
**REVIEW
DIRECTORATE**

**DIRECTION GÉNÉRALE
DE L'EXAMEN**

**REVIEW OF CAREER DEVELOPMENT
AND SUCCESSION PLANNING
PROJECT 65170
FINAL REPORT
JULY 2001**



Fisheries and Oceans
Canada

Pêches et Océans
Canada

Canada

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1.0 EXECUTIVE SUMMARY

DFO will enter a period of high attrition commencing around 2003-4 when many of the "baby boom" generation will be eligible to retire. This generation now constitutes the majority of DFO's personnel. The overall objective of this review was to determine DFO's preparedness to meet this challenge, with particular focus on career development and succession planning practices.

In undertaking this review, the Review Team recognized the significant work that is underway in several senior management-led initiatives. The intention throughout the review has been to facilitate and contribute to the initiatives already being undertaken within DFO.

This Executive Summary provides an overview of the key findings and recommendations contained in this review report.

Demographic Analysis and Human Resource Planning

Analyzing recent attrition trends, forecasting future attrition risks and identifying future recruitment, staffing and training requirements are essential for DFO's annual business plans. This report recommends that departure forecasts for selected occupational groups be prepared in consultation with the Public Service Commission. A Human Resource (HR) Planning template or guideline is provided to support DFO managers in the preparation of their HR plans.

Competency-Based Management (CBM)

A competency profile for a position describes the key competencies that an employee would normally possess to be successful in a particular job or role within an organization. CBM is a framework for creating competency profiles in an organization. Central Agencies, as well as several federal departments and many private sector organizations, have recognized the value of *CBM* for recruiting, staffing, identifying training needs, developing careers, and planning for succession in a changing future environment. A successful CBM program is widely viewed as the basis for the success of an organization's overall HR strategy.

To date, CBM job profiles in DFO have been initiated in the absence of a departmental development framework. This review supports the focus of the National Workplace Improvement Initiative on CBM as a way to bring discipline to the development and implementation of CBM in DFO.

Succession Planning and Recruitment

Workforce trends suggest that future demand for knowledge workers, both specialists and generalists, will be extremely high in the Public Service, resulting in employers becoming more competitive in their search for knowledge workers. In addition, the high volume of recruitment and staffing actions will create significant workload that will demand more efficient and effective processes. The overall lack of recruitment in the years following Program Review has resulted in relatively little attention being given in DFO, to the development of strategies for

succession planning, recruitment or internal staffing. In order to cope and be successful, DFO will have to develop efficient, departmentally integrated recruitment and staffing strategies.

Recommendations are made to facilitate development of integrated departmental strategies for succession planning and recruitment. These include: an expanded and more structured approach to using Special Assignment Pay Plan (SAPP) and/or FLEX for pre-retirement assignments; managing the risk at the RDG or ADM levels for hiring over levels of attrition; increased use of generic recruitment to establish pre-qualified pools of candidates; increased use of the Student Bridging Program to facilitate recruitment of qualified post-secondary students and the increased use of structured, formal career paths to encourage recruitment and to facilitate career development. Many of these recommendations will not only enhance DFO succession planning, recruitment and staffing practices, but will significantly reduce the future workloads of managers and HR specialists, and permit timely staffing of vacancies. In addition a recommendation is made to evaluate the potential application of the Central and Arctic Region's Recruitment Outreach Officer Program to other DFO regions.

A Risk Assessment Model is provided as part of this review report (Appendix D) which should be used to assist DFO management to objectively determine which projected occupational areas or position gaps pose the greatest risk to the organization. Based on these assessments, resource allocations could be prioritized to address these gaps. This analysis could form the basis of a submission to Treasury Board seeking support for a departmental initiative to recruit at levels higher than attrition.

Career Planning

Most DFO staff realize that they have an important role to play in their own career planning and development but many are not clear on how to assume this role, nor are they clear on what future opportunities exist in DFO. Departmental employees also believe that support from DFO and its managers is essential for successful career development programs.

The Annual Performance Appraisal is theoretically intended as an opportunity for managers to support their employees with their career development planning. However, based on interviews conducted during the review, it is estimated that less than 50% of DFO employees receive an Annual Performance Appraisal. The main reasons cited by managers for not undertaking Performance Appraisals were: workload associated with preparing for the appraisal; lack of use made of the appraisal; and discomfort with the evaluative focus of the appraisal process.

Health Canada, Statistics Canada and the Solicitor General of Canada, are examples of departments that emphasize the importance of annual management/employee career development discussions and de-emphasize the focus on employee performance evaluation. Recommendations are made for DFO to re-orient the Annual Performance Appraisal process to focus on career development through the use of Annual Learning and Development Plans for all DFO staff.

To further support and promote career development, this review recommends the following: provision of training to DFO management and staff on how to undertake and support effective career planning; the further development of career development self-help tools for DFO staff;

and the evaluation of the Pacific Region's Employee Development Centre for potential implementation in other DFO regions.

Training

The focus of the DFO training policy over the past few years has been on employees' entitlement to ten days of learning. The majority of those interviewed during the course of this review believe this policy to be somewhat meaningless. Recommendations of the review are to re-orient the Department's training policy to one that is needs-based rather than entitlement-based. An increased emphasis on career development planning as recommended by this review will help facilitate this increased focus on identifying training requirements.

Recommendations are made to ensure "reasonable" levels of departmental resources are protected to fund training. The level of funding in support of training should be monitored to ensure that it approximates the acknowledged benchmarks of comparable organizations recognized as learning organizations. To support this recommendation, the implementation of the PeopleSoft Training module should be expedited to track training plans. In addition, the departmental accounting and financial systems should accurately record expenditures associated with training including those expenditures of the Canadian Coast Guard College that are directly attributable to the training of DFO staff.

To promote the principles of fairness and transparency, this review recommends that support to DFO employees for significant training programs, such as Executive MBA programs, is approved at the Departmental level, based on appropriate objective criteria.

To optimize and leverage resources devoted to training, it is recommended that DFO adopt a more generic approach to leadership and interpersonal skills training to facilitate interdepartmental sharing of training programs. In addition the DFO Learning Network should be re-instituted to provide a greater opportunity for departmental staff to share ideas and best practices in the field of training.

Career Assignments

There is a general perception that the selection process for job assignments is neither fair nor transparent. Moreover, heavy workloads and lack of resources discourage managers from encouraging employees to seek assignments as a means of learning and development. Managers are sometimes reluctant to approve assignments because they must back-fill substantive positions on a temporary basis, and this temporary replacement status can often last for several years.

To create a more transparent and fair process for determining assignments, this review recommends mandatory advertising of career assignment opportunities of greater than three months. In addition, the Personal Development Partnership Program (PDPP) of the Pacific Region should be evaluated for potential application in other regions. This assignment program aims to enhance overall capability, knowledge, and employability of employees and to provide managers with a more skilled workforce to meet program demands. This program also covers

back-filling and other direct operational costs in order to ensure that these costs are not a burden on participating managers.

Career Development Programs and Mentoring

The High Potential Employee Program (HPE) selection process is generally perceived as secretive and arbitrary, and targets only senior level staff. It is recommended that the HPE program be discontinued and replaced with a fair and transparent regional management development program that includes all levels of staff, similar to Canadian Customs and Revenue Agency's Atlantic Region Management Development Program.

The DFO Management Trainee Program (MTP) administered by the Director General of HR should increase funding towards MTP participants' salaries for departmental assignments, from the current 50% to 100%. This approach would help ensure that MTP assignments are relevant and of high quality.

Although the Career Assignment Program (CAP) has been redesigned with less emphasis on mandatory mobility requirements, the perception exists that mobility is essential for selection to CAP, and this is frequently quoted as a disincentive to apply for CAP. This review recommends that mobility requirements for Career Assignment Program participants be established on a case-by-case basis and that participants have the option to complete most assignments in their current home geographic location.

Currently there is inadequate program and administrative support to both MTP and CAP participants in DFO. It is recommended that additional staff support be provided to the HR Executive Group Services Branch.

DFO is committed to promoting mentoring initiatives in the Department. The observations and recommendations of this review pertaining to mentoring focus on the administration of mentoring programs. Health Canada has already made significant progress in establishing a web-based system to administer its mentoring program. Health Canada has made its system available to all departments. It is recommended that DFO examine the feasibility of using the national, interdepartmental mentoring program/database developed by Health Canada to administer the DFO mentoring program.

Conclusion

Many of the recommendations offered in this Review will require the Department to increase funding to the career development of DFO employees. Given the resources and significant effort that would be involved in addressing these recommendations, it is recognized that their implementation would be phased over a multiyear timeframe.

The importance of improving all aspects of the DFO workplace has been recognized by the Department through the significant effort and attention currently being devoted to the DFO National Workplace Improvement Initiatives (NWIIs). The NWIIs are however, a response to the inability of the Department to implement many of the past La Relève recommendations. The

Program Review reductions to the HR organizations greatly diminished the ability of HR to provide guidance and leadership to the Department in several key strategic human resource areas. In addition, the decentralized DFO management model has evolved to the point where functional leadership is difficult to exercise. A strengthened capacity for the HR organization to provide functional leadership, together with an increased commitment by departmental management, will be important if the efforts of the NWII's are to be sustained in the long term.

One of the key priorities of the DFO Strategic Plan is Program Integrity. The role of effective human resource and workplace strategies in determining the success of a department's program delivery makes human resource management a program integrity issue in its own right. The significance of this fact is not one that is just now emerging as an important organizational success factor. Over two hundred years ago, the essence of this was recognized and expressed as follows:

"Vitaly important as the planned maintenance of a ship's machinery may be, all the effort devoted to it is expended in vain if the planning does not contribute to the efficiency and well-being of the maintainer..."

Admiral Smith, Royal Navy, 1775.

Note: Due to an organizational change in the summer of 2001, all references in this report to the Director General of Human Resources should now be considered to refer to the Assistant Deputy Minister of Human Resources.

2.0 INTRODUCTION

2.1 BACKGROUND

DFO will enter a period of high attrition commencing around 2003-4 when many of the "baby boom" generation will be eligible to retire. This generation now constitutes the majority of DFO's personnel. An environmental scan undertaken in 1999 has identified that current career development and succession plans in DFO are insufficient to replace an aging workforce and counteract the departure of experienced staff.

In addition to the challenges related to future high departmental attrition rates, recent surveys of DFO staff have identified opportunities for improvement in the areas of career development, continuous learning, workload and organizational health.

The *Career Development and Succession Planning* project was included in the Review Directorate's 2000-01 Plan to reflect the importance of these Human Resource (HR) issues. In undertaking this review, we recognized the significant work that is underway in several senior management-led initiatives. The intention of the Review Team throughout the project has been to facilitate and contribute to the initiatives already being undertaken within DFO. This approach is similar to the accepted audit practice of reviewing systems during their development and implementation phases, rather than focusing attention exclusively on post implementation issues.

DFO's March 2000 *Priority Team* document included a section "*Striving for the Ideal Workplace*".

This excerpt from the document embodies the principles of openness, fairness and transparency that was the Review Team's frame-of-reference as it formulated the recommendations in this report.

The Ideal Workplace provides -

- a values-based, respectful, fun and rewarding work environment,
- a balance between work and personal/family life,
- opportunities for growth,
- open communications, collegiality and sharing,
- a workplace where employees have a say in the decisions affecting their work,
- a workplace that is inclusive and representative, and
- a workplace where employees, managers and supervisors share responsibility for continuous learning and career development.

2.2 OBJECTIVES AND SCOPE

The review's objectives were to identify:

- DFO occupational groups which represent the greatest risk if vacancies develop due to attrition;
- current career development and succession planning initiatives in DFO, including best practices as well as issues and barriers; and
- best practices in other organizations.

In addition, the review team was to recommend useful courses of action to enhance career development and succession planning in DFO.

The scope of this review was very broad, covering most elements associated with career development and succession planning. The diagram below depicts the breadth of the elements which constitute or are directly linked to career development and succession planning.



2.3 METHODOLOGY

The review began with: a literature search of internal DFO documents pertaining to the Review objectives and scope; a review of academic studies related to career development and succession planning in private and public organizations; and a review of related periodicals.

The project team interviewed more than 150 individual headquarters and regional DFO managers and employees, and conducted focus groups or group interviews in each region. In addition, officials in a number of federal departments, agencies and private sector organizations were interviewed regarding their human resource management systems.

The Review Team also worked closely with the three initial *DFO Priority Teams*: Recruitment and Retention; Career Development and Continuous Learning; and Organizational Health. Team members will continue to participate as members of the *National Workplace Improvement Initiatives (NWIIs)* which were created to refine and implement the initiatives and recommendations of the Priority Teams. The close working relationship of Review Team members with these *NWIIs* ensures that the knowledge and experience gained throughout the Review will continue to be available as work progresses in these important areas.

Many of the recommendations in this report are addressed to the Director General of Human Resources for action. It is recognized that the *NWIIs* will be involved in reviewing several of these recommendations and contributing to the formulation of appropriate actions.

A copy of the Review Terms of Reference is presented in Appendix A.

3.0 OBSERVATIONS AND RECOMMENDATIONS

3.1 DEMOGRAPHIC ANALYSIS

3.1.1 Demographic Analysis Observations

A Demographic Profile of the DFO workforce, prepared by the Corporate Human Resource Planning Branch in 1998, revealed an ageing workforce with a preponderance of the “baby-boom” generation. The Priority Team for Recruitment and Retention subsequently conducted an environmental scan including demographic composition of the workforce, recruitment rates, and attrition forecasts.

The Review Team and Corporate HR Planning are currently working with the Public Service Commission (PSC) to prepare detailed departure forecasts for key groups, using a sophisticated forecasting model (I THINK). These projections are based on historical trends.

The demographic analyses and departure forecasts, prepared to date, point to a retirement wave, which is expected to begin in 2003-4 and last for at least 10-12 years. This wave of departures will generate vacancy and skill gaps in a broad range of occupational groups. The Recruitment and Retention Priority Team has identified several key groups that are projected to face the most critical human resource gaps. In view of all the work that has already been done and work in progress, it is not the intent of this review to provide a detailed DFO demographic analysis, but to emphasise its importance. Demographic analyses and departure forecasts are essential to identify the most critical potential human resource gaps, and to formulate appropriate and timely succession and recruitment strategies.

