



Advancing the Vision: Developing and Recommending an Alternative Service Delivery Option

The DFO Guide for Considering Alternative Service Delivery

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The Purpose of this Guide

This 12 Step Guide has been designed to help you to make an informed and well-considered recommendation to implement an altered method of delivery or retain the “status quo”.

An ASD recommendation development process may begin with screening a program area to select activities to consider for ASD (step 1) - but it may not. An unsolicited proposal, or strategic management decision to expand, decrease or modify existing delivery of DFO programs may generate ASD projects, and you may have to start at a later step.

Alternative Service Delivery (ASD) is about finding new approaches to achieve our DFO Vision. This Guide is not about finding the way to implement an already chosen solution - it is about working together to develop and consider alternatives or arrangements that may vary from our traditional ways of doing business. Supporting ASD in DFO means creating a shift in focus from delivering services to managing and/or being a strategic partner in the delivery of services.

Remember that no two ASDs are alike. In fact, many terms are used to describe this diversity: changes in governance and business structure, shared stewardship and responsibility, partnering, integrated management, collaborative arrangements, agreements, bartering, and some contracts are all forms or considerations in service delivery. Regardless of the nature of your potential alternatives, the process and outcome of considering options will be facilitated by the flexible and thorough approach described in these 12 Steps.

A real need exists for DFO’s service delivery to be innovative, proactive and client-focussed. We need to be mindful of the risks of choosing an alternative, *or* of choosing to continue with how we currently do things.

Regardless of how you start, use DFO’s ASD Framework as your point of departure and use this Guide and its 12 steps as a general path to follow. Some of the steps described in this Guide are *critical* to your success. The Guide is designed to help you minimize your risk by reminding you to think long term and consider everything that you really should or *must* - by legislative or policy requirement -do. Remember, DFO cannot decide to pursue what seems to be an overwhelmingly “great” alternative if there is no *convincing* evidence that it is better than the status quo.

The Guide will also help you to find additional tools and resources when these suggested steps don’t fit, or don’t answer your concerns and issues.

Many other expert resources and other practical tools and information sources are also available through the DFO ASD Centre of Expertise (COE).

Don’t let the 12 steps intimidate you! They have been written with a complex service consideration in mind, but you are invited to adapt them to any level of delivery that you provide. Your steps may not be consecutive nor straight line and for example, steps 4 through 9 may be done at virtually the same time. Keep in mind, however, you *must* develop support for your project, build and resource the right team, provide the best communications possible, and get approvals.

No one person has all the answers in ASD. Each situation that leads to an ASD is unique. Each ASD option implemented is a unique hybrid of the variety of options and processes that have been used before.

The ASD Centre of Expertise serves as a referral service so that we approach ASD projects together. The DFO ASD Network, a group of subject-matter experts, is available to offer the advice you will need.

By the way, as an officer or manager tasked with considering alternatives, you also fill the role of a departmental expert for your service area and become part of our ASD Network.

The 12 Steps will be learning processes for you, and for the department. The Centre of Expertise exists to help you – contact the Centre early, and share your concerns and questions with us. That way, we’ll all learn together.

The DFO ASD Network

The DFO ASD Framework (approved January 18, 1999)

The DFO ASD Framework is an important foundation document that defines our ASD Vision, and establishes the principles and values that guide our department’s use of alternative means of service delivery. The Framework proposed a process and approval hierarchy for ASD, and laid out the activities that have created a renewed approach to ASD in DFO.

Reference to the principles and values to be upheld, as written in the Framework, is a critical step in considering ASD. We recommend you read it.

Before Completing the Twelve Steps

We recommend that you . . .

