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# Canadian Human Rights Tribunal

## **Modern Comptrollership Capacity Assessment**

**FINAL REPORT**

**JUNE 2002**

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# Introduction

## *Modern Comptrollership - A government-wide initiative*

The Modern Comptrollership initiative was launched in 1997 with the publication of the *Report of the Independent Review Panel on the Modernization of Comptrollership in the Government of Canada* containing the recommendations of a private-public sector Panel. From April 1998 to March 31, 2001 modern comptrollership was introduced in 13 departments and 2 agencies as part of a pilot phase. In the summer of 2001, Treasury Board Secretariat announced modern comptrollership as a government-wide initiative that needed to be adopted by all federal departments and agencies.

In simple terms, modern comptrollership is about sound organizational management through the effective partnering of functional specialists and operational managers. One of the key messages of the Independent Panel's report is that the task of achieving a state of modern comptrollership no longer rests with financial specialists and managers but rather, must be embraced by the entire organization. The essential elements of modern comptrollership as defined by the Treasury Board Secretariat are:

- *Strategic Leadership* – consists of the commitment to create and sustain a climate for change that promotes the integration of modern comptrollership concepts into day-to-day decision-making;
- *Motivated People* - refers to a public sector environment that promotes continuous learning, ensures that people have the required competencies and skills to perform their jobs well and discharge their responsibilities, and provides appropriate incentives for achieving results;
- *Shared Ethics and Values* – refers to the promotion and adoption of ethical behaviors, attitudes and decisions;
- *Integrated Performance Information*- focuses on combining financial and non-financial information to support decision-making coupled with results management and reporting;
- *Mature Risk Management* - consists of a risk management framework (methodology, tools, etc) that is an intrinsic part of the decision-making process and consistently applied to manage risks;
- *Rigorous Stewardship* – refers to responsibilities associated with the effective safeguarding and management of public resources; and

- *Clear/Improved Accountability* – consists of increased transparency, clear internal accountability tied to performance management, more thorough and concise reporting to Parliament, and heightened public confidence in the public service.

## *About the Canadian Human Rights Tribunal*

The Canadian Human Rights Tribunal (CHRT) is a quasi-judicial body that hears complaints of discrimination referred to it by the Canadian Human Rights Commission (CHRC) and determines whether the activities complained of violate the Canadian Human Rights Act (CHRA). The purpose of the Act is to protect individuals from discrimination and to promote equal opportunity. The Tribunal is the only entity that may decide whether a person has contravened the Act.

The Tribunal may only inquire into the complaints referred to it by the CHRC, usually only after a full investigation by the Commission. The Commission resolves most cases without the Tribunal's intervention. Cases referred to the Tribunal generally involve complicated legal issues, new human rights issues, unexplored areas of discrimination, or multi-faceted evidentiary complaints that must be heard under oath. The Federal Court may review Tribunal decisions.

In 1996, with the proclamation of the Employment Equity Act (EEA), Parliament expanded the Tribunal's responsibilities. In addition to acting as the Canadian Human Rights Tribunal, the Tribunal also serves as the Employment Equity Review Tribunal (EERT).

The Tribunal is a small, permanent organization that consists of two segments: the members of the Tribunal (the adjudicators) and the Registry. The Tribunal currently consists of seven members, whom the Governor in Council (GIC) appoints: the Chairperson, the Vice-Chairperson, who by statute must be full-time members, two additional full-time members and five part-time members. The Registry provides full administrative support to members and is responsible for organizing the hearing process. The Registry's activities are entirely separate from the adjudication process. The Registry is responsible for the resources allocated by Parliament. It plans and arranges hearings, acts as a liaison between parties and members and gives members the administrative support they need to carry out their duties.

Since 2001, the Tribunal has seen a considerable increase in its workload due to a greater number of referrals from the CHRC. The increase in the number of referrals is attributed to the Commission being more open in its approach to referring complaints to the Tribunal as well as an increase in the number of disability cases. The government has responded to the resource pressures resulting from this increased workload with the appointment of two new full-time members and additional financial resources.

The Tribunal is currently facing considerable uncertainty with regards to its future on two fronts:

- *Potential changes to the Canadian Human Right Act* - the Department of Justice is in the process of reviewing the recommendations of the Canadian Human Rights Act Review Panel (chaired by former Supreme Court Justice the Honourable Gerard La Forest), which include allowing claimants to bring their cases directly to Tribunal. This would mean that the Tribunal would undertake both the initial screening and investigation phases, which are currently conducted by the Canadian Human Right Commission. This would increase the caseload of the Tribunal from about 100 to potentially over 500 per year. Such a dramatic increase in workload would require a larger Tribunal, with more members and a greater research and administrative capacity.
- *Institutional independence and impartiality* - the CHRT is awaiting the decision of the Supreme Court of Canada regarding its institutional independence and impartiality. This decision will have major impact on the future of the Tribunal. It is unlikely that there will be a final decision from the Court for at least 18 months. As a result, the Tribunal expects to continue to operate in an atmosphere of significant uncertainty for the foreseeable future.

# Executive Summary

In accordance with the Government of Canada’s commitment to modernize management practices, the Canadian Human Rights Tribunal (CHRT) is committed to migrating towards a modern comptrollership environment. To initiate this migration, PwC Consulting has completed a Modern Comptrollership (MC) baseline assessment of the CHRT. The results of the assessment will be the basis for developing a modern comptrollership action plan for the CHRT.

The CHRT demonstrates particular strengths in the areas of Strategic Leadership and Motivated People. It is also starting to show good management practices in some of the criteria under Integrated Risk Management, Clear Accountability, Integrated Performance Information and Rigorous Stewardship. However, capabilities in these areas are generally in the formative stages and considerable work is required to advance the status quo. The least mature capabilities are in the area of Shared Values and Ethics primarily due to the absence of formal mechanisms to promote a set of shared values and ethical practices and ensure consistency in application.

The table below summarizes key observations and recommendations by Modern Comptrollership element. Recommendations in italics are considered to be of the highest priority. It is important to note that while recommendations have been presented for each comptrollership element, they need to be approached in an integrated fashion taking into account the inter-relationships between different elements.

<b>Modern Comptrollership Element</b>	<b>Key Observations</b>	<b>Key Recommendations</b> <i>(italics represent priority recommendations)</i>
<i>Strategic Leadership</i>	<ul style="list-style-type: none"> <li>The Chairperson of the Tribunal has a broad understanding of MC and is committed to its implementation in order to further improve the management of the Tribunal and the services provided to clients/stakeholders.</li> <li>Awareness of modern comptrollership amongst managers is starting to develop primarily due to discussions and presentations on the baseline assessment. While managers do not necessarily understand the theoretical aspects of MC, in practice they are already applying many of the concepts underlying the initiative.</li> <li>There are clear functional authorities for Finance, IT and Corporate</li> </ul>	<ul style="list-style-type: none"> <li><i>Actively communicate the anticipated benefits of MC, how the Tribunal will go about implementing MC and how MC will impact the roles and responsibilities of managers.</i></li> <li>Prepare business plans for Registry Operations, Corporate Services, Networks and Systems and Finance that are tied to the Report on Plans and Priorities (RPP) and budgets and develop mechanisms to track and report results against these plans.</li> <li>Strengthen the linkage between priorities, desired</li> </ul>

<b>Modern Comptrollership Element</b>	<b>Key Observations</b>	<b>Key Recommendations</b> <i>(italics represent priority recommendations)</i>
	<p>Services. Heads of functional areas are members of the senior management team for Registry Operations. The roles of functional authorities are well understood and highly valued within the organization.</p> <ul style="list-style-type: none"> <li>• Business planning is primarily aimed at meeting central agency requirements. Business plans are not prepared below the corporate level.</li> <li>• There is a clear and formal budgeting process. Each manager is required to prepare a budget for his/her area. Resource levels are adjusted from year-to-year primarily based on the expected volume and types of cases.</li> <li>• The Tribunal is very sensitive to the needs of its primary clients and continually updates or changes its processes and procedures to better meet the needs of clients.</li> </ul>	<p>outcomes and allocation of budgets.</p>
<i>Shared Values and Ethics</i>	<ul style="list-style-type: none"> <li>• Formal values and ethics statements aimed at ensuring consistent behaviors do not exist. Values and ethics are implicitly understood. The Chairperson leads by example by demonstrating equity and fairness in the hearing and decision process.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and/adapt values and ethics statements for the CHRT based on the Principles of the Public Service of Canada.</li> </ul>
<i>Mature Risk Management</i>	<ul style="list-style-type: none"> <li>• Risks within the context of the CHRT are well understood. Managers are aware of the legal, political and other ramifications of the risks facing the organization.</li> <li>• The management control framework consists of both manual and system controls. Controls are seen as both effective and sufficient.</li> <li>• Given the size of the Tribunal and the number of employees, integration of systems is not critical at this time.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide formal risk management training to new managers and staff as part of their orientation to the CHRT.</li> <li>• Document key controls, processes and policies. Periodically review or audit controls to identify weaknesses or problems that are not readily apparent.</li> </ul>

<b>Modern Comptrollership Element</b>	<b>Key Observations</b>	<b>Key Recommendations</b> <i>(italics represent priority recommendations)</i>
<i>Motivated People</i>	<ul style="list-style-type: none"> <li>• Modern management competency requirements have not been developed for either managers or functional specialists.</li> <li>• The CHRT follows the same cycle as the Public Service for conducting employee surveys. In addition, managers informally monitor employee satisfaction on an ongoing basis. Some managers are tracking proxy employee satisfaction measures such as leave and attendance.</li> <li>• There is good flow of information throughout the Tribunal. Regular staff meetings are held and a “chron” file is distributed to keep everyone apprised of new developments.</li> <li>• The Tribunal has identified significant succession planning issues and has initiated dialogue on how to address them.</li> <li>• Work/life balance is encouraged. Flexible work arrangements are in place and include compressed workweek, flexible start and end times and telework.</li> <li>• Although there are no formal measures of productivity or workload, case assignments are based on capacity considerations and equitable work distribution.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Proactively delegate activities/tasks currently performed by the Registrar to other managers, within Registry Operations, to broaden their roles and responsibilities, advance their decision-making skills and develop new capabilities.</i></li> <li>• <i>Create a comprehensive succession planning document (e.g., identify key positions, qualifications required, potential candidates, training requirements, etc) aimed at addressing current succession planning issues.</i></li> <li>• <i>Define relevant modern management competencies for management positions within the CHRT.</i></li> <li>• <i>Develop training plans for all Tribunal staff and managers.</i></li> </ul>
<i>Clear Accountability</i>	<ul style="list-style-type: none"> <li>• Roles and responsibilities are clearly defined down to the most junior levels of the organization.</li> <li>• Performance agreements are not in place for all Registry staff. The Registrar has an agreement in place with the Chairperson regarding corporate objectives. <ul style="list-style-type: none"> <li>– Performance evaluations are done verbally and, in some instances, in written form.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Formally articulate results expectations for all managers in light of the strategic outcomes of the CHRT.</li> <li>• Establish performance accords for managers entitled to performance pay and link accords to the RPP.</li> <li>• Develop a more disciplined approach to performance evaluations and ensure that all staff receive a written</li> </ul>

