
**Federal Public Service Management Reforms
Consolidated Views and Results**

Improving Performance and Productivity

July 2020

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This study is dedicated to the many devoted federal public servants and executives whose vital and difficult work often goes unrecognized.

ABSTRACT

Management reforms have been a constant feature of the Canadian federal public service's agenda and efforts to improve its performance and productivity, which in turn could notably enhance the country's economy and the well-being of its citizens. While various government-wide reform priorities and commitments were identified and different initiatives undertaken, the outcomes of these reforms are, for the most part, not easily ascertained and hampered by a lack of adequate performance information and evaluation. Hence, this study undertook an assessment of the reforms of the last two decades, in order to better understand their overall results and challenges, and identify common lessons that could benefit future initiatives. The study's research combined a review of the clerks of the Privy Council's annual reports, a review of major surveys of the public service, a comparative analysis of the findings of the Auditor General pertaining to recent reforms, and a cursory review of previous research and studies on reforms and related aspects of public administration.

Based on this research, the study makes a number of overarching observations. While management reforms engendered progress in some areas, overall most public service reforms have not delivered or demonstrated tangible results, and by that token have not been successful. Public service surveys, conducted within the last two decades, provided information and indicators pertinent to the objectives and intended benefits of different reforms, but the survey results were often indicative of stagnant or worsening public service performance and work environments. As well, the recurring nature and common themes of the Auditor General's findings pertaining to reforms revealed that, in many instances, the lessons of the past were not well-learned and assimilated as part of newer reform initiatives. The study's observations are consistent with those of most prior research and of various authors. The study draws on such research and on broader perspectives in public administration, and consolidates some of the common views, findings and proposed solutions into a number of key considerations for improving future management reforms and public service performance.

PREFACE

This report presents the findings of a study of the Canadian federal public service's efforts at management reforms within the last two decades. The research originated from a concern, shared by colleagues, with the growing and often excessive administrative demands placed on public service executives and employees, which did not lead to better results for Canadians or the public service. The research was motivated by a wish to enhance our knowledge of the nature, challenges and cumulative outcomes of previous reforms, with a view to benefiting future efforts and ultimately helping improve the performance and productivity of the public service. For this purpose, the study took a consolidated approach and examined management reforms primarily from an overall perspective, as opposed to focussing on individual initiatives.

The study was conducted as part of a residency with the Graduate School of Public and International Affairs, and subsequently with the Institute of Fiscal Studies and Democracy, at the University of Ottawa. I am beholden to many for having been provided this rare opportunity to examine this vital and intricate topic. As such, I would like hereby to acknowledge and expresses my genuine appreciation to the Graduate School and the Institute, as well as many of my public service colleagues who provided advice and support and which typifies the dedication and generosity of the public service's executive cadre. Notwithstanding the helpful assistance I received, I remain fully responsible for this report.

Many scholars, professionals and executives have shared the view that the road to improved reform outcomes and public sector productivity passes through a better understanding of past successes and failures. Heeding this view, I have strived to more comprehensively assess the impacts of past management reforms, identify lessons and systemic obstacles to better progress, and explore possible avenues and considerations for more effective solutions. Hopefully, this work will provide a foundation and catalyst for further travels down that road.

