Natural Resources Canada

Guide to Good Management 1998
An Evolving Approach

Contents

INTRODUCTION

The NRCan Guide to Good Management 1998 has been written to provide a practical tool to help the department improve its performance over time. The guide defines what NRCan considers to be exemplary practices in all areas of management. It is a compendium of best practices, integrating the experience of many public and private sector organizations from around the world with research in the fields of client satisfaction, leadership and employee motivation. The guide borrows heavily from concepts and principles contained within *A Framework for Effective Public Service Organizations*, published jointly by the National Quality Institute (NQI) and the Treasury Board Secretariat (TBS) in November 1997. Ideas are also gleaned from other documents such as the *Report of the Independent Review Panel on Modernization of Comptrollership in the Government of Canada*, released in October 1997.

> **The guide adapts models used for years across North America specifically for NRCan use (see details in Annex D). This first edition is a tool for pilot use; as experience with implementing it evolves, it may be further refined.**

Many blueprints for good management are available in the world today and many support award programs. In the United States, there is the Malcolm Baldrige Award; in Europe, there is the European Quality Model; and in Canada, there is the *NQI Canada Awards for Excellence Quality Criteria.* While these blueprints for good management have different organizational structures, the principles and concepts on which they are based are remarkably similar. Note that a part of Annex D examines the alignment of the *NRCan Guide to Good Management* with the *NQI/TBS Framework (1997)* based on the *Canada Awards for Excellence Quality Criteria.* Thus, even though NRCan has developed its own unique management model, this approach is consistent with other blueprints used throughout the world.

Looking within the department, many of the principles, concepts and practices described in the guide can be found in existing departmental or sectoral models, frameworks and initiatives. This guide helps integrate these other management tools and initiatives, and ensures that:

- the department has a sound management system in place and has identified practices and processes necessary to deliver good value for the resources entrusted to it;

- a strategic, over-arching structure is in place facilitating the integration of more focused frameworks and management initiatives such as the *Science and Technology Management Framework* and the three-year quality strategy *(Quality 2000);*

- employees and managers understand the management principles, practices, processes and structures necessary for successful performance; and

- managers can assess their organizational performance based on established criteria for good management.

This guide is not overly prescriptive in that it suggests principles and practices of good management in a generic sense. For example, it suggests that organizations gather, analyze and evaluate information to determine the needs of clients but does not prescribe the method by which this information is to be obtained. Organizations can decide the most appropriate way to gather the necessary information, be it through client surveys, focus groups or more informal processes. In a sense, the guide acts as a checklist for good management.

It should also be noted that the guide is intended to be flexible enough to accommodate the unique character of different organizations. Although it was designed for use at the departmental level, it is recognized that sub-organizations within NRCan can customize it to reflect their unique environments. Notwithstanding any amount of customization, the underlying principles forming the bedrock on which the guide is built will remain constant across organizations. Within the context of NRCan, the bedrock on which the guide is built is the *NRCan Operating Principles,* which were developed by an inter-sectoral working group and approved by DMC in the summer of 1997. These operating principles, which define NRCan's business standards, beliefs and values, can be found on pages four and five of the guide.

> **The guide is a tool to assist managers and organizational units to identify gaps in processes and set their priorities for improvement.**

Finally, while the various elements of the guide define good management practices, a methodology is needed to allow organizations to determine their respective strengths and challenges, and to construct an appropriate improvement plan that responds to those challenges. The self-assessment section of the guide (page 26) is intended to provide managers with an overview of a process that many organizations have used to assist in the development of improvement plans.

A related publication is the *NRCan Good Management Workbook,* which is a practical tool designed for assessment of an organization's strengths and existing challenges. These publications may be obtained from the Departmental Excellence Office (Telephone: (613) 996-6531) or may be accessed at the Excellence Website: http://www.nrcan.gc.ca/dmo/spcb/excellence/excell_b.html.

NRCan OPERATING PRINCIPLES

NRCan's Operating Principles are considered to be the pillars on which the guide is built. They represent an integral part of the department's culture. It should be noted that NRCan's Operating Principles are aligned with the *National Quality Institute Quality Principles* which are presented in Annex C.

Respect, honesty, equity, fairness and integrity are the basis of our relationship with Canadian citizens, our clients and each other.

NRCan's Operating Principles define the business standards, beliefs and values of our organization and state what we are striving to achieve. We value the commitment and dedication of the people who form our organization.

NRCan OPERATING PRINCIPLES

Strong Leadership Is Essential
We value leadership that provides a vision of the future and creates an environment of trust and respect. By example and involvement, leadership demonstrates a clear sense of direction, fosters teamwork, is accountable, motivates, and supports our organization in reaching its objectives.

People Are Our Principal Strength
We work in a challenging and healthy environment that enables us to achieve our work goals and reach our full potential. We have the tools and opportunities to acquire the skills and expertise to perform our jobs, are encouraged to be innovative, and are recognized for our achievements.

Effective Planning Helps Us To Improve
We believe that planning for improvement is key to our ability to manage effectively and to measure the performance and impact of our activities. Through continuous learning and improvement, measurement and evaluation, we deliver efficient and relevant programs that support government priorities and objectives, and meet the needs of our clients and stakeholders.

Creativity and Innovation Are Key To Our Future
We value and support creativity and innovation in the development of leading-edge science and technology, policies and programs, better internal practices and improved service delivery. Creative thinking and innovative solutions can help us meet the challenges we face.

The Canadian Public Interest Is Paramount
We help our Minister, under Law and the Constitution, to serve the public good and enhance the economic, social and environmental well-being of Canada.

Quality Service To Clients Is Our Standard
We incorporate a strong client focus in all our activities by consulting with our clients and stakeholders to ensure that we understand their needs and expectations and that our programs are relevant and useful. In delivering the best value for funds entrusted to us, we strive to seek excellence in our products and services.

