



**RESPONSABILISATION EN MATIÈRE DE DOTATION**

**ACCOUNTABILITY FOR STAFFING**

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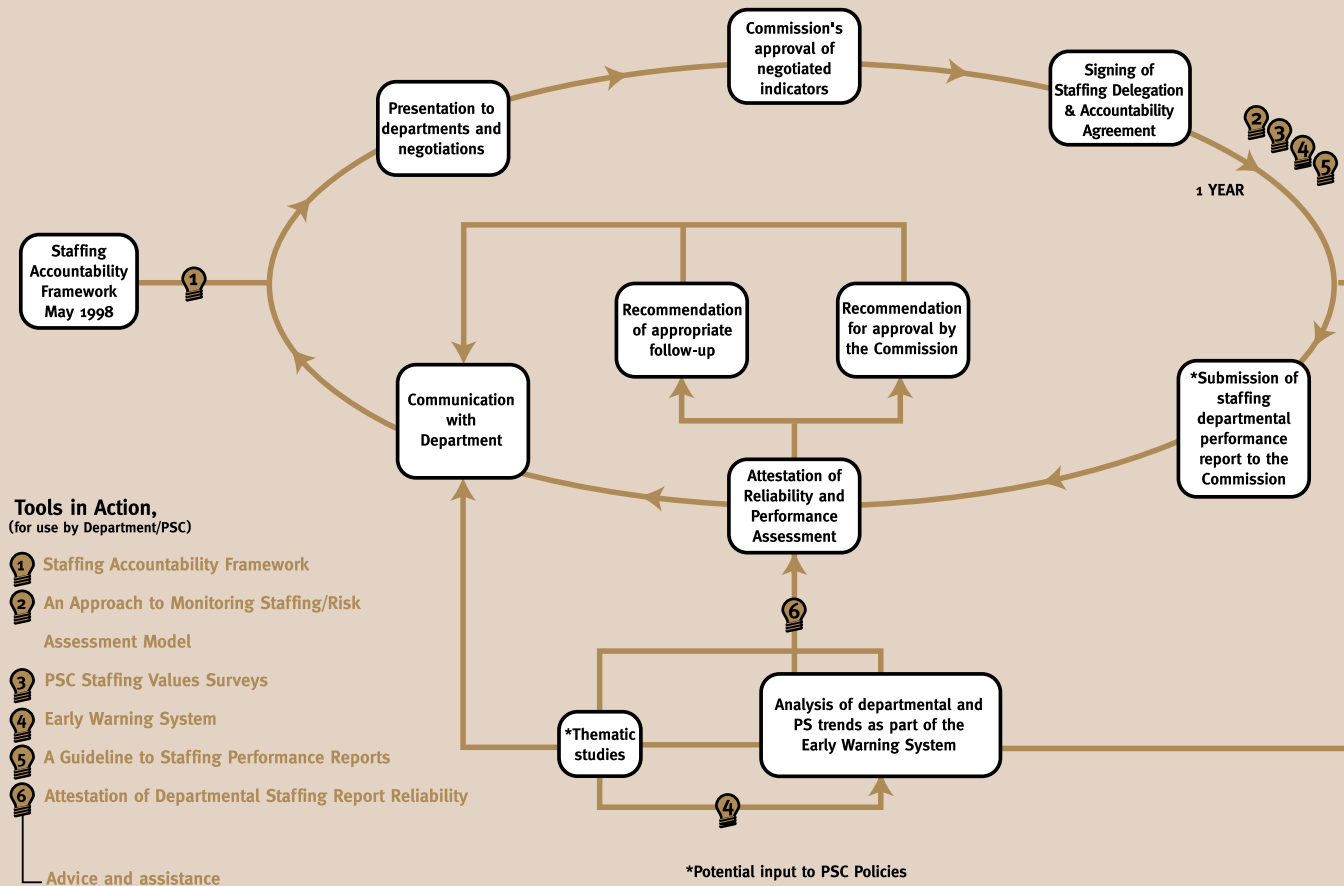
Public Service Commission  
of Canada

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# Accountability for Staffing

The flow chart below represents the steps in the accountability for staffing which is an integral component of the governance system of the Public Service Commission.



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IN SUPPORT OF its new direction, the PSC has developed “The Values-Based Merit Framework”. This Framework is about empowering departments to make staffing decisions through an informed and ethical balance of merit values and management principles, coupled with departmental accountability to the PSC for the use of these powers. It is applied through critical thinking about the staffing system’s 5Ps—the planning, policy, promotion, programs and protection elements that, taken together, comprise the full range of staffing activities. The purpose of this family of documents is to provide departments with the tools they need to fulfil their obligation to account to the PSC about the exercise of their delegated authorities.

**The six documents are:**

- ➊ **Staffing Accountability Framework** describes the overall accountability regime that accompanies the increased staffing delegation, and serves to initiate the collaborative development of departmental Accountability Agreements between departments and the PSC. This document is based on a common understanding and application of the staffing values and principles: the ultimate goal is a Public Service that is *competent, non-partisan and representative* of Canadian society (“Result values” of staffing) and this goal is best achieved through staffing practices that are, and are seen to be, *fair, equitable and transparent* (“Process values” of staffing).
- ➋ **An Approach to Monitoring Staffing and a Risk Assessment Model** identifies the characteristics of sound monitoring activities; also presents a model for departments to identify staffing risks and conduct subsequent monitoring activities.
- ➌ **PSC Staffing Values Surveys** describes two questionnaires that departments can use to evaluate employees’ and managers’ perceptions of staffing values.
- ➍ **Early Warning System** describes a PSC system for providing staffing intelligence to the PSC and departments; the system will also help departments prepare their performance assessment.
- ➎ **A Guideline to Staffing Performance Reports** is a reference tool that can be used by departments to prepare reports for the Public Service Commission (PSC) on their staffing performance. It describes what a departmental report might contain with respect to result and process values associated with staffing.
- ➏ **Attestation of Departmental Staffing Report Reliability** outlines the due diligence considerations of the PSC in regard to staffing reports and establishes criteria by which the attestation of reliability will be conducted.

## Conclusion

These tools are optional and are provided by the PSC to strengthen partnerships and trust with departments and stakeholders in this era of increased staffing delegation and corresponding staffing accountability. Other tools related to the overall staffing accountability regime, such as a **Template for Departmental Report and Criteria used in Departmental Staffing Performance Assessment**, will soon be made available. We are looking forward to receiving your feedback on the tools presented to you in this package.

Note: The above documents are also available on the PSC web site at the following address:

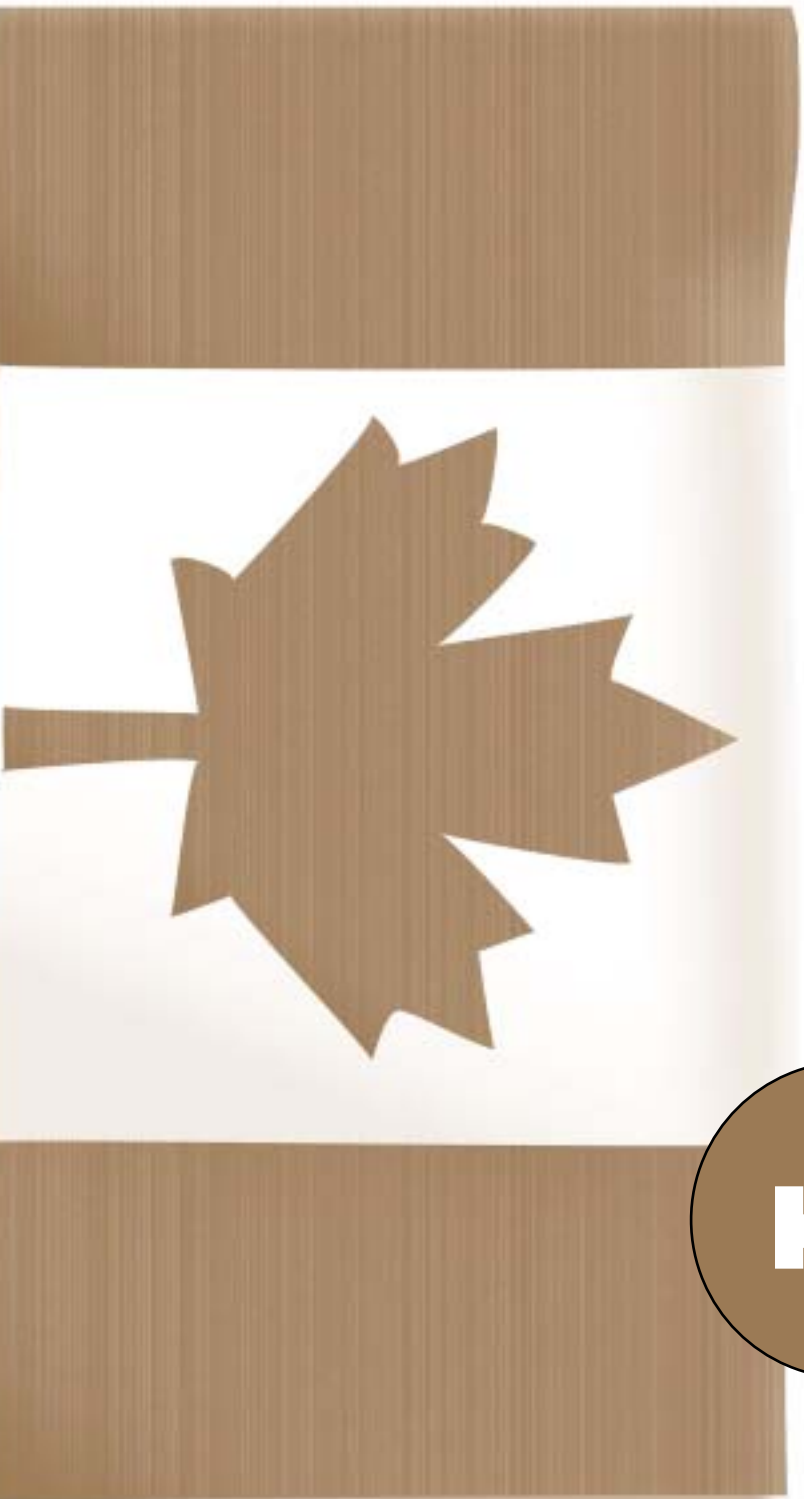
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# ACCOUNTABILITY FOR STAFFING

## Staffing Accountability

### Framework

# 1



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## Introduction

Staffing Reform is a Public Service Commission (PSC) initiative to make human resource management more effective and efficient. Ultimately, Staffing Reform allows the government to serve Canadians better by:

- ▶ giving department managers more responsibility and greater ability to deliver on their departmental business plans;
- ▶ streamlining staffing operations in departments and reducing red tape for managers; and
- ▶ having the PSC move toward an oversight role and away from individual HR transactions.

Central to Staffing Reform is the revision and increased delegation of staffing responsibilities from the PSC to departments. A cornerstone of this approach is an accountability and reporting framework that holds departments accountable for exercising the staffing delegation. The new framework also allows the PSC to report to Parliament on the health of the Public Service staffing system.