Most sincerely,



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Most Common Acronyms

ADM	Assistant Deputy Minister	IT	Information Technology
AG	Auditor General of Canada	MAF	Management Accountability Framework
APEX	Association of Professional Executives of the Public Service of Canada	OAG	Office of the Auditor General
CG	Comptroller General	OCG	Office of the Comptroller General
CRA	Canada Revenue Agency	OCHRO	Office of the Chief HR Officer
CHRO	Chief Human Resource Officer	OECD	Organization for Economic Cooperation and Development
CSPC	Canada School of the Public Service	PCO	Privy Council Office
DM	Deputy Minister (or Deputy Head)	PMO	Prime Minister's Office
FAA	Financial Administration Act	PS	Public Service
G&C	Grants and Contributions	PSAC	Public Service Alliance of Canada
GBA	Gender Based Analysis	PSC	Public Service Commission
GDP	Gross Domestic Product	PSEA	Public Service Employment Act
GSPIA	Graduate School of Public and International Affairs (University of Ottawa)	PSES	Public Service Employee Survey
HR	Human Resources	PSMA	Public Service Modernization Act
HRM	Human Resource Management	PSPC	Public Services and Procurement Canada
ICFR	Internal Controls over Financial Reporting	RBAP	Risk Based Audit Plan
IFSD	Institute of Fiscal Studies and Democracy (University of Ottawa)	SSC	Shared Services Canada
IP	Integrated Planning	TB	Treasury Board
		TBS	Treasury Board Secretariat

Key dates and version

Completion of research: July 2020
Report publication: December 2020
Electronic file: PS Management Reforms_Final Rpt_v14-Dec2020.docx / pdf

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OVERVIEW

CONTEXT

Government management reforms matter because the performance and productivity of the public sector have a substantial impact on Canada's economy and society more generally. This is especially relevant since the broader public sector – all three levels of government – is estimated to account for nearly 40 per cent of Canada's GDP.¹ The federal public service alone is the country's largest employer and, before the pandemic, accounted for about 290,000 employees and expenditures of \$277 billion in order to provide its myriad of programs and services to Canadians.²

In this context, governments often seek various paths towards better public sector performance and productivity, as well as healthier workplaces, through multiple initiatives aimed at improving (reforming) how they manage their different organizations. To its credit, the Canadian public service has a long history of striving to improve how it manages its many departments and agencies, and delivers its various programs and services. For instance, the annual reports of the clerks of the Privy Council reveal the importance of priorities aimed at bettering the administration of the public service.

While reform initiatives have been a constant feature of the government's management agenda, they have seldom been fully successful. In the wake of the problems faced by some public service reform projects – such as the highly publicized federal pay system – a broader look at the lessons from the successes and failures of past initiatives could help achieve better results.

This study sought to examine the federal public service's management reforms of the last two decades in order to better identify them and what they had set out to do, what overall results were actually achieved, and what common lessons could help improve the effectiveness of future initiatives. The study also looked at a selection of contextual factors and prior research pertaining to management reforms and to broader aspects of public sector management and administration. Finally, the study compared its own research findings with others to identify common trends, shared observations and prevalent considerations for an effective way forward.

MAIN POINTS AND FINDINGS

The Canadian public service's recent track record of management reforms is bleak and does not account for many successes. This should not come as a startling revelation to anyone somewhat familiar with the federal administration. A number of authors, academics and high-ranking insiders have been critical of the public service's weak performance, and some significant failures – such as the federal pay system – were the subject of ample media attention. For instance, a previous Clerk of the Privy Council once characterized the public service as a "bit of a fixer-upper", and a former Auditor General commented on the public service's

Note: More complete descriptions of references can be found in the Bibliography in Annex E of this report

1 "[Changing the Game: Public Sector Productivity in Canada](#)", Canada's Public Policy Forum, 2014, page 1

2 Number of employees, as at March 2019 was 287 978 per the 2020 Clerk of the Privy Council's Annual Report on the Public Service (includes the core public administration and separate agencies, excludes military personnel); Per the Public Accounts of Canada, total expenditures of \$276 840 million for 2018-19 (source: GC Info Base Datasets on the TBS website <https://www.tbs-sct.gc.ca/ems-sgd/edb-bdd/index-eng.html#metadata>)

incomprehensible failures, cultural issues and lack of action on persistent problems.³ This study examined the public service's performance on management reforms from a number of perspectives to improve our knowledge of its principal challenges.