Effective Communication Is a Shared Responsibility
We create an environment and provide the means for open, honest and transparent communication that encourages the sharing of timely information throughout our organization and with clients and stakeholders. Collectively and individually, we demonstrate our value and contribution to Canadian society.

Cooperation Is The Foundation of Our Success
We believe cooperation to be the foundation for meeting the challenges of the future. Through partnerships, teamwork and strategic alliances, we work together towards common goals both within and outside the organization.

ELEMENTS OF THE NRCAN GUIDE TO GOOD MANAGEMENT

NRCan's guide has seven major sections, which parallel the *NQI/TBS Framework for Effective Public Service Organizations:* leadership; planning; client/stakeholder focus; people focus; process management; supplier and partner focus; and organizational performance. The various elements within each section are not stand alones but are interlinked on many levels. Many elements provide outputs that are essential inputs to others. Each element provides feedback to do such things as adjust strategic thinking or improve operational planning. Definitions of terms used are contained in a Glossary of Terms (page 28). Annex A provides a graphic illustration of the elements and sub-elements comprising the guide. Annex B contains a table showing model components, activities, responsibilities and outputs. Annex C illustrates the relationships between the *NRCan Operating Principles,* the *National Quality Institute Quality Principles,* and the *Science and Technology Management Framework Guiding Principles.* Annex D provides an illustration of the linkages of the guide to other management frameworks and initiatives. Annex E offers a list of resources that will provide additional information on the principles and practices contained within the guide.

> **The elements of the NRCan Management Framework are:**
>
> ➤ **leadership,**
>
> ➤ **planning,**
>
> ➤ **client/stakeholder focus,**
>
> ➤ **people focus,**
>
> ➤ **process management,**
>
> ➤ **supplier and partner focus,**
>
> ➤ **organizational performance.**

1.0

LEADERSHIP

This section focuses on those who have responsibility and accountability for NRCan's performance, as well as those officers involved in strategic planning. Good leadership is founded on the ethics and values that are reflected in our operating principles.

At NRCan, the responsibility for this section is shared between the line sectors and the corporate organizations.

> The guide is consistent with implementing La Relève, a renewal initiative focused on leadership, planning and improving the management of people, and rebuilding the public service.
>
> In particular, elements 1; 2; and 4; namely Leadership, Planning and People Focus, relate to La Relève.

1.1 Strategic Direction

a. Vision and mission statements are in place and have been communicated to all levels in the department.

b. Strategic planning incorporates ambitious goals necessary to achieve the vision and mission, and these goals are communicated to all levels in the department.

c. Implementation of strategic planning is monitored and reviewed.

d. The significant internal and external challenges and opportunities faced by the department in the attainment of its goals are clearly identified.

e. Strategic direction, business lines, priorities and notional resource allocations are communicated to sector managers and operational planners.

f. NRCan's departmental goals are aligned with government and ministerial priorities and the department's strategic direction.

1.2 Leadership Involvement

a. NRCan's senior management demonstrates a commitment to quality improvement.

b. NRCan's senior management works together to reduce barriers between functions and promotes teamwork and open communications.

c. Responsibility, accountability and leadership for improvement are shared throughout the organization.

d. Rewards and recognition for senior management are linked to NRCan's operating principles.

e. Responsibility to society in general is considered in the department's decision-making processes.

f. Ideas and best practices on quality improvement are shared within the department and with external organizations.

g. NRCan managers have adopted the principles of modern comptrollership.

1.3 Results of Leadership Actions

a. Indicators reflect our managers' effectiveness in setting strategic direction and demonstrating leadership modelling in a manner consistent with NRCan operating principles.

b. Indicators confirm a good level of understanding, at all levels of the organization, of its mission, vision and strategic direction.

c. Senior management reinforces NRCan's operating principles and is directly involved in improvement initiatives.

d. Leadership on improving quality is shared throughout the department.

e. Senior management shares ideas and quality practices internally and with other public service organizations.

1.4 Continuous Improvement

a. NRCan evaluates and works at improving its approach to leadership.

2.0

PLANNING

The planning section extends strategic direction, goals, priorities and business lines to a more detailed level. This includes descriptions of departmental goals, business lines, intended results and resource requirements as well as who is responsible for delivery. It addresses NRCan's internal culture, structure, operations that respond to both short- and long-term priorities, direction, and the needs of its client/stakeholder base.

This section examines the link between NRCan's planning and reporting process and the department's strategic direction. Finally, it looks at how the organization arranges and plans to use its resources to meet its goals.

Relevant departmental planning documents are described in the publication *A Guide to Planning at NRCan,* published by the Strategic Planning and Co-ordination Branch and available on NRCan's home page. Relevant departmental planning documents described in the guide include the *NRCan Business Plan* as well as various sector business plans. Certain documents produced to meet external requirements also use the results of the leadership and planning elements. These documents include the *Report on Plans and Priorities,* the *Annual Reference Level Update,* and the *Planning, Reporting and Accountability Structure. A Guide to Planning at NRCan* demonstrates the links between these documents and preparation dates over the fiscal year.

2.1 Linkages and Alignment

a. Management processes are in place to balance constraints, demands and choices to deliver good value for the resources entrusted to NRCan.

b. Key success factors and priorities have been determined and are linked to strategic direction.

c. The programs, products and services provided by the department are consistent with its strategic direction and vision.

d. NRCan's departmental and sectoral planning and reporting cycles are aligned.

e. A formal process is in place to review and update departmental goals and business lines. Changes are communicated to all employees.

2.2 Development and Content of Plans

a. Priorities and resources required to carry out plans are clearly identified and communicated.

b. Accountability for resources allocated and results required is clearly assigned, understood and agreed upon.

c. Factors are identified that impact on the success or risk associated with the implementation of plans.

d. A quality improvement process is in place and being used. This includes quality plans, improvement goals, quality performance indicators and a communications and monitoring strategy.

