Canadian Centre for Occupational Health and Safety

Modern Management Practices Assessment

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Background

- CCOHS was created in 1978 by an Act of Parliament to support the notion that all Canadians had "…a fundamental right to a healthy and safe working environment". CCOHS has been helping Canadians for over 20 years and serves as a model of innovation and communications among similar organizations the world over.

- The support of its stakeholders in labour, business and governments – federal, provincial and territorial, is crucial to the success of these initiatives. CCOHS funds its program through a combination of appropriations from the federal government, contributions from provincial and territorial governments and revenue generation from the sale of products and services.

- CCOHS was in growth mode since its inception up to 1989 when it was directed by Treasury Board to become fully self-funded through revenue generation. Over the next 12 years, the Centre changed dramatically from a 100% government funded institution to an organization that received 64% of its funding from revenue generation. Due to the reductions in funding, the staff compliment was reduced from 140 to 75 full time equivalents. The operating budget was also substantially reduced.

- CCOHS struggled to increase earned revenues and was able to successfully improve sales to over $4 million annually. However, this was not sufficient to offset the steady declines in government funding. While many successful public service initiatives and product sales and services were offered, financial difficulties drained the limited resources of the Centre.

Background

☐ The Centre has been operating for the past 12 years in survival mode with limited staffing. As with many organizations experiencing financial difficulties, the middle management level of CCOHS was eliminated. This resulted in one level of management that was responsible for direct supervision of staff in addition to their functional duties as specialists in their area of expertise.

☐ Fortunately, over the past year it had been recognized that the integrity of the program at CCOHS was in jeopardy. As a result of an external Program Evaluation and Cost Recovery Review, the financial difficulties at CCOHS were addressed by a permanent increase in appropriations to fund 50% of an $8 million budget. With this announcement, CCOHS has been able to focus on its future, rather than its financial crisis, for the first time since 1989.

☐ The essential elements of Modern Comptrollership were reviewed through the capacity assessment. The ratings were reflective of CCOHS as a young organization (under 25 years) and one that has had limited ability to progress as an institution because of the serious financial difficulties experienced.

☐ The capacity assessment is viewed as an opportunity to identify the elements of Modern Comptrollership that could be improved at CCOHS. The timing of this exercise coincides with CCOHS' review of its strategic objectives in light of the recent changes in funding. While CCOHS continues to be a small organization with limited resources, we are eager to participate in opportunities that result from Modern Comptrollership initiatives.

Background

❏ CCOHS made a request to the Treasury Board Secretariat (TBS) for an assessment of modern management practices using the Modern Comptrollership Capacity Check Tool.

❏ The project was conducted by a team of consultants from BDO Dunwoody and Associates Ltd. (BDO).

❏ **This was a management self assessment, not an audit.**

❏ The self assessment collected senior managers' and senior staffs' perception of practices, procedures, documents, and reporting systems used for management purposes; however a detailed assessment of these management activities and tools was not conducted.

❏ The self assessment covered the seven key areas and thirty-three assessment criteria of the capacity check. These key areas and assessment criteria were used by the consulting team to conduct detailed interviews and focus group sessions to obtain the views of managers and staff.

❏ Managers and staff were asked to assess the organization from a broad perspective, as opposed to assessing their division or unit separately. If they were uncomfortable in assessing or rating an area they could decline to comment.

Background

❑ Interviewees were assured confidentiality.

❑ One focus group and eight interviews were conducted by the consulting team who then consolidated the perceptions of senior staff and senior managers (interviewees) by averaging all of the ratings from individual interviews and focus groups (for the focus group session, the ratings were multiplied by the number of participants to generate an equivalent weight to the ratings from each interview). The resulting rating for each of the thirty-three assessment criteria was rounded to the nearest quarter point. These ratings are indicated in the scale included in this report.

❑ At the conclusion of the self assessment process, ratings for six of the thirty-three criteria could not be rationalized to the scale. A validation focus group of 10 of the original 18 participants was conducted and the members paid special attention to the findings and ratings for these six criteria. From the results of the validation process and with commentary from the President and Vice president (two more participants), it was agreed to lower the ratings of those six elements to match the findings.

❑ The next step for COOHS will be to prioritize the areas to be addressed and to develop an action plan.

Overview of the Modern Comptrollership Initiative

❑ The federal government has placed a high priority on the Modernization of Comptrollership in its federal departments and agencies. The direction follows the *Report of the Independent Review Panel on Modernization of Comptrollership in the Government of Canada,* which was released in October 1997 and endorsed by Treasury Board Ministers.

❑ Traditionally, the concept of Comptrollership consisted of assisting managers in ensuring that their department's spending was within approved levels and for authorized purposes, and that revenue collections were properly processed. Comptrollership included simply financial criteria. Comptrollership was modelled around the guiding philosophy of "command/control".

❑ The concept of Modern Comptrollership, as discussed in the Report of the Independent Review Panel, encompasses the allocation of scarce resources and a better return for the money. Some of the important changes that are to be addressed are in the areas of business planning, resource allocation, financial management, financial and non-financial reporting, executive development and service delivery methods. The concept of Comptrollership has been expanded to encompass the principles of management best practices.

Overview of the Modern Comptrollership Initiative

❑ Modern Comptrollership integrates the various management responsibilities in the areas of leadership, business planning, risk management, performance management, control systems and accountability management. It involves assembling sufficient comprehensive information that supports a results-oriented approach, seeking out and bringing together relevant information from different sources.

❑ A self directed assessment tool, a capacity check tool, was developed, based on the criteria identified in the Report of the Independent Review Panel, to assist federal departments and agencies to assess their current maturity of capability, formal ability, in direct relation to Modern Management Practices. The capacity check tool has been approved by Treasury Board and is to be used by all government departments and agencies in conducting their assessments.

❑ Over the next three years all government departments and agencies will conduct the assessment.

