Performance Measurement Policy	
Effective Date	August 1, 2017
Purpose	To improve the Canada Council's capacity to measure the impact of its activities and use information for more evidence-based decision-making and effective communication
Responsibility	Director, Research, Evaluation and Performance Measurement
Accountability	Director General, Strategy and Public Affairs
Documentum File No.	Governance - 110103-13-1
Approved by	Executive Management Committee
Prepared by	Research, Evaluation and Performance Measurement (REPM)
Revision Approval	
Revision Details	
Related Canada Council Policies and Strategic Documents	2016-21 Strategic Plan Program Alignment Architecture Research Policy Evaluation Policy Delegation of Authority Policy Code of Ethics Conflict of Interest Policy on the Management of Canada Council for the Arts Information Granting Policy Operational Policies/Procedures of the Arts Granting Programs Division Data Standards (in development by REPM) Data Alignment Architecture (in development by REPM)

Related Laws and External Policies	Government of Canada – Policy on Results (2016) Directive on Results (2016) Privacy Act Access to Information Act Treasury Board Secretariat Directive on Open Government

1. INTRODUCTION

1.1 OBJECTIVES

The objectives of this policy are to:

- provide a consistent and systematic approach to collecting, analyzing, utilizing and reporting on the performance of the Canada Council's (Council's) programs, initiatives and activities[1] across the organization and using best practices in government[2] reporting on performance measurement; and
- establish roles and responsibilities for data collection, validation, reporting and tracking outcomes and results related to the Council's programs, initiatives and activities.

The Performance Measurement Policy enhances the management and reporting of the Council's programs, initiatives and activities by tracking the organization's achievement of results in both quantitative and qualitative terms. It enables management to make more informed and effective decisions about Council's programs and activities.

1.2 SCOPE

The Performance Measurement Policy sets out guidelines for establishing performance measurement frameworks and undertaking performance measurement for the Council in four key areas:

1. Granting Programs and Strategic Funds
2. Non-Granting Programs
3. Initiatives
4. Activities

1.3 ADMINISTRATIVE RESPONSIBILITIES

The **Director and Chief Executive Officer (CEO)** is accountable for the performance of the Council's programs, initiatives and activities. The Director and CEO is also responsible for ensuring that the Director of Research, Evaluation and Performance Measurement has access

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[1] For the purposes of this policy, "program" refers to the granting programs; non-granting programs that are outside the funding model (e.g., the Canada Council Art Bank, Prizes, Public Lending Right Program); initiatives refers to specific projects undertaken by the Council, e.g., partnerships, major research partnerships; and "activities" refers to key Council's area of activities, e.g. Human Resources and Organizational Development (HROD), Information Technology and Information Management Services (IT/IM), Marketing and Communications, Research, Evaluation and Performance Measurement (REPM).

[2] Government of Canada (2010). *Supporting Effective Evaluations: A Guide to Developing Performance Measurement Strategies*

to Executive Management Committee as required, and for approving performance measurement plans and reports.

The **Director General, Strategy and Public Affairs** is responsible for ensuring that this policy is implemented, complied with, monitored and assessed on a regular basis. Furthermore, the administrative accountability for performance measurement is delegated to the Director General, Strategy and Public Affairs.

The **Director, Research, Evaluation and Performance Measurement** (REPM) is responsible for all aspects of performance measurement of the Council's granting programs, strategic funds, non-granting programs and initiatives, including but not limited to: developing the logic models, performance measurement frameworks and plan; updating the frameworks and plan on an annual basis; approving methodologies and reports; and reporting periodically on program measurement; and determining the publication of these reports. The Director, REPM will ensure that activities have appropriate logic models and performance measurements frameworks (i.e., outcomes, indicators and measures) in place along with data collection strategies. Also, REPM will provide data that support the results and delivery function of monitoring and assessing the progress of Council's delivery of its strategic commitments.

