Canadian Human Rights Commission

Modern Comptrollership Capacity Assessment

Final Report

September 29, 2003

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Introduction

❑ This document presents the results of the Modern Comptrollership Capacity Assessment conducted within the Canadian Human Rights Commission (CHRC) between June and July 2003.

❑ The objective of the Modern Comptrollership Capacity Assessment was to carry out a comprehensive assessment of the state of modern management practices within the CHRC in relation to the recommendations made in the 1997 Report of the Independent Review Panel on Modernization of Comptrollership in the Government of Canada.

❑ Modern Comptrollership is an initiative focused on the sound management of resources and effective decision-making. Modern Comptrollership is about modern management practices.

❑ The assessment compares the Commission with best practices for Modern Comptrollership and provides information to assist management in developing plans for improvements to modern management practices.

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Context of the Canadian Human Rights Commission

❑ The Canadian Human Rights Commission is headquartered in Ottawa and employs 208 FTE's with total Voted Appropriations of approximately $22.6M. The Commission was established with the introduction of the Canadian Human Rights Act in 1977. Its mission is:

- ▪ "To protect and advance human rights by providing a forceful, independent and credible voice for promoting equality in Canada."

- ▪ "To discourage discrimination and disadvantage and ensure compliance with the *Canadian Human Rights Act* and the *Employment Equity Act*."

- ▪ "To share our experience and cooperate with human rights institutions in Canada and in other countries." [1]

❑ The Commission is currently undergoing a significant renewal exercise to become a more responsive organization and improve work processes. The renewal initiative supports the implementation of modern management at the Commission.

❑ As a Federal Government entity, the Commission is required to assess its Modern Comptrollership capacity. Accordingly, all sub-elements of Modern Comptrollership were examined and assessed in relation to the pre-defined criteria and ranking scales.

❑ It is important to recognize that while all principles of Modern Comptrollership apply to the Commission at some degree, not all sub-elements are as relevant to the Commission as they may be to larger, more complex organizations. In certain cases, an advance level of sophistication may not be cost-effective or required for a smaller organization. Therefore, it is essential to interpret the Modern Comptrollership assessment ratings in relation to organization mandate, size, operations, and available resources. Regardless of scale definitions and ratings, an organization should always be looking at opportunities to improve its management practices.

[1] CHRC Report on Plans and Priorities, 2003-04 Estimates

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Approach

❑ The Modern Comptrollership Capacity Assessment covered all functions and organizational units within the Commission. Documents were examined and interviews were conducted with approximately 28 senior level executives and managers. In addition, 2 assessment workshops were held with a cross-section of managers representing various areas of the organization. A listing of interviewees and workshop participants is included in Appendix A.

❑ The report was circulated for comment to Executive Committee members of the Commission, and one validation session was held to receive feed-back and update the information accordingly.

Results Obtained

❑ Participation in the interviews and work sessions was excellent. The approach for the ratings of modern comptrollership capability was a self-assessment facilitated by Deloitte & Touche. The ratings reflect the common view of work session participants, and as such they are considered a fair reflection of the Commission's modern comptrollership capabilities.

Next Steps

❑ Establish priorities for action, based on the improvement opportunities identified.

❑ Develop an action plan outlining required activities, timelines, responsibilities and expected results.
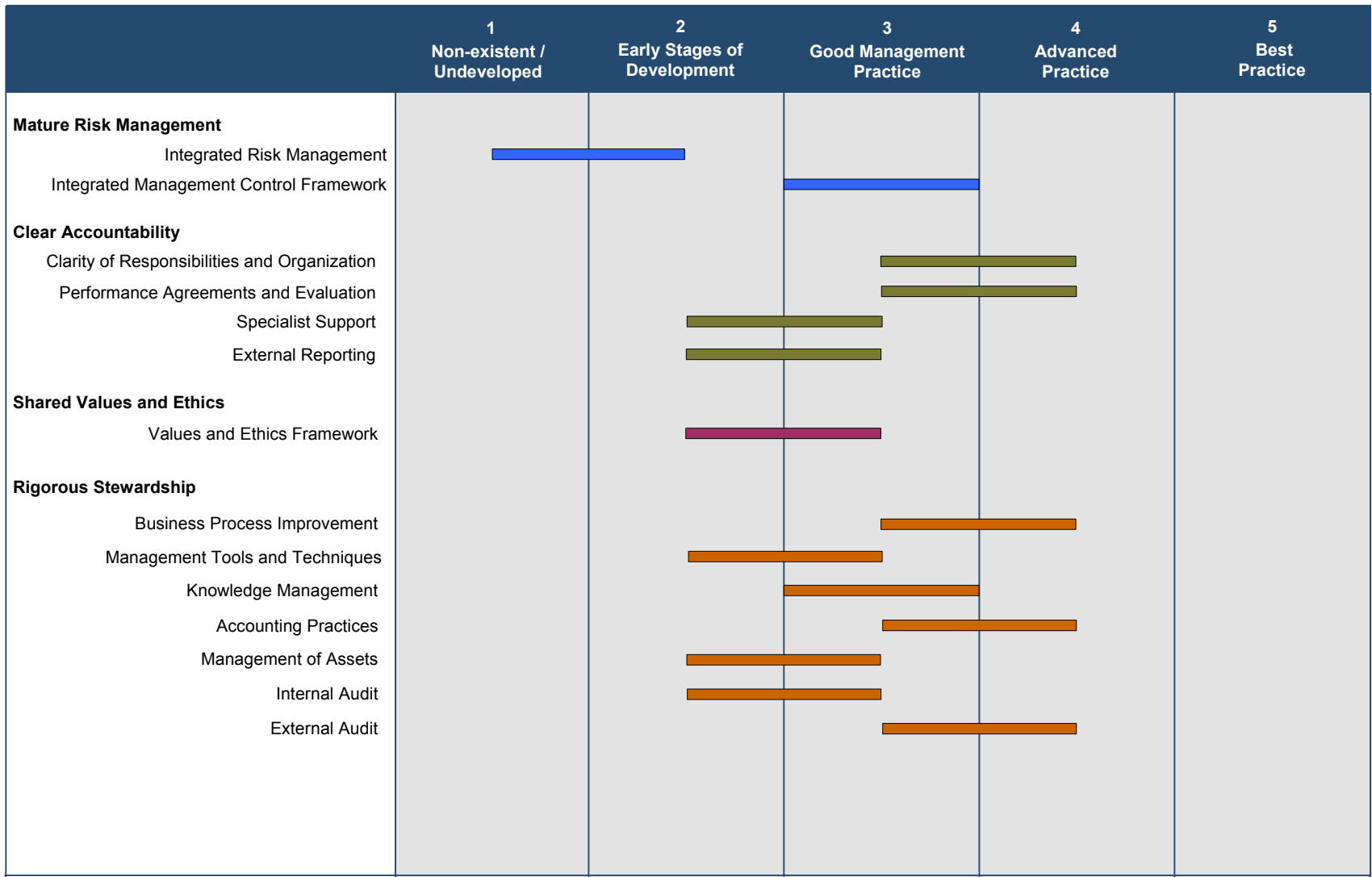
❑ Engage the organization to implement the action plan.

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Overview of the Ratings

	1 Non-existent / Undeveloped	2 Early Stages of Development	3 Good Management Practice	4 Advanced Practice	5 Best Practice
Strategic Leadership					
Leadership commitment			███	███	
Managerial Commitment			███	███	
Senior Departmental Functional Authorities			███	███	
Planning			███		
Resource Management			███	███	
Management of Partnerships		███			
Client Relationship Management		███	██		
Integrated Performance Information					
Integrated Departmental Performance Reporting			████		
Operating Information		███			
Measuring Client Satisfaction		███			
Service Standards		███			
Evaluative Information		███			
Financial Information			████		
Cost Management Information		███	██		
Motivated People					
Modern management practices competencies		███	██		
Employee satisfaction			███	███	
Enabling Work Environment			████		
Sustainable Workforce			███	███	
Valuing People's Contribution			███	███	

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Overview of the Ratings

	1 Non-existent / Undeveloped	2 Early Stages of Development	3 Good Management Practice	4 Advanced Practice	5 Best Practice
Mature Risk Management					
Integrated Risk Management	███				
Integrated Management Control Framework			███		
Clear Accountability					
Clarity of Responsibilities and Organization			███		
Performance Agreements and Evaluation			███		
Specialist Support		███			
External Reporting		███			
Shared Values and Ethics					
Values and Ethics Framework		███			
Rigorous Stewardship					
Business Process Improvement			███		
Management Tools and Techniques		███			
Knowledge Management			███		
Accounting Practices			███		
Management of Assets		███			
Internal Audit		███			
External Audit			███		

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Summary of the Improvement Opportunities To Consider

Strategic Leadership	☐ Maintain visible leadership across stakeholder groups. ☐ Create a better awareness and understanding of modern management (particularly in the middle management cadre) as it relates to initiatives currently underway at the Commission. ☐ Determine whether the approach to conduct stakeholder consultations as part of the planning process should be formalized. ☐ Incorporate a risk management exercise as part of the annual strategic planning (priority-setting) session after completion of the planned risk management framework. ☐ Determine how considerations related to value for money and results achieved may be incorporated within decisions on resource allocation. ☐ Consider whether a policy on the management of partnerships should be developed in order to articulate strategy for entering into partnership agreements, and to help determine the benefits of potential partnerships. ☐ Further define how the concept of client may apply to the Commission and where appropriate, develop client service strategies and establish mechanisms to manage client relationships.
Integrated Information	☐ Continue the development of RMAF's for the Employment Equity Branch and the Human Rights Complaints Management process ☐ Further develop the corporate / organization-wide performance management framework, continue to integrate performance management across the organization, and develop processes and systems to report performance to external stakeholders on an integrated basis. ☐ Once reengineering efforts are completed, consider seeking feedback on the process for managing complaints, using clear and specific questions or criteria as part of a client survey. ☐ Involve stakeholders in the development of new / updated service standards and formalize such standards once processes are further streamlined. ☐ Continue promoting the importance of the finance function and financial management, to achieve a better understanding and a greater sense of ownership for financial information across middle management levels. ☐ Further define and explain to responsibility centre managers the benefits of tracking costs at the activity level and/or by project. ☐ Determine whether there may be an opportunity to track time spent on activities and compare to actuals in order to improve forecasting.
Motivated People	☐ Ensure that management competencies are assessed as part of the Human Resources Management Framework. ☐ Continue efforts to to reinforce the Commission's dedication to work-life balance and determine whether additional steps should be taken to create a greater awareness of the importance of maintaining work-life balance. ☐ Continue efforts to ensure that the Commission's Award and Recognition Policy is successfully implemented; ensure that the nomination process for rewards and recognition is not time consuming and allows all managers and staff to participate in the process.

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Summary of the Improvement Opportunities To Consider (cont'd)

Mature Risk Management	☐ Develop a risk management policy which defines how integrated risk management may be applied in the context of the Commission's mandate. ☐ Develop a risk management framework, including a risk profile and definition of risk tolerances. ☐ Ensure that the policy and framework are developed in consultation with the Commission's staff and that implementation is successful.
Clear Accountability	☐ Determine whether responsibilities and accountabilities of certain working teams within the renewal initiative should be further clarified. ☐ Continue efforts to ensure that performance agreements and performance appraisal are completed for all managers and staff. ☐ Continue efforts to provide greater clarity on the role of specialist support functions, to strengthen certain support functions, and to further integrate functional expertise within decision-making processes. ☐ Determine whether external reports should include additional information related to trend analysis.
Shared Values & Ethics	☐ Develop and promote a formal ethics framework, and further develop organizational culture in relation to ethics.
Rigorous Stewardship	☐ Continue efforts for the renewal initiative, and ensure that each process is reviewed, documented, formalized and communicated to all staff. ☐ Continue efforts to ensure that the Information Technology Innovation (ITI) project is successful and provides required tools and techniques for effective management of Commission operations. ☐ Continue efforts to strengthen the management of assets.

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Comptrollership Capacity Assessment Framework

❑ In the following pages, definitions are provided for each sub-element of modern comptrollership.