Overview of the Capacity Check Tool

❑ Assess the state of comptrollership practices within each department against a common standard. Assess the current management practices against recognized best practices and principles as outlined in the Report of the Independent Review Panel.

❑ Bring together all the elements of the management framework. The capacity check is intended to integrate the full range of capabilities necessary to implement modern comptrollership, including leadership, business planning, risk management, performance management, control systems, and accountability management.

❑ Compare against best practices. The capacity check is based on best practices of other leading organizations, and therefore provides an opportunity for organizations to assess where they stand relative to these best practices.

❑ Provide assurance to external clients/stakeholders of the soundness of comptrollership within the department. The capacity check should help to clarify for external clients and stakeholders (e.g., central agencies, Parliamentarians) the management approach that is currently in place, and to provide some assurance that the overall management framework is in sound order.

Overview of the Capacity Check Tool

❑ Future oriented - focuses on what capabilities must be in place in the future to respond to emerging client demands/changing environment.

❑ Focuses on expanding/improving capability rather than downsizing.

❑ Recognizes that an organization can only focus on selected improvement areas at any one time, and cannot be "best" at everything.

❑ Intended as a diagnostic tool for senior management of the organization.

❑ Departmental focus - not intended to compare management practices between sector/regions.

❑ Directed self-assessment tool - not a review or audit. Information is collected through interviews, and then presented and reviewed by the managers collectively.

❑ Builds upon changes already underway to existing management processes

The Mechanics of the CAPACITY CHECK© Rating Scale

❑ Current capabilities are assessed based on key elements of the Comptrollership Capacity Check, and criteria provided for each key element.

❑ The capabilities depicted within each criteria represent different states or plateaus that the organization may strive to achieve. The descriptions are incremental.

❑ The capability descriptions are based on generally recognized best practices, but have been customized to reflect the Independent Review Panel Report and TBS assessment framework.

❑ A rating system of "1" to "5" is used. A high rating does not necessarily mean "goodness", rather, formality or maturity of capability. The ideal rating for any area is dependent on the needs and goals of the organization. *Level "3" is considered the norm.*

TOPIC	1	2	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.

Existing capability ●———————▶ Future capability

Where the organization may strive to be in the future

Executive Summary

Key Themes

An evolving organization

❑ CCOHS is a relatively young organization that has been in existence under 25 years. For the past 12 years, the Centre has been operating under extreme financial pressure with substantial reductions in operating expenditures and a 50% reduction in staff. While the spirit of many of the criteria of modern comptrollership are recognized, it has been difficult to implement improvements due to limited human and financial resources.

❑ The impact of this limitation is reflected in the Summary of Management Capacity Self Assessment schematic where the majority of the ratings are below the norm. However, there are certain key criteria, such as resource allocation and cost management, which the Centre was required to focus on for their survival.

❑ The human and financial limitation resulted in a Program Evaluation and Cost Recovery Review study being conducted last year. This study resulted in a $2 million increase to the Centre's A-Base funding from the Federal government. These additional funds will enable the Centre to address several of the issues that arose during the conduct of the capacity assessment.
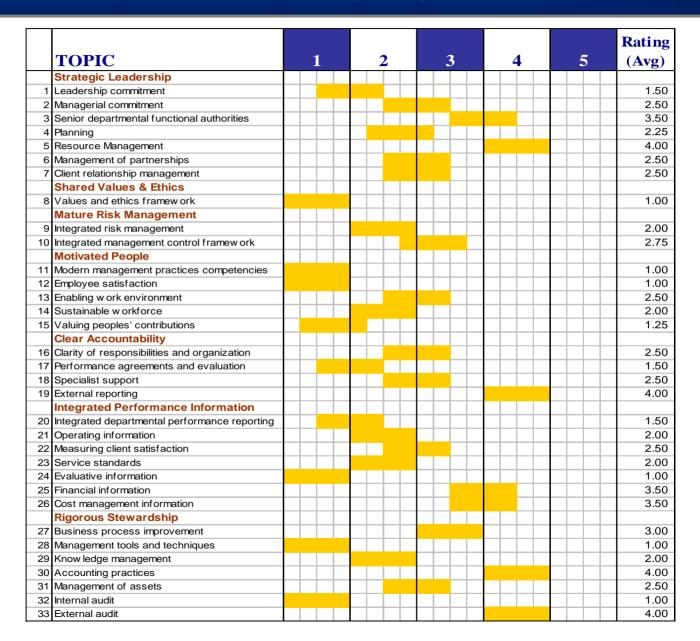
Key Themes

Some common themes, which evolved from the capacity assessment process, can be summarized as follows:

❑ Limited financial resources have restricted many activities.

❑ Many activities outlined throughout the rating scale are practiced, although they have not been formalized through policies and templates.

❑ There is a lack of consistency within each department. While good procedures and policies are in place, they may not be applied consistently.

❑ Many activities outlined throughout the rating scale are practiced in isolation, therefore, there is no integration between various planning processes

❑ There is a lot of written information available for the staff. Much of the information is available on line and is easily accessible; however, improvements could be made in communications of decisions made by senior management.

❑ There could be more client involvement in many areas such as evaluative feedback, product development and customer satisfaction.

❑ There is a need for staff and management training in "soft skills" that have been neglected due to financial difficulties.

Key Themes

❑ Management requires additional training in areas such as performance measurement and other modern management skills.

❑ Responsibilities, authorities and resources should be aligned to enable staff to more effectively perform their tasks.

❑ Performance appraisals need to be completed and goals should be linked to strategic and business plans.

❑ Employee recognition could be improved.

❑ There is a strong commitment towards improved business planning and processes which is evidenced by recent initiatives at CCOHS

❑ The new funding secured will assist CCOHS in focusing on the future rather than on survival.

Summary of Management Capacity Self Assessment

Note that:

Level 5 is based on a high standard of world class best practices and is therefore the exception.