3.1.2 Demographic Analysis Recommendations

1. *The Chief of Corporate HR Planning should ensure:*

- *that departure forecasts for selected occupational group are prepared using the Public Service Commission’s ITHINK model, and*
- *there is a capability to prepare departure forecast updates and special reports, as requested by managers.*

3.2 HUMAN RESOURCE PLANNING

3.2.1 Human Resource Planning Observations

Managers need increased support in developing their human resource plans and incorporating them into annual business plans. Currently there are no comprehensive guidelines relating to the preparation of HR Plans.

As part of this review, the Review Team and the Chief of Corporate HR Planning have developed a draft HR Planning Template to assist managers in developing their HR Plans. This template is provided in Appendix B.

3.2.2 Human Resource Planning Recommendation

2. *The ADM of Corporate Services should ensure that HR Plans are integrated into the DFO Business Planning process. The Director General of HR and the Regional Directors of HR should ensure that Regional HR Advisors are trained in HR planning principles, including the use of an HR Planning Template, in order to assist managers in the development of their HR Plans.*

3.3 COMPETENCY-BASED MANAGEMENT (CBM)

3.3.1 Overview

A 1999 Treasury Board Secretariat bulletin defines *competencies* as the knowledge, skills, abilities and behaviours, linked to organizational objectives, that are key to achieving business strategies. A competency profile for a position describes the key competencies that an employee would normally possess to be successful in a particular job or role within an organization.

CBM is currently used in private and public sector organizations for succession planning, recruiting, career development and performance evaluation. A successful CBM program is widely viewed as the basis for the success of an organization's overall HR strategy.

Appendix C identifies key factors that are important in developing a successful CBM program.

3.3.2 CBM Observations

Several DFO programs have recognized the value of CBM to their organizations and have already developed job profiles, or are beginning to develop them. These were initiated in the absence of a departmental CBM framework. Consequently, the current competency profiles have used different frameworks and terminology dictionaries that could lead to departmental inconsistencies and integration difficulties.

Current CBM job profile initiatives in DFO:

- are used as a recruitment and selection tool for Fishery Officers;
- are being developed for other positions in the Fisheries Management Sector, based on the Universal Classification System job descriptions;
- are to be finalized this year for Central and Arctic's *Aids to Navigation* program, as a tool to assist succession planning;
- were initiated in 1999 for the *Rescue, Safety and Environmental Response (RSER)* program in the Maritime Region to identify skills, knowledge and abilities required for RSER positions in order to guide employee self-assessments, enhance competencies and facilitate career planning;
- have been developed for Laurentian Region *Finance and Administration EX minus 1 and 2* and for *some Coast Guard positions*;
- are being developed for CCG *Fleet* positions to comply with International Marine Safety Program standards; and
- have been developed jointly by the Newfoundland and Labrador Federal Council for *Human Resource Management* and *Human Resource Compensation* positions.

In addition, DFO's Corporate HR organization has proposed a draft list of *core competencies* to be included in all CBM job profiles in DFO.

A NWII, chaired by the ADM Policy and co-chaired by the Associate RDG Maritimes, has been created to guide the initial implementation of CBM in DFO. One of the primary objectives of this initiative is to develop a departmental framework and terminology dictionary to facilitate the implementation of CBM in DFO. This NWII plans to engage a full-time project manager/coordinator to oversee the initial activities associated with implementing CBM in the Department. However, based on the experience of other organizations, full implementation of CBM will likely require several years. It will be important that a CBM focus or Centre of Excellence be provided to encourage ongoing management, employee and union participation in the CBM initiative. In addition, this CBM departmental focal point would facilitate the sharing of best practices, minimize duplication of effort and track/measure progress.

A few examples of federal departments and agencies that have well established CBM initiatives including the use of clear frameworks and dictionaries of terms are summarized below:

- The National Research Council (NRC) initiated CBM in 1997 in response to a 1994-95 Auditor General's report that reviewed science management in the federal Public Service. The purpose of NRC's initiative, announced in a letter from the President to all managers and employees, was to *enhance and sustain excellence*.
- The new Canada Customs and Revenue Agency has initiated a CBM approach to business and human resource management. Currently, competency profiles are used for recruiting and staffing actions. Core competencies, developed by the PSC are used for executive positions.
- Human Resources and Development Canada (since 1995), the National Waters Research Institute of Environment Canada (since 1996) and the Royal Canadian Mounted Police (since 1994) also have CBM initiatives.

3.3.3 CBM Recommendation

3. ***The Director General of HR should ensure that a Coordinator or Centre of Excellence is established to work with the National Workplace Improvement Initiative on Competency Based Management and support the multi-year DFO Competency Based Management initiative.***

3.4 SUCCESSION PLANNING

3.4.1 Succession Planning Observations

Succession Planning is traditionally defined as a process for determining who will succeed the current incumbent(s) of a particular position(s) at some point in the future. This definition implies control over who the successor will be for a specific position, and the ability to groom the chosen successor. Public Service promotion mechanisms, however, do not often lend themselves to identifying specific persons as successors. In the Public Service, succession

planning almost amounts to a recruiting strategy. It entails determining future human resource needs for the short and long term, and designing the right strategy to meet those needs, including:

- succession planning for specific positions by developing the desired competencies in the feeder groups;
- macro-level succession planning by recruiting at entry level and developing new recruits for the future; and
- streamlining the use of existing mechanisms to facilitate external recruitment at higher-than-entry level, where there is a requirement to fill more immediate gaps, due to lack of feeder groups.

In recent years, departmental managers have tended to fill skill gaps in their organizations by staffing positions on a Term or Casual basis. There has been a reluctance to address current and future skill shortages through the staffing of indeterminate positions because of the risks to their budgets associated with this practice. While Term and Casual employment is appropriate in situations such as short-term projects, they have been widely used for essential work that is required year after year, primarily due to lack of ongoing funding and the relative ease of the staffing process for term and casual employment. However, in view of the fact that beginning in 2003, a high volume of recruitment will be necessary for replacing retiring indeterminate employees, resorting to short-term employment to fill permanent vacancies as a quick-fix solution will be detrimental to the succession planning process. In addition, the over-use of term and casual employees will lead to difficulty in attracting and retaining the best candidates, and could have a negative impact on organizational stability, employee morale and commitment.

Most organizations in DFO have only just started thinking about succession planning. In view of the expected shortages in personnel and skills, there is a need for risk managing recruitment levels higher than attrition rates (which will be artificially low for the next 2-3 years). In view of the predicted departures, the risk involved in hiring above attrition rates will become less as we get closer to the advent of the departure wave. Some DFO managers have started hiring indeterminate staff on a risk basis. This has been undertaken on a relatively small scale, since budget constraints do not allow them to assume risk on a scale large enough for effective succession planning. Managing the risk across a broader organization, that is regionally or even departmentally, would spread the risk and enable larger scale risk recruitment.

As evidenced by the Deputy Minister's letter of April 3, 2000 to the Clerk of the Privy Council, stating DFO's goal of hiring 100 new recruits above attrition replacement, there is an increasing recognition of the necessity to risk manage recruitment. However, in order to prioritize succession planning needs, it would be useful to have a common assessment tool to identify areas of highest risk in terms of potential human resource gaps. A Risk Assessment Model has been developed by the Review Team that could be used to help identify which occupational groups are most at risk of developing vacancy gaps. It will also assess the relative impact of these gaps on the organization's ability to achieve its objectives. The model could also be used to identify specific key positions, which have a high likelihood of becoming vacant and are critical to achievement of organizational objectives. This analysis could form the basis of a submission to Treasury Board seeking support for a departmental initiative to recruit at levels higher than attrition. The Risk Assessment Model can be found in Appendix D.

In conducting a risk assessment, it would be useful if employees voluntarily identified their retirement plans. Such information should be used for planning purposes only, and should in no way lead to discrimination against employees in terms of training, development or access to assignments. The issue must be handled delicately and responsibly.

The existing Term employees are an important consideration when determining which positions should be filled on an indeterminate basis over the rate of attrition. If Term employees are filling positions that are required on an ongoing basis, then they should be considered for conversion to Indeterminate status as part of the risk staffing analysis.

Treasury Board Policy provides for using Special Assignment Pay Plan (SAPP) for pre-retirement assignment of employees who are selected by a deputy head to apply their knowledge of the departments, objectives, programs and procedures in a staff or advisory role. Such assignments would facilitate transfer of corporate knowledge and assist succession planning, including the management of recruitment at higher than attrition levels. FLEX is the equivalent of SAPP for the Executive category. Along the same line is an initiative by Marine Aids to Navigation, Central and Arctic Region, which has proposed the use of job-shadowing positions to help develop a pool of talent as a feeder group for critical positions.

3.4.2 Succession Planning Recommendations

- 4. *The Deputy Minister should send an information bulletin to all DFO staff explaining the importance of succession planning and encouraging them to cooperate in self-identifying their retirement intentions.***
- 5. *The Risk Assessment Model presented in this report, should be adopted in DFO to provide a common, objective basis for assessing relative risk of potential human resource gaps and to facilitate decision making pertaining to priority human resource requirements. The Director General of HR and the Regional Directors of HR should ensure that Regional HR Advisors are trained in the application of the Risk Assessment Model in order to assist managers in utilizing the model to support the HR Planning process.***
- 6. *To facilitate recruitment at levels higher than attrition, the risk associated with this practice should be managed at the Assistant Deputy Minister or Regional Director General level and, in some cases, the Deputy Minister level.***
- 7. *The Director General of HR should put in place a process to track which Indeterminate positions are specifically filled as part of the departmental initiative to staff positions over and above attrition levels.***
- 8. *The Director General of HR should negotiate with the Public Service Commission to streamline the use of existing mechanisms to facilitate external recruitment at higher than entry levels.***
- 9. *The Director General of HR should make a submission to the Treasury Board for expanded and structured use of SAPP and/or FLEX, for pre-retirement assignments to facilitate succession planning initiatives.***

3.5 RECRUITMENT AND STAFFING

3.5.1 Recruitment and Staffing Observations

3.5.1.1 Overview of Current Practices

Starting in 2003, there will be a high demand for workers in the public service - more than 40% of DFO staff could retire within 10 years. Workforce trends suggest that future demand for knowledge workers, both specialists and generalists, will be extremely high in the Public Service, and employers will become more competitive in their search for knowledge workers. In addition, the high volume of recruitment and staffing actions will create significant workloads that will demand more efficient and effective processes. The overall lack of recruitment in the years following Program Review has resulted in relatively little attention being given in DFO to the development of strategies for recruitment and internal staffing. In order to cope and be successful, DFO will have to develop efficient, departmentally integrated recruitment and staffing strategies, taking concrete steps to increase the awareness amongst students at universities and other educational institutes, of the employment opportunities that exist in the Department.

Among current DFO recruitment programs are the Fishery Officer Cadet Program (FOCP), Science Rejuvenation Program, Coast Guard College Cadet Program and Management Trainee Program (MTP). DFO also participates in the Public Service Commission's Post-Secondary Recruitment Program and Treasury Board's Finance Officer Recruitment Program (FORD). Although the Post-Secondary Recruitment Program (PSR) of the Public Service Commission provides a pool of pre-qualified candidates that departments can draw on, it is not currently utilized to a significant extent by DFO due to lack of vacancies. Some DFO managers make use of the CO-OP Students Program, Science Youth Internship, and Federal Student Work Experience Program (FSWEP). However, due to a lack of indeterminate position vacancies, most managers are not able to take advantage of the Student Bridging Program to convert these students, upon graduation, to indeterminate status. The above programs will have to be optimised and augmented with other recruitment initiatives if the Department is to meet the recruitment challenge it will face beginning in two to three years.

The Central and Arctic Region has created a Recruitment Outreach Officer position whose prime function is to contact and visit organizations such as Employment Equity associations, high schools and universities in order to promote the employment opportunities in DFO. The initial primary focus is on the recruitment of Employment Equity members; however, this focus could be broadened as appropriate to include the general populous.

Some DFO recruitment initiatives are attractive because they are linked to formal career development programs. Such programs ensure a newly-recruited person can automatically progress through the junior levels if he or she meets pre-established criteria. DFO programs such as those for entry level Fishery Officers, Hydrographers, and Electronic Technicians are examples of programs with formal, pre-established career paths.

3.5.1.2 Best Practice Organization - Statistics Canada

Best Practice Organization

Our research revealed that Statistics Canada has been a leader in the area of succession planning in the Public Service. Statistics Canada identified the impending labour shortage nearly a decade ago through demographic analysis and developed a strategy to deal with it. It has continued to use sophisticated models to project movement and attrition of employees. With substantial involvement of line managers and overall support from HR, a hierarchical infrastructure of committees was developed to plan, design and implement the HR strategy.

With a view to developing a flexible and versatile workforce with broad understanding of the Agency, Statistics Canada increasingly uses generic job descriptions to facilitate staffing. Generic recruitment is used to staff positions at entry level and from ES-6 to Executive levels. There is a move towards expanding the use of generic staffing for other levels as well. A corporate Professional Recruitment and Development Committee forecasts annual recruitment needs based on input from line managers and then runs a generic competition to meet the forecasted need. Managers, with the help of a neutral party, then select from the pool of candidates. The selection is based on criteria, previously specified by the respective managers. At entry level new recruits are rotated on assignments for 2 years, to gain broad experience in the Agency, before being appointed to their substantive positions.

Statistics Canada is also pro-active in marketing itself as an employer in selected universities and has, on its internet site, detailed brochures about current employment opportunities. For details please refer to the following website:

<http://www.statcan.ca/english/employment/emplop.htm>

http://www.statcan.ca/francais/employment/emplop_f.htm

3.5.1.3 Generic Competitions and Pre-qualified Pools

The above described Statistics Canada generic competition and pre-qualified pool approach to recruitment and staffing offers significant potential for DFO to develop more effective and efficient recruitment and staffing strategies. These strategies would move from the currently prevalent, as and when vacancies occur approach to recruiting and staffing, to strategies that call for increased inter-sectoral and inter-regional cooperation using the concepts of generic competitions and pre-qualified pools. In DFO generic recruiting is currently used in specialized occupational areas such as the Fishery Officers Cadet Program where groups of new recruits are brought into the organization without being initially assigned to specific positions. Generic recruiting is also used in more general areas such as the Management Trainee Program (MTP) where MTP candidates are assigned to generic management trainee positions.