Clerks' Annual Reports

The annual reports of the clerks of the Privy Council provide a unique government-wide lens on the public service's priorities, commitments and progress, including its renewal and reform priorities. The study examined and compared the clerks' reports of the last 20 years, in relation to what the clerks themselves indicated their reports should achieve.

On the whole, the clerks' annual reports have served to portray the frequent evolution of public service renewal and reform priorities but have lacked clear indications of both the intended and actual results of its reforms. While the reports identified the clerks' renewal visions and objectives, they left many questions unanswered on the outcomes of their broad renewal intentions and more specific reform initiatives. Despite progress in some areas, in most cases the reforms, as accounted for in the clerks' reports, have not clearly demonstrated tangible results and by that token alone were not successful. This is based on 4 principal observations.

1. Public service renewal and many reforms have tended to be moving targets, regularly evolving and being redefined. While one clerk recommended that priorities and credible goals should be set, measured and reported over 5 years – the foreseeable medium term⁴ – this has rarely been the case. More typically, renewal and reform priorities changed without any clear follow-through or indication of the results achieved under their prior iterations. As such, priorities often appeared to be evolving not as much as a result of progress achieved, but rather in order to change the channel and avoid reporting on stalled or poor progress. Basically, the planning and reporting horizons embodied through the annual reports were usually insufficient to properly account for many complex multi-year management reforms.
2. The clerks' annual reports reflected selective and inconsistent reporting of the public service's reform agenda and progress, with an apparent bias towards downplaying less positive elements or initiatives. Consider the following.
 - ✓ The annual reports made no mention of some major reform initiatives, which were unsuccessful and subsequently abandoned (e.g. universal classification standard, departmental audited financial statements; refer to report subsection 2.4.A).
 - ✓ The reports often did not provide information on the progress of previously identified reform priorities. Important commitments, ongoing initiatives or unresolved issues vanished from subsequent reports, without indication of any related decisions on their fate or of any benefits achieved (subsections 2.3.G, 2.4.A). Conversely, progress was also reported on initiatives or commitments not previously identified, and thus for which the objectives had not been clearly laid out in advance.
 - ✓ In other areas, the clerks' ongoing and longstanding reform objectives did not evolve much over the decades, and shed doubts on any claims of fundamental progress.

3 Refer to the Bibliography for references to: May 2016; Von Scheel 2018; Heintzman 2018; Roman 2018

4 Clerk's 2017 Annual Report, page 3; Refer also to quotes in Section 2.2

Particularly, the objective to reduce administrative burden and unproductive business rules and processes has been present in most reports of the last twenty years, despite various initiatives reported in this area (subsection 2.3.E).

- ✓ There also have been instances of inconsistent and contradictory reporting of some initiatives. For instance, some initiatives were first reported as substantially completed, only to be subsequently described as still in progress or incomplete (e.g. Common HR business processes - subsection 2.3.D; Service Canada - subsection 2.3.H).
3. The public service's reform agenda and reported progress, presented in the clerks' reports, were not grounded in adequate performance information. Despite similar assertions by different clerks on the importance of setting clear goals, and measuring progress and results in terms of benefits achieved, and not just activities undertaken⁵, such essential information was visibly lacking (subsection 2.3.G). There were a number of factors.
- ✓ There were no references or indications of the use of performance measurement or results frameworks (or similar mechanisms) for major reforms. These would have served to pre-define planned objectives, outcomes, results indicators and performance measurement strategies – as is the norm for most departmental programs (subsection 2.4.B).
 - ✓ The reporting of progress in the annual reports was mostly described in terms of activities undertaken instead of actual results or outcomes achieved.
 - ✓ In some annual reports, the lines became increasingly blurred between government-wide reforms and individual departmental initiatives, and progress focused more on the latter. While these departmental initiatives may have been quite positive, they seldom represented substantial progress against government-wide priorities (subsection 2.3.G).
4. The reporting of progress in the clerk's annual reports was not always based on actual evidence or evaluations, and tended to over-emphasize or exaggerate successes. This was most clearly illustrated in noted examples where the clerks had to retract prior misrepresentations (subsection 2.4.C). These included declarations such as "*... we are seamlessly transitioning to a new [pay] system with no financial impact on employees*", and the general conclusion that "*... the data speaks for itself: we are on the right path and have achieved a great deal in a short period of time*".⁶ This broad conclusion from the 2018 report was not retracted, but the results of the Public Service Employee Surveys (PSES), on which it was supposedly based, showed it to be unsupported (subsection 2.3.G and Figure 2).