2.3 Results of Actions Through Planning

a. Indicators are in place and demonstrate that a high degree of under-standing exists throughout NRCan of the priorities and goals established in plans.

b. Indicators reflect the effective implementation of plans throughout the department.

c. Indicators show that effective priority-setting and resource allocation (HR, financial, etc.) mechanisms are in use at both the departmental and sectoral levels.

d. Indicators demonstrate that planning processes relating to finance, information management, facilities and HR are integrated with strategic planning and day-to-day management activities.

2.4 Continuous Improvement

a. NRCan evaluates, refines and works at improving its planning processes.

3.0

CLIENT/STAKEHOLDER FOCUS

This section examines NRCan's focus on product and service delivery as it relates to achieving client and stakeholder satisfaction. The concept of client and stakeholder satisfaction, as used in this guide, applies equally to internal and external clients and stakeholders. NRCan is responsible, in the area of natural resources, for such matters as international trade and investment, science and technology (S&T), aboriginal affairs, federal lands, national statistics and environmental issues. The department is directly accountable for its performance through its Minister to Parliament and indirectly accountable to all its clients/stakeholders, including the citizens of Canada.

3.1 Voice of the Client/Stakeholder

a. NRCan's clients/stakeholders and client groups have been defined.

b. Information is gathered, analyzed and evaluated to determine client/stakeholder needs, including evaluation of potential partnering or third-party service delivery arrangements.

c. Information on future needs of current and potential clients is gathered and used.

3.2 Management of Client/Stakeholder Relationships

a. There is consensus, throughout the organization, on the importance of meeting documented service standards and of achieving client/stakeholder satisfaction.

b. Methods and processes are in place that make it easy for clients/stakeholders to complain and/or provide input on their needs and to seek assistance.

c. NRCan responds to client/stakeholder inquiries and complaints promptly and effectively.

d. NRCan has achieved a good level of client/stakeholder confidence in its products and services.

3.3 Measurement of Client/Stakeholder Satisfaction

a. NRCan measures client/stakeholder satisfaction to gain information for improvement.

3.4 Results of Actions on Client/Stakeholder Focus

a. Positive levels of, and trends in, performance are noted in dealing with client/stakeholder inquiries and complaints compared to established product and service delivery standards.

b. Positive levels of, and trends in, client/stakeholder appeals and, where applicable, product-related areas such as refunds, repairs and replacements, are noted.

3.5 Continuous Improvement

a. NRCan evaluates and works at improving its approach to its client/stakeholder focus.

4.0

PEOPLE FOCUS

This section examines the extent to which NRCan focuses on achieving excellence through the management and development of its human resources. The human resource planning process is examined, along with NRCan's efforts to foster and support an environment that empowers people and encourages them to reach their full potential.

People are the principal strength of any organization, and its success is directly related to how it develops its human resources. Treating people in the organization with respect and trust, recognizing their efforts and providing them with the opportunity to make decisions, contribute ideas or speak out on issues of concern without fear of retribution are of paramount importance.

4.1 Human Resource Planning

a. Human resource planning supports NRCan's vision, mission and strategic direction.

b. Policies and practices are in place to recruit, select, develop and manage the performance of people. This includes such things as establishing core organizational competencies and employment equity targets, managing performance and establishing recognition mechanisms.

c. Processes are in place to manage change.

4.2 Participatory Environment

a. NRCan ensures that people in the department, at all levels, understand the department's strategic direction and goals and that they are committed to achieving them.

b. People are involved in improvement initiatives.

c. Suggestions and ideas are encouraged and implemented.

d. People are empowered to innovate and take risks in order to achieve goals.

e. NRCan involves its people in addressing issues related to well-being, such as employee counselling and support, health, safety, environmental concerns and balancing family and work life.

f. NRCan actively works with unions to improve the well-being of its employees.

g. Barriers that prevent employees from doing their best work are identified and removed.

h. Employees are encouraged to participate in community activities.

4.3 Continuous Learning

a. NRCan determines learning needs to meet organizational goals, and responds to these needs.

b. NRCan evaluates the effectiveness of learning programs.

c. NRCan encourages its people to expand their individual skills through training or departmental/inter-departmental assignments.

4.4 Employee Satisfaction

a. NRCan measures employee satisfaction with its management practices at all levels, and links the feedback to future improvement opportunities.

b. NRCan identifies and celebrates the contribution of its employees and links recognition to the department's operating principles and the attainment of NRCan's goals.

4.5 Results of Actions from a Focus on People

a. Indicators that demonstrate the effectiveness of learning are in place.

b. Indicators of the level of employee involvement in improvement activities that link directly to the goals of the organization exist and are positive.

c. Positive indicators exist of employee awareness of and involvement in addressing issues related to well-being, such as employee counselling and support, health, safety, environmental concerns and balancing family and work life.

d. Positive levels of, and trends in, employee suggestions and ideas submitted and implemented are noted.

e. Positive levels of, and trends in, employee recognition are noted.

f. Positive levels of, and trends in, employee turnover rates, absenteeism and grievances are noted.

4.6 Continuous Improvement

a. NRCan evaluates and works on improving its focus on people.

5.0

PROCESS MANAGEMENT

Process management focuses on how work is organized to support NRCan's strategic direction. This section focuses particularly on key processes; those that are critical for success and have a major impact on meeting client/stakeholder needs. It focuses on the processes necessary to manage the delivery of the department's programs, products and services such as research and development, policy and regulatory development, economic and statistical analysis, trade promotion and market access, negotiations, communications, frontier lands management, northern logistics support, and surveying, mapping and remote sensing.