<b>Modern Comptrollership Element</b>	<b>Key Observations</b>	<b>Key Recommendations</b> <i>(italics represent priority recommendations)</i>
	<ul style="list-style-type: none"> <li>The role of specialists is primarily transaction processing and provision of information.</li> <li>External reports are of high quality and submitted on a timely basis.</li> </ul>	<ul style="list-style-type: none"> <li>evaluation at least once a year.</li> </ul>
<i>Integrated Performance Information</i>	<ul style="list-style-type: none"> <li>The Tribunal reports performance based on the planned results/strategic outcomes identified in its RPP. However, it has not developed an organization-wide performance measurement framework that delineates outputs and outcomes by key activity areas and clearly articulates associated performance measures.</li> <li>The Tribunal closely tracks operational information related to cases. Spreadsheets are used to track information on the progress of each case, identify slippage and take corrective action as necessary.</li> <li>Formal mechanisms do not exist to measure client satisfaction. Informal feedback is obtained through the interaction between Registry Officers and clients.</li> <li>The CHRT has established two measurable goals regarding the quality of services it provides to clients (i.e., Render Tribunal decisions within four months of the conclusion of the hearing 90% of the time; have hearings commence within five months of referral 80% of the time).</li> <li>The CHRT implemented an in-house financial management system (Freebalance) on April 1, 2002. The system is considered to be user-friendly and accurate.</li> <li>Detailed cost information is maintained on salaries and O&amp;M for all areas of the Tribunal. Detailed O&amp;M information is also maintained on each case. This information is analyzed on a trend basis and used for planning and forecasting purposes.</li> </ul>	<ul style="list-style-type: none"> <li><i>Develop a comprehensive performance measurement framework that applies to all of the activities of the Tribunal and delineates a set of relevant performance measures and targets.</i></li> <li>Provide selected staff with performance measurement training.</li> <li>Develop a user-friendly report that provides information on the extent to which client/stakeholder goals are being met, on a regular basis (e.g., quarterly).</li> </ul>

<b>Modern Comptrollership Element</b>	<b>Key Observations</b>	<b>Key Recommendations</b> <i>(italics represent priority recommendations)</i>
<i>Rigorous Stewardship</i>	<ul style="list-style-type: none"> <li>• Service delivery processes are well understood and documented. Service delivery improvements occur on a continual basis. Changes to procedures occur either in response to amendments to the <i>Canadian Human Rights Act</i> or on the basis of staff/client suggestions.</li> <li>• There are few tools available to managers. These include budget templates and case tracking tools.</li> <li>• Senior management recognizes the importance of effective knowledge sharing within the Tribunal. A number of mechanisms have been established to actively share knowledge and lessons learned both internally and with external stakeholders/clients.</li> <li>• The Tribunal has implemented the Financial Information Strategy (FIS) and is compliant with Generally Accepted Accounting Practices (GAAP).</li> <li>• The Auditor General last audited the Tribunal in 1998. No major deficiencies were identified in this audit.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify tools and techniques that would be most useful to managers in their day-to-day work and make these available on an organization-wide basis.</li> </ul>

## Scope and Objective

In accordance with the Government of Canada's commitment to modernize management practices, the CHRT is committed to migrating towards a modern comptrollership environment. To initiate this migration, PwC Consulting has completed a modern comptrollership baseline assessment for the CHRT.

The scope of this assessment is founded on the Capacity Check Model, a Treasury Board Secretariat approved methodology that was used for the baseline assessments of the pilot federal departments and agencies. To ensure comparability of results across federal government organizations, the model is the standard for all other departments and agencies.

The objective of this assessment is to help CHRT gauge the current status of modern comptrollership within the organization and identify areas requiring attention in order to advance the modern comptrollership initiative. Results will provide the foundation for developing a modern comptrollership action plan for the CHRT.

# Overview of the Assessment Process

## *The Capacity Check Model*

Our approach was based on assessing the modern comptrollership capacities of the CHRT against the criteria specified in the Capacity Check Model. The Model sets out thirty-three criteria within the following seven key areas:

- Strategic Leadership
- Shared Values and Ethics
- Mature Risk Management
- Motivated People
- Clear Accountability
- Integrated Performance Information
- Rigorous Stewardship

Key assessment criteria in each area are presented in the table below.

<b>Comptrollership Element</b>	<b>Assessment Criteria</b>
<i>Strategic Leadership</i>	<ul style="list-style-type: none"> <li>• Senior management’s awareness of and commitment to establishing and implementing a modern management practices environment</li> <li>• Awareness of managers of their modern management practices, responsibilities and commitment to implementing them</li> <li>• Extent to which senior departmental functional authorities are used for objective commentary and independent advice</li> <li>• Linkages between strategic, business and operational planning</li> <li>• Robustness of mechanisms for ranking program options, identifying funding requirements and allocating resources, and for budgeting and forecasting</li> <li>• Degree to which partnerships are used to support service delivery</li> <li>• Commitment to consciously strengthening relationships with client organizations, and to integrating and coordinating how client services are developed and delivered</li> </ul>

<b>Comptrollership Element</b>	<b>Assessment Criteria</b>
<i>Shared Values and Ethics</i>	<ul style="list-style-type: none"> <li>• Visibility of policies and activities that support the ethical stewardship of public resources and give priority to modern management practices</li> </ul>
<i>Mature Risk Management</i>	<ul style="list-style-type: none"> <li>• Extent to which measures are in place to identify, assess, understand, act on and communicate risk issues in a corporate and systematic fashion</li> <li>• Appropriateness of management controls in place, and linkages between controls through an integrated control framework</li> </ul>
<i>Motivated People</i>	<ul style="list-style-type: none"> <li>• Extent to which modern management practices competencies are defined and managers have access to training</li> <li>• Mechanisms used to monitor employee morale and staff relations</li> <li>• Effectiveness of communication, wellness, safety and support practices in enabling staff to provide client-focused delivery while reaching their full potential</li> <li>• Extent to which the organizational culture fosters staff participation, team building, sharing of ideas, risk taking, innovation and continuous learning</li> </ul>
<i>Clear Accountability</i>	<ul style="list-style-type: none"> <li>• Clarity of assignment of responsibilities and accountabilities throughout the organization</li> <li>• Extent to which the achievement of financial and operating results is embedded in performance agreements</li> <li>• Availability of top-flight counsel to help managers make judgment calls on modern management practices issues</li> <li>• Extent to which Parliamentary, central agency and key stakeholder information reporting requirements are met</li> </ul>
<i>Integrated Performance Information</i>	<ul style="list-style-type: none"> <li>• Existence of measures to monitor overall organization-wide performance, service quality and efficiency of program delivery</li> <li>• Utilization of non-financial information related to program effectiveness and outcomes</li> <li>• Availability and use of reliable financial information</li> <li>• Mechanisms used to cost activities/products/results</li> </ul>
<i>Rigorous Stewardship</i>	<ul style="list-style-type: none"> <li>• Extent to which processes are clearly understood, conducted in a uniform fashion and continuously improved in line with best practices</li> <li>• Range of analytical tools and techniques available to managers</li> <li>• Availability of performance/management information</li> <li>• Extent to which records of financial transactions are kept on a consistent and useful basis for purposes of audit and reporting, and are consistent with generally accepted accounting practices and the Financial Information Strategy (FIS)</li> <li>• Strength of the internal audit program and extent to which audit results inform management decisions</li> </ul>

The Capacity Check is not a review or audit. It is based on interviews with a representative cross-section of an organization’s managers complemented by document review.

The 33 criteria underlying the seven broad elements of Modern Comptrollership are assessed on a rating scale of 1 to 5. Each criteria has a set of capability descriptions derived from the *Independent Panel’s Report on Modern Comptrollership* and public and private sector best practices. The assessment is carried-out by comparing the capabilities of the organization to the generic capability described in the Capacity Check.

The CHRT can choose any of the levels between 1 and 5 to guide the development of its modern comptrollership capabilities. The Capacity Check Model does not stipulate a “one size fits all” approach and recognizes that the appropriate level of capability will be a function of the nature, complexity, and priorities of each entity. Descriptions of the ratings associated with the Model are provided below.

Non Existent / Undeveloped	Early Stages of Development	Good Management Practice	Advanced Practice	Best Practice
1	2	3	4	5

### *Our Approach*

We followed the following key steps in conducting this assessment:

- Project Planning – during the Planning Phase of the project, we worked with the CHRT project team to finalize the list of interviewees, developed customized interview guides and attended an orientation briefing whereby CHRT staff briefed the PwC Consulting team on the Tribunal’s organizational structure, key processes and current challenges.
- Interviews – we conducted a total of six interviews during May 2002. The list of interviewees is provided in Appendix B.
- Document Review – we reviewed selected documents to identify lines of inquiry and complement the information obtained through interviews. These documents included, but were not limited to:
  - 2001/02 and 2002/03 Report on Plans and Priorities (RPP)

- 2001/02 Departmental Performance Report (DPR)
  - 2001 Annual Report
  - Departmental Assessment
  - 1999 Employee Survey
  - Financial Signing Authorities Chart
  - Report of the Auditor General of Canada (September 1998, Chapter 10)
- 
- Consolidation and analysis –we integrated, analyzed and summarized information obtained through interviews and the document review for each of the 33 criteria.
  - Validation – we conducted a one-day focus group session with a group of CHRT managers to review and validate the results of the assessment, agree upon the ratings for each criteria of the Capacity Check and prioritize areas for improvement. The assessment ratings in this report reflect the consensus reached by the focus group participants. The list of focus group participants is provided in Appendix B.
  - Reporting – we prepared a draft and final report detailing the results of the assessment and presented the results to the Chairperson and members.

# Overview of Results

The chart below provides a snapshot of assessment results for the seven elements of modern comptrollership based on the underlying criteria. The criteria ratings are meant to provide an indication of the extent of maturity of modern comptrollership capabilities.

