

MAF Elements and Indicators – 2005

Public Service Values

Through their actions, departmental leaders continually reinforce the importance of public service values and ethics in the delivery of results to Canadians (e.g. democratic, professional, ethical and people values).

Leadership

Leadership recognized internally and externally as demonstrating strong ethics and values behaviour, as evidenced by:

- Leadership communication with employees about expected ethical behaviour and public service values;
- Selection, evaluation, promotion and discharge of leaders based on their conduct with respect to PS values and ethics.

Organizational Culture

Organizational culture reflecting public service values and ethics, as evidenced by:

- Feedback from employees on fairness, respect, satisfaction and engagement;
- Departmental benchmark results and implemented improvements
- Trends in management and program irregularities, regularly reported on and reviewed by management.

Guidelines and Recourse

V&E policies, guidelines, standards, recourse and disclosure mechanisms in place and understood by all employees, as evidenced by:

- Customized codes of conduct, including standards of behaviour, consequences and rewards for exemplary behaviour;
- Effective communication, learning and orientation strategies for the Code of Public Service Values, for customized organizational codes and guidelines and for public service values and ethics in general;
- Appropriate, accessible avenues for employee advice, reports of wrongdoing and resolution of conflicts.

Governance and Strategic Directions

The essential conditions - internal coherence, corporate discipline and alignment to outcomes - are in place for providing effective strategic direction, support to the minister and Parliament, and the delivery of results.

Governance Legitimacy

A legal framework of powers, duties and functions related to the institution (or its Minister) reflective and enabling of its objectives, as evidenced by:

- Programs and activities authorized by and in compliance with the law (e.g. constitutive legislation, the Financial Administration Act, the Charter of Rights and Freedoms, and other applicable statutes or regulations);

- A corporate process to identify areas where legal authority may be lacking or issues of lawfulness, including:
 - a requirement that an assessment of the adequacy of legal authority and lawfulness for new programs and activities be incorporated into the decision-making process when these programs and activities are developed;
 - a process and work plan to review whether current programs and activities are authorized.

Governance Structure

A stable *Management, Resources And Results Structure* (MRRS) as the foundation for results- based management as evidenced by:

- Clearly defined, measurable strategic outcomes that reflect the organization's corporate mandate and vision;
- Clear results outcome statements that are linked to corporate/government-wide priorities;
- PAA sufficiently populated with results and financial information;
- Defined governance structure outlining the decision-making, mechanisms, responsibilities, and accountabilities of the department.

Effective Planning Function

An effective planning function, as evidenced by:

- Approved organizational strategy to integrate business and strategic planning, human resources planning, resource management, and performance monitoring;
- Established process and calendar for corporate planning and decision making
- Operational plans and performance agreements aligned with and linked to strategic plans.

Horizontal Initiatives

Commitment and contribution to the results- based management of horizontal initiatives, as evidenced by:

- Leadership where appropriate;
- Active participation; and
- Responsibilities for horizontal initiatives reflected (including leadership) in performance agreements.

Portfolio Management

An effective portfolio management structure and process in place, as evidenced by:

- Clear direction, leadership and communications;
- Information exchange, sharing of common/best practices;
- Structured consultations on: priority-setting and decision-making, resource allocation and budgeting, policy development and planning
- Committee processes and an organized governance structure;
- Integrative operational mechanisms and shared services;
- Graduated portfolio-based approval processes;
- Integrated mandate and common objectives.

Results and Performance

Relevant information on results (internal, service and program) is gathered and used to make departmental decisions, and public reporting is balanced, transparent, and easy to understand.

Evaluation Function

An effective evaluation function, as evidenced by:

- Capacity of the evaluation function;
- The deputy head as chair of an active evaluation (and audit) committee(s);
- Risk-based evaluation plans;
- Management action plans to address evaluation findings/recommendations;
- Evaluation reports submitted to TBS and posted in a timely fashion (3 months);
- Performance information regularly audited or evaluated;
- Audit and Evaluation or other executive committee review of performance information.