Processes are defined as value-adding transformations involving people and other resources such as materials and information. Processes may be of two basic types: service-related or product-related. Service-related processes include data and information and the expertise to arrange and transform them into products of value for NRCan's clients and stakeholders. Product-related processes include the raw materials and expertise from various functions used to produce a product. Other factors include customer requirements, measurement data, team effectiveness, levels of individual knowledge and skills, leadership and training and development.

5.1 Defining Process

a. Key processes for delivering products and/or services that meet client and stakeholder needs are designed and documented. Examples include:

- • Processes to manage S&T activities, policy and regulatory reviews and public consultations;

- • Processes to manage development and maintenance of policy relating to finance, human resources, information management and facilities;

- • Processes to establish and maintain departmental and sectoral committee structures, performance measures, and standards of service;

- • Identification of standard data collection requirements for decision-making and accountability reporting;

- • Identification of reports required for internal decision-making; and

- • Relevant project management systems and reporting mechanisms for managers.

5.2 Process Control

a. Key processes are monitored to ensure consistency in services and/or products provided.

b. Problems are analyzed, root causes identified and actions taken to prevent recurrence.

5.3 Process Improvement

a. Key processes are analyzed to determine opportunities for continuous improvement through incremental refinement and/or fundamental redesign.

b. Process improvements are implemented and monitored and all changes are documented to ensure consistency in service delivery and/or products provided.

c. Clients, suppliers and partners are consulted for their input into NRCan's continuous improvement activities.

d. Key processes and results are compared to best practices in other organizations to identify opportunities and ideas for improvement.

5.4 Results of Actions in Process Management

a. Indicators are in place demonstrating the effectiveness of the design process for new products and services.

b. Positive levels of, and trends in, process capability for key service delivery and/or production processes are noted.

5.5 Continuous Improvement

a. NRCan evaluates and works on improving its approach to process management.

6.0

SUPPLIER and PARTNER FOCUS

This section examines NRCan's external relationships with other organizations, institutions and/or alliances that are critical to meeting its goals and objectives.

6.1 Selection and Relationships

a. NRCan selects capable suppliers/partners through the use of appropriate information and criteria.

b. The department establishes co-operative working relationships with key suppliers/partners and encourages innovation to ensure and improve the quality of its services and products.

c. NRCan shares information with its key suppliers/partners to help them improve.

d. The department involves its key suppliers/partners in the development of new products and services.

e. Supplier and partner satisfaction is measured and action is taken to correct problems.

f. Mechanisms are in place and used to promptly respond to suppliers'/partners' queries and complaints.

6.2 Results of Actions in Supplier and Partner Focus

a. Suppliers/partners meet the department's service delivery requirements.

b. Levels of, and trends in, the quality and value of the products and/or services provided by suppliers are improving.

c. The extent of involvement of suppliers/partners in new product and service planning and development is appropriate.

6.3 Continuous Improvement

a. NRCan evaluates and works on improving its focus on suppliers and partners.

7.0

ORGANIZATIONAL PERFORMANCE

This section examines ongoing internal operations to determine whether intended results are being achieved within allocated resources and whether or not corrective action is taken when needed. Performance measures in this area may be both financial and non-financial and are closely linked to key departmental processes.

Relevant information from this section is used to develop inputs for external reporting requirements including *NRCan's Performance Report to Parliament,* input to the *President's Report to Parliament,* Committee of Senior Officials (COSO) reports, annual and other reports to Parliament and government advisory committees.

7.1 Service/Product Quality and Delivery

a. Positive levels of, and trends in, the quality of services and/or products provided exist.

b. Positive levels of, and trends in, the delivery of products and/or services provided exist.

c. Best practices are identified and communicated across the department.

d. Credible and timely information is reported to clients/stakeholders, including departmental management, central agencies and Parliament, on results achieved and lessons learned.

e. Positive trends occur in the uptake of NRCan-supported knowledge, technologies and practices.

f. There is evidence of public awareness of the importance and relevance of NRCan's S&T.

g. There are positive trends in the number of recipients and dollar value of grants and scholarships for natural resources S&T.

7.2 Organizational Results

a. Positive levels of, and trends in, overall program outcomes are measured; that is, the actual achievements are tracked and measured against results expected in the context of service standards, performance measures, targets and resources utilized. Reports on results are widely circulated within the department.

b. Recommendations from audits, evaluations and other studies of NRCan management and operations are responded to by managers.

c. Expected results are identified and measurable performance indicators and targets (department and sector levels) have been developed, communicated, understood and agreed upon.

d. Information needed to monitor performance and to make go/no go decisions is available when required.

e. NRCan monitors completion of accountability accords, work plans and upward feedback action plans; conducts mid-year and year-end performance reviews and makes adjustments as necessary; and communicates the results to managers and employees.

f. Positive levels of, and trends in, funding and in-kind support leveraged by NRCan from shared S&T are demonstrated.

g. Progress towards the implementation of the NRCan S&T Management Framework is measured.

h. Positive levels of, and trends in, scores on the *National Quality Institute/Treasury Board Secretariat Quality Fitness Test* are noted.

7.3 Client/Stakeholder Satisfaction

a. Positive levels of, and trends in, client/stakeholder confidence and satisfaction are noted.

b. Positive levels of, and trends in, client reach are noted.

7.4 Employee Satisfaction

a. Positive levels of, and trends in, employee satisfaction with NRCan management practices are noted.

b. Managers and employees have the necessary authorities, skills and resources to implement their accountability accords and work plans.

c. Positive levels of, and trends in, the extent to which core competencies are met are noted.

7.5 Financial Performance

a. Positive levels of, and trends in, measurement of overall financial performance (e.g. adherence to budgets, expenditure management, revenue management, cost recovery, cost reduction and control, and assets management) are noted.

b. Savings are realized from streamlining administrative processes, innovative service delivery, electronic commerce, improved facilities management, and information technology bulk purchasing and contracts (savings in dollars and time).

