



Social Sciences and Humanities  
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# **Integrated Management Practices Action Plan**

May 2004

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## **1. Background**

### **1.1 Context and Rationale**

This action plan follows on the winter 2003 assessment of SSHRC's modern management practices. It focuses on five aspects: planning, training, performance agreements and evaluations, communications and knowledge management, and service improvement. These were selected because they (1) bring together many of the opportunities for improvement that were identified during the modern management practices capacity assessment and (2) are consistent with SSHRC's current priorities and planned activities. In addition, since staff in the Common Administrative Services Directorate (CASD) shared by SSHRC and the Natural Sciences and Engineering Council (NSERC) will lead a significant proportion of the activities and projects included in the plan, both councils will achieve important synergies and economies of effort and resources.

### **1.2 Approach, Methodology and Timeframe for Conducting the Capacity Assessment**

Using the model developed by KPMG LLP, BDO Dunwoody and Associates (BDO) carried out the modern management practices capacity assessment for SSHRC from January to April 2003.

The process began with an orientation session to introduce managers to the capacity assessment process. The assessment was conducted through individual interviews with each of SSHRC's four senior managers (the president, two vice-presidents, and the director general of CASD), and with a focus groups in which a total of 11 directors participated. In the focus group, a consensus approach was used to determine the rating for each of the 33 assessment criteria. BDO and SSHRC's project director for integrated management practices (IMP) jointly prepared a draft report which was then validated in a session with seven directors and managers. SSHRC's management committee approved the final version of the capacity assessment, which includes a complete description of the approach and methodology used.

## **2. Commitment to an Integrated Agenda for Implementation of Modern Comptrollership**

### **2.0 Overview**

As a small organization, SSHRC has to be very selective when establishing its priorities and allocating resources to initiatives. Efforts to improve and integrate management practices will only be successful if they are directly relevant to the organization's goals and perceived by employees as clearly facilitating their work and improving their environment.

SSHRC celebrated its 25<sup>th</sup> anniversary in 2003, during which time the Council began to implement a number of changes and new initiatives. In particular, SSHRC is initiating a major transformation of the organization from a "granting council" to a "knowledge council." These changes are characterized by a greater involvement in partnerships, greater priority accorded to knowledge management, and greater focus on impacts and accountability.

The action plan for implementing modern comptrollership at SSHRC must be consistent with these directions. It must also focus on strengthening training in modern management practices and, not only lead to better management practices in the five areas specified above, but must also directly help the organization while it is being implemented.

Appendix 4 presents the detailed action plan. This consists of 16 projects which fall under the five priority areas mentioned above and described below. These projects are the priorities that were distilled from the various improvement opportunities identified in the capacity assessment.

Consistent with SSHRC's "employer of choice" strategy, the training and performance evaluation priorities focus strongly on SSHRC's employees. These priorities aim to improve the work environment and to provide employees with better tools to do their work and with better career development opportunities. Activities planned under the communication priority will serve as a tool to further integrate planning processes and may also have important impacts on the work environment. Finally, the service improvement priority is two-pronged: it aims to improve services and reporting to external clients as well as the internal management of services provided by various SSHRC divisions.

*Improvement opportunities not pursued as part of this action plan.* While a large proportion of the improvement opportunities identified in the capacity assessment have been integrated in this action plan, some have been left out. The improvement opportunities not covered in this action plan mainly have to do with various types of systems improvements. In some cases, commercial products to achieve these improvements do not yet exist (e.g., for the full integration of financial and human resources systems). In other cases, management did not consider the incremental benefits to be worth their potential cost at the time.

Other improvement opportunities that were included in the capacity assessment will be pursued, but have not been explicitly included in this plan. These relate to a number of initiatives that are part of on-going operations, e.g., the development of an ergonomic plan, or that are included in multi-faceted corporate initiatives, e.g., the improvement of electronic service delivery.

## **2.1 Planning**

*Vision and desired outcome.* SSHRC's strategic and operational planning and resource allocation processes are integrated. Multi-year plans that take into account risks, performance outputs and outcomes, and management reviews of programs, guide the allocation of both awards (grants and scholarships) and the operational budget. The operational and financial implications of new projects and initiatives are carefully identified and integrated in the planning, decision-making and resource allocation processes. Partnerships are selected and monitored according to a framework that ensures consistency while allowing flexibility. The governance structure and decision-making processes define clear roles and responsibilities for the Council, its committees and its staff.

*Link to current activities, needs and priorities.* As a small organization, SSHRC struggles to cope with new priorities and initiatives that have a significant impact on human and financial resources. A further integration of planning and resource allocation processes can greatly help the organization to manage such changes. In addition, an ongoing major initiative to transform SSHRC from a granting council into a knowledge council was launched in 2003 through a strategic planning process that involves input from SSHRC's broad community of

clients and stakeholders. This initiative will take into account the findings of the capacity assessment and the priorities identified in this action plan. [Appendix 1](#) provides further details.

*Priority setting and risk management.* On many occasions recently, SSHRC has had opportunities (e.g., the creation of new programs) that required moving ahead under very tight deadlines and has had to put into play vigorous entrepreneurial spirit to meet the challenge. These opportunities have brought great benefits to SSHRC, but have resulted in high workload and have led to problems resulting from a lack of coordination and from insufficient time or financial resources to achieve objectives. Through the activities of its governing Board (the Council), SSHRC has in place strong strategic planning and resource allocation processes for the grants and scholarships budget, but stronger links are needed between these activities, business planning, and the allocation of the operating budget. This would help to mitigate the risks associated with insufficient integration of priorities. The projects described under the planning priority of the action plan will put the organization in a better position to take advantage of future opportunities. These projects involve few risks as they are mainly based on modifications to current internal management processes. They will have a significant positive impact on risk management at, since all involve reducing the risks associated with making decisions and plans based on incomplete information.

## **2.2 Training**

*Vision and desired outcome.* SSHRC makes significant investments in training. Managers have training plans that address their needs in the areas of modern management. All employees have the opportunity to benefit from training activities every year. Each division's business cycle is taken into account when training calendars are planned. Current strengths in shared values and ethics are maintained through mentoring and the training of new employees. Internal mechanisms are in place to foster the development of employees with managerial potential and to assist with succession planning.

