

**[Agency Name]**

**Self-Review**

***Using the Agency Capability Model***

**[Publication month & year]**

|  |  |
| --- | --- |
| **Info** | **Details** |
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**User guide – DELETE this text box when you have prepared the final version**

This template sets out a structure for an Agency Self-Review report. Agency’s participating in an Agency Capability Review should retain all headings and sections of the report. Agency’s undertaking a self-initiated Self-Review may adapt this template in any way that is helpful.

This document contains a range of prompt text. It is colored grey throughout. The prompts should help guide the drafter regarding the content required in each section. It should be read alongside the *Guide to the Agency Capability Model.*

 **Grey prompt text should be deleted when the report is finalised.**

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Self-Review Team’s Acknowledgment

Example:

As the Self-Review team for the [agency] we would like to acknowledge the thoughtful and generous input made by staff and the Senior Executive Team.

<If applicable, indicate how key conflicts of interest were managed>

# Overview of the Agency Capability Model



**1**

Senior Leadership Team’s Response to the Self-Review

# Senior Leadership Team’s Response

Introduction

Provide overall statements about the Self-Review. Why was this review commissioned? What were the aims?

Key reflections

What are the key things the team will take away from the Self-Review?

How will we take the Self-Review forward?

This should consider what actions the agency can undertake to respond to meet the challenges and opportunities identified in the future excellence horizon. If the Self-Review is part of an Agency Capability Review, it should highlight the commitment to working with the Lead Reviewers through the review process.

|  |
| --- |
| Name(s)Position(s) |

**2**

**Self-Review Future Excellence Horizon**

#### In this section:

Future Expectations

Performance challenge

Success measures

# **Future Expectations**

**What contribution will New Zealand expect from <the Agency> (Acronym) in the medium-term?**

Scope

Outline the scope of the Review. Note that the key areas of focus will be further refined at the What Matters Meeting if you are participating in an Agency Capability Review.

Key agency contributions

This section should provide a summary of the key contributions that New Zealander’s will expect from the agency in the medium term. It should focus on those that:

* fall within scope of the review,
* relate directly to the agencies core functions, and
* pose challenges for the agency.

Agency operating context

This section should cover what is the operating context now (include agency context, statutory powers, resources), and how is the operating context reasonably expected to change in the future?

Future outcomes

This section should describe what New Zealanders will expect in terms of outcomes in the future. These outcomes should be framed generally e.g. improve housing affordability. The next section will then articulate what the expectation will be on the agency to contribute towards that outcome in the future.

Future agency contributions

In light of the outcomes highlighted in the section above, what contribution will New Zealanders expect from the agency in the future? These expectations can be thought of as the inputs that the agency will have to contribute towards achieving the outcome. What is the link between these expectations to current expectations – do they grow, or change, or are they completely new expectations? Examples of expectations include expectations concerning:

* the quality and quantity of services delivered,
* the way its engages with stakeholders, end-users, and the wider system.

# **Performance challenge**

**What is <Acronym> performance challenge to deliver the contribution New Zealand expects in the medium-term?**

We recommend coming back to this section after the analysis has been conducted across the different elements of the Model.

Introduction

This section provides for overall comments about the review findings and the review process. What groups were interviewed? What information was drawn on to define the performance challenge? What was the focus?

Key findings or recommendations

This is a summary of the most important changes that would help the agency deliver on its future expectations. Try limit this to a focused number – around five is recommended.

In describing the value of the actions, they should refer back to the future expectations. For example, “implementing greater data management capabilities will ensure we are positioned to deliver more of Y services which we expect will be in even greater demand over the next five years.”

Positioning <acronym> for the future

With reference to the key expectations defined in the previous section, provide an assessment of how ready the agency’s capabilities and capacities are to deliver on these expectations. This section should draw on findings from across the Delivery and Capability sections of the Model. It may be helpful to introduce sub-headings structured around the key findings or recommendations above.