Based on projected annual vacancies, the volume of vacancies to be filled would justify generic competitions for recruiting staff in similar occupational areas. These competitions could be held 1-2 times a year to create a pool of new recruits to the Department who would then go through an orientation program of 3-6 months duration, until they are placed in their substantive positions. The orientation program would provide participants with a broad exposure to the department and a better understanding of the different aspects of the Department's work. This

increased understanding would potentially lead to increased co-operation between different sectors and organizations in the Department. It would also ensure that DFO has access to the best candidates by timing the competitions according to secondary and post-secondary graduations. Generic competitions could also be used for non-entry level staffing to create pre-qualified pools of candidates.

3.5.2 Recruitment and Staffing Recommendations

10. The National Workplace Improvement Initiative on Recruitment should develop integrated recruitment strategies linked to succession planning needs, and based on sound Human Resource Planning. These strategies should include the following elements:

- *generic recruiting and staffing to create pre-qualified pools for relatively similar occupational areas linked to an improved orientation program;*
- *increased use of the Student Bridging Program for recruitment of Indeterminate employees; and*
- *increased use of recruiting and staffing programs that are linked to structured and formal career paths such as those for entry level Fishery Officers, Hydrographers, Marine Communication and Traffic Officers, Electronic Technicians, and the Administrative Officer-to-Review Officer Program of the Review Directorate.*

11. The Director General of HR should ensure that the DFO Internet site has a prominently displayed link to “Employment Opportunities” which can be modeled on the Statistics Canada site.

12. The National Workplace Improvement Initiative on Recruitment should evaluate the potential of the Recruitment Outreach Officer Program, of the Central and Arctic Region, for use in other regions.

3.6 CAREER PLANNING

3.6.1 Career Planning Observations

3.6.1.1 Career Planning Support Requirements

Most DFO staff realize that they have an important role to play in their own career planning and development but many are not clear on how to assume this role, nor are they clear on what future opportunities exist in DFO. Departmental employees also believe that support from DFO and its managers is essential for successful career development programs.

An essential part of an organization's support to employee career planning is access to effective self-assessment tools that assist in the development of personal career plans. A Career self-assessment toolbox, developed by Corporate Services, will soon be available to DFO staff on the DFO Intranet. Funds are required, however, to further develop and maintain this toolbox. In many instances DFO staff will require assistance in analyzing and interpreting assessment results. In most situations managers could be trained to provide basic support to their staff in

planning their careers. In other situations, however, DFO staff may require access to specialized support from professionally trained career counselors.

Pacific Region is creating an Employee Development Centre to provide employees with tools, advice and assistance in career assessment, career counseling, career planning and training. Most regions, with the notable exception of the National Capital Region, have inter-departmental arrangements for sharing career development facilities and services; however, these services often are not widely used by DFO employees because of geographic distance to the career development centres.

In the NCR, Citizenship and Immigration Canada (CIC) has an established Career Development Centre that is not fully utilized. This centre is only a half block away from the main DFO office at 200 Kent Street. Preliminary discussions have been held with CIC representatives, who are open to pursuing the possibility of a joint venture to share career development centre facilities, material and staff.

3.6.1.2 Annual Career Planning and Development Discussions

The Annual Performance Appraisal traditionally has been seen as the primary opportunity for departmental staff to discuss learning and career development plans. Appraisals are no longer forwarded to DFO's Human Resources directorate, therefore the exact number of employees who actually receive Performance Appraisals is not known. However, based on interviews conducted during the review, it is estimated that less than 50% of DFO employees receive an Annual Performance Appraisal.

Among the reasons cited for not undertaking Annual Performance Appraisals were:

- supervisors' workloads;
- the usefulness of appraisals is not apparent since they are used only rarely to support staffing actions; and
- supervisors are not comfortable discussing performance with employees.

Most Assistant Deputy Ministers and Regional Directors General do not enforce the requirement for annual appraisals for all employees. However, the Director General Pacific Region recently has stressed the requirement for all Pacific managers to annually undertake and document performance appraisals.

In 1999, the Conference Board of Canada published a report "*Business Excellence...How Organizations Survive in an Age of Turbulence*". The report contains lessons from the 1998 study tour of the Forum for Business Excellence. Chapter 5.0 of the report emphasizes that world-class organizations create organizational climates to encourage two-way communication between managers and employees.

Health Canada, Statistics Canada and the Solicitor General of Canada are examples of federal organizations that emphasize the importance of annual employee-manager career discussions. The focus of these two-way discussions however, is more on career planning and development than on an evaluation of past year performance. Typical topics for discussion during these annual meetings include:

- status of last year's personal learning and career development plan and employee's and supervisor's commitments;
- employee skills, values, interests and aspirations;
- next assignment/job desired by employee;
- competencies required for current position, new assignments aspired to, and for supporting the organization's objectives as well as the supervisor's Accountability Accord;
- mandatory/helpful learning activities for current and next position or retirement plans;
- ways in which the supervisor can support the employee's career growth and job satisfaction; and
- agreement and commitment on the next steps that the employee and the supervisor will take over the next year, including an implementation timetable.

The results of these career planning and discussions are documented and kept on file for reference during the next year's discussion.

Similar career development discussions as those described above, could be undertaken in DFO. They would provide an opportunity for a more positive focus to manager-employee career discussions than the current Annual Performance Appraisal format. A copy of a potential "Learning and Development Plan" that would be created as a result of annual personal learning and development dialogues, is provided in Appendix E.

Rated Performance Appraisals would still take place where required, for example, for performance pay and special career development programs, or when specifically requested by employees or their managers. Feedback on job performance is also something that departmental staff should expect from their managers on a continuous basis throughout the year.

3.6.2 Career Planning Recommendations

- 13. The Director General of HR should re-orient the Annual Performance Appraisal process to increase the focus on career development through the use of Annual Learning and Development Plans for all DFO staff.***
- 14. ADMs and RDGs should ensure that all managers understand they are accountable for undertaking annual learning and career development discussions with each member of their staff and for documenting these discussions in Annual Learning and Development Plans. Rated Annual Performance Appraisals should still be undertaken where required or requested.***
- 15. The Director General of HR should be provided with sufficient funds to be accountable for the ongoing development and maintenance of the DFO Career Development Toolbox.***
- 16. The National Workplace Improvement Initiative on Career Development and Learning should coordinate the development of training programs for DFO managers and staff on how to undertake and support effective career planning.***

- 17. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the effectiveness of the Pacific Region's Employee Development Centre for potential application in other Regions.***
- 18. The Director General of HR should negotiate with Citizenship and Immigration Canada (CIC) to determine the feasibility of creating a joint Career Development Centre in the NCR which utilizes the existing centre in CIC.***

3.7 Career Development

3.7.1 Training Observations

3.7.1.1 Overview

In today's world of fast paced change, a goal of most organizations, including DFO, is to become a "learning organization". One way to become a learning organization is through formal training such as classroom training, conferences, correspondence/web-based or computer based training, and formal on-the-job training programs. Other significant learning can take place through experiences, whether it is via new life experiences, or organizational opportunities such as special projects or assignments. The focus of this section is on the formal training elements of a learning organization. Organizational learning through experience, is covered in subsequent sections on assignments, career development programs and mentoring.

3.7.1.2 Entitlement Versus Needs Based Approach to Training

The DFO *10-Day Training Policy* is either viewed by DFO staff as meaningless, or seen as a statement that each DFO employee is "entitled" to 10 days of training. The inference for many is that training is not necessarily based on need or requirement but entitlement. The attempt to clarify training as also meaning assignment opportunities and other experiences outside one's job description, only serves to make the 10-day policy even less meaningful for many DFO staff. The reality in DFO is that some DFO staff require more than 10 days of formal training in any given year, some less.

Linkage of training to organizational and individual career/personal development requirements for many DFO employees is not well defined. The linkage to organizational requirements has been well defined in some DFO organizations where training is required by legislation or specifically defined as part of developmental/operational programs (e.g., CCG Fleet, Fishery Officers, Electronic Technicians, and Hydrographers).

Many DFO employees do not have annual Performance Appraisals, and therefore often do not have meaningful discussions with their managers pertaining to training requirements. For those who do receive an Annual Appraisal, the discussion on career development/training requirements often can be inhibited by the performance assessment focus of the session. Training can become more of an ad hoc process linked to employees' personal interests, the availability of training courses and the availability of money and time for training.

3.7.1.3 Resources Allocated to Training

Lack of resources to support training initiatives as well as a lack of staff time to attend training courses are often cited by DFO managers and staff as significant barriers to undertaking required training in DFO. Some Program Review cuts reduced training budgets, which were treated as discretionary.

The overall lack of training resources is further compounded in organizations which have 24 hour, seven-day per week operations. For these organizations, Program Review reductions greatly reduced staff level positions that had allowed for a given percentage of the staff to be away from the job on training. Without these additional "training positions" organizations such as the CCG Fleet are forced to back-up staff on training with temporary replacements for which there are no allocated salary dollars. If additional training dollars are made available, they often cannot be fully utilized because there are insufficient salary dollars to cover staff replacement costs. In most regions organizations such as the CCG Fleet and CCG Technical Services are experiencing great difficulty in ensuring the provision of even mandatory and high priority training linked to the support of key operational systems.

Accurate data on training expenditures are not readily available in DFO; however, best available data indicates that DFO training expenditures are approximately \$8,997,856. Expressed as a percentage of the total DFO salary budget (\$506,248,287), the training expenditure is 1.77% of the salary budget. This figure is understated because significant costs directly attributable to the training of DFO staff at the Canadian Coast Guard College are not currently captured as training related expenditures in departmental accounting systems. In addition, it is not certain that costs such as travel and accommodation associated with training are consistently coded against training in Abacus.

Because DFO is a very operational, technical and geographically dispersed organization, some DFO organizations may spend considerably more than 1.77% of salary budget on training, some less. For example the training expenditures for Fishery Officers is approximately 8% of salary, excluding the cost associated with the cadet training program. A sample of CCG Regions reveals that approximately 4% of salary budget is spent on Electronic Technician training. Other less operational DFO organizations reported spending very little on training.

In the publication, *Performance and Potential 1999*, the Conference Board of Canada reports the average company in Canada spends 1.6% of payroll budget on training. The average in the United States is 1.8%, whereas the average in Europe is 3%. World-class operational and technical organizations typically spend in the 5% range. Statistics Canada, which is a more centralized and homogeneous organization than DFO, spends 3% of total budget on training.

The benchmark dollar amounts allocated to training cited above do not, according to accepted practice, include the salaries of the trainees nor the salary dollars associated with the operational backup of trainees. Backup costs are normally costed as part of an organization's salary framework.

Web-based and computer assisted training is emerging as a potentially cost effective method for the delivery of training that will help organizations leverage their training dollars to have greater

impact. DFO currently does not have an integrated strategy for utilizing the potential application of technology-based delivery of training materials.

Another initiative to leverage training dollars is the Coast Guard Training Week in the Pacific Region. During a one-week period in April, the Canadian Coast Guard (CCG) organization makes a special effort to significantly reduce all CCG operational and administrative activities to allow most CCG staff to attend training courses during the week. During this week CCG delivers a significant portion of its annual training. This week is deliberately scheduled early in the fiscal year to ensure that the funds are available.

For DFO to move towards becoming a learning organization, the training element of continuous learning must be adequately provided for. Generally, training is not adequately funded in the Department. To be competitive with other organizations in attracting and retaining staff, the general level of funding for training should move up to approach the levels of organizations considered to be excellent in their fields and employers of choice.

3.7.1.4 DFO Leadership and Interpersonal Skills Training

The DFO Management Continuum Program is generally viewed by those who have attended one of the series as excellent leadership/management training. There were, however, concerns expressed related to the long length of each module of the continuum, i.e. minimum of two weeks for Management Continuum 1 to three weeks for module 3. It has often proven difficult for DFO staff to schedule these relatively large blocks of time for training.

Although Federal Government departments often co-operate regionally in various HR related initiatives, there is little evidence of co-operation in the delivery of generic leadership or interpersonal skills training. The DFO Management Continuum 1 management program is somewhat tailored for DFO staff, however most of the concepts and principles which make up the course elements of this program are generic and would apply to managers in virtually any organization. Many federal government departments have small offices in relatively small urban or remote centres where it is not cost effective for one department to provide training for its relatively few employees. If DFO had a more generic approach to basic leadership and personal skills training, including the Management Continuum 1 course, there would be more opportunities to co-operate in joint ventures with other Federal Government departments in the delivery of generic leadership and interpersonal skills training.

Research in the field of adult learning has shown that shorter training interventions, opportunities to practice in real situations what has been learned and follow-up, are more effective in terms of changing behaviour than long program type courses. In addition, interpersonal skills training tends to be more effective in an organizational context when all members of the organization receive the same training in approximately the same time frame. The Corporate Services organization's three day "Transformation" course for all its supervisors as well as its one day "Customer Service" course for all staff, are examples of this approach.

Another approach to utilizing short-duration training interventions are commercially available generic leadership and interpersonal skills training packages. These packages are used by many organizations to augment their traditional management training programs. The courses are usually structured as half-day to one-day sessions and are often given by certified in-house staff

who facilitate the sessions on a part-time basis as a developmental opportunity outside their regular duties.

3.7.1.5 Support For CCG Fleet Staff Career Training and Development Planning

CCG Fleet staff, especially Ship's Crew is disadvantaged with regard to career development and training because of the lack of management continuity resulting from the transfer of Ship's Officers and Ship's Crew from one ship to another. Annual Training Plans or Training Request Forms are only endorsed by a Ship's Captain or Chief Engineer; the actual decision on what training a Ship's Officer or Crew member actually receives is usually that of the shore-based Fleet Training Office. These offices are under-resourced to the point that they cannot advise Fleet staff on career development training options, or even provide them with feedback on why training requests were denied.

3.7.1.6 Management of the Training Function

Training Information Systems

As stated above, Abacus does not accurately reflect all training related costs in DFO. In addition, information systems to record training plans and the training taken are not widely available in DFO. Some organizations, such as most regional Conservation and Protection Training Offices, and CCG Fleet Training Coordinators, do record training plans and training history in various types of regional and national databases. The departmental HR system PeopleSoft has a functional training information module that has only been partially implemented in some regions.

