India's Government Performance Management System*

10:30 AM – 10:45 AM	BREAK
10:45 AM – 12:15 PM	Case Study of USA *Government Performance and Results Act (GPRA) & National Performance Review (NPR)*
12:15 PM – 01:15 PM	CFR Evaluation Methodology *How to Evaluate the Quality of CFR*
01:15 PM – 02:15 PM	LUNCH BREAK
02:15 PM – 03:00 PM	CFR Evaluation Methodology *How to Evaluate the Quality of CFR* *Class Discussion*
03:00 PM – 03:15 PM	BREAK
03:15 PM – 04:30 PM	Overview of SMART *Strategic Management and Accountability for Results Toolkit*
04:30 PM – 06:30 PM	GROUP DISCUSSION *Drafting of Commitment for Results (CFR) by Participants / Groups*

Day 3:

Local Time	Title
09:00 AM – 10:30 AM	Case Study of Kenya *Winner of United Nations Public Service Award*
10:30 AM – 10:45 AM	BREAK
10:45 AM – 12:00 PM	▪ Role of Communications in Government Performance Management ▪ Design and Implementation of: ~ Citizen/Client Charters ~ Grievance Redress Mechanism
12:00 PM – 01:00 PM	Group discussion of CFRs
01:00 PM – 02:00 PM	LUNCH BREAK
02:00 PM – 03:30 PM	Group discussion of CFRs
03:30 PM – 04:00 PM	BREAK
04:00 PM – 05:15 PM	Managing Performance Management of Public Enterprises: If not for Profit, then for what?

Local Time	Title
05:15 PM – 06: 45 PM	Select Country Presentations

Day 4:

Local Time	Title
09:00 PM- 10:15 AM	Performance Incentive System ▪ Connecting Departmental Performance to Individual Performance ▪ Designing and Implementing a Performance Related Incentive Scheme
10:15 PM- 10:30 AM	BREAK
10:30 PM- 11:45 AM	ISO 9001 in Government ▪ Role of Quality Management in Government Performance
11:45 PM- 01:00 AM	Using Performance Management as an instrument for Implementing Administrative Reforms ▪ Innovation in Government ▪ Corruption Mitigation in Government
01:00 PM- 02:00 PM	LUNCH BREAK
02:00 PM- 03:15 PM	Using Performance Management as an instrument for Implementing Administrative Reforms ▪ Innovation in Government ▪ Corruption Mitigation in Government
03:15 PM- 03:30 PM	BREAK
03:30 PM- 04: 45 PM	▪ Select Country Presentations
03:45PM – 05: 45 PM	Group Discussion – Preparation of Critiques of Commitment for Results (CFR) prepared by Groups *(part 1)*

Day 5:

Local Time	Title
09:00 AM-10:30 AM	▪ Citizen / Client Charter (CCC) ▪ Grievance Redress Mechanism (GRM)
10:00 AM – 10:30 AM	BREAK
10:30 AM-01:00 PM	Group Discussion – Preparation of Critiques of Commitment for Results (CFR) prepared by Groups *(part 2)*
01:00 PM-02:00 AM	LUNCH BREAK
02:00 PM-03:30 PM	Discussion and Evaluation of CFRs prepared by Groups
03:30 PM-03:45 PM	BREAK
03:45 PM-05:45 PM	Discussion and Evaluation of CFRs prepared by Groups
05:45 PM-06:15 PM	VALEDICTORY SESSION

2. Participants

Participants for this workshop should include Principal Secretaries, Secretaries, Head of Departments, and senior officers responsible for performance management. The success of CFR implementation in the member country depends on the seriousness with which senior officers participate in this workshop. Experience suggests that it is a good idea to expose as many officers as possible to the concept of CFR. The Commonwealth Secretariat team has conducted similar workshops with as many as 200 participants.

3. Role and Responsibilities of the Commonwealth Secretariat

The Commonwealth Secretariat will be responsible for:
 a. Organising the faculty / speakers for the workshop
 b. Providing Resource Persons / experts to act as facilitators for group work during the workshop.
 c. Provide access to customized videos and relevant literature on the subject.
 d. Providing access to Commonwealth Secretariat's proprietary software called SMART (Strategic Management and Accountability for Results) on the same terms and conditions as Commonwealth Secretariat's Meridian Software
 e. Prepare Workshop Certificates for all participants.
 f. Prepare 12-15 trophies for the group(s) adjudged to have prepared the best CFR.

1. Time of a two-person Commonwealth Advisory Team on a pro-bono basis. This team will include:
   a. Prof. Prajapati Trivedi, Commonwealth Secretary General's Special Envoy for SDG Implementation, and
   b. Mr. Raj Nair, Governance Adviser, Public Sector Governance Unit

2. The cost of travel, boarding and lodging will be borne by the Member Country.
3. All local cost of organizing the workshops and meeting, local travel for the Commonwealth Secretariat Team will be organized by the member country.
4. Member country will also pay the Daily Subsistence Allowance (DSA) as per the extant rules of the Commonwealth Secretariat.