The clerks of the Privy Council's annual reports are a valuable instrument and a unique source of insight on the vision, priorities and status of the public service throughout the years. The observations presented herein should not negate the benefits and added value these reports have provided since the first one was published in 1992. As well, some efforts were made to provide better information, most notably the Public Service Renewal Action Plans and Progress Reports, which were annexed to the clerks' reports from 2008 to 2011 but afterwards abandoned.

5 Refer to examples of quotes in Section 2.2 (starting on page 23)

6 Refer to subsections 2.3.D and 2.4.C for more information and examples (quotes per the Clerk's 2014 Annual Report, page 3, and the Clerk's 2018 Annual Report, pages 22, 38).

However, our examination found that, overall, the annual reports did not live up to the clerks' stated principles for setting priorities, defining clear and credible goals, and measuring and reporting progress over a sufficient multi-year horizon – focused not just on activities but on meaningful results and tangible outcomes.⁷ In many instances, the clerks' reports on progress seemed more like promotion or propaganda than objective assessments from which lessons could be learned and performance improved.

Moreover, more recent public service renewal themes, such as *Blueprint2020* and *Beyond2020*, appeared to have moved in the opposite direction. Instead of setting clear goals, deliverables and outcomes, they are limited to broad visions and principles that are not amenable to objective assessments or measures. In addition, part of the responsibility to set specific renewal goals and direction seemed to have been relegated to employees (subsection 2.4), and appeared to reflect the inability of the public service's leadership to provide direction and a clear path forward.

"Unlike previous exercises that provided a specific and measurable vision with identifiable projects, Blueprint 2020 is cast as a bottom-up exercise (learning supposedly from PS2000 and LaRelève). Its guiding principles and the vision document are full of positive and inspirational language, but they do not provide a clear path forward to meaningful reform. This is left up to employees to articulate with some guidance from deputies. What's the strategic vision? Can one envision a large corporation like Coca Cola, Ford, TD Canada Trust, Bombardier, or SunCor relying on employees to develop its strategic vision? How is this somehow applicable in the public sector? ... A reform initiative requires a clear narrative with tangible and measurable timelines and deliverables. ... We are left with cheerleading – something with which public servants are increasingly showing signs of fatigue." (Frate 2014)

"Wernick [former clerk] was and is quite conscious of the fundamental failures of the CFPS [Canadian Federal Public Service]. His 2016 report to the Prime Minister about the federal public service underlined major flaws of the Canadian federal public service, but Wernick would seem to have been captured by the system he was supposed to run: he seems to have toned down his clinical 2016 diagnosis, and would appear to be at a loss about what to do about it. ... The Clerk's exasperation becomes palpable when he yields an accusatory tone in blaming the AG [Auditor General] for not providing "guidance on what to do to move forward": a statement that sounded much more like a desperate call for help from a Clerk – whose job it is (is it not?) – to provide such guidance ... " (Paquet 2018)

For the most part, the clerks' annual reports did not demonstrate that the public service's management reforms have delivered tangible results. While the reports have often accounted for progress, they did so in terms of activities undertaken and outputs produced and rarely provided indications of actual benefits or outcomes. To paraphrase a previous clerk, the measure of initiatives has not been the change and difference made in people's lives.