### The objectives of this document are:

- ▶ to initiate the collaborative development of departmental Accountability Agreements<sup>1</sup>; and
- ▶ to introduce the new accountability and reporting framework.

The PSC recognizes the importance of an early warning system that departments can use to identify new issues. However, the new accountability framework is an assessment and reporting tool, not a warning system. The PSC has other methods of identifying new issues (e.g., risk analysis and thematic reviews) and will develop other mechanisms, to be shared with the departments, to serve this purpose.

## Background

In the past, departments were responsible for monitoring their staffing activities and providing information to the PSC. The PSC, in turn, performed the assessments of staffing performance.

The recommendations of the Treasury Board Report, *Modernization of Comptrollership in the Government of Canada*, along with the Parliamentary Report, *Accounting for Results*, suggest more active departmental participation in the assessment of staffing performance. Similarly, the *Report of the Independent Review Panel on the Modernization of Comptrollership in the Government of Canada* identifies four elements of modern comptrollership: performance information, risk management, control systems and ethical practices and values.

Based on these reports, the PSC believes it is important that departments assess themselves and report to the PSC, taking into consideration their own operating environment.

## Principles

The Commission has endorsed the following principles with respect to the authorities delegated by the Commission to the departments.

- ▶ The Deputy Head is required to seek the participation of employee representatives in the development of an accountability framework and performance measures that would hold managers and the HR function accountable to the Deputy Head for their staffing and recourse activities.

<sup>1</sup> These Agreements will be appended to the revised Delegation Agreements.

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- ▶ The Deputy Head is accountable to the Commission for overall departmental performance through an accountability regime developed with the Commission. This regime will include regular reporting to the Commission on aggregate departmental performance.
- ▶ The Commission is accountable to Parliament and reports on the overall health of the resourcing system. Departmental performance will be conveyed to Parliament through the Commission's Annual Report.
- ▶ The Deputy Head is responsible for taking corrective actions and imposing sanctions at the departmental level.
- ▶ In addition to the direct accountability measures, and to help the Commission report on the overall health of the resourcing system, the Deputy Head will provide the Commission with other information about departmental activities and performance.
- ▶ The Commission will conduct systemic reviews and evaluations that use information obtained from departments.
- ▶ The Commission retains the right to conduct investigations and audits of departmental staffing performance.
- ▶ Actively seeking the participation of employee representatives means, above all, undertaking consultation with a positive outlook and a desire to “make it work”. Examples of this approach include:
  - making consultation an integral part of development—not an afterthought
  - being upfront about the limits and the parameters of consultation
  - showing flexibility where possible
  - not abandoning the process at the first impasse
  - involving the most appropriate senior departmental representative
  - providing reasonable and sufficient time for feedback
  - being flexible in making administrative arrangements (e.g. scheduling of meetings)

## Process

The PSC suggests the following process for developing Accountability Agreements.

- ▶ The new Delegation Agreement and the accountability framework will be presented to the departments in meetings with the PSC. The meetings will be driven by departmental readiness to discuss accountability matters linked to the staffing delegation.
- ▶ Signatures will be obtained on the Delegation Agreements.
- ▶ The PSC will then hold on-going discussions with departments to develop an Accountability Agreement.
- ▶ Normally, an Accountability Agreement will be developed within three months.
- ▶ Parallel to departmental discussions, the PSC will seek discussions with employee representatives on the accountability framework and encourage departments to have similar discussions with their employee representatives.

When an Accountability Agreement cannot be agreed upon, the matter will be referred to the Commission for discussion and decision.

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## Accountability Continuum

The accountability framework and Accountability Agreements are based on a three-tier model.

- Tier 1 PSC accountable to Parliament
- .....
- Tier 2 Departmental DM/DH accountable to the PSC
- .....
- Tier 3 Departmental line and functional management accountable to departmental DM/DH
- .....

There are three levels of reporting within each tier: processes, outputs and outcomes. The following definitions are provided to ensure a common understanding of these terms.

**Processes** are the administrative systems that combine a variety of inputs and result in an output. **Outputs** are the products and services produced or directly controlled by program activities. The outputs of the staffing and resourcing system are a direct result of processes; for example, qualified candidates are the result of an effective recruitment campaign. **Outcomes** are the consequences of a program (organization or service) that can be plausibly attributed to the program outputs. The outcome of a staffing and resourcing system is a professional public service which is responsive to business objectives of the government.

Recent discussions on accountability, including the *Report from the Task Force on Public Service Values and Ethics*, distinguish between the interrelated concepts of Responsibility, Accountability, Answerability and Ownership.

**Responsibility** is the broadest of these concepts. Within the public sector, all office holders have responsibilities that are defined by their authority. Office holders are responsible for carrying out their authority properly, that is, within the law and with respect for ethical values. Should a problem arise, office holders are responsible for correcting it and ensuring that it does not happen again.

For example, at Tier 1 (PSC reporting to Parliament) the ultimate responsibility rests with the Commission. The Commission can delegate authorities and responsibility for duties but not its ultimate accountability and overall responsibility. At Tier 2 (department reporting to the Commission) and Tier 3 (line and functional management reporting to the Deputy Head) the overall responsibility to exercise delegated authorities stays with the Deputy Head. Similarly, the Deputy Head can sub-delegate authorities and related duties but not his or her overall responsibility and accountability to the Commission.

**Accountability** is a method of enforcing and explaining responsibility. Accountability involves rendering an account to someone, such as Parliament or a senior officer, on how and how well one's responsibilities are being met along with actions taken to correct and prevent the re-occurrence of problems.

For example, at Tier 1 (PSC reporting to Parliament) the PSC is held accountable through the mandate the PSC receives from Parliament. One of the ways to render an account is via the PSC Annual Report (formal

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requirement under PSEA, Article 47(t). At Tier 2 (department reporting to the Commission) the Deputy Head is held accountable to the Commission through the delegation instrument. One of the ways to render an account is the Deputy Heads' staffing performance report to the Commission. At Tier 3 (line and functional management reporting to the DM/DH), managers and HR specialists are held accountable through a sub-delegation instrument, an accountability contract, or a Memorandum of Understanding (MOU). Each organization will determine the ways by which they will render their accounts.

**Answerability** is the duty to inform and explain. It is essential to any accountability and responsibility relationship. However, it does not include the personal consequences that are part of accountability. The concept of answerability is applicable when full accountability is not an issue.

For example, public servants are answerable to parliamentary committees, but not accountable to them. At **Tier 1**, **Tier 2** and **Tier 3**, answerability can range from one end of a spectrum (e.g., a staffing assistant) to the other (e.g., a senior line/HR manager).

**Ownership** is an internal and subjective sense of professional obligation, and is a component of responsibility. Ownership can exist separately from an authoritative relationship.

The following table shows Responsibility, Answerability, and the Accountability Mechanisms at each Tier of the Accountability Continuum.

	Responsibility	Accountability Mechanism	Answerability
<b>Tier 1</b>	PSC President and Commissioners	Accountable to Parliament through mandate given by Parliament	PSC President and Commissioners/ Departmental DM/DH
<b>Tier 2</b>	Departmental DM/DH	Accountable to the PSC's President and Commissioners through delegation agreement	Departmental Line Managers and HR Officers
<b>Tier 3</b>	Departmental Line Managers and HR Officers	Accountable to DM/DH through accountability contract/MOU/ sub-delegation agreement	Departmental Line Managers and HR Officers

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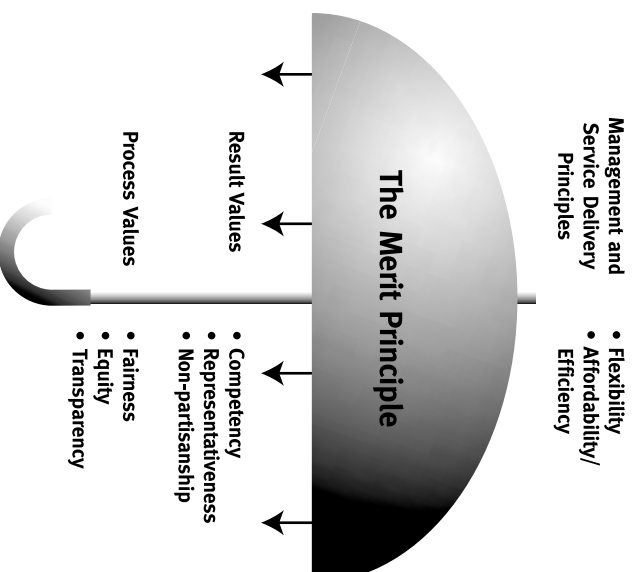
## Public Service Wide Principles and Values

In the new accountability framework, Deputy Heads are accountable for using their authorities in a way that respects a series of values. Performance indicators reflecting outcomes, outputs, and process measures that the PSC and Deputy Head have agreed upon will measure adherence to these values. The values include the PSEA staffing overarching principle, Merit, the PSEA related values, as well as the principles supported by the PSC (see below).

When managing their staffing systems, departments should consider the management and service delivery principles of flexibility and affordability/efficiency. The PSC supports these principles. However, the Public Service Commission does not have the mandate to hold departments accountable for ensuring that staffing activities are carried out in an affordable, flexible and efficient manner.

The overall staffing values and principles of the Public Service are illustrated in the following diagram:

## Overall Staffing Values and Principles



## Management and Service Delivery Principles

Departments should consider the following Management and Service Delivery Principles in their staffing activities.

- **Flexibility:** Staffing activities and approaches are adapted to the needs of the organization.
- **Affordability/Efficiency:** Staffing activities and approaches ensure good value and are simple, timely, and effective in their delivery.

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### **Values**

The Deputy Heads will be held accountable for the values identified in the diagram. These values can be defined in the following way:

#### **A - Result Values**

- ▶ **Competency:** Public servants are qualified to fulfill their Public Service duty.
- ▶ **Representativeness:** The composition of the Public Service reflects the labour market.
- ▶ **Non-Partisanship:** Employees are appointed and promoted objectively, free from political or bureaucratic patronage.

#### **B - Process Values**

- ▶ **Fairness:** Decisions are made objectively, free from political or bureaucratic patronage; practices reflect the just treatment of employees and applicants.
- ▶ **Equity:** There is equal access to employment opportunities; staffing practices are barrier-free and inclusive.
- ▶ **Transparency:** There is open communication with employees and applicants about staffing practices and decisions.



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### Accountability Indicators and Measurements

The following chart links accountability indicators with the values they support and identifies potential methodologies for measurement.