For the most part DFO does not have adequate systems for recording employee training, and associated costs. Without such information it is difficult to efficiently track individual employees' training history and training plans as well as develop sound departmental policies and strategies pertaining to the training function.

Fairness of the Training Allocation Process

DFO staff interviewed as part of this review expressed the desire that the planning and allocation of formal training be transparent, open and fair. When decisions on who receives what type of training appear arbitrary or based on perceived favoritism, morale is usually affected in a negative way. Decisions to approve significant training programs for individual employees, such as Executive MBA programs, are often made at the regional or sector level and usually funded by an employee's home organization. One of the key factors in the decision is usually the ability of the sponsoring manager to fund the training. Well qualified and deserving DFO staff from organizations which are not as financially able to sponsor an MBA candidate are not usually considered.

The Learning Network

The DFO Learning Network was originally created as a forum for DFO staff who had a significant interest in the training function. This network would regularly meet to share best practices and formulate learning strategies for DFO. This network has not been convened by the

Corporate HR Training Branch in over 18 months. Significant training related issues such as "web-based learning" have not been addressed in a coordinated way by the Department. If re-instituted, the Learning Network could make a valuable contribution to addressing this and other issues, as well as contribute to the overall goal of making DFO a learning organization.

3.7.2 Training Recommendations

- 19. DFO should move from an entitlement-based approach to training and adopt one based on requirements as defined by individual career development plans. Training plans should reflect the requirements of the organization as well as those identified by the individual.***
- 20. All DFO managers should ensure that a "reasonable" level of resourcing be protected to fund training. The level of departmental funding in support of training should be monitored to ensure that it approximates the acknowledged benchmarks of comparable organizations recognized as learning organizations.***
- 21. The Director General of Finance and Administration should ensure that departmental accounting and financial systems accurately record expenditures associated with training, including those expenditures of the Canadian Coast Guard College that are directly attributable to the training of DFO staff.***
- 22. The Director General of HR should expedite the implementation of the PeopleSoft Training module to capture information pertaining to training plans and training undertaken. This will allow for the creation of a departmental training record for each DFO employee and provide necessary information to support departmental Performance Measurement systems and the development of departmental training policy.***
- 23. ADMs and RDGs should ensure that staff levels in DFO operational organizations are based on staffing formulas that are sufficient to allow for staff to undertake training without the requirement for significant overtime, supplementary pay or back-up costs.***
- 24. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the feasibility of purchasing short-duration, leadership and interpersonal skills generic training for use in DFO. This type of training could effectively be delivered on a part-time basis by departmental staff.***
- 25. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the potential for joint interdepartmental delivery of generic management and personal skill courses, especially in those centres which have relatively small numbers of DFO employees.***
- 26. The Regional Directors of CCG should ensure that processes are in place to provide a reasonable level of career development and training advice and support to CCG Ship's Officers and Ship's Crew.***
- 27. The Deputy Minister should ensure that support to DFO employees for significant training programs, such as Executive MBA programs, is approved at the Departmental level, based on criteria that ensure the process is fair and transparent.***

28. *The Director General of HR should re-institute the DFO Learning Network, at least as an electronic forum, where representatives from all DFO sectors and regions involved in the training/learning function can share ideas and support the Department in developing learning strategies for the future.*

3.7.3 Assignments Observations

There is a general perception that the selection process for job assignments is neither fair nor transparent. Moreover, heavy workloads and lack of resources discourage managers from encouraging employees to seek assignments as a means of learning and development. Managers are sometimes reluctant to approve assignments because they must back-fill substantive positions on a temporary basis, and this temporary replacement status can often last for several years. The use of Special Assignment Pay Plan (SAPP) positions for some long-term assignments where the assignee has little or no intention of returning to his/her substantive position, would enable managers to replace some of those on assignment with indeterminate staff.

The newly developed Government of Canada “Career Opportunities System” web-site, in which DFO is a participant, provides a mechanism for matching managers’ assignment requirements with interested employees who possess the right competencies. However, there are currently no departmental guidelines that make it mandatory for all significant assignments to be posted on the “Career Opportunities System”.

The Pacific Region is in the process of designing a “Personal Development Partnership Program (PDPP)” which is, in essence, an assignment program that aims to enhance overall capability, knowledge, and employability of employees and to provide managers with a more skilled workforce to meet program demands. The PDPP program focuses on the principles of transparency and fairness. In addition, it covers back-filling and other direct operational costs in order to ensure that these costs are not a burden on participating managers.

The PDPP would be coordinated by the Regional Career Management Advisor of the Pacific Region's Employee Development Centre. The program would match assignment opportunities, as identified by participating managers, with interested candidates from a database developed from employee Career Plans. The Employee Development Centre would post notice of the assignment opportunities to solicit candidates. Managers would then select a trainee from a list of prospective candidates, and in conjunction with the selected trainee, would develop a proposal for partnership to submit to the program. A PDPP Committee would then rank proposals and make final selections. The proposed PDPP also includes a regional fund to help defray the travel and accommodation costs for those filling assignments from outside the geographic area of the assignment.

3.7.4 Assignments Recommendations

29. *ADMs and RDGs should ensure that all assignment opportunities longer than three months are forwarded to Regional HR Advisors for posting on the Government of Canada's “Career Opportunities System” internet site.*

30. *The National Workplace Improvement Initiative on Career Development and Learning should evaluate Pacific Region's Personal Development Partnership Program for use in other regions.*

31. *The Director General HR should seek authority from the Treasury Board, to expand the use of the Special Assignment Pay Plan for training and development of employees on long-term assignments.*

3.7.5 Career Development Programs

3.7.5.1 High Potential Employee Program (HPE) Observations

The majority of managers and employees interviewed believe that this DFO initiative should be discontinued because the selection criteria appear to be both secretive and arbitrary. In addition, the program, for the most part, targets senior level staff and excludes intermediate and junior levels. Since the Management Trainee Program (MTP) is restricted to entry level, while the Career Assignment Program (CAP) is focussed on senior intermediate and senior level staff, there is no existing development program for the majority of the intermediate level staff. A proposal by the Director General of HR to eliminate the HPE program is currently under consideration.

The Atlantic Region of Canada Customs and Revenue Agency (CCRA) has developed a formal Management Development Program that is open to all employees regardless of level. Its objective is to develop employees who demonstrate managerial potential and current managers who demonstrate the potential to progress to more senior positions. Entry to the program is once a year, and the selection is based on assessment against published pre-requisites and competencies. Although the assessed generic management competencies are the same as those for CAP and EXDP, the assessment mechanisms are less intensive. The length of the program is customized to the needs of each participant and mobility considerations are negotiated on a case-by-case basis.

3.7.5.2 High Potential Employee Program Recommendation

32. *The Director General of HR, ADMs and RDGs should discontinue the High Potential Employee Program and replace it with a fair and transparent regional management development program that includes all levels of staff, similar in concept to Canada Customs and Revenue Agency's Atlantic Region Management Development Program.*

3.7.5.3 Management Trainee Program (MTP) Observations

In DFO the MTP as presently administered by the HR Executive Services Branch, provides only 50% of an MTP participant's salary to fund departmental assignments. In several other departments, 100% of an MTP participant's salary for departmental assignments is funded centrally. These departments have found that a centralized full funding approach for departmental MTP assignments helps ensure that assignments are relevant and of high quality from the perspective of the career development requirements of the MTP participants.

The administration and co-ordination support to MTP participants by the HR Executive Services Branch, especially support in securing assignments, is significantly higher in most other departments than in DFO. The lack of support is a concern to many DFO MTP participants.

3.7.5.4 Management Trainee Program Recommendations

- 33. The Director General of HR should centrally fund 100% of Management Trainee Program trainees' salaries while they are on assignment in the Department.***
- 34. The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Management Trainee Program.***

3.7.5.5 Career Assignment Program (CAP) Observations

Although CAP has been redesigned with less emphasis on mandatory mobility requirements, the perception persists that mobility is essential for selection to CAP.

During interviews employees frequently quoted mobility as a concern and a disincentive to apply for CAP. The program is perceived as one designed primarily for employees in the National Capital Region. It is suggested that where mobility is absolutely essential, assignments could be of a shorter three to four month duration and completed on a travel status basis. Assignment opportunities with other organizations, for example provincial governments, could also be considered as a way of providing important experience within the home geographic location of CAP participants.

There is inadequate program and administrative support to CAP participants in DFO. Support to CAP is significantly higher in other departments surveyed.

3.7.5.6 Career Assignment Program Recommendations

- 35. The Director General of HR should ensure that mobility requirements for Career Assignment Program participants be established on a case-by-case basis and that participants have the option to complete most assignments in their current home geographic location.***
- 36. The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Career Assignment Program.***

3.7.6 Mentoring Observations

The Nova Scotia Federal Council, of which DFO is a member, defines *mentoring* as a supportive relationship between two individuals: one who agrees to share the benefits of his/her personal work experience, commitment and achievement of goals, and another who needs support and wants to achieve their full potential. The nature of the relationship varies with the personal styles of the partners. Mentors are trained volunteers, and “mentees” select their own mentor(s) from information recorded on an electronic system.

Members of the Nova Scotia Federal Council have had access to an on-line mentoring program for some time. Initially it was developed in Halifax by Health Canada (HC) to address national HC audit recommendations. HC's on-line mentoring system currently is available to all federal employees in all regions in Canada; HC will provide two-day mentor training to volunteers from all federal departments in all regions, on a cost-recovery basis. In addition, HC will respond to requests from departments for customizations of its on-line mentoring system if costs are recovered or shared.

Most organizations that intend to establish, or already have established mentoring programs, identify measurable objectives before they spend resources to develop and promote a mentoring program. These organizations also have established a framework of principles, including an assurance that mentor-mentee partnerships are not traceable. Tracing mentor-mentee relationships may also contravene *Access to Information and Privacy* legislation (ATIP). The following are a few examples of operating on-line mentoring systems and their objectives:

- Health Canada (Nova Scotia Federal Council) – in response to an audit by the Canadian Human Rights Tribunal, to remove barriers in achieving employment equity targets. In HC's Atlantic region all EX minus 2 and above are participating mentors, and the majority of other managers have expressed interest in being mentors. This on-line mentoring program has been accessible to all federal employees in the Atlantic region and now it is available nationally.
- Interdepartmental Science and Technology Community – to deal with isolation felt by employees in small offices or at remote sites, and encourage members of *employment equity groups* to develop their careers. This initiative may use HC's national on-line system because it enables the benefits of interdepartmental science mentoring to be realized.
- DFO's Central & Arctic region is developing a mentoring program to improve communications. The results of the Public Service Survey will be used as a baseline measure for the program's impact.
- The United States Coast Guard's on-line inter-departmental mentoring system has succeeded in reducing by half the attrition rate of young officers - only one year after the system became available to the Coast Guard. The Coast Guard initially tried to manually match mentors and mentees but found that a voluntary self-access web-based approach was a much more efficient and effective way to administer the program. In addition, this voluntary self-access approach meets United States privacy requirements.

DFO's Maritime Region has promoted the benefits of using HC's on-line mentoring program, training has been offered to volunteer mentors, and employees may choose more than one mentor from more than one department.

One of the NWIIs, chaired by the Deputy Commissioner CCG and Regional Director General Newfoundland, will focus on mentoring.

3.7.7 Mentoring Recommendations

37. The National Workplace Improvement Initiative on Mentoring should identify measurable objectives for a mentoring program in DFO.

- 38. The National Workplace Improvement Initiative on Mentoring should examine the feasibility of using the national, interdepartmental mentoring program/database developed by Health Canada to administer the DFO mentoring program.***

4.0 CONCLUSIONS

Many of the recommendations offered in this Review will require the Department to increase funding to the career development of DFO employees. Given the ongoing commitment of the Government of Canada to hold the line on government spending, additional outside funding to address this requirement may not be forthcoming. To implement the recommendations contained in this review as well as implement the initiatives recommended for evaluation (e.g. Regional Employee Development Centres), would require approximately 25 to 30 DFO staff, with an associated salary requirement of between 1.1 and 1.4 million dollars. This does not include any increases to staff levels in DFO operational organizations to allow for staff to undertake training without the requirement for significant overtime, supplementary pay or back-up costs. The non-salary requirements can not be realistically estimated at this time. More accurate cost estimates can be developed as detailed action plans responding to the recommendations are developed. In addition, given the mandate of the NWIIs, some of the current allocation of funds to these initiatives may be legitimately applied to the implementation of the recommendations of this review.

Given the resources and significant effort that will be involved in addressing these recommendations, it is recognized that their implementation will be phased over a multiyear timeframe. Appendix F contains a list of all the recommendations from this review, with reference to suggested implementation timeframes, categorized as either "short-term" (6 to 12 months) or "long-term" (1 to 2 years).

The importance of improving all aspects of the DFO workplace has been recognized by the Department through the significant effort and attention currently being devoted to the DFO NWIIs. The NWIIs are however, a response to the inability of the Department to implement many of the past La Relève recommendations. The Program Review reductions to the HR organizations greatly diminished the ability of HR to provide guidance and leadership to the Department in several key strategic human resource areas. In addition to the effects of this diminishment of resources, is the decentralized DFO management model, which has evolved to the point where functional leadership is difficult to exercise. A strengthened capacity for the HR organization to provide functional leadership together with an increased commitment by departmental management, will be important if the efforts of the NWIIs are to be sustained in the long term.

One of the key priorities of the DFO Strategic Plan is Program Integrity. The role of effective human resource and workplace strategies in determining the success of a department's program delivery makes human resource management a program integrity issue in its own right. The significance of this fact is not one that is just now emerging as an important organizational success factor. Over two hundred years ago, the essence of this was recognized and expressed as follows:

"Vitaly important as the planned maintenance of a ship's machinery may be, all the effort devoted to it is expended in vain if the planning does not contribute to the efficiency and well-being of the maintainer..."

Admiral Smith, Royal Navy, 1775.