THE ASSESSMENT PROCESS

The *NRCan Guide to Good Management* is intended to help NRCan employees develop improvement plans for their organization in a systematic and ongoing manner. While the guide represents the template on which an organization can be evaluated, a process is required to actually complete an evaluation. In undertaking these types of evaluations, many organizations put in place a process known as an "assessment."

What is an Assessment?

Assessment is a process by which an organization compares its management systems and practices to an accepted standard of excellence. The standard of excellence could be one of many generic quality models available in the world, such as the Canada Awards for Excellence Quality Criteria, the Malcolm Baldrige Criteria, or a model developed exclusively for an organization. This customized model approach has been adopted for use at NRCan.

Why Do It?

Undertaking an assessment allows an organization to identify opportunities for improvement. As well, the assessment process provides an accurate picture of current strengths and opportunities and baseline data on which to measure future progress. Assessment helps set priorities for new management initiatives.

The Process of Assessment

An assessment can be undertaken at any time and is particularly valuable when an organization:

➤ is committed to improving its management practices and processes and wishes to identify where best to proceed; and

➤ has completed a first round of improvement initiatives and is now asking "what's next?"

There are many ways of organizing an assessment. These range all the way from a very quick and simple "what do we think of ourselves?" to a vigorous examination of how the organization functions. The diagram on the following page illustrates the typical sequence of events for a thorough assessment including an external assessment portion in which outside experts participate to validate the information gathered.

TYPICAL ASSESSMENT PROCESS

STEPS   **OUTPUTS**

Executive Education
- Assessment process understood
- Commitment made to proceed

Planning
- Roles and responsibilities defined
- Detailed plan developed

Internal Self-Assessment
- Assessment team trained
- Assessment conducted and documented

External Validation and Evaluation
- Current state validated by outside experts
- Findings and recommendations developed

Feedback of Findings and Recommendations
- Findings shared; strengths and opportunities for improvement identified
- "Vital few" recommendations shared and understood

Planning for Improvement
- Priorities determined
- Implementation plans developed
- Responsibilities and resources assigned

GLOSSARY OF TERMS

Client
Client means a direct recipient of government products or services who gains access to those products or services by dealing directly with the product or service providers. Clients can be both internal and external to the organization. *(Treasury Board Secretariat Quality Services Guide XII).*

Client Group
A client group refers to clients grouped by particular areas of interest, such as environmental protection groups or the alternative fuels industry.

Goal
A goal is the desired measurable outcome (the ultimate impact or beneficial result on the client group or on society at large) of a departmental program or other departmental activity. Goals must be consistent with the department's role and mandate as set out in legislation and government policy. Departments can have multiple goals.

Mission
A mission statement is a clear summary of what an organization does for whom and why. It provides the context for the organization's vision, goals and strategic direction.

National Quality Institute (NQI) of Canada
The National Quality Institute, established in 1992, is an independent not-for-profit organization dedicated to making Canadians more competitive in the global marketplace. Its mission is to work with strategic partners and supporters to promote, encourage and support the understanding of total quality management principles and practices in both the private and public sector, and to recognize outstanding achievement through the Canada Awards for Excellence Program.

Objective
An objective is a more specific, measurable statement of how a goal can be achieved.

Organization
For the purposes of this document, an organization may be the department as a whole, a sector, branch or division, a work unit or project team, a working group or a committee.

Partner

When NRCan enters into an agreement with external (to NRCan) parties with the aim of leveraging funds or otherwise furthering the aim of meeting the goals and objectives of the department, these parties are considered to be NRCan's partners.

People

This term refers to those who make up the NRCan community, employees, both managers and non-managers, term and agency employees, researchers emeritus, contractors and workers.

S&T

This is the abbreviation for "science and technology."

Strategic Direction

Strategic direction is the broad, overall direction of an organization for a specified planning period. It outlines the key factors driving the need to adjust an organization's activities and sets out new directions, evolving priorities and goals for the planning period.