❑ An outline of the assessment information, the identified opportunities for improvement, and the assessment ratings are presented for each criteria of the seven Comptrollership Capacity Assessment elements:

- Strategic Leadership
- Integrated Performance Information
- Motivated People
- Mature Risk Management

- Clear Accountability
- Shared Values and Ethics
- Rigorous Stewardship

❑ A detailed definition of the assessment ratings (1, 2, 3, 4, 5) for each individual criteria of the seven elements is provided within the report. The high-level definition for each of the ratings are as follows:

- The modern management practice is rated as being:
    - 1 - In the design stage or undeveloped
    - 2 - In the early stage of development
    - 3 - Good management practice
    - 4 - Advanced practice
    - 5 - Industry best practice

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Comptrollership Capacity Assessment – Definitions

Strategic Leadership

- *Leadership commitment*
  Awareness and commitment of deputy head and senior management to establishing and implementing a modern management practices environment

- *Managerial commitment*
  Awareness of managers of their modern management practices responsibilities, and commitment to implementing them

- *Senior departmental functional authorities*
  Extent to which senior departmental functional authority and supporting organization are used for objective commentary and independent advice

- *Planning*
  Strategic, business and operational planning, and the linkages between them and to resource allocation

- *Resource Management*
  Mechanisms for ranking program options, identifying funding requirements, allocating resources, budgeting and forecasting

- *Management of partnerships*
  Partnerships are used extensively by the organization in support of service delivery by leveraging the capabilities of external stakeholders, partners, and other government organizations

- *Client relationship management*
  Commitment to consciously strengthening relationships with client organizations, and to integrating and coordinating how client services are developed and delivered

Integrated Performance Information

- *Integrated departmental performance reporting*
  Key measures exist to monitor overall organization-wide performance and best-value results

- *Operating information*
  Measures and systems to monitor service quality and efficiency of program delivery

- *Measuring client satisfaction*
  Utilization of client survey information on satisfaction levels, and importance of services

- *Service standards*
  Monitoring against client service standards and maintaining and updating standards

- *Evaluative information*
  Utilization of non-financial information related to program effectiveness and outcomes

- *Financial information*
  Reliable financial information is available in a timely and useful fashion

- *Cost management information*
  Mechanisms for using activity/product/results-based costs

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Comptrollership Capacity Assessment – Definitions (cont'd)

Motivated People

- ***Modern management practices competencies***
  Extent to which modern management practices competencies are defined and managers have access to training

- ***Employee satisfaction***
  Mechanisms in place to monitor employee morale and staff relations

- ***Enabling work environment***
  Practices for communication, wellness, safety and support that enable staff to provide client-focussed delivery while reaching their full potential

- ***Sustainable Workforce***
  The energies of staff are managed wisely to help sustain the organization's viability

- ***Valuing peoples' contributions***
  Extent to which the organizational culture fosters staff participation, team building, sharing of ideas, risk taking, innovation, and continuous learning; and rewards or provides incentives for such behaviour

Mature Risk Management

- ***Integrated risk management***
  Measures are in place to identify, assess, understand, act on, and communicate risk issues in a corporate and systematic fashion

- ***Integrated management control framework***
  Appropriateness of management controls in place, and linkages between controls through an integrated control framework

Clear Accountability

- ***Clarity of responsibilities and organization***
  Clarity of assignment of responsibilities and accountabilities throughout the organization

- ***Performance agreements and evaluation***
  Extent to which the achievement of financial and operating results is embedded in performance agreements

- ***Specialist support***
  Availability of top-flight counsel to help managers make judgment calls on modern management and operational issues

- ***External reporting***
  Extent to which Parliamentary, central agency and key stakeholder information reporting requirements are met

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Comptrollership Capacity Assessment – Definitions (cont'd)

Shared Values & Ethics

- *Values and ethics framework*
  Leadership of policies and activities that visibly support the ethical stewardship of public resources and give priority to "modern management practices"

Rigorous Stewardship

- *Business process improvement*
  Extent to which processes are clearly understood, are conducted in a uniform fashion, and are continuously improved in line with best practices

- *Management tools and techniques*
  Range of analytical techniques (e.g., cost-benefit, sensitivity, life cycle, benchmarking) available to managers

- *Knowledge management*
  Performance/management information is readily accessible to internal and external users via technology, and lessons learnt are shared across the organization

- *Accounting practices*
  Records of financial transactions are kept on a consistent and useful basis for purposes of audit and reporting, and are consistent with generally accepted accounting practices and the Financial Information Strategy (FIS)

- *Management of assets*
  Assets are managed and utilized efficiently based on a lifecycle approach, records of assets are maintained, and assets are accounted for on an accrual basis according to GAAP/FIS.

- *Internal audit*
  Strong internal audit program is in place, and audit results are a critical input to management decision-making

- *External audit*
  Process for ensuring adequate attention to results and recommendations of external audits of department operations

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Strategic Leadership

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Leadership Commitment

Assessment Information	Opportunities for Improvement
☐ With the appointment of a new leadership team, including both the Chief Commissioner and Secretary General, the Commission has begun a renewal of service delivery in order to create a more effective and responsive organization. ☐ The Chief Commissioner issues regular communications explaining the direction of the Commission. ☐ Senior management has demonstrated leadership in the adoption of modern management practices. This leadership is evident in the Commission's business plan, and throughout the Commission's renewal initiative. The renewal initiative is a change management initiative which brings the organization together in multi-disciplinary teams to challenge existing practices and redesign processes to reduce the backlog of human rights complaints and reduce processing time. The initiative is about creating a culture of continuous improvement. ☐ As part of the Commission's renewal, service delivery is being addressed to improve processes in order to reduce cycle time, and the Alternate Dispute Resolution Services branch has been introduced. ☐ The Commission's 2003-2004 Business Plan and Report on Plans and Priorities, as well as the annual report each reflect Modern Management priorities, including the strengthening of its management framework. ☐ An RMAF is being developed for the Employment Equity branch and another is planned for the Human Rights Complaints Management process. The Commission is taking steps to develop an organization-wide performance management framework. ☐ The RPP identifies plans and priorities by strategic objectives, and the DPR reports performance against the stated objectives. ☐ Senior management has demonstrated leadership in the implementation of modern comptrollership practices, including the provision of modern comptrollership objectives in senior management performance agreements. ☐ The Chief Commissioner and the Secretary General made numerous presentations about the Commission's renewal initiative to several key federal departments and agencies, and many stakeholder representatives, including the Minister of Justice, the Deputy Minister of Justice and the Office of the Auditor General. In total, approximately 20 bi-lateral meetings were held, resulting in a comprehensive outreach of key stakeholders. ☐ A project management office has been established to support the implementation of Modern Comptrollership, and facilitate the effective implementation of modern management at the Commission.	☐ Mechanisms are not yet fully in place to allow for integrated performance reporting. There is an opportunity for the Commission to maintain visible leadership across stakeholder groups and continue the development of its performance management frameworks and systems to allow for integrated performance reporting.

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Leadership Commitment

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	2	3	3.5	4	5
Leadership commitment *Awareness and commitment of deputy head and senior management to establishing and implementing a modern management practices environment*	Deputy head and senior management have only limited knowledge of the modern management practices focus.	Deputy head and senior management have a broad understanding of the concept of modern management practices, and recognize the need for change. Deputy head has initiated steps to report performance on an integrated and consolidated basis, including financial and non-financial. Deputy head has developed a short and longer-term plan to improve modern management practices, and has put in place an organization to promote modern management practices. Performance information, accountability and stewardship are high on senior management's agenda.	Deputy head and senior management are highly committed and supportive of modern management practices mindset, and commit resources to implementing modern management best practices. Senior management has established mechanisms to report performance on an integrated and consolidated basis. Deputy head is able to report on extent to which government-wide standard for modern management practices has been met in the department, and makes periodic representations to the Minister and central agencies.		A modern management practices ethos permeates the department and its decision-making process. Deputy head and senior management have created a climate wherein creativity and responsible risk taking are encouraged, barriers are broken down between functions, and business decisions are challenged. Risks are discussed openly by senior management. Senior management is actively reviewing service delivery mechanisms. Deputy head is able to report to the Minister and Parliament with confidence on performance results achieved.	Department is recognized amongst peers for leadership in implementing modern management practices. Deputy head has earned a high level of trust from central agencies and Parliamentarians, who have high level of confidence in the effectiveness and integrity of the systems used to administer programs, and in the accuracy and completeness of the information about that administration. Deputy head and senior management have established a forward-looking approach to modern management practices to assess department's capacity to sustain desired performance levels in the future.

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Managerial Commitment

Assessment Information

- Through the renewal efforts, there is managerial commitment to encourage and contribute to the implementation of modern management practices.
- Managers were provided with Modern Comptrollership training, and have been responsive to the changes under the Commission's renewal initiative.
- Resources have been committed for performance measure development, logic model development and to improve report tools and techniques.
- Best practices are shared as part of the Small Agencies Administrators Network (SAAN).
- Project initiatives are aligned with performance objectives disclosed in the Report on Plans and Priorities. Improvement initiatives are developed with specialist input using various cross-functional teams.
- While managers are increasingly referring to functional specialists in an advisory capacity, there is a perception that such expertise may not always be fully leveraged as part of decision-making.
- The Commission is making significant progress towards implementing modern management concepts, however there are still some managers and staff who are unclear as to what is meant by modern management.

Opportunities for Improvement

- Create a better awareness and understanding of modern management as it relates to initiatives currently underway at the Commission (particularly in the middle management cadre).
    - This may involve awareness training and reporting of activities in relation to Results for Canadians and/or the new management accountability framework developed by TBS.
    - This may also involve linking initiatives underway at the Commission to specific management practices and communicate them in terms of the modern comptrollership pillars / enablers.

	1	2	3	3.5	4	5
Managerial commitment *Awareness of managers of their modern management practices responsibilities, and commitment to implementing them.*	Control is seen as "compliance" and is still considered the main ingredient of comptrollership by both operational and financial managers. Operational managers focus on running the business and count on "corporate" to ensure that the rules, regulations and reporting requirements are being met. They are not familiar with modern management best practices. Financial concerns primarily evolve around availability of funds to carry out initiatives.	Managers understand their management authorities, (e.g., financial, contracting) and those of their staff. They are aware of their responsibilities for probity and prudence and the protection of assets under their control. Plans and initiatives are not subject to a business case analysis beyond the funding issue. Program initiatives are developed without any specialist input. Managers are not always familiar with functional specialties and vice versa.	Managers see the continuous improvement of management practices as part of the job and seek the support of functional specialists. Managers are aware of their modern management responsibilities, and accept accountability for resources entrusted to them. Management implications (e.g., financial, HR, information technology, asset management) are assessed in operational plans and new program initiatives.	Managers are highly committed and supportive of the modern management practices mindset, and have committed resources to implementing improved management practices. Managers develop and integrate the supporting modern management practices (e.g., financial, HR, IT, procurement, asset management) when implementing new program or service delivery initiatives.		Managers see controls as mechanisms to identify risks, opportunities and respond to the unexpected. They apply modern management concepts in their day-to-day operations. Managers integrate financial and non-financial information in their decision-making. Managers are always seeking new and innovative management practices, and share best practices across the organization.

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Senior Departmental Functional Authority

Assessment Information

- Roles of senior functional authorities are clearly defined and they are involved in decision-making and strategic advice.
- The executive management team has set the tone by regularly consulting with senior functional authorities in decision-making. Functional authorities are included in management meetings to ensure that strategic functional advice is provided.
- Senior functional authorities are beginning to fill a more prominent role within the Commission, and are increasingly seen in an advisory capacity.
- The various branches are now beginning to work with the senior functional authorities to achieve goals. Examples include the simplification of the procurement process in special circumstance, as well as the introduction of acquisition cards to expedite the purchase of medical records.
- Working groups, which include functional specialists, have been created to assess impacts to the organization of any proposed changes.
- Senior functional authorities are increasingly playing a leadership role and there is increased value placed on their services.

Opportunities for Improvement

- The Commission appears to have sufficient senior functional authority expertise available to support executives. Accordingly, no specific improvement opportunities are identified relating to Senior Departmental Functional Authority.

	1	2	3	3.5	4	5
Senior departmental functional authorities *Extent to which senior departmental functional authorities and supporting organizations are used for objective commentary and independent advice*	No clear functional authorities (e.g., SFO, HR, CIO) within the organization. Role of functional authorities is seen primarily as transaction or process oriented (e.g., maintaining records and controls, processing). Advice is focused mainly on the process.	Senior departmental functional authorities and staff assist the executive team in assessing the management implications of major decisions (e.g., financial, HR). Senior functional authorities are often called upon to provide strategic advice, while supporting organization is primarily transaction or process oriented.	Senior departmental functional authorities and staff are senior members of the executive team, and are often called upon to provide strategic advice and support in new program initiatives/ changes. Scope includes not only functional matters, but also effectiveness/efficiency of service delivery and management controls and practices required.		Senior departmental functional authorities and organization are playing a leadership role in integrating processes and systems to ensure the department is making sound business decisions, maintaining controls, managing long term risks, and achieving high standards of performance. Role of functional authority is well understood and highly valued.	The senior departmental functional authorities and their organizations are recognized as leaders among peers, and are perceived within the department as having strong technical and strategic expert advisory capabilities.

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Planning

Assessment Information	Opportunities for Improvement

□ The Commission uses a very structured and timely planning process, which results in clear linkages between objectives, priorities, plans and budgets.
□ The Commission's planning process is as follows:
    □ A priority-setting session is held whereby each branch identifies areas for improvement.
    □ The identified areas/issues are shared and distilled by the senior management team, which develops the corporate business plan and the Report on Plans and Priorities.
    □ Branch plans are developed based on the organizational priorities and business plan.
    □ Branch plans are shared across functions, allowing for transparency and to challenge assumptions and conclusions.
    □ Resources are allocated to priority items.
□ Strategic priorities identified are reported in the business plan. Formal discussions are held about priorities on a regular basis at the Executive level.
□ Stakeholder input is solicited as part of the planning process, however the Commission does not have a formal approach to consult stakeholders as part of the planning process.
	□ There is an opportunity to formalize the approach to conduct stakeholder consultations as part of the planning process, however there may be benefit in waiting until renewal efforts are completed.
	□ There may be an opportunity to incorporate a risk management exercise as part of the annual strategic planning (priority-setting) session, after completion of the planned risk management framework.