Overview of Results		Page #	Non-Existent/Undeveloped 1	Early States of Development 2	Good Management Practice 3	Advanced Practice 4	Best Practice 5
<b>Strategic Leadership</b>	Leadership commitment	p.2		██████████			
	Managerial commitment	p.3			██████████		
	Senior departmental functional authorities	p.4				██████████	
	Planning	p.5	██████████				
	Resource management	p.6				██████████	
	Management of partnerships	p.8	██████████				
	Client relationship management	p.9				██████████	
<b>Shared Values &amp; Ethics</b>	Values and ethics framework	p.12	██████████				
<b>Mature Risk Management</b>	Integrated risk management	p.14	██████████				
	Integrated management control framework	p.16			██████████		
<b>Motivated People</b>	Modern management practices competencies	p.18	██████████				
	Employee satisfaction	p.19			██████████		
	Enabling work environment	p.20				██████████	
	Sustainable workforce	p.21		██████████			
	Valuing people's contribution	p.22				██████████	
<b>Clear Accountability</b>	Clarity of responsibilities and organization	p.24		██████████			
	Performance agreements and evaluation	p.25	██████████				
	Specialist support	p.26	██████████				
	External reporting	p.27				██████████	
<b>Integrated Performance Information</b>	Integrated departmental performance reporting	p.29	██████████				
	Operating information	p.30		██████████			
	Measuring client satisfaction	p.31		██████████			
	Service standards	p.32		██████████			
	Evaluative information	p.33	██████████				
	Financial Information	p.34			██████████		
	Cost management information	p.35		██████████			
<b>Rigorous Stewardship</b>	Business process improvement	p.37				██████████	
	Management tools and techniques	p.39	██████████				
	Knowledge management	p.40				██████████	
	Accounting practices	p.41				██████████	
	Management of assets	p.42	██████████				
	Internal audit	p.43	██████████				
	External audit	p.44		██████████			

# Key Themes by Comptrollership Element

## *Strategic Leadership*

- The Chairperson of the Tribunal has a broad understanding of Modern Comptrollership (MC) and is committed to its implementation. The Chairperson sees MC as an opportunity to assess current management practices and identify opportunities for strengthening the organization.
- Awareness of modern comptrollership amongst managers is starting to develop primarily due to discussions and presentations on the baseline assessment. While managers do not necessarily understand the theoretical aspects of MC, in practice managers are already applying many of the concepts underlying the initiative.
- There are clear functional authorities for Finance, IT and Corporate Services. Heads of functional areas are members of the senior management team for Registry Operations. The roles of functional authorities are well understood and highly valued within the organization. Functional authorities have a good understanding of the business of the CHRT as most have held positions as Registry Officers.
- The CHRT's planning documents consist of the Report on Plans and Priorities and the Annual Reference Level Update (ARLU). Business planning is primarily aimed at meeting central agency requirements; business plans are not prepared below the corporate level.
- There is a clear and formal budgeting process. Resource levels are adjusted from year-to-year primarily based on the expected volume and types of cases. Budgets are closely monitored on an ongoing basis by the Registrar to identify funding shortfalls due to fluctuations in the volume of cases or unforeseen events as well as to alert Treasury Board Secretariat to the potential lapsing of funds.
- Given the mandate of the Tribunal, there are no services or activities that are delivered in partnership with other organizations or parties.
- The Tribunal is very sensitive to the needs of its primary clients and continually updates or changes its processes and procedures to better meet the needs of clients. For example:
  - the Tribunal introduced pre-hearing questionnaires to address the needs of a hearing impaired party who could not participate in conference calls. Similarly, a teletypewriter system has been installed to accommodate people with hearing disabilities
  - the Chairperson met with counsel who regularly appear before the Tribunal to obtain feedback on the Interim Rules of Procedure introduced in 1999.

- a web-site has been developed with a powerful search engine that provides rapid access to Tribunal decisions and procedural rulings as well as providing general information about the Tribunal's services and mandate

### *Shared Values and Ethics*

- Formal values and ethics statements aimed at ensuring consistent behaviors do not exist. However, there are a number of mitigating measures to promote values and ethics with the CHRT. These include:
  - highly experienced, veteran staff who have been with the CHRT for many years and can draw on their significant experience to deal with ethical issues
  - a Chairperson who leads by example by demonstrating equity and fairness in the hearing and decision process
  - a detailed code of conduct for the members of the Tribunal and Registry Officers
  - avenues for addressing ethical issues such as discussions with the Chairperson and/or Registrar

### *Mature Risk Management*

- Risks within the context of the CHRT are well understood. Managers are aware of the legal, political and other ramifications of the risks facing the organization.
- Although the CHRT does not have a formal risk management framework and relevant risk management policies, a number of mechanisms are in place to manage risks. Specifically:
  - procedures are in place to govern the actions/behaviors of Registry Officers in order to minimize/avoid legal risks
  - formal analyses/business cases are prepared for significant risks such as the impact of potential legislative changes on the operations of the Tribunal
  - workload is monitored on a continual basis to ensure that there are sufficient human and financial resources for the expedient processing of cases
- The management control framework consists of both manual and system controls. Controls are seen as both effective and sufficient. Controls are reviewed as part of day-to-day operations and/or as issues arise.

## *Motivated People*

- Modern management competency requirements have not been developed for either managers or functional specialists. Managers have received limited formal training related to improving their management practices.
- Mechanisms for monitoring employee satisfaction include formal surveys as well as informal monitoring by managers on an ongoing basis. Some managers are tracking proxy employee satisfaction measures such as leave and attendance.
- Staff are recognized as key assets of the organization.
  - There is good flow of information throughout the Tribunal. Regular staff meetings are held and a “chron” file is distributed to keep everyone apprised of new developments.
  - Staff are consulted on changes in operations and procedures especially where there will be a direct impact on one or more individuals.
  - Work/life balance is encouraged. For example, the assignment of cases to the registry officers takes into account the extent of travel done by individual officers.
- Although there are no formal measures of productivity or workload, case assignments are based on capacity considerations and equitable work distribution.
- The Tribunal has identified significant succession planning issues and has initiated dialogue on how best to address them.
- Flexible work arrangements are in place and include compressed workweek, flexible start and end times and telework.
- The Tribunal has an awards and recognition program that recognizes staff for going above and beyond the call of duty.

## *Clear Accountability*

- Roles and responsibilities are clearly defined down to the most junior levels of the organization. While accountabilities for controlling resources are clear, accountabilities for achieving results are not clearly articulated and linked to corporate objectives and outcomes.

- Performance agreements are not in place for all Registry staff. The Registrar has an agreement in place with the Chairperson regarding corporate objectives.
  - Performance evaluations are done verbally and, in some instances, in written form.
- The role of specialists is primarily transaction processing and provision of information.
- The Tribunal’s external requirements are driven by both central agencies and the *Canadian Human Rights Act*. Reports such as the RPP and DPR are considered to be of high quality.

### *Integrated Performance Information*

- The Tribunal reports performance based on the planned results/strategic outcomes identified in its RPP. However, the CHRT has not developed an organization-wide performance measurement framework that delineates outputs and outcomes by key activity areas and clearly articulates performance measures for each activity area and outcome.
  - Performance measures are primarily focused on the adjudication process and registry operations. There are no specific measures for areas such as corporate services, IT and Finance.
- Operating performance measures and targets exist for the adjudication process. The Tribunal closely tracks operational information related to cases. Spreadsheets are used to track information on the progress of each case, identify slippage and take corrective action as necessary.
- Formal mechanisms do not exist to measure client satisfaction. Informal feedback is obtained through the interaction between Registry Officers and clients. The CHRT is committed to undertaking a review of client satisfaction starting in the summer of 2002.
- The CHRT has established the following measurable goals regarding the quality of services it provides to clients:
  - render Tribunal decisions within four months of the conclusion of the hearing 90% of the time
  - have hearings commence within five months of referral 80% of the time
- The Tribunal does not have a formal evaluation framework and evaluations are not carried out. Notwithstanding, program outcomes are monitored on an ongoing basis.

- The CHRT implemented an in-house financial management system (Freebalance) on April 1, 2002. The system has been customized to meet the requirements of the CHRT and was developed with input from users. Both hard copy and on-line reports are available to managers.
- Detailed cost information is maintained on salaries and O&M for all areas of the Tribunal. Detailed O&M information is also maintained on each case. This information is analyzed on a trend basis and used for planning and forecasting purposes.

### *Rigorous Stewardship*

- Service delivery improvements occur on a continual basis. Changes to procedures occur either in response to amendments to the *Canadian Human Rights Act* or on the basis of staff and client suggestions. Recent changes to the service delivery process include:
  - Sending out questionnaires to parties to schedule hearings rather than trying to schedule a conference call for this purpose. This has reduced the time it takes to schedule hearings by one to three months
  - E-mailing decisions in addition to couriering them to ensure all parties receive the decision at the same time
  - Provision of interim rules of procedures to parties involved in a hearing. These rules have reduced logistical problems and facilitated the handling of legal and procedural motions
  - Installation of a teletypewriter (TTY) system for people with hearing impairment
  - Imposition of tighter restrictions on the planning, scheduling and granting of adjournments and postponements
- There are few tools available to managers. These include budget templates and case tracking tools.
- Senior management recognizes the importance of effective knowledge sharing within the Tribunal and externally. Mechanisms to share knowledge include:
  - Bi-weekly meetings of full-time members to discuss case issues, best practices and lessons learned
  - Informal discussions
  - Weekly staff meetings
  - The CHRT web-site (includes all decisions and rulings rendered by the Tribunal since 1998)
  - Records management system (case files, reports on cases, etc)
- The Tribunal has implemented the Financial Information Strategy (FIS) and is compliant with Generally Accepted Accounting Practices (GAAP). Knowledge of accounting practices resides primarily in Finance; other managers have some familiarity with these practices.

- The Tribunal maintains an up-to-date inventory of IT assets. A lifecycle approach is used to replace IT assets but there is no long-term capital asset plan.
- There is no in-house internal audit capability due to the size of the Tribunal and resource considerations.
- The Auditor General last audited the Tribunal in 1998. No major deficiencies were identified in this audit. The CHRT has addressed the observations of the Auditor General related to enhancing its performance reporting.

Detailed assessment information by criteria is included in Appendix A of this report.

# Priority Areas for Improvement

The following are recommendations for advancing modern comptrollership within the CHRT that have been identified by the Validation Focus Group as having the highest priority with regard to implementation.

## *Strategic Leadership*

- Actively communicate the anticipated benefits of MC, how the Tribunal will go about implementing MC and how MC will impact the roles and responsibilities of managers.

## *Integrated Performance Information*

- Develop a comprehensive performance measurement framework that applies to all of the activities of the Tribunal and delineates a set of relevant performance measures and targets.

## *Motivated People*

- Proactively delegate activities/tasks currently performed by the Registrar to other managers, within Registry Operations, to broaden their roles and responsibilities, advance their decision-making skills and develop new capabilities.
- Create a comprehensive succession planning document (e.g., identify key positions, qualifications required, potential candidates, training requirements, etc) aimed at addressing current succession planning issues.
- Define relevant modern management competencies for management positions within the CHRT.
- Develop training plans for all Tribunal staff and managers.