*Links to current activities, needs and priorities.* In the past year, as part of efforts to address the findings of the employee survey carried out in 2001, significant new resources were allocated to training and a learning team was created within the Human Resources Division of CASD. The activities included in this action plan represent the first order of business for the new team. These were significantly shaped by the input recently received from staff when the results of the capacity assessment were presented.

*Priority setting and risk management.* The main risk associated with the activities planned under this priority has to do with raising the expectations of employees and managers with respect to training and development and then not being able to meet these expectations because of insufficient time and resources. This risk will be mitigated by the up-front annual planning of training activities whenever possible. The risks associated with not implementing the projects under this priority were identified during the capacity assessment. They relate directly to SSHRC's succession planning and to its ability to attract and retain staff.

## 2.3 Performance Agreements and Evaluation

*Vision and desired outcome:* Each year, managers and their supervisors set specific objectives. These are clearly linked to strategic and business priorities. They are monitored and adjusted through the year as needed. The evaluation of managers recognizes achievements in the areas of human resources and budget management. In addition to the performance appraisal process, staff contributions are recognized through a program of employee awards which highlights extraordinary achievements.

*Links to current activities, needs and priorities.* In 2003, the allocation of the operational budget was based on business cases prepared by each manager. This exercise was followed by the identification of clear objectives for each manager. This process served to reinforce the integration of the planning and resource allocation processes described in the vision. This integration must be explicitly extended to include the objectives that frame the activities of managers each year. In addition, input from staff highlights the need to put more emphasis on the management of human resources and budgets during the performance evaluations of managers.

*Priority setting and risk management.* There are few risks associated with this priority as the planned activities involve formalizing and improving processes that are already in place or have been initiated. This priority will also have an important impact on risk management, particularly with respect to ensuring that managers are not overstretched and are devoting their efforts to the right priorities.

## 2.4 Communications and Knowledge Management

*Vision and desired outcome.* Several mechanisms are in place to facilitate strong links between divisions and to ensure that knowledge, experience, best practices and lessons learned are continually shared. The role of staff in ongoing communications and knowledge transfer in a transformed SSHRC has been clearly identified; structures and processes are in place to facilitate this. The knowledge generated through SSHRC grants is effectively shared, communicated and used for the benefit of Canadians.

*Links to current activities, needs and priorities.* The results of the 2001 employee survey indicated weaknesses in the area of internal communication, particularly between workgroups and divisions. Since then, an intranet pilot project has been initiated. The workspace is about to be renovated and rearranged for most groups; this creates an opportunity to ensure that groups with common interests are located close together. Finally, SSHRC has created a knowledge mobilization initiative to pursue specific goals and create new mechanisms to facilitate the sharing and utilization of the knowledge generated through its awards. Knowledge mobilization is also expected to become a significant component of staff's work in a transformed SSHRC. Internal communications will have to be enhanced to facilitate this. SSHRC can explore how the experience gained with the application of knowledge management tools with external clients can benefit internal communications and result in a better tapping of the knowledge resident in SSHRC's staff.

*Priority setting and risk management.* The activities planned under this priority will mainly involve devising innovative mechanisms and vehicles to improve knowledge sharing, knowledge mobilization and collaboration among researchers and with users of knowledge. Improvements in internal communications within SSHRC are also sought. There are risks

that some of these will not work or that their outcome will be disappointing. Care in the selection and design of the initiatives and sustained effort will help to mitigate these risks.

### 2.5 Service Improvement

*Vision and desired outcome.* The satisfaction of SSHRC’s two main client groups (researchers and students) is continually monitored and used to define and implement service improvement targets and plans. Through the maintenance of an extensive inventory, SSHRC is better able to report the impacts and outcomes of its funding.

*Links to current activities, needs and priorities.* Several initiatives are underway to improve service to clients and to enhance accountability and reporting. The electronic service delivery (ESD) project is the main focus for service improvement as SSHRC moves to increasingly deliver its programs and services online. Internally, service standards have been developed for some divisions of CASD. The practice is not widespread, however, and employees’ awareness of these standards is low. Finally, the creation of a separate directorate devoted to corporate performance measurement and evaluation and the addition of an internal audit function are important components of SSHRC’s increased emphasis on performance, accountability and reporting.

*Priority setting and risk management.* This is the priority that presents the most risks because detailed activities are yet to be planned. We can anticipate significant difficulties when trying to establish how baseline information will be gathered and how to define and measure service improvement targets, particularly for external clients. Here again, careful planning to set up realistic expectations will be our best tool to mitigate these risks.

## 3. Setting Modern Comptrollership Up for Success

### 3.1 Governance Structure

The following figure (Figure 1) shows the organizational structure for integrated management practices/modern comptrollership activities at SSHRC.

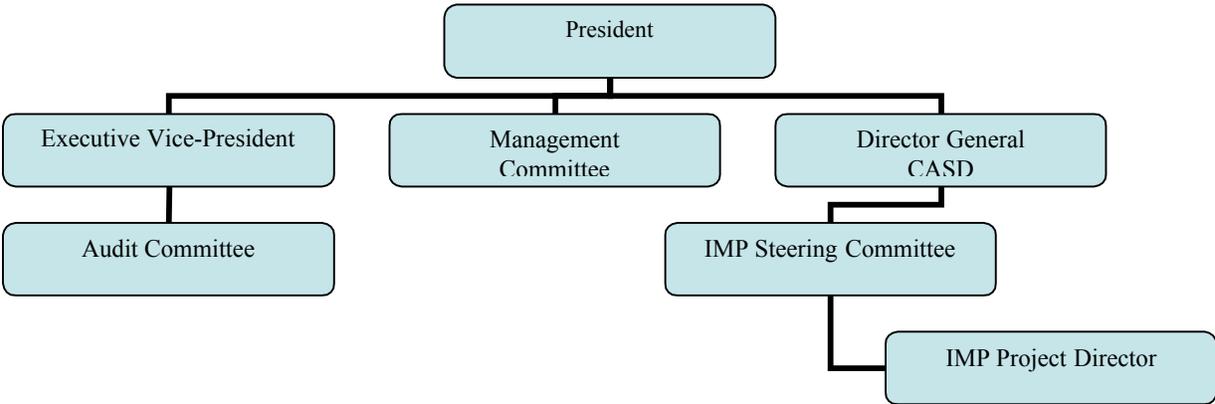


Figure 1

### **Integrated Management Practices Project (IMP) Office**

Modern comptrollership activities at SSHRC are carried out under the banner of “integrated management practices” (IMP). An IMP project office was created in the fall of 2002 to coordinate activities and manage the modern comptrollership initiative for SSHRC. The IMP office was established within the Common Administrative Services Directorate (CASD) shared by SSHRC and NSERC and reports to the Director General of CASD.