Financial Reporting

Accounting and reporting of financial activities consistent with Government policies, directives and standards, as evidenced by:

- Timely and accurate financial reporting including accuracy of public accounts plates and improvements on the quality and timeliness of departmental financial statements;
- Quality of Central Financial Management and Reporting System (CRMRS) trial balance submissions, including materiality and number of errors and timeliness of corrections;
- Quality presentation and accounting for specified purpose accounts.

Information and Decision-Making

Access to and use of integrated information for corporate decision-making, as evidenced by:

- Integrated information from financial, human resources, payroll, and asset and real property management systems in support of senior management decision making and related to the achievement of strategic objectives; and
- Regular DM and senior management challenge of proposed investment decisions on the basis of integrated information from various sources, linked to strategic objectives.

Performance Reporting

Planning and reporting systems to support executive decision-making as evidenced by:

- RPPs/DPRs reflective of information contained in MRRS;
- DPRs linked to RPPs;
- Electronic, meaningful real-time data linking resources and results.

Learning, Innovation and Change Management

The department manages through continuous innovation and transformation, promotes organizational learning, values corporate knowledge, and learns from its performance.

Innovation and Change Management

Anticipation and management of significant organizational change, as evidenced by:

- Change management strategies at the corporate and “initiative” levels;
- Change management function, assignment of responsibilities and support to change management practices.

Organizational Learning

An organization that learns from its results, as evidenced by:

- An organizational learning strategy incorporating regularly reviewed learning objectives, opportunities and requirements;
- A strategy to determine organizational knowledge needs, and to capture, manage and apply organizational knowledge to shape action and improve results.

Policy and Programs

Departmental research and analytic capacity is developed and sustained to assure high quality policy options, program design and advice to ministers.

Policy Framework

A solid policy framework, as evidenced by:

- Consistency with the departmental mandate;
- Alignment with the government-wide policy agenda;
- Appropriate horizontal linkages to the policy frameworks of other departments;
- Clarity to central agencies and other departments; and,
- Utility in managing competing demands and allocating scarce resources.

Strategic Policy Capacity

A solid strategic policy function and analytic capacity, as evidenced by:

- Ability to anticipate challenges and respond in a strategic rather than a reactive manner;
- Organizational model to harness distributed policy capacity;
- Strong and sustainable community of analysts;

- Policy development process grounded in fact-based analysis with reliable modeling and due regard to implementation and operational matters;
- Outcomes-focused policy and program development informed by past performance;
- Stakeholder engagement to effectively inform policy making without creating expectations that unduly constrain government decision-making.

Risk Management

The executive team clearly defines the corporate context and practices for managing organizational and strategic risks proactively.

Legal Risk Management

Adequate management of legal risk, as evidenced by:

- Ongoing/regular scanning of programs for legal risks, in a manner commensurate with the nature of the department's activities and mandate;
- Senior management engagement in LRM, including the active review, avoidance, mitigation and management of legal risks;
- Effective sharing of information on legal risks, including with Department of Justice and central agencies (in large part to create a whole of government perspective);
- Contingency planning to respond to risks that have materialized.

Risk

Risk as an active factor in decision-making processes, as evidenced by:

- Evergreen executive committee assessment of corporate risks and the status of risk management (Corporate Risk Profile);
- An integrated risk management function (organizational focus) linked to corporate decision making;
- Protocols, processes and tools to ensure the consistent application of risk management principles throughout departmental decision making and delivery; and,
- Continuous organizational learning about risk management and lessons learned from risks successfully identified and mitigated or not.

People

The department has the people, work environment and focus on building capacity and leadership to assure its success and a confident future for the Public Service of Canada.

Workplace

A workplace that is fair, enabling and healthy and safe in order to provide best possible services to Canadians as evidenced by:

- Fair employment and workplace practices and effective labour relations;
- Clear direction, collaboration, respect and support for employees' linguistic rights, diversity and personal circumstances in order to enable them to fulfill their mandate;

- Healthy and safe physical and psychological environment.