This section should be able to answer the following questions:

* What are the capabilities and capacities the agency needs to deliver on future expectations?
* Under current conditions, will the agency be able to deliver on these future expectations?
* What are the recommended changes in order for the agency to meet these expectations?
* How can these changes be implemented successfully?

What will success look like?

**How will we know that <agency acronym> has successfully achieved its future excellence horizon?**

This should be a short summary (2 pages max) on the measures of success. Ideally the section is framed around an overarching aspirational statement, with a range of sub-points which are expanded further in the body of this text. These can reference an agency’s existing success measures. A simple example is provided below:

We will know that Agency X has achieved its future excellence horizon if it becomes a leading regulator that is trusted by its customers and clients. We will know we have achieved this if:

* We can successfully partner with X community group(s)
* Other system partners look to Agency X for advice and input
* We meet our output measures in [corporate document]

Each bullet point creates a subheading which is expanded on below.

**3**

Strengths and Opportunities

#### In this section:

Capability Ratings overview

Strengths and opportunities

# Capability Ratings Overview

The Future Excellence Horizon outlines the <Agency>’s performance challenge. These ratings indicate the agency’s current preparedness to meet that future challenge.

Delivery

|  |  |
| --- | --- |
| **Element** | **Rating** |
| Overall ability to respond to Government priorities |  |
| System stewardship responsibilities |  |
| Advice and services to Ministers |  |
| **Core functions** | **Rating** |
|  | *Value and impact to New Zealanders* | *Increased value and impact over time* |
| Core function 1  |  |  |
| Core function 2 |  |  |
| … |  |  |

Capability

|  |  |
| --- | --- |
| **Capability area** | **Rating** |
| **Leadership, Culture, and Direction** |  |
| Purpose, vision, and strategy |  |
| Leadership and governance |  |
| Values, behaviour and culture |  |
| Continuous improvement |  |
| **Collaboration and Delivery** |  |
| Customers, clients, and citizens |  |
| Māori–Crown Relationship |  |
| Operating model |  |
| Partnerships and engagement |  |
| **Workforce** |  |
| Workforce development |  |
| Performance focus |  |
| Workforce engagement |  |
| **Public finance and resource management** |  |
| Investment and asset management |  |
| Data and technology |  |
| Public finance |  |
| Risk and assurance |  |

Rating scale

This report uses the scale below to rate agency capability. For more information on this rating system, see **Appendix Three**.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| A green square with white lines  Description automatically generated with medium confidence | A picture containing line, colorfulness, circle, white  Description automatically generated | A picture containing line, circle, colorfulness, yellow  Description automatically generated | A picture containing red, colorfulness, line, screenshot  Description automatically generated | A blue square with black border  Description automatically generated with low confidence |
| Leading | Embedding | Developing | Weak | Unable to rate/not rated |

COPY PASTE THESE IMAGES INTO THE RATING TABLES BELOW

# Delivery

These questions focus on [agency’s] ability to use its capability to deliver on Government priorities and core functions (including system stewardship and advice and services to Ministers).

How does the agency respond to Government Priorities?

#### Rating:

Assign a rating and then describe what observations and evidence was used to go into the rating.

#### Future focus:

Highlight key points in respect to this area. This can be both challenges or opportunities in the future.

How does the agency meet its system stewardship responsibilities (including regulatory stewardship)?

#### Rating:

Assign a rating and then describe what observations and evidence was used to go into the rating.

#### Future focus:

Highlight key points in respect to this area. This can be both challenges or opportunities in the future.

### How does the agency provide advice and services to Ministers?

#### Rating:

Assign a rating and then describe what observations and evidence was used to go into the rating.

#### Future focus:

Highlight key points for that agency in respect to this area. This can be both challenges or opportunities in the future.

### Core function 1

#### Rating (value and positive impact to NZ):

#### Rating (increased value and impact over time):

Describe what observations and evidence was used to go into the two ratings.

#### Future focus:

Highlight key points for that agency in respect to this area. This can be both challenges or opportunities in the future.

### Core function 2

#### Rating (value and positive impact to NZ):

#### Rating (increased value and impact over time):

Describe what observations and evidence was used to go into the two ratings.