### **Integrated Management Practices Project Director**

The project director is a senior manager who is responsible for the IMP/modern comptrollership initiative at SSHRC and NSERC. The project director works under the guidance of the IMP Steering Committee and reports to the Director General of CASD. The project director coordinated the capacity assessment phase for both SSHRC and NSERC and is responsible for preparing the IMP/modern comptrollership action plan of each council. The project director is seen as visibly accountable for the coordination of all aspects of the initiative.

### **Integrated Management Practices Steering Committee**

The Integrated Management Practices Steering Committee (IMP-SC) is a joint committee of SSHRC and NSERC that deals with the project on the integration of management practices/modern comptrollership. It is composed of managers from both councils and is the mechanism for providing direction to the IMP project management office and advice to the management committees of SSHRC and NSERC, on modern management issues and on the integration of management practices within each council. The IMP-SC reports to the management committee of each council through the Director General of CASD who chairs the committee. Four of the seven members of the IMP-SC are also members of SSHRC’s management committee.

The IMP-SC reviews reports and other documents that are produced at the various stages of the project before they are brought for approval by the management committee and/or appropriate council committee of each organization or submitted to the Treasury Board Secretariat. Appendix 2 sets out the IMP-SC’s terms of reference.

The committee was established as a joint initiative of SSHRC and NSERC because it became clear early in the project (i.e., during the capacity assessment phase) that a significant number of the issues raised were common to both councils and that many of the projects included in the action plans of SSHRC and NSERC would be similar and that many would also be lead by the same CASD staff members.

### **Director General of CASD**

The Director General of CASD (DG–CASD) is a member of the management committee. He has overall accountability for the IMP/MC initiative. The DG–CASD is also a member of the NSERC management committee. The Finance, Human Resources, Administration and Information Services Divisions which support both councils all report to him. He is thus in a unique position to identify the synergies to be realized in the implementation of the IMP/MC initiative and to manage efforts.

### **President, Management Committee, Executive Vice-President and Audit Committee**

The president of SSHRC chairs the management committee. This group receives regular updates on activities related to the IMP/MC initiative and approves all final documents (e.g., the capacity assessment report, this action plan) before they are submitted to the Treasury Board Secretariat.

The executive vice-president is a member of the management committee and of the IMP steering committee. She is responsible for the link between the IMP initiative and the governing council. This link is made through the audit committee. This sub-committee of SSHRC's governing board is chaired by a member of the Council and oversees matters related to internal audit, risk management and governance. The executive vice-president of SSHRC brings relevant issues to the agenda, ensures that progress on IMP/MC is reported to the audit committee, and that its input is sought at appropriate times.

As shown in [Appendix 3](#) and [Appendix 4](#), all senior managers of SSHRC will be involved in several aspects of the action plan.

## **3.2 Communications Strategy**

### **Capacity Assessment Phase**

Because of the structure and size of SSHRC, and to ensure a corporation-wide perspective for the self-assessment while respecting the assigned budget, the consulting firm that facilitated the capacity assessment (BDO Dunwoody and Associates) recommended that only executive-level (EX) managers participate in the interviews and in the focus group. All of them did. In any case, because the capacity assessment took place during the most intense period of program delivery, a large proportion of staff below that level would not have been available to participate.

In this initial phase, communications about modern comptrollership were limited to EX-level managers.

In order to familiarize participants with modern comptrollership, the consultants conducted a half-day orientation session. The session started with an overview of modern comptrollership, followed by a description of the capacity assessment process. Following this, a discussion took place which focused on the interpretation of the modern comptrollership concepts and capacity assessment elements in the context of SSHRC's business.

A significant proportion of managers participated in the validation phase of the capacity assessment and the final report was approved by the management committee.

### **Presentation of Capacity Assessment Results and Consultations with Staff**

Since staff had not been involved in the capacity assessment, it was essential to organize a series of consultation meetings, in the spring of 2003, to ensure that all staff had an opportunity to learn about the results of the assessment and to have input in the identification of priorities for the action plan.

Meetings were organized with the following groups:

- senior officers' forum (a monthly discussion group involving EX minus 1 employees);
- CASD forum (a bimonthly discussion group involving all CASD managers);
- the executive of the union local that represents SSHRC staff (local 70372 of the Public Service Alliance of Canada).

There was also a session open to all employees, which was attended by about 20 people.

The meetings started with a brief introduction to modern comptrollership. The capacity assessment results were then presented, followed by an open discussion. A list of all the opportunities for improvement identified in the capacity assessment was circulated to participants and feedback was tallied in order to obtain an organization-wide poll on the priority elements for the action plan.

The meetings provided an opportunity to validate the results of the capacity assessment (i.e., did we get it right?), to discuss the areas that employees felt were the most important to focus on in the action plan and to discuss specific suggestions and options to address the improvement priorities.

The various groups consulted confirmed the results and conclusions of the capacity assessment. Although the composition of these groups is quite varied, a high level of consensus emerged with respect to priorities for improvement.

### **Setting of Priorities**

In late June, based on the members' own assessments and on the input from the meetings with staff, the integrated management practices steering committee decided that the action plan would focus on the first four priorities discussed in the previous sections:

- integration of strategic planning and priority setting with business and operational planning and resource allocation;
- training;
- performance evaluation;
- communication and linkages.

It was also decided to integrate efforts made under the government's Service Improvement Initiative into the IMP action plan and therefore a fifth priority—that of service improvement—was added.