Key Tier 2 Accountability Indicators

Values	Indicators	Suggested measurements/ methodology
<p><b>Result Values linked with PSC mission</b></p>	<p><b>Competency</b></p>	<ul style="list-style-type: none"> <li>▶ Staffing practices and strategies which satisfy the organization's operational needs (output)</li> <li>▶ Departmental client's satisfaction (outcome)</li> <li>▶ Productivity level (outcome)</li> <li>▶ Results of analysis of founded complaints (appeals and investigations) (process)</li> </ul>
	<ul style="list-style-type: none"> <li>▶ Departmental reports on the linkage of business plan with staffing strategy</li> <li>▶ Departmental review of staffing practices: upfront, followed, with sound explanations for deviation</li> <li>▶ Conducting managers/employees/client surveys and or consultations</li> <li>▶ Departmental review of number and type of customer complaints</li> <li>▶ Departmental study of ways/mechanisms in place to ensure departmental standards are met</li> <li>▶ Benchmarking</li> <li>▶ Review of upheld appeals and founded investigations</li> <li>▶ Review of environmental scanning reports: complaints to PSC, complaints to departments, complaints by parliamentarians, public allegations</li> <li>▶ Departmental analysis of the workforce composition (e.g.: age, education, official language)</li> </ul>	
<p><b>Representativeness</b></p>	<ul style="list-style-type: none"> <li>▶ Demographics (output)</li> </ul>	<ul style="list-style-type: none"> <li>▶ Departmental study of demographics compared to the relevant labour market availability and/or the provisions of Land Claims Agreements negotiated with Aboriginal groups</li> </ul>

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Values		Indicators	Suggested measurements/ methodology
<p><b>Non-Partisanship</b></p>	<p><b>Result Values linked with PSC mission</b></p>	<ul style="list-style-type: none"> <li>▶ Results of analysis of founded complaints (appeals and investigations) (process)</li> <li>▶ Attestation statement that the Deputy Head exercise due diligence to ensure that employees are capable of performing their duties in a neutral way and that they will be perceived as such.*</li> <li>* This statement includes staffing activities</li> </ul>	<ul style="list-style-type: none"> <li>▶ Review of environmental scanning reports: complaints to PSC, complaints to departments, complaints by parliamentarians, public allegations</li> <li>▶ Analysis of Political Leave applications</li> <li>▶ Qualitative support of the departmental attestation statement demonstrating lack of political interference such as:               <ul style="list-style-type: none"> <li>■ Assurance that the DH's responsibilities in staffing have been communicated to the Minister</li> <li>■ Implementation of a departmental code of ethics in staffing matters OR insertion of the staffing point-of-view in a departmental code of ethics that already exists</li> <li>■ Identification of a departmental resource person in this regard</li> <li>■ Information and/or training in non-partisan responsibilities</li> <li>■ Results of employee surveys regarding staffing</li> <li>■ Assurance of annual reminder to all personnel regarding sections 32, 33 and 34 of the PSEA</li> </ul> </li> </ul>
<p><b>Process Values linked with PSC objectives</b></p>	<p><b>Fairness, equity and transparency</b></p>	<ul style="list-style-type: none"> <li>▶ Management and Employee satisfaction (output)</li> <li>▶ Staffing policies which operationalize these values (output)</li> <li>▶ Results of analysis of founded complaints (appeals and investigations) (process)</li> </ul>	<ul style="list-style-type: none"> <li>▶ Conducting employee and manager surveys</li> <li>▶ Departmental review of staffing practices: upfront, followed, with sound explanations for deviation</li> <li>▶ Review of upheld appeals and founded investigations</li> <li>▶ Review of environmental scanning reports: complaints to PSC, complaints to departments, complaints by parliamentarians, public allegations</li> </ul>

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Departments must use the Overall Staffing Values and Principles as the basis for their reporting. To provide a tailored approach to the accountability process, Accountability Agreements will be negotiated individually with each department. Departments will be able to add or delete indicators from the generic ones provided by the PSC to reflect their particular departmental context. There must, however, be agreement with the PSC on the indicators. The determination of “the type of measurements” will be left entirely to the DH/DM. The PSC is prepared to assist departments in determining the type of measurements and how to measure the various indicators.

The PSC recognizes that there is a need to allow departments sufficient time to adjust to these new reporting requirements. However, the PSC will monitor departments’ progress in their capacity to measure the indicators of performance.

## Reporting and Assessment

Departments are required to report to the PSC annually. The Deputy Head will seek the employee representatives’ input before submitting the departmental staffing performance report to the PSC.

The PSC will assess the information provided, attest to its validity, and give feedback to departments. To fulfill its due diligence, the PSC may, in some cases, validate the information by performing audits and/or thematic reviews. In addition, the Commission will seek input from employee representatives on the overall health of the staffing system for its report to Parliament (Tier 1 reporting).

## Incentives

On an ongoing basis, the PSC will provide incentives to promote the values and principles outlined in this document. This section describes the continuum of incentives available to the PSC. The information in this section is being shared with the departments in the spirit of openness and transparency. The PSC welcomes suggestions from departments on the kind of incentives that would encourage best practices and discourage poor ones. While this material will not form part of the Accountability Agreements, it provides information on how the PSC may address issues that emerge from the accountability process.

The report commissioned by the President of the Treasury Board, *Modernization of Comptrollership in the Government of Canada*, outlines the conditions that must be met to modernize comptrollership:

- ▶ leadership in departments and at the centre;
- ▶ clear and understood responsibilities;
- ▶ competency and capacity commensurate with needs;
- ▶ incentives.

The Comptrollership Report emphasizes the need for incentives to create an effective control environment (often referred to as sanctions, rewards, and corrective actions). The report suggests that Deputy Heads who provide good information and effective control should be entrusted with greater latitude to operate and be subject to less scrutiny and direction from the centre. At the same time, where this condition is not satisfactorily fulfilled, the system should have the flexibility to respond with a greater measure of scrutiny and oversight and, if necessary, intervention.

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**The PSC will continue to be involved in the following initiatives:**

- ▶ given its strategic position to assess the success in maintaining good staffing practices in departments, the PSC will systematically provide input to the performance evaluation of Deputy Heads on human resource management;
  - ▶ the PSC will use the PSC Annual Report to recognize both excellence and challenges in Public Service staffing at the departmental level.
- The illustration below shows a continuum, from positive to negative of activities that are termed neutral but undoubtably serve to contribute to the incentive system for good staffing in departments.

**Incentives**

<b>Encouraging Best Practices</b>	<b>Strength of Incentives</b>	<b>Discouraging Poor Practices</b>
Recognition of good practice in PSC Annual Report and other publications (PSC)	Removal of delegation – total (PSC)	Removal of delegation – partial (PSC)
Positive input of PSC in COSO DH performance assessment (PSC)	Negative input of PSC in COSO DH performance assessment (PSC)	Public reporting of irregularities (PSC)
Tailor-made approach in negotiating each department's accountability regime (PSC)	Incentives and awards for good practices (DH)	Note to DH of concerns regarding their departmental staffing system (PSC)
		Disciplinary action in departments (DH)

**Other Initiatives**

Investigation of irregularities (PSC)	Audits (PSC)	Thematic reviews (PSC)	Clear expectations through Delegation and Accountability Agreements (PSC)	Advice and consultation in staffing matters (PSC)	Advice/tools/assistance in performance evaluation, audit and risk management (PSC)	Early warning system (PSC)	Clear expectations through sub-delegation (DH)	Linkages to career progression/compensation – for DH (COSO)	– for managers and HR specialists (DH)
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NOTE: These initiatives can be taken to ensure the effective management of the staffing system.

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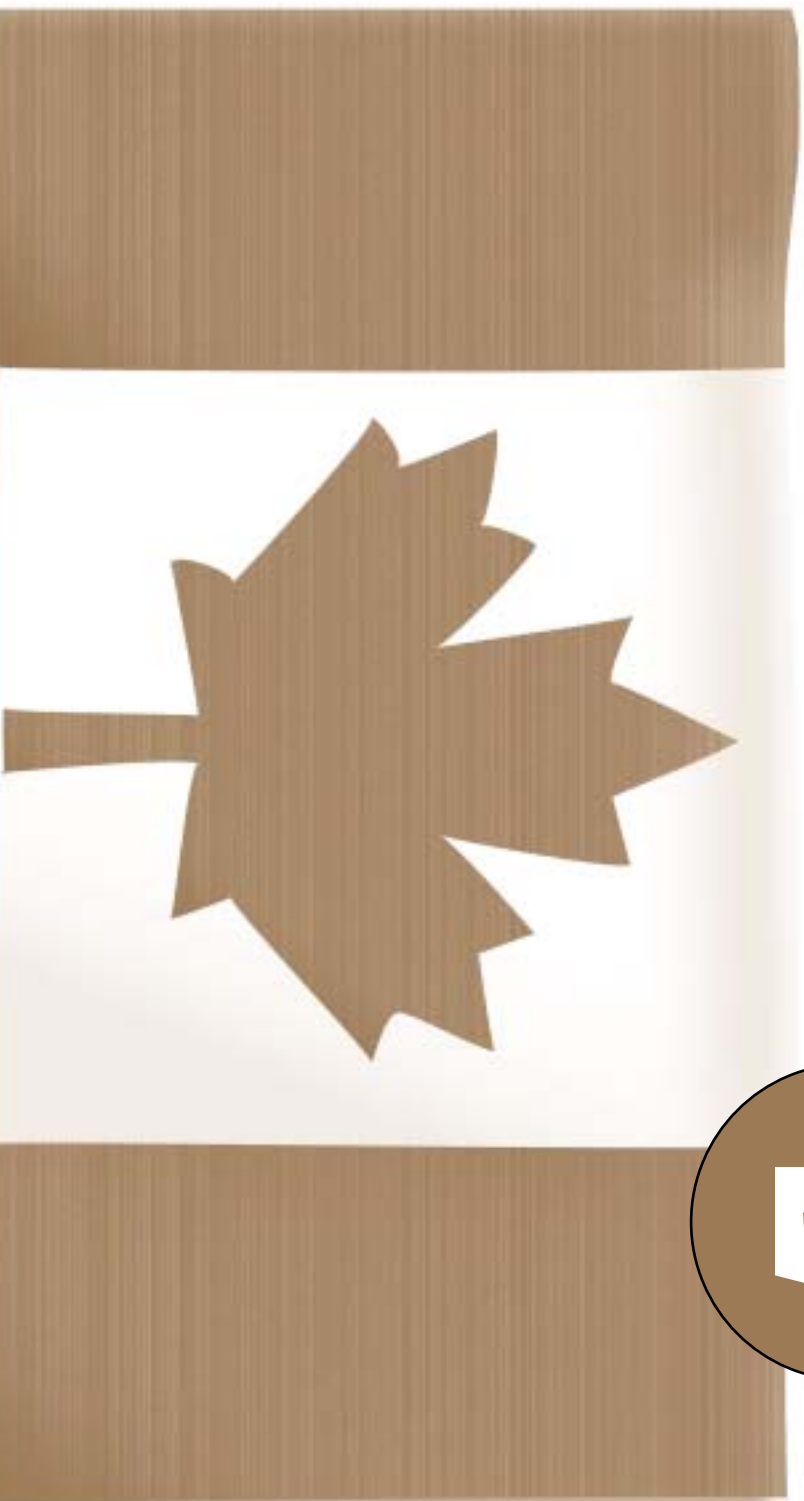
## ACCOUNTABILITY FOR STAFFING

### An Approach to Monitoring

#### Staffing and a Risk

#### Assessment Model

# 2



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## **An Approach to Monitoring Staffing and a Risk Assessment Model**

Staffing risk assessment models include a regular and systemic monitoring program. For present purposes, the Public Service Commission considers monitoring to be a process of examining staffing activities to provide reasonable assurance that staffing decisions are in line with the desired results.