Workforce

A workforce that is productive, principled, sustainable and adaptable, as evidenced by:

- The size, mix of skills and diversity of backgrounds to competently perform its duties
- Reflective of Canada's population, respectful of Canada's official languages and performs its duties guided by the values and ethics of the Public Service.
- Renewable and affordable over time.
- Versatile, innovative and engages in continuous learning.

Employment Equity

Embracing Change objectives for visible minorities met, and workforce availability targets met for designated groups, as evidenced by:

- Demonstrated results in meeting *Embracing Change* targets for:
 - recruitment
 - promotions
 - EX appointments
- Specific initiatives planned or underway to meet targets of WFA for:
 - Women
 - Persons with disabilities
 - Aboriginal persons
 - Visible minorities

HR Planning

A well-developed HR planning process integrated with business planning, as evidenced by:

- HR planning aligned with the organization's strategic outcomes and integrated with business planning.
- HR planning that incorporates future needs, effective recruitment and retention, succession planning, learning and diversity.

Official Languages, Language of Work

Legislation and policy on Official Languages in the workplace respected, as evidenced by:

- Composition of the workforce reflecting the presence of both official language communities of Canada.
- Incumbents of positions with bilingual requirements meeting those requirements
- Use of the official language of their choice by employees in bilingual regions.
- Availability of communications, tools and products in both official languages in bilingual regions.
- Availability of training in both official languages.

Performance Review

An effective performance assessment process, as evidenced by:

- Performance agreements that:
 - Have specific outcomes and are results- based
 - Clearly identify expectations in line with Clerk's priorities
 - Require sound financial and human resource management
- Rigorous performance assessment process (e.g. quality and distribution of performance pay) and HR follow up.

Readiness for PSMA Implementation

New legislation and delegations of authority, policies and procedures in place, as evidenced by:

- Collaborative labour relations;
- Training, tool kits, guides and other supports available for managers and HR professionals;
- Current and future needs identified leading to their use in clear staffing criteria ;
- Internal policies, procedures and monitoring to ensure consistent and fair implementation of new act.

Stewardship

The departmental control regime (assets, money, people, services, etc.) is integrated and effective, and its underlying principles are clear to all staff.

Capital Assets

Effective investment planning in capital assets, as evidenced by:

- Adequate information on condition and use of capital assets in support of investment planning;
- A long-term plan that integrates all capital asset classes (real property, materiel and IM/IT); and
- A clear linkage between asset and program delivery.

Financial Analysis

Solid financial analysis, as evidenced by:

- Frequent and accurate year-end forecasts and variance reporting (most especially at mid-year) showing the organization's true financial status;
- Analyses of high-risk areas in relation to reference levels by program activity and major funding approvals (real and projected) including anticipated funding pressures and re-profiling trends; and,
- A reasonable history of carry-forwards and lapses.

Information and IT Management

An IM/IT vision and strategy supportive of the organization's business strategy and government- wide directions, as evidenced by:

- A governance structure that includes program representation and is effective in priority setting of IM/IT investments and resources;
- IM/IT enabled projects that have effective governance and are executed well;
- Strategy and approved plans that reflect a GoC Enterprise approach to common IT services;
- Implementation of Management of Government Information (MGI) Policy strategy, based on an IM capacity assessment; and,
- Integrated privacy and security measures.

Internal Audit Function

An effective internal audit function, as evidenced by :

- An appropriate infrastructure to effectively discharge its internal audit responsibilities as outlined in the Internal Audit Policy (governance structure and appropriate level of resources);
- A completed risk-based audit plan; and
- All reports including progress reports are submitted to TBS for follow-up activities.

Management of Transfer Payments

Effective Transfer Payment Program management in place, as evidenced by:

- Timely renewal of transfer payment programs;
- Departmental internal audit plans include provision for the review of internal management policies, practices and controls of transfer payment programs;
- Regular audit of transfer payment programs and timely follow-up.