	1	**2**	**3**	**4**	**5**
Planning *Strategic, business and operational planning, and the linkages between them and to resource allocation*	Business plans are developed independently of strategic plan. Little or no effort is made to reconcile the two. Business planning is done on an inconsistent basis across the organization. Corporate business plan meets central agency reporting requirements but is primarily focused on financial information. No effort is made to link/reconcile branch business plans. Plans, once prepared, are seldom used in support of program delivery.	Strategic and business plans are prepared independently. Branches prepare business plans independently. Business plans are primarily focused on meeting central agency reporting requirements. HR, IM, and other horizontal issues are addressed on a project-by-project basis, and are only partially reflected in business plans. Some effort is made to ensure consistency between business plans and strategic plan or to reconcile branch business plans.	Desired results, strategic priorities and resources are clearly stated in business plans. Strong linkages exist between strategic objectives and priorities, business plans, and operational plans and budgets. Business plans are comprehensive and reflect resources from all functional areas. Resources are adjusted annually to reflect priorities. Strong linkages between branch business plans. Results achieved in business plans are monitored against strategic priorities.	Strategic and business plans highlight organization-wide issues, major risks, and the resource implications. Assumptions are periodically challenged to ensure continued relevance. Plans reflect needs of clients/ stakeholders who are consulted as part of the process. Business plan resources/ performance targets reflect strategic priorities. Results achieved are monitored on a trend basis against strategic priorities. Plans/ resources are adjusted to reflect performance results.	Clients participate in the business planning process. Plans are used as an integral component in program management. Program outcomes are reported regularly against both strategic and business plans on a trend basis. The plans and process are highly integrated. Plans are cascaded across the organization, and are easily accessible through organization-wide information system. Plans and resources are revised periodically to reflect performance results.

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Resource Management

Assessment Information

- Resource allocation is decided by the Executive Committee, based on priorities and branch business plans.
- The Alternate Dispute Resolution and Legal Services branches have undergone activity-based costing exercises, to estimate resource requirements, and make adjustments as required.
- Mechanisms are in place to bring funding pressures to the attention of the Executive Committee for potential reallocation of resources between branches.
- Budget reviews are performed at mid-year and in December-January. The reviews entail comparing a list of all plans remaining for the year to available resources. For funding pressures experienced, managers provide a business case to the Executive Committee, including the purpose of the activities under pressure and the potential impact of not receiving additional funding. The Executive Committee may choose to reallocate funds. In such case, reallocations are communicated by e-mail.
- Major variances are analyzed and investigated by the Senior Full-Time Financial Officer (SFFO), who seeks explanations from responsibility centre manager. Senior managers are held accountable, for budget variances as per their accountability accords.
- Managers are responsible for updating their expenditure forecasts, and are beginning to work more closely with the SFFO in managing their resources. The SFFO provides comments on managers' assumptions and plans.

Opportunities for Improvement

- Mechanisms in place are considered effective for managing resources. Allocations are based on priorities while re-allocations are based on budget pressures. Given these well established allocation mechanisms, the Commission may now also consider value for money and results achieved when making decisions on resource allocation.

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Resource Management

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2**	**3**	**3.5**	**4**	**5**
Resource management *Mechanisms for ranking program options, identifying funding requirements and allocating resources, and budgeting and forecasting*	No systematic/formal approach or process to resource allocation, budgeting or forecasting. Resource levels are adjusted on an incremental basis from year to year. Budgets are primarily concerned with allocating expenditure or cash targets. Limited consultation or involvement of operational staff in budgeting and forecasting. No commentary on budget or forecasts, and assumptions are not documented. Financial information and analysis is not integrated into the evaluation of program options and priorities.	Resource levels are reviewed periodically through program and other funding reviews. Resource levels are adjusted for new activities/priorities, and are managed independently by each organizational unit (e.g., branch, region). There is a clear formal process for budgeting. Budgets and forecasts are prepared by finance based on a broad understanding of longer term plans and base assumptions provided by operational staff. Forecasts are not reviewed for realism of assumptions. Actual results rarely correspond to forecasts. Reforecasts are infrequently prepared and in little detail. There is limited commentary prepared for the financial assumptions.	Resource planning models are used to estimate resource requirements. Mechanisms are in place to facilitate resource re-allocations between branches/ regions. A business case approach is used to allocate resources. Budgets are prepared by operational staff with advice and input from finance staff, and are clearly linked to strategic/ business plans. SFO and staff develop the budgeting framework and communicate it to managers. The budget clearly identifies objectives and assumptions. Elements are budgeted on basis of assumed consumption. Lifecycle costing is used to identify the full resources required. Forecasts are reviewed for realism of assumptions, and quarterly re-forecasts made. Managers conduct variance analysis and justify variances. SFO and staff provide both a challenge and advisory function to managers.		Mechanisms are in place at the organization level to help make choices between competing priorities and to reflect changes in business plan objectives/ assumptions. Managers at all levels are involved in resource allocation/ re-allocation decisions. Budget re-allocations decisions are fully transparent. The resource allocation culture supports openness and flexibility. Budgets are closely linked to the costing approach, and link resources to activity and program/product costs. The processes for budgeting and forecasting are streamlined. Data is input directly into a financial planning mode (e.g., what-if analysis). Managers are held accountable for budget variances, and are rewarded/ penalized accordingly.	Resources are re-allocated between programs based on priorities that reflect results achieved and "value for money". All management levels are highly committed to, and participate actively in, the resource allocation process. The budgeting approach is closely focused on outcomes and results. Budgets are closely linked with resource allocation priorities and performance results achieved.

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Management of Partnerships

Assessment Information	Opportunities for Improvement
☐ Given its mandate of promoting human rights and resolving complaints, the Commission must maintain its independence. For this reason, the Commission's partnerships mostly relate to stakeholder outreach and participation in collaborative arrangements, which can help further its mandate, or help share knowledge and best practices. In addition, the Commission has collaborative arrangements with selected organizations to help resolve human rights complaints as problems surface.	☐ There may be an opportunity for the Commission to develop a policy on partnerships, in order to articulate its strategy for entering into partnership agreements, and to help determine the benefits of potential partnerships.
☐ Potential partnerships are proposed to the Executive Committee for consideration. Following review and acceptance, partnerships are primarily managed on a branch by branch basis, as no formal policy or strategy is in place across the Commission for managing partnerships.	
☐ Certain branches within the Commission have entered into partnerships with various external bodies. These include partnerships with provincial and territorial Commissions for a number of branches (Legal, Policy, Promotions, etc.), and the ADRS branch with a network of federal workplace ADR groups, and stakeholder outreach to human rights organizations and community groups.	
☐ Partnerships are important for the program delivery of certain branches such as the International Program branch, which works closely with DFAIT, CIDA and the UN. Given the importance of partnerships, the International Program branch uses a Strategic Framework for partnership management and to assess potential partnerships. Feedback is received on a continual basis, and the requirements of the various funding programs include regular performance reports.	
☐ MOUs have been developed with PCO, TBS and HRDC to facilitate the exchange of information, and to facilitate audit and follow-up processes in relation to employment equity responsibilities. MOUs have been developed with some other complaints handling bodies to facilitate exchange of information about case trends and policy directions.	
☐ Through the Canadian Association of Statutory Human Rights Agencies (CASHRA) the Commission continues to work with the association of provincial and territorial human rights commissions to strengthen respect for human rights across Canada.	

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Management of Partnerships

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2**	**3**	**4**	**5**
Management of partnerships *Partnerships are used extensively by the organization in support of service delivery by leveraging the capabilities of external stakeholders, partners, and other government organizations*	Roles and responsibilities as they pertain to identifying and implementing partnerships are generally not well understood. No formal mechanisms exist for the organization to manage its relationship with partners, or to measure the extent of benefits/cost savings. Information on the success of partnership arrangements is mainly anecdotal.	The department proactively reviews its activities and services to assess where partnerships are appropriate. Managers see partnerships as one way of doing business better but have only a broad understanding of their benefits and risks. Guidelines are in place to help managers implement new partnerships. A clear decision-making process is in place for authorizing major partnerships. A formal consultation process exists for stakeholders to provide input at critical stages of a project. All new partnership arrangements are supported by a business case and risk assessment.	Managers regularly consider options in terms of service delivery methods including partnership opportunities. Functional specialists play a pro-active role in assisting managers with the assessment and implementation of partnership arrangements. The HR strategy for affected staff is well developed and understood. Training programs are in place for managers and specialists. Toolkits exist to guide managers at each stage of the process. Systems are in place to monitor the performance of external partners, with incentives and sanctions. Benchmarking is done to compare costs with external suppliers. Risk management policies are in place for major partnerships. A consistent approach is used throughout the Department to track the overall performance of governance/ partnership arrangements..	The department has a long-term plan and has committed resources at the corporate level to support new service delivery methods including partnerships. Major partnership risks are identified in strategic and business plans, and the assessment of partnerships is an integral part of business planning and on-going decision-making. The organization has experimented with new types of governance and financing arrangements. Partnership opportunities are identified on a cross-functional basis. Processes are in place at the project level to allocate risks to the parties. Partnership risks are monitored on an on-going basis. Tools and techniques are well-developed and used consistently across the department. Performance information on governance arrangements is readily accessible.	The department is recognized across government for innovation, efficiency and success in implementing new service delivery methods. The department is benchmarked against and often called upon to provide advice to other departments on the benefits and risks of implementing partnerships. The organization has earned a high level of trust from stakeholders. Significant risks and implications are communicated to stakeholders regularly. Performance results on governance arrangements are an integral part of overall departmental performance reporting. Tools and models are assessed continually and updated based on new trends and technology.

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Client Relationship Management

Assessment Information

- The Commission's main clients are considered to be the general public (human rights complaints) and organizations subject to employment equity audits.
- The concept of client relationship management has been discussed a the executive level. Given the nature of its mandate and the size of its operations, the Commission is of the view that it needs to develop a client management culture, but not necessarily establish a formal client relationship management function.
- Within each service line, the importance of managing client relationships is considered to be everyone's responsibility, and client relations are managed proactively.
- Consultations with stakeholders have taken place to develop service line strategies. Key relationships with external parties have been identified, and senior executives have discussed priorities with key clients and stakeholders.
- A survey of employers was conducted to identify priorities and receive feed-back as part of an evaluation of the employment equity program.
- A client/stakeholder survey has been conducted on the quality of CHRC's internet site, and e-mails are received centrally and forwarded to the appropriate function with an objective to answer all requests within 48 hours.

Opportunities for Improvement

- There is a perception that better information should be available on key clients and stakeholders to improve services. Accordingly, there may be an opportunity to further define how the concept of client may apply to the Commission and where appropriate, develop client service strategies and establish mechanisms to manage client relationships.

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Client Relationship Management

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2**	**2.5**	**3**	**4**	**5**
Client relationship management *Commitment to consciously strengthening relationships with client organizations, and to integrating and coordinating how client services are developed and delivered.*	There is no formal client management role in the department. Relations with clients/ stakeholders are primarily at the individual level. The department has limited systems and infrastructure to support the operations of the client management function.	A client management function (e.g., client managers, client relationship teams) has been established where warranted by the scale and complexity of a client's interactions with the department. Personnel from key operational, program and supporting policy and functional groups work together to serve key clients. Basic information exists on key clients and stakeholders. Clients are aware of who to contact in the case of issues or new service requirements.		The department liaises with key client organizations to address existing and new service requirements, promote new services, and to share information on clients' future plans and priorities. Client service plans have been developed for key clients. A client management function marshals and coordinates resources from across the department to ensure service delivery commitments are satisfied and service delivery problems are resolved.	The department develops close client relationships directed toward fully understanding clients' needs. The client management function sets objectives for the department with key clients, and monitors existing service delivery performance and client satisfaction. Client organizations participate directly in planning sessions. Products and pricing are well understood by clients. The supporting infrastructure is in place—systems that track client intelligence, record client activity, service levels. The performance of the department is tracked for each key client account.	The department has an in-depth knowledge of the client's business. The client management function has had a positive impact on the volume of client business and client satisfaction. Departmental services are seen to be "seamless" by clients. Client intelligence and lessons learned are shared throughout the organization. Program and service delivery staff work closely together to best serve the client, regardless of where they are in the organizational structure.

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Integrated Performance Information

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Integrated Departmental Performance Reporting

Assessment Information

- Performance reporting has been identified as a priority within current organizational renewal efforts. The Commission is developing performance management frameworks for its two core programs : Complaints Management Program and Employment Equity Program. The Commission has also taken steps to develop an organization-wide performance management framework.

- The Commission has developed a corporate business plan, which includes clear indicators and drivers for organizational success. These indicators are currently considered to be the main elements from which to measure and report organizational performance to key stakeholders in relation to the Commission's renewal efforts. There are close linkages between the business plan and the annual reports, which highlight the Commission's planned strategic outcomes and report on achievements.

- Each branch measures performance on an individual basis, using primarily quantitative measures. Management is aware of and monitors the most pertinent indicators; those used to measure progress in addressing the Commission's main priorities of eliminating the current backlog, reengineering processes to ensure that a backlog does not reoccur, and eliminating all cases older than two years.