Monitoring activities are conducted with two goals in mind:

- ▶ to obtain information on the achievement of targeted goals; and
- ▶ to implement corrective actions if and where needed.

### **Characteristics of a Monitoring System**

The PSC does not believe in a universal monitoring system for all departments. Instead, we believe that departments should adopt monitoring practices that suit the needs of the particular organization. We are suggesting a framework with the following characteristics:

- ▶ clearly identified responsibilities;
- ▶ trends that are examined against values and agreed upon performance indicators;
- ▶ results of the system are brought to the attention of Senior Management; and
- ▶ corrective actions that are taken on the basis of the results.

Departmental monitoring systems also have the characteristics of reliability and scope. A reliable monitoring system is achieved by having the appropriate mechanisms to safeguard the quality and timeliness of the staffing information, along with the safety of the actual data. A monitoring system has the proper scope when it examines the values and performance that have been agreed to in Accountability Agreement on significant sectors within the organization.

The actual implementation of the monitoring system, of course, depends on the departmental context.

There are several sources of information that can be used, including:

- ▶ statistical data,
- ▶ staffing practices, and
- ▶ interviews and/or surveys with human resource managers, line managers, clients, and employees.

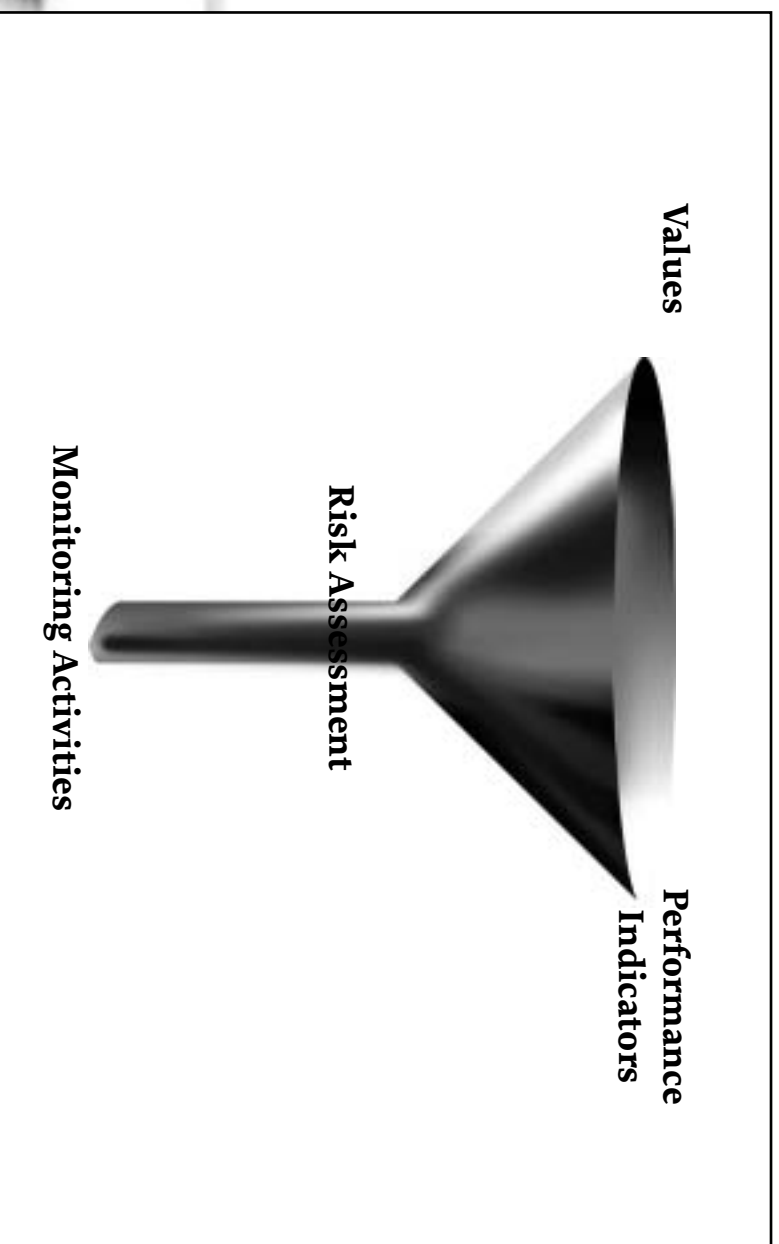
Similarly, departments will determine the frequency of their monitoring activities, ranging from a semi-annual basis to yearly, or even once every two or three years depending on the departmental needs and the sources of the data.

The specific monitoring activities of the department should be derived from a staffing risk assessment.

The risk assessment is a systematic process for assessing and integrating professional judgements about probable adverse conditions and/or effects. By examining the functional and organizational staffing risk, a risk assessment serves to:

- ▶ identify, focus, and maximize the effectiveness of monitoring activities;
- ▶ help determine the scope of a given performance assessment.

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The following diagram illustrates the relationship and roles between values, performance indicators and risk assessment in determining which monitoring activities should be conducted in a department.

In the new Staffing Accountability Framework, departments are required to conduct an assessment of their staffing performance. To help departments meet these requirements, a model for assessing staffing risk is presented on the following pages. The model can be used by staffing monitoring and assessment officers in organizations governed by the *Public Service Employment Act* to provide focus for their monitoring activities and maximize the effectiveness of these activities. They can also use the model to determine the sectors of the organization and areas of staffing that present the highest risks.

It is important to note that the model is only a tool to be used to facilitate decision making. Other more or less tangible factors may also influence the determination of the level risk in an organization.

### **Definitions**

Risk, in the context of staffing in the Public Service, can be interpreted as: a staffing environment which does not adhere to the requirements of the *Public Service Employment Act and Regulations*, and the policies, guidelines and values of the Public Service. This, in turn, could have negative impact on the operational programs of an organization.

The staffing risk assessment model is based on the following definitions:

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**Risk**

The probability that an event or action—such as exposure to financial loss, non-ethical conduct, loss of reputation, and non-compliance with legal requirements and business guidelines—may adversely affect the organization.

*Internal Auditing in a Changing Management Culture*, Office of the Auditor General of Canada, 1992, p. 19.

**Risk Factors**

The criteria used to identify the relative significance of, and likelihood that, conditions or events may occur that could adversely affect the organization.

*Statement on Internal Auditing Standards No. 9*, Institute of Internal Auditors, Internal Auditor, October 1992, p. 61.

**Risk Assessment**

A systematic process for assessing and integrating professional judgments about probable adverse conditions and/or events. This process should take into account not only the probability that unwanted actions occur but also the impact of such occurrences on the organization

**Structure**

As seen in the following pages, the model is divided into two parts:

► Part I—**Functional Risks**—describes risk factors related to the “staffing” function, as well as information sources for such factors. The Functional Risk factors consist of the six values defined in the Staffing Accountability Framework: competency, representativeness, non-partisanship, fairness, equity and transparency. Note that the Functional Risk section ends with a grid for compiling all of the elements of risk in a given organization.

► Part II—**Organizational Risks**—describes risk factors related to the characteristics of the organization, as well as information sources for such factors. Note that the section ends with a grid for compiling all of the elements of organizational risks.

## Part I—Functional Risks

### Value: Competency

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Use of competency profiles	The department has a staffing system based on competency profiles (for the main occupational groups) which includes: <ul style="list-style-type: none"> <li>the definition of basic competencies and transferable skills; and</li> <li>the use of behavioural assessment tools (behaviour based interview—BBI) to identify individual competencies.</li> </ul>			Policy/guidelines/practices in effect on the use of competency profiles	
Use of staffing processes (generic competitions where appropriate)	The department uses generic competitions, where appropriate, to: <ul style="list-style-type: none"> <li>fill a number of positions simultaneously or</li> <li>create an inventory of qualified candidates for rotation to various positions at the same group and level; and</li> <li>candidates are assessed on the basis of skills, abilities and “generic” competencies, not exclusively on the specific requirements of a position.</li> </ul>			Policies/guidelines/practices in effect on the use of generic competitions	

**Value: Competency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Staffing strategy	<p>The department has a staffing strategy that:</p> <ul style="list-style-type: none"> <li>▶ assesses the status of the organization's human resources;</li> <li>▶ determines new requirements of positions;</li> <li>▶ reviews all employee qualifications;</li> <li>▶ chooses a combination of staffing options based on operational needs and the aspirations and expectations of employees; and</li> <li>▶ creates a linkage between staffing, the business plan, and operations.</li> </ul>			Policy/guidelines/practices on staffing strategy	
Staffing training	<p>The department improves the competency of staffing consultants by providing and updating staffing training. The department keeps staffing participants (delegated managers) informed about staffing changes.</p>			<p>Policy/guidelines/practices on staffing training for staffing consultants and delegated managers</p> <p>Statistics on the content and frequency of staffing training</p>	



**Value: Competency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Selection tools and techniques	<p>The department is concerned about the quality of selection tools and techniques and takes into consideration and applies a variety of appropriate measurement instruments such as:</p> <ul style="list-style-type: none"> <li>▶ reviewing the information contained in personal files;</li> <li>▶ details of previous track record;</li> <li>▶ written examinations (departmental and PSC tests);</li> <li>▶ directed interview techniques (in-basket, detailed questionnaires, behaviour based interviews (BBI), simulations, role play and oral presentations);</li> <li>▶ recorded reference checks;</li> <li>▶ peer assessment for specific groups; and so on.</li> </ul>			Policies/guidelines/practices on the use of selection tools and techniques	

**Value: Competency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Occupational learning and training program (where necessary)	<ul style="list-style-type: none"> <li>▶ The department establishes its own learning and training program where the required knowledge and competencies are not available either within or outside the Public Service.</li> <li>▶ The department shows the competencies the program enables employees to acquire, how the program is organized, and the progress of trainees (including the measures that are taken in the event of training failure).</li> <li>▶ Competencies are properly assessed in a consistent manner, according to the same criteria for all trainees.</li> <li>▶ The department develops competency standards, in accordance with the Standards for Selection and Assessment (generic and specific), for every level of promotion based on individual merit expected in the program.</li> </ul>			<p>Policy/guidelines/procedures in effect to develop learning and training programs</p> <p>Statistics on the number of trainees promoted</p>	



**Value: Competency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Active and effective management of the external inventory (where delegated)	The department has a policy, guidelines, procedures and monitoring mechanisms for: <ul style="list-style-type: none"> <li>▶ area of recruitment;</li> <li>▶ composition of the inventory (scope of the inventory, distribution of notices, processing of applications, screening and/or preliminary assessment, maintenance of the inventory); and</li> <li>▶ quality of referrals (selection, from an inventory, of candidates to be considered for some positions).</li> </ul>			Policy/guidelines/procedures and monitoring mechanisms for managing the external inventory	
Other risk factor identified by the department					