The **Executive Management Committee** is responsible for the oversight of the Council's performance measurement plan and ensuring that recommendations are responded to and implemented.

The **Director General, Arts Granting Programs** is responsible for ensuring that all granting programs and strategic funds, and initiatives (where applicable) have appropriate performance indicators and measures in place along with data collection and validation strategies to enable program performance measurement and that management responses to recommendations related to program performance are developed and implemented.

Through the office of the Director General, the **Arts Granting Programs Committee** will review and discuss outcomes results and recommendations, monitor and report to the Director and CEO on the overall design, coherence and performance of the Council's suite of granting programs and strategic funds in the context of the strategic direction and priorities set by the Council's Board of Directors.[3]

The **Director, Granting Program Operations** is responsible for monitoring and reviewing grant program outcomes, informing management responses to management inquiries or auditor recommendations, and monitoring the implementation of recommendations.

The **Directors** (i.e., Program Directors in AGPD, Directors in other divisions) are responsible for ensuring that program/initiative/activity performance measurement information and all their relevant documentation is validated according to the Council's standards, policies and procedures. They will also participate in the development of the logic models, performance measurement frameworks and plan, formulate management responses to program/initiative/activity outcomes recommendations and implement those responses.

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[3] Canada Council for the Arts (2016). *Arts Granting Programs Committee – Terms of Reference*

Directors are responsible for the performance monitoring and are accountable for the progress in meeting their program/ initiative/activity objectives and results, in accordance with performance indicators and expected outcomes.

The **Senior Strategic Advisor, Results and Delivery** ensures that the progress of Council's delivery of its commitments and achievement of corporate objectives are monitored and assessed to inform decisions anchored in meaningful data and indicators.

The **Directors General** (i.e., Communications and Public Engagement, Corporate Services, Strategy and Public Affairs, CCUNESCO) are responsible for the implementation of their respective performance measurement frameworks related to non-granting programs/initiatives/ activities where relevant. They are also responsible for interpreting the results in order to meet the expected outcomes of the non-granting programs/initiatives/activities within their scope of accountabilities.

The **Director, Information Technology and Information Management Section** is accountable for the management of systems which house the data required for performance measurement; is responsible for working collaboratively with REPM to advise on and identify appropriate technology tools that will enable the management of information assets throughout their lifecycle, from capture/creation through to disposition and archiving. IT/IM is also responsible for ensuring that information assets are adequately retained in accordance with regulatory and compliance obligations; and that data lineage/content provenance is adequately managed and auditable.

1.4 DEFINITIONS[4]

Indicators: the specific items of information that track a program's progress on outcomes and/or track progress made towards targets (e.g., artists create work that advances artistic practice; new works are created; a partnership supports the public access to the Canadian arts). A variable that provides a simple and reliable means to demonstrate change and answer the degree to which defined outcomes have been achieved. Indicators must relate to the desired outcomes and be reasonable, useful and meaningful.

Inputs: human, financial and material resources invested in a program/initiative/activity to achieve its outcomes– e.g. staff, facilities, budget, time, training, research, etc.

Logic Model: a conceptual 'roadmap' or description of how the program/initiative/activity theoretically works to achieve desired outcomes. It is the "If…Then" sequence of changes that

[4] Refer to the Research and Evaluation Policies to obtain the full list of definitions associated with this framework: http://canadacouncil.ca/-/media/Files/CCA/Research/Policy/ResearchPolicy.pdf and http://canadacouncil.ca/-/media/Files/CCA/Research/Policy/EvaluationPolicy_EN.pdf

the program intends to set in motion through its inputs, activities, outputs and outcomes. Logic models reflect rather than dictate how a program/initiative/activity functions (see Appendix A).

Measures: instruments, based on quantitative or qualitative data/content, which help to evaluate the indicators and could include trends over time (i.e. number and type of productions; artists perception of the grant on their career, etc.).