### **Internal Methods of Communication**

The following steps were taken in order to continuously communicate progress on the modern comptrollership initiative to all staff:

- An Intranet was developed which contains:
  - background information and an explanation of the purpose of modern comptrollership;
  - a list of the committees and individuals directly involved in the project;
  - the capacity assessment report and related documents;
  - additional links to relevant external information;
  - methods to promote employee involvement.

- An email was circulated to all staff containing a summary of the project and links to the Intranet information.
- The action plan includes several elements which will directly involve managers.
- The action plan will be posted on the Intranet and, resources permitting, follow ups will be made with the staff groups consulted after the capacity assessment.

#### **4. Accountability for Modern Comptrollership**

##### **4.1 Monitoring and Reporting Mechanisms**

Progress on the IMP action plan will be mainly monitored by the IMP Steering Committee. Meetings will take place periodically, as needed, to evaluate progress on the various projects and provide direction. Reports to the management committee will be made through the chair of the IMP-SC.

Externally, a progress report will be presented to the Treasury Board Secretariat in March 2004 and updates on the progress of the IMP project and descriptions of accomplishments will be reported annually in the Departmental Performance Report. Internally, periodic updates and progress reports will be posted on the Intranet.

##### **4.2 Accountability Mechanisms**

Project leaders have been identified for each of the action plan's 16 projects. In some cases, other people have specific responsibilities as well. The responsibilities and accountabilities included in the action plan have been integrated into the workplans of the project leaders who will thus be accountable for progress.

## **Appendix 1**

### **Applying the Principles of Integrated Management Practices, the Findings of the Modern Management Practices Capacity Assessment, and the Integrated Management Practices Action Plan to SSHRC's Transformation**

#### **Strategic Leadership/*Planning***

- As part of the transformation from a “granting council” to a “knowledge council,” demonstrate the priority and increased emphasis being placed on the reporting of results to Canadians, on knowledge management and mobilization, and on collaborations and networking to ensure that knowledge and results are used.
- Involve clients and partners in the transformation through extensive consultations.
- Following the transformation, define strategic directions that will frame future business priorities and resource allocation.
- Identify the implications of the transformation on all divisions, structures and processes and plan to make the necessary changes in an orderly manner.
- Involve senior functional authorities in the planning and implementation of these changes.
- Determine the impact of the transformation on the cost structure, reallocate the grants and operations budgets accordingly, and seek new resources as needed.

#### **Mature Risk Management/*Planning***

- Identify the risks associated with the transformation and integrate appropriate risk mitigation and management measures in the planning of the transformation process and of the subsequent organizational changes (RM 9).

#### **Motivated People/*Training***

- Ensure staff involvement in various aspects of the transformation. Ensure rapid and open communications with staff and clients during the transformation process.
- Assess the impact on training requirements of the transformation and of potential new responsibilities of existing staff. Then organize training as required.

#### **Clear Accountability/*Performance Evaluations***

- Specify the role of managers in the transformation process.
- Ensure that new roles and responsibilities arising from the transformation are clearly assigned.
- Assess impact of the transformation on external reporting and make necessary changes.

**Integrated Performance Information/*Service Improvement***

- Assess the impact of the transformation and activities of a transformed SSHRC on performance measures and make necessary changes.
- Assess the impact of the transformation and activities of a transformed SSHRC on evaluative information and make necessary changes.
- Assess the impact of the transformation on cost management and integrate in the A-Base review.

**Rigorous Stewardship/*Communications and Knowledge Management***

- Assess the impact of the transformation on business processes and management tools.
- Create appropriate communications and knowledge management mechanisms to assist the objectives of a transformed SSHRC.

## Appendix 2

### Integrated Management Practices Steering Committee: Terms of Reference and Membership

The Integrated Management Practices Steering Committee (IMP-SC) is a joint committee of SSHRC and NSERC that deals with the project on the integration of management practices/modern management that is led by the Common Administrative Services Division (CASD) that serves both councils. The committee is made up of managers from both SSHRC and NSERC and is the mechanism for providing direction to the IMP Project Management Office and advice to the management committees of NSERC and SSHRC on modern management issues and the integration of management practices within each council.

#### Mandate

The integrated management practices steering committee will:

- oversee the management of the IMP project and provide direction on issues as they arise;
- advise on priorities and oversee the development of the action plans (specific projects to improve our practices) of each council;
- make the link with the regular processes of each council in order to determine priorities and allocate resources to ensure that action plan projects are resourced properly (both funds and staff) and harmonized with other priorities;
- enhance synergy, collaboration, and sharing of best practices between the two councils in the design and implementation of improvement plans; in particular, harmonize improvement opportunities identified for CASD to ensure that these can serve the action plans of both Councils;
- monitor the implementation of the projects and improvement initiatives;
- monitor the results and impact of the improvement initiatives;
- review the documents and reports that will be produced at various stages before they are brought for the approval of the management committee and/or council of each organization or submitted to the Treasury Board Secretariat.

The IMP-SC reports to the management committee of each council through the director general of CASD.

#### Membership

The director general of CASD chairs the IMP-SC. The committee is composed of three other members from the management of each council.

The director of the IMP project is a non-voting member.

The administrative assistant to the director general of CASD acts as secretary to the IMP-SC.

Additional members may be added if the IMP-SC considers that additional participation is required.

**Meetings**

Meetings will be called by the chair as needed. It is anticipated that the committee will meet once a month or once every two months.

Minutes will be forwarded to members within two weeks following each meeting. They will also be posted on each council's IMP Intranet site.

**Term of the Committee**

The IMP-SC will function until March 31<sup>st</sup>, 2004 at which time the IMP project is expected to end. However, because the integration of management practices is envisaged as an ongoing initiative after the initial project phase, the term of the committee may be extended to enable it to monitor the impact of the improvement initiatives and to recommend new improvements as needed.

The decision to extend the term of the committee will be made by the management committees of NSERC and SSHRC. The composition of the committee will be reviewed if the term is extended.