While the annual reports have served to identify the clerks' major renewal and reform objectives, they do not provide a sufficient basis to conclude effectively on the overall impact of reforms, and whether they have made a real difference over the last two decades. The search for better indications and evaluations of renewal and reform outcomes needed to be pursued elsewhere.

Public Service Surveys

The Clerk in 2007 stated that public servants should be the *"best judges of whether the changes we are making to rules and systems will really make a difference"* (Clerk of the Privy Council 2007). This study also recognized that the views of employees impacted by reforms should be

7 Refer to Section 2.2 and selected quotes on page 25

the key determinant of their effectiveness, and accordingly the study examined and compared the results of major public service surveys:⁸

1. The Public Service Employee Surveys (PSES) conducted approximately each 3 years, from 1999 to 2019, on behalf of the Treasury Board Secretariat (TBS);
2. The Surveys by the Association of Professional Executives of the Public Service of Canada (APEX) conducted 5 times between 1997 and 2017;
3. The Executive Survey of Federal Public Service Management Reforms, conducted in late 2018 in collaboration with the University of Ottawa's Graduate School of Public and International Affairs (GSPIA).

The combined results of these surveys provided some of the more robust evidence available to assess the overall outcomes of the government-wide management reforms of the last two decades.⁹ The surveys' most pertinent results are summarized under the next 4 topics.

1. Part of the surveys pertained to the attributes and nature of work in the public service, and under this topic the following key observations were grouped (subsection 3.2.A).
 - ✓ While the workload of public service employees has improved, as noted by the growing percentage who could complete their work during regular hours, the situation has been different for executives. The average workload of executives has increased somewhat, but more concerning is the hefty increase in the portion of executives working more than the established threshold of 55 hours per week (25% in 2012 to 39% in 2018).
 - ✓ A majority of employees reported that the quality of their work suffered due to a number of factors – changing priorities, unreasonable deadlines, fewer resources, staff turnover – although the related trends denoted some improvements over time.
 - ✓ About half of executives reported that most days at work were stressful, and the majority exposed a difficult work environment with constant time pressures, frequent interruptions and distractions, and increasing demands. As well, under the GSPIA survey a sizeable majority reported their work had become more demanding over the last 5 years:
 - ◆ Increased number of hours worked (62% of executives);
 - ◆ Increased scope and diversity of executive responsibilities (77%);
 - ◆ Increased workload of executives' organizational units (85%);
 - ◆ Increased proportion of their units' time spent on administrative activities (77%);
 - ◆ Increased administrative activities transferred from other parts of the organization (65%);
 - ◆ Increased complexity and difficulty in delivering operations, programs or services (77%);
 - ◆ Decreased effectiveness of policies, processes and systems supporting operations (65%);
 - ◆ Decreased capacity to focus on strategic issues or innovation (64%).

8 The study's section "Results from the Trenches" (Section 3) provides more detailed information on the surveys and their results, and Annex D provides the Main Sections of the 2018 GSPIA Executive Survey. While the PSES was addressed to all employees, executives accounted for only a small portion of respondents (about 3%; see footnote 119), and the APEX and GSPIA surveys only targeted executives. The surveys results presented in this study have been summarized and readers should refer to the original survey reports and results for more detailed information. All surveys are available online, and links provided on page 52

9 In the last decade, different clerks have indicated their intent to use the Public Service Employee Surveys (PSES) as an instrument to measure progress in renewing the workplace (refer to footnote 93, subsection 2.3.G)