5.0 MANAGEMENT ACTION PLAN

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
Recruitment			
<p>1. <i>The Chief of Corporate HR Planning should ensure:</i></p> <ul style="list-style-type: none"> • <i>that departure forecasts for selected occupational group are prepared using the Public Service Commission’s ITHINK model, and</i> • <i>there is a capability to prepare departure forecast updates and special reports, as requested by managers.</i> 	<p>Departure forecasts for DFO occupations and Regions have been obtained and distributed to regional recruitment committee members.</p> <p>The Chief, HRP is working with the PSC to build capacity to do in-house updates and special reports, however, this will require the PSC to transfer over to DFO the existing forecast files with historical forecasting rates, something which they have not so far been willing to do. We will continue our discussions</p>	<p>Chief, HRP</p>	<p>November 2000</p> <p>2001-02</p>
<p>2. <i>The ADM of Corporate Services should ensure that HR Plans are integrated into the DFO Business Planning process. The Director General of HR and the Regional Directors of HR should ensure that Regional HR Advisors are trained in HR planning principles, including the use of an HR Planning Template, in order to assist managers in the development of their HR Plans.</i></p>	<p>HR Planning templates featuring recruitment planning were intended to be part of the regional business plan call package. This did not happen for reasons related to how the planning process unfolded this year. This recommendation will be carried out for the 2001-02 business planning cycle. Training Regional HR Advisors to be able to support local management in doing HR Plans is tied to rebuilding HR capacity and is a multi-year challenge.</p>	<p>The ADM of Corporate Services The Director General of HR and the Regional Directors of HR</p>	<p>Fiscal 2001-02 and ongoing</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>4. <i>The Deputy Minister should send an information bulletin to all DFO staff explaining the importance of succession planning and encouraging them to cooperate in self-identifying their retirement intentions.</i></p>	<p>This has not been completed. This action is logically one part of a wider and more comprehensive approach to career development in DFO and will be implemented with the NWIP initiative on career development and learning.</p>	<p><i>The NWIP Initiative on Career Development and Learning & the Deputy Minister</i></p>	<p>Fiscal 2001-02 and ongoing</p>
<p>5. <i>The Risk Assessment Model presented in this report, should be adopted in DFO to provide a common, objective basis for assessing relative risk of potential human resource gaps and to facilitate decision making pertaining to priority human resource requirements. The Director General of HR and the Regional Directors of HR should ensure that Regional HR Advisors are trained in the application of the Risk Assessment Model in order to assist managers in utilizing the model to support the HR Planning process.</i></p>	<p>The Risk Assessment Model was one of the tools provided at the Toronto workshop on Recruitment March 7 and 8, 2001 to assist managers in preparing their recruitment plans.</p> <p>Regional HR Advisors will receive information sessions as required to be able to support local management in doing HR Plans.</p>	<p><i>The Director General of HR and the Regional Directors of HR</i></p>	<p>Fiscal 2001-02 and ongoing</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>6. <i>To facilitate recruitment at levels higher than attrition, the risk associated with this practice should be managed at the Assistant Deputy Minister or Regional Director General level and, in some cases, the Deputy Minister level.</i></p>	<p>It is suggested that the risk be managed by DMC in the context of DFO Business Plan discussions and finalization in March 2001</p>	<p><i>at the Assistant Deputy Minister or Regional Director General level and, in some cases, the Deputy Minister level.</i></p>	<p>April 2001</p>
<p>7. <i>The Director General of HR should put in place a process to track which Indeterminate positions are specifically filled as part of the departmental initiative to staff positions over and above attrition levels.</i></p>	<p>The template for Regional Recruitment Plans includes a column for managers to identify the number of new employees being recruited that are part of the 100 over attrition goal.</p>	<p><i>The Director General of HR</i></p>	<p>March 2001</p>
<p>8. <i>The Director General of HR should negotiate with the Public Service Commission to streamline the use of existing mechanisms to facilitate external recruitment at higher than entry levels.</i></p>	<p>Discussions with the PSC will take place at the corporate level to explore how the existing procedures to facilitate external recruitment at higher than entry levels can be streamlined. The PSC has already developed an inventory for external candidates for PE-03 to PE-06 levels, therefore, this can be accomplished when a business case exists.</p>	<p><i>The Director General of HR</i></p>	<p>June 2001</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>10. The National Workplace Improvement Initiative on Recruitment should develop integrated recruitment strategies linked to succession planning needs, and based on sound Human Resource Planning. These strategies should include the following elements:</p> <ul style="list-style-type: none"> • generic recruiting and staffing to create pre-qualified pools for relatively similar occupational areas linked to an improved orientation program; • increased use of the Student Bridging Program for recruitment of Indeterminate employees; and • increased use of recruiting and staffing programs that are linked to structured and formal career paths such as those for entry level Fishery Officers, Hydrographers, Marine Communications and Traffic Officers, Electronic Technicians, and the Administrative Officer-to-Review Officer Program of the Review Directorate. 	<p>The three specific recommendations will be implemented as part of the NWI Plan initiative on Recruitment. They will be part of the DFO Recruitment Strategy scheduled for DMC review on April 11, 2001.</p> <p>(Note: Pursuant to Coast Guard feedback, the term <i>Marine Communications and Traffic Officers</i> replaces <u><i>Vessel Traffic Regulators</i></u> in the wording of this recommendation)</p>	<p><i>The National Workplace Improvement Initiative on Recruitment</i></p>	<p>April 2001</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p><i>11. The Director General of HR should ensure that the DFO Internet site has a prominently displayed link to “Employment Opportunities” which can be modeled on the Statistics Canada site.</i></p>	<p>The DFO Internet site has information for people seeking employment at DFO under About Us, Frequently asked Questions, Employment: What job opportunities are available at Fisheries and Oceans Canada and where can I find information on applying for these jobs?</p> <p>The answer contains links to the PSC jobs site, the Coast Guard College site and the Science and Technology Youth Internships Program.</p> <p>Further refinements to the site may be directed by actions emanating from the DFO NWIP Recruitment Initiative.</p>	<p><i>The Director General of HR</i></p>	<p>March 2001 and ongoing</p>
<p><i>12. The National Workplace Improvement Initiative on Recruitment should evaluate the potential of the Recruitment Outreach Officer Program, of the Central and Arctic Region, for use in other regions.</i></p>	<p>The NWI Initiative on Recruitment will evaluate the potential of the Recruitment Outreach Officer Program, of the Central and Arctic Region, for use in other regions as part of the DFO Recruitment Strategy proposal.</p>	<p><i>The National Workplace Improvement Initiative on Recruitment</i></p>	<p>April 2001</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>29. ADMs and RDGs should ensure that all assignment opportunities longer than three months are forwarded to Regional HR Advisors for posting on the Government of Canada's "Career Opportunities System" internet site.</p>	<p>Several bulletins have already been sent to managers to encourage this kind of transparency, however, a more comprehensive campaign could be undertaken as part of the NWIP Career Development and Learning initiative to encourage managers across DFO to make more use of the Government of Canada's "Career Opportunities System" internet site.</p>	<p><i>ADMs and RDGs with support from HR. NWIP Career Development and Learning Team</i></p>	<p>February 2001 and ongoing</p>
<p>Career Development & Learning</p>			
<p>9. The Director General of HR should make a submission to the Treasury Board for expanded and structured use of SAPP and/or FLEX, for pre-retirement assignments to facilitate succession planning initiatives.</p>	<p>A study will be undertaken to assess the current usage of SAPPs within DFO. If the utilization is low, managers will be encouraged to use this program. If the study reveals maximum usage, then the DG HR will approach TB for more flexibility.</p>	<p><i>The Director General of HR</i></p>	<p>June 2001</p>
<p>13. The Director General of HR should re-orient the Annual Performance Appraisal process to increase the focus on career development through the use of Annual Learning and Development Plans for all DFO staff.</p>	<p>Managers and employees received special encouragement in this year's DM call letter to focus on career development through the use of Annual Learning and Development Plans. The NWIP Review of Internal Communications already generated one add-on to this year's appraisal process – upward feedback on staff meetings.</p>	<p><i>The Director General of HR & NWIP Career Development and Learning initiative</i></p>	<p>Call Letter – completed. Other measures during fiscal 2001-02</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
	<p>Future changes to re-orient the appraisal process, such as the adoption of the Annual Learning and Development Plan form included as Appendix E of the report, will be rolled out through the NWIP Career Development and Learning initiative final report and recommendations.</p>		
<p><i>14. ADMs and RDGs should ensure that all managers understand they are accountable for undertaking annual learning and career development discussions with each member of their staff and for documenting these discussions in Annual Learning and Development Plans. Rated Annual Performance Appraisals should still be undertaken where required or requested.</i></p>	<p>A reminder letter could be sent out from ADMs/RDGs to their managers. Career planning sessions such as those being conducted under the NWIP Career Development and Learning initiative, also encourage managers to discuss learning and career plans with their employees. Rated annual performance appraisals are only required for employees on performance pay.</p>	<p><i>ADMs and RDGs</i></p>	<p>March 2001</p>
<p><i>15. The Director General of HR should be provided with sufficient funds to be accountable for the ongoing development and maintenance of the DFO Career Development Toolbox.</i></p>	<p>One permanent HR Advisor position is needed to continue development and to ensure ongoing maintenance of the DFO Career Toolbox. HR will request this resource as part of the ongoing 2.5 FTE funding from the NWIP. (Note: HR has only 1.5 of the promised 2.5 FTEs)</p>	<p><i>The Director General of HR</i></p>	

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>16. The National Workplace Improvement Initiative on Career Development and Learning should coordinate the development of training programs for DFO managers and staff on how to undertake and support effective career planning.</p>	<p>Two pilot workshops were held in November 2000 in the Pacific Region. Similar workshops were later held across the country.</p>	<p>The National Workplace Improvement Initiative on Career Development and Learning</p>	<p>Underway in November 2000 and ongoing</p>
<p>17. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the effectiveness of the Pacific Region's Employee Development Centre for potential application in other Regions.</p>	<p>Review to be conducted by the Career Development and Learning Committee following the November workshops and as part of the final recommendations to DMC for action.</p>	<p>The National Workplace Improvement Initiative on Career Development and Learning</p>	<p>Fiscal 2001-02</p>
<p>18. The Director General of HR should negotiate with Citizenship and Immigration Canada (CIC) to determine the feasibility of creating a joint Career Development Centre in the NCR which utilizes the existing centre in CIC.</p>	<p>A partnership/sharing agreement could be explored, however, other departments also have Career Centres located in the downtown area of the NCR. Other options will also be explored.</p>	<p>The Director General of HR</p>	<p>June 2001</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>19. DFO should move from an entitlement-based approach to training and adopt one based on requirements as defined by individual career development plans. Training plans should reflect the requirements of the organization as well as those identified by the individual.</p>	<p>A previous Deputy Minister adopted the entitlement-based approach as a La Relève action in order to send a strong message to all DFO managers and staff regarding the importance of becoming a learning organization. The concept of a “requirements” based approach is superior in theory, assuming that a positive learning culture already exists in the organization. This will need to be fostered in many parts of DFO. New policy on learning and development will be needed to implement the recommendations of the NWIP initiative on Career Development and Learning. The requirements based approach will be incorporated in these policies.</p>	<p><i>The National Workplace Improvement Initiative on Career Development and Learning</i></p>	<p>Fiscal 2001-02</p>
<p>20. All DFO managers should ensure that a "reasonable" level of resourcing be protected to fund training. The level of departmental funding in support of training should be monitored to ensure that it approximates the acknowledged benchmarks of comparable organizations recognized as learning organizations.</p>	<p>Full implementation of this recommendation is dependent on # 21 being implemented.</p> <p>A Policy on the funding of Training will be developed as part of the NWIP Initiative on Career Development and Learning.</p> <p>HR will set up a monitoring of training expenditures once #21 and the Training policy is completed.</p>	<p><i>The National Workplace Improvement Initiative on Career Development and Learning.</i></p> <p><i>The Director General of HR</i></p>	<p>Fiscal 2001-02</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>21. The Director General of Finance and Administration should ensure that departmental accounting and financial systems accurately record expenditures associated with training including those expenditures of the Canadian Coast Guard College that are directly attributable to the training of DFO staff.</p>	<p>A study of the capacity of the current financial system to track training and development expenditures will be undertaken. Corrective actions will be taken based on the deficiencies identified in the study.</p>	<p>The Director General of Finance and Administration</p>	<p>Fiscal 2001-02</p>
<p>22. The Director General of HR should expedite the implementation of the PeopleSoft Training module to capture information pertaining to training plans and training undertaken. This will allow for the creation of a departmental training record for each DFO employee and provide necessary information to support departmental Performance Measurement systems and the development of departmental training policy.</p>	<p>The current plan is to implement in fiscal 2002/03 (pending funding approval) Version 8 of PeopleSoft. This new version which is Web-based, will facilitate the addition of self-serve tools such as the Training module. The plan is to implement this module in 2003/04, again pending funding approval. The main challenge in implementing this module will be to develop an interface with ABACUS so that the data entered by users confirms the commitment of funds in the financial system.</p>	<p>The Director General of HR, Director, Operational Support and Services</p>	<p>Version 8 2001-02 - Q4 Training self-service module – 2002-03</p>
<p>23. ADMs and RDGs should ensure that staff levels in DFO operational organizations are based on staffing formulas that are sufficient to allow for staff to undertake training without the requirement for significant overtime, supplementary pay or back-up costs.</p>	<p>This is an ongoing problem referred to in DFO as Workload. It is being addressed in a number of ways including by the NWIP initiative on work place wellness and workload, by better business planning and by obtaining increased resources in areas</p>	<p>ADMs and RDGs</p>	<p>Fiscal 2001-02 and ongoing</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
	like search and rescue conservation and protection and habitat and environmental protection.		
<p>24. <i>The National Workplace Improvement Initiative on Career Development and Learning should evaluate the feasibility of purchasing short-duration, leadership and interpersonal skills generic training for use in DFO. This type of training could effectively be delivered on a part-time basis by departmental staff.</i></p>	<p>This concept is feasible, however difficulties arise when seeking this type of generic training in both official languages. Often, the preferred option is to “contract out” this type of training. Either way, additional resources would be required to implement this recommendation. (e.g. “in house” delivery option) – to be further explored.</p>	<p><i>The National Workplace Improvement Initiative on Career Development and Learning</i></p>	<p>April 2001</p>
<p>25. <i>The National Workplace Improvement Initiative on Career Development and Learning should evaluate the potential for joint interdepartmental delivery of generic management and personal skills courses, especially in those centres which have relatively small numbers of DFO employees.</i></p>	<p>This is currently being done in many locations, in particular, in isolated areas where departmental delivery is not possible (Nunavut and other remote locations). To be further pursued.</p>	<p><i>The National Workplace Improvement Initiative on Career Development and Learning</i></p>	<p>Ongoing</p>
<p>26. <i>The Regional Directors of CCG should ensure that processes are in place to provide a reasonable level of career development and training advice and support to CCG Ship’s Officers and Ship’s Crew.</i></p>	<p>CCG management in each region and in Headquarters, is committed to enhancing the level of career development, training advice and support to CCG’s Ship’s Officers and Ship’s Crew.</p>	<p><i>The Regional Directors of CCG</i></p>	<p>Fiscal 2001-02 and ongoing</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>27. The Deputy Minister should ensure that support to DFO employees for significant training programs, such as the Executive MBA program, is approved at the Departmental level, based on criteria that ensure the process is fair and transparent.</p>	<p>DGHR agrees with the recommendation. This should be considered as part of a revamped development process envisaged in recommendation #32.</p>	<p>The Deputy Minister and the HREC</p>	<p>Fiscal 2001-02 and ongoing</p>
<p>28. The Director General of HR should re-institute the DFO Learning Network, at least as an electronic forum, where representatives from all DFO sectors and regions involved in the training/learning function can share ideas and support the Department in developing learning strategies for the future.</p>	<p>The DGHR supports re-instituting the Learning Network and will ask the new Director of Continuous Learning to do so. The Career Development and Learning Committee will also be asked to support DGHR on this initiative.</p>	<p>The Director General of HR in partnership with NWIP</p>	<p>June 2001</p>
<p>30. The National Workplace Improvement Initiative on Career Development and Learning should evaluate Pacific Region's Personal Development Partnership Program for use in other regions.</p>	<p>Agreed – to be undertaken by the Career Development and Learning Committee.</p>	<p>The National Workplace Improvement Initiative on Career Development and Learning</p>	<p>Fiscal 2001-02</p>
<p>31. The Director General HR should seek authority from the Treasury Board, to expand the use of the Special</p>	<p>See recommendation number 9.</p>	<p>The Director General of HR</p>	