**Integrated Management Practices Project:  
Members of the Steering Committee**

**Chair**

Michel Cavallin  
Director General, CASD

**SSHRC Members**

Patricia Dunne  
Director, Fellowships and Institutional Grants Division, SSHRC

Ned Ellis (Carole Ann Murphy, acting)  
Vice-President, Programs Branch, SSHRC

Janet E. Halliwell  
Executive Vice-President; SSHRC

**NSERC Members**

Isabelle Blain  
Vice-President, Research Grants and Scholarships Directorate, NSERC

André Isabelle  
Director, Environment and Natural Resources Division, NSERC

Nigel Lloyd  
Executive Vice-President, NSERC

**Ex Officio Member**

Danielle Ménard  
Project Director, Integrated Management Practices Project, CASD

**Recording Secretary**

Chantal Chauvet  
Administrative Assistant, Director General's Office, CASD

### Appendix 3 List of Projects for the Action Plan

#### SSHRC

#	Leads	Project	Milestone	Others involved
1	<b>J. Halliwell</b>  <b>C. Sylvain</b>	Planning – Strategic directions  Planning – link between transformation team and ongoing program delivery	July 2005  through to January 2005	Council, management committee  transformation team
2	<b>M. Leblanc</b>  <b>M. Leblanc</b>  <b>D. Gosselin</b>	Planning – Business cases as the basis for budget reallocations  Planning – policy and framework for planning and control of the operations budget  Planning – base review of the operations budget  Planning – review of the operations budget, post-transformation	fall 2003  April 2004  July 2004  fall 2004	All members of management committee  All members of management committee
3	<b>ESD Coordinating Committee</b>  <b>C. Sylvain</b>	Planning – identify requirements for new programs  Planning – framework for developing new programs and initiatives  Planning – framework for creating and managing partnerships	April 2004  December 2005  November 2004	Program leads for implementation of the framework  D. Rock + C. Sylvain + F.Landriault
4	<b>F. Landriault</b>  <b>F. Landriault and C. Sylvain</b>	Planning – corporate risk profile  Planning – integration of risk Management of planning, evaluation and audit	December 2003  December 2004	All managers
5	<b>J. Halliwell</b>  <b>D. Ménard</b>  <b>F. Landriault</b>	Planning – governance structure  Planning – authority charts  Planning – audit of the governance structure	June 2005  February 2004  December 2004	corporate secretariat  CASD divisions
6	<b>H. Régnier and M. Leblanc</b>	Multi-year projections for the grants and operational budgets	March 2004	All executives
7	<b>J.A. Bourdeau</b>	Training – competency profile for executives and managers  Training – learning framework for executives, managers and potential executives	March 2004  September 2004	Vice-presidents and director general

8	<b>Executives</b>	Training – identify needs for all employees and plan training calendar	June 2004	All employees and learning advisors
	<b>J.A. Bourdeau</b>	Training – orientation program for new employees	Fall 2005	F. Landriault
		Training – reporting on training	June 2004	
9	<b>J. Halliwell</b>	Training – statement of values	December 2004	SSHRC's corporate secretariat and all employees
	<b>HSQWL Committee</b>	Quality of work-life framework	December 2004	
10	<b>Executives</b>	Performance evaluation – setting executives' objectives	March 2005	J. A. Bourdeau
		Performance evaluation – staff and budget management	May 2004	
11	<b>J. Windsor</b>	Performance evaluation – employee recognition	winter 2004	All employees
12	<b>Executives</b>	Communications – internal communications	December 2004	R. Quirouette
13	<b>Transformation team</b>	Knowledge Management – knowledge mobilization: goals and roles	<b>fall 2004</b>	<b>Senior officers' forum</b>
	<b>D. Moorman and P. Lévesque</b>	Knowledge management – Senior officers' forum	<b>ongoing</b>	
	<b>P. Wiggin</b>	Knowledge management – mapping knowledge flows	<b>June 2004</b>	
		Knowledge management – application of tools to internal and external needs	<b>April 2005</b>	
14	<b>N. Michaud and R. Lalande</b>	Service improvement – plan for monitoring client satisfaction	June 2004	committee for corporate inventory of research outcomes
	<b>Leads TBD</b>	Service improvement – implementation of ongoing monitoring of client satisfaction	September 2005	
	<b>Leads TBD</b>	Service Improvement – goals, targets and plans	April 2006	
15	<b>M. Cavallin</b>	Service improvement – internal service standards	September 2004	CASD directors and others
16	<b>H. Régnier</b>	Service improvement – public access to lists of awards	June 2003	
	<b>R. Lalande and N. Michaud</b>	Service improvement – reporting of research outcomes	fall 2005	

## APPENDIX 4: SSHRC Modern Comptrollership Action Plan 2003

Major Thrust	Desired Outcome	Links to Capacity Assessment	Links to Existing Projects	Actions to Take	Timeline & Resources Required	Lead
<b>Planning (strategic planning)</b>	Strategic planning activities that include consultations with stakeholders are carried out periodically to define directions, priorities and expected results, and guide decision-making, business plans and resource allocations.	SSHRC needs to adopt a more formal approach to planning with stronger links among strategic planning, operational planning, resource allocation, training and performance evaluation.	SSHRC's transformation.	Integrate outcomes of external consultations on the transformation process into corporate strategic directions that form an effective management tool for framing program, operational and financial plans and priorities.	July 2005 (1 FTE)	Executive Vice-President (J. Halliwell), Director, Corporate Policy and Planning (C. Sylvain) + Management Committee/ Council
	Balanced engagement of staff in the transformation exercise			Create strong links between the transformation team and staff to ensure awareness and intellectual engagement without compromising program delivery and daily operations.	Through to January 2005.  (Resources not estimated)	Director, Corporate Policy and Planning-CPP (C. Sylvain) and transformation team
<b>Planning (Integration)</b>	A strong link exists between strategic vision, program and business plans, and resource allocation.	Link the corporate priorities to strategic, business and operational plans, and resource allocations.	2003 exercise of allocating the operational budget based on business cases from each division.	Continue with process, initiated this year, of allocating budgets based on business cases prepared by each manager.	By fall 2003 and on-going (0.1FTE)	Manager, Budget planning (M. Leblanc) + all members of the management committee
	Desired results, strategic priorities and resources are clearly stated in business plans.			Develop a framework for the planning and control of the operations budget and the development of future business cases that is linked to corporate strategic and business objectives.	By April 2004 (.04 FTE)	Manager, Budget planning (M. Leblanc)
	Resources are adjusted annually to reflect priorities.			Complete an A-base review of the operational budget to ensure that current gaps are identified and that resources are in line with priorities as well as to provide a basis for the challenge of existing allocations and initiatives.	July 2004 (0.30 FTE)	Director, Finance (D. Gosselin)
				Use the information to prepare, if needed, a business case for needed adjustments to the operational budget as a result of the	Fall 2004 (.15 FTE)	Director, Finance (D. Gosselin)