Opportunities for Improvement

- There is an opportunity to further develop its corporate / organization-wide performance management framework, indicators and measures, and to continue to integrate performance management across the organization.

	1	2	3	4	5
Integrated departmental performance reporting *Key measures exist to monitor overall organization-wide performance and best-value results*	No departmental performance measures.	Each Branch measures performance at organization-wide level independently. Department-wide priority areas to be measured have been identified. Departmental performance measures have been organized in a organization-wide reporting framework (e.g., balanced scorecard). The methods of collecting the information, and sources of information, have been identified.	High level strategic measures for the department are in place, and are linked to strategic vision and priorities. Linkages between measures are evident. Performance measures have been communicated, and agreed upon. Staff have received training Measures cover both financial and non-financial, and provide historical and future oriented view. Information on the results of the performance measures is available in part. A mix of quantitative and anecdotal information is used.	Performance results are reported for the organization as a whole over time. Results are monitored against targets and the department's strategic objectives. Information is valued by senior management and the Minister, and is often used for decision-making and external reporting. Results are used to make trade offs in organization-wide priorities. Departmental measures are refined on an ongoing basis.	Performance results indicate positive improvement. Strategic and business plans are modified accordingly based on results achieved. Information is readily accessible through executive information systems. Information needs and systems are periodically reassessed based on changing business needs and identified reporting gaps. Performance information is available so that the department can report performance to stakeholders on a horizontal portfolio basis, e.g., health portfolio.

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Operating Information

Assessment Information

- Basic operating information and performance information is available from the systems in place, namely the Complaints Management System (CMS) and the Employment Equity Audit Tracking System.

- The systems in place provide management with some information to monitor actions taken towards priorities such as management of the human rights complaints backlog. There are several operational systems in place throughout the organization, however there is limited integration of operating information and systems are labour intensive.

- The CMS system provides management with file/case status reports. However, CMS functionality is mostly limited to data storage, and does not provide management with the ability to summarize or synthesize data very easily.

- Steps are being taken to improve the operational systems as part of the Information Technology Innovation (ITI) project currently underway. The purpose of the ITI project is to design a new information system which will integrate all other operating systems from across the Commission, including Complaints Management, Employment Equity and Legal Services. User requirements have been defined and the Commission is currently looking for the best solution to implement.

- Efforts are ongoing to validate data currently in operating systems to provide appropriate assurance for data integrity prior to migrating to the new operating system during 2003-04.

- It is expected that the new operating system will provide the ability to track work processes and report performance more effectively.

Opportunities for Improvement

- With the Information Technology Innovation (ITI) project currently underway, it is expected that the Commission will significantly improve its operating information. As a result, there will be an opportunity for the Commission to develop operating performance measures and targets.

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Operating Information

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	2	3	4	5
Operating information *Measures and systems to monitor service quality and efficiency of program delivery*	Information on operating measures is not collected or reported on a systematic basis. Systems used for tracking operating results are either non-existent, unreliable or incompatible.	Operating measures exist to varying degrees by organizational unit (e.g., branch). Operating performance is monitored on an ongoing basis. Formal systems are in place to track operational performance, though systems do not always have full functionalities required. In some cases, managers maintain separate records for management purposes in addition to formal systems. System links and data flows are not well understood.	High level information is available for key operational indicators but with limited "drill-down" capability. Operating performance measures and targets are in place in most organizational units. Operating results are monitored on an ongoing basis, and actions are initiated by program managers to improve results. Staff receive training in use of performance measurement systems. Formal systems in place to track operating results are considered timely, accurate and reliable. Systems are "stovepiped", however system links and data flows are well understood.	Information on operating results is easily accessible in organization-wide performance information systems. Service delivery teams use information on an ongoing basis to initiate process improvements. Strong linkages exist between operating results and business plans. Information is an integral element of resource allocation decisions. Operating systems are linked and interfaced/ integrated with financial and other systems. Re-keying and manual intervention is rarely needed. Customized reports are available with limited effort.	Operating results are monitored over time. Key operational measures show positive or stable trends in results. Different measures are in place for different client groups. Measures are added and deleted as priorities change. Operating measures are cascaded throughout the organization and are linked to strategic objectives and priorities. Staff can easily obtain the operating information they require through online access to drill down facilities or simple user friendly report writers. The information is accurate and timely.

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Measuring Client Satisfaction

Assessment Information	**Opportunities for Improvement**
☐ A consideration to measuring client satisfaction is the nature of the Commission's work. When handling complaints, there is likely to be one party dissatisfied, as decisions are made in favour of one party or the other. ☐ The Commission's focus is clearly on improving client service delivery, however there are no formal measures in place to measure client satisfaction. ☐ Various branches across the Commission have taken different steps to measure client satisfaction. The Employment Equity branch has conducted a client satisfaction survey, while the International Program branch considers the increasing volume of demand for the branch's services to be an indication of satisfaction. ☐ The Operations Sector (Complaints Management Program) is aware that client satisfaction may be an issue, given the length of time to resolve certain cases. Reengineering efforts to deal with timeliness factors are producing results. Steps to measure client satisfaction are planned and will be implemented once the new operating system is in use, which should include electronic case tracking mechanisms to be applied in relation to service standards developed.	☐ Once reengineering efforts are completed, there will be an opportunity to receive feedback on the process for managing complaints, using clear and specific questions or criteria as part of a client survey.

	1	**2**	**3**	**4**	**5**
Measuring client satisfaction *Utilization of client survey information on satisfaction levels, and importance of services*	Client satisfaction information is collected on an informal and ad hoc basis.	Approaches to collecting client satisfaction vary across the department, and tend to vary from year to year depending on management priorities. Limited monitoring and analysis of results. Information collected is not always seen to be useful.	Formal systems exist across department to survey clients on level of satisfaction. Results are tracked over time, and are considered in strategic and business planning. Limited analysis of results on a department-wide basis. Complaint information is consolidated and reported, and a complaint resolution process exists.	Client satisfaction information is collected through a wide range of techniques. Information is collected on a consistent basis across program areas. Results are consolidated on a department-wide basis, and overall trends analyzed. Results are a key element of strategic and business planning, and are used to assess service standards and service improvements.	Client satisfaction results indicate positive trends. Client satisfaction measures are published externally, and are well known to clients. Client satisfaction is a key driver of strategic and business planning, and is considered in performance evaluation and incentives. Techniques used to collect client satisfaction information are constantly being improved.

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Service Standards

Assessment Information	Opportunities for Improvement
□ Service standards exist to varying degrees across the Commission. □ The Operations Sector (Complaints Management Program) has developed service standards which, in light of the reengineering of the complaint process, will need to be revisited. Reengineering efforts will streamline the complaints management process to provide clients with a better service. The Complaints Management branch is currently tracking the time between actual and targeted completion dates, to measure process improvements. □ Corporate Services uses a variety of measures, such as transaction processing time, efficiency of travel cost reimbursement, month end reporting, and IT performance tracking. □ The Commission has a standard of returning phone calls and e-mails from outside parties within 2 working days. Its service in this area has been noted by an external party as having the 2nd best response time within departments tested, with a measure of the quality of responses also considered. □ Complainants and respondents are assigned an officer and therefore have one point of reference of service. □ Although service standards are currently in place, in certain areas performance may not always be actively measured, monitored or analyzed over time.	□ Once processes are further streamlined there will be an opportunity to involve stakeholders in the development of new / updated service standards and to formalize such standards.

	1	2	3	4	5
Service standards *Monitoring against client service standards and maintaining and updating standards.*	No formal service standards exist. Quality of service is monitored on an informal basis.	Service level arrangements and standards exist on an inconsistent basis across the organization. Systems to collect and maintain service level information are still being developed. Clients have been involved to varying degrees in development of standards.	Formal service level arrangements and standards have been established for each business line, and results are tracked and analyzed over time. Overall department standards are well known. Clients participate in the development of the standards. Results are used to identify service improvements.	Service standards are periodically reviewed with clients/stakeholders and improved to reflect changing priorities. Service standards are re-assessed based on cost of service delivery. Service standards reflect different priorities of client groups. Results are a continuing source of pressure for new service and quality improvement initiatives.	Results of service standards show positive or stable results. Service standards of the organization are published externally, and are well known to clients. Achievement of service standards is a key consideration of management in strategic and business planning.

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Evaluative Information

Assessment Information	Opportunities for Improvement
☐ An evaluation policy and a three year Internal Audit, Evaluation and Risk Management Plan have been developed with input solicited from the Executive Committee members on priorities. To date, an evaluation of the Employment Equity branch has been completed. ☐ Evaluative information exists in various forms across the Commission. An RMAF is being developed for the Employment Equity branch and another is in development for the Human Rights Complaints Management process. The Commission also has taken steps to develop an organization-wide performance management framework. ☐ The definition of service delivery outcomes is currently under development.	☐ Efforts are underway to further define service delivery outcomes and improve performance evaluation frameworks. Continued support is needed for the successful completion of performance evaluation frameworks.

	1	2	3	4	5
Evaluative information *Utilization of non-financial information related to program effectiveness and outcomes*	No formal approach to program evaluation. Evaluations are carried out on an ad hoc basis. Information on program outcomes is limited. Methodologies for collecting the information need to be put in place.	Evaluation frameworks are in place for some program areas. Evaluations are carried out as issues arise. Information on some program outcomes is available in some program areas. An evaluation plan is in place, and is based on strategic priorities.	Evaluation frameworks, and data gathering procedures, are in place for all major program areas. Program delivery outcomes are clearly defined and are linked to the strategic priorities of the department. Performance measures are in place to measure these outcomes, and performance information is collected to measure these outcomes. Evaluative information is included in external reporting documents.	Methodologies for measuring outcomes are periodically re-assessed. Evaluation results are commonly used by managers for decision-making and input into strategic and business planning. Evaluation is seen as an integral part of program/regional management. Evaluation prioritization is closely linked to business planning and the department's risk profile.	The department is seen as a leader in measuring program outcomes. Methodologies are "state of the art". Linkages between program outcomes and resource allocation are considered in strategic and business planning. Evaluation results play a major role in redirecting focus of program design, and in determining the type of information required by the organization to measure its success.

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Financial Information

Assessment Information	Opportunities for Improvement
- The Commission uses the GX system for financial management and reporting. The system has fully integrated financial capability and interfaces with the Human Resources system which provides payroll information to accrue salary costs. - Commitments are entered into the system on an ongoing basis, and expenditures are entered twice weekly. - A Financial Situation Summary Report is prepared for Executive Committee members as required during the first half of the year, and on a weekly basis in the second half. This report details salaries, budgets and non-committed funds. It considers the available funds in relation to forecasts. Executive Committee members demonstrate ownership of the financial information. This responsibility is reflected in the accountability accords. - The SFFO provides responsibility centre managers with monthly reports detailing budget information, salary forecasts, O&M expenditures and outstanding commitments. These reports are produced within 5 days of month end and generally reflect all commitments received by Finance prior to month end. - The system reflects only hard commitments (such as contracts and P.O.'s), leaving certain managers with the impression that not all transactions have been processed. Managers tend to maintain separate records to keep track of non-formal commitments. - Managers have access to the financial system at all times, and are responsible for entering and updating forecast information themselves. All other financial information is entered by Finance. - The SFFO tracks non-committed funds regularly, and will challenge management's spending assumptions, specifically following the mid-year reviews whereby managers compare a list of all plans remaining for the year to the non-committed funds. - There is a perception that a greater understanding and sense of ownership relating to financial information would be desirable, particularly within the middle management level.	There is an opportunity to continue promoting the importance of the finance function and financial management. As a result, it may be possible to achieve a better understanding and greater sense of ownership for financial information across middle management levels.

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Financial Information

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2**	**3**	**4**	**5**
Financial information *Reliable financial information is available in a timely and useful fashion*	Voluminous hard copy reporting dictated by financial reporting timetable with monthly/ quarterly/ annual reporting taking up to six weeks. Commentary on results prepared solely by finance. There are persistent problems with data accuracy. Standard reporting from financial accounting system but its inadequacies lead managers to maintain their own records and reports which are not checked for consistency with other sources of information.	Mostly hard copy reporting to financial timetables with some on-line access to supporting data. Reporting based on information from various sources but coordination is haphazard and data integrity not assured. Detail to support high level information is not readily accessible. Finance prepares commentary on results with limited input from operational staff. Financial reporting cycles are not always in sync with operating information reporting cycles. Finance is responsible for meeting overall organization financial information requirements.	Appropriate reporting frequency. Monthly information available within one to five days. All reports and data available in appropriate media. Data availability and accuracy are seldom an issue. Financial information is available from a single source, but requires manual intervention for interfacing with other operating information. Finance works closely with operational managers to understand results and jointly prepare commentary. Managers have strong sense of ownership of financial information. External reporting requirements (e.g., Parliament) are consistently met.	Fully integrated on line, real time systems with flexible reporting. All transactions in financial, asset, human resource and other operating systems (e.g., outputs, cycle time, workload) are linked and interfaced/integrated to meet business requirements. Rekeying and other manual intervention is rarely needed for data gathering. Financial information is considered to be a corporate asset, and is fully transparent across the organization.	Information is integrated from various sources (e.g., data warehouse) with data integrity assured and with senior management clearly responsible for integrity of output. Reporting systems are linked to allow drill-down to appropriate level of detail. Low cost transaction processing providing accurate and timely information.