Level 3 is considered to be the norm.

The ideal rating for any area is dependent on the needs and goals of the organization.

	TOPIC	1	2	3	4	5	Rating (Avg)
	Strategic Leadership						
1	Leadership commitment	▓	▓				1.50
2	Managerial commitment		▓	▓			2.50
3	Senior departmental functional authorities			▓	▓		3.50
4	Planning		▓	▓			2.25
5	Resource Management				▓		4.00
6	Management of partnerships		▓	▓			2.50
7	Client relationship management		▓	▓			2.50
	Shared Values & Ethics						
8	Values and ethics framework	▓					1.00
	Mature Risk Management						
9	Integrated risk management		▓				2.00
10	Integrated management control framework			▓			2.75
	Motivated People						
11	Modern management practices competencies	▓					1.00
12	Employee satisfaction	▓					1.00
13	Enabling work environment		▓	▓			2.50
14	Sustainable workforce		▓				2.00
15	Valuing peoples' contributions	▓	▓				1.25
	Clear Accountability						
16	Clarity of responsibilities and organization		▓	▓			2.50
17	Performance agreements and evaluation	▓	▓				1.50
18	Specialist support		▓	▓			2.50
19	External reporting				▓		4.00
	Integrated Performance Information						
20	Integrated departmental performance reporting	▓	▓				1.50
21	Operating information		▓				2.00
22	Measuring client satisfaction		▓	▓			2.50
23	Service standards		▓				2.00
24	Evaluative information	▓					1.00
25	Financial information			▓	▓		3.50
26	Cost management information			▓	▓		3.50
	Rigorous Stewardship						
27	Business process improvement			▓			3.00
28	Management tools and techniques	▓					1.00
29	Knowledge management		▓				2.00
30	Accounting practices				▓		4.00
31	Management of assets		▓	▓			2.50
32	Internal audit	▓					1.00
33	External audit				▓		4.00

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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 and allocating resources, and 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

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

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"

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

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

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-focused 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

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

Summary of Findings

Strategic Leadership

❑ The President, Vice President and senior management are fully aware of modern comptrollership and are committed to the goals and objectives of modern comptrollership. They have initiated some steps towards implementing modern management practices. CCOHS is currently completing their first year under the newly implemented planning process.

❑ CCOHS has partnerships with many associations, regional, provincial,territorial and federal governments. Many partnerships also exist with world health organizations, private safety associations and distributors. Partnerships have helped keep the doors open and greatly improved service delivery.

❑ A majority of modern management practices and processes are done inherently and are imbedded in the corporate knowledge of two individuals. Without the formal documentation of the practices and processes, the Centre could face difficulties if these individuals left. Members of the Centre recognize the need for formalization of policies and procedures and the need for management training of these processes.

Shared Values and Ethics

❑ Values and ethics are seen as an integral part of the organization and are inherently incorporated in the day-to-day operations.

Summary of Findings

Mature Risk Management

❑ The Centre focuses the control framework and risk management on financial issues. Operational risks are managed intuitively by the organization. The Centre recognizes the need for an integrated management control framework and the alignment of authorities to the framework.

Motivated People

❑ Modern management practices competencies, skills gaps and training plans have not been identified. Management training is done on an ad hoc basis when both time and funds are available.

❑ Due to the size of the organization, formal surveys have not been employed to gauge employee satisfaction. Employee satisfaction is monitored continuously on an informal basis through general staff meetings and individual coaching.

❑ Staff are valued and respected and seen as key assets to the organization. Team work is supported within each unit; however, information and co-operation does not always flow freely between the groups/units.

❑ Policies are in place to deal with issues such as work-life balance and workload; nonetheless the application of them is left up to each individual managers discretion.

Summary of Findings

Clear Accountability

❑ Operational roles and responsibilities are clearly defined and understood. Confusion exists, with respect to responsibilities and accountabilities, when projects require human resources from different groups/units.

❑ The CEO has a performance agreement in place with which the Council measures and evaluates his performance on an annual basis. Senior management does not have formal performance agreements in place and performance evaluations are done sporadically throughout the organization. The development of performance agreements, that are linked to the organizations strategic priorities for senior management, would assist in clarifying roles, responsibilities and accountabilities.

❑ Generally, specialist support is considered responsive and of value however; during peak periods in the year demand exceeds "supply". Operational plans could identify the needs for specialists services and should be communicated to the specialists to enable them to plan their schedules. This would assist them to continuously provide value added advice on a timely basis.

❑ All external reporting requirements are met. External reports are prepared with senior management input and are linked to the organizations strategic priorities.

Summary of Findings

Integrated Performance

❐ The Centre has developed financial and non-financial performance measures for some operational areas however; there is no organization-wide integrated reporting framework. Various groups/units have operating measures in place to monitor service delivery.

❐ The Centre gathers client satisfaction information through a variety of methods and uses the information in the annual planning process.

❐ The Centre has started to develop organization-wide service standards with the involvement their clients to varying degrees.

❐ The Centre completed a "one-off" evaluation and cost recovery study last year however; no formal evaluation framework is in place.

❐ Financial information is considered to be accurate and available on a timely basis to meet most managers needs. The Centre has an on-line timesheet costing system which is able to track product costs by person or activity. Both systems are able to produce all information however; some manual intervention is required.

Summary of Findings

Rigorous Stewardship

❑ Business processes, for service delivery and product development, are documented and well understood. Due to the Centre's self-funding situation, it has been forced to continuously improve the business processes however; this is done on an ad hoc basis rather than on a systematic basis.

❑ Managers have limited access to analytical techniques and tend to use their own individual approach.

❑ The Centre has developed an extensive intranet site to share information with all management and staff as information sharing is recognized as key to their operations.

❑ The Centre is GAAP and FIS compliant and the information is accurate. All government accounting and reporting policies are met.