**Compilation**

Value of Competency	Departmental Risk Level	
	Low Risk -	High Risk +

**Value: Representativeness**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Recruitment of members of designated groups	The department meets the standards of representativeness negotiated with TBS and/or the provisions of Land Claims Agreements negotiated with Aboriginal groups (where appropriate).			Demographic data	
	The department takes advantage of special PSC programs (Section 5 of the Employment Act and Regulation 44).			Analysis of the level of use of special programs	
	The department promotes external recruitment by means of generic competitions (where appropriate).			Review of practices/guidelines/policies	
	Members of target groups participate as selection board members.			Composition of selection boards	
	Invitation to target groups in advertising, competition posters and other media.			Review of practices/guidelines/policies	
	Expansion of areas of selection to be sure to attract members of target groups.			Review of practices/guidelines/policies	
Promotion of members of designated groups	The department meets the promotion standards negotiated with TBS.			Demographic data	
	The department takes initiatives to reach the goals of overcoming obstacles and			Review of practices/guidelines/policies	

**Value: Representativeness**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
	eliminating barriers with regard to employment equity (e.g., review of statements of qualifications, exit interviews, participation by members of designated groups on selection boards). Training is facilitated for members of target groups already on the job.			Review of practices/ guidelines/policies	
Information/ training	Information/training of managers and employees (targets to be met, new equity legislation and/or provisions of Land Claims Agreements negotiated with Aboriginal groups).			Review of information mechanisms	
	Training/awareness of managers and employees (courses, info-lunch, etc.).			Review of training content	
Support from senior management	Reinforcement of the role of co-ordinators (financial support for costs incurred for actual initiatives)			Review of departmental practices	
Other risk factor identified by the department					

**Compilation**

	Departmental Risk Level	
<b>Value of Representativeness</b>	<b>Low Risk</b> -	<b>High Risk</b> +

**Value: Non-Partisanship**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments	
		Low Risk -	High Risk +			
Information/training of participants	Annual reminder to all staff on sections 32, 33, 34 of the PSEA.			Guidelines/practices communicated to employees		
	Existence of a code of ethics including staffing issues or inclusion of such elements in the mission or values of the organization.			Review of code of ethics/mission		
	Information/training sessions such as workshops and info-lunches. Communication to the Minister of the responsibilities of the Deputy Minister or Deputy Head on non-partisanship.			Review of content of information sessions  N/A		
Resource person as departmental contact	The organization has identified a resource person to answer employee questions/concerns, such as political activities outside working hours.			Reflected in work descriptions		
Appeals/grievances/complaints involving non partisanship Other risk factor identified by the department	No or few admissible appeals/complaints/investigations (in the context of the volume of staffing activity).			Analysis of admissible complaints		
		<b>Compilation</b>				
				<b>Departmental Risk Level</b>		
		<b>Value of non-partisanship</b>		<b>Low Risk</b> -	<b>High Risk</b> +	

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**Value: Fairness**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Consideration and placement of employees with priority rights	The organization has mechanisms in effect to ensure the consideration and placement of employees with priority.			Review of mechanisms in effect within the organization Data on appointments of employees with priority from within the organization	
	The organization also hires employees with priority from other organizations.			Data on appointments of employees with priority from other organizations	
Quality of selection tools	Information/training for individuals responsible for assessing candidates.			Policy/guidelines/practices on selection tools	
	Use of PSC tests or standardized departmental tests as a selection tool, where appropriate.			Practices on the use of standardized tests	
	No or few admissible complaints/appeals/investigations involving selection methods and tools.			Review of appeal decisions/investigation outcomes	
Other risk factor identified by the department					

**Compilation**

	Departmental Risk Level	
Value of fairness	Low Risk -	High Risk +



**Value: Equity**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Statement of qualifications	Information/training, where necessary, for individuals responsible for developing statements of qualifications.			Data on staffing training	
	The organization applies generic factors in statements of qualifications consistently for key positions and similar positions.			Policy/guidelines/practices on statements of qualifications	
	No or few admissible complaints/appeals/investigations with respect to qualifications.			Review of appeal decisions and investigation outcomes	
Area of selection	Areas of selection used by the organization for competitions allow a reasonable number of candidates to apply.			Policy/guidelines/practices on area of selection including areas for creating an inventory where the organization has delegation to recruit from outside the Public Service  Data on the number of candidates in a competition	



**Value: Equity**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Use of staffing processes	Recruitment on an indeterminate basis at a level other than entry level is justified.			Data on appointments	
	Requests for single candidate referrals during recruitment are justified.			Data on cases of single candidate referral	
	Where necessary, the organization facilitates reasonable access to opportunities likely to lead to promotion through competition.			Guidelines/practices on promotions  Data on appointments	
Other risk factor identified by the department					

**Compilation**

	Departmental Risk Level	
Value of Equity	Low Risk -	High Risk +

**Value: Transparency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Communication of staffing information	Regular communication of policies, strategic decisions and selection decisions to managers and employees (for example, staffing issues are regularly covered at meetings with all employees).			Policy/guidelines/practices on communication of policies and staffing decisions	
Staffing training for practitioners (if need be)	Information/training for managers and staffing advisors on values and staffing principles.			Data on staffing training for managers and staffing advisors	
Number of complaints, appeals and investigations	No or few admissible complaints/appeals/investigations.			Review of appeal decisions and investigation outcomes	
Feedback mechanisms accessible to managers and employees	Systematic offer to candidates to participate in post-interviews.			Guidelines/practices on feedback to candidates	
	Candidates in closed competitions are systematically informed of their right to appeal.			Guidelines/practices on right to appeal. Form letter sent to candidates.	
	Individuals in the area of selection are informed of their right to appeal when an appointment is made without competition.			Practices on right to appeal (for example, notices of appointments without competition are issued)	
	Existence of mechanisms for gathering comments from managers and employees.			Practices on feedback (e.g., feedback mechanisms in effect)	

**Value: Transparency**

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Use of staffing processes	The organization applies generic factors in statements of qualifications for key positions and similar positions consistently in external recruitment and closed competitions.			Guidelines/practices on recruitment and promotions	
	Opportunities for acting appointments are advertised to employees, and various factors are considered, such as conducting a competition and employee rotation.			Guidelines/practices on acting appointments	
	Promotion of public servants by open competition is justified and done on an exceptional basis.			Data on appointments	
Other risk factor identified by the department					

**Compilation**

	Departmental Risk Level	
Value of Transparency	Low Risk -	High Risk +

**Overall Compilation**

Value of competency	Departmental Risk Level		Value of fairness	Departmental Risk Level	
	Low Risk	High Risk		Low Risk	High Risk
Value of Representativeness	Departmental Risk Level		Value of equity	Departmental Risk Level	
	Low Risk	High Risk		Low Risk	High Risk
Value of non-partisanship	Departmental Risk Level		Value of transparency	Departmental Risk Level	
	Low Risk	High Risk		Low Risk	High Risk



## Part II—Organizational Risks

Risk Factor	Definition of a low risk	Departmental Risk Level		Information Sources	Comments
		Low Risk -	High Risk +		
Volume of staffing activities	The volume of staffing activities per 100 employees is lower than the Public Service average.			Data on appointments in the Public Service	
Complexity of staffing	Staffing in the organization shows these characteristics: <ul style="list-style-type: none"> <li>▶ variety of similar positions;</li> <li>▶ no peak period for staffing activities; and</li> <li>▶ no staffing of highly specialized positions.</li> </ul>			Data on appointments	
Extent of Deputy Head's delegated staffing authority	The Delegation Agreement includes only the general authority usually delegated to Deputy Heads.			Organization's agreement on delegated staffing authority and accountability	
Distribution of sub-delegated staffing authority within the organization	The sub-delegation structure within the organization shows these characteristics: <ul style="list-style-type: none"> <li>▶ delegated staffing authority is centralized from a geographic and organizational point of view; and</li> <li>▶ staffing authority is sub-delegated to a small number of practitioners.</li> </ul>			Sub-delegation structure within the organization	
Environmental analysis	Human resources management in the organization has not been the subject of any unfavourable media reports.			Organization's Communication Branch, press clippings, parliamentary intervention	

<b>Departmental Overall Compilation</b>					
<b>Volume of staffing activities</b>	<b>Departmental Risk Level</b>		<b>Distribution of sub-delegated staffing authority within the organization</b>	<b>Departmental Risk Level</b>	
	<b>Low Risk</b>	<b>High Risk</b>		<b>Low Risk</b>	<b>High Risk</b>
<b>Complexity of staffing</b>			<b>Environmental analysis</b>		
	<b>Low Risk</b>	<b>High Risk</b>		<b>Low Risk</b>	<b>High Risk</b>
<b>Extent of Deputy Head's delegated staffing authority</b>					
	<b>Low Risk</b>	<b>High Risk</b>			

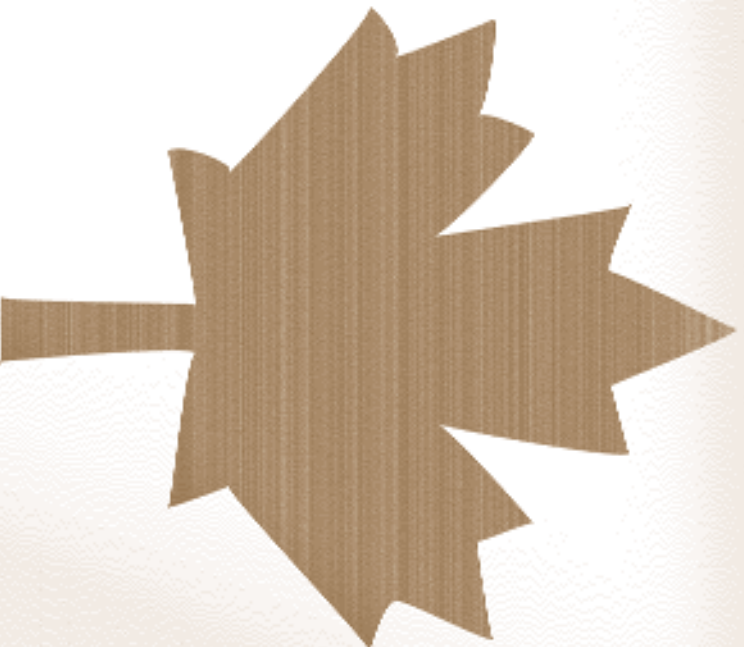
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## ACCOUNTABILITY FOR STAFFING

PSC Staffing

Values Surveys

3



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## PSC Staffing Values Surveys

The Public Service Commission offers two questionnaires that departments can use to implement their delegation and accountability regime. Either of the two questionnaires discussed in this package can be used to help evaluate and report on employees' perceptions of staffing values. The advantages and potential disadvantages of the surveys are reviewed in the following section.

### “Staffing in Your Current Department” Survey (1994)

Developed by, and available from, the Personnel Psychology Center of the PSC.