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Cost Management Information

Assessment Information

- The GX system used by the Commission has the capability to track costs by project code. At the time Section 34 is performed, the invoice is stamped with spaces for the responsibility centre (required), the activity code (required), the line object (e.g. expenditure types) and the project code (optional). Most managers, however, have not set up projects codes and costs are not being tracked on a project basis.
- At the beginning of each year, managers estimate employees time to be spent on each activity for the year. Salary costs are then allocated based on this estimation. Actual time spent on each activity is not tracked and compared to the estimates.
- The Legal Services and ADRS branches have undergone activity-based costing exercises to estimate resource requirements.
- The Commission is looking to develop better cost standards for budgeting and forecasting purposes.

Opportunities for Improvement

- There is an opportunity to further define and explain to responsibility centre managers the benefits of tracking costs at the activity level and/or by project. For this purpose, the Commission should determine whether there may be an opportunity to track time spent on activities and compare to actuals in order to improve forecasting.

	1	**2**	**2.5**	**3**	**4**	**5**
Cost management information *Mechanisms for using activity/product/results-based costs*	Cost information is maintained based on traditional object-based ledger (e.g., salaries, travel, O&M) for each organizational unit.	Cost information is available at the activity level across the organization. Activity costs are rolled up to provide costs at the program level. Systems are in place to maintain this activity cost information. Additional analysis is done to obtain useful cost information for decision-making.		Costing systems are in place that trace costs from resources (salaries, O&M) to activities, and then from activities to specific products, services or programs. Employees update time spent on activities on a periodic basis. Product and service cost information is used for planning purposes.	Costing systems are in place that trace costs from activities to results. Costing systems consolidate cost information from many sources. Employees update time spent through an automated interface. Cost information is readily accessible through the server. Costing information is used to guide management decisions. Costing systems and budgeting approach are closely linked.	Activity, product, service, and results cost information is an integral part of management decision-making. Cost information is readily accessible to all managers in a format that can be customized for process improvement, outsourcing decisions, cost recovery, business planning and performance measurement.

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Motivated People

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Modern Management Practices Competencies

Assessment Information	Opportunities for Improvement
☐ Modern comptrollership training has been offered to all employees with strong encouragement from the Secretary General. One day workshops were held for management and shorter presentations were held for other staff. Participation rates were approximately 55% for management and 42% for other staff. Videos of the presentation were sent to the regions and materials were posted to the Intranet. Additional courses will be offered in the fall. ☐ There is a sense that, as modern management requirements are reflected in the newly introduced accountability accords, the identification of such competencies will cascade at the staff level. ☐ The Human Resources Management Framework, currently under development, will include training plans and will guide the organization to ensure that appropriate management competencies are in place. ☐ Skills gaps are identified and needs are assessed through discussions at branch meetings. ☐ There is a perception that the training funding is vulnerable to other pressures and that training budgets should be increased.	☐ Once the Human Resources Management Framework is implemented, it is expected that management competencies will be assessed and further training will be provided where appropriate. Continued support is required to ensure that management competencies are assessed as part of the Human Resources Management Framework.

	1	**2**	**2.5**	**3**	**4**	**5**
Modern management practices competencies *Extent to which modern management practices competencies are defined and managers have access to training*	Little or no information exists on competency requirements for modern management practices for either functional specialists or managers.	Modern management practices competencies have been defined. Additional knowledge requirements for modern management practices have been identified. Skills gaps have been established. There has been limited focus on improving modern management practices competencies (e.g., training, sharing of best practices).	Managers' skills gaps in modern management practices are being addressed. Learning plans have been developed. Training requirements on modern management practices are being sourced. There is "cross-fertilization" between functional specialists and line managers. Mechanisms are in place to share best practices.	Managers are applying modern management practices in their day-to-day operations. Training and funding in modern management practices have high priority. Functional specialists and managers have been trained. Modern management practices are an integral element of the departmental training program.	Modern management practices competencies and training are an integral component of goal setting/ performance evaluation. Managers have suitable knowledge of modern management practices, and are knowledgeable of functional disciplines and legislation. Functional specialists are knowledgeable of programs and operations.

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Employee Satisfaction

Assessment Information

- In a small organization such as the Commission, senior managers are more accessible to staff. At the Commission, "walk around" management is practiced, there is an open door policy, there is daily interaction with employees, and meetings provide a forum for gauging employee satisfaction.
- Three formal employee surveys were conducted since 1999. A workplace assessment survey was performed by the Commission in 2001, and two Public Service Commission surveys were conducted in 1999 and 2002 respectively.
- Formal committees are in place to address employee concerns. Such committees include the Workplace Advisory Committee (WAC) composed of representatives from each branch. WAC evaluates policy changes and deals with other issues important to staff.
- At one time, the Commission was experiencing relatively high turnover rates. A workplace assessment was done and changes were made which have reduced the rate to approximately 10% from over 30% within 2 years.
- The Commission makes a conscious effort to hire staff who are dedicated to its mission of human rights and employment equity. In general, staff tend to be relatively open about expressing their satisfaction in the workplace.
- With the introduction of cross-functional teams and the corresponding increase in communication, employees are able to voice their concerns and challenge other branches. This opportunity for inter-branch work provides a mechanism for important elements of employee satisfaction by allowing issues to be addressed early on and fully.

Opportunities for Improvement

- The Commission appears to have adequate feedback mechanisms to monitor employee satisfaction. Accordingly, no specific improvement opportunities are identified relating to Employee Satisfaction.

	1	2	3	3.5	4	5
Employee satisfaction *Mechanisms in place to monitor employee morale and staff relations*	Information on employee satisfaction is collected on an informal and ad hoc basis.	Different arrangements for surveying employee satisfaction exist across the organization. Limited monitoring and analysis of results on a trend basis.	Formal mechanisms are in place to survey employee satisfaction on a regular basis, and results are tracked over time. Results are communicated across the organization. Improvement teams are created to develop plans to address high priority issues.		Employee satisfaction is a key consideration in strategic and business planning, and in the performance evaluation of managers. Employee satisfaction issues are addressed on an ongoing basis. Results of employee satisfaction surveys have been improving.	Employee satisfaction survey tools are regularly reviewed and improved. New programs are introduced as appropriate to improve employee satisfaction. The linkage between employee satisfaction and organizational performance is quantified. The organization is recognized externally for its leadership in this area.

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Enabling Work Environment

Assessment Information	Opportunities for Improvement
☐ Commission employees have been given the opportunity to significantly affect work processes as part of the Commission's renewal initiative currently underway. The renewal initiative includes the formation of several cross-functional committees with the mandate to transform and streamline service delivery. Such committees provide regular updates to the Executive Committee, as input to decision-making. ☐ Other committees include internal taskforces, the public interest committee, the ADR working group, the education working group and the cross-branch case support committee. Such committees allow for timely sharing of information across branches. ☐ Strategy is primarily decided by senior management, but employees are then given the opportunity to provide input to implementation approaches for the strategic directions provided.	☐ Mechanisms in place are considered effective in providing an adequate work environment. Accordingly, there are currently no specific improvement opportunities identified relating to Enabling Work Environment.

	1	2	3	4	5
Enabling work environment *Practices for communication, wellness, safety and support that enable staff to provide client-focussed delivery while reaching their full potential*	The prevailing culture reinforces compliance and risk averse behaviour where staff are expected to follow orders and defined procedures. Communication tends to be downward, with management controlling and limiting information to staff. Changes are decided by management and communicated as necessary to staff. Staff have little input into decisions. Cross-functional communication is limited. Staff have little influence over their work or work environment.	Though there is management control, staff are encouraged to increase productivity and look for efficiencies. Staff provide input and are allowed to make suggestions when changes occur. Information is available for monitoring purposes and shared amongst functions where interrelationships exist. Newsletters and bulletins are used to keep staff informed of changes and initiatives. Work/life balance is emphasized.	Staff are acknowledged as a key asset and programs are implemented to allow growth on the job. Staff are given opportunities to provide input, to modify procedures and to make decisions regarding their immediate work. Staff are consulted before major decisions are made, and are often enrolled in cross-functional taskforces to recommend solutions. Information flows freely within functional areas, and is shared between functional areas.	The importance of employees is emphasized through the supportive role of management. Open and rapid communication and information flow are apparent. Staff have access to process and client service data so they can make decisions independently for continuous improvement. Communication with clients and stakeholders is open and constant, with information and decisions being shared in partnership arrangements. Staff are involved in all decisions regarding their work environment.	Staff are treated as partners in the business with managers. Both can share ideas and assist each other in service delivery. Continuous learning is emphasized. Internal information systems are constantly used to share information, give feedback and celebrate achievements and initiatives. External communication and media use are highly rated by stakeholders. Individuals and teams are challenged to take decisions or make suggestions on any process or product that would improve client service.

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Sustainable Workforce

Assessment Information

- Managers and staff have gained momentum in working towards the Commission's main priority of eliminating the Complaints backlog, and the conditions that might cause its return. This focus has put an emphasis on productivity, making workload management an important factor.
- While staff are ultimately responsible for notifying management of excessive workloads, proactive steps are taken by management to monitor workloads. Staff meetings are held regularly, at which workloads are discussed and work/cases are redistributed as necessary. There is daily interaction with management which leads to open communication when staff may feel overwhelmed.
- Contractors are hired to avoid systemic overtime and provide the temporary support needed to deal with the backlog.
- It is considered a priority for all managers and staff to re-examine activities in order to streamline processes.
- In the Legal Services and ADRS branches, files exceeding expected timeframes are automatically investigated. Management will redistribute work if one employee is burdened with several older or complicated cases.
- While the Commission offers flexible working conditions such as flex hours, telework and teamwork, there is still a perception that work/life balance has not yet fully permeated certain parts of the organization.

Opportunities for Improvement

- Continued effort is needed to reinforce the Commission's dedication to work-life balance. There may be an opportunity for the Commission to take additional steps to create a greater awareness of the importance of maintaining work-life balance as a priority for a Sustainable Workforce.

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Sustainable Workforce

Assessment Information

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Opportunities for Improvement

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	1	**2**	**3** **3.5**	**4**	**5**
Sustainable workforce *The energies of staff are managed wisely to help sustain the organization's viability*	No measures exist for determining productivity or expected outputs. Work assignment is based on incoming volume with little consideration of capacity or priorities.	Work measurement methods have been applied to determining approximate times for completion of some tasks and work volumes are assigned on this basis. Standards are adjusted for new technology and experience gained.	Workloads and deadlines are assigned in accordance with performance standards and business plans. Staff have input into establishing standards that are used to measure their productivity and rate performance. Climate surveys are used to obtain staff feedback on pace and volume of work. The organization provides for flexibility in how work is carried out (e.g., flexible work arrangements).	Performance contracting is practiced for establishing agreed-to performance standards and expected outcomes. Staff are involved in the process and may request adjustment for unforeseen delays and other priorities. Managers survey staff to ensure workload expectations are reasonable, and to look for signs of stress and assist employees in coping.	Individual differences are acknowledged in both staff and clients, and workloads are adjusted accordingly. Teamwork is encouraged and work distributed in line with individual competencies and preferences. Balance between work and personal lives is encouraged and managers model the personal workload management they expect from staff. Staff surveys show that workload demands are considered reasonable and controllable.

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Valuing Peoples' Contribution

Assessment Information

- The new management team has allowed staff to play a significant part in transforming the Commission for better productivity and performance. Several multi-disciplinary teams have been formed to provide recommendations to the Executive Committee to streamline operational and administrative processes.

- All employees are encouraged to be innovative in contributing to the Commission's reengineering efforts. Specifically, the staff is tasked with questioning each service delivery activity to ensure greater efficiency in a culture of continuous improvement.

- Renewal initiative meetings are held periodically to discuss process improvement efforts and accomplishments. Such meetings are open to all staff and are chaired by the Secretary General.

- A new Award and Recognition Policy is in place to reward employees for a variety of accomplishments. The policy describes the various awards, as well as the roles and responsibilities of management in the delivery of such awards.

Opportunities for Improvement

- Continued effort is required to ensure that the Commission's Award and Recognition Policy is successfully implemented. The Commission should ensure that the nomination process for rewards and recognition is not time consuming and allows all managers and staff to participate in the process.

	1	2	3	3.5	4	5
Valuing peoples' contributions *Extent to which the organizational culture fosters staff participation, team building, sharing of ideas, risk taking, innovation, and continuous learning; and rewards or provides incentives for such behaviour*	Traditional "we-they" relationship exists between management and staff. Considerable resistance to change. High level of skepticism exists within organization. Mixed messages are given to staff. New initiatives tend to be delayed or never implemented. Little or no interaction between organizational units. Rewards, recognition and incentives programs are not perceived to be linked to peoples' contributions.	People are consulted and given opportunity to participate in major change initiatives. A cautious approach is taken to implementing change. People tend to be risk averse. Organizational units tend to work independently with some interaction. Government–wide rewards, recognition and incentive programs are applied.	People in the organization are treated with value and respect. People are able to speak out and participate in discussions without fear of reprimand. Information is shared openly within the organization, and with external clients/ stakeholders. Strong sense of teamwork exists across the organization. A mix of national and local rewards, recognition and incentive programs are in place. A strong link exists between incentives, rewards, recognition and peoples' contribution.	People are empowered to take responsible risks, and are encouraged to be innovative. Culture barriers that prevent efficient delivery of services by staff are removed. Organization fosters a culture of continuous learning and participation. Pro-active effort is made to share new ideas and approaches across the organization. Major investments are made in the development of people. Incentives are place to reward consistently high performers.		People are highly committed to the success of the organization. High level of pride exists in the organization. Strong fit exists between organizational and individual aspirations. People are continuously cited for their exemplary behavior. Organization is continuously renewing competencies required. Value of human capital in the organization is measured and tracked over time. Incentive, rewards and recognition systems are constantly being improved, and customized to the needs of the organization.