❑ The Centre's main capital assets are computers and office furniture. The Centre has an on-line asset management system which tracks all assets by date of acquisition and location of asset.

❑ The Centre does not have an internal audit group and does not contract out (due to the size of the organization). Senior management does not feel internal audits are necessary. An annual financial audit is conducted by external auditors.

Summary of Opportunities

❑ The review of the thirty-three (33) criteria of modern comptrollership, through the capacity assessment, brought forward opportunities for the development of modern management practices at CCOHS. The following are the common opportunities that came to light during the process. These areas must be carefully reviewed to determine an action plan for future changes. Many of these opportunities are applicable to all seven areas of modern comptrollership and are therefore only listed in general format rather than attributing them to each of the specific areas.

❑ Training plans for management should be developed in the areas of modern comptrollership (based upon individual needs and the priorities of the Centre).

❑ Business planning processes such as budgeting, strategic planning, continuous improvement and performance measurement need to be integrated and formalized.

❑ Performance agreements need to be in place for all staff and managers with goals relating to the Centre's strategic priorities and goals for the year.

❑ Existing policies and procedures need to be applied consistently in each department.

❑ Excellent information is available to staff on-line. Improvements could be made in relating important decisions and the reasons for these decisions.

❑ Partnerships have been very successful at CCOHS. An opportunity exists to formalize these arrangements and have a consistent framework for all managers to generate partnerships.

Summary of Opportunities

❑ An extensive evaluation was conducted in the past year. This should be used as a launching point to build upon feed back processes. Many plans are underway for 2002/3 to receive feedback from clients and integrate this into the product planning process.

❑ CCOHS is aware of the importance of values and ethics in the work place. A formal champion needs to be appointed and a policy developed.

❑ Risk management should be integrated into all facets of the business process.

❑ There has been limited turnover of staff at CCOHS, which is seen as an indicator of employee satisfaction. CCOHS could consider collecting and monitoring employee satisfaction information on a periodic basis.

❑ Improvements could be made in valuing employee's contributions.

❑ CCOHS has policies that encourage work-life balance. Work needs to be done to ensure that it is applied consistently and objectively in each department.

❑ Some training has taken place at the Senior Management level to address performance planning and coaching. Management training for continuous improvement, customer service and service standards training should continue to take place for all managers.

❑ A reporting framework for financial and non-financial performance information needs to be developed.

Acronyms

- CEO – Chief Executive Officer

- GAAP – Generally Accepted Accounting Principles

- FIS – Financial Information Strategy

- MOU – Memorandum of Understanding

- CRM – Client Relationship Management

- HR – Human Resource

- PPWG – Plans and Priorities Working Group

Summary of Findings, Opportunities, Ratings and Rationale
(by assessment criteria)

Strategic Leadership

Strategic Leadership

Leadership Commitment - Findings

- Senior management is committed to modern management practices; however, different levels of awareness exist within the organization.

- The organization recognizes the need for change and has provided some training on modern management practices (such as Covenant Group training for senior management (1999) which included leadership training, coaching and strategic management).

- Minimal resources have been allocated to modern management practices due to financial constraints.

- Neither an action plan nor an implementation plan have been developed for modern management practices.

- Senior management is developing recommendations for the establishment of reporting methods.

Opportunities

- An action and implementation plan should be developed, including management training on performance measures and modern management practices.

- Resources should be committed to the development of an action plan and management training on modern management practices.

- The Centre should develop mechanisms to report performance on an integrated and consolidated basis.

TOPIC	1	2	3	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.

Rationale

The President, Vice President and Senior Managers are fully aware of modern management practices. Minimal funds have been committed to implementing modern management practices. Actions are being taken to develop modern management practices and there is a shift towards results-based reporting; however, no short or long-term plans have been developed (and documented) to improve modern management practices. The implementation of integrated performance measurement information is not a high priority on senior management's agenda. An organization has not been established to promote MMP within CCOHS.

Strategic Leadership

Managerial Commitment - Findings	**Opportunities**
• Managers are committed and supportive of modern management practices and apply some of these MMP concepts to their business routines. • Concepts of modern management practices, such as business case analysis and shared databases, are utilized some of the time. • Managers are aware of their roles and responsibilities relating to prudence and probity. • Managers are responsible with the administration of their own budget and make requests based on future plans and organizational goals. • Managers seek the support of specialists in developing new initiatives.	• Plans and initiatives should always be analyzed through the use of detailed business-case analysis.

TOPIC	1	2	3	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.

Rationale
Since funding cuts in 1989, there has been a lack of funds to enable CCOHS to implement policies and procedures related to modern management practices – the primary focus has been on program and product delivery. Nonetheless, managers do have an understanding of their management authorities and are aware of their responsibilities for probity and prudence for the protection of assets under their control. Business plans and new initiatives are subject to business-case analysis an an ad hoc basis.

Strategic Leadership

Senior Departmental Functional Authorities - Findings

- All functional authorities are members of the management committee.
- Functional authorities are involved in the development of standards and the decision-making process. As well, they provide strategic advice on a proactive basis and make recommendations.
- Functional authorities' advice is well understood and valued by senior management.

Opportunities

- The Centre should conduct an assessment of functional authorities' competencies relative to needs and determine any necessary training requirements.

TOPIC	1	2	3	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.

Rationale

All senior functional authorities are members of the management committee. Senior functional authorities and staff are involved in a leadership role by providing strategic advice in the decision-making process for new initiatives. Their advice is well understood and highly valued.

Strategic Leadership

Planning - Findings

- The planning process, within the Centre, is in its first full cycle. As a result, the benefits of the process have not been fully realized by managers.
- The linkages between the strategic and business plans are not clearly documented; however, the need for the linkages is recognized and is currently being addressed.
- Business plans are not fully integrated across all business lines.
- The level of involvement in, and the understanding of, the business planning process varies from group to group.
- Resources are adjusted as priorities change.