#### Advantages:

- ▶ The “Staffing in Your Current Department” survey was carefully designed in consultation with a broad range of employment equity group members and PSC staffing consultants. The survey follows professional survey standards and practices, and careful consideration has been given to factors such as:
  - the number of questions for each key construct;
  - the question wording and order;
  - the introduction and instructions;
  - suitable response categories; and
  - questionnaire length and format.

Each of these factors affects the quality of the responses. For example, slight variations in question wording or the order of questions can significantly affect the responses.

- ▶ The survey was pretested to identify potential problems and to assess the quality of the instrument.
- ▶ The “Staffing in Your Current Department” survey identifies “moderating variables,” that is, variables that may intervene to affect respondents’ answers. The moderating variables include many factors such as employment history, staffing experience, and job satisfaction.
- ▶ By using a standardized questionnaire, the survey results can be compared over time or across departments.

#### Potential Disadvantages:

- ▶ There may be costs associated with using the survey. Arrangements for scoring, analyses and interpretation should be negotiated with the Assessment, Testing, and Counselling Directorate of the PSC.
- ▶ The survey does not include questions on the non-partisanship value.

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## “Staffing Values Survey Questionnaire” (1999)

Some sample questions follow.

### Advantages:

- ▶ There is no cost.
- ▶ Departments can design the questionnaire to suit their local environment.

### Potential Disadvantages:

- ▶ The survey was not designed with as much methodological rigor as the “Staffing in Your Current Department” survey. Therefore, the information received from the “Staffing Values Survey Questionnaire” may not be as complete, accurate, or reliable as the “Staffing in Your Current Department” survey.
- ▶ **Using the survey in a nonstandardized manner (e.g., by using only a few questions) will limit the quality and usefulness of the information.**
- ▶ The “Staffing Values Survey Questionnaire” has fewer questions than the “Staffing in Your Current Department” survey about potential moderating variables. This may limit the interpretation of the “Staffing Values Survey Questionnaire” results.
- ▶ Comparisons of the results across departments or time intervals are limited if the “Staffing Values Survey Questionnaire” is modified between administrations.

**Note:** Proper sampling techniques and an adequate sample size must be used with any survey in order to generalize the results from a sample to the larger population.

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## Sample Questions for a Staffing Survey or Questionnaire

The following section provides some examples of questions that could be used by departments, according to their needs, to conduct a staffing survey. These survey questions are closely linked to indicators which measure managers and employees' perceptions and their satisfaction with result values (competency, representativeness and non-partisanship) and process values (fairness, equity and transparency).

### When administering a survey, it is important to address the following:

- ▶ confidentiality,
- ▶ an indication that the survey is voluntary,
- ▶ the purpose of the survey,
- ▶ requesting opinions and perceptions, and
- ▶ the use of the survey results.

## Section I: Demographic information

1. In which year did you join this department/agency?

19 .....

2. What is your substantive group and level? .....

3. How many years have you been at this group and level?

- Less than one year
- 1 to 5 years
- 6 to 10 years
- More than 10 years

4. Are you a manager/supervisor?

- Yes
- No

5. What is your current employee status/tenure?

- Indeterminate
- Seasonal
- Term
- Casual
- Other (Specify) .....

.....

**6. In which province or territory do you work?**

- Yukon
- Northwest Territories
- Nunavut
- British Columbia
- Alberta
- Saskatchewan
- Manitoba
- Ontario (Excluding NCR)
- National Capital Region (NCR)
- Québec (Excluding NCR)
- New Brunswick
- Nova Scotia
- Prince Edward Island
- Newfoundland
- Outside Canada

**7. What is your gender**

- Male
- Female

**8. Are you a member of any of the following designated employment equity groups?**

- Aboriginal peoples
- Yes
  - No

- Persons with disabilities
- Yes
  - No

- Visible minorities
- Yes
  - No

**Section II: Your employment history in the last 2 years****1. In the last 2 years, have you participated in a competition?**

- Yes
- No

**2. In the last 2 years, were you appointed or are you going to be appointed as a result of a competition?**

- Yes
- No

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3. In the last 2 years, have you been promoted without competition?

- Yes  
 No

4. In the last 2 years, have you had a temporary assignment, secondment, transfer or acting position?

- Yes  
 No

### Section III: Staffing values

The values described in this section include the PSEA staffing overarching principle, Merit.

#### Value of competency

**Competency: Attributes which ensure that Public Servants are qualified to fulfill their Public Service duty.**

1. My department appoints qualified people.

- Strongly disagree  
 Disagree  
 Neutral  
 Agree  
 Strongly agree

2. The assessment tools used identify qualified candidates.

- Strongly disagree  
 Disagree  
 Neutral  
 Agree  
 Strongly agree

3. If you are a manager and have staffed positions in the last 2 years, are you satisfied with the performance of the selected employee?

- Never  
 Seldom  
 Sometimes  
 Often  
 Always  
 Not applicable

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**Value of representativeness**

**Representativeness:** The composition of the Public Service reflects that of the labour market.

1. Do you know about the programs and activities in your department aimed at improving the representativeness of members of employment equity groups?
  - Yes
  - No
  
2. In your opinion, does your department do enough, not enough or too much to improve representation of members of employment equity groups?
  - Not enough
  - Enough
  - Too much
  
3. In your opinion, in the staffing system, are employees of your department discriminated against because of their:
  - a) Gender
    - Never
    - Seldom
    - Sometimes
    - Often
    - Always
    - Do not know
  - b) Visible minority status
    - Never
    - Seldom
    - Sometimes
    - Often
    - Always
    - Do not know
  - c) Disability
    - Never
    - Seldom
    - Sometimes
    - Often
    - Always
    - Do not know

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**d) Aboriginal status**

- Never
- Seldom
- Sometimes
- Often
- Always
- Do not know

**Value of non-partisanship**

**Non-partisanship: Employees are appointed and promoted objectively, free from political or bureaucratic patronage.**

**1. Staffing decisions are non-partisan in my department.**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**2. External recruitment is free from political or bureaucratic patronage in my department.**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**Value of equity**

**Equity: Equal access to employment opportunities; practices are barrier-free and inclusive.**

**1. Do you have an opportunity to participate in competitions in your department for jobs that you feel qualified to do?**

- Never
- Seldom
- Sometimes
- Often
- Always

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2. In my department, the qualifications used in staffing positions are reasonable, given the duties to be performed.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

3. The way staffing is conducted in my department gives equal opportunities to everyone regardless of whether they are an employment equity group member or not.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

### Value of fairness

Fairness: Decisions are made objectively, free from political or bureaucratic patronage; practices reflect the just treatment of employees and applicants.

1. Staffing decisions are made objectively in my department.

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

2. If you have participated in a competition in the last 2 years, to what extent do you feel you have been treated fairly?

- Not at all
- To some extent
- To an average extent
- To a considerable extent
- To a great extent
- Not applicable

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**3. Overall, staffing in my department is fair.**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**Value of transparency**

**Transparency: Open communication with employees and applicants about resourcing, practices and decisions.**

**1. Before staffing a position, my manager informs our work unit of his/her plans.**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**2. When my manager staffs a position, he/she gives explanations about the selection method used (competition, reclassification etc.).**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**3. Generally speaking, managers in my department are ready to provide additional information about positions they are staffing (information, post-board interview, etc.).**

- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

**4. Overall, staffing in my department is transparent.**

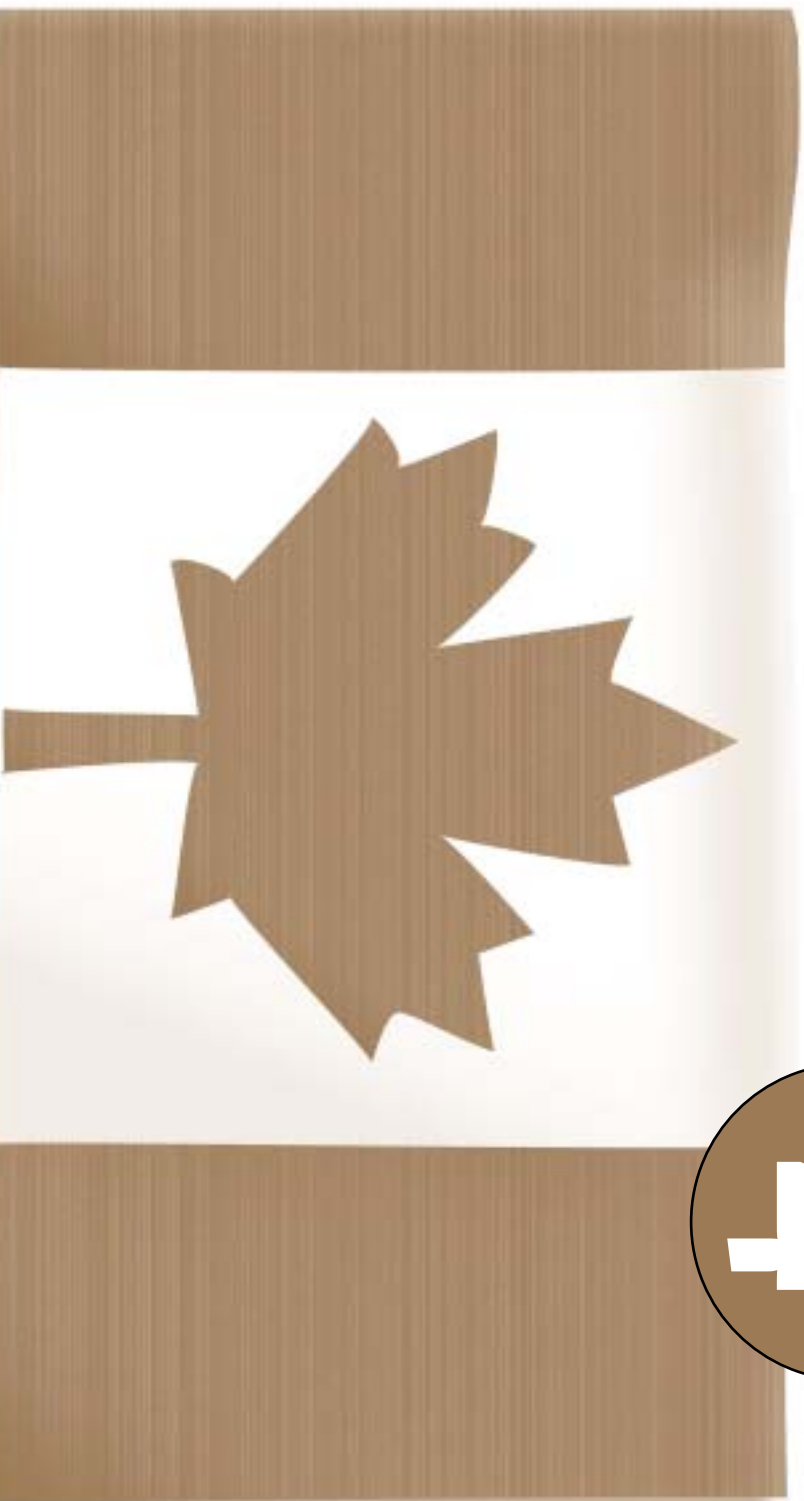
- Strongly disagree
- Disagree
- Neutral
- Agree
- Strongly agree

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# ACCOUNTABILITY FOR STAFFING

## Early Warning System

4



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and Review Directorate**  
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## Early Warning System

In the context of staffing in the Public Service, risk can be defined as:

a staffing environment that does not adhere to the requirements of the *Public Service Employment Act and Regulation*, and the policies, guidelines and values of the PSC. This in turn could produce a negative impact on the operation programs of an organization (PSC—Audit and Review Branch, 1994).