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<i>Assignment Pay Plan for training and development of employees on long-term assignments.</i>			
32. The Director General of HR, ADMs and RDGs should discontinue the High Potential Employee Program and replace it with a fair and transparent regional management development program that includes all levels of staff, similar in concept to Canada Customs and Revenue Agency's Atlantic Region Management Development Program.	The High Potential Employee Program has been discontinued in its current form. To be further explored with the co-champions CAP/MTP	The Director General of HR	Fiscal 2001-02
33. The Director General of HR should centrally fund 100% of Management Trainee Program trainees' salaries while they are on assignment in the Department.	The DGHR will request the DM allocate the funds to HR, EX Group Services to centrally fund MTP salaries while working in DFO.	DMC	For 2001-02 fiscal year.
34. The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Management Trainee Program.	The DGHR will seek funding to staff a permanent HR Advisor position and a support position within the Executive Group Services to effectively administer and coordinate this program.	The Director General of HR ADM, CS	For 2001-02 fiscal year.

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
<p>35. <i>The Director General of HR should ensure that mobility requirements for Career Assignment Program participants be established on a case-by-case basis and that participants have the option to complete most assignments in their current home geographic location.</i></p>	<p>The DG-HR will propose to the CAP/MTP co-champions that mobility requirements be reviewed with a view to encouraging a more flexible, case management approach while respecting the positive effects that mobility has in Executive Development programs.</p>	<p><i>The Director General of HR and CAP/MTP co-champions</i></p>	<p>June 2001</p>
<p>36. <i>The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Career Assignment Program.</i></p>	<p>The DGHR will seek funding to staff a permanent support position within the Executive Group Services to effectively administer and coordinate this program.</p>	<p><i>The Director General of HR ADM, CS</i></p>	<p>For 2001-02 fiscal year.</p>
<p>Mentoring</p>			
<p>37. <i>The National Workplace Improvement Initiative on Mentoring should identify measurable objectives for a mentoring program in DFO.</i></p>	<p>This will be undertaken by the Mentoring Committee.</p>	<p><i>NWIP Mentoring Committee</i></p>	<p>June 2001</p>
<p>38. <i>The National Workplace Improvement Initiative on Mentoring should examine the feasibility of using the national, interdepartmental mentoring program/database developed by Health Canada to administer the DFO mentoring program.</i></p>	<p>This recommendation to be carefully reviewed to establish feasibility for DFO by the Mentoring Committee. An on-line electronic mentoring program would not provide access to all DFO employees and may not respond to the needs of all employees.</p>	<p><i>NWIP Mentoring Committee</i></p>	<p>June 2001</p>

RECOMMENDATIONS	MANAGEMENT ACTION PLAN	OFFICER OF PRIME INTEREST	INITIAL TARGET DATE
Competency Based Management			
<p>3. <i>The Director General of HR should ensure that a Coordinator or Centre of Excellence is established to work with the National Workplace Improvement Initiative on Competency Based Management and support the multi-year DFO Competency Based Management initiative.</i></p>	<p>A Project Leader position reporting to the Champions has been funded. The DGHR will request the Champions of the NWIP initiative on Competency Based Management to provide for the funding of a specialist to implement this recommendation. In the interim, HR will continue to provide support for this initiative based on its present limited capacity.</p>	<p><i>Champions of the NWIP Initiative on Competency Based Management</i></p>	<p>Fiscal 2001-02 and ongoing</p>

APPENDIX A**TERMS OF REFERENCE**

Project Name: Review of Career Development and Succession Planning in DFO

Project Number: 65170

Client: Departmental Review Committee

Review Project Team:

<i>Names</i>	<i>Titles</i>	<i>Phone Numbers</i>
Brian Reid	Project Manager	993-1205
Faye Morgan	Review Manager	993-6406
Rupa Bhawal-Montmorency	Review Officer	993-2743

Start Date : November 22, 1999

Estimated Completion Date: August 31, 2000

Background

Fisheries and Oceans Canada (DFO) is expected to enter a period of high attrition commencing around 2004 when many of the "baby boom" generation will be eligible to retire. This generation now constitutes the majority of DFO's personnel. A DFO environmental scan undertaken in 1999 has identified that current career development and succession planning in DFO are insufficient to replace an aging workforce and counteract the departure of experienced staff.

In addition to the challenges related to future high departmental attrition rates, recent surveys of DFO staff have identified opportunities for improvement in the areas of career development, continuous learning, workload and organizational health. Three senior level committees have been established in response to these issues:

- Recruitment and Retention;
- Leadership/Training/Career Development and Continuous Learning; and
- Organizational Health.

In parallel to the work of these committees, DFO managers will be asked to create action plans to respond to the results of the Public Service Employee Survey. Many of the action plan items will focus on the areas of career development, continuous learning and organizational health.

Given the emerging emphasis by departmental management on all issues pertaining to career development and succession planning, there is an opportunity for a Review Team to facilitate and contribute to the initiatives being undertaken within DFO. This approach is similar to the accepted audit practice of reviewing systems during their development and implementation phases rather than focusing attention exclusively on post implementation issues.

OBJECTIVES

1. To identify those occupational/human resource areas that represent the greatest risk to DFO in terms of a future gap in the number and skill set of departmental staff necessary to meet projected requirements.
2. To identify current and proposed departmental career and succession planning initiatives with particular focus on those areas designed to address existing and projected human resource gaps. Highlight departmental "best practices" with potential for broader implementation within DFO. As well, highlight any problems or barriers that may exist which diminish the effectiveness of current or proposed initiatives.
3. To identify best practices in the fields of career development and succession planning in other public and private sector organizations that could be beneficially adopted by DFO.
4. To recommend courses of action that DFO should pursue to enhance its career development and succession planning policies, programs and initiatives that would contribute to making DFO an "employer of choice."

Scope

The Review will focus on career development and succession planning policies, programs and initiatives, including those areas listed below:

- Departmental Human Resource Planning process
- Recruitment and retention
- Internal staff selection
- Developmental assignments (secondments, acting assignments, and other experience/learning opportunities)
- Diversity management
- Training
- Competency management systems
- Performance management and evaluation
- Mentoring/coaching
- Rewards and recognition
- Alternate service delivery and partnering

The depth of analysis into the above areas will be limited to those aspects that are directly linked to career development and succession planning.

A focus of the review will be on the occupational/human resource areas identified as representing the greatest risk to DFO. More general findings as they pertain to other areas will also be considered as they impact the overall effectiveness of departmental career development and succession planning initiatives.

Methodology

The Review Team will work closely with the three departmental Priority Teams: Recruitment and Retention; Leadership/Training/Career Development and Continuous Learning; and Organizational Health. The mandates of these teams address the broad issues associated with career development and succession planning. The close working relationship of the Review Team with these committees will include ongoing feedback to the committees of findings and initial recommendations in order that committee members will have the opportunity to consider, and respond to this input before the issuance of any formal report.

In addition, the Review Team will consult with other departmental committees with interests in this subject area, such as the National Employment Equity Committee and the National Advisory Committee, to ensure their initiatives and views are included in the scope of the Review Team activities.

The review will be undertaken in three phases: Planning, Conducting and Reporting.

Phase 1 - Planning

Phase 1 will include preliminary interviews with DFO Headquarters and regional staff as well as representatives from other selected federal government departments and central agencies to identify at a macro level, current initiatives to address career development and succession planning issues. Research papers such as, "Career Development in the Federal Public Service - Building a World Class Workforce" will also be reviewed.

At the end of the Planning Phase, specific lines of inquiry, methodologies and tools will be developed and presented to DRC prior to undertaking Phase 2.

Phase 2 - Conduct

Phase 2 will encompass the comprehensive fact finding and analysis phase of the Review.

Survey results from the recently completed Employment Systems Review as well as the results of the Government of Canada Employee Survey will be analyzed as they pertain to career development and succession planning issues.

An analysis of the DFO demographic profile will be carried out to identify projected gaps in the Department's ability to meet current and future requirements. A risk assessment tool will be applied to facilitate the identification of the occupational/human resource areas at greatest risk in terms of departmental human resources not being adequate to meet projected requirements. Areas identified as being of greatest risk to the Department will be a focus of emphasis during the review.

In-depth interviews and employee focus groups will be carried out in DFO Headquarters and Regions. In addition, representatives will be interviewed from other public and private sector

organizations that have demonstrated innovation and leadership in career and succession planning.

Phase 3 - Reporting Phase

Presentations of preliminary findings and initial recommendations will be made to the Priority Teams on an ongoing basis throughout the course of the Review.

A comprehensive presentation of findings and recommendations will be provided to the Departmental Review Committee prior to the Report Writing Phase of the Review.

A draft Review Project Report will be tabled at the Departmental Review Committee.

A final Review Project Report, including the Management Action Plan, will be tabled at the Departmental Review Committee.

Milestone Dates

ACTIVITIES	TIMETABLE
Phase 1 - Planning Phase	
• Terms of Reference will be forwarded to the Departmental Review Committee for approval.	December 15, 1999
• Planning Phase preliminary fact finding and background research completed	January 7, 2000
• Presentation to DRC of review lines of inquiry, methodologies and tools to be applied during the Conduct Phase of the Review.	January 26, 2000
Phase 2 - Conduct	
• Ongoing presentations of preliminary findings/ and recommendations to Priority Teams	January - May 2000
• Interviews and fact finding completed	April 2000
• Presentation to DRC of findings and recommendations	May 2000
Phase 3 - Reporting	
• Draft Report tabled at DRC	June 2000
• Final Report and Management Action Plan tabled at DRC	August 2000

Resources

This project will be managed and staffed from within the Review Directorate. A contract resource specializing in career and succession planning issues will be secured by the Review Team to provide advice and guidance on an as, and when required basis. Total expenditures including contracting and travel costs are estimated to be \$70, 000.

APPENDIX B**HUMAN RESOURCE PLAN TEMPLATE**

Department of Fisheries and Ocean
Sector/Regional Human Resources Plans

FY 2000/01-2002/03

Introduction

The attached document provides a template for the development of Sector and Regional human resource plans. These plans are an integral component of the business planning process in the Department of Fisheries and Oceans and are intended to support the *three-year* business plans.

The purpose of a human resource plan is to highlight gaps between the current work force and the desired work force, and then to establish goals and strategies to address the identified gaps.

The human resource planning process is intended to benefit local Sector/Region management by helping them to “think through” their key human resources issues, develop structured plans to address those issues and to identify any assistance they need to achieve their plans. It also provides senior management with an overview of planned human resources activities in the Department so they can assure themselves that statutory obligations (e.g. official languages, employment equity) will be met and that the Department will have the people it needs to achieve its business plans. Finally, it provides an opportunity to share best practices and to recommend new human resources policies, programs or procedures that can contribute to future organizational success.

The sections that follow address key human resources planning areas and provide a common template for considering and describing Sector/Region human resource issues or challenges, and the plans for addressing them.

HELP!

If you need any assistance in completing this plan, please contact
_____ at _____.

Please send your completed plan to _____ by _____ 2000.

Department of Fisheries and Ocean
Sector/Regional Human Resources Plans

FY 2000/01-2002/03

1. Overview of HR Issues

Provide an overview of the key human resources issues and challenges described in your business plan. In particular, identify any significant changes to the composition of the work force over the next three years, e.g. new skills and behaviours, work force adjustment situations, etc.

2. Organizational Health

a) General

Provide an overview of your plans to address the issue of organizational health in your Sector/Region.

b) Rewards and Recognition

Describe any programs that are in place or planned which will reward or recognize employees or teams who demonstrate an exemplary level of performance (output) or behaviour:

c) Safety and Health

Describe any safety and health issues in your Sector/Region and your plans to address them. Include reference to any safety and health related training that will be provided during the review period.

d) Diversity

Describe actions being taken to better manage the cultural diversity of the work force. Include reference to any diversity-related training that will be provided during the review period:

e) Anti-Harassment

Describe your plans to deal with harassment complaints. Also describe any plans to use alternative conflict resolution methodologies or to provide training in conflict resolution.