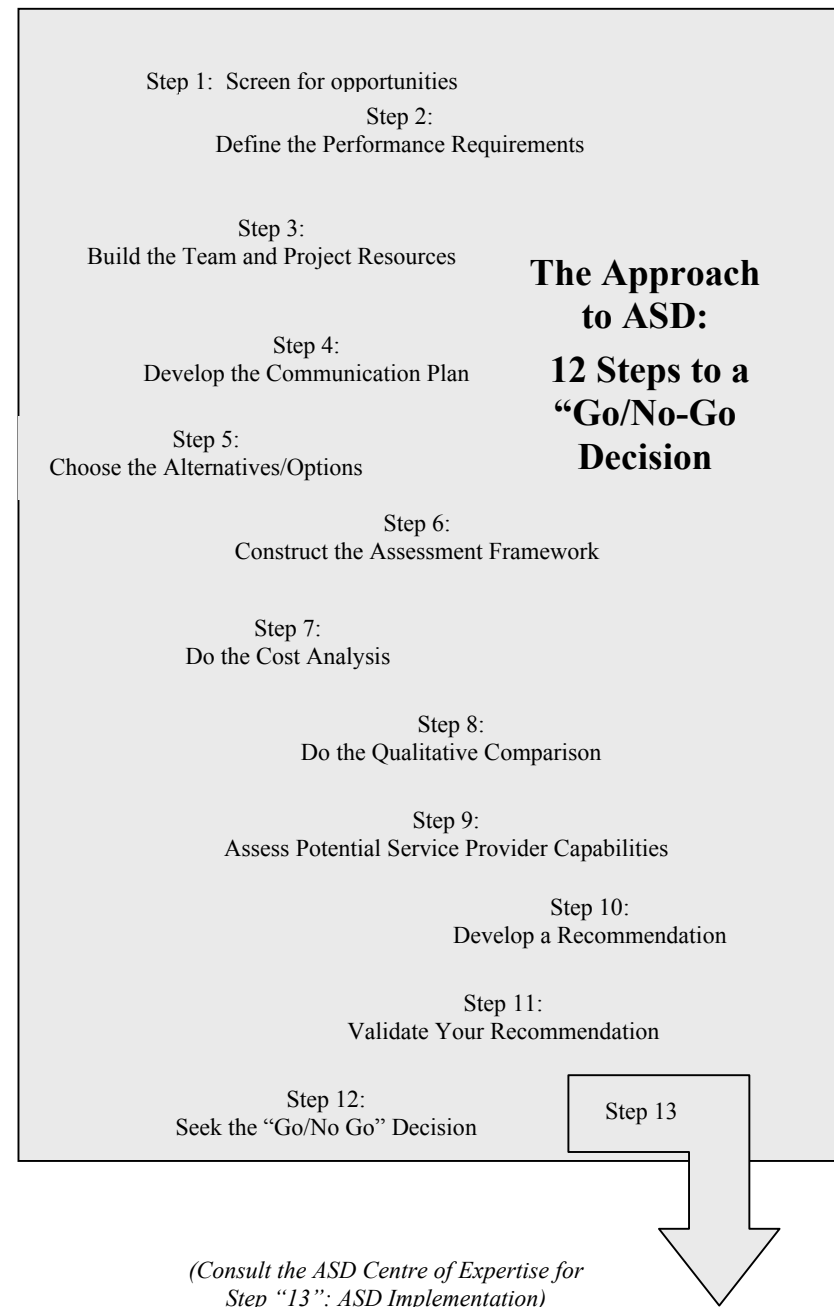
- ✓ Read DFO's ASD Framework;
- ✓ Review the latest DFO Strategic and Business Plans. Recognize and proactively consult with stakeholders regarding the potential impact of your consideration of ASD.
- ✓ Remember that any ASD requires "up-front" investment of time and other resources: its necessary and helpful align your approach to ASD with - or into - unit and departmental plans.
- ✓ Consult the Department's ASD Centre of Expertise to:
 - Make use of the extensive expertise and experience available through the ASD Network;
 - Identify other tools, activity or interest in your type of service alternative;
 - Verify where the service that you are considering fits in with other strategic priorities for the Department;
 - Be linked to others who may be able to share their experience with you; and to
 - Add your project to, or to update the DFO ASD inventory.
- ✓ Consult the Treasury Board's ASD Website;
- ✓ Talk to others who have considered or who have been through an ASD within DFO or the federal government.

Contact Information

The ASD Centre of Expertise: (613) 998-4248

Email: XNCR, ASD-DMPS

Website: http://intra.dfo-mpo.gc.ca/asd-dmps/Home_e.htm



Step 1: Screen for Opportunities

Your key objective in this step is . . .

To identify the services, systems, decisions, information, resources, processes, activities, tasks, etc. (hereafter “services”) that may benefit from being delivered in an alternative way.

At the end of this step, you will have . . .

A brief list of services and the reasons you chose them.

Three key questions you answer during this step are . . .

1. **Which** services are to be considered against other alternatives?
2. **What** environmental factors (e.g., client needs, enabling technologies, service provider capabilities, fiscal pressures) initially support altering your current delivery method?
3. **What** will an alternative form of delivery achieve, i.e.:
 - improvement in service to clients;
 - increased flexibility and innovation;
 - decreased risk to clients and government;
 - decreased cost to government?

To complete this step you may want to . . .