Opportunities

- Strategic and business plans should be clearly linked.
- The business planning process should be documented and communicated to all groups.
- All groups should be equally involved in the development of the business and operational plans.
- Operational plans need to be integrated across all business lines.
- Allocation of resources should be based on the plans and priorities.
- Results achieved from operations should be monitored against the strategic priorities.
- Client involvement in the planning process could be expanded.

TOPIC	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.

Rationale

Strategic and business plans are prepared independently with varying participation by the groups. Some effort is made to ensure consistency between the business plans and the strategic plan; however, strong linkages of strategic objectives and priorities to business and operational plans and resource allocations are lacking. Business plans are comprehensive and reflect resources from all functional areas. Business plans are not fully integrated across all business lines and results are not monitored against strategic priorities. Resources are reallocated as priorities change.

Strategic Leadership

Resource Management - Findings	*Opportunities*
• Managers are held accountable for variances which are analyzed monthly. • Finance is involved in budgeting and variance analysis. • When required, the plans and priorities working group reviews projects (timelines, resources etc.) and makes recommendations to the management committee for resource allocations. • Reallocation between groups occurs, as required, based on a detailed line by line budget review. • Some managers hold back spending until the last quarter as a significant portion of the sales revenue is derived in this period.	• Some training may assist managers in better understanding resource planning models and the mechanisms to determine their applicability to the Centre.

TOPIC	1	2	3	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.

Rationale

Due to the small size of the Centre, formal resource models and mechanisms are not considered essential. The allocation of resources is based on input from all groups. Group managers meet regularly and review resource management. Managers justify variances from budgets on an ongoing basis. Budgets are prepared by finance considering input from the operational groups. Resources are reallocated as priorities change. The resource allocation process is fully transparent.

Strategic Leadership

Management of Partnerships - Findings

- Partnerships are utilized as a major component of the service delivery model. The Council of the Centre is essentially a partnership between labour, business and government (federal, provincial and territorial).
- MOU's and contracts form the basis for partnerships.
- Functional specialists are involved in the creation and evaluation of partnerships.
- Primarily, the Centre monitors the financial aspects of partnerships.
- Risk management policies have not been developed for the evaluation and monitoring of major partnerships.
- Inconsistencies exist in the management of partnerships.
- Partnerships are analyzed informally based on senior management's experience.

Opportunities

- One of the Centre's goals is to develop a framework for the management of partnerships which would include identification, assessment and review of partnerships.

- The more partnerships are used, the more important a formalized approach becomes. At present, most of the organizations' knowledge in the area of partnerships resides with two individuals. The development and documentation of policies, procedures, toolkits, and performance measures would guard against any potential loss of corporate knowledge.

TOPIC	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.

Rationale

The Centre routinely considers the use of partnerships for product development and service delivery. Partnerships are managed by MOU's and contracts which have been reviewed by the Department of Justice. Partnerships are reviewed by the Council. Evaluation and monitoring of partnerships is conducted mainly by a small portion of senior management whom have extensive experience in dealing with partnerships on an informal basis. Functional specialists are involved in the development of partnerships. There are no formal policies, guidelines or toolkits in place that could be used when considering the possibility of implementing a partnership. Business-case analysis and risk assessments are not done for each potential partnership.

Strategic Leadership

Client Relationship Management - Findings	*Opportunities*
• Client service functions exist to varying degrees within the Centre.	• The Centre should complete implementation of the CRM.
• Client Relationship Management (CRM) software exists to collect data on clients and obtain a better understanding of client needs; however it is not, as of yet, fully functional.	• Training in the use of the CRM should be provided to applicable staff.
• Some monitoring of service delivery is undertaken and service delivery is improved based on clients comments. One of the groups uses survey tools on an ongoing basis.	• Due to the nature of operations (self-funding) it is important that a client service plan be developed for the Centre. A management function should be established to marshal and coordinate resources from across the organization to ensure efficient and effective service and product delivery.
• There is limited understanding amongst clients as to what products exist and the processes used for product pricing.	
• Client service standards are currently being developed to enable the Centre to monitor service delivery performance.	

TOPIC	1	2	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.

Rationale

As the Centre is roughly 60% self-sufficient, in terms of funding, it has developed a good appreciation for the importance of client relationship management. The Centre is committed to improving client relations even further. Certain segments of the organization have developed good client relationship management practices in gathering and considering client input; however, the processes are not sufficiently formalized across the Centre. No client service plans have been developed and documented. There is no client management function that marshals and coordinates resources across the organization to ensure service delivery commitments are satisfied.

Shared Values & Ethics

Shared Values and Ethics

- The Center is aware of the importance of values and ethics and their personnel apply these principles in their daily work routines; however, no formal values and ethics framework exists.

- A Champion has not been appointed.

- The Centre refers to Treasury Board's standard government HR policy regarding harassment and follows the requirements as stated in various components of legislation.

- The Centre maintains guidelines relating to conflict of interest.

Opportunities

- A values and ethics policy should be developed and incorporated into all facets of operations within the Centre.

TOPIC	1	2	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.

Rationale

Values and ethics are recognized as an issue; however, no formal statement or policy is in place.

Mature Risk Management

Mature Risk Management

Integrated Risk Management - Findings

- Managers inherently understand risks as they relate to their work environment; however, no documented approach to risk management exists.
- The Centre addresses risks on a product-by-product basis.
- The Centre continuously manages risk on an intuitive basis and believes that financial risks are particularly well managed.

Opportunities

- The Centre should develop and implement an integrated risk management framework.
- The Centre should provide management training on risk identification, management and mitigation techniques.

TOPIC	1	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.

Rationale

Risk management is an inherent part of the Centre's operations; however, there are no policies or guidelines at the department-wide level. Risk assessments are done when evaluating new product ideas.