## ***Key Recommendations***

### ***Strategic Leadership***

- Prepare business plans for Registry Operations, Corporate Services, Networks and Systems and Finance that are tied to the RPP and budgets and develop mechanisms to track and report results against these plans.
- Strengthen the linkage between priorities, desired outcomes and allocation of budgets.
- Provide on-the-job training to the manager of Finance and eventually delegate the budget analysis and monitoring function to her.

### ***Shared Ethics and Values***

- Develop and/adapt values and ethics statements for the CHRT based on the Principles of the Public Service of Canada.

### ***Mature Risk Management***

- Provide formal risk management training to new managers and staff as part of their orientation to the CHRT.
- Document key controls, processes and policies. Periodically review or audit controls to identify weaknesses or problems that are not readily apparent.

### ***Clear Accountability***

- Formally articulate results expectations for all managers in light of the strategic outcomes of the CHRT.
- Establish performance accords for managers entitled to performance pay and link accords to the RPP.
- Develop a more disciplined approach to performance evaluations and ensure that all staff receive a written evaluation at least once a year.

### ***Integrated Performance Information***

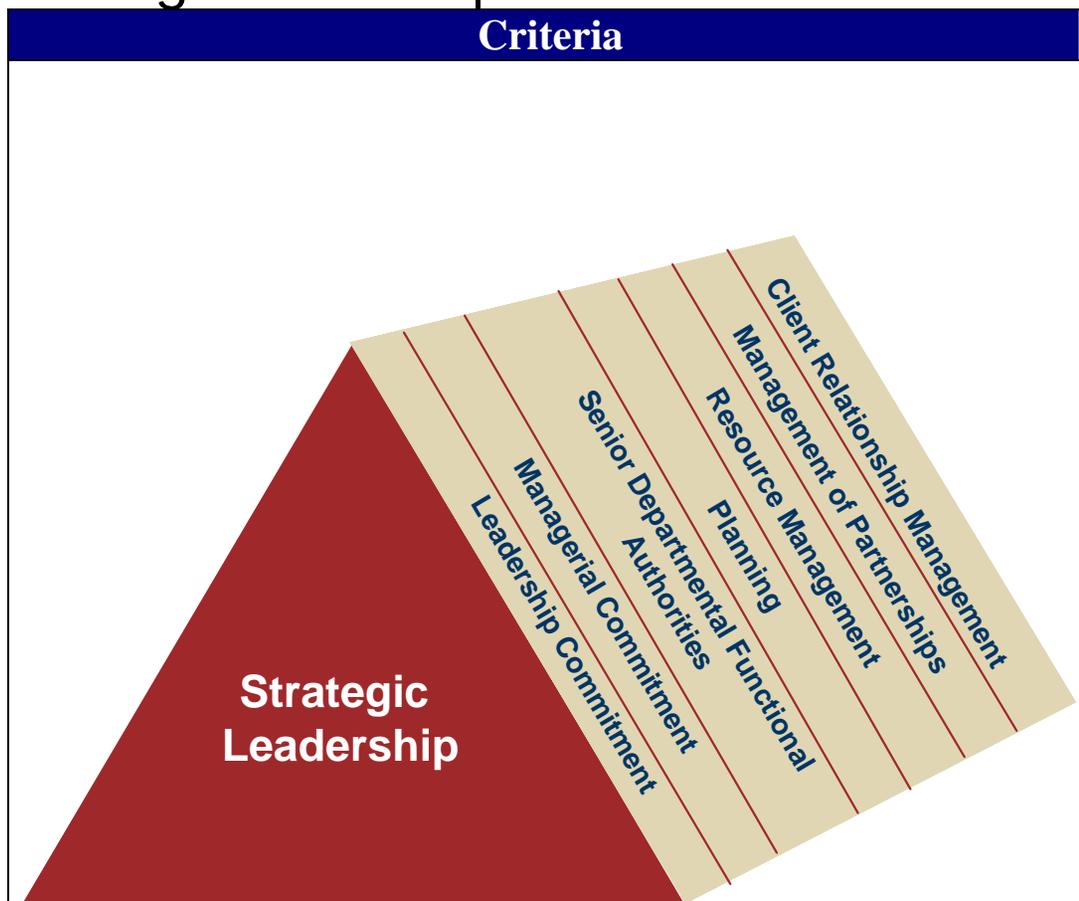
- Provide selected staff with performance measurement training.
- Explore options to automate operating information through the use of software such as MS Project.
- Develop a user-friendly report that provides information on the extent to which client/stakeholder goals are being met on a regular basis (e.g., quarterly).
- Establish service standards for Finance, IT and Corporate Services.

### ***Rigorous Stewardship***

- Identify tools and techniques that would be most useful to managers in their day-to-day work and make these available on an organization-wide basis.
- Develop an organization-wide long-term asset management plan.

# Appendix A – Detailed Results by Criteria

## Strategic Leadership



- Strengths**
- The Chairperson of the Tribunal and Registrar are committed to implementing modern comptrollership in order to further improve the management of the Tribunal and the services provided to clients/stakeholders.
  - There is a clear resource management process and budgets are monitored closely to respond to changing circumstances.
  - Client relationships are effectively managed. The Tribunal continually changes/updates its processes and procedures to better meet the needs of clients.

## Leadership Commitment

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The Chairperson of the Tribunal has a broad understanding of Modern Comptrollership (MC) and is committed to its implementation in order to further improve the management of the Tribunal and the services provided to clients/stakeholders.               <ul style="list-style-type: none"> <li>Chairperson sees MC as an opportunity to assess current management practices and identify opportunities for strengthening the organization.</li> </ul> </li> <li>A project has been initiated to promote and implement modern comptrollership.</li> </ul>	<ul style="list-style-type: none"> <li>There is an opportunity for the Chairperson to more actively communicate the anticipated benefits of MC and how the Tribunal will go about implementing MC.</li> </ul>

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

## Managerial Commitment

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Awareness of modern comptrollership amongst managers is starting to develop primarily due to discussions and presentations on the baseline assessment. While managers do not necessarily understand the theoretical aspects of MC, in practice they are already applying many of the concepts underlying the initiative.</li> <li>Managers generally understand their authorities and responsibilities for probity and prudence as well their overall management authorities.</li> <li>Plans and initiatives are thoroughly analyzed but formal business cases are generally not prepared – the majority of decisions that the CHRT takes do not warrant a formal business case. Specialist input is sought as required.</li> <li>Given the small size of the Tribunal, managers are familiar with functional specialists (e.g., Finance, IT, Corporate Services).</li> </ul>	<ul style="list-style-type: none"> <li>Some concern exists among managers regarding the relevance of the initiative given the size of the Tribunal.</li> <li>Opportunity exists to engage managers in dialogue regarding their role in implementing modern management practices in the Tribunal.</li> </ul>

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

## Senior Departmental Functional Authorities

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The CHRT has only recently established an in-house Finance capability. Previously, the Office of the Commissioner for Federal Judicial Affairs (FJA) was providing the Tribunal with these services through a contractual agreement.</li> <li>HR services are being obtained through PWGSC. The Tribunal is in the process of staffing an in-house HR position.</li> <li>There are clear functional authorities for Finance, IT and Corporate Services. Heads of functional areas are members of the senior management team.</li> <li>The roles of functional authorities are well understood and highly valued within the organization.</li> <li>Functional authorities have a good understanding of the business of the CHRT. The heads of IT and Corporate Services both worked as registry officers.</li> <li>Functional authorities are asked to contribute to decisions outside of their areas of expertise as part of the consultation process for decision-making as well as for developmental purposes.</li> </ul>	<ul style="list-style-type: none"> <li>In view of forthcoming retirements, an opportunity exists to delegate more responsibilities to the heads of functional areas and broaden their roles to include strategic decisions.</li> </ul>

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

## Planning

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The CHRT's planning documents consist of the Report on Plans and Priorities (RPP) and the Annual Reference Level Update (ARLU).               <ul style="list-style-type: none"> <li>Business planning is primarily aimed at meeting central agency requirements</li> <li>Business plans are not prepared below the corporate level</li> </ul> </li> <li>The RPP articulates the strategic outcomes of the Tribunal and how the outcomes will be met. It also identifies risks and challenges as well as planned spending for the Fiscal Year.</li> </ul>	<ul style="list-style-type: none"> <li>An opportunity exists to prepare business plans for Registry Operations, Corporate Services, Networks and Systems and Finance that are tied to the RPP and budgets and to develop mechanisms to track and report results against these plans.</li> </ul>

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

## Resource Management

### Key Information

- There is a clear and formal budgeting process. Each manager is required to prepare a budget for his/her area. Templates and verbal guidelines are provided to facilitate the budgeting process.
- Resource levels are adjusted from year-to-year primarily based on the expected volume and types of cases.
- Budgets are reviewed and challenged by the Registrar and additional funding requirements are discussed in terms of options, costs, etc. The Registrar approves budgets.
- Significant expenditures may require a report justifying the need, outlining options and associated costs, and identifying the risks or consequences of not proceeding.
- Managers are responsible for monitoring and managing their budgets and preparing forecasts.
- Budgets are also closely monitored on an ongoing basis by the Registrar to identify funding shortfalls due to fluctuations in the volume of cases or unforeseen events as well as to alert Treasury Board to the potential lapsing of funds.