3. Succession Planning and Recruitment

a) Succession Planning

Succession planning involves the identification of key positions in the organization and the development of strategies (e.g. internal or external recruitment and/or employee development strategies) to ensure qualified candidates are available to fill these positions should they become vacant.

A “risk assessment model” has been developed to help in assessing which occupational groups are most at risk of developing vacancies. This model also assesses the relative impact of these projected vacancies on the organization’s ability to achieve its objectives. The model can also be used for individual position vulnerability assessment to identify specific positions which have a high likelihood of becoming vacant and are critical to the achievement of the organization’s objectives.

The risk assessment model will be a significant factor in determining recruitment strategy.

List the key positions or categories of positions (occupational groups) that may become vacant during the planning period and strategies to ensure continuity in these positions.

Key Positions	Strategy for Ensuring Continuity

Describe developmental assignments or secondments that are currently in place or are planned during the planning period:

Employee Name	Job Classification	Nature and Purpose	Duration (from/to)

b) Recruitment

The objective of this sub-section is to identify current and anticipated vacancies and to plan a staffing strategy to respond for each of the next three years. Recruitment and staffing action is influenced by factors such as:

- anticipated departures from the organization due to retirements, resignations and redeployments of staff,
- the availability of qualified candidates for promotion or transfer,
- employment equity requirements,
- the initiation of new programs and changes to existing programs, and
- the need to acquire new competencies, i.e. knowledge, skills and behaviours.

Describe in a few paragraphs the major recruitment and staffing initiatives anticipated for each of the next three fiscal years as well as the staffing strategies the Sector/Region intends to employ.

Provide more detailed information by specifying in the table below:

- the number of anticipated recruitment and staffing actions over the next three years
- the reasons for each (e.g. new position, retirement, etc.) and
- the anticipated strategy for filling vacancies (e.g. external recruitment; open competition; etc.).

Job Class.	Anticipated Staffing Actions								
	2000/01			2001/02			2002/03		
	No.	Reason	Strategy	No.	Reason	Strategy	No.	Reason	Strategy

Given the actual and target representation of the employment equity designated groups in the Sector/Region, identify the percentage of total recruitment that would be necessary of each noted group, in order for reasonable progress to be made towards your targets. (Note, Employment Equity statistics pertaining to your organization are available from your HR Advisor.)

Designated Group	Representation	
	Actual	% Target
Aboriginal Peoples		
Disabled		
Visible Minorities		
Women		

Describe your plans to close gaps between the actual and target representation for each designated group. For example, using special Employment Equity Program authorities, such as increasing the area of recruitment selection for EE candidates.

4. Retention

This section is devoted to retention issues, strategies and recommendations.

Do you have any retention issues in your Sector/Region?

Do you have any retention plans or strategies in place? Yes ____ No ____

Describe any plans or strategies that you have to retain staff:

Do you have any recommendations that would improve the Department's success with employee retention?

5. Training and Career Development

Describe the training courses planned for the next three years, the classification and number of employees who will attend each type of training, and whether the training is operational (related to current duties or current needs) or developmental (related to anticipated future duties or needs). **Note:** It is recognized that you may not be able to forecast specific training plans three years into the future. If you cannot provide detailed plans for year two or three of the plan, please provide as much information as possible on the types of training and the categories of employees who will require the training.

Course Name	Job Classif.	No. of Staff	Oper. (O) Dev. (D)
<i>2000/01</i>			
<i>2001/02</i>			
<i>2002/03</i>			

Based on the above information, what are your anticipated training expenditures in each year, both in absolute amounts (\$) and as a percentage of salary budget (%):

Type	2000/01	2001/02	2002/03
	\$ %	\$ %	\$ %
Operational			
Developmental			
Total			

Do you need any assistance in identifying training courses or training suppliers?

Yes ___ No ___

If yes, please identify the relevant courses or competency areas:

Describe any other plans you have to enhance the career development of employees during the planning period, e.g. coaching/mentoring programs, education leave, etc.:

6. Official Languages

a) Language of Work Issues

If your Sector/Region is not in a designated bilingual area, that is: the National Capital Region, New Brunswick, the Gaspé, or Sault Ste. Marie areas, then go to part (b). If you are in a designated bilingual area, compare the language profiles of all of your positions with the language capabilities of the position incumbents. Where the incumbents do not meet the language requirements of the position that they occupy include the training or other steps that are planned to address this discrepancy:

Employee Name	Language Profile		Action Planned
	Incumbent	Position	

What actions are being taken to ensure that the work place is conducive to the use of both official languages, e.g. bilingual work tools, bilingual meetings, etc?

b) Service To The Public

What action is being taken to ensure that the Sector/Region is able to provide service to the public at offices designated to provide services in both official languages?

c) Official Languages Program Management

What actions are being taken so that the composition of the Sector/Region staff reflects the presence of both official language groups, ie. anglophone/francophone balance? The reply should take into account the geographic situation, mandate and other relevant factors.

This information will be helpful in preparing the Department's annual progress report to Treasury Board on Official Languages.

7. Best Practices

Do you believe that you have developed any best practices in human resources management in your Sector/Region that could be beneficial to other parts of the Department? If yes, please describe them below.

8. Impact and Support Required

Will your human resources plans have an impact on any other Sector/Region? If yes, explain the impact below:

Do you need assistance or support, other than what has been described in earlier sections, in order to succeed with the implementation of your human resources plans? If yes, describe the required assistance or support below:

9. General Recommendations

The purpose of this section is to give managers an opportunity to influence the Department's plans for the modification of existing, or the development of new, human resources policies, programs, procedures or tools. Describe any problems caused by existing policies, programs, procedures, or tools or any new policies, programs, procedures or tools that you believe will help you to better achieve your business plan objectives.

APPENDIX C

DEVELOPING AN EFFECTIVE COMPETENCY BASED MANAGEMENT PROGRAM

C.1 In 1998, the Public Service Commission (PSC) and the Treasury Board Secretariat (TBS) issued a report of their *Competency Based Management Survey* of 57 organizations. The report’s conclusions included the five success elements listed in C.3 below.

Thirty-two of these organizations had CBM initiatives underway, 21 of which were pilot projects and 11 were projects to develop CBM profiles throughout the organizations. Although *competency* definitions varied among the organizations, the common denominator was “*observable behaviour*”. The majority of the surveyed organizations had not yet made a link between competency profiles and the Universal Classification System.

Nineteen of the projects had progressed beyond the preliminary stage. The primary purposes of the CBM initiatives were as follows:

- learning – 9,
- recruitment, staffing – 7,
- performance appraisal – 2, and
- succession planning – 1.

C.2 In July 1998 and December 1999, the Treasury Board Secretariat issued CBM bulletins, and the latter bulletin advised that organizations contemplating CBM initiatives should follow six essential steps to be successful (C.3 below refers).

C.3

CBM ELEMENTS OF SUCCESS (1998 PSC & TBS SURVEY REPORT)	CBM ESSENTIAL STEPS (1999 TBS BULLETIN)
I. senior management support	I. analyze implications of strategic objectives
II. simplified organizational structure	II. analyze organizational and resource capabilities
III. employee participation	III. develop business case for CBM
IV. mission, values, business plan and competencies are linked	IV. design CBM principles and framework
V. open communication with employees and unions	V. develop one or more competency profiles and tools
www.psc-cfp.gc.ca/prch/comp-e.htm	VI. apply to human resource functions in phases and manage the evolution

APPENDIX D**RISK ASSESSMENT MODEL**

Preparing to deal with potential human resource gaps requires an integrated Human Resource strategy with special emphasis on succession planning. The Risk Assessment Model is designed as a tool to help managers identify and focus on priority areas for succession planning. The model will help identify which occupational groups are most at risk of developing vacancy gaps and will assess the relative impact of these gaps on the organization's ability to achieve its objectives. This model can also be used to identify specific key positions, which have a high likelihood of becoming vacant and are critical to achievement of organizational objectives. Finally, it will help the Human Resources Branch to develop an integrated Human Resources Strategy with input from line managers. The criteria listed in the model derive from input from various departmental sources but should be validated through further consultations. The important thing is to apply the model consistently so as to make the comparative analysis meaningful. Needless to say, the comparative analysis (risk matrix) should be done separately for groups and positions.

Objectives

Provide DFO managers with an objective and common tool to help:

- identify relative high-risk areas, in terms of potential human resource gaps, and
- formulate appropriate management response.

Definitions

The Risk Model is based on the following definitions:

Risk

The probability that an event or action may adversely affect the organization.

Risk Assessment

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

An Approach to Monitoring Staffing and a Risk Assessment Model, Public Service Commission, p. 3.

Risk Factors

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

Structure

As seen below the model is divided into three parts:

Part I – Qualitative Assessment of Likelihood (fig. 1)

Assesses the effect of relevant risk factors on the likelihood that a human resource gap will occur over the next 3 years.

[For example high “Projected Attrition/Separation Rate” would significantly add to the likelihood that a human resource gap would occur. Hence the risk rating would be 5. On the other hand, if the market availability of the group or position being assessed is high, then the risk of the gap remaining for any length of time is diminished, hence the rating against this risk factor would be 0.

Part II – Qualitative Assessment of Impact (fig. 2)

Assesses the severity of the adverse impact that a potential human resource gap will have on the organization.

[For example, a high/significant impact associated with any of the 12 risk criteria would be assigned a rating of 5].

Part III – Risk Matrix (fig. 3)

In order to help interpret what the total risk scores mean it will be useful to slot the scores of various groups/positions into “boxes” in a matrix (fig. 3). It is important to note that this Risk Assessment Model is designed as a comparative guiding tool for planning purposes, and as such the absolute answer will not be apparent from the total risk scores. It is only by comparison among different work groups/positions, that risk exposure in specific groups/positions will become clearer. For example, if there were 12 criteria, weighted as high/medium/low, the maximum possible mathematical score would be $10 \times 100 \times 3 = 3,000$. In application, it will be unlikely to ever achieve anything near that score. However, it is likely that scores will cluster in some “middle” range and some scores at the low or high extremes. Whatever the result, experience will be needed to interpret the results and to assess the relative risk status of the groups or positions under assessment.

Directions for Use

1. Evaluate each risk factor/criterion on a scale of 0-5 based on its effect on the likelihood of a human resource gap occurring for the Qualitative Assessment of Likelihood, and its impact on the organization for the Qualitative Assessment of Impact. Then allocate the corresponding rating points.

<u>Rating</u>		<u>Rating Points</u>
0 - no effect/impact	-	0 points
1 - negligible effect/impact	-	10 points
2 - some effect/impact	-	25 points
3 - moderate effect/impact	-	50 points
4 - significant effect/impact	-	80 points
5 - high effect/impact	-	100 points

2. Rank each criterion in importance, relative to other criteria as high, medium or low, where:
High = 3, Medium = 2, Low = 1
3. For each criterion, multiply the rating points with the corresponding ranking to get a risk score.
4. Add risk scores for a total risk score for a particular occupational group/key position in your organization.
5. Follow the same steps for other key occupational groups/key positions to get comparative total risk scores.
6. Slot the total risk scores of various groups/positions into “boxes” in a matrix (fig. 3). Please note that for the Qualitative Assessment of Likelihood, risk criteria 1 and 10 are key determinants of likelihood and this should be taken into account when interpreting the total risk scores. For example, if it is almost certain that Alternate Service Delivery (ASD) will be used in a particular area, then the rest of the analysis could become somewhat immaterial. Similarly if the projected attrition/separation rate is insignificant, the risk of a human resource gap occurring would be minimal, even if the total risk score suggests otherwise. Hence, in both cases, the total risk score for the Qualitative Assessment of Likelihood would be interpreted as Low even though the overall score including the other risk factors may indicate a higher risk score.

Part I - Qualitative Assessment of Likelihood

Risk Area: The likelihood that there will be human resource gaps in an occupational group/key position over the next 3 years.

	Risk Factors/Criteria	Rating (0-5)	Rating points	Ranking High(3)/Medium (2)/Low(1)	Risk Score (Rating points x Ranking)
1.	Projected Attrition/ Separation rate <i>e.g. High Projected Attrition/ Separation rate = 5</i>				
2.	Retention strategies in place or under development <i>e.g. Excellent Retention strategies = 0</i>				
3.	Working conditions/Organisational health <i>e.g. Excellent Working conditions/Org. health = 0</i>				
4.	Remuneration/benefits package <i>e.g. Excellent Remuneration/benefits package = 0</i>				
5.	Competing demand from private and public sectors <i>e.g. High competing demand = 5</i>				
6.	Recruitment rate (Does not apply to individual position assessment) <i>e.g. High Recruitment rate = 0</i>				
7.	Lead time for recruitment & staffing <i>e.g. Long lead time (1 year or more) = 5</i>				
8.	Lead time for initial/upgrade training <i>e.g. Long lead time (2 years or more) = 5</i>				
9.	Market availability of staff <i>e.g. High market availability = 0</i>				
10.	Plans for and availability of alternative service delivery <i>e.g. Well developed ASD plans = 0</i>				
TOTAL RISK SCORE					

Fig. 1

Part II - Qualitative Assessment of Impact

Risk Area: The severity of the adverse impact that a potential human resource gap will have on the organization.
 (For example, an expected high level of service disruption to clients/public would receive a rating of 5).

	Risk Factors/Criteria	Rating (0-5)	Rating points	Ranking High(3)/Medium(2)/Low(1)	Risk Score (Rating points x Ranking)
1.	Service disruption to clients/public				
2.	Setbacks to communities and/or economies				
3.	Setbacks to internal projects				
4.	Corporate Memory loss				
5.	Underachievement of objectives				
6.	Health & safety exposure of DFO staff				
7.	Public health & safety exposure				
8.	Due Diligence/overall control impaired				
9.	Financial error or omission				
10.	Critical asset exposure				
11.	Negative media attention, Reputation/credibility/trust loss				
TOTAL RISK SCORE					

Fig. 2

Part III – Risk Matrix

Objective: To compare the Total Risk Scores of different occupational groups or key positions and to assess their relative risk status.