Mature Risk Management

- A strong management control framework exists relating to financial disbursements; however, there is no linkage to a formal integrated management control framework.

- Legislative requirements are complied with.

- Delegation of signing authorities is generally consistent; nonetheless, some confusion exists as to the delegation of contracting authority between project managers and operational managers.

- Some confusion exists with respect to spending authorities.

Opportunities

- The Centre should develop an integrated management control framework detailing authorities and linking these to responsibilities.

- The Authority structure should be communicated clearly to all staff.

TOPIC	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.

Rationale

Adequate internal controls over the financial aspects of operations exist within the Centre. All legislation and regulations are complied with and spending limits are observed. The delegation of authorities are generally consistent with operating responsibilities with the exception of some confusion relating to contracting authority between the project managers and the operation managers.

Motivated People

Motivated People

- Modern management practices competencies have not been defined.

- Managers have not been assessed for deficiencies in skills relating to modern management practices.

- Managers have neither been provided with information nor formal management training relating to modern management practices other than Covenant Group training in 1999, which all of the senior management participated in. Some managers do identify and attend training courses that they feel are beneficial.

Opportunities

- Modern management practices competencies should be clearly defined, documented and communicated to management.

- Managers' skills gaps should be identified and specific training plans developed to address the skills gaps. These gaps and training could be incorporated into performance appraisal process.

TOPIC	1	2	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.

Rationale

Modern management practices competencies have neither been identified, documented nor communicated to management. Without the identification of the MMP competencies, skill gaps cannot be identified and training plans cannot be developed to address the gaps.

Motivated People

- Due to the small size of the organization, formal employee survey techniques are not utilized. Employee satisfaction is monitored on an informal basis through such modes as general staff meetings, communications with Union representatives and social events.

- The Centre has established an Employee Assistance Program which is administered by a third party.

- Coaching of staff is undertaken; however, it is inconsistent throughout the organization.

- There has been limited staff turnover which some view as an indicator of employee satisfaction.

Opportunities

- The Centre should consider formalizing, to some extent, the collection and monitoring of employee satisfaction information.

TOPIC	1	2	3	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.

Rationale

Information on employee satisfaction is collected informally through group staff meetings and coaching sessions. No formalized monitoring is undertaken, due to the small size of the organization. It is the general consensus that formal surveys are not required nor applicable for this organization.

Motivated People

- Staff are seen as a key asset.
- Staff input is sometimes sought to assist managers in decision-making but the rationale for final decisions is not always communicated to staff.
- The Centre makes wide use of the Intranet to communicate information throughout the organization.
- Information does not always flow freely among the different groups.
- Organizational policy addresses work-life balance; however, implementation varies among the various groups.

Opportunities

- Communication and reasoning of management decisions should be disseminated to the staff.
- The Centre could develop a process to capture staff ideas and contributions so that affected staff have an equal opportunity to provide input.

TOPIC	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.

Rationale

The management of the organization recognize the importance of the staff. Staff are given the opportunity to provide input on decisions, on an inconsistent basis, throughout the organization. The Centre takes pride in the quality and extent of information provided to all staff both informally and via the intranet. The organization emphasizes work-life balance even though implementation is not always consistent.

Motivated People

Sustainable Workforce - Findings

- Some methods for determining standards for various tasks have been developed; however, no formal systems are in place to effectively track the workloads in relation to the standards.
- The Plans & Priorities Working Group (PPWG) meets regularly to develop, review and adjust work plans.
- Managers assign work loads on a subjective basis.
- Constraints exist in terms of the ability to hire staff to offset current workloads.

Opportunities

- The Centre should ensure productivity measures are in place for all applicable operations. Staff input should be sought regarding the establishment of these measures as well as the standards used to measure their productivity and performance.
- Cross-training of management and staff should be considered to compensate for extended absences.

TOPIC	1	2	3	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.

Rationale

The Centre determines the tasks to be completed from the workplans developed by the PPWG, the times required to complete those tasks and their deadlines. The tasks are then assigned on the basis of the plans. The assignment of the work, to specific individuals, is done on a subjective basis. Although business plans are used at a high level basis for the assignment of work, there is no monitoring or adjusting of workloads as a result of variances between expected and actual completion times.

Motivated People

- Employee contributions are valued; however, no formal mechanisms are in place for employee recognition relating to performance. The Centre has a policy that staff are awarded a double pay increment for a performance evaluation above satisfaction; however, the perception is that this is rarely applied as such a rating by one manager needs to be validated by all other managers. The perception is that no one receives an evaluation above satisfactory.
- Awards are presented for length of service (5, 10, & 20 years service).
- Staff are encouraged to participate and speak out.
- Teamwork, across operational groups, tends to be limited to specific projects.

Opportunities

- The Centre should develop methods for recognizing achievement, innovation and new ideas.
- The Centre could examine ways to encourage team work across all operational groups.

TOPIC	1	2	3	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.

Rationale

People are encouraged to participate and speak out. Length of service awards are given, but there are no formal rewards or incentives for superior performance. There is a strong sense of teamwork within operational groups; however, limited interaction among the groups exists.

Clear Accountability

Clear Accountability

- Assignment of responsibilities and accountabilities is clear with respect to ongoing operations; however, it is not always clear with respect to projects where the project manager requires the use of resources of operational managers.

- Some overlap exists in roles and responsibilities with respect to maintenance of the web site as it serves stakeholders of multiple operational groups, such as, inquiries service and health and safety products and services. A web design team has been formed, however, it is not fully functional.

Opportunities

- The Centre should ensure clarity in the assignment of responsibilities and accountabilities for project managers.

- The Centre should encourage the activation of web design team.

TOPIC	1	2	3	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.

Rationale

Authorities, responsibilities and accountabilities are clearly defined and understood at an operational level. Some overlap of responsibility exists in the management of projects.