4. Role and Responsibilities of Member country Government

The Government is expected to make following local arrangements for in-country workshops.

a. Suitable workshop venue that has capacity for all expected participants. This would include:

   i. One large conference hall with state-of-the art audio visual facilities

   ii. Required number of smaller break-out rooms for group work. Ideally, the groups should not have more that 10-15 participants. Number of required would depend on the number of participants.

   iii. Each of the break-out room should have a video projector, screen, laptop with internet facility.

   iv. An office room for the Commonwealth Secretariat team and members of the Commonwealth Advisory Task Force with two black and white printers.

b. Prepare required backdrops and signage. A sample backdrop used in the past is available on request.

c. Access to a colour printer for printing Workshop Certificates.

d. Boarding and lodging arrangements for the Commonwealth Secretariat team.

e. Local transport arrangements for the Commonwealth Secretariat team including pick up and drop off at the airport.

f. Arrange for overnight photocopying of group. Typically, one has to make around 80 copies of six 15-page documents. That is, about 7200 pages must be copied overnight. The group work will be available by 6:30 PM on the third day and copies will have to be made by 9:30 AM on next day (i.e., Day 4 of the Workshop).

Basically, the CFRs produced by the groups must be put together as a set and required number of copies of this set have to be prepared (i.e., one copy for each of the participants in the workshop). The number of copies required will obviously vary with the number of workshop participants.

g. Workshop photographer to capture proceedings for record purposes.

However, most of these requirements will not applicable if the training and technical assistance is delivered virtually.

In addition, Government should also identify local Resource Persons who can be paired with the Secretariat Resource Persons as a strategy for building sustainable local capacity. The local team should be able to carry this work forward on their own in future. It should also include promising young officers from various departments.

Finally, before the start of the Workshop, Government must inform the Commonwealth Secretariat about the tentative list of departments that will be covered by the CFR policy. To start with only the departments headed by a Permanent Secretary-level officer should be included in this list. In subsequent years, Directorates, Public Enterprises, and other subordinate and attached offices can be included. It is important to submit this list to the Commonwealth Secretariat to allow for creation and provision of passwords and logins for using SMART software to facilitate design and creation of CFRs.

5. Workshop Output

During the workshop, participants will be divided into several groups. Each group will be required to prepare an CFR for a department of the Member country Government. On day five of the workshop, these CFRs will be discussed by other groups and judged based on pre-defined criteria explained during the workshop. Thus, by the end of the workshop we should have 7-8 preliminary draft CFRs for 7-8 departments of the Member country Government.

STEP 3: DECIDE ON CFR GUIDELINES FOR MEMBER COUNTRY

To start with, Guidelines for preparing CFRs from one of the Member countries will be used during the Workshop. A sample of these Guidelines is available. The Commonwealth Secretariat team will work with the Government in customizing these Guidelines. In any event, Government should finalize these Guidelines within five days of the workshop after incorporating any suggestions and feedback received during the workshop.

STEP 4: ISSUE CFR GUIDELINES FOR MEMBER COUNTRY

Once these Guidelines have been finalized, they should be issued to all departments after obtaining appropriate clearances within Government. While issuing these Guidelines, departments should be asked to submit their first draft via the computer software called SMART, developed specifically for this purpose. A User's Manual for the software is provided. During the group work for the Workshop, training will be provided on the SMART software.

STEP 5: DEADLINE FOR SUBMITTING DRAFT CFR TO NODAL AGENCY

This is a critical step and will determine the success of the whole exercise. If the Nodal Agency does not get all the drafts, then the credibility of the exercise is dented. Thus, Nodal Agency will have to do the following:

a. After about 10 days of the CFR workshop, start reporting the status of draft CFRs received to the Cabinet/Chief Secretary.
b. Proactively speak with departmental Secretaries and find out if they have any issues that need clarification. Send those queries to the Commonwealth Secretariat, if required.
c. If required, the Commonwealth Secretariat can be requested to depute some Resource Persons to visit Member country Capital and provide one-to-one assistance to the departments that are struggling.
d. Work closely with the Secretariat to ensure that departments get timely technical support for SMART.

STEP 6: FIRST REVIEW OF DRAFT CFRS BY AD-HOC TASK FORCE (ATF)

The main goal of this step is to have the Advisory Task Force (ATF) review the CFR drafts prepared by the Member country departments. Advisory Task Force consists of distinguished academicians from leading institutions, former Secretaries to Government, former Chief Executives of Public Enterprises, domain experts and private sector executives. This non-government body has been the key institutional innovation that has ensured quality and continuity of policy in many countries. They have arguably the best expertise to provide an objective, professional and helpful feedback to departments.