The Early Warning System is a multi-faceted analysis tool used to identify potential risks to the Public Service staffing system:

- ▶ it identifies risks—Public Service-wide and in departments;
- ▶ it constitutes a performance assessment tool for the PSC and departments; and
- ▶ it contributes to the determination of the health of the Public Service staffing system.

This document explains and describes the Early Warning System that the PSC will use as a complement to departmental staffing performance reports in the context of the new accountability regime.

The PSC developed the basis of the Early Warning System in 1996 to identify potential risk in Public Service staffing. The targeted objectives were to share the following types of information within the PSC and with departments:

- ▶ a departmental contextual picture versus the overall PS picture;
- ▶ specific departmental trends versus PS trends; and
- ▶ departmental potential risk areas versus PS potential risk areas.

In addition, the results obtained through the Early Warning System exercise will allow the PSC to identify potential Public Service staffing thematic studies.

The Public Service Commission is implementing its modernized version of the Early Warning System as part of the new Accountability Regime between the PSC and the departments. Before describing it further, some important considerations about this new version should be noted. First, the Early Warning System is part of the Merit Oversight role of the PSC in the five key areas: merit policy, merit protection, merit promotion, merit programs and merit planning. As well, the new Early Warning System reflects the new approach to Comptrollership, which emphasizes reporting on results supported by appropriate information.

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## Components of the Early Warning System

The Early Warning System is based on various types of information, including:

- ▶ functional indicators;
- ▶ organizational indicators (at the departmental level only);
- ▶ appointment and promotion data;
- ▶ recourse data;
- ▶ audit/reviews/thematic findings;
- ▶ qualitative inputs from various PSC stakeholders (HQ and regions); and
- ▶ trends on duplicate or multiple appointments.

When the qualitative and quantitative trends information is combined in the Early Warning System, it identifies potential risks regarding staffing. The type of trends and their potential risks are presented in the following table. It is important to note, when reading the table, that a risk does not mean that a staffing problem necessarily exists. Rather, it might identify a potential concern about which the PSC may request contextual information.

<b>Trends</b>	<b>Potential Risks</b>
<b>Acting + Extensions</b>	<b>Lack of Fairness (WC)</b>
<b>Temporary Staffing</b>	<b>Lack of strategy, issues of competence</b>
<b>Indeterminate promotions by other WC</b>	<b>Lack of fairness and transparency</b>
<b>Public servants promoted by OC</b>	<b>Lack of transparency (without the right of appeal)</b>
<b>Recruitment by WC</b>	<b>Lack of equity, issues of nonpartisanship</b>
<b>Key issues and grounds</b>	<b>Competency, 3 process issues</b>

## Status

The modernized version of the new Early Warning System is being implemented, and the analysis conducted will be updated once a year. As well, the PSC, following the elimination of the ROST, is developing new ways to collect the information required for the Early Warning System.

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# ACCOUNTABILITY FOR STAFFING

## A Guideline To Staffing

### Performance Reports

5



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## A Guideline to Staffing Performance Reports

This document is a reference tool that can be used by departments to prepare reports for the Public Service Commission (PSC) on their staffing performance. It describes what a departmental report might contain with respect to the result values of competency, representativeness and non-partisanship and the process values of fairness, equity, transparency.

The PSC recognizes that the new reporting requirements will involve a learning process for the departments and the PSC. In other words, we are taking into consideration that it will take some time for departments to develop, with the help of the PSC, their ability to render an account regarding outcomes. Initially, the PSC is expecting that departmental reports will consist of descriptions of the processes that are currently in place and contain very little discussion of the outputs. Over time, we are expecting that departmental reports will have more emphasis on outputs and outcomes.

The PSC expects the content and format of departmental staffing performance reports to vary from one department to another on the basis of factors such as the departmental context, the environment, the size of the organization, and the indicators and assessment methods selected. Moreover, the PSC expects departmental reports to include more than just the positive results that were achieved. It is perfectly acceptable for the reports to deal with the problems affecting certain values and the efforts made to improve the situation.

Finally, The PSC does not see accountability as a one-way street. The PSC encourages the departments to report on PSC policies and guidelines with regard to how they facilitate or pose problems for sound management of the staffing system.

The following are a few examples, by way of suggestion, of what a departmental report to the PSC could contain with regard to the result values of competency, representativeness and non-partisanship and the process values of fairness, equity, transparency.

### Result Value: Competency

Two of the suggested indicators (client satisfaction and productivity level) are proxy indicators for results. We understand that some departments will not be able to report on this level of detail in the first years. If you are able to report on client satisfaction and/or productivity level, it is not necessary that you report annually on the outcome indicators. You may report every two years on some outcome indicators or alternate annually between different outcome indicators as long as they include some of the elements listed below. If you cannot report on departmental client satisfaction or on the general productivity level of employees, there may be some partial indicators that you could use for reporting. For example, if you have a service in which employee productivity standards exist and you are able to do an assessment, then you can use the information in your departmental report. The following are other sources of information that could be reported on:

- ▶ you have a recourse mechanism your clients can use to request re-assessments of decisions made by your employees;
- ▶ you have surveyed your clients on their satisfaction with a specific program;
- ▶ you receive letters of congratulation or complaints from the public regarding a service;
- ▶ you have received an award for the excellence of a product or service, and so on.

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## 2 ACCOUNTABILITY FOR STAFFING

For departments which are not ready to report on outcome indicators, the departmental report to the PSC could include the following:

- ▶ results of analyses of complaints (appeals and investigations);
- ▶ results of follow-up with managers on outside recruitment (probationary period);
- ▶ results of follow-up with managers on internal staffing measures;
- ▶ how staffing strategies reflect the organization's operational needs. For example:
  - Fairly large departments with a significant staffing volume could report on the staffing strategies relating to the main occupational groups directly involved in program and service delivery. There should be discussion of the strategies with regard to recruitment, promotion and maintenance or development of competencies. A number of elements may, for example, be part of departmental strategies: development of competencies linked to the department's business plan or to a new mandate, recruitment and promotion on the basis of generic competencies, professional training programs to bring employees up to the desired competency level, the link between the training and development plans and operational needs, and so on.
  - Small departments with few staffing activities could, in the absence of extensive staffing strategies, report on the practices or initiatives in place to ensure the competencies of the employees recruited and promoted, as well as the measures taken to develop the competencies of employees within their organization.

### Result Value: Representativeness

We expect that departments will report on output—that is, on their demographic data with regard to both recruitment and promotions—while explaining the context in which they have had to operate. For example, in the case of a department in a period of workforce reduction, the department's representativeness strategy may have related more to retention of its employees than to recruitment. In the case of a department which has done little outside recruitment, efforts may have focussed more on improving the self-identification process for employees targeted by employment equity measures.

In addition to reporting on demographic data, the departmental report should include the initiatives undertaken to improve the representativeness of your workforce. These initiatives might include:

- ▶ specific recruitment initiatives such as using Article 5 of the PSEA (section 44 of the Regulation) in order to meet the expected targets
- ▶ initiatives relating to adoption of the new EE Act -- especially the review of employment systems
- ▶ initiatives to eliminate or overcome obstacles in the area of employment equity (physical improvement of facilities, participation of members of target groups in selection interviews, revision of statements of qualification by a special committee, exit interviews with EE-targeted employees, and so on)
- ▶ initiatives to create a favourable work environment (e.g. increasing the managers' and employees' awareness of representativeness issues)
- ▶ initiatives relating to Land Claims Agreements negotiated with Aboriginal groups.

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## Result Value: Non-partisanship

Non-partisanship is a core value of the Canadian Public Service and one of the fundamental reasons for the PSC's existence. In the context of delegating its staffing authority, the PSC is demonstrating its concern for the value of non-partisanship by requiring an attestation statement from the Deputy Head on the following:

- ▶ non-partisanship in the conducting of staffing activities
- ▶ the ability of public servants to perform their duties in a neutral way, despite certain political activities that may be conducted outside the workplace.

The following are a few elements that you could use to provide qualitative support for your departmental attestation statement:

- ▶ implementation of a code of ethics in staffing matters or inclusion of provisions concerning staffing in an existing departmental code of ethics
- ▶ information or training on responsibilities relating to non-partisanship
- ▶ dissemination of an annual reminder to all personnel regarding sections 3.2, 3.3 and 3.4 of the *Public Service Employment Act (PSEA)*
- ▶ identification of a departmental resource person.

## Process Value: Fairness, Equity and Transparency

Ultimately, we expect departments to report on output -- that is, the satisfaction of managers and employees with respect to these process values -- while explaining the context in which they have had to operate. It will not be necessary to report on this level annually. Your reports could alternate from presenting the results of satisfaction surveys to presenting some of the following on a yearly basis:

- ▶ the results of complaints analyses (appeals and investigations)
- ▶ the mechanisms in place or measures taken to ensure respect for these values (e.g., communicating the staffing approach to employees, establishment of a code of ethics covering these values, internal mechanisms for complaints, open communication between management and employees with respect to staffing activities, and so on)
- ▶ the results of your review of staffing practices and processes in regard to these process values (e.g., use of areas of selection, notices of appointment without competition, use of generic statements of qualification where possible, communication with employees, ways in which acting appointments are made, and so on)
- ▶ illustrations of how respect for these values has been demonstrated in specific situations.  
For example:
  - You may refer to a specific situation, such as a major re-organization of a branch or a major workforce reduction situation, to illustrate how transparency has been demonstrated with respect to communication of decisions and equity in the treatment of employees;
  - for small organizations that engage in little staffing activity or that have not been in a special situation on the organizational level, the same examples can be applied, except that the illustration could be based on an individual transaction.

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## Speaking about Reports

The PSC does not recommend or require any specific format for reporting. The format and content of the document are expected to vary according to factors such as the volume and complexity of staffing in departments. However, one element of the report will be common across all organizations: consultation with union representatives. In the staffing accountability framework and in the departmental presentations, we have emphasized the importance of Deputy Heads obtaining the union representatives' reaction regarding the departmental staffing performance report and including that reaction in their report to PSC. The PSC is presently looking for a way to get the input of national union representatives on the health of staffing in the whole Public Service.

## Conclusion

This document has presented some guidelines to help the departments design their reports to the PSC. The examples are not exhaustive and we hope that they inspire you to come up with new ideas.

The objective of departmental feedback to the PSC is to enable us to play our governance role as effectively as possible by taking stock of the health of staffing in the Public Service. We certainly want you to tell us about your successful initiatives, but we believe it is also important that we be informed of problems you encounter, as well as of efforts made or measures taken to correct weaknesses you have found.