Discover what the clients' needs and expectations *really* are by consulting openly with them about how your services might be altered and improved.

Use the input of others who may be aware of alternatives, for example:

- employees and other service providers (partners, etc.)
- clients
- private sector competitors (unsolicited proposals)
- volunteer or community groups
- other federal departments or levels of government.

Consider any service that may be inefficient, inflexible or lacking in responsiveness to client needs.

Identify where changes in the environment (client needs,

enabling technologies, DFO organization/resources) may signal a need for change in delivery.

In terms of developing the alternatives, you should . . .

Consider any service area where there are comparable public and private sector services;

Assess the degree to which any comparative private sector services are relevant to or might be interested in your services;

List other related-service providers who may want to look at alternatives for joint alternative development (“bundling”);

Establish preliminary criteria for long-term success: the service values that must be upheld, the bottom-line goals and objectives of a continued or altered service.

Demonstrate the links between your ASD opportunities and the DFO Vision, Business and Strategic Plans.

To avoid common pitfalls . . .

- Do a preliminary scan of related processes and activities that cut across DFO’s organizational boundaries and establish which will be affected by potential changes in service delivery – consider including them.
- Examine larger and broader ASD opportunities, as the potential benefits are generally greater.
- Develop client-focussed success factors.
- Avoid premature selection of a preferred alternative.
- *Actively involve key stakeholders (i.e., clients) early.*

Step 2: Define the Performance Requirements

Your key objective in this step is . .

To define client expectations, service standards and required outputs for a refined set of processes/activities that are under consideration/review.

At the end of this step, you will have . . .

A concise statement of processes and activities and a set of related service standards and required outputs, including a rationale if you have established a clear boundary between delivery standards/processes and management standards/processes.

Three key questions you answer during this step are . . .

1. *What* are the *delivery* activities, outputs and results expected of these services and processes?
2. *What* terms and conditions are important to delivering this service or process (e.g. availability, level of service, response time, qualifications of personnel, quality control, health and safety, public policy considerations, stakeholder relations)?
3. *How* will you measure the service standards and the outputs of any service provider?

To complete this step you may want to describe. . .

The variety and nature of the required outputs;

The scope of the service – national, regional or local;

The service delivery standards maintained by public or private sector organizations (Canadian and foreign) that deliver or receive similar services.

The legal, regulatory and certification standards that are commonly identified with this type of service.

In terms of developing the alternatives, you should . . .

Consider the value of “mapping” the processes and activities, demonstrating the outputs and results of each activity, as well as the relationships among processes, activities and tasks.

Separate the activities and processes that, regardless of the chosen delivery option, will be retained by the department.

Ensure the delivered outputs are sufficiently defined and are measurable.

Consider whether the existing delivery standards are reasonable.

To avoid common pitfalls . . .

- Use the current service standard as the starting point for your review: when you have completed this step, you will have either validated or revised this standard.
- Keep in mind that highly specialised requirements will have the effect of severely limiting the number of alternative service providers.

Step 3: Build the Team and Project Resources

Your key objective in this step is . . .

To build a team that is able to make an informed and well-considered recommendation supported by a strong case for a preferred delivery alternative.

At the end of this step, you will have . . .

A Project Team and an approved Charter document that describes the objectives and statement of work for the team, the work plan and schedule, team membership, roles, responsibilities and authorities, and a list of the team's available resources.

Three key questions you answer during this step are . . .

1. What expertise is required to successfully complete the ASD analysis?
2. How can this expertise be obtained in a reliable, timely and cost-effective way?
3. Does the team/DFO have the resources (time, place, salaries) to effectively and objectively carry out the remainder of the 12 Steps?

To complete this step, you may want to . . .

Brainstorm for information on the kinds of issues that will likely be addressed over the course of the ASD analysis.

Identify the types of expertise required, recognising that this may vary from case to case: costing, discounted cash flow analysis, operations and service delivery, related laws and regulations, market analysis on an industry specific basis, human resource management.

In terms of developing the alternatives, you should . . .

Select an approach for building the team that provides the required expertise at the least cost and risk.

To avoid common pitfalls . . .

- Ensure that team members complement each other in terms of expertise and points of view, and that they have a strong potential to work well with each other.
- Encourage team members to allow the facts to speak for themselves. Adopt an objective and analytical approach to the review.
- Consider to creating a larger ASD working group or committee that includes representatives of client and stakeholder groups where appropriate.
- Have the team review and understand how the project links to the Departmental Vision, Strategic and Business Plans.
- Make full use of DFO expertise and request resources from outside the Department.