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<p><b>Planning (New Programs and initiatives)</b></p>	<p>New programs are developed within the strategic planning framework and resources are assigned accordingly.</p> <p>A clear framework exists for setting up and monitoring partnerships</p>	<p>Ensure that new programs and initiatives are created in the context of a strategic plan and within a framework that captures all the resource implications and that ensures that all relevant considerations and impacts are taken into account.</p> <p>Although flexibility is required, there may be a benefit in identifying a set of common parameters for establishing and monitoring partnerships. A standardized approach/template for the development of memoranda of understanding with partners would also be useful.</p>	<p>Creation of new programs and Joint Initiatives</p> <p>Electronic Service Delivery (ESD) Project</p> <p>Development of Performance Frameworks for selected programs</p>	<p>transformation.</p> <p>Develop a list of requirements to be addressed by all divisions when new programs are created.</p> <p>Create a standard process/framework for developing new programs and link it to the strategic and operational planning and the resource allocation cycle. Ensure that all aspects are taken into account and that all pertinent divisions are involved in this planning.</p> <p>Review existing framework for creating, managing and evaluating new joint initiatives and extend it to other program partnerships.</p>	<p>April 2004 (.08 FTE)</p> <p>December 2005 (Resources to be determined)</p> <p>----- (Timeframe and Resources to be determined)</p>	<p>ESD Coordinating Committee</p> <p>Director, CPP (C. Sylvain) + Program Leads for implementation</p> <p>----- TBD – (Director, CPP (C. Sylvain) + Director (Corporate Performance, Evaluation and Audit - CPEA (F. Landriault)</p>
<p><b>Planning (Risk Management)</b></p>	<p>Strategic and business plans take into account potential risks and mitigation responses.</p>	<p>A more formal risk management approach is developed and followed.</p>	<p>Development of an IRMF (integrated risk management framework)</p>	<p>Identify corporate risks and develop an integrated risk management framework to guide management action and decision-making</p> <p>Incorporate risk management into strategic and operational planning, evaluation and internal audit</p>	<p>December 2003 (.06 FTE)</p> <p>October 2003 for internal audit, October 2004 for evaluation, December 2004 for integration in RPP and DPR (Re- sources not estimated)</p>	<p>Director , CPEA (F. Landriault)</p> <p>Director, CPP (C. Sylvain), Director, CPEA (F. Landriault)</p>
<p><b>Planning (Governance Structure)</b></p>	<p>The relative roles and responsibilities of Council, its committees, the management committee, the divisions, and staff in the divisions are clear.</p> <p>Authority, responsibility, and accountability are clearly defined and aligned with the organization's objectives. They are well understood and form the basis for identifying at what</p>	<p>Clarify roles and responsibilities of Council, its committees and staff. Review delegation of authority charts and communicate changes.</p>		<p>Re-examine the management of decision-making processes and reporting relationships among Council, standing committees, senior management, etc., and, as needed, clarify the role of the various committees in the governance structure.</p> <p>Clarify responsibility, among divisions, for committee support, policy development and knowledge mobilization.</p>	<p>Through to June 2005 (.04 FTE)</p>	<p>Exec. V-P (J. Halliwell) + Secretariat</p> <p>The three vice-presidents</p>

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	level decisions are made and for the allocation of work and new projects.			Review authority delegations related to various management functions and emend as appropriate to ensure that they are in line with objectives and organizational structures.	February 2004 (.08 FTE)	IMP Office (D. Ménard)
				Improve communication of authority charts within SSHRC by circulating them to all managers.	February 2004 (.03 FTE)	IMP Office (D. Ménard)
				Perform an internal audit of the governance structure	December 2004 (0.25 FTE)	Director, CPEA (F. Landriault)
<b>Planning (multi-year planning of the grants and operations budget)</b>	<p>Multiyear framework exists to track commitments and forecast competition budgets for the grants and scholarships' budget.</p> <p>The operational budget is also managed on a multi-year basis</p>	<p>The process for managing the grants budget could be strengthened to include three-year projections. The development of stronger tools to forecast cash flows and manage risks in the grants budget could be explored.</p>		Develop three-year projections for the grants budget and the operational budget to help manage year to year fluctuations and ensure an optimal use of resources	March 2004 (0.1 FTE)	Senior Policy Analyst ( H. Régnier) (Grants budget) Manager, Budget Planning (M. Leblanc – Operations budget)
<b>Training (Modern Management Competencies and succession planning)</b>	<p>Manager's skills gaps in Modern Management Practices are identified and addressed.</p> <p>SSHRC has a process and tools in place to ensure the development of potential senior managers.</p>	<p>Skills gaps of managers and senior staff should be identified and training in modern management competencies such as strategic leadership, risk management, integrated performance reporting, etc., should be provided</p> <p>SSHRC should continue to develop a plan to address staff retention and succession.</p>	<p>Establishment of a learning team and increase in resources for learning</p> <p>Pilot project on skills gap analysis for executives</p>	<p>Revise the draft competency profile for executives and managers and evaluate the assessment tools to identify skill gaps.</p> <p>-----</p> <p>Develop a management learning framework for executives, managers and potential executives and managers. Include elements such as a generic curriculum, mentoring and assignments to ensure that the framework serves as a tool in succession planning.</p>	<p>March 2004 (.08 FTE)</p> <p>-----</p> <p>September 2004 (.06 FTE)</p>	<p>HR Senior Advisor (J.A. Bourdeau) + VPs/DG</p> <p>-----</p> <p>HR Senior Advisor (J.A. Bourdeau) + VPs/DG</p>
<b>Training (All employees)</b>	<p>All employees have opportunities for training and development.</p> <p>Workload is continuously monitored and planned to allow time for development and training.</p>	<p>There is a need to continually monitor and re-assess workload to ensure an appropriate balance between work and development.</p>		<p>Ensure that a formal process to identify group and individual training needs takes place in all divisions at least annually. This should be done in the spring to ensure harmonization with business cycle.</p> <p>-----</p> <p>Consolidate individual training needs and identify common activities to optimize use of central learning budget.</p> <p>-----</p> <p>Integrate learning into operational plans and ensure that time is planned for training activities</p>	<p>By June 2004 (.22FTE)</p> <p>-----</p> <p>Yearly, ideally by end of June (.04 FTE)</p> <p>-----</p> <p>Ongoing</p>	<p>V-Ps/DG/ Directors + Learning Advisors</p> <p>-----</p> <p>VPs/DG, HR (J.A.Bourdeau)</p> <p>-----</p> <p>Directors</p>