Stakeholder

Stakeholder is a broad definition encompassing all parties affected by an organization's operations. Clients and client groups are inclusive in this definition. *(Treasury Board Secretariat Quality Services Guide XII).*
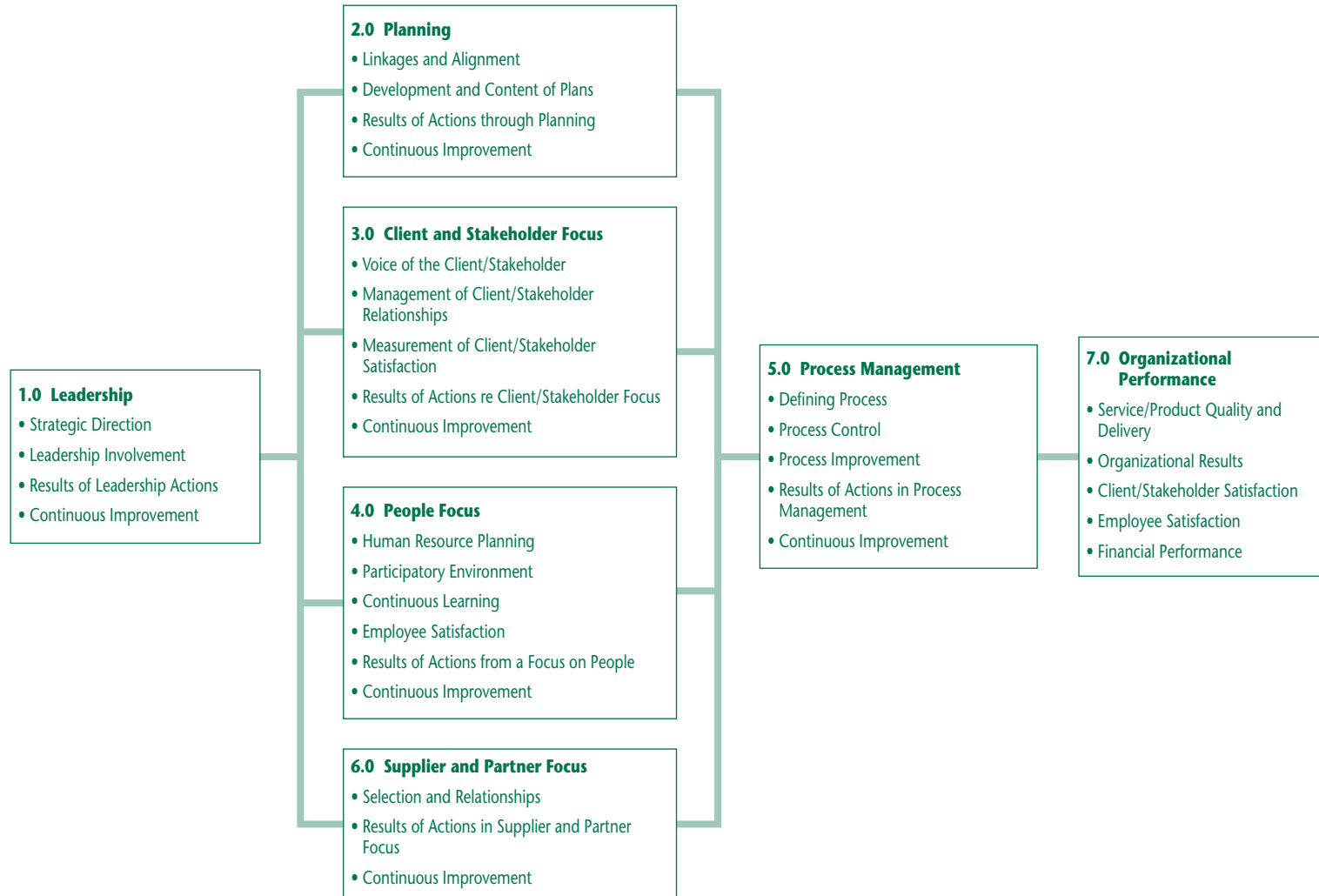
Supplier

Suppliers are those individuals, private firms, non-profit groups, universities, other levels of government, other government departments or Crown corporations who supply goods or services or intellectual property to NRCan which will better enable the department to meet its goals and objectives. Suppliers can be both external and internal to an organization.

Vision

A vision is a statement about where an organization aspires to be in the future. It should represent a stretch for the organization and inspire employees to strive to reach the vision. Individual elements of a vision should be measurable. The organization's vision should be aligned with its mission and strategic direction.

ANNEX A

NRCan Management Elements '98

2.0 Planning
- Linkages and Alignment
- Development and Content of Plans
- Results of Actions through Planning
- Continuous Improvement

3.0 Client and Stakeholder Focus
- Voice of the Client/Stakeholder
- Management of Client/Stakeholder Relationships
- Measurement of Client/Stakeholder Satisfaction
- Results of Actions re Client/Stakeholder Focus
- Continuous Improvement

1.0 Leadership
- Strategic Direction
- Leadership Involvement
- Results of Leadership Actions
- Continuous Improvement

4.0 People Focus
- Human Resource Planning
- Participatory Environment
- Continuous Learning
- Employee Satisfaction
- Results of Actions from a Focus on People
- Continuous Improvement

5.0 Process Management
- Defining Process
- Process Control
- Process Improvement
- Results of Actions in Process Management
- Continuous Improvement

7.0 Organizational Performance
- Service/Product Quality and Delivery
- Organizational Results
- Client/Stakeholder Satisfaction
- Employee Satisfaction
- Financial Performance

6.0 Supplier and Partner Focus
- Selection and Relationships
- Results of Actions in Supplier and Partner Focus
- Continuous Improvement

ANNEX B

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports

1.0 Leadership	Corporate	• develop vision, mission and operating principles
		
		• commitment to quality
		
		• assess trends, opportunities and challenges
		
		• monitor & review strategic planning, including Human Resources planning
		
		• strategic resource allocation
		
		• strategic direction and goals alignment
		
		• internal communications
		
		• internal management– reduce barriers, teamwork, etc.
			• DMC
			
			• SPCB
			
			• CSS functional branches
			
			• Communications Branch
				• DM's memorandum
				  – Strategic direction
				  – Departmental priorities
				
				• Policy goals
				
				• Business lines
				
				• Vision/mission statements
				
				• Statement of operating principles
				
				• Cross-sectoral policy/ position briefs
				
				• Leadership reward and recognition
					• Central Agency/ policy position briefs

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
1.0 Leadership (continued)	Sector	• sector-specific strategic activities	• ADMs/SMCs • Sector managers/ planners	• Sector-specific strategic and program input to departmental and sector planning • Sector strategic plans	• Memorandum to cabinet

2.0 Planning	Corporate	• develop goals and business lines
		
		• identify key success factors
		
		• broad program design and objectives setting
		
		• priority setting and broad resources allocation
		
		• assign broad accountability
		
		• functional and orga- nizational integration
		
		• quality improvement
		
		• funding pressures
			• DMC
			
			• SPCB
			
			• CSS/FMB
				• Business plan
				
				• Departmental positions on issues
				
				• Functional plans
				  – Long Term Capital Plan (LTCP)
				  – Integrated accom- modation plan
				  – Communications plan
				  – Greening of NRCan operations action plan
				  – Departmental quality improvement plan
					• Report on Plans and Priorities
					
					• Annual Reference Level Update (ARLU)