This exercise is organized by the Commonwealth Secretariat. Typically, all member country departments are divided into 5-6 groups called syndicates. Each syndicate consists of closely related departments.

The ATF review the draft CFRs and send back written comments to the departments in the Member country Governments. Experience suggests that this exercise is much more effective if the Resource persons from Member country Government join this exercise. This allows the Resource Persons from the Member country to convey the thinking behind the comments to the respective government departments.

STEP 7: RECEIVE REVISED DRAFT OF CFRS

It is expected that the departments will incorporate the suggestions made by ATF (or have a good reason to not do so) and submit the revised CFRs. A copy of the revised CFRs should also be sent to the Commonwealth Secretariat.

STEP 8: FINALIZE LOCAL ATF MEMBERS

The Commonwealth Secretariat will organize a review by ATF set by the Secretariat but a local counterpart needs to be established to make the process sustainable. Experience suggests that this is one of the hardest things for the Member country Government to do. This is not something that can be done overnight. ATF members have to be exposed to

the CFR methodology and they need a lot of experience to develop a cohesive and consistent approach to critiquing CFRs. Often, it is desirable to have them join the initial training or organize another training for them.

STEP 9: REVIEW OF REVISED CFRS BY SECRETARIAT DESIGNATED ATF IN MEMBER COUNTRY CAPITAL

1. Objective

This is the culmination of the first round of CFRs. In this step, ATF members selected by the Secretariat discuss the revised CFRs with the Permanent Secretaries/Principal Secretaries/ Secretaries of respective departments. The local ATF should join those from the Secretariat for this exercise.

Normally these meetings are for 90 minutes. The meetings are expected to start with the department making a brief 10 minutes' presentation on the main objective and functions of the department, key challenges, possible solutions, and how the CFR fits in this context.

To support this exercise Commonwealth Secretariat resource staff are required.

The output of the exercise is a critical review of the drafts and suggestions for improving the quality of the drafts further. These are provided to the departments as minutes of the meetings.

3. Role and Responsibilities of the Government

The Government is expected to make all local arrangements and bear costs associated with the following:

a. Suitable meeting venue that would include:
    i.   Six small rooms with a minimum seating capacity of 10-12 people for ATF meetings.
    ii. Each of the meeting room should have a video projector, screen, laptop with internet facility.

b. An office room for the Commonwealth Secretariat staff and ATF with two black and white printers.

c. Pay all costs associated with the travel and time of ATF members and the Commonwealth Secretariat Resource Persons

d. Organize the travel logistics (if required) to the Member country.

e. Provide Resource Persons to support ATF members for the initial member country meetings.

f. Organise air travel and provide subsistence for the ATF and the Commonwealth Secretariat team.

g. Prepare required backdrops and signage. A sample backdrop used for such meetings in the past is included in the CD accompanying this Handbook.

h. Assist with Boarding and lodging arrangements for the ATF members and the Commonwealth Secretariat team

i. Provide all local transport for the ATF members and the Commonwealth Secretariat team.

j. Provide event photographer.

Experience shows that an initial meeting of the ATF with the Minister and the Head of Public Service/Cabinet Secretary, on the first day, is very useful. Member country leadership is able to convey its seriousness in pursuing this policy and share its vision and priorities. ATF members have invariably found this interaction useful and motivating in the past.

Step 10: Meeting of a High-Power Committee (HPC) on Government Performance

Like other countries, Government should consider setting up a High-Power Committee (HPC) for approving the CFRs at the beginning of the year and, then again, approve the results at the end of the year.

Step 11: Upload CFRs on departmental websites

Once the CFRs have been approved by the HPC, departments are required to put the CFRs on their websites. This marks the completion of one full CFR cycle.

E. CONTENTS AVAILABLE ELECTRONICALLY

a. CFR Guidelines from various Member countries
b. CFRs samples from various Member countries
c. Sample Workshop Certificate
d. Sample of the Workshop Trophy
e. Sample Backdrop and Signage
f. Sample Schedule of ATF Meetings
g. SMART User Manual
h. SMART Video Manual

F. CONTACT FOR FURTHER INFORMATION

For any clarifications and additional information, please contact:

Prof. Prajapati Trivedi
Special Envoy for SDG Implementation
Commonwealth Secretariat
Email: p.trivedi@commonwealthconnect.org

Rajiv Nair
Governance Adviser, Public Sector Governance Unit
Commonwealth Secretariat
Email: r.nair@commonwealth.int

The Commonwealth

Commonwealth Secretariat

Marlborough House, Pall Mall

London SW1Y 5HX

United Kingdom