Outcomes: the changed state toward which a program/initiative/activity strives – i.e. a change in (a client's, community's): circumstance, behaviour, knowledge, attitude, skill, practice, functioning, values, conditions, status, for participants during or after their involvement in the program. Sometimes broad, sometimes specific, outcomes are the benefits occurring for participants resulting from a program/initiative/activity as measured against the stated goals and objectives.

> *Immediate Outcomes* are the first level benefits or changes a participant experiences and are most closely related to and influenced directly by the program or activity.
>
> *Intermediate Outcomes* are the secondary level benefits or changes in participant experiences that build on initial outcomes but set the stage for more complex change.
>
> *Long-Term Outcomes* are the final goals or ultimate outcome (sometimes called desired state) that the program or activity strives to achieve.

Outputs: the direct products and services of a program/initiative/activity, usually measured in actual work done, and expressed in numbers: e.g. number of deadlines, number of information sessions, number of applications received, number of grants processed, approved, number and type of partnerships, etc. They are always countable.

Qualitative Data: content or information (i.e., ideas, stories and other media) that is usually gathered from participants through interviews, focus groups or reports/surveys with open-ended questions.

Quantitative Data: information gathered to describe a situation using numbers. This data typically are retrieved from questionnaires, surveys, forms and other statistical data systems, both internal to the Council and external.

Performance Measurement Framework (PMF): A strategic alignment of the objectives, inputs, activities, outputs and outcomes for a given program or activity (see Appendix A).

It groups related data sources together and links them logically to the Council's outcomes with appropriate indicators and measures, and presents a model for reporting on progress (see Appendix B).

Results: an impact or effect of a program/initiative/activity.

1.5 PRINCIPLES

Performance measurement, including data collection, validation and reporting, must be:

- simple and cost effective and make the best use of both quantitative and qualitative data;
- presented in a consumable manner to enable dissemination to both CCA and non-CCA audiences and stakeholders as required;
- relevant, neutral, not punitive, empowering staff to better understand their programs; and
- reviewed and improved on an ongoing basis.

2. POLICY

2.1 THE OUTCOMES-BASED MODEL

The Council has an outcomes-based model for its programs, initiatives and activities. This means that programs, initiatives and activities will be measured by the results as they relate to specific outcomes. The outcomes and results must be clearly defined and linked to the inputs, activities and outputs of the Council's programs, initiatives and activities.

A key tool within this is the logic model. Logic models are result chains that link all elements of the delivery of a program/initiative/activity (as defined in Appendix A).

2.2 ROLES AND RESPONSIBILITIES RELATED TO DATA PROCESSES

Research, Evaluation and Performance Measurement (REPM) is responsible for data collection and aggregation, analysis, validation, and reporting on the performance of the Council's granting programs and strategic funds, non-granting programs and initiatives. REPM, in collaboration with responsible sections, develops logic models and performance measurement frameworks and provides advice on the reporting on performance measurement when requested. REPM also provides training to program directors, managers and staff (as required) as well as supports knowledge development and the capacity to use performance measurement information to monitor and report on programs.

Directors, managers and officers are responsible for:

- data entry validation (e.g. number of applications per program component, assessment of application profiles, identification of strategic priorities for every project, CADAC statistical and financial data, etc.);
- interpreting the outcomes results with regards to granting programs and strategic funds, non-granting programs or initiatives; and
- leveraging this information and knowledge in order to support informed, evidence-based decision-making.

Directors are also responsible for adjusting the program design, delivery activities according to the analysis of the data, if required and as per Council's Operational Policies of the Arts Granting Programs.

The Director, Information Technology and Information Management Section is responsible for collaboratively working with REPM to enable collection of data and support of data reporting and analysis technologies.