Team Member Examples:

- Someone from the DFO Centre of Expertise
- A relevant delivery employee/officer/expert
- A finance officer/expert
- A contracting officer/expert
- A communications officer/expert
- External expertise, consultants
- An Information Management officer/expert
- A human resources officer/expert
- Other stakeholder representatives (clients, other sectors, departments, etc.)

Step 4: Develop the Communication Plan

Your key objective in this step is . . .

To develop a plan for communicating to employees, clients, management, central agencies or other stakeholders the intentions of, process, progress and results of the ASD review.

At the end of this step, you will have . . .

A plan that shows how your team will keep stakeholders and clients fully informed about your consideration of ASD.

Three key questions you answer during this step are . . .

1. Who are the audiences? (political, central agencies, industry, users of the service, unions, staff, lobby groups, interest groups, media)
2. What are the key messages? (the who, what, where, why, when and how of this consideration review, its possible benefits, impacts on people and strategies for lessening these impacts, how objectivity will be maintained).
3. What are the means of delivering your messages? (newsletters, business plan, E-mail, Internet, videoconferences, focus groups, training, media resources, face-to-face discussions, etc.).

To complete this step, you may want to...

Document what is known about the planned ASD review.

Consult with communication experts.

Consult with clients, stakeholders and employees on preferred methods of communication.

Give relevant stakeholders (i.e., the Minister's Office) an opportunity for input, where appropriate.

stakeholders and employees.

Determine the possible contribution of overall Departmental ASD and other strategic communication: consult the ASD Centre of Expertise.

Gauge the impacts that key messages will have on clients, stakeholders and employees.

Evaluate the advantages and disadvantages of the range of different communications tools.

To avoid common pitfalls . . .

- Start early, remembering that first impressions will be important to clients, stakeholders, and employees: be open to their early feedback and act on it.
- Ensure that you stick to your commitments – keep employees, clients and other stakeholders informed.
- Use face-to-face communication with employees as often as possible.
- If you are in doubt, communicate more rather than less, as there is never “too much” communication!
- *As required by the DFO ASD Framework, demonstrate strong commitment to the continuity of employment and demonstrate respect for the needs and concerns of employees.*

In terms of developing the alternatives, you should . . .

Carefully assess the needs and potential concerns of clients,

Step 5: Choose the Alternatives/Options

Your key objective in this step is . . .

To identify a variety of service delivery alternatives or options that merit review and analysis.

At the end of this step, you will have . . .

A concise document showing what service delivery options you chose for further review and analysis, and why.

Three key questions you answer during this step are . . .

1. What service delivery options may be attractive to program clients and stakeholders?
2. Which options will make meaningful comparison and insightful conclusions easy to develop?
3. Which service delivery options are inherently worth pursuing, because of the potential for improvement in costs, risks, flexibility, innovation, service levels and client satisfaction?

To complete this step, you may want to . . .

Identify options considered and implemented by programs similar to your own, in both Canada and overseas.

Survey initial preferences of clients and stakeholders for various options.

Obtain an overview of the abilities and interests of alternate service providers.

In terms of developing the alternatives, you should . . .

Think broadly and creatively – alternative options may be a revised version of a standard option, or a version of an existing “hybrid”.

Develop and apply a fair method for choosing options for further review.

Provide a rationale for each option included for further review.

To avoid common pitfalls . . .

- Ensure that the current delivery option is considered for further review and analysis, where this makes sense.
- Find ways to broaden or narrow the scope of the delivery options to make them more attractive to potential alternative service providers.
- Assess the degree to which an employee take-over option is worth further review and consideration.

“Classic” Service Delivery Alternatives and Hybrids:

- Enhanced Status Quo (i.e., Service Improvements)
- Process or Management Improvements (changes in governance and business structure, shared stewardship and responsibility, partnering, integrated management, collaborative arrangements, agreements, bartering, and some contracts are all forms or considerations of alternatives in service delivery)
- New Organization Structure (e.g., Special Operating Agency)
- Interdepartmental Partnering
- Separate Legislated Agency (e.g., Crown Corporation)
- External Partnering (e.g., joint delivery or participation with private sector or other governments or organizations)
- Contracting-Out (e.g., Employee Takeover/ETO; Government Owned Company Operated/GOCO; private organization)
- Constitutional transfer of responsibility for delivery to other level of government

Note, during the process recommended in Step 1, processes or activities may have also been identified for these alternatives:

- Divestiture (relinquish activity to a non-government party)
- Terminate or Abandon

Step 6: Construct the Assessment Framework

Your key objective in this step is . . .