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				Develop and implement an orientation program for new employees	Fall 2005 (.08 FTE)	HR (J.A. Bourdeau) to coordinate with CPEA (F. Landriault)
				Report on learning activities to employees each year.	By June 2004 (.06 FTE)	HR Senior Advisor (J.A. Bourdeau)
				SEE ALSO ACTIVITIES UNDER COMMUNICATIONS AND KNOWLEDGE MANAGEMENT		
<b>Training (Values and Ethics)</b>	All staff and managers, especially new employees, have a full understanding of the government's and SSHRC's Values and Ethics and are able to apply them in their daily worklife.	Ensure that the current strong position on values and ethics is maintained through training and mentorship of staff, especially new staff.	Results for Canadians	Consider developing with staff a formal statement of values and communicating it widely throughout SSHRC.	By December 2004 in conjunction with Trans-formation (.04 FTE)	Exec. VP office (J. Halliwell)/ Corporate Secretariat
		Develop a values and ethics framework based on SSHRC's current principles and on the framework put forward in Results for Canadians and communicate it throughout the organization.	Transformation Document	Incorporate the communication of values and ethics into the modular orientation program for all new employees	Fall 2005 (included in estimate above)	Exec V-P (J. Halliwell) + HR Learning team
		There is a need to continually monitor workload and ensure an appropriate balance between work and development	Ongoing training of staff in issues related to diversity	Develop a framework for ensuring quality of worklife	December 2004 (0.1 FTE)	Health, Safety and Quality of Worklife (HSQWL) Committee

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Major Thrust	Desired Outcome	Links to Capacity Assessment	Links to Existing Projects	Actions to Take	Timeline & Resources Required	Lead
Performance Agreements and Evaluation (Objectives)	<p>Individual workplans/ performance agreements aligned with strategic objectives, operational priorities and resources, are prepared by each manager every year.</p> <p>The performance of managers is based on defining, with their supervisor and staff, clear objectives at the beginning of each year and continuous monitoring during the year.</p>	<p>Improve the integration of work plans throughout the organization and their links to strategic priorities.</p> <p>Definition, monitoring and adjustment of objectives should be more formalized</p> <p>More emphasis could be placed, when evaluating managers, on budget and staff management</p>	Setting of objectives for each manager following the spring 2003 Ops budget review.	<p>Managers and their supervisors set objectives at the beginning of each year. These are in line with strategic and business priorities. They meet regularly to monitor progress and agree on modification of objectives/ priorities as needed.</p> <p>-----</p> <p>Ensure that the processes used for determining managers' objectives and evaluating managers recognizes achievements in areas such as staff and budget management.</p>	<p>Full implementation in 2004 (.04 FTE)</p> <p>-----</p> <p>By May 2004 (no additional time)</p>	<p>Senior management + all directors</p> <p>-----</p> <p>HR Senior Advisor (J.A. Bourdeau) + senior management</p>
Performance Evaluation (Employee recognition)	SSHRC has an Employee Recognition Program which recognizes people for excellence and exemplary contributions to the achievement of SSHRC's objectives and the delivery of "results for Canadians."	SSHRC should continue to develop the Employee Recognition Program.	<i>Results for Canadians</i>	Pilot an employee award nomination and ceremony	Winter 2004 (Resources to be determined)	Compensation manager (J. Windsor)

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<p>Communications/ Linkages</p>	<p>Strong links and mechanisms exist to ensure that knowledge, experience, best practices and lessons learned are continuously shared across the organization.</p>	<p>Make SSHRC more efficient and proactive at knowledge sharing (best practices, corporate memory and lessons learned) and communicating across the organization and with other organizations.</p>	<p>Accommodations Project</p>	<p>Encourage the mobility of staff between divisions as a means of knowledge sharing and transfer.</p> <p>-----</p> <p>Periodically organize joint meetings of divisional management teams and staff to discuss common issues and interests.</p> <p>-----</p> <p>Through the accommodations project (re-novation and reorganization of floors), ensure that groups with common interests are clustered and that space is created to promote exchanges. (Resources not evaluated – TBD based on availability of funds and impact of external factors)</p>	<p>Ongoing</p> <p>-----</p> <p>March 2004 (resources not estimated)</p> <p>-----</p> <p>November 2003 (16<sup>th</sup> floor) September 2004 (10<sup>th</sup> floor) December 2004 (18<sup>th</sup> floor) April 2005 (11<sup>th</sup> floor)</p>	<p>VPs/ DG/ Directors</p> <p>-----</p> <p>Directors</p> <p>-----</p> <p>Director, Administration (R. Quiroutte) , Manager, Facilities (M. Faulkner)</p>
<p>Knowledge Management (Knowledge Mobilization)</p>	<p>A clear framework exists for the development of collaborative/partnership knowledge mobilization initiatives between SSHRC and external organizations (e.g., development of SSH knowledge mobilization units in universities/colleges)</p> <p>-----</p> <p>Strong links and mechanisms exist to ensure that knowledge, experience, best practices and lessons learned are continuously shared across SSHRC.</p>	<p>There is a need to ensure that knowledge being generated through SSHRC grants is shared effectively outside academe. Continue and expand on the knowledge mobilization (KM) initiative to help identify KM priorities and approaches within a “transformed” SSHRC and to apply relevant “lessons learned” to related and complementary internal operations</p>	<p>SSHRC's Transformation</p> <p>-----</p> <p>Knowledge mobilization.</p>	<p>In the context of SSHRC's transformation, identify shared knowledge mobilization goals and define SSHRC's and collaborators' roles, responsibilities and linkages in achieving them.</p> <p>-----</p> <p>Continue the senior officers' forum and use as a vehicle/testing ground for lateral communications initiatives, e.g., “communities of practice.”</p> <p>-----</p> <p>Map current knowledge flows and capacities within SSHRC and also with respect to external clients, stakeholders and the public</p> <p>-----</p> <p>Ensure that SSHRC's transformation clarifies/incorporates ongoing knowledge mobilization roles and responsibilities of SSHRC directorates, divisions, and individual staff and their interactions with each other as well as with external clients, stakeholders (e.g., knowledge mobilization units at universities) and the public</p>	<p>Fall 2004 (resources included in project #1 under Planning)</p> <p>-----</p> <p>Ongoing</p> <p>-----</p> <p>June 2004 (Resources to be determined)</p> <p>-----</p> <p>Fall 2004 (Resources to be determined)</p>	<p>Transformation Team</p> <p>-----</p> <p>Senior officers (D. Moorman/ P. Levesque)</p> <p>-----</p> <p>V-P, Knowledge Mobilization (P. Wiggan)</p> <p>-----</p> <p>Transformation team</p>