### Issues/Opportunities

- There are opportunities to:
  - strengthen the linkage between priorities, desired outcomes and allocation of budgets
  - provide on-the-job training to the manager of Finance and eventually delegate the budget analysis and monitoring function to her

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

# Management of Partnerships

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Given the mandate of the Tribunal, there are no services or activities that are delivered in partnership with other organizations or parties.</li> </ul>	

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

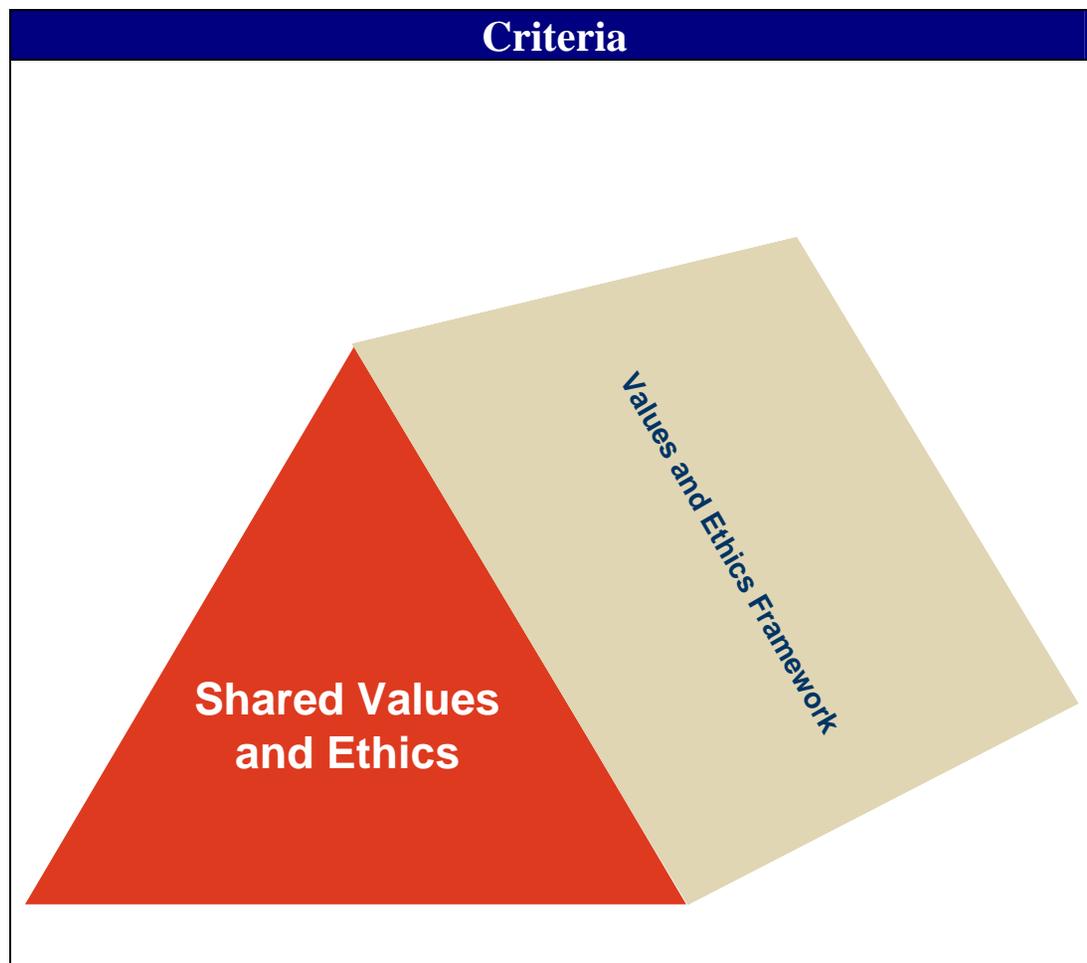
## Client Relationship Management

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>• The primary clients of the CHRT consist of complainants and respondents to cases as well as the Canadian Human Rights Commission. Other clients/stakeholders include the Human Rights community, government, and taxpayers.</li> <li>• The decisions of the Tribunal have national impact and are read widely by federal employers, provincial human rights tribunals and special interest groups. Registry Operations and the Registrar formally manage client relationships. For every case that is referred to the CHRT, a letter is issued to the parties involved informing them of points of contact. Registry officers and the Registrar are the main points of contact for the parties involved in a case. Registry officers maintain detailed files on each case to which they are assigned. The Tribunal is very sensitive to the needs of its primary clients and continually updates or changes its processes and procedures to better meet the needs of clients. For example:             <ul style="list-style-type: none"> <li>– the Tribunal introduced pre-hearing questionnaires to address the needs of a hearing impaired party who could not participate in conference calls.</li> <li>– similarly, a teletypewriter system has been installed to accommodate people with hearing disabilities</li> <li>– the Chairperson met with counsel who regularly appear before the Tribunal to obtain feedback on the Interim Rules of Procedure introduced in 1999</li> <li>– the Tribunal has developed a web-site with a powerful search engine that provides rapid access to its decisions and procedural rulings as well as providing general information about its services and mandate</li> </ul> </li> <li>• Historically, there have been very few complaints regarding the CHRT's processes and procedures. The Tribunal regularly consults with legal counsel involved in cases to improve its processes and procedures.</li> </ul>	

TOPIC	1	2	3	4	5
<p><i>Client relationship management</i></p> <p><i>Commitment to consciously strengthening relationships with client</i></p>	<p>There is no formal client management role in the department. Relations with clients/ stakeholders are primarily at the individual level. The</p>	<p>A client management function (e.g., client managers, client relationship teams) has been established where warranted by the scale and complexity of a client's</p>	<p>The department liaises with key client organizations to address existing and new service requirements, promote new services, and to share information on clients'</p>	<p>The department develops close client relationships directed toward fully understanding clients' needs. The client management function sets objectives for</p>	<p>The department has an in-depth knowledge of the client's business. The client management function has had a positive impact on the volume of client business</p>

<p><i>organizations, and to integrating and coordinating how client services are developed and delivered.</i></p>	<p>department has limited systems and infrastructure to support the operations of the client management function.</p>	<p>interactions with the department. Personnel from key operational, program and supporting policy and functional groups work together to serve key clients. Basic information exists on key clients and stakeholders. Clients are aware of whom to contact in the case of issues or new service requirements.</p>	<p>future plans and priorities. Client service plans have been developed for key clients. A client management function marshals and coordinates resources from across the department to ensure service delivery commitments are satisfied and service delivery problems are resolved.</p>	<p>the department with key clients, and monitors existing service delivery performance and client satisfaction. Client organizations participate directly in planning sessions. Products and pricing are well understood by clients. The supporting infrastructure is in place—systems that track client intelligence, record client activity, service levels. The performance of the department is tracked for each key client account.</p>	<p>and client satisfaction. Departmental services are seen to be “seamless” by clients. Client intelligence and lessons learned are shared throughout the organization. Program and service delivery staff work closely together to best serve the client, regardless of where they are in the organizational structure.</p>
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## Shared Values and Ethics



- Strengths**
- Values and ethics are promoted by example through the actions of the Chairperson and Registrar.

## Values and Ethics Framework

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Formal values and ethics statements aimed at ensuring consistent behaviors do not exist. Values and ethics are implicitly understood.               <ul style="list-style-type: none"> <li>Most staff have been with the CHRT for many years and have significant experience that they can draw on to deal with ethical issues.</li> </ul> </li> <li>The Chairperson leads by example by demonstrating equity and fairness in the hearing and decision process.</li> <li>A detailed code of conduct exists for the members of the Tribunal; an ethics counselor has briefed all members. The Tribunal also has a code of conduct for Registry Officers that outlines appropriate behaviour during hearings.</li> <li>There is a clearly understood mechanism for addressing ethical issues in that these are discussed with the Chairperson and/or Registrar. Chairperson and Registrar are viewed as champions for ethics and values.</li> <li>Expectations regarding ethics and values are discussed at staff meetings, as required.</li> </ul>	<ul style="list-style-type: none"> <li>An opportunity exists to develop and/adapt values and ethics statements for the CHRT based on the Principles of the Public Service of Canada. This is especially important given the potential retirement of key staff such as the Registrar.</li> </ul>

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

# Mature Risk Management



## Strengths

- Risks within the context of the CHRT are well understood. Managers are aware of the legal, political and other ramifications of the risks facing the organization.
- Mechanisms exist to manage and mitigate the majority of risks facing the CHRT.
- A management control framework consisting of both manual and system controls is in place.

## Integrated Risk Management

### Key Information

- Risks within the context of the CHRT are well understood. Managers are aware of the legal, political and other ramifications of the risks facing the organization.
- Although the CHRT does not have a formal risk management framework and relevant risk management policies, a number of mechanisms are in place to manage risks. For example:
  - Procedures are in place to govern the actions/behaviors of Registry Officers in order to minimize/avoid legal risks
  - Formal analyses/business cases are prepared for significant risks such as the impact of potential legislative changes on the operations of the Tribunal
  - Workload is monitored on a continual basis to ensure that there are sufficient human and financial resources for the expedient processing of cases
- Reserve funds are established on a yearly basis based on the difference between the projected workload and the CHRT's appropriation.
- The top three risks identified by the CHRT are:
  - **Impact of the potential changes to the *Canadian Human Rights Act (CHRA)*.** The Department of Justice is in the process of reviewing the recommendations of the CHRA Review Panel, which include allowing claimants to bring their cases directly to Tribunal. This would mean that the Tribunal would undertake both the initial screening and investigation phases, which are currently conducted by the Canadian Human Right Commission (CHRC). This would increase the caseload of the Tribunal from about 100 to potentially over 500 per year. The CHRT has developed and costed various scenarios to address the impact of the recommendations and has provided this information to the Department of Justice.
  - **Institutional Independence.** The CHRT is awaiting the decision of the Supreme Court of Canada regarding its institutional independence and impartiality. This decision will have a major impact on the future of the Tribunal.
  - **Workload.** The CHRT must deal with a fluctuating caseload. It essentially has no control over the number of cases and rate of settlements. It is managing this risk through ongoing and proactive communication with the CHRC to obtain the best available information on a timely basis.

### Issues/Opportunities

- As veteran managers and staff retire, an opportunity will arise to provide formal risk management training to new managers and staff as part of their orientation to the CHRT.