To provide a simple, complete framework/format for assessing the feasibility of the ASD options arising from Step 5.

At the end of this step, you will have . . .

A straightforward framework/format for reviewing each of the ASD options, so that all factors and criteria are addressed systematically and all options are treated fairly.

Three key questions you answer during this step are . . .

1. In assessing the feasibility of various service delivery options, what factor impacts will you consider (i.e., departmental vision and mandate and strategies; reliability; continuity and quality of service and related client satisfaction; costs and cost recovery potential; asset ownership benefits and risks; generic interest and capabilities of categories of potential service providers; longer term market impacts; service, operational, financial and market risks; human resource impacts, legal, regulatory and public policy considerations)?
2. What criteria will you use to determine the priority and extent of the above factors: should they be assigned relative weights and can any of them be “go/no-go” factors?
3. What rating scale will you use to rate each option against the established criteria?

To complete this step, you may want to...

Get in touch with others who have already gone through an in-depth ASD review, and examine their analytical frameworks, models and formats.

Determine what factors are most in line with the departmental vision and mandate and are therefore most responsive to DFO’s evolving context for service management. Weight them

accordingly.

Survey to what extent the factors are valued by clients, stakeholders, managers, and employees. Let their feedback affect your ratings.

In terms of developing the alternatives, you should . . .

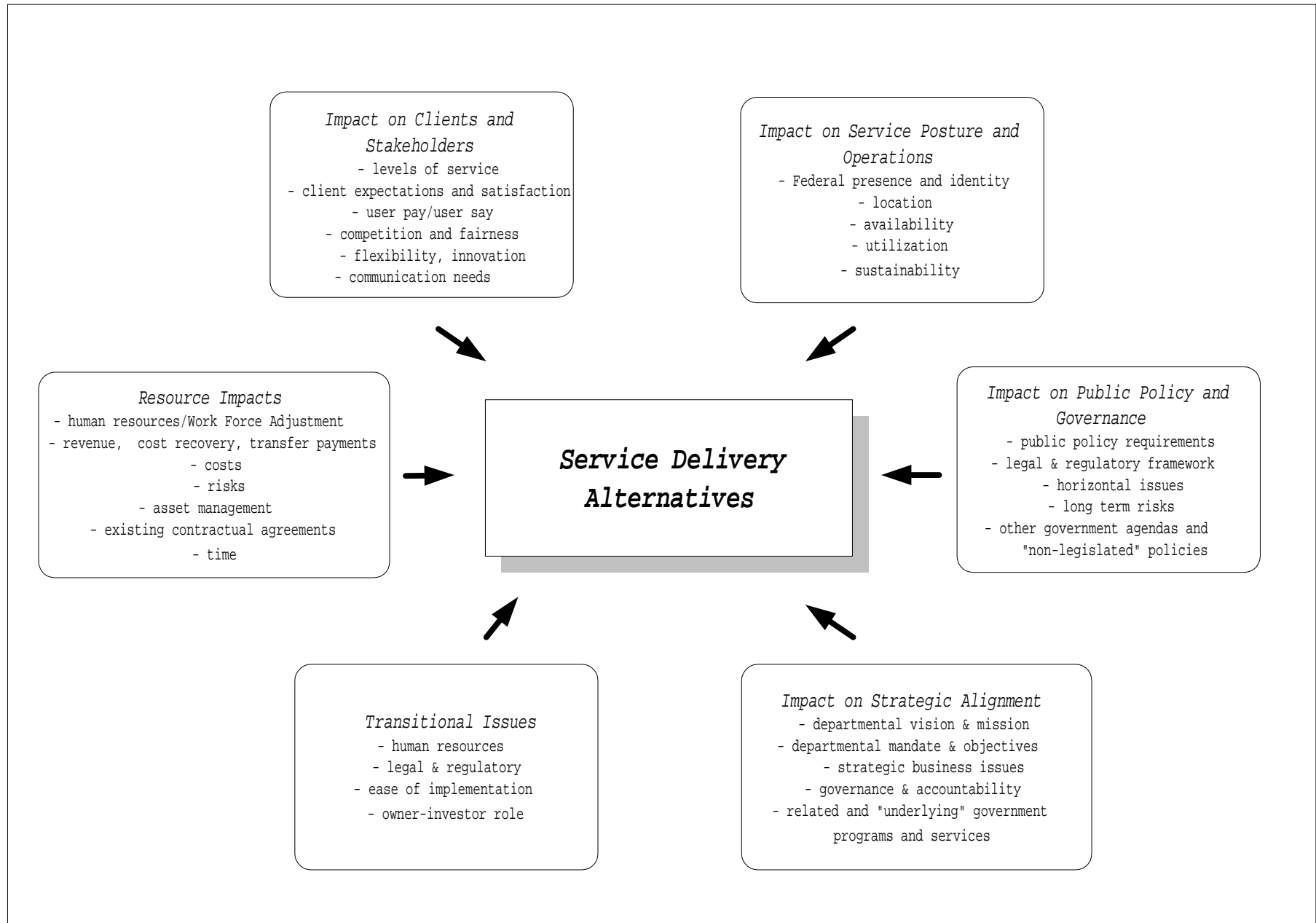
Set up a flexible analytical framework/format that can be improved and modified as new insights are obtained and as better ways of presenting the ASD analysis are developed.