#### Future focus:

Highlight key points for that agency in respect to this area. This can be both challenges or opportunities in the future.

### Core function 3

#### Rating (value to NZ):

#### Rating (increased value and impact over time):

Describe what observations and evidence was used to go into the ratings.

#### Future focus:

Highlight key points for that agency in respect to this area. This can be both challenges or opportunities in the future.

# Capability

These questions focus on the <Agency’s> capability, and whether its capability is positioned to support its success in the future, based on that described in the Future Excellence Horizon.

## Leadership, Culture, and Direction

|  | ****Rating**** |
| --- | --- |
| Purpose, vision, and strategy1. What is the agency’s capability to develop and articulate a relevant and aligned purpose, vision, and strategy to staff and stakeholders?
2. What is the agency’s capability to consider and plan for possible changes in its purpose or role in the foreseeable future?
 |  |
| Leadership and governance1. What is the agency’s capability to exercise relevant system and sector leadership roles?
2. What is the agency’s capability to implement and adapt governance arrangements to support effective organisational performance and delivery?
3. What is the capability of the agency’s senior leadership team to provide collective leadership and direction and to implement change?
 |  |
| Values, behaviour, and culture1. What is the agency’s capability to develop and promote the Public Service and organisational behaviours, values and culture needed for the agency to succeed?
 |  |
| Continuous improvement 1. What is the agency’s capability to encourage, use, and learn from evaluative activity?
2. What is the agency’s capability to report, monitor and use performance information?
 |  |

### Future focus for: Leadership, Culture, and Direction

Provide overall reflections about Leadership, Culture, and Direction. It should draw on the details and assessments contained under each of the element headings below. Focus on challenges or themes that cut across all the elements.

Try to summarise the key future focuses that the agency needs to focus on to overcome its challenges or seize on opportunities.

#### Purpose, vision, and strategy

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### Leadership and governance

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### Values, behaviour, and culture

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### Continuous improvement

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

## Collaboration and delivery

|  | **Rating** |
| --- | --- |
| Customers, clients, and citizens1. What is the agency’s capability to understand customers, clients and citizens’ medium and long-term needs, and using these to innovate and drive better experiences?
2. What is the agency’s capability to employ service design, continuous improvement and innovation in developing its services?
3. What is the agency’s capability to be open, transparent, and accessible in actively engaging with stakeholders and citizens?
 |  |
| Māori-Crown Relationship1. What is the agency’s capability to develop and maintain its engagement with Māori and to understand and incorporate Māori perspectives?
 |  |
| Operating model1. What is the agency’s capability to develop and adapt an operating model to support delivery of Government priorities and its core functions?
2. What is the agency’s capability to evaluate service delivery options?
 |  |
| Partnerships and external engagement1. What is the agency’s capability to contribute to the success of the agency’s wider operating system(s), including collaborating with partners and providers?
2. What is the agency’s capability to manage its context with external stakeholders and the public?
 |  |

### Future focus for: Collaboration and delivery

Provide overall reflections about Collaboration and delivery. It should draw on the details and assessments contained under each of the element headings below. Focus on challenges or themes that cut across all the elements.

Try to summarise the key future focuses that the agency needs to focus on to overcome its challenges or seize on opportunities.

#### Customers, clients, and citizens

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Māori-Crown Relationship****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Operating model****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### Partnerships and external engagements

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

## Workforce

|  | **Rating** |
| --- | --- |
| ****Workforce development****1. What is the capability of the agency to develop its people (including its diversity and leadership)?
2. What is the agency’s capability to anticipate and respond to future capacity and capability, and how are they organised to meet demand?
 |  |
| ****Performance focus****1. What is the agency’s capability to promote and develop a high performing workforce?
2. What is the agency’s capability to manage or improve performance that is not meeting expectations?
 |  |
| ****Workforce engagement**** 1. What is the agency’s capability to maintain positive and effective relationships with its employees, employee networks, and unions and other groups?
2. What is the agency’s capability to develop and maintain a safe, inclusive, and engaged culture and workforce?
 |  |

### Future focus for: Workforce

Provide overall reflections about Workforce. It should draw on the details and assessments contained under each of the element headings below. Focus on challenges or themes that cut across all the elements.