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

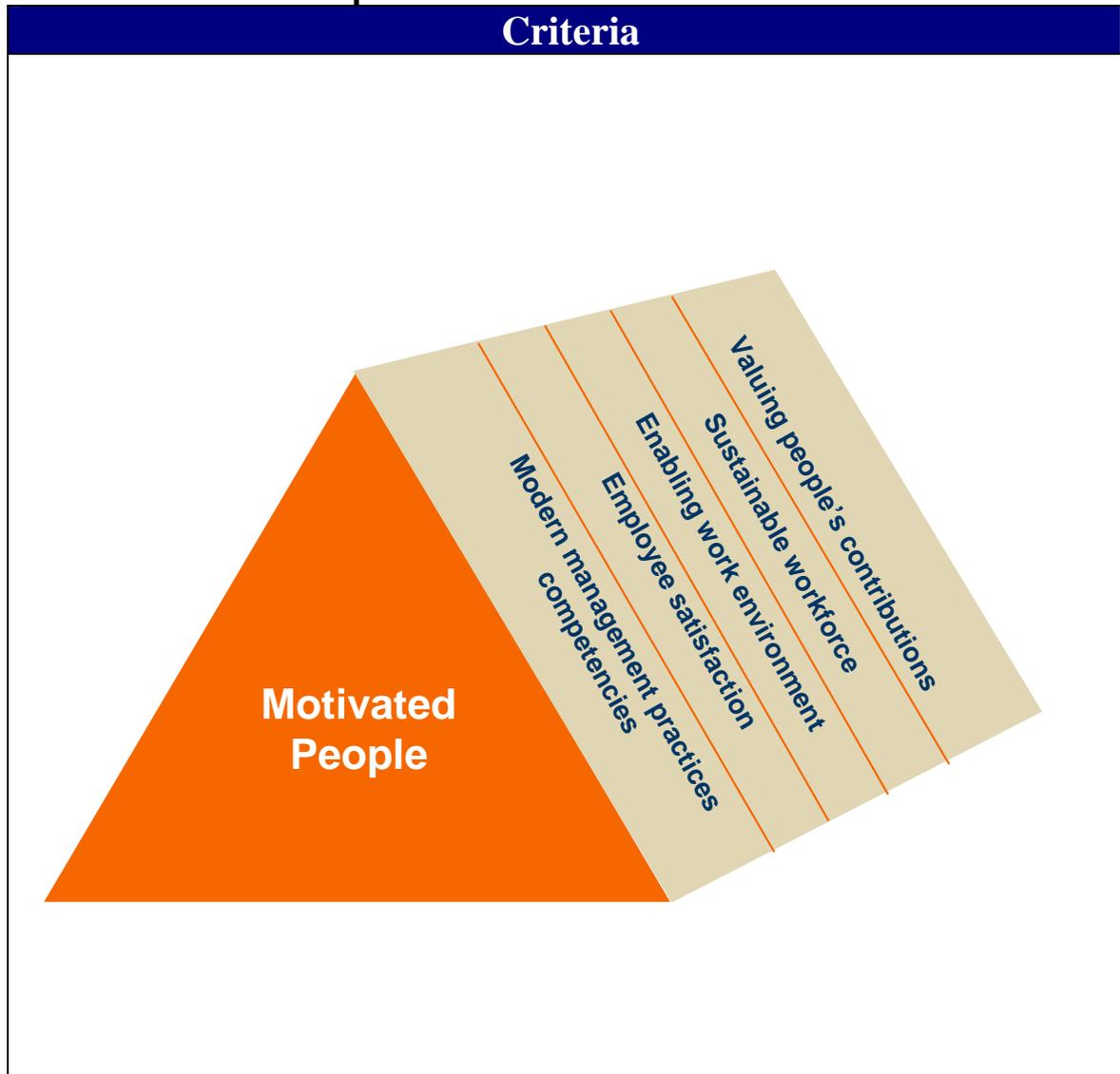
## Integrated Management Control Framework

Key Information
<ul style="list-style-type: none"> <li>• The management control framework consists of both manual and system controls. Controls are seen as both effective and sufficient.</li> <li>• Controls are reviewed as part of day-to-day operations and/or as issues arise.</li> <li>• The 1998 Auditor General's report found financial controls to be generally satisfactory.</li> <li>• An up-to-date delegation instrument exists for financial signing authorities. Managers maintain their delegation is appropriate. Financial authorities are understood and complied with.</li> <li>• Due to the low volume of transactions, account verification is done on a 100% basis.</li> <li>• In most instances, the Tribunal relies on Treasury Board policies. The only Tribunal-specific policy is the Internet policy. In-house HR and finance policies and procedures are being developed.</li> <li>• Asset inventories are maintained for IT assets and electronic equipment.</li> <li>• Given the size of the Tribunal and the number of employees, integration of systems is not critical at this time.</li> </ul>

Issues/Opportunities
<ul style="list-style-type: none"> <li>• As the Tribunal continues to expand and establish in-house functions such as Finance, consideration should be given to:             <ul style="list-style-type: none"> <li>– documenting key controls, processes and policies</li> <li>– periodically reviewing or auditing controls to identify weaknesses or problems that are not readily apparent.</li> </ul> </li> </ul>

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

# Motivated People



- | Strengths   |
|---|
| <ul style="list-style-type: none"><li>• Employee satisfaction is monitored through both formal and informal means.</li><li>• Staff are regarded as key assets of the organization.</li><li>• Workload is monitored and proactively managed to ensure equitable distribution.</li><li>• Succession planning has been recognized as a critical issue and is starting to be addressed.</li></ul> |

## Modern Management Practices Competencies

### Key Information

- Modern management competency requirements have not been developed for either managers or functional specialists.
- Managers have received limited formal training related to improving their management practices.

### Issues/Opportunities

- As managers retire, an opportunity will exist to define relevant modern management competencies for management positions within the CHRT.
- An opportunity exists to develop training plans for all Tribunal staff and managers.

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

## Employee Satisfaction

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>An internal employee survey was conducted in 1999. The results were analyzed and shared with staff. No major issues were identified in the survey; results were generally positive.</li> <li>The CHRT will be participating in the current year PS survey.</li> <li>In addition to surveys, managers informally monitor employee satisfaction on an ongoing basis. Some managers are tracking proxy employee satisfaction measures such as leave and attendance.</li> <li>The Tribunal has not been in a situation that has required the establishment of improvement teams; issues are addressed on an ongoing basis.</li> </ul>	

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

## Enabling Work Environment

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>• Staff are recognized as key assets of the organization.</li> <li>• There is good flow of information throughout the Tribunal. Regular staff meetings are held and a “chron” file is distributed to keep everyone apprised of new developments.</li> <li>• Staff are consulted on changes in operations and procedures especially where there will be a direct impact on one or more individuals.</li> <li>• Work/life balance is encouraged. For example, the assignment of cases to the registry officers takes into account the extent of travel done by individual officers.</li> </ul>	<ul style="list-style-type: none"> <li>• There is significant reliance on the capabilities of the Registrar in the day-to-day operations of the Tribunal. An opportunity exists to delegate selected tasks to other managers to advance their decision-making and other skills.</li> </ul>

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

## Sustainable Workforce

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Although there are no formal measures of productivity or workload, case assignments are based on capacity considerations and equitable work distribution.</li> <li>Caseloads are tracked and adjustments to the workload of registry officers are made based on scheduling considerations, complexity of cases (which may not be readily apparent at the start of a case) and travel requirements.</li> <li>Work tends to be fairly stable in Corporate Services, Finance and IT. Responsible managers and the Registrar monitor workload in these areas on an informal basis.</li> <li>A hearing assignment schedule for members is also maintained and monitored.</li> <li>The CHRT is facing significant succession planning issues.             <ul style="list-style-type: none"> <li>the Chairperson and the Vice Chair have approximately one year and 18 months left in their terms, respectively</li> <li>the Registrar is eligible to retire within the next two years</li> <li>the manager of Registry Operations is eligible to retire within the next five years</li> <li>a senior registry officer is eligible to retire in the next two to three years</li> </ul> </li> <li>Flexible work arrangements are in place and include compressed workweek, flexible start and end times and telework.</li> </ul>	<ul style="list-style-type: none"> <li>While the CHRT has proactively identified succession planning issues and has started thinking about how to best address them, a formal succession plan has not been developed.</li> <li>An opportunity exists to create a comprehensive succession planning document (e.g., identification of key positions, qualifications required, identification of possible candidates, training requirements) to guide efforts in this area.</li> </ul>

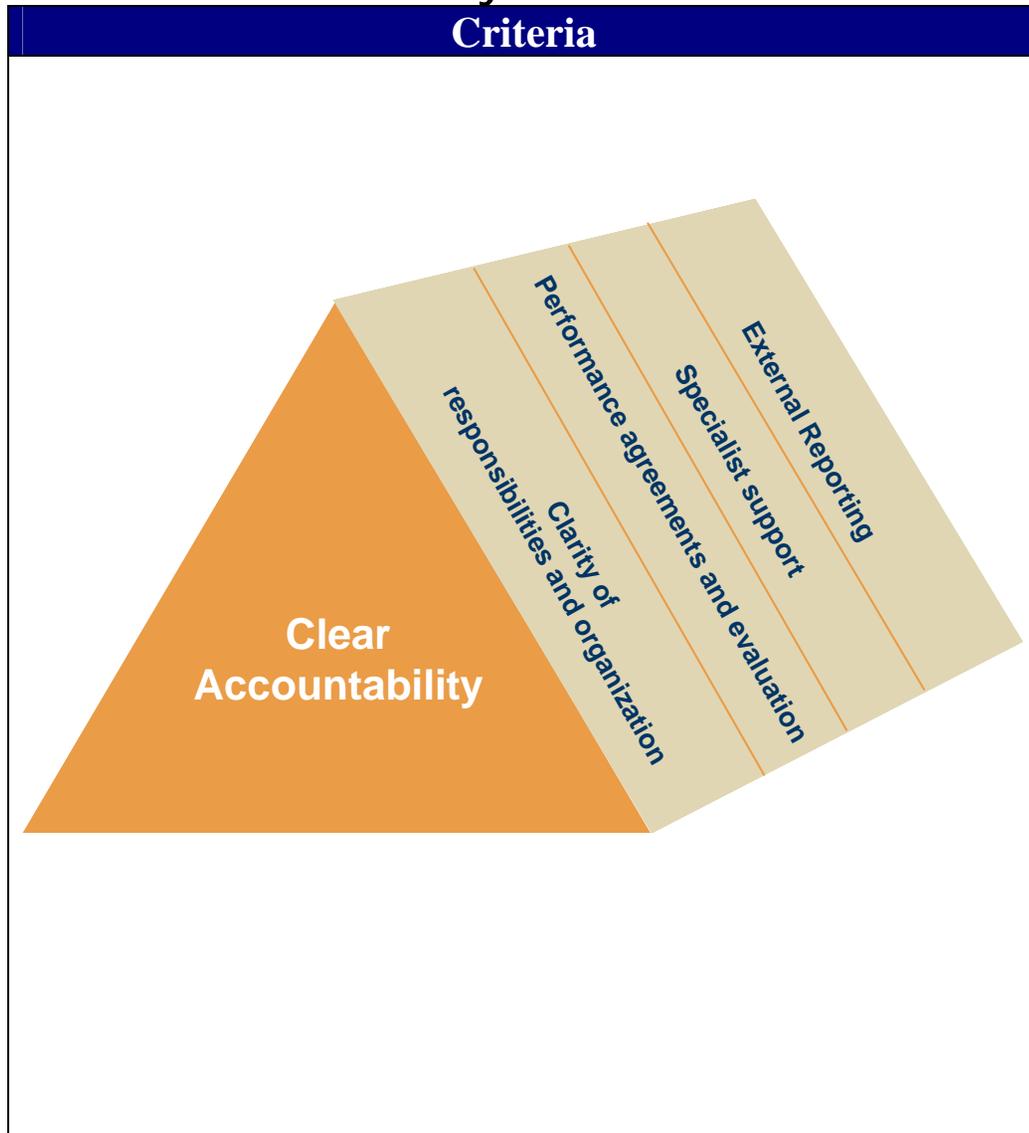
TOPIC	1	2	3	4	5
<p><i>Sustainable workforce</i></p> <p><i>The energies of staff are managed wisely to help sustain the organization's viability</i></p>	No measures exist for determining productivity or expected outputs. Work assignment is based on incoming volume with little consideration of capacity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