Test the analytical framework for simplicity, completeness, and your ability to translate and communicate its essential information to interested parties.

To avoid common pitfalls. . .

- The framework is not “carved in stone” and can be modified.
- An appropriate balance between “qualitative” and “quantitative” factors: if appropriate data doesn’t allow a balance, consider why and add their development as a factor.
- The format allows for effective display of potentially complex information.
- Refer to the following Illustration, “Impacts to Consider before Recommending an Alternative Service Delivery Alternative”. Consider these impacts carefully and respect the possibility of the existence of others. Note and include them.

Illustration 1: Impacts to Consider before Recommending a Service Delivery Alternative



Step 7: Do the Cost Analysis

Your key objective in this step is . . .

To compare your chosen set of alternatives on the basis of revenues, costs, cost recovery and financial risks.

At the end of this step, you will have . . .

A comparison report on the alternatives based on revenue, cost and financial risk, and reliability of data.

Three key questions you answer during this step are . . .

1. Which option offers the lowest net costs to the Department and why?
2. Which option offers the lowest financial risks to the Department and why?
3. How reasonable are the assumptions that you have made (how reliable, valid, appropriate is the data you have used)?

To complete this step, you may want to...

Gather relevant revenue and cost data from a variety of sources, so that you can confirm the reliability of the data.

Examine related repair and maintenance and capital disbursements requirements, identify assets identified with the service, and develop estimates suitable for inclusion in the analysis.

Include the asset owner/investor and other management costs (overhead), but identify these cost impacts separately.

Include transition costs to any new service delivery model, but identify these cost impacts separately.

In terms of developing the alternatives, you should . . .

Be comprehensive in analyzing each of the alternatives under consideration.

Estimate those costs that are not exact and identify barriers encountered to developing improved costing analysis.

Set up a multi-year comparison and take into account the value of money over that period of time.

Use a full-costing model and take into account all costs directly and indirectly attributable to the services being provided.

To avoid common pitfalls . . .

- Ensure that you compare the alternatives as practical business alternatives. Explain areas where the results do not make conventional business sense.
- Compare the options in an objective and consistent way.
- Report results and risks in a manner that is transparent and understandable enough for clients, stakeholders, employees and management.
- Document the assumptions you have made and the sources of all input data.
- Include in your cost report the limitations of your analysis and provide a rationale for the analysis techniques you have chosen.
- Involve an unbiased costing expert to reassess or support your work.

Step 8: Do the Qualitative Comparison

Your key objective in this step is . . .

To compare your chosen alternatives on the basis of qualitative factors: strategic fit, client satisfaction, operational performance and risks, and ease of implementation.

At the end of this step, you will have . . .

A comparison of your chosen alternatives/options based on qualitative factors.

Three key questions you answer during this step are . . .

1. To what extent does each alternative fit strategically, conforming to public policy requirements and enabling better alignment with the vision, mandate and strategies of DFO and the government of Canada?
2. To what extent does each alternative achieve client satisfaction and enable the meeting of service levels and operational requirements, as well as the reduction of related performance risks?
3. To what extent can each alternative be easily implemented?

To complete this step, you may want to . . .

Deeply understand the linkages between the vision, mandate and strategies of the government and of DFO and the options being considered. Factor in the complexity of changes in accountability, regulation, policy, governance, federal identity and presence, etc.

Factor in client and stakeholder satisfaction and comfort with the options under consideration.

Lay out action plans for implementation of each of the options and factor in their ease, timeliness, cost, and risk.