Clear Accountability

- Mechanisms for determining performance are in place; however, there are no formal performance agreements for senior executives other than the CEO.

- Evaluations are conducted; however, not everyone is evaluated nor is it clear that the evaluations are done on a consistent basis.

- Systems to consolidate and report performance information against financial and operating goals are not in place.

Opportunities

- All managers should have performance agreements in place. Accountabilities, priorities and performance measures should be defined in the agreements.

- The performance agreements should be linked directly to the Centre's strategic objectives and aligned with the operational plans and budgets.

- The Centre should develop a formal performance evaluation process to be applied consistently across the organization, which could include, one-on-one coaching.

- Managers should be held accountable for completing staff appraisals in a timely manner.

TOPIC	1	2	3	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.

Rationale

The CEO is subject to a performance agreement. Senior managers priorities and accountabilities are established and reviewed informally. Appraisals are done for staff but they are done on an inconsistent basis and not all staff are evaluated.

Clear Accountability

- Internal specialists are consulted and provide responsive, (more reactive than proactive) strategic advice to line managers; however, there are not always enough specialists to meet demands.

- Specialists are regarded as competent; however, their advice is not always considered value-added. This may be due to the number of demands that are placed on specialists at one time. At certain times of year, the process is slowed due to volume of requests for support.

Opportunities

- A more formalized approach for the provision of information technology services between internal and external clients could be developed.

- The development of service standards, for the provision of specialist support to operational groups, would assist in the delivery of mutually acceptable service.

- The plans of operational groups should outline the anticipated requirements of specialist support. These plans should be shared with the specialists to enable them to provide more proactive advice.

TOPIC	1	2	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.

Rationale

Functional specialists are technically competent and provide responsive analysis and advice primarily on a reactive basis. At certain peak times, demand for specialist support exceeds availability.

Clear Accountability

- The Centre's reports are accurate and provide useful information to users and key stakeholders.
- Both the annual report and the Centre's performance report are prepared with input from all senior managers.
- As measured by certain high level performance indicators, the performance report links strategic priorities to strategic outcomes.
- The Centre meets all parliamentary reporting requirements.

Opportunities

- The Centre's reports should be presented on a trend basis.
- Reports should be linked to the Centre's business plans.

TOPIC	1	2	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.

Rationale

The Centre's reports are prepared with input from all senior managers. The Centre's reports link information to strategic priorities.

Integrated Performance Information

Integrated Performance Information

- Some performance measures (financial and non-financial) have been identified; however, they have not been established for all key operational areas.

- The Centre has not yet established mechanisms to gather information and track non-financial performance over time.

- Performance information is not integrated into an overall reporting framework.

Opportunities

- The Centre should establish performance measures for all key operational areas which are linked to strategic priorities and objectives.

- The Centre should establish mechanisms to gather information, track, monitor and report non-financial performance.

TOPIC	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.

Rationale

Some financial and non-financial performance measures have been identified but no organization wide reporting framework has been developed to enable ongoing tracking and monitoring.

Integrated Performance Information

- Operating measures exist, to varying degrees, by group.
- Some groups do monitor operating performance; however, there is no organization-wide process in place to collect information or statistics relating to operating information.

Opportunities

- The Centre should establish operating measures for all operating groups and develop a system to collect service quality and efficiency data and report on results.

TOPIC	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.

Rationale

Operating measures are utilized by some of the operating groups. Monitoring and reporting of operating measures varies from group to group. There is no department-wide system to track operating results.

Integrated Performance Information

- Some formal surveys have been conducted and the results have been tracked.

- The Centre gathers client satisfaction information using various techniques, such as, focus groups and feedback cards.

- The Centre does not have a formal plan to measure client satisfaction on an ongoing basis.

- Client comments are considered and taken into account in planning.

Opportunities

- The Centre needs to adopt a more strategic approach to measuring client satisfaction. Measurement techniques and frequency should be built into business plans.

TOPIC	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.

Rationale

The Centre gathers information on client satisfaction using a variety of techniques such as formal surveys, focus groups and feedback cards. Results are tracked and considered in strategic and business planning. The Centre does not have a department-wide plan or reporting strategy with respect to measuring client satisfaction.

Integrated Performance Information

Service Standards - Findings

- Limited opportunity has been provided for analysis of results as the Centre has just commenced the development of organization-wide service standards.

- Clients are involved, to varying degrees, in the development of service standards as their comments are considered and improvements are made. One operational group conducts focus groups at trade shows and considers client feedback in planning.

- Informal service standards are known and applied by employees in service delivery efforts.

Opportunities

- The Centre should continue its development of organization-wide service standards and a system to track and analyze results over time.

- Additional training could facilitate the identification of appropriate service standards and tracking systems.

TOPIC	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.

Rationale

The Centre has developed some service standards for some groups and are tracking service level information with respect to these standards. Clients have been involved, to varying degrees, in the development of the service standards. Department-wide standards and systems to monitor the results are still being developed. This is the first year the department has these service standards therefore, measurement of results has not yet been undertaken.

Integrated Performance Information

Evaluative Information - Findings	*Opportunities*
• A program evaluation and cost recovery study was completed in 2001, however; no evaluative framework has been established for the Centres' products and service delivery. • Evaluative information is collected informally based on client feed back.	• The Centre should consider the development of an evaluation framework and an implementation plan. The recent program review could be used as a template for the development of the framework.

TOPIC	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.

Rationale

Although an evaluation was carried out in 2001, it was a "one-off" evaluation and was requested by a third party. The organization has no formal evaluation frameworks in place.

Integrated Performance Information

- Monthly financial statements are accurate and timely and meet most management needs; however, manual intervention is needed to obtain specific project information required.

- The technology exists for integration; nonetheless, it has not been implemented.

- Extensive financial information exists, however, there is limited provision of analysis or commentary.

- Financial information is available on the Intranet.