## Valuing People's Contributions

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The culture of the CHRT promotes openness, information sharing and participation. There is also good teamwork.</li> <li>Staff are treated with respect and they are valued.</li> <li>The Registrar has an open door policy, and managers and staff alike are encouraged to bring concerns to his attention.</li> <li>Staff are encouraged to suggest possible improvements to service delivery, which often result in streamlining of procedures.</li> <li>Managers maintain that staff are receiving appropriate training.</li> <li>The Tribunal has an awards and recognition program that recognizes staff for going above and beyond the call of duty.</li> </ul>	

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

# Clear Accountability



- | Strengths   |
|---|
| <ul style="list-style-type: none"><li>• Roles and responsibilities are clearly defined down to the most junior levels of the organization.</li><li>• All external reporting requirements are met.</li></ul> |

## Clarity of Responsibilities and Organization

Key Information
<ul style="list-style-type: none"> <li>Roles and responsibilities are clearly defined down to the most junior levels of the organization.</li> </ul>

Issues/Opportunities
<ul style="list-style-type: none"> <li>While accountabilities for controlling resources are clear, accountabilities for achieving results are not clearly articulated and linked to the corporate objectives and outcomes.</li> <li>An opportunity exists to formally articulate results expectations for all managers in light of the strategic outcomes of the CHRT.</li> </ul>

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

## Performance Agreements and Evaluations

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>• Performance agreements are not in place for all Registry staff. The Registrar has an agreement in place with the Chairperson regarding corporate objectives.</li> <li>• Performance evaluations are done verbally and, in some instances, in written form.</li> <li>• Guidelines and/or policies on performance agreements and evaluations do not exist.</li> </ul>	<ul style="list-style-type: none"> <li>• Opportunities exist to:               <ul style="list-style-type: none"> <li>– establish performance accords for managers entitled to performance pay and link accords to the RPP</li> <li>– develop a more disciplined approach to performance evaluations and ensure that all staff receive a written evaluation at least once a year</li> </ul> </li> </ul>

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

## Specialist Support

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The role of specialists is primarily transaction processing and provision of information.</li> <li>There are 4 FTEs providing specialists services; the majority of these FTEs (3 out of the 4) perform clerical functions.</li> <li>Managers see having Finance and IT staff on site as very positive.</li> </ul>	<ul style="list-style-type: none"> <li>Managers maintain that staff are not aware of all the HR services that PWGSC is contracted to provide them. Accordingly, CHRT is exploring the possibility of bringing an HR representative on site to coordinate the provision of PWGCS services (e.g., training plans) to Tribunal staff.</li> </ul>

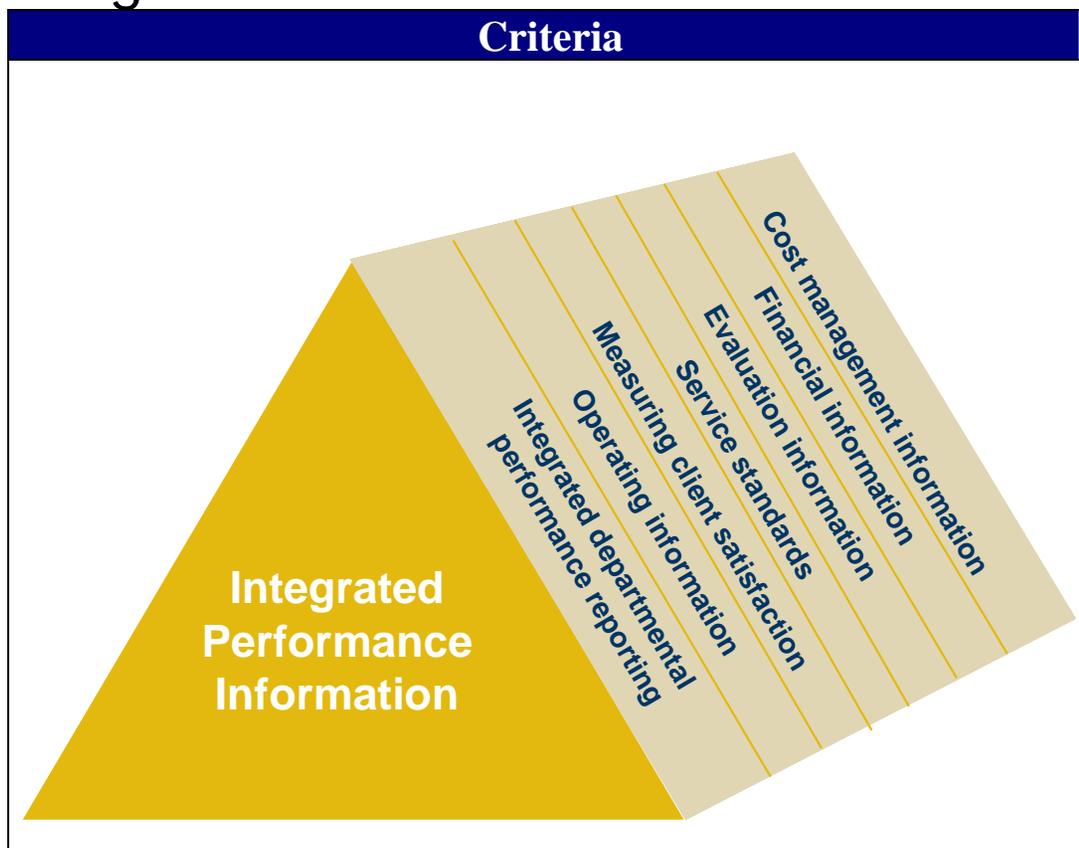
TOPIC	1	2	3	4	5
<p><i>Specialist support</i></p> <p><i>Availability of top-flight counsel to help managers make judgment calls on modern management and operational issues</i></p>	<p>Role of specialists is primarily transaction processing. Functional specialists carry out basic analysis of information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

## External Reporting

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The Tribunal's external requirements are driven by both central agencies and the <i>Canadian Human Rights Act</i>.</li> <li>The Report on Plans and Priorities (RPP) and the Performance Report (DPR) are based on the Planning and Reporting Accountability Structure (PRAS) approved by Treasury Board Secretariat.</li> <li>The Tribunal also prepares an annual report that summarizes decisions rendered and provides updates on ongoing activities.</li> <li>Reports such as the RPP and DPR are prepared diligently and are of high quality.</li> <li>Funding submissions are very thorough and contain accurate and complete costing information. Close contact is maintained with TB to address funding requirements as they arise.</li> <li>All external reports are submitted on a timely basis.</li> </ul>	

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

# Integrated Performance Information



Strengths
<ul style="list-style-type: none"> <li>• The Tribunal reports performance based on the planned results/strategic outcomes identified in its RPP.</li> <li>• The CHRT has established measurable goals regarding the quality of services it provides to clients.</li> <li>• The CHRT is committed to undertaking a review of client satisfaction with service levels, through a survey. The Tribunal expects to commence this exercise in the summer of 2002.</li> <li>• The Tribunal recently implemented an in-house financial system that meets the requirements of users.</li> </ul>

## Integrated Departmental Performance Reporting

### Key Information

- The Tribunal reports performance based on the planned results/strategic outcomes identified in its RPP.
- Progress towards the achievement of some of these outcomes (e.g., timeliness of the hearing and decision-making process) is monitored throughout the year and appropriate adjustments/trade-offs are made.
- Performance is reported using both quantitative and qualitative information.
- Trends in performance information such as the average time to complete a case and the average time to render a decision after completion of the hearing are monitored against targets.

### Issues/Opportunities

- The CHRT has not developed an organization-wide performance measurement framework that delineates outputs and outcomes by key activity areas and clearly articulates performance measures for each activity area and outcome.
  - Performance measures are primarily focused on the adjudication process and registry operations. There are no specific measures for areas such as corporate services, IT and Finance.
- Staff have not received training in performance measurement and have minimal expertise/experience to draw on.
- An opportunity exists to develop a comprehensive performance measurement framework that applies to all of the activities of the Tribunal and delineates a set of relevant performance measures, targets and data sources.
- An opportunity also exists to provide selected staff with performance measurement training.

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

## Operating Information

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The Tribunal closely tracks operational information related to cases. Spreadsheets are used to track information on the progress of each case, identify slippage and take corrective action as necessary.</li> <li>Operating performance measures and targets exist for the adjudication process. Operating measures do not exist for other activities of the Tribunal.</li> <li>Linkages exist between operating results and the RPP, which is the corporate business plan.</li> </ul>	<ul style="list-style-type: none"> <li>Explore options to automate operating information through the use of software such as MS Project.</li> </ul>

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



## Measuring Client Satisfaction

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Formal mechanisms do not exist to measure client satisfaction. Informal feedback is obtained through the interaction between Registry Officers and clients.               <ul style="list-style-type: none"> <li>Client feedback is considered as part of the business planning process</li> </ul> </li> <li>The CHRT is committed to undertaking a review of client satisfaction, with service levels, through a survey. This survey will be sent to individuals involved in hearings over the past three to four years. The Tribunal expects to start this exercise in the summer of 2002.</li> <li>The CHRT has posted a survey on its Web site to determine whether or not the site is meeting the needs and expectations of visitors.</li> </ul>	<ul style="list-style-type: none"> <li>Once the Tribunal gathers survey information, an opportunity will exist to analyze results, and explore revising current processes/services in line with issues raised by clients.</li> </ul>

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

## Service Standards

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The CHRT has established the following measurable goals regarding the quality of services it provides to clients:               <ul style="list-style-type: none"> <li>render Tribunal decisions within four months of the conclusion of the hearing 90% of the time</li> <li>have hearings commence within five months of referral 80% of the time</li> </ul> </li> <li>The Tribunal is gathering statistics that allows it to report against these goals.</li> <li>The Registrar and the Chairperson analyze results against service standards to identify issues/reasons impacting the CHRT's ability to meet goals.</li> <li>There are no formal service standards for Finance, IT and Corporate Services.</li> </ul>	<ul style="list-style-type: none"> <li>External factors, such as the complexity of a case and the degree to which parties cooperate, may impact the Tribunal's ability to meet its quality of service goals.</li> <li>Opportunity exists to:               <ul style="list-style-type: none"> <li>develop a user-friendly report that provides information on the extent to which goals are being met on a regular basis (e.g., quarterly)</li> <li>establish service standards for Finance, IT and Corporate Services.</li> </ul> </li> </ul>

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

## Evaluative Information

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The Tribunal does not have a formal evaluation framework and evaluations are not carried out. Notwithstanding, program outcomes are monitored on an ongoing basis.</li> </ul>	