Research and examine the impact of relevant DFO and government policies, legislation and obligations (e.g., the Conflict of Interest and Post-Employment Code, Access to Information Act, Privacy Act, Official Languages Act, environmental statutes, trade agreements (procurement), etc.

In terms of developing the alternatives, you should . . .

Define explicitly and weight the qualitative factors.

Rate each option objectively against the identified factors.

Consider the impact of qualitative factors on the cost analysis completed in Step 7 (the two analyses will be incorporated into a recommendation report in Step 10).

Consider the qualitative factors that may be presented by others, including all stakeholders of the existing program and stakeholders of each alternative (e.g., horizontal governance considerations that may affect other departments or related programs).

Compare and assess the meaning and implications of cumulative qualitative scores.

To avoid common pitfalls . . .

- Ensure that you compare options as practical business alternatives: explain areas where the results do not make conventional business sense.
- Ensure that politically sensitive issues are reported and addressed *separately* from business case factors.
- Consult with the ASD Centre of Expertise to determine what and where any flexibility in government policies and regulations may affect each option.
- Consult and act on the advice of experts on transition and implementation issues, *especially with respect to human resource impacts*.

Step 9: Assess Potential Service Provider Capabilities

Your key objective in this step is . . .

To compare alternatives/options on the basis of service provider capabilities, understanding that delivery options may be provided by a range of parties, including clients and private sector, the non-profit and volunteer sector, the “parapublic” and public sector, universities, etc.

At the end of this step, you will have . . .

A comparison of alternatives on the basis of the advantages and disadvantages of potential service providers.

Three key questions you answer during this step are . . .

1. For each alternative/option, what potential service providers have the interest and capability for providing required services?
2. What terms and conditions may be simplified or changed to enable service providers to operate such that they could offer better services at lower cost?
3. To what extent are more than one potential service provider available to create a reasonably competitive market?

To complete this step, you may want to . . .

Review publicly available information on possible service providers.

Invite expressions of interest from potential service providers and consult with them on their interest, capabilities and related experience, rate of return expectations and preferred terms and conditions.

Assess the experience of other departments and agencies, in Canada and elsewhere, who already receive the services of alternative service providers.

In terms of developing the alternatives, you should . . .

Identify what kind of capabilities you are looking for in alternative service providers, including size and capacity, expertise and competence of personnel, related corporate service experience, related facilities, financial depth.

Address what kinds of risk-related issues are raised by different categories of service providers.

Assess the extent to which alternative service providers are prepared to accept former departmental personnel in provision of service to the Department.

To avoid common pitfalls . . .

- Assess the ownership structures of private sector entities. Consider their benefits and consider any overlap with government mandates or operations.
- Allow agencies, organisations and groups to respond to your generic assessments.
- Consider, in the interests of fairness, an assessment of the most appropriate methods for accessing their services, such as one and two phased public tender and direct negotiation.
- Reduce the risks that current service providers unfairly benefit from the information provided by alternative service providers (this is sometimes called “reverse engineering”).
- Involve the experts in DFO Procurement Services.

Step 10: Develop a Recommendation

Your key objective in this step is . . .

To develop a well considered, transparent recommendation of a preferred service delivery option.

At the end of this step, you will have . . .

A clear, well-considered recommendation for a preferred service delivery option.

Three key questions you answer during this step are . . .

1. What is the ranking of each delivery option?
2. What are the reasons for selecting the preferred delivery option and to what extent are these reasons decisive?
3. What are the advantages and disadvantages of the preferred service delivery option?

To complete this step, you may want to...

Develop and apply an overall transparent ranking each of the delivery options in terms of financial, qualitative and market factors, as well as a combined ranking.

State succinctly the qualitative and market benefits of the preferred service delivery option.

Document the projected multi-year cost savings for the preferred service delivery option, both including and excluding conversion and owner/investor costs.

In terms of developing the recommendation, you should . . .

Identify the assumptions, input values and qualitative factors that contribute significantly to the recommendation.

Do a sensitivity analysis to determine how “robust” the preferred service delivery option is, especially compared to the next best option.

To avoid common pitfalls . . .

- Compare the advantages and disadvantages of the preferred service delivery option with the original objectives and anticipated benefits that you outlined in Steps 1 and 4.
- Ensure that the current service delivery option is considered fairly on its business case merits.

Step 11: Validate the Recommendation

Your key objective in this step is . . .

To confirm the soundness and durability of the recommendation for a preferred service delivery option.

At the end of this step, you will have . . .

A validated recommendation, with comprehensive supporting documentation.

Key questions you answer during this step are . . .