2.3 DATA SOURCES

The data used for the Council's performance measures for programs and initiatives are collected from grant recipients and other recipients of Council funding and services. These are collected via systems such as:

- Online grants portal
- Arts Tracking System (ATS)
- Public Lending Right database
- Publishers Form
- Killam database
- Canadian Arts Data / Données sur les arts au Canada
- Program evaluation
- Periodic data collection such as surveys, focus groups, etc.
- External data for long term outcomes (e.g. Statistics Canada)

2.4 IDENTIFICATION AND SELECTION OF PERFORMANCE INDICATORS

In order to systematically collect, analyze, and report on the performance of the Council's programs, initiatives and activities, it is necessary to identify and select the performance indicators and measures that correspond to each outcome at the appropriate level (see section 2.1) and organize the information in a performance measurement framework. This needs to be defined for each of the Council's programs, initiatives and activities, as well as other areas covered by the scope of this policy (as defined in section 1.2).

The following five criteria must be considered to determine the most appropriate indicators and measures:

- Validity – indicators should be precise in terms of quantity, quality and timeframe;
- Relevance – indicators should be relevant to the activity they measure;
- Reliability – indicators should be consistent over time;
- Availability - indicators should be readily available and easily collectable/analyzable;
- Affordability – indicators should be affordable to collect and analyze.

2.5 DEVELOPMENT OF THE PERFORMANCE MEASUREMENT PLAN

In order to measure Council's performance against expected outcomes, it is necessary that REPM establishes a plan that outlines the methodology and the timelines for developing logic models and performance measurement frameworks; and for collecting, validating, analyzing and

reporting performance data on granting programs and strategic funds, non-granting programs and initiatives.

The plan should include the development of techniques for collection and frequency, as well as the roles and responsibilities for these tasks, including who is responsible for gathering, primary validation of data, analyzing and reporting the results consistent with the roles and responsibilities outlined in this policy. The plan should also identify the availability of the data sources and the identification of potential problems in its collection.

2.6 AUDIT AND ASSESSMENT

In order to ensure the quality and objectivity of the Council's implementation of its performance measurement frameworks and plan, Council's PMFs will be reviewed and audited as part of the regular function of internal audit.

2.7 TRAINING AND CAPACITY

REPM will provide ongoing professional development to the Council's staff in order to increase the level of knowledge and ability to use and understand performance measurement. This can take the form of informal sharing of knowledge and expertise, or advisory and hands-on support from the REPM team. More formal training sessions developed by REPM and coordinated by Human Resources will be provided on a periodic basis.

REPM, in collaboration with the responsible sections and divisions, defines and provides advice on key components of the development and implementation of the performance measurement frameworks for Council's programs, initiatives and activities.

2.8 UPDATES TO THIS FRAMEWORK

This Policy and associated performance measurement plan will be reviewed on an annual basis. Any significant modifications will be approved by the Executive Management Committee upon the recommendation of the Director General, Strategy and Public Affairs