- ✓ The type of work done by executives was also evolving. Executives on average spent significantly less time on strategic direction and innovation (18%) than on administrative activities (28%). In addition, the trends were disquieting and at odds with major reform objectives: the administrative workload of most executives had increased in the five-year period leading up to the survey, mostly at the expense of the decreasing average time spent on strategic issues and innovation.
2. The surveys also addressed issues related to human resources (HR) performance management and development, which corresponded to a number of reform priorities outlined in the clerks' annual reports (subsections 2.3 B and 3.2.B):
- ✓ The opinions of employees surveyed through the PSES were mixed. On one hand, employees on average were favorable to many aspects of HR, as most of them:
 - ◆ had clear work objectives;
 - ◆ were not stressed by potential lack of clear expectations;
 - ◆ received useful feedback on their performance (which improved over the 2 decades);
 - ◆ had their performance assessed against identified goals and objectives (results also improved until 2014, after which the indicator was dropped from the PSES);
 - ◆ received meaningful recognition for work well done;
 - ◆ felt their job was a good fit with their skills.
 - ✓ Employees on average had less positive views on the public service's objective to ensure performance issues were adequately dealt with. It is also telling that the 2019 PSES no longer included these questions on performance issues:
 - ◆ A similar low percentage of employees felt unsatisfactory performance was managed effectively (35%) as those who felt it was managed ineffectively (30%). This indicator was dropped from the PSES after 2018;
 - ◆ A modest majority (64%) felt their unit hired employees who could do the job, but the results did not improve from 2008 to 2017, and the indicator was last used in 2017;
 - ◆ A majority (69%) reported getting the training needed to do their job, and survey results were stable from 2008 to 2019.
 - ✓ Executives had more negative views than employees on questions of HR performance and talent management:
 - ◆ More executives (42%) thought performance management policies, systems and processes had worsened as a result of reforms (vs 30% who felt they had improved);
 - ◆ Only 22% reported being satisfied with the executive talent management process, compared to 41% who were dissatisfied.
3. A number of survey questions were grouped under the heading of work processes, tools and workplaces, and related to priorities in the clerks' reports (subsections 2.3.E, 3.2.C).
- ✓ The views of employees regarding their physical workplaces and materials were generally positive, but did not show any substantial trend. These results, however, were somewhat at odds with the clerk's reported findings of the TBS Red Tape Tiger Team on the poor state of employees' work environment and of difficulties with the Workplace 2.0

initiative.¹⁰ As well, executives had more negative views as more than half reported that employees did not have the tools and technology needed to do their jobs.

- ✓ Executives had mixed views on technology. They agreed e-technology improved their ability to do their jobs and their productivity, but it also increased their workload and hindered their work-life balance. Most executives also indicated that the government was not sufficiently prepared to adopt new technologies and did not have the necessary policies to keep pace with technological changes.
- ✓ Employees reported they had the support needed to provide a high level of service, however, recent results had declined somewhat since 2011 and similar earlier surveys.
- ✓ In contrast, employees felt that the quality of their work suffered because of a number of factors, such as changing priorities, unreasonable deadlines, less resources and high staff turnover, as well as due to too many approval stages and overly complicated or unnecessary business processes. Similarly, executives indicated that overall the effectiveness of policies, processes and systems to support operations had decreased in the last five years.

4. The GSPIA Executive Survey specifically addressed the overall results and outcomes of reforms and the public service's management of its reform agenda and initiatives (subsections 3.2.D/E). The survey conveyed 3 major findings.

- ✓ First, executives considered the combined impacts, in the last 5 years, of management reforms on the effectiveness and efficiency of 24 broadly defined functional areas common to most departments. Overall, more executives reported that a majority of these areas (18 of 24) had worsened, and decisively rated 10 areas as the worst:
 - ◆ Information technology management and services;
 - ◆ Expenditure management, systems and processes;
 - ◆ Procurement management and processes;
 - ◆ Facilities and accommodation standards and services;
 - ◆ HR classification and staffing processes;
 - ◆ HR and business planning;
 - ◆ Information and records management;
 - ◆ Email transformation and government shared platforms;
 - ◆ HR performance management, policies, systems and processes;
 - ◆ Canada online and/or "Canada.ca" single website.

By comparison, only 3 areas were reported as having improved overall in the last 5 years, and not by as large a margin of executives (i.e. Values, ethics and wrong-doing disclosure; Internal audit and audit