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
2.0 Planning (continued)	Sector	• conduct detailed planning • detailed allocation of resources • product and services' alignment • identify key success factors • assign accountability • functional and organizational integration • quality improvement • funding pressures	• ADMs/SMCs • Sector managers/ planners • quality coordinators/ advisors	• Sector business plans • Sector products and services • Sector quality improvement plans	• TB submissions
3.0 Client/Stakeholder Focus	Corporate and Sector	• define stakeholders • stakeholder consultation • needs identification • measure stakeholder satisfaction • establish service standards	• Departmental and sector management	• Stakeholder satisfaction surveys • Consultation processes • Complaint resolution mechanisms • Statements of client/ stakeholder needs • Service standards	

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
4.0 People Focus	Corporate	• union consultation • recruitment and selection strategies and plans • performance measurement systems and plans • succession and career planning • training and development policies • recognition and awards policies • employee consultation and support	• DMC • CSS/HRSB	• Human Resources (HR) Information Management System • Employee satisfaction surveys • Departmental HR policies and strategies • Departmental recognition and awards program • Departmental HR plans • Upward feedback • Learning priorities	

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
4.0 People Focus (continued)	Sector	• strategies and plans • actual recruitment and selection • accountability accords and work plans • employee training and development • employee recognition	• ADMs/SMCs • Sector managers	• HR component of sector business plan • Employee selection and recruitment • Managers' accountability accords • Employee work plans/feedback • Training and development of employees • Sector recognition and awards	
5.0 Process Management	Corporate	• development of departmental systems and processes • set departmental standards • direction on continuous improvement activities	• DMC • Corporate functional organizations	• Departmental systems and processes • Departmental standards	

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
5.0 Process Management (continued)	Sector	• manage NRCan programs and services • set sector standards • follow departmental systems and processes	• ADMs/SMC • Sector managers and employees	• Sector systems and processes • Sector standards • Project management systems	
6.0 Supplier and Partner Focus	Corporate	• departmental policy and strategy development	• CSS/Financial Management Branch	• Departmental policies and strategies	
	Sector	• supplier and partner selection and monitoring • maintain relationships • timely provision of suppliers' and partners' products and services • needs identification • supplier and partner involvement • information sharing	Sector Management	• Supplier and partner satisfaction surveys • Complaint resolution mechanisms • Consultation process • Statement of supplier/partner needs	

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
7.0 Organizational Performance	Corporate	• monitor activities/results • performance measures and targets developed and used • measure planned versus actual achievements • financial and administration management performance tracked and reported • results and best practices communicated • coordinate departmental reporting	• Corporate Managers • CSS Functional branches • AEB • SPCB	• Audits and evaluations • Functional reports • Mid- and year-end reviews • Special reports, such as on levels and trends • Client/stakeholder satisfaction surveys	• NRCan Performance Report • NRCan S&T Annual Report

Responsibilities and Deliverables

Element	Level	Activities	Responsibilities	Dept/Sector Products	External Reports
7.0 Organizational Performance (continued)	Sector	• monitor day-to-day activities • performance measures and targets developed and used • measure planned versus actual achievements • people and program performance tracked and reported • coordinate sectoral reporting	• ADMs/SMCs • Sector Managers/ Sector Planners	• Impact assessments • Mid- and year-end reports • Self-assessments • Sector-specific client/stakeholder confidence and satisfaction surveys • Sector inputs to NRCan's Performance Report and S&T Annual Report • Special reports, such as on levels and trends or technologies and practices adopted by clients/ stakeholders	

ANNEX C

Alignment of Principles

Note: The following chart compares principles or concepts from three significant sources dealing with optimum management principles. The numbers reflect the numbering in the documents of origin of the three sets of principles.

NRCan's Operating Principles	NQI's Quality Principles	NRCan S&T Management Framework
1. Strong leadership is essential.	2. Leadership through involvement and by example.	3. An S&T vision for NRCan and a clear definition of performance criteria are prerequisites for success.
2. People are our principal strength.	4. Respect for the individual and encouragement for people to develop their full potential.	1. Employees are treated fairly, and they will be given opportunities to acquire the skills and expertise they need to deliver S&T.
3. Effective planning helps us to improve.	6. A process-oriented and prevention-based strategy. 8. Factual approach to decision making.	5. A clear link to government priorities and planning is essential. 6. Accountability based on results is necessary and requires a common, yet flexible, approach among sectors. 9. Effectiveness in managing S&T resources will be monitored. 10. Continuous improvement is key to good S&T management.
4. Creativity and innovation are key to our future.	5. Contribution of each and every individual. 7. Continuous improvement of methods and outcomes.	2. S&T involves creativity and innovation. Appropriate risk-taking in the conduct and management of S&T activities is encouraged.

Alignment of Principles *(continued)*

NRCan's Operating Principles	NQI's Quality Principles	NRCan S&T Management Framework
5. The Canadian public interest is paramount.	9. Obligations to stakeholders including a concern for responsibility to society.	8. Return on public investment must be demonstrable and open to public scrutiny.
6. Quality service to clients is our standard.	3. Primary focus on clients and stakeholders.	7. Responsiveness to clients, partners and stakeholders is essential.
7. Effective communication is a shared responsibility.		
8. Cooperation is the foundation of our success.	1. Cooperation, teamwork and partnering.	4. Effective interaction among science, technology, policy and programs must be demonstrable.