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

## Financial Information

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The CHRT implemented an in-house financial management system (Freebalance) on April 1, 2002.</li> <li>The system has been customized to meet the requirements of the CHRT and was developed with input from users.</li> <li>Hard copy and on-line reports are available to managers. On-line access is limited as the Tribunal only has five licenses. However, Finance produces reports for managers who do not have on-line access, on an as required basis.</li> <li>Monthly reports provide information on expenditures (by RC and project code), commitments, and projected surplus/deficit. Detail to support high-level information is readily available.</li> <li>Reports are user-friendly and easy to understand.</li> <li>Data accuracy is considered to be good.</li> </ul>	

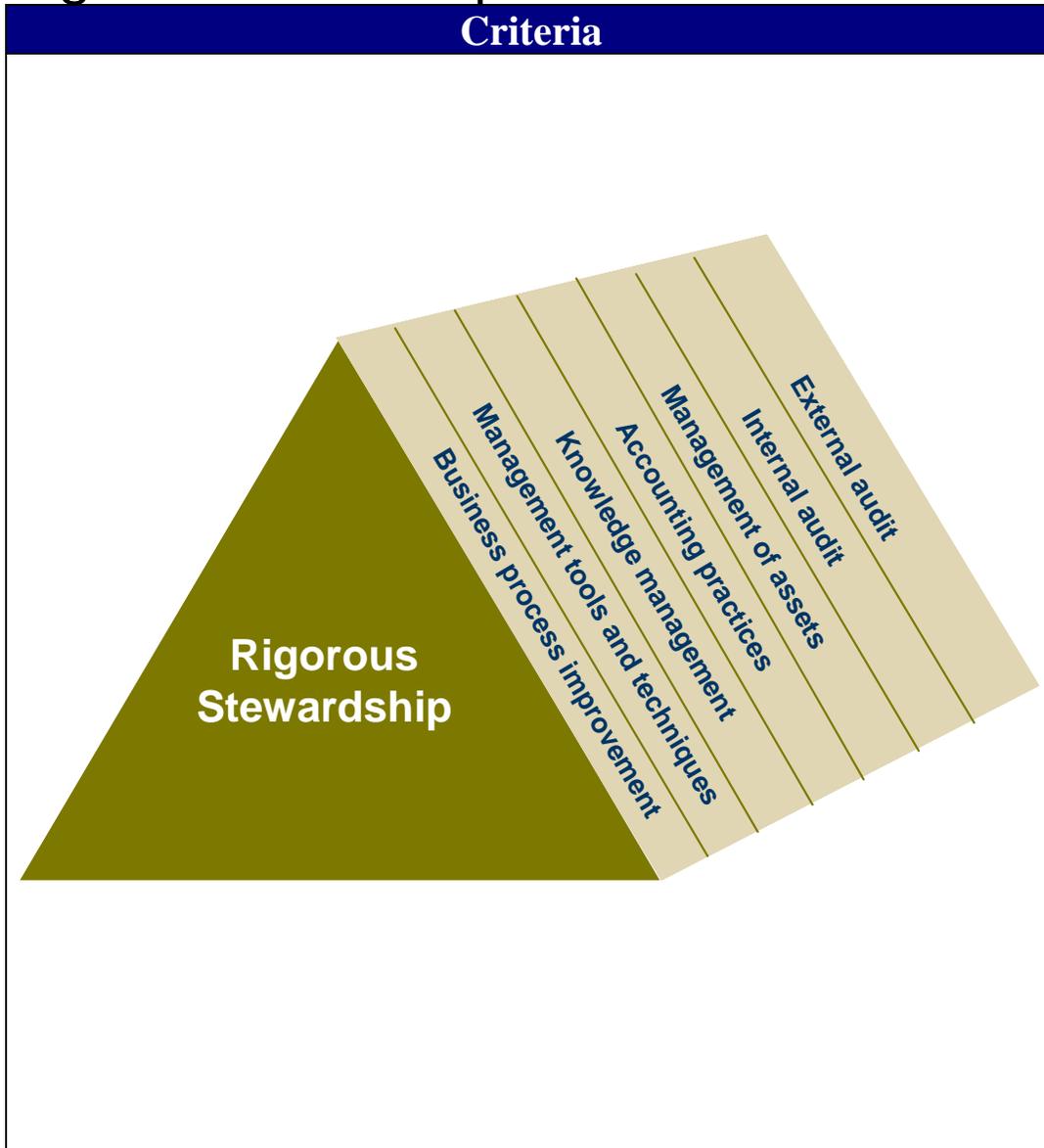
TOPIC	1	2	3	4	5
<p><i>Financial information</i></p> <p><i>Reliable financial information is available in a timely and useful fashion</i></p>	<p>Voluminous hard copy reporting dictated by financial reporting timetable with monthly/quarterly/annual reporting taking up to six weeks. Commentary on results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

## Cost Management Information

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>Detailed cost information is maintained on salaries and O&amp;M for all areas of the Tribunal.</li> <li>Detailed O&amp;M information is also maintained on each case. This information is analyzed on a trend basis and used for planning and forecasting purposes.</li> <li>Costing information is also produced on the level of effort required to perform the tasks and duties involved in the planning and conduct of hearings. However, this information is produced manually and is based on the experience of registry officers.</li> </ul>	

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

# Rigorous Stewardship



Strengths
<ul style="list-style-type: none"> <li>Service delivery processes are well understood and documented. Service delivery improvements occur on a continual basis.</li> <li>Senior management recognizes the importance of effective knowledge sharing within the Tribunal. A variety of mechanisms exist to share knowledge.</li> <li>The Tribunal has implemented the Financial Information Strategy (FIS) and is compliant with Generally Accepted Accounting Principles (GAAP).</li> </ul>

## Business Process Improvement

### Key Information

- Service delivery processes are well understood and documented.
- A Registry Procedures Manual consolidates all procedures related to hearings – as procedures change, updates are added to the manual. The manager of Registry Operations is in the process of preparing an updated version of the manual.
- Checklists are used to ensure that Registry officers deliver services in a consistent manner.
- Service delivery improvements occur on a continual basis. Changes to procedures occur either in response to amendments to the *Canadian Human Rights Act* or on the basis of staff/client suggestions.
- The Tribunal’s case management procedures enable it to schedule a hearing soon after a case is referred by the Canadian Human Right Commission. The Tribunal can hold a hearing on any issue within five days and, sometimes, within 24 hours of receiving a referral or motion.
- Recent changes to the service delivery process include:
  - Sending out questionnaires to parties to schedule hearings rather than trying to schedule a conference call for this purpose. This has reduced the time it takes to schedule hearings by one to three months.
  - E-mailing decisions in addition to couriering them to ensure all parties receive the decision at the same time.
  - Provision of interim rules of procedures to parties involved in a hearing. These rules have reduced logistical problems and facilitated the handling of legal and procedural motions
  - Installation of a teletypewriter (TTY) system for people with hearing impairment
  - Imposition of tighter restrictions on the planning, scheduling and granting of adjournments and postponements
- The CHRT is in the process of developing a layperson’s guide to how the Tribunal works. This guide along with other documents that explain the Tribunal’s operations in plain language will be available in Braille.

### Issues/Opportunities

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

## Management Tools and Techniques

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>• There are few tools available to managers. These include budget templates and case tracking tools.</li> <li>• Managers tend to use their own approaches for conducting analyses depending on the requirement.</li> </ul>	<ul style="list-style-type: none"> <li>• An opportunity exists to identify tools and techniques that would be most useful to managers in their day-to-day work and make these available on an organization-wide basis.</li> </ul>

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

# Knowledge Management

Key Information
<ul style="list-style-type: none"> <li>• Senior management recognizes the importance of effective knowledge sharing within the Tribunal. Mechanisms to share knowledge include:                             <ul style="list-style-type: none"> <li>– Bi-weekly meetings of full-time members to discuss case issues, best practices and lessons learned</li> <li>– Informal discussions</li> <li>– Weekly staff meetings</li> <li>– The CHRT web-site (includes all decisions and rulings rendered by the Tribunal since 1998)</li> <li>– Records management system (case files, reports on cases, etc)</li> </ul> </li>   <li>• The Registrar involves his direct reports in specific processes and projects in order to share and transfer knowledge.</li> </ul>

Issues/Opportunities
<ul style="list-style-type: none"> <li>• Given the potential retirement of several key Registry staff and the possible replacement of the Chairperson and the Vice-Chair at the end of their terms, continued efforts to effectively share and capture corporate knowledge are critical to the future of the organization.</li> </ul>

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

## Accounting Practices

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The Tribunal has implemented the Financial Information Strategy (FIS) and is compliant with Generally Accepted Accounting Practices (GAAP).</li> <li>GAAP Financial Statements will be produced for Fiscal Year 2001/2002 by Federal Judicial Affairs.</li> <li>The chart of accounts has recently been updated.</li> <li>Major assets have been capitalized and will be depreciated on a monthly basis. To date, they have been depreciated on an annual basis.</li> <li>The accuracy of accounting records is considered to be high.</li> <li>Knowledge of accounting practices resides primarily in Finance; other managers have some familiarity with these practices.</li> </ul>	

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

# Management of Assets

Key Information
<ul style="list-style-type: none"> <li>• The Tribunal maintains an up-to-date inventory of IT assets.</li> <li>• A lifecycle approach is used to replace IT assets.</li> <li>• The Tribunal has three capital assets.</li> <li>• Asset funding decisions are generally made informally, and do not require a formal business case or risk assessment.</li> <li>• A policy on accounting for capital assets, consistent with accrual accounting, has been developed.</li> </ul>

Issues/Opportunities
<ul style="list-style-type: none"> <li>• An opportunity exists to develop an organization-wide long-term asset management plan.</li> </ul>

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

## Internal Audit

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>There is no in-house internal audit capability due to the size of the Tribunal and resource considerations.</li> </ul>	<ul style="list-style-type: none"> <li>Treasury Board Secretariat is working with the small agencies to set up a mechanism that will enable easy access to internal audit services (e.g., through a standing offer). TB is also expected to provide funding to support internal audit activities in small agencies.</li> <li>An opportunity exists to tap into the TB mechanism (once it is established) and funding to conduct periodic audits in areas such as internal control systems and efficiency/effectiveness of service delivery processes.</li> </ul>

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

## External Audit

Key Information	Issues/Opportunities
<ul style="list-style-type: none"> <li>The CHRT has not had any recent external audits.</li> <li>The Auditor General last audited the Tribunal in 1998. No major deficiencies were identified in this audit. The CHRT has addressed the observations of the Auditor General related to enhancing its performance reporting.</li> </ul>	

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

## **Appendix B: List of Interviewees and Focus Group Participants**

Anne Mactavish - Chairperson

Michael Glynn - Registrar

Doreen Dyet, Chief Financial Services

Bernard Fournier – Corporate Services Officer

Julie Sibbald – Network and Systems Administrator

Gwen Zappa – Manager, Registry Operations