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Mature Risk Management

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Integrated Risk Management

Assessment Information	Opportunities for Improvement
☐ The Commission is currently undergoing a major renewal exercise which involves responsible risk taking in order to create a more responsive organization. ☐ Risk management concepts are being introduced at the Commission. A risk assessment was done as part of the risk-based internal audit plan development. ☐ It is expected that a risk management policy and framework will be developed in the current fiscal year, consistent with RPP commitments. Senior management has indicated that such a policy or framework will need to define integrated risk management in the context of the Commission's mandate, and articulate where and how risk management concepts may be applied. In other words, all risk elements must pertain to the Commission mandate and be clearly articulated in the Commission's risk profile. ☐ The Commission currently manages risk on a project by project basis. For example, the Information Technology Innovation (ITI) program identified, rated and mitigated a number of risks pertinent to the systems upgrade. ☐ There is a perception that risk tolerances are not well defined across the Commission, and there is uncertainty as to the level of acceptable risk in certain areas.	☐ The Commission will be developing a risk management policy, which should define how integrated risk management may be applied in the context of the Commission's mandate. It is expected that the risk management framework will include a risk profile and definition of risk tolerances. Continued support is needed to ensure that the policy and framework are developed in consultation with the Commission's staff and that implementation is successful.

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Integrated Risk Management

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**1.5**	**2**	**3**	**4**	**5**
Integrated risk management *Measures are in place to identify, assess, understand, act on, and communicate risk issues in a corporate and systematic fashion*	No formal risk management measures are in place. Concept of risk management is not well understood.		Risk management policies and guidelines are in place for specific operational areas. Risk assessment is done extensively at the operational level. Risk management is applied primarily to major initiatives involving significant resources. No policy or guidelines exist at the department-wide level. Department-wide issues are dealt with on a "one-off" basis as they arise. Contingency/reserve funds are in place to deal with unforeseen events. Potential liabilities have been identified and strategies have been developed and implemented to manage them. The organization is beginning to use a common risk management language.	An integrated risk management framework is in place. The department maintains a corporate risk profile. Management direction on risk management and organizational risk tolerance is communicated, and senior managers champion risk management. Major risks are identified and plans developed to manage risks. Risk management is integrated into decision-making. Managers are trained in and apply risk management concepts, techniques and tools. A common risk management process is applied at all levels. There is a consistent understanding of what risk management means. Consultation with stakeholders is ongoing. Evaluation and reporting mechanisms are being developed to report on risk performance.	Integrated risk management is embedded in the department's corporate strategy and shapes the department's risk culture. Continuous risk management learning is encouraged. The results of risk management are integrated in organizational policies, plans and practices. Learning from experience is valued, and lessons are shared. Various tools and methods are used for managing risk (e.g., risk maps, modelling tools). The Department reviews its risk tolerance over time. Sharing best practices and experiences is used to increase managers knowledge base. Advisors help integrate a corporate focus on risk management.	Risk management supports a cultural shift to a risk-smart workforce and environment. The integration of risk management into decision-making is supported by a corporate philosophy and culture that risk management is everyone's business. The Department embraces innovation and responsible risk-taking. Results of risk management are used to support innovation, learning and continuous improvement. The department is seen as a leader in risk management.

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Integrated Management Control Framework

Assessment Information	Opportunities for Improvement
☐ When purchasing goods or services, managers make requests to Corporate Services, which performs Section 32 of the FAA. Once the invoice is received, it is stamped and sent to the responsibility centre manager to perform Section 34. The invoice is audited to the purchase order/contract and Section 33 is performed by the Manager of Financial Services. ☐ The GX system is used for accounting and financial management. Budgets, commitments and actuals are entered into the system. Several financial safeguards are in place, such as the automatic prevention of over-commitments. Costs are available by Responsibility Centre, Activity Code, Line Object and Project Code (if provided as part of the Section 34 signoff). ☐ Managers have read access to see actual costs and commitments and to generate accounting reports at all times. ☐ The Manager of Finance provides monthly reports of budget allocations, salary forecasts and outstanding commitments. The responsibility centres are responsible for entering their forecasts into the system. ☐ A Financial Situation Summary Report is prepared for Executive Committee members as required during the first half of the year, and on a weekly basis in the second half. This report includes salaries, budgets and non committed funds. ☐ Comprehensive reviews are performed at mid-year and in December-January. The reviews entail comparing a list of all plans remaining for the year to the remaining budget. For any funding pressures being experienced, managers provide a business case to the Executive Committee, including the purpose of the project and the potential impact of not receiving additional funding. ☐ Executives have authority to enter into contracts for up to $25,000 and managers have authority up to $10,000. All sole source contracts over $15,000 are reviewed by the Contracting Review Committee and are approved by the Secretary General. ☐ The Manager of Finance monitors free balances very closely.	☐ The Integrated Management Control Framework appears to be effective. Accordingly, there are currently no specific improvement opportunities identified relating to Integrated Management Control Framework.

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Integrated Management Control Framework

Assessment Information	Opportunities for Improvement
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	1	**2**	**3**	**4**	**5**
Integrated management control framework *Appropriateness of management controls in place, and linkages between controls through an integrated control framework*	Transaction controls are largely paper based. Multiple approval levels in place. Account verification is done on a 100% basis without regard to materiality or risk. Revenue controls are weak. Fixed asset records are incomplete, verification is not done regularly. Delegation records are not regularly maintained. Controls are perceived to be impeding decision making and managers' ability to fulfill their accountabilities. Policies and procedures are not up-to-date.	Systems are in place to control overspending, manage accounts receivable and assets. Limited systems integration, and controls redundancies exist in operating systems. Limited use of statistical sampling based on risk. Approval levels and authorities are documented and reviewed periodically. The authority structure is seen as a control instrument rather than a strategic tool. Authorities are applied inconsistently across the department.	Effective systems in place and integrated or interfaced where necessary. Taking materiality, sensitivity and risk into account, there is an adequate system of internal control over assets, liabilities, revenues, expenditures, contracts and contribution agreements. All legislation, regulations and executive orders are complied with, and spending limits are observed. Comprehensive authority structure exists for most functions of the organization, and is updated periodically. Delegation of authorities are consistent with operating responsibilities.	Control framework is in place and fully integrated. Controls are built into, not onto processes. Controls are working as intended, and are integrated functionally to avoid unnecessary duplication. Controls are regularly reviewed as to risk (potential benefit or amount of exposure to loss). Processes are in place to ensure that corrective action is taken. Alternative controls are developed, where appropriate. Strong fit exists between the authority structure and the corporate values and culture of the organization. Authorities support responsive service delivery to clients.	Managers conduct self-assessments of controls required. Managers are made aware of potential control weaknesses. Control framework is used strategically to support strong ethics and values in the organization. Authority structure is closely related to the organization-wide policy on risk management. Authorities are used as a strategic enabler in the management of the organization.

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Clear Accountability

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Clarity of Responsibilities and Organization

Assessment Information

- In general, responsibilities and accountabilities are clear, however the Commission is currently undergoing renewal as reengineering efforts take place. Cross-functional committees have been tasked with redesigning work processes across the organization.
- As part of the renewal efforts, the Commission is integrating employees from across the organization into various working teams. Whereas the Commission's branches once worked in silos, they are now beginning to work closer together to improve service delivery.
- Employees are responsible for improving all parts of the process in order to achieve common organizational objectives, and there is sound alignment of efforts.
- Each branch has developed service models to define their specific roles and responsibilities.
- Policies have been developed or updated recently to ensure clarity of roles and responsibilities (e.g. contracting policy). New delegated authorities have been drafted and will be considered / approved in 2003-04.
- Executives have accountability accords in place, and objectives cascade down to specific employee objectives and responsibilities, which are often referenced as "employee performance agreements". Managers and staff are evaluated in relation to performance objectives which are defined in relation to the accountability accords.
- Responsibilities and accountabilities are clear between line managers and specialist support functions.

Opportunities for Improvement

- While administrative committees have clear terms of reference, there is a perception that certain working teams within the renewal initiative may require greater clarity of roles and responsibilities. Accordingly, there is an opportunity to consider whether team responsibilities and accountabilities could be further clarified.

	1	2	3	3.5	4	5
Clarity of responsibilities and organization *Clarity of assignment of responsibilities and accountabilities throughout the organization*	Management and specialists roles and responsibilities are generally not well understood in the organization. Confusion exists in accountabilities for achieving and reporting results.	Some confusion exists as to responsibilities of management and specialists. Some overlap in roles and responsibilities among managers and/or specialists. Not clear as to who has final authority for resource allocation in case of disagreement.	Authority, responsibility, and accountability are clearly defined and aligned with the organization's objectives. Accountabilities are clearly defined at each management and specialist level, and are well understood throughout the organization. Little or no overlap in responsibilities. Accountability issues are resolved quickly. Accountabilities for controlling resources, and reporting and achieving results are clearly delineated.		Responsibility within the department for dealing with new and emerging financial and non-financial issues is clear. There is a clear understanding of responsibilities that provides the framework for modern management practices such as resource management and performance reporting.	Management and specialist responsibilities are constantly reviewed in light of external client/stakeholder and central agency requirements. Changes to structure and responsibilities are made pro-actively.

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Performance Agreements and Evaluations

Assessment Information

- The objectives from the RPP and Commission business plan are reflected in the accountability accords of senior management. Budget management is also included as an objective in the accountability accords.
- A performance appraisal program is in place. Managers are evaluated based on objectives set at the beginning of the year, which are generally a reflection of the relevant portions of their senior manager's accountability accord.
- In general, all employees receive an annual performance appraisal based on objectives set at the beginning of the year which reflect job descriptions and organizational roles and responsibilities. In certain areas however performance agreements and evaluations have not yet been completed / finalized.
- Organizational performance measures are currently still in development, however they will be linked to performance objectives and agreements.

Opportunities for Improvement

- The Commission is working at implementing its performance appraisal program across the organization, and it is expected that over time, all employees will have a performance agreement based on objectives set at the beginning of the year. Continued effort and support is required to ensure that performance agreements and performance appraisals are completed for all managers and staff.

	1	2	3	3.5	4	5
Performance agreements and evaluations *Extent to which the achievement of financial and operating results is embedded in performance agreements*	No performance agreements are in place.	Performance agreements are in place for senior executives that define accountabilities, and establish priorities and measures of performance vis-à-vis accountabilities. Achievement versus performance agreements is a key consideration in the evaluation of the performance of the senior executives of the organization. Systems to consolidate and report performance information against financial and operating goals are not yet in place.	Performance agreements are in place on a widespread basis for most managers. The agreements reflect organizational objectives, and are closely aligned with business plans, work plans and budgets. Performance agreements are seen as a key driver of business planning and performance reporting, and form the principal basis for the evaluation of performance of managers. Performance information is collected to measure achievement of financial and operating results specified in performance agreements.		The performance agreements at the various management levels are closely linked. Information in performance agreements is shared openly between managers and staff. Managers' performance agreements are adjusted, as required, to reflect changes to priorities and business and work plans, due to changes in the environment. Performance information is available on a trend basis to measure achievement of financial and operating results specified in performance agreements.	Priorities and performance targets in performance agreements are cascaded to the individual objectives and goals of staff. Performance agreements are revised periodically to reflect new organizational priorities and changes in strategic and business plans. Performance reporting systems and accountability agreements are closely aligned. Achievement of modern management practices responsibilities is assessed and deviations explained.

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Specialist Support

Assessment Information	Opportunities for Improvement

☐ Specialist support at the Commission is undergoing radical changes. The various specialists are moving from a transaction-processing role to more of an advisory role. Examples include:
  ☐ The Manager of Finance regularly examines the responsibility centre forecasts and provides information to help managers manage free balances.
  ☐ The Human Resources branch has begun the development of a Human Resources Management Framework, which will include training and development, succession planning, and the integration of human resources modern management objectives into performance agreements.
  ☐ The Information Technology group has provided valuable support while examining the best alternatives to provide an integrated systems solution.
☐ Functional specialists were included in efforts to improve the efficiency of the complaints management process. A proactive role was taken in this respect, as, for example, Finance increased its standard for processing travel claims.
☐ There is a perception that the capacity and capability levels vary between functional specialties. There is a desire to have more strategic advice offered from specialist support functions and less emphasis placed on conformity to process rules.
	☐ There is an opportunity to continue efforts to provide greater clarity on the role of specialist support functions, to strengthen certain support functions, and to further integrate functional expertise within decision-making processes.