Try to summarise the key future focuses that the agency needs to focus on to overcome its challenges or seize on opportunities.

#### ****Workforce development****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Performance focus****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Workforce engagement****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

## ****Public finance and resource management****

|  | ****Rating**** |
| --- | --- |
| Investment and asset management1. What is the agency’s capability to manage investment and assets to support service delivery and drive performance improvement?
 |  |
| Data and technology 1. What is the agency’s capability to manage and use information as a strategic asset?
2. What is the agency’s capability to leverage technology to drive improvements in service delivery and outcomes?
 |  |
| Public finance management1. What is the agency’s capability to understand, plan, direct and control financial resources to ensure sustainable value-for-money?
 |  |
| Risk and assurance1. What is the agency’s capability to identify and manage agency, Crown and system-wide risk?
2. What is the agency’s capability to provide assurance that organisational risks are effectively managed and internal control environment improvements are appropriately prioritised?
 |  |

### Future focus for: Public finance and resource management

Provide overall reflections about public finance and resource management. It should draw on the details and assessments contained under each of the element headings below. Focus on challenges or themes that cut across all the elements.

Try to summarise the key future focuses that the agency needs to focus on to overcome its challenges or seize on opportunities.

#### ****Investment and asset management****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Data and technology****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Public finance management****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

#### ****Risk and assurance****

Provide the rationale for the rating provided in response to the key questions under this element. This should include the evidence and observations which justify the rating. Identify specific challenges and opportunities and insights about how to lift this capability.

# Appendix One – About [AGENCY NAME]

*This provides an overview of the agency’s operations and key functions, as background information.*

Appendix Two - Agency Capability Model Overview





Appendix Three – Capability Ratings

Ratings help to clarify relative strengths and highlight the priority areas on which to focus, given the challenges, risks, and opportunities in the medium term. Ratings are applied in terms of the future the agency is preparing for (the Future Excellence Horizon) and are not an assessment of current or past performance.

|  |  |
| --- | --- |
| **Indicator Level** | **What it indicates**  |
| A green square with white lines  Description automatically generated with medium confidenceA green sign with white text  Description automatically generated with medium confidence | * Excellent current level of capability to support sustained and high levels of delivery
* Strategic and systematic approach to forecasting future capability challenges and responding accordingly
* Systems in place to monitor and build capability to meet future demands
* Organisational learning and external benchmarking used to continuously evaluate and improve
* Strong change management capability to deliver against Future Excellence Horizon.
 |
| A picture containing line, colorfulness, circle, white  Description automatically generated**A green rectangle with white text  Description automatically generated with medium confidence** | * Comprehensive and consistently good current capability and practices, with future capability gaps identified
* Demonstrates plans and activities to change and improve in areas of current and future capability gaps, and is well placed to continue improving
* Mostly aligned to Future Excellence Horizon
* Comprehensive and consistently good organisational practices and systems in place to support effective management.
 |
| A picture containing line, circle, colorfulness, yellow  Description automatically generatedA picture containing font, screenshot, yellow, logo  Description automatically generated | * Weakness or gaps in current capability
* Only partial or limited understanding of future state
* Concerns in the agency’s ability to have appropriate future capability and limited ability to execute change against the future state
* Some current and future capability gaps not clearly identified and forecasting of future capability challenges needs to be improve.
 |
| A picture containing red, colorfulness, line, screenshot  Description automatically generated **A red sign with white text  Description automatically generated with medium confidence** | * Significant area(s) of critical weakness or concern in terms of delivery and/or capability and the agency has limited or no awareness of them
* Weakness or gaps in current capability
* Very limited or no view of future opportunities and challenges for the agencies
* Strategies or plans to respond to areas of weakness are either not in place or not likely to have sufficient impact.
 |
| A blue square with black border  Description automatically generated with low confidence | * No evidence available to make a credible judgement.
 |