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	Strong links exist among all large research teams funded under the Initiative on the New Economy, with SSHRC facilitating pan-Canadian research and KM synergies; plus links with non-academic research partners and others interested in INE research		<p>INE pilot project on the establishment of a pan-Canadian Web-enabled knowledge network</p> <p>Intranet pilot project</p> <p>Community-University Research Alliances (CURA) grants</p>	<p>Develop a plan to apply tools and lessons learned from external knowledge mobilization initiatives to internal needs. For example, drawing on experience from the INE K-mobilization pilot project, and on knowledge of communities of practice within the federal government and elsewhere, expand on opportunities within the existing Intranet pilot project.</p> <p>Explore advantages and feasibility of establishing similar extranets to other groups within the SSH research community (e.g., researchers and partners funded through CURA grants).</p>	<p>Fall 2004 (Resources to be determined)</p> <p>(Timeline and Resources to be determined)</p>	<p>V.P. Knowledge Mobilization (P. Wiggan) + Manager, Data Administration (C. Trites)</p> <p>V.P. Knowledge Mobilization (P. Wiggan)</p>
Service Improvement (External client Satisfaction and Service Improvement Initiative)	SSHRC continually monitors the satisfaction of its two principal client groups, researchers and students, through targeted questions that are integrated in its application forms and final research report templates.	<p>Follow up on recommendations in the report commissioned to study client satisfaction assessment processes.</p> <p>Information on client satisfaction could be sought as part of the application form and tracked and analyzed more formally over time</p> <p>Integration of the various current client service initiatives could provide a focus and ensure that clients are not overwhelmed or confused by a variety of changes being introduced at the same time.</p> <p>Improve electronic service delivery.</p> <p>SSHRC should better exploit the use of technologies to implement changes in business processes and service delivery.</p>	<p>Electronic Service Delivery (ESD) Initiative</p> <p>Project on the Corporate Inventory of Research Outcomes (CIRO)</p> <p>Government-wide Service Improvement Initiative.</p>	<p>Focusing on researchers and students as the two principal client groups, develop a plan to monitor client satisfaction through information gathered from application forms and final research report forms and from inquiries to the online help desk.</p> <p>Implement the ongoing monitoring of client satisfaction information</p> <p>Identify clear goals and targets for service improvement based on the information collected and identify a project lead.</p> <p>Devise an action plan to meet these goals and targets.</p>	<p>June 2004 (resources to be estimated)</p> <p>September 2005 for all aspects (resources to be estimated)</p> <p>January 2006 (resources to be estimated)</p> <p>April 2006 (resources to</p>	<p>Coordination by co-chairs of the CIRO Committee (N. Michaud and R. Lalande). The ESD Steering Committee oversees the project.</p> <p>Leads to be identified through the CIRO working group for creating / modifying client satisfaction modules for application forms and final research report form.</p> <p>Lead to be identified for analyzing info and developing service improvement</p>

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				NOTE: SSHRC IS ALSO PARTICIPATING IN A MULTI-AGENCY PROJECT ON LIGHTENING THE LOAD FOR RESEARCHERS APPLYING FOR GRANTS	be estimated)	targets and plans
Service Improvement (internal clients)	Service standards exist for all service divisions and are communicated throughout SSHRC to all staff.	There is a need to better communicate internal service level standards and agreements to all staff.		Develop internal service standards or equivalents where they do not yet exist  Communicate internal service standards throughout the organization and post them on the intranet.  Monitor adherence to service standards on an ongoing basis and report to staff on these.	September 2004 for CASD (.04 FTE)  timelines and resources for other divisions to be determined	DG (CASD), CASD directors D. LaCasse (translation, editing and Web posting) C. Sylvain (data reports)
Service Improvement (reporting)	Information on SSHRC's awards is available on line.  SSHRC maintains an integrated inventory of outcomes resulting from the research it supports. Data and reports on these outcomes are publicly available.	Improve reporting to ensure that stakeholders have a better understanding of the results and outcomes of SSHRC's activities.	<i>Results for Canadians</i>  Departmental Performance Report  RMAFs.  Project on the Corporate Inventory of Research Outcomes (CIRO)	Improve public access to SSHRC's rich data base on awards.  ----- Develop, implement and validate a data collection tool on research outcomes  ----- Refine data collection tools and improve database functionalities  ----- Provide external access to data and reports on research outcomes	Implemented in spring 2003 (0.12 FTE)  ----- Fall 2003  ----- June 2005 (resources not estimated yet)  ----- Fall 2005 (resources not estimated)	Senior policy analyst ( H. Régnier)  ----- Senior Evaluation Office (R. Lalande)  ----- Corporate Inventory of Research Outcomes Project Group under the direction of the ESD Steering Committee