Approved by Executive Management Committee: June 28, 2017

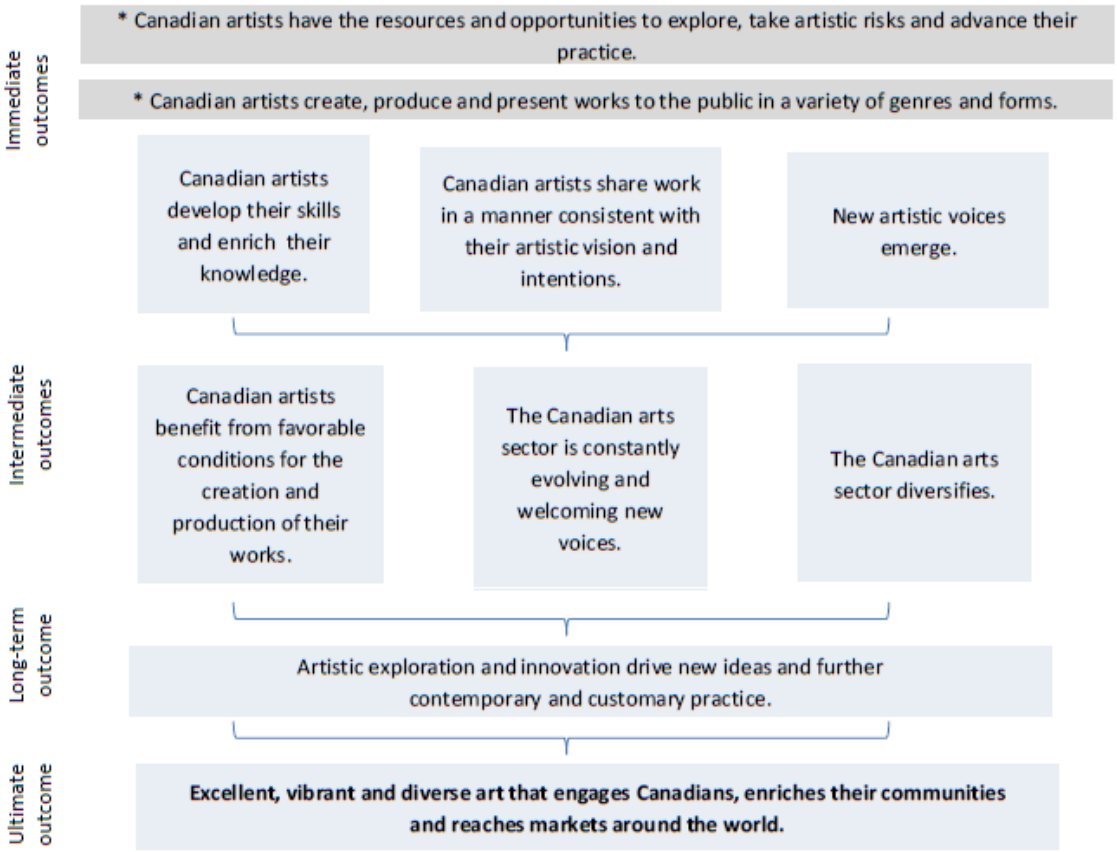
Appendix A

Example of the Logic Model for grant programs.

Logic model elements	Definition	Examples
Inputs	resources that the Council puts towards the program	staff, money
Activities	the activities that the Council undertakes	grants assessment
Outputs	what is produced through the activities	Grants, services
Immediate outcomes	the direct result of the output, often a change in knowledge or awareness	new skills acquired
Intermediate outcomes	change in behavior or capacity as a result of the immediate outcome	improved career outcomes
Long-term outcomes	population or sectorial level change	public enjoyment of the arts, greater revenue stability for artists

Logic model (sample)

Program objectives	• **To support the research, creation, production and presentation of quality works of art to share with the public.** • **To stimulate the emergence and development of new artistic voices and new ways of working.** • **To offer the public a range of artistic experience.** * **In this program 'artists' include individuals, groups and organizations**
Inputs	Staff (FTEs), Peer Assessors, other arts stakeholders Resources (grants and program delivery budget, expertise, policy, grant guidelines, communications)
Program Delivery Activities	Granting program delivery
Outputs	Grants



May 2017, REPM

* Common to all six programs
** The term artists includes individuals, groups and organizations

Appendix B

Grant Program Performance Measurement

Program X
Performance Measurement

May 2017, REPM

Immediate Outcome	Indicator	Measure	Source	Method
Cross-programs outcomes*				
Outcome 1: Canadian artists** have the resources and opportunities to explore, take artistic risks and advance their practice.	1.1. Artists access resources and creative development opportunities to advance their practice	1.1.1 Number and type of artist	Recipients	Applicant data and final reports
		1.1.2 Number and type of resources	Recipients	Applicant data and final reports
		1.1.3 Number and type of opportunity	Recipients	Applicant data and final reports
Outcome 2: Canadian artists create, produce and present works to the public in a variety of genres and forms.	2.1 Artists create a diversity of works	2.1.1 Number, genre, form of work created	Recipients	Applicant data and final reports
	2.2 New works are created	2.2.1 Number and type of works in progress/works completed	Recipients	Final reports
	2.3 Works are shared with the public in a variety of art forms	1.1.1 Number and type of programming events	Recipients	Applicant data and final reports
		2.3.2 Attendance/ participation at programming activities	Recipients	Final reports / CADAC