Materiel Management

An appropriate materiel management framework in place as evidenced by:

- Clear accountabilities consistent with organizational capacity; and
- Reliable life- cycle cost and performance information that supports decision- making.

Procurement and Contract Management

Risk-based approach to procurement and contracting management, as evidenced by:

- Clear delegations of authority are tied to knowledge and capacity;
- Demonstrated compliance with delegated contracting authorities and conditions identified by Treasury Board policy; and,
- Explicit oversight, monitoring and on- going review of procurement and contracting function and processes (e.g. Contracts Review Committee, quality of contracting data, timely completion of contracts over \$10,000 disclosure information, implementation of audit recommendations where applicable, etc);
- Methods for procuring demonstrating the most cost-effective end-to-end process.

Project Management

Risk-based project management approach as evidenced by:

- An integrated, achievable up-to-date long-term capital plan or planning document in place that is being implemented (linked to the organization's key priorities);
- Explicit project management accountability framework, that addresses decision- making and oversight and effective monitoring and ongoing review;
- Properly resourced projects (e.g. project management capacity, appropriately trained officials);
- Demonstrated compliance with delegated project approval requirements and conditions identified by Treasury Board.

Quality of TB submissions

Quality TB submissions, as evidenced by:

- Draft submissions regularly vetted through common departmental quality control to ensure consistency, clarity and conciseness;
- Accurate, substantiated and comprehensive financial components; and
- Frequency with which TB conditions are imposed.

Real Property

An implemented real property management framework to meet its obligations under TB Real Property policies, as evidenced by:

- An organizational structure which includes clear accountabilities and appropriate delegations;
- Integrated support systems; and
- An information management framework to provide complete and accurate inventory data.

TB conditions

Organizational compliance with conditions imposed by TB, as evidenced by:

- Timeliness of compliance;
- Adequate engagement with TBS; and
- Appropriate reporting.

Citizen-focussed Service

Services are citizen-centred, policies and programs are developed from the "outside in", and partnerships are encouraged and effectively managed.

External Service Delivery Strategy

Client centred external service delivery strategy that drives efficiencies, respects client privacy rights and reflects an enterprise view of government services and that results in effective external service delivery, as evidenced by:

- Review of key public-facing services to achieve measurable improvements in responsiveness to client needs, effectiveness and value for money; partnerships with other programs, organizations or jurisdictions to achieve more client-centric or cost-effective service delivery or to align program rules and regulations (e.g., MOUs/service level agreements in place when partnerships established);

- Measurement of the cost-effectiveness of delivery by channel and migration of clients to lower cost channels where appropriate; and
- Measurement of client satisfaction in a transparent way (e.g., reporting to clients and Parliament) using the Common Measurement Tool, and use of the results to guide continued improvement in client satisfaction.

Government-wide Services

Internal service delivery supportive of enterprise-wide (Government of Canada-wide) approach (e.g. shared and common services and infrastructure in IT, HR, Finance, Materiel), as evidenced by:

- Commitments met on using Secure Channel services (timing and transaction volumes);
- Active participation in enterprise-wide initiatives and adoption of Shared service and systems.

Official Languages for External Service Delivery

External communications in both official languages, as evidenced by:

- Availability of communications, tools and products in both official languages, for external services to clients.

Service Delivery and User Fees

Compliance with service delivery and user fee requirements, as evidenced by:

- Performance information for all user fees to which the Act applies; it is based on the DPR (or an alternative report employed by the department) and observations of departmental compliance with the User Fees Act relative to the disclosure of service standards.

Accountability

Accountabilities for results are clearly assigned and consistent with resources, and delegations are appropriate to capabilities.

Authorities and Delegations

Compliance with approved financial authorities and delegations, as evidenced by:

- Issues identified through departmental contacts, Internal Audit reports, OAG reports, by Program Sectors, and through review of media reports or other relevant sources of information.