LIKELIHOOD	IMPACT		
	High	Medium	Low
High	High Risk	High Risk	Medium Risk
Medium	High Risk	Medium Risk	Low Risk
Low	Medium Risk	Medium Risk	Low Risk

Fig. 3

APPENDIX E

ANNUAL LEARNING AND DEVELOPMENT PLAN

Fisheries and Oceans
Canada

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Annual Learning And Development Plan

PLAN ANNUEL D'APPRENTISSAGE ET de Perfectionnement

<p>In a world of continuous change, career development discussions between each employee and his/her supervisor should be ongoing. However, once a year they should meet to discuss the employee's thoughts about training preferences, short and long-term career goals, and what opportunities exist in current and possible future jobs or assignments within the department or elsewhere.</p> <p>In addition, the employee and his/her supervisor should identify learning needs and objectives, select specific learning activities to be undertaken by the employee and develop a mutual action plan to make it happen.</p> <p>Learning needs may include a mix of mandatory training, other formal training and on-the-job training (e.g. increased responsibility in current job, special projects, conferences, deployments, job rotation, stretch assignments, sabbaticals, etc.).</p> <p>The personal learning plan and development discussion should be documented annually, and kept on file for reference in next year's documented discussion.</p>		<p>Dans un monde de changement perpétuel, chaque fonctionnaire et son superviseur doivent discuter périodiquement du perfectionnement professionnel. Cependant, une fois par année, ils doivent se rencontrer pour discuter des opinions du fonctionnaire en ce qui concerne ses préférences de formation, ses objectifs de carrière à court terme et à long terme et les possibilités de nominations ou d'affectation dans nouvelles fonctions, au sein du Ministère ou ailleurs.</p> <p>De plus, le fonctionnaire et son superviseur doivent déterminer les besoins et les objectifs d'apprentissage particulier qu'entreprendra le fonctionnaire et élaborer d'un commun accord un plan d'action à cet effet.</p> <p>Les besoins d'apprentissage peuvent comprendre une combinaison de formation obligatoire, d'autre formation conventionnelle et de formation sur le tas (p.ex. davantage travail par roulement, affectations enrichies, congés sabbatiques, etc.)</p> <p>Le plan personnel d'apprentissage et les discussions sur le perfectionnement professionnel doivent être versés dans le dossier du fonctionnaire chaque année afin qu'ils puissent servir aux discussions de l'année suivante.</p>	
<p>I wish to have this document completed in: <input type="checkbox"/> English / Anglais</p>		<p>I wish to have this document completed in: <input type="checkbox"/> Français / French</p>	
Identification			
Surname / Given Name(s) / Nom de Famille/Prénom(s)		PRI / CIDP	
Position Title / Titre du Poste		Group & Level / Group et Niveau	
Directorate, Division / Direction, Division		Geographic Location / Lieu de Travail	Period Covered / Période Visée From To Du Au
<p>Topics for discussion should include:</p> <ul style="list-style-type: none"> last year's personal learning and development plan and employee's supervisor's commitments; employee's skills, values, interests and aspirations; next assignment(s)/job desired by employee; competencies/knowledge/skills exhibited in current position; competencies/knowledge/skills required for current position, next position/assignment, and for supporting DFO's objectives and the supervisor's Accountability Accord; mandatory/helpful learning activities for current and next position or retirement plans; 		<p>Points de discussion :</p> <ul style="list-style-type: none"> plan personnel d'apprentissage et de perfectionnement professionnel de l'année dernière et les engagements du fonctionnaire et du superviseur; compétences, valeurs, intérêts et aspiration du fonctionnaire; prochaines affectations/ prochain poste qu'aimerait prendre le fonctionnaire; compétences, connaissances, capacités démontrées dans le poste actuel; compétences, connaissances, capacités requises dans le poste présent, prochain poste, affectations et pour appuyer les objectifs du MPO et l'accord de responsabilisation du superviseur; 	

<ul style="list-style-type: none">• ways in which the supervisor can support the employee's career growth and job satisfaction; and• an agreement and commitment on the next steps that the employee and the supervisor will take over the next year, including an implementation timetable.	<ul style="list-style-type: none">• activités d'apprentissage obligatoires/utiles pour le poste actuel et le prochain poste ou un plan de retraite;• façons dont le superviseur peut appuyer l'avancement et la satisfaction du fonctionnaire ; et• entente et engagement, y compris un calendrier de mise en oeuvre, concernant les mesures que prendront le fonctionnaire et le superviseur au cours de l'année suivante.
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<p>Personal Learning Plan & Timetable – Plan personnel d'apprentissage et calendrier</p>	<p>Development Commitments & Timetable – Engagements concernant le perfectionnement professionnel et calendrier</p>
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<p>Employee's Comments, Signature and Date – Commentaires et signature du fonctionnaire et date</p> <p>_____ Signature</p> <p>_____ Date</p>	<p>Supervisor's Comments, Signature and Date – Commentaire et signature du superviseur et date</p> <p>_____ Signature</p> <p>_____ Date</p>
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APPENDIX F

RECOMMENDATION IMPLEMENTATION TIMEFRAMES

Timeframes for implementation of recommendations:

Short-term – 6 months to 12 months

Long-term – 1 year to 2 years

Recommendations	Implementation Timeframes
<p>1. The Chief of Corporate HR Planning should ensure:</p> <ul style="list-style-type: none"> • <i>that departure forecasts for selected occupational group are prepared using the Public Service Commission’s ITHINK model, and</i> • <i>there is a capability to prepare departure forecast updates and special reports, as requested by managers (3.1.2).</i> 	<p>Short-term</p>
<p>2. The ADM of Corporate Services should ensure that HR Plans are integrated into the DFO Business Planning process. The Director General of Human Resources and the Regional Directors of HR should ensure that Regional HR Advisors are trained in HR planning principles, including the use of the HR Planning Template, in order to assist managers in the development of their HR Plans (3.2.2).</p>	<p>Short-term</p>
<p>3. The Director General HR should ensure that a Coordinator or Centre of Excellence is established to work with the National Workplace Improvement Initiative on Competency Based Management and support the multi-year DFO Competency Based Management initiative (3.3.3).</p>	<p>Short-term</p>
<p>4. The Deputy Minister should send an information bulletin to all DFO staff explaining the importance of succession planning and encouraging them to cooperate in self-identifying their retirement intentions (3.4.2).</p>	<p>Short-term</p>
<p>5. The Risk Assessment Model presented in this report, should be adopted in DFO to provide a common, objective basis for assessing relative risk of potential human resource gaps and to facilitate decision making pertaining to priority human resource requirements. The Director General of HR and the Regional Directors of HR should ensure that Regional HR Advisors are trained in the application of the Risk Assessment Model in order to assist managers in utilizing the model to support the HR Planning process. (3.4.2).</p>	<p>Short-term</p>

<p>6. <i>To facilitate recruitment at levels higher than attrition, the risk associated with this practice should be managed at the Assistant Deputy Minister or Regional Director General level and, in some cases, the Deputy Minister level (3.4.2).</i></p>	<p>Short-term</p>
<p>7. <i>The Director General of HR should put in place a process to track which Indeterminate positions are specifically filled as part of the departmental initiative to staff positions over and above attrition levels (3.4.2).</i></p>	<p>Short-term</p>
<p>8. <i>The Director General, HR should negotiate with the Public Service Commission to streamline the use of existing mechanisms to facilitate external recruitment at higher than entry levels (3.4.2).</i></p>	<p>Long-term</p>
<p>9. <i>The Director General of HR should make a submission to the Treasury Board for expanded and structured use of SAPP and/or FLEX, for pre-retirement assignments to facilitate succession planning initiatives (3.4.2).</i></p>	<p>Short-term</p>
<p>10. <i>The National Workplace Improvement Initiative on Recruitment should develop integrated recruitment strategies linked to succession planning needs, and based on sound Human Resource Planning. These strategies should include the following elements:</i></p> <ul style="list-style-type: none"> • <i>generic recruiting and staffing to create pre-qualified pools for relatively similar occupational areas linked to an improved orientation program;</i> • <i>increased use of the Student Bridging Program for recruitment of Indeterminate employees; and</i> • <i>increased use of recruiting and staffing programs that are linked to structured and formal career paths such as those for entry level Fishery Officers, Hydrographers, and Electronic Technicians, and the Administrative Officer-to-Review Officer Program of the Review Directorate (3.5.2).</i> 	<p>Long-term</p>
<p>11. <i>The Director General of HR should ensure that the DFO Internet site has a prominently displayed link to “Employment Opportunities” which can be modeled on the Statistics Canada site [3.5.1.2).</i></p>	<p>Short-term</p>
<p>12. <i>The National Workplace Improvement Initiative on Recruitment should evaluate the potential of the Recruitment Outreach Officer Program, currently under development in the Central and Arctic Region, for use in other regions (3.5.2).</i></p>	<p>Long-term</p>

<p>13. The Director General of HR should re-orient the Annual Performance Appraisal process to increase the focus on career development through the use of Annual Learning and Development Plans for all DFO staff (3.6.2).</p>	<p>Long-term</p>
<p>14. ADMs and RDGs should ensure that all managers understand they are accountable for undertaking annual career development discussions with each member of their staff and for documenting these discussions in Annual Learning and Development Plans. Rated Annual Performance Appraisals should still be undertaken where required or requested (3.6.2).</p>	<p>Long-term</p>
<p>15. The Director General of HR should be provided with sufficient funds to assume responsibility for the ongoing development and maintenance of the DFO Career Development Toolbox (3.6.2).</p>	<p>Short-term</p>
<p>16. The National Workplace Improvement Initiative on Career Development and Learning should coordinate the development of training programs for DFO managers and staff on how to undertake and support effective career planning (3.6.2).</p>	<p>Long-term</p>
<p>17. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the effectiveness of the Pacific Region's Employee Development Centre for potential application in other Regions (3.6.2).</p>	<p>Long-term</p>
<p>18. The Director General of HR should negotiate with Citizenship and Immigration Canada (CIC) to determine the feasibility of creating a joint Career Development Centre in the NCR which utilizes the existing centre in CIC (3.6.2).</p>	<p>Short-term</p>
<p>19. DFO should move from an entitlement-based approach to training and adopt one based on requirements as defined by individual career development plans. Training plans should reflect the requirements of the organization as well as those identified by the individual (3.7.2).</p>	<p>Long-term</p>
<p>20. All DFO managers should ensure that a "reasonable" level of resourcing be protected to fund training. The level of departmental funding in support of training should be monitored to ensure that it approximates the acknowledged benchmarks of comparable organizations recognized as learning organizations (3.7.2).</p>	<p>Long-term</p>

<p>21. The Director General of Finance and Administration should ensure that departmental accounting and financial systems accurately record expenditures associated with training including those expenditures of the Canadian Coast Guard College that are directly attributable to the training of DFO staff (3.7.2).</p>	<p>Short-term</p>
<p>22. The Director General of HR should expedite the implementation of the PeopleSoft Training module to capture information pertaining to training plans and training undertaken. This will allow for the creation of a departmental training record for each DFO employee and provide necessary information to support departmental Performance Measurement systems and the development of departmental training policy (3.7.2).</p>	<p>Short-term</p>
<p>23. ADMs and RDGs should ensure that staff levels in DFO operational organizations are based on staffing formulas that are sufficient to allow for staff to undertake training without the requirement for significant overtime, supplementary pay or back-up costs (3.7.2).</p>	<p>Long-term</p>
<p>24. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the feasibility of purchasing short-duration, leadership and interpersonal skills generic training for use in DFO. This type of training could effectively be delivered on a part-time basis by departmental staff (3.7.2).</p>	<p>Short-term</p>
<p>25. The National Workplace Improvement Initiative on Career Development and Learning should evaluate the potential for joint interdepartmental delivery of generic management and personal skills courses, especially in those centres which have relatively small numbers of DFO employees (3.7.2).</p>	<p>Short-term</p>
<p>26. The Regional Directors of CCG should ensure that processes are in place to provide a reasonable level of career development and training advice and support to CCG Ship's Officers and Ship's Crew.</p>	<p>Long-term</p>
<p>27. The Deputy Minister should ensure that support to DFO employees for significant training programs, such as the Executive MBA program, is approved at the Departmental level, based on criteria that ensure the process is fair and transparent (3.7.2).</p>	<p>Short-term</p>

<p>28. The Director General of HR should re-institute the DFO Learning Network, at least as an electronic forum, where representatives from all DFO sectors and regions involved in the training/learning function can share ideas and support the Department in developing learning strategies for the future (3.7.2).</p>	<p>Short-term</p>
<p>29. ADMs and RDGs should ensure that all assignment opportunities longer than three months are forwarded to Regional HR Advisors for posting on DFO Intranet's "Career Opportunities System"(3.7.4).</p>	<p>Short-term</p>
<p>30. The National Workplace Improvement Initiative on Career Development and Learning should evaluate Pacific Region's Personal Development Partnership Program for use in other regions (3.7.4).</p>	<p>Long-term</p>
<p>31. The Director General of HR should seek authority from the Treasury Board, to expand the use of the Special Assignment Pay Plan for training and development of employees on long-term assignments (3.7.4).</p>	<p>Short-term</p>
<p>32. The Director General of HR, ADMs and RDGs should discontinue the High Potential Employee Program and replace it with a fair and transparent regional management development program that includes all levels of staff, similar in concept to Canada Customs and Revenue Agency's Atlantic Region Management Assignment Program (3.7.5.2).</p>	<p>Long-term</p>
<p>33. The Director General of HR should centrally fund 100% of Management Trainee Program trainees' salaries while they are on assignment in the Department (3.7.5.4).</p>	<p>Long-term</p>
<p>34. The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Management Trainee Program (3.7.5.4).</p>	<p>Short-term</p>
<p>35. The Director General of HR should ensure that mobility requirements for Career Assignment Program participants be established on a case-by-case basis and that participants have the option to complete most assignments in their current home geographic location (3.7.5.6).</p>	<p>Short-term</p>
<p>36. The Director General of HR should ensure that additional staff support is provided to the Executive Group Services Branch to enable it to more effectively administer and co-ordinate the Career Assignment Program (3.7.5.6).</p>	<p>Short-term</p>

<i>37. The National Workplace Improvement Initiative on Mentoring should identify measurable objectives for a mentoring program in DFO (3.7.7).</i>	Short-term
<i>38. The National Workplace Improvement Initiative on Mentoring should examine the feasibility of using the national, interdepartmental mentoring program/database developed by Health Canada to administer the DFO mentoring program (3.7.7).</i>	Short-term