	1	**2**	**2.5**	**3**	**4**	**5**
Specialist support *Availability of top-flight counsel to help managers make judgment calls on modern management and operational issues*	Role of specialists is primarily transaction processing. Functional specialists carry out basic analysis of information required by management to support decision making in response to specific requests and as part of their control mandate.	Departmental capacity in analytical techniques has been updated within specialists' organizations. Specialists respond to requests from managers for both process and strategic advice. Specialists are not always familiar with the operations. The quality of service is inconsistent between functional areas.		Service is responsive. Specialists' advice is readily available when required. Functional specialists are technically competent and work with line managers in providing both strategic and process analysis and advice. Are seen as value added partners in analysis and decision-making rather than a barrier. Specialists are proactive in suggesting new tools and techniques to managers.	Specialists work closely with managers by providing value added information, technical and citizen-responsive advice for priority setting, planning, decision-making and program design. Specialists are very familiar with the operations, and knowledgeable of the analytical techniques to support the line manager. Specialists maintain a current knowledge of related policy areas. Specialists are aware of trends in their discipline.	Challenge and expert advisory role of specialists is valued by by all levels of management. Specialists are seen as key enablers in initiating change, and are often asked to assume a leadership role in change initiatives. Functional specialists are often called upon by their peers to provide advice and support in other organizations, or to speak at conferences on new trends or best practices.

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External Reporting

Assessment Information	Opportunities for Improvement
□ External reports and information include the RPP, DPR, and annual report. □ Statutory reports satisfy reporting requirements. The RPP and DPR provide both financial and non financial information in a user-friendly format, and they are aligned with the Commission's business plan. □ The process to produce external reports is being re-examined to improve the quality of information. □ A survey of employers was conducted as part of an evaluation of the employment equity program. Eighty-eight employers responded and 95% reported that the Commission's materials and audit guides developed to conduct employment equity audits were useful and of very good quality. □ External reports include limited trend analysis.	□ There is an opportunity for the Commission to determine whether external reports should include additional information related to trend analysis. □ Mechanisms are not yet fully in place to allow for integrated performance reporting. There is an opportunity for the Commission to continue the development of its performance management frameworks and systems to allow for integrated performance reporting.

	1	2	2.5	3	4	5
External reporting *Extent to which Parliamentary, central agency and key stakeholder information reporting requirements are met*	Information reported satisfies minimum external reporting requirements.	Process for consolidating financial and non-financial information required for external reporting is reviewed on a regular basis. Close contacts are maintained with central agencies, Parliamentarians and key stakeholders to ensure information meets their requirements. External reports are aligned with planning and accountability structures within the department.	Organization is recognized by external agencies (e.g., TBS), Parliamentarians (e.g., Public Accounts Committee), and key stakeholders (e.g., provincial agencies) for producing useful, consistent, and credible financial and non-financial information in a user-friendly format. External reports are easily understood and are meaningful to users. Information in external reports is reported on a trend basis so that changes can be monitored over time.		Strong linkages exist between information reported externally and strategic and business plans. Integrated information input by functional specialists and managers in strategic and business plans is used to prepare external reports. Senior management plays an active role in preparing and communicating external reports.	Department is seen as a leader in the quality of its external reporting documents. External reports demonstrate innovation. The department is often used as a pilot site for government-wide changes to external reporting processes.

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Shared Values and Ethics

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Values and Ethics Framework

Assessment Information	Opportunities for Improvement

☐ The Commission has formally documented and communicated its mission, vision and organizational values. A values statement is published and displayed throughout the Commission as well as in the procedures manual.
 	
☐ The Commission does not have in place a formal ethics framework and does not have a formal structure and designated champion for ethics. There are however designated champions for disclosure of wrongdoing in the workplace and harassment issues.
 	
☐ Values and ethics considerations are expected to be included as part of the Human Resources Management Framework to be introduced in the fall.
 	
☐ The Commission relies on leadership by example to set ethical standards. This is considered an effective approach given the relatively small size of the organization.
 	
☐ The Executive Committee has broad representation and is considered to be a forum to discuss issues relating to values and ethics, where those issues are not of a personal nature.
 	
☐ By virtue of its leadership and its mandate to promote equality in the workplace, the Commission has very strong values and ethics which permeate the organization. There is much transparency with respect to values, ethics and acceptable behaviour at the executive level and across the Commission.
 	
☐ One on one interaction, open door policy, regular staff meetings and the solicitation of input on organizational changes reinforces organizational values. The increased emphasis put on teamwork also limits the potential for unethical behaviour to occur.
 	
☐ The Commission is staffed with many professionals who have professional standards and codes of conduct.
 	
☐ Commission staff are highly aware of ethical issues. Training courses were provided to managers and staff on specific matters relating to values and ethics, including harassment in the workplace, diversity and employment equity.
 	
☐ Statements of qualifications used for hiring purposes include a commitment to human rights. Also, the accountability accords include equity and diversity statements.
 	
☐ Although the Commission does not yet fully meet certain aspects of good management practices (level 3 scale), many aspects of the more advanced practices are met:
   ☐ Ethics and values principles and considerations are well understood by staff and are reflected in behaviour, performance agreements and are integrated into administrative policies where applicable (e.g. procurement and contracting policy)
   ☐ Senior managers demonstrate consistent ethical leadership
   ☐ An atmosphere of trust exists at all levels within the organization
   ☐ The organization is recognized as a leader for the promotion of human rights
	☐ There is an opportunity to develop and promote a formal ethics framework, and to further develop organizational culture in relation to ethics.

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Values and Ethics Framework

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2** **2.5** **3**		**4**	**5**
Values and ethics framework *Leadership of policies and activities that visibly support the ethical stewardship of public resources and give priority to "modern management practices"*	No clearly enunciated ethics and values policy. Policy statements are issued on an ad hoc basis. Limited attention has been given to values and ethics. No clear direction has been provided. There is an absence of dialogue on the subject. The organization follows minimum guidelines such as a code of conduct.	Values and ethics are recognized as an issue. The organization has engaged staff in a dialogue on ethics and values. Leadership has been demonstrated in championing values and ethics—for example, a champion has been identified. The organization participates in government-wide surveys involving values and ethics. The organization may have a values and ethics statement.	The department has put a structure in place and resourced it to promote values and ethics (e.g., champions, ombudsman, ethics counselor). Written policies have been communicated across the organization, and are generally understood. Values and ethics are incorporated in departmental training programs. The organization is developing a better understanding of how to deal with ethical dilemmas.	Ethics and values principles/ guidelines are well understood by staff, and are reflected in organization-wide documents and communications. Senior managers demonstrate a consistent ethical leadership. There is consistent application of processes on values and ethics. Demonstrated ethical behaviors are assessed in performance evaluation. An atmosphere of mutual trust exists at all levels. There is ongoing monitoring, assessment and evaluation of trends in values and ethics.	The organization is recognized externally as a leader in establishing an ethics and values program. Ethics and values are consistently reflected in organization practices and actions. All levels in the organization participate in the development of ethics and compliance related policies and programs. Values and ethics are integrated into processes and the workplace in general. There is consistent behaviour at large. Ethics and values assessments and surveys are carried out regularly.

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Rigorous Stewardship

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Business Process Improvement

Assessment Information

☐ The Commission is focused on improving its business processes and service delivery mechanisms. The renewal initiative began as a means to identify improvements to the complaints management process only, however, its scope has since been expanded to include all service delivery processes across the organization. At the heart of the renewal initiative is a commitment to continuous improvement. Cross-functional teams are tasked with recommending improvements to all aspects of the complaints management and other processes.

☐ As part of the reengineering efforts, each area of the Commission has been challenged to contribute to the streamlining of the Complaints Management process.

☐ Despite significant changes being designed and implemented as part of its renewal initiative, the Commission is maintaining documentation of key processes. The Employment Equity branch, which was the first focus of the reengineering efforts, does have in place an auditing process manual and standardized templates to conduct employment equity audits. Legal services has documented procedures, and many corporate services policies and procedures have also been documented. In addition, the Operations Sector (case management area) also has a policies and procedures manual which is updated regularly.

Opportunities for Improvement

☐ The Commission has significant business process improvements underway. Continued effort and support is required to maintain the renewal initiative and to ensure that each process is reviewed, documented, formalized and communicated to all staff.

	1	2	3	3.5	4	5
Business process improvement *Extent to which processes are clearly understood, are conducted in a uniform fashion, and are continuously improved in line with best practices*	Major differences exist in the way services are delivered among regions/programs. Processes are not well defined. There are no systems or processes which support the analysis and assessment of service delivery options.	Processes are defined to varying degrees depending on service area. Process improvement projects are initiated on an ad hoc basis. No or limited work done regarding "most efficient organization". Little change in processes in last three years.	Main service delivery processes are well documented and understood across the organization within each service area. Some best practice assessment has been carried out and processes updated. Major process improvements and/or most-efficient organization analyses are underway to improve program delivery. Key processes are monitored to ensure consistency in program delivery.		There are systems and processes to identify and assess service delivery options. Processes are improved on an ongoing basis. A variety of analytical techniques are used to support process improvement including best practice reviews and benchmarking. Processes are assessed on a cross functional or cross organizational basis, with client/stakeholder involvement. Parts of the organization are ISO 9000 accredited.	The department is recognized across government for innovation and success in its service delivery processes. The organization is commonly benchmarked against, and is often called upon to provide advice and participate in interdepartmental fora to explain its business processes. Major parts of the organization are ISO 9000 accredited.

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Management Tools & Techniques

Assessment Information

- The Commission uses a variety of systems for its operations. These include:
  - the Complaints Management System (CMS)
  - the Employment Equity Audit Tracking System (EEATS)
  - the Correspondence and File Tracking System (CFTS)
  - "Summation" for Legal Services
- A variety of knowledge management tools are also used; these include Human Rights databases, a library, search tools, an intranet with posted policies and procedures, and records of Commission meetings on CD ROMs.
- The various branches also make extensive use of templates in their operations.
- The activity based costing models developed for Legal Services and ADRS are used for budgeting purposes and to determine resource requirements.
- The GX system provides management with details regarding salaries, budgets and commitments. The system has the capabilities to provide management with detailed cost information by project code, however this functionality is not currently being used.
- There is broad organizational representation for renewal initiative discussions, which serves as a mechanism for decision-making.
- As part of the ITI project, the Commission expects to be able to implement better monitoring and analysis tools and techniques aimed at managing human rights issues more strategically.

Opportunities for Improvement

- Continued effort and support is required to ensure that the Information Technology Innovation (ITI) project is successful and provides required tools and techniques for effective management of Commission operations.

	1	2 2.5 3	4	5
Management tools and techniques *Range of analytical techniques (e.g., cost-benefit, sensitivity, life cycle, benchmarking) available to managers*	Limited tools and techniques available at a departmental level to assist managers in conducting business case analysis. Managers tend to use their own individual approach.	Techniques such as life cycle costing, cost benefit analysis and benchmarking are primarily financially focused. Departmental capacity in analytical techniques is maintained within the organization of the functional authority. / Managers at all levels are exposed to tools and techniques. Managers have access to various analytical models and techniques (e.g., project management) and decision making support tools that integrate financial and non-financial information. Managers use tools in close partnership with functional specialists.	Well developed and a wide range of decision support tools and techniques are available and fully understood and used by all staff. Tools are an integral part of decision-making by managers. Analysis is done using integrated information. A consistent suite of tools is used across the department.	Managers have on-line access to information through sophisticated decision support tools and models. Tools and models are assessed on a periodic basis and updated based on the most recent trends and technology. A consistent suite of tools is used government–wide.

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Knowledge Management

Assessment Information	Opportunities for Improvement
☐ The Commission employs several systems in managing its data. These include the Case Management System (CMS), the Employment Equity Audit Tracking System (EEATS), Legal Services' Summation, as well as various databases for case law and correspondences.	☐ Continued effort and support is required to ensure that the Information Technology Innovation (ITI) project is successful and provides required tools and techniques for effective management of Commission operations.
☐ A variety of knowledge management tools are used; these include Human Rights databases, a library, search tools, an intranet with posted policies and procedures, and records of Commission meetings on CD ROMs. As part of its renewal initiative, the Commission will be addressing issues of concern with respect to the accessibility of information, paper file management, and the sharing of files across branches.	☐ Processes and best practices should be documented and shared as part of the ITI project effort. It is felt that particular attention should be paid to electronic records management although costs may be an inhibiting factor.
☐ The Commission's primary means for knowledge sharing takes the form of staff meetings and cross-functional committees.	
☐ The increased communications that has resulted from the renewal initiative has had a significant impact on knowledge sharing and cross-functional learning.	
☐ The Commission has signed a new MOU with the National Archives on its record disposition authorities, but faced implementation challenges due to limited capacity in this area.	