ANNEX D

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
1.0 Leadership • Strategic Direction 1.1 • Leadership Involvement 1.2 • Results of Leadership Actions 1.3 • Continuous Improvement 1.4	• Strategic Intent 1.1 (a)(b)(c) • Strategic Planning 1.1 (a)(b)(c)	• Mission, vision, values and goals established and understood 1.1 • Clear understanding of contribution to the public sector 1.2 • Leadership models public service values 1.3 • Managers encourage good employee relations 1.2 • Organization models interdepartmental cooperation 1.3 • Managers model organizational values and principals 1.2	• Operating Principles (1.1)	1.0 Leadership • Strategic Direction 1.1 • Involvement by Leadership 1.2 • Results of Leadership Actions 1.3 • Continuous Improvement 1.4
2.0 Planning • Linkages and Alignment 2.1 • Development and Content of Plans 2.2 • Results of Actions through Planning 2.3 • Continuous Improvement 2.4	• Priorities 2.1 (a)(b)(c) • Business Planning 2.1(e)		• Adopt TBS/NQI Quality Model 2.2(d) • Undertake Self-Assessment 2.2(d) • Business Plan Organization 2.2(d) • Evaluation of Excellence 2.4(a)	2.0 Planning • Development and Content of Improvement Plans 2.2 • Results of Work in Planning 2.3 • Continuous Improvement 2.4

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
3.0 Client/ Stakeholder Focus • Voice of the Client/ Stakeholder 3.1 • Management of Client/Stakeholder Relationships 3.2 • Measurement of Client/Stakeholder Satisfaction 3.3 • Results of Actions on Client/ Stakeholder Focus 3.4 • Continuous Improvement 3.5	• Accountability 3.1, 3.2, 3.3, 3.4, 3.5 First Framework Objective "Incorporate a strong client focus in all S&T programs and projects to ensure that they are relevant and useful."	• Commitment to high level of service, service standards and measuring performance 3.2	• Compendium of Client Satisfaction Measures 3.3 • Pilot Projects 3.3 • Service Standards 3.2 • Guidelines for Client Surveys 3.1(a)(b)	3.0 Citizen and Client Focus • Voice of the Client/Stakeholder 3.1 • Managing Client/Stakeholder Relationships 3.2 • Measuring Client/Stakeholder Satisfaction 3.3 • Results of Work on Client/Citizen Focus 3.4 • Continuous Improvement 3.5

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
4.0 People Focus • Human Resource Planning 4.1 • Participatory Environment 4.2 • Continuous Learning 4.3 • Employee Satisfaction 4.4 • Results of Actions from a Focus on People 4.5 • Continuous Improvement 4.6	• Third Framework objective "To enhance management practices by investing in employees."	• Organization flexible and adaptable to change 4.1 • Commitment to employment equity, diversity and both official languages 4.1 • Roles responsibilities and performance standards established and understood 4.1 • Selection practices ensure appropriate hiring and promotion 4.1 • Language requirement of jobs met 4.1 • Employees make full use of their knowledge, energies and judgement 4.2 • People equipped with necessary tools 4.2 • Promotion of open/effective communication and participative decision making 4.2 • Culture that optimizes performance, achievement, recognition, career enhancement and satisfaction 4.4 • Goals of employment equity action plan met 4.1	• Employee Survey 4.4(a) • Educate/Training in Canada Awards for Excellence Principles/Criteria/Self-Assessments/Recognition 4.4(b) • Best Practices Forum 4.2(b) • Web-site 4.2(b)	4.0 People Focus • Human Resource Planning 4.1 • Participatory Environment 4.2 • Continuous Learning 4.3 • Employee Satisfaction 4.4 • Results of Work on a People Focus 4.5 • Continuous Improvement 4.6

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
		• In bilingual regions workplace conducive to French/English 4.1 • Work environment promotes physical/mental health, encourages flexible work arrangements and a balanced work/family life 4.2 • Empowerment of employees 4.2 • Organization undertakes human resource planning ensuring future requirements met 4.1 • Continuous learning culture 4.3		

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
5.0 Process Management • Defining Process 5.1 • Process Control 5.2 • Process Improvement 5.3 • Results of Actions in Process Management 5.4 • Continuous Improvement 5.5	• Operating practices as processes to be improved 5.1, 5.3: • Project management • Cost recovery and revenue generation • Intellectual property management • Technology, knowledge and practice transfer • Audits of the effectiveness of management tools, processes and systems used in conducting S&T activities 5.2	• Organization of work, rapid decision-making and increased productivity • Management by fact		5.0 Process Management • Defining Process 5.1 • Controlling Process 5.2 • Improving Process 5.3 • Results of Work on Managing Process 5.4 • Continuous Improvement 5.5

Comparison to Other Frameworks and Initiatives

NRCan Guide to Good Management 1998	NRCan S&T Management Framework (1996)	Success Criteria of the TBS Framework for Good Human Resource Management in the Public Service (1998)	Quality 2000 (1997)	National Quality Institute Framework/Treasury Board Secretariat (1997)
6.0 Supplier and Partner Focus • Selection and Relationships 6.1 • Results of Actions in Supplier and Partner Focus 6.2 • Continuous Improvement 6.3				6.0 Supplier and Partner Focus • Partnering 6.1 • Results of Work on Supplier focus 6.2 • Continuous Improvement 6.3
7.0 Organizational Performance • Service/Product Quality and Delivery 7.1 • Organizational Results 7.2 • Client/Stakeholder Satisfaction 7.3 • Employee Satisfaction 7.4 • Financial Performance 7.5	• Evaluation 7.2, 7.3, 7.5 • Second Framework objective, to "implement rigorous accountability mechanisms for measuring and reporting progress to relevant parties, including clients and the public."		• Evaluation 7.2, 7.3, 7.5 • Second Framework objective "To implement rigorous accountability mechanisms for measuring and reporting progress to relevant parties..."	7.0 Organizational Performance • Service of Product Quality 7.1 • Organizational Results 7.2 • Client/Stakeholder Satisfaction 7.3 • Employee Satisfaction and Morale 7.4 • Financial Performance 7.5

ANNEX E

Related Documents

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