1. To what extent do clients, stakeholders and employees accept the recommendation?
2. To what extent does the recommendation reflect the basic principles of ASD?
3. To what extent is the governmental and organisational context conducive to the pursuit of this option at the present time?

To complete this step, you may want to...

Review the results and deliverables of the preceding steps, checking especially for fairness, balance, objectivity and transparency.

Review and document assumptions, input values and qualitative assessments and confirm that they remain the best available.

Search for paradigms and assumptions that are not yet documented, but that are being used, directly and indirectly, to support the recommendation.

Identify areas where data is lacking and review once again means to resolve these shortcomings.

Review the rationale for the preferred option, and ensure that it continues to be relevant and decisive.

Ensure that the reasons for selecting the preferred option are stated as clearly as possible.

Identify and address any political sensitivity concerning the preferred option.

Review the draft recommendation with clients, stakeholders and employees.

In terms of finalizing the recommendation, you should . . .

Submit the ASD review to outside parties for systematic assessment.

Invite senior managers, the Minister's Office, and appropriate Central Agencies (e.g., Treasury Board Secretariat, PCO, Department of Finance) to comment.

Develop effective responses to frequently asked questions and frequently raised concerns.

To avoid common pitfalls . . .

- Maintain an open mind to the possibility that new and better information may become available, possibly requiring a redefinition of the preferred option and a restatement of its rationale.
- Remain proactive in anticipating the questions and concerns of others.
- Address carefully the timeframe required for implementation of the preferred option.

Step 12: Seek the “Go-No Go” Decision

Your key objective in this step is . . .

To obtain the advice and approval of Senior Management to proceed or with implementation of the recommended delivery option or how to improve your recommendation/s.

At the end of this step, you will have . . .

A Record of Decision of Senior Management.

Three key questions you answer during this step are . . .

1. In making the Go/No-Go decision, did you receive advice that changes the definition and scope of your recommendations?
2. What further approvals and consultations are required prior to implementation, for example, the Minister, Treasury Board, regional MPs?
3. What mandate for implementation have you obtained?

To complete this step, you may want to...

Brief the members of Senior Management separately and address their concerns.

Present only key information to Senior Management.

Draft the implementation authority you are seeking succinctly.

Incorporate feedback from Senior Management into ongoing action-oriented documentation (Minister’s briefing, communication products, implementation plans, etc.).

Take into account discussions at Senior Management levels in anticipating issues that may arise during implementation.

To avoid common pitfalls . . .

- Focus your presentation on key findings of the review, bearing in mind that a complete briefing should be less than one hour.
- Make Senior Management members aware of the thoroughness of the ASD process that was followed and the extensive consultations that took place.
- Members or experts that are most knowledgeable of the review should be present and ready to respond to questions and take further direction.
- Recognize that decisions may require that you revisit your analysis. Use their advice or decision as an opportunity for learning and forge ahead!

Conclusion

Obtaining the Go or No-go decision concludes the 12 Steps. At this point, you may be challenged by either the implementation of a decision (“Step 13”) or challenged to revisit your analysis and the 12 Steps. You must put together Step 13’s key questions, development alternatives and predict pitfalls according to the nature of your implementation project.

If an alternative different from the status quo is approved (“It’s a go!”), be reassured you are still not alone – the DFO ASD Centre of Expertise will be there to work with you.

You will discover that implementation will present its own challenges and complexities, but by following the 12 steps, you will have done much of the preparatory work well in advance, and should be confident that the ASD:

- ☐ Is in line with the department’s vision and mandate;
- ☐ Contributes towards attaining specific departmental goals and objectives;
- ☐ Will provide quality services in a cost efficient and responsive manner;
- ☐ Will attain and maintain support from Senior Management, Officials and clients;
- ☐ Will maintain appropriate departmental control and accountability; and that it
- ☐ Will minimize any uncertainty among employees and their representatives;
- ☐ Further, your process will have upheld the departmental principles to:
- ☐ Demonstrate commitment to continuity of employment and respect for employees

- ☐ Include full and comprehensive involvement and participation of departmental staff and union representatives;
- ☐ Provide open and timely communications
- ☐ Include full and comprehensive external stakeholder consultations;
- ☐ Consistently, fairly and comprehensively assess options;
- ☐ Be innovative and creative; and
- ☐ Be transparent and open.

Your feedback on the clarity and usefulness of this Guide, and on suggestions for its improvement, is very much appreciated. Please contact the Centre of Expertise at: (613) 998-4248, or email XNCR, ASD-DMPS.