	1	2	3	4	5
Knowledge management *Performance/manage ment information is readily accessible to internal and external users via technology, and lessons learnt are shared across the organization*	The organizational culture is not conducive to a knowledge sharing environment and limited information management processes are in place. Mechanisms or structures to encourage organizational learning or the acquisition and dissemination of modern management practices related knowledge are not evident.	Deployment of the organizational learning concept has been initiated and processes exist to support information acquisition and storage. Access to intellectual capital and knowledge sharing across organizational boundaries is limited.	Organizational learning initiatives are widespread at the organizational unit level. Senior management recognizes the importance of knowledge sharing and is supportive of collaborative mechanisms and structures to encourage knowledge transfer and lessons learned.	Organization-wide knowledge sharing technologies (e.g. groupware) have been implemented to capture, create and disseminate knowledge and best practices. The sharing of knowledge and best practices to support modern management practices is encouraged and rewarded.	The concept of organizational learning is incorporated into the values of the organization and is consistently applied to improve all management processes. Organizational learning processes within the organization are continuously assessed and revised in light of world class practices.

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Accounting Practices

Assessment Information	Opportunities for Improvement
☐ The Commission uses the GX system for accounting purposes. The system provides relevant, accurate information and is linked to the Human Resources system to allow for salaries to be automatically interfaced. ☐ Year end practices, rules and dates are made clear to management at the Executive Committee meeting. A list of outstanding commitments is compiled as of mid-April and sent to managers to verify that the goods or services were received to mark as PAYE. If no bill has been received by July, the SFFO will follow up with the manager in question. ☐ Finance makes an effort to process all commitments received prior to month end. Invoices are generally processed within a week of receipt. A commitment has been made to reimburse travel costs within 24 hours of receipt of a claim in Finance. ☐ Managers have a basic understanding of their budgets, actuals, forecasts and the free balance. This is reinforced by the inclusion of budget responsibilities in the accountability accords.	☐ Accounting practices are compliant with FIS and GAAP and appear to be effective. The accounting information produced appears to be adequate for management purposes. Accordingly, there are currently no specific improvement opportunities identified relating to Accounting Practices.

	1	**2**	**3** **3.5** **4**	**5**
Accounting practices *Records of financial transactions are kept on a consistent and useful basis for purposes of audit and reporting, and are consistent with generally accepted accounting practices and the Financial Information Strategy (FIS)*	Basic financial records are maintained. The program structure does not reflect the organization and responsibility of the organization. Significant effort is required each year to produce basic government reporting requirements including the public accounts. Cost information, when used, is expenditure based. Records are maintained primarily to meet the needs of the finance organization. Little or no use of technology enablers (i.e., credit cards) for process consolidation.	Legislative procedural and control requirements are met and transactions are accounted for as required. The program structure reflects the organization and responsibilities for program delivery. Costing information is primarily expenditure and/or FTE based. Coding structures are basic and do not meet the needs of managers for financial information. The department has taken initial steps to implement GAAP/FIS.	The cost assignment framework is largely aligned to the activities of the organization. Acceptable level of accuracy in costing records is maintained. Most of manager's needs are met. Records are maintained on a consistent and useful basis for purposes of audit and reporting. Chart of accounts reflects the organizational structure, and is regularly reviewed. Accounting is done in accordance with GAAP/FIS. Line managers are familiar with fundamental accounting practices. / Low cost transaction processing providing accurate and timely payments fully integrated with purchasing. High level of accuracy in costing records. All government accounting and reporting policies, directives and procedures are complied with. Specialists and line managers are fully aware of GAAP/FIS requirements and implications. Managers use the information in support of informed decision-making. Auditable financial statements are prepared in accordance with GAAP.	Accounting practices are state of the art. Information is available quickly relative to government-wide standards. High integration exists with departmental information systems. Information is used in support of planning, budgeting, and performance measurement. Maximum use of electronic applications and interfaces (e.g., EDI, EAA, purchasing cards).

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Management of Assets

Assessment Information

- ☐ The Commission's assets consist primarily of technology, furniture and one vehicle.
- ☐ An inventory and asset replacement cycle have been established for informatics assets.
- ☐ Since the implementation of FIS, assets are capitalized (assets predating FIS were capitalized if valued at greater than $5000).
- ☐ Asset conditions are verified through informal means (I.e. observation).
- ☐ The Commission is currently in the process of taking a complete inventory of its assets and defining its asset management policies.
- ☐ The GX financial system has an asset accounting/management module which is not currently used, however use of this module to manage Commission assets is set to commence in 2003-2004.

Opportunities for Improvement

- ☐ The Commission is strengthening its approach for the management of assets in a proactive manner. Continued effort and support will be required to ensure the successful completion of these activities.

	1	2	2.5	3	4	5
Management of assets *Assets are managed and utilized efficiently based on a lifecycle approach, records of assets are maintained, and assets are accounted for on an accrual basis according to GAAP/FIS*	Asset policies exist but are not understood or applied in a consistent manner. Assets are managed on a fragmented basis across the organization. Information on the asset inventory is not up-to-date. A number of assets exceed their target life expectancy, and rust-out is a major concern. A number of assets are obsolete and do not meet program requirements. Safety, reliability and supply integrity are major concerns.	Asset management policies are clear and well understood. Service standards have been established, and asset replacement cycles have been established. Up-to-date information is available on the asset inventory and the value of the assets. Periodic inspections are made of the condition of the assets. Assets meet minimum health, safety and environmental requirements.		Assets meet program operational requirements in a reliable and timely manner. Assets are managed using a lifecycle approach. A long term asset management plan is in place, and is closely aligned with the departmental strategic and business plans. A lifecycle approach is taken to determining the funding level required to sustain the assets. Accounting of assets is done on an accrual basis as per FIS. Asset funding decisions are supported by a business case and risk assessment.	Asset management is closely integrated with program management and decision-making. Asset planning is done on an integrated basis for all assets (e.g., facilities, equipment) across the department. Assets are replaced in a timely manner so as to minimize lifecycle costs and "rust-out". Efforts are made to improve service levels and seek savings (e.g., energy-reduction, consumption reduction). Close integration between asset inventory, procurement, financial and operational information.	Facilities and equipment foster a more efficient and productive work environment. Asset lifecycle costs are decreasing while reliability and responsiveness are improving. Best practices are followed to minimize the impact on the environment, and to foster employee health and well being. The department is recognized as a leader amongst its peers.

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Internal Audit

Assessment Information	**Opportunities for Improvement**
☐ The Commission has recently implemented an internal audit function. Since its inception, the function has: 　☐ introduced internal audit and evaluation policies, both approved by the audit and evaluation committee 　☐ developed a 3 year risk-based audit, evaluation and risk management plan 　☐ conducted an evaluation of the Employment Equity branch 　☐ undertaken an audit of legal services, and the audit is nearing completion ☐ An evaluation report is awaiting final approval of the Audit and Evaluation Committee, after which a summary report will be posted on the Commission's website. ☐ An audit report has yet to be issued. Accordingly, internal audit recommendations have not yet permeated the organization's decision-making. ☐ A consultative process was employed in conducting the risk assessment upon which the original internal audit, evaluation and risk management plan was based, and comments were again solicited when the plan was updated.	☐ Current plans and activities in the area of internal audit are considered in line with best practices for internal audit. Accordingly, there are currently no further improvement opportunities identified relating to Internal Audit.

See next page for assessment

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Internal Audit

Assessment Information	Opportunities for Improvement
☐ *See previous page for the Assessment Information*	☐ *See previous page for the Opportunities for Improvement*

	1	**2** **2.5** **3**	**4**	**5**
Internal audit *Strong internal audit program is in place, and audit results are a critical input to management decision-making*	No formal approach to internal audit. Audits are carried out on an ad hoc basis. There is limited understanding of and use of, modern audit techniques and tools. No departmental audit committee exists to discuss findings and ensure follow-up where required.	A yearly audit plan is developed with input from branch managers. Main focus of audits is on compliance. The head of internal audit is unimpaired to carry out responsibilities. The internal audit function has unlimited access to all departmental documents. The internal audit function in its operations respects the spirit and intent of the Access to Information and Privacy Acts. Audit conclusions are based on a set of suitable criteria. Audit reports are issued in a timely manner and are accessible by the public with minimal formality in both official languages. Reports respect federal government internal audit reporting standards. Audit reports include a statement of assurance by the internal auditor where appropriate. Audit provides assurance of financial and non-financial performance information used by management, and effectiveness of control mechanisms. Audit results are used by managers as an integral part of program management. Audit plan addresses department-wide issues and risks as well as specific branch issues. Audits are comprehensive, and focus on all aspects of service delivery. Audit methodologies are in place and understood by managers. Reports are reviewed by an audit committee chaired by a senior departmental executive, and a formal process exists for follow up action and continuous monitoring. A mutual respect exists between management and the internal auditor. A high level of audit standards is maintained.	Audits have a results-based focus and audit results play a role in identifying improvements to program delivery, and in determining the type of performance reporting that should be used by the organization. The internal audit approach and integrated risk management framework are aligned. Audit methodologies are constantly being refined and updated. The departmental internal audit plan identifies the expected level of assurance to be provided. The internal audit function is called on to assist managers with non-assurance services including consulting studies, and management assistance engagements.	Innovation is pursued in audit approaches and methodologies (e.g., self-assessment teams). The audit organization is seen as a leader in internal audit among its peers. Audit is seen as an attractive waypoint for top operational managers in their career progression.

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External Audit

Assessment Information	Opportunities for Improvement
☐ The Commission was audited by the Office of the Auditor General in 1998, and has prepared a follow-up response. Several recommendations from the OAG's report have been acted upon, including addressing the significant complaints backlog and addressing the high turnover. ☐ No additional external audits have been conducted at the Commission.	☐ It is expected that the Manager of Internal Audit will coordinate external audit activities and follow-up where required. Accordingly, there are no specific opportunities for improvement identified for External Audit.

	1	2	3	3.5	4	5
External audit *Process for ensuring adequate attention to results and recommendations of external audits of department operations*	Results of external audits are responded to on a "one-off" basis.	Coordination is carried out to ensure results of external audits are disseminated to managers, and follow-up is done.	Results of external audits are used as input into strategic and business plans. Action plans are developed to address audit findings, and project implementation teams are created where appropriate. Good linkages exist between internal audit and external audit and review. A good working relationship exists between the external and internal auditor. A formal coordination role exists in the department to monitor external audit activity.		Detailed follow-up is made to ensure decisions and plans resulting from external audits are implemented in the long term, and results are reported back to external auditors. The department is pro-active in identifying priority areas to be addressed by external auditors.	External audits are seen as a critical source of information for management, and are used to initiate changes to program delivery processes and performance measurement systems. A mutual respect exists between management and the external auditor.

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Appendix A

Interviewees,
Workshop Participants,
Validation Workshop Participants

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Interviewees

- Joe Anton, Manager, Planning, Internal Audit and Evaluation
- Hilda Andresen, Regional Director, Alberta and Northwest Territories Region
- Maureen Armstrong, Senior Counsel, Legal Services
- Michel Bibeau, Regional Director, Quebec Region
- Michele A. Bousquet, Manager, Operations, Planning, Performance and Reporting Services
- Murielle Brazeau, Deputy Secretary General, Operations
- Kerry Buck, Director, Policy and International Program
- Nicole Chénier-Cullen, Director General, Employment Equity
- Stella Deacon, Director, Corporate Services
- Ian Fine, General Counsel, Legal Services
- Benoît Fortin, Senior Policy Advisor
- Harvey Goldberg, Deputy Director, Policy and International Program
- Mary Gusella, Chief Commissioner

- Kathryn Hamilton, Special Advisor, Legal Services
- Sherri Helgason, Director, Investigations
- Daniel Lavoie, Director, Human Rights Promotion
- Harry Monk, Regional Director, British Columbia and Yukon Region
- Nicole Morin, Director, Human Resources
- Piero Narducci, Manager, Pay Equity Branch
- Michel Paré, Director, ADRS
- Denis Pelchat, Manager, Financial Services
- Rhys Phillips, Director, Legislation and Program Development
- Sebastien Sigouin, Manager, International Program
- Sandra Smith-Muir, Regional Director, Atlantic Region
- Richard Tardif, Director General, ADRS
- Charles Théroux, Director, Executive Secretariat
- Robert Ward, Secretary General
- Mervin Witter, Regional Director, Ontario Region

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Workshop Participants

June 23, 2003

- Joe Anton, Manager, Planning, Internal Audit and Evaluation
- Denis-Paul Cloutier, Project Manager, Information Technology Innovation Project
- Nathalie Dagenais, Manager, Investigations
- Hervé Ethier, Manager, Information Technology Services
- Gabrielle Lavoie, Manager, Creative Services
- Nicole Morin, Director, Human Resources Branch
- Piero Narducci, Manager, Pay Equity Branch
- Sebastien Sigouin, Manager, International Program
- Richard Tardif, General Counsel & Director General
- Charles Théroux, Director, Executive Secretariat

June 26, 2003

- Hilda Andresen, Regional Director, Alberta and Northwest Territories Region
- Joan Bishop, Director, Statistical Analyst, Employment Equity Branch
- Susan Best, Manager, Intake Services
- Murielle Brazeau, Deputy Secretary General, Operations
- Kerry Buck, Director, Policy and International Program
- Nicole Chénier-Cullen, Director General, Employment Equity
- Stella Deacon, Director, Corporate Services
- Ian Fine, General Counsel, Legal Services
- Kathryn Hamilton, Special Advisor, Legal Services
- Sherri Helgason, Director, Investigations
- Michel Paré, Director, ADRS
- Denis Pelchat, Manager, Financial Services
- Rae Raymond, Conciliator, Alternate Dispute Resolution Services

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