Opportunities

- The Centre could integrate accounting, human resources, and timesheet systems.

TOPIC	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.

Rationale

Financial reporting is paper-based but is viewed as timely and accurate and it meets most management needs. Additional detailed information is readily available from finance upon request. Due to the small size of the Centre, on-line real time systems are not considered necessary. Financial information is available to everyone in the organization via the intranet.

Integrated Performance Information

Cost Management Information - Findings	*Opportunities*
• The Centre has an on-line timesheet costing system in place which is able to track product costs by person or activity. Most personnel do input timesheets; however, this is not enforced in all cases. • While manual intervention is required, full costing information is available on project and product costs. • The cost information is applied in the decision-making process.	• Management should enforce compliance of regular and timely input of time records into the on-line time system.

TOPIC	1	2	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.

Rationale

The Centre has an on-line time sheet system that enables management to cost activities. Most employees input time spent by activity through an automated interface. With some manual intervention by finance, costing information is made available to managers on a timely basis. Management uses such information for decision-making purposes.

Rigorous Stewardship

Rigorous Stewardship

Business Process Improvement - Findings

- Business processes, for service delivery and product development/ delivery, are well defined and understood.
- As the Centre must self-fund a significant portion of its operations, it has been forced to focus on continuous improvement of business processes.
- There is no organization-wide systematic approach to business process improvement; however, ad hoc initiatives are undertaken for continuous improvement through a variety of methods, such as, bi-weekly staff meetings and post-mortem reviews of projects.

Opportunities

- The Centre could adopt a more formalized approach to reviewing and improving processes.

TOPIC	1	2	3	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.

Rationale

Business processes are documented and understood. While there is no organization-wide systematic approach to business process improvement, the Centre continually examines service delivery processes and have made good progress in streamlining core production.

Rigorous Stewardship

Management Tools and Techniques - Findings
• The Centre has limited tools and techniques.
• Managers use their own approaches and techniques.
• Benchmarking methodologies are not applied to systems and process improvements.

Opportunities
• The Centre should consider training in analytical techniques to enable managers to take advantage of the appropriate techniques required to assist them in decision-making.

TOPIC	1	2	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.

Rationale
Managers do not have access to a variety of tools and techniques and tend to use their own individual approach.

Rigorous Stewardship

- There is sharing of information and knowledge at general staff meetings and at operational group meetings.
- The internet and intranet are the primary tools for knowledge gathering and dissemination and staff find them informative.
- Knowledge, relating to introduction of new products, is provided by way of a presentation.
- The importance of knowledge sharing is recognized and knowledge transfer is encouraged.
- A Centre library and off-site data storage exists.

Opportunities

- In order to facilitate the use of the intranet, the Centre could add a "What's New" link and a search engine.
- Management should consider holding an information-sharing presentation to introduce new products. Similar presentations could be held at the conclusion of the conference season to share client feedback.

TOPIC	1	2	3	4	5
Knowledge management *Performance/management 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.

Rationale

Management recognizes the importance of knowledge-sharing and encourages information-sharing. Information is shared in a variety of ways such as general staff meetings, operational group meetings and the intranet.

Rigorous Stewardship

- The Centre is GAAP/FIS compliant.
- Financial information is used by managers to support decision-making.
- All government accounting policies are complied with.
- Systems do not produce activity cost information, but the finance group can provide this in a reasonable amount of time with some manual effort.

Opportunities

- None

TOPIC	1	2	3	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).

Rationale

For the purposes of reporting and satisfying needs of managers, financial records are kept on a consistent and useful basis and are GAAP/FIS compliant.

Rigorous Stewardship

- The Centre's assets are limited to computer and office equipment and furniture which are replaced as required.

- The Centre has an on-line asset management system (can track all assets by location and date of acquisition). All assets are physically tagged and are physically inspected every year. Each office has a list posted on the wall of the rooms contents.

- None

TOPIC	1	2	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.

The Centre's management of assets is appropriate to support efficient operations.

Rigorous Stewardship

- There is no formal audit plan and internal audits are not performed.
- Spot checks are conducted regularly on key areas, these checks indicate that the controls in place are adequate.
- Managers indicated that the organization is too small to support an internal audit function.

Opportunities

- None

TOPIC	1	2	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.

Rationale

The is no internal audit function or plans as management believes this is inappropriate for the small size of the organization.

Rigorous Stewardship

- Financial statements are produced and external audits are performed.
- Areas identified by the auditors, as priorities, are addressed and follow-up is undertaken.
- Recommendations are implemented as required.

Opportunities

- None

TOPIC	1	2	3	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.

Rationale

The only external audit is the annual financial audit. The Office of the Auditor General has not conducted any comprehensive audits. All issues raised by the external auditor are addressed.

Appendix - List of Interviewees and Focus Group Participants

Interviewees and Focus Group Participants

Interviewees:

- Len Hong   President, CEO
- P.K. Abeytunga   Vice President
- Bonnie Easterbrook   Controller
- Louise Henderson   Manager, Human resources
- Eleanor Irwin   Manager, Marketing, Sales & Communications
- David Brophy   Manager, Computer Systems and Services
- Anne Graveraux   Manager, Health and Safety Products and Services
- Roger Cockerline   Manager, Inquiries Service

Focus Group Participants:

- Susan Andreychuck   Marketing Officer
- Flora Simpson   Technical Specialist, Information Projects
- Joyce Partington   Inquiries
- Phil Tiessen   Programmer Analyst
- Lynn Lahie   Administrator, Internal Systems
- Barb Kuchynski   Executive Assistant (PCEO)
- Heather Reicheld   Account Manager
- Sandy Bello   Technical Specialist
- Renzo Betrolini   Subject Specialist
- Peggy Macleod   Operations Analyst
- Cindy Machida   Assistant Manager, Operations Services
- Lynn Walker   Human Resources