Program X: Immediate Outcome	Indicator	Measure	Source	Method
Outcome 1: Canadian artists develop their skills and enrich their knowledge.	1.1 Artists are satisfied with the opportunity to grow their capacities	1.2.1 Artist's perception of impact of the project on their capacities	Recipients	Final reports
	1.2 Artists are developing a vision for their work/artists are satisfied with their advancement	1.3.1 Artists perception of grant's impact on their development	Recipients	Final reports
		1.3.2 Artists' perception of risk and innovation in their work	Recipients	Final reports
		1.2.3 New ways of working (partner/copro…)	Recipients	Final reports
	1.3 Artists create work that advances artistic practice	3.2.1 Artists' perception of the impact on the art form/practice	Recipients	Final reports
Outcome 2: Canadian artists share work in a manner consistent with their artistic vision and intentions.	2.1 Artists experiment with production /presentation models and dissemination platforms	4.2.1 Type of model, dissemination platform	Recipients	Applicant data and final reports
		4.2.2 Artist's perception of benefits of co-production		
Outcome 3: New artistic voices emerge.	3.1 Artists receive first-time support	5.1.1.Number and type of artist and activity	Recipients	Applicant data and final reports

* Common outcomes for all 6 programs
**The term artists includes individuals, collectives and organizations

Appendix C

CHALLENGES, LIMITATIONS AND MITIGATIONS

Performance measurement provides an evidence base for assessing and managing the Council's programs, initiatives and activities. It does, however, have limitations:

- **Availability and reliability of data**: The data collected and analyzed for performance measurement of granting programs, strategic funds and non-granting programs is primarily based on grant recipient information. While some of the data can be validated, much of it must be used "as reported" and can be subjective or incomplete.

  Mitigation: REPM will develop methodologies and tools that allow the collection of data from other sources (e.g., intrinsic value of the arts for the Canadians, or peers evaluation of the artistic quality).

- **Capacity of tools and IT infrastructure:** the development and implementation of tools and IT infrastructure might not ensure a full, reliable and effective internal reporting capacity on qualitative and quantitative data for performance measurement.

  Mitigation: The Council's IT Strategy will take into consideration the implementation of data access procedures in order to support Council's needs related to performance measurement; develop tools/platforms that will allow a reliable, effective and efficient reporting capacity.

- **Relevance of indicators, measures and data**: Taking into consideration the high level of effort related to data collection and validation, some data are difficult to collect/report in an ongoing manner (e.g. public appreciation of the arts).

  Mitigation: the Council will select indicators that are the best possible proxies for its intended outcomes and develop a work plan that ensure a robust and agile data process and reporting.

- **Ownership of results**: The Council is one of many actors in the arts ecosystem and cannot claim full ownership of the results of its program outcomes, particularly at the intermediate and long term levels. This is often referred to as the "contribution vs. attribution" conundrum.

  Mitigation: The Council contributes to these outcomes, but impacts or benefits cannot be attributed solely to the Council's interventions. Thus, the Council will need to contextualize results appropriately and use different external data sources to demonstrate its impact and results.

- **Indication of issues**: Performance measurement provides the Council with the capacity to monitor issues or challenges but cannot on its own provide the reasons behind them.

Mitigation: The Council will undertake further analysis to get to the root causes of issues and challenges that may arise. One of many types of program/ initiative/ activity evaluation may be applied.

- **Use of performance measurement**: Performance measures are only as useful as the use that is made of them.

  Mitigation: The Council will ensure that staff and decision-makers are equipped to understand and use performance measurement information in the decision-making process. Information and training sessions will be organized by HROD/REPM in order to increase the understanding of the performance measurement process among the staff directly involved.