We hope this feedback will take place in an atmosphere of trust serving as the basis for a new partnership between the departments and the PSC, in which the PSC would, among other things, communicate information about good practices throughout the Public Service.

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## Appendix: Aide Memoire

This document is made available to help departments and other agencies prepare staffing performance reports as part of the general framework of Delegation and Accountability Agreements.

### 1: General Information

- There is no specified format.
- Reports must be balanced, reviewing both good and poor results.
- Reports must be written; they are signed by the Deputy Head and intended for the PSC (President and Commissioners).

### 2: Content of Reports

- Everything negotiated in the Delegation and Accountability Agreement must be mentioned or commented on in the reports; explanations concerning methodology must be thorough and explicit.
- Reports might start with a background summary dealing with such issues as:
  - Workforce adjustment/ reorganization/ amalgamation
  - Activity level
  - Competency profiles and other initiative
  - Other quantitative and qualitative data.
- Reports must reflect all the staffing components: recruitment along with horizontal and vertical mobility. For each subject, references to Delegation or Specific Agreements, special programs or departmental initiatives are recommended.
- The contents of the reports may be used to meet the information needs of departments, central agencies and Parliament, and add to the total knowledge of Human Resource Management.

### 3: Future Prospects

- Openness to innovations proposed by departments.
- Consideration of potential comments on performance following internal consultation.
- Suggestion to have Deputy Head's certification on each value (long-term).
- Following the tabling of the first report, establishment of an agenda for consultation between the PSC and departments on the deadlines and format for reports; the indicators and criteria for subsequent reports are subject to negotiation depending on context.

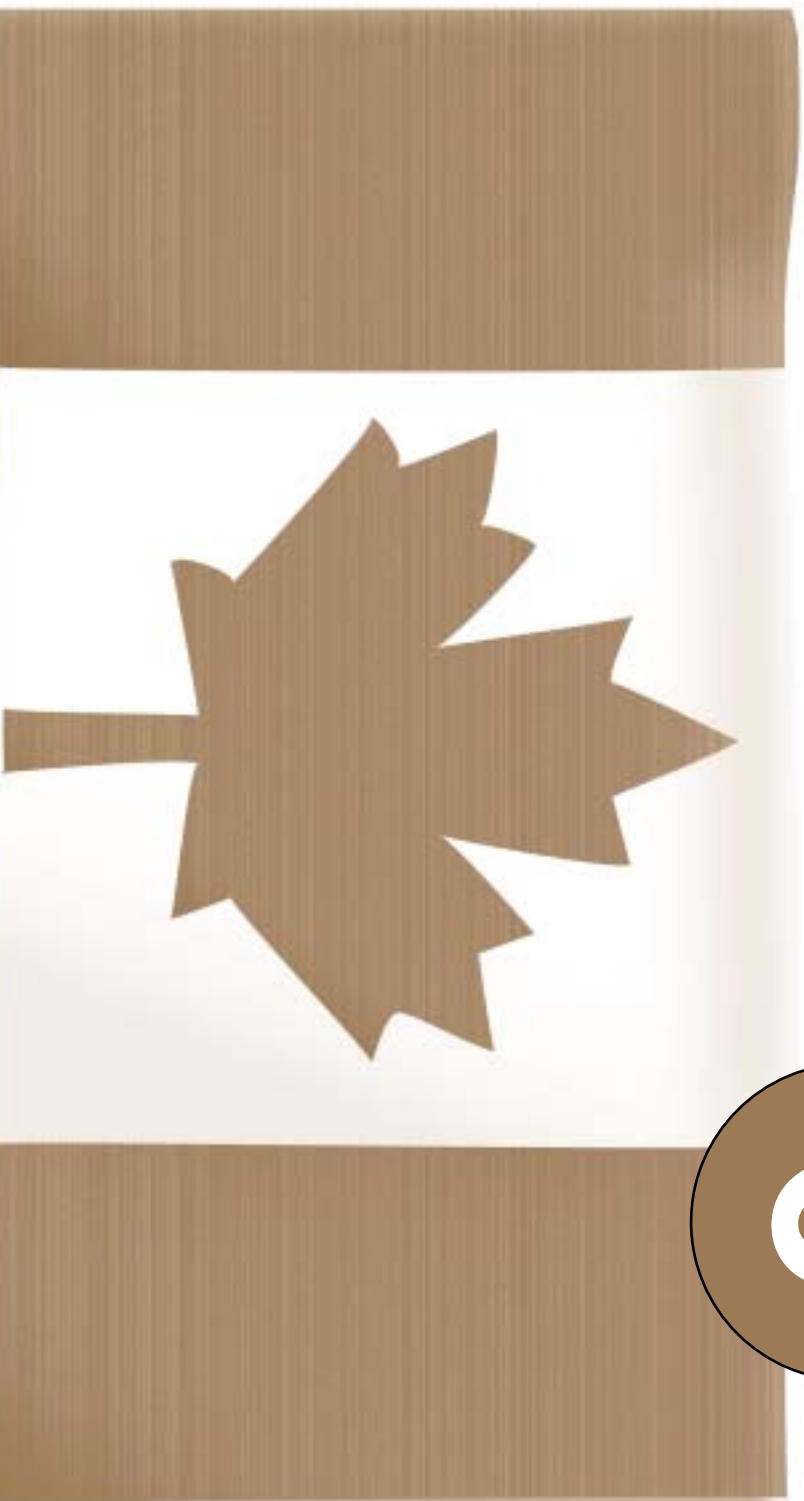
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## ACCOUNTABILITY FOR STAFFING

### Attestation of Departmental

### Staffing Report Reliability

# 6



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**Policy, Research and  
Communications Branch**

**Public Service Commission**

<http://www.psc-cfp.gc.ca/prcb/accountability.htm>



Public Service Commission  
of Canada

Commission de la fonction publique  
du Canada

**Canada**

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## Attestation of Departmental Staffing Report Reliability

The new accountability framework and approach to delegation are based on a relationship of trust between the Public Service Commission and departments and on the development of tailor-made Accountability Agreements. However, in accordance with the comptroller's agenda, and to respect due diligence required of the PSC as the Parliamentary agent in managing the *Public Service Employment Act*, the PSC must ensure that Deputy Head Accountability Reports are reliable. The PSC can not blindly rely on the accuracy of these reports; its Attestation of Reliability must result from a rigorous assessment.

### Reporting to the Commission and Attesting the Reliability of the Reports

Departments will report to the PSC annually and the Deputy Head will be required to seek the employee representatives' input into the departmental staffing performance report before submitting it to the PSC.

Following reception of a departmental performance staffing report, the PSC will attest to its validity.

To do so, the PSC will take into account the information related to:

- ▶ the departmental **infrastructure** in place, which should contribute to the good management of the staffing activities; and
- ▶ the **content of the departmental report**, which should be in line with the values and agreed upon performance indicators.

The PSC will maintain a capacity to obtain further assurance about the reliability of the reports where the information related to the infrastructure in place is judged insufficient and where there is a lack of evidence in the content of the reports. The PSC may then conduct on-site reviews to ascertain the relevance of the information.

Following completion of the attestation of reliability process, the Information Management and Review Directorate (IMRD) will provide information to help the Commission assess the performance of the organization and make appropriate suggestions and/or recommendations. These will be communicated to the Deputy Head.

The following section identifies and explains the elements that the IMRD will use to proceed to the Attestation of Reliability of Departmental Staffing Reports.

## Model of Attestation of the Reliability of Departmental Staffing Performance Reports

The new accountability and reporting regime will result in the PSC being more dependent than ever on information provided by departments and agencies. It is important, therefore, that there be provisions for the Commission to receive objective evidence about the reliability of the information coming from these sources. The reports submitted by departments and agencies should be able to meet the test of an audit based on a generally accepted audit standard, used in conjunction with the provision of assurance services by auditing professionals.

Reliance on departmental reports cannot be blind: the PSC will maintain a capacity to evaluate the reliability of these reports.

The expression \* **attestation of reliability** \* applies to the department's **infrastructure** in place for generating their performance assessment and to the **content of the report** itself.

The **elements** used to proceed to an \* **attestation of reliability** \* are shown in the following example:

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Department's Performance Assessment Infrastructure					Department's Performance Staffing Report Content/ PSC Risk Analysis				
Reliability Elements	-			+	Reliability Elements	-			+
<p><b>1. Coverage of performance Assessment Plans:</b></p> <ul style="list-style-type: none"> <li>• The Department has HR Assessment Plans within the HR Branch or Audit/Evaluation Plans from their Audit/Evaluation Branch</li> <li>• The Assessment Plans include consideration of risk areas in staffing</li> </ul>					<p><b>Report Content</b></p> <p><b>1. The content of the departmental report covers adequately the PSC Mandatory Values/Indicators Negotiated</b></p> <ul style="list-style-type: none"> <li>• Assessment of extent of coverage (Process/ Output/Outcome)</li> <li>• Assessment includes HQ and Regions if applicable</li> <li>• Use of adequate methodology (Measurements Used by Department)</li> </ul>				
<p><b>2. Competence of assessors</b></p> <ul style="list-style-type: none"> <li>• Staffing content expertise (HR Specialists are the Assessors)</li> <li>• Audit and evaluation expertise (Audit/Evaluation Group are the Assessors)</li> <li>• Outside consultants with staffing expertise are contracted</li> </ul>					<p><b>Risk Analysis</b></p> <p><b>2. PSC internal consultations conducted on content of the report:</b></p> <ul style="list-style-type: none"> <li>• PSC risk analysis results reviewed for comparison of trends</li> <li>• PSC HQ Decision Makers (Branch Heads, Account Executives, etc.) will be consulted</li> <li>• PSC Regional Directors + Consultants will be consulted</li> <li>• Results of Thematics will be reviewed if applicable</li> </ul>				
<p><b>3. The department has existing monitoring capabilities within the HR Division</b></p>					<p><b>3. PSC outside environmental analysis conducted</b></p> <ul style="list-style-type: none"> <li>• Information on the department via the PSC and the Departmental Communications Branches</li> <li>• Scanning of media for department staffing issues</li> <li>• Scanning of House of Commons</li> <li>• Parliamentarians' Interventions on the department</li> <li>• Review of the department web site</li> </ul>				

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**Department's Performance Assessment Infrastructure**

Reliability Elements	-				+
4. The department has quality HR information systems for staffing at HQ + regions • People Soft • Other					
5. Other departmental mechanisms in place for generating their performance assessment					

**Department's Performance Staffing Report Content/  
PSC Risk Analysis**

Reliability Elements	-				+

**If non conclusive results**



**If non conclusive results**



**PSC Conducts Potential On-Site Review of the Activities Reports (if and where needed)**

▶ Level Varies:

- Interviews (HR Specialists and Sub-delegated Line Managers)
- Spot checks (limited sample of activities)
- More in-depth focus in specific areas (e.g. Recruitment)

**Overall Rating**

- +

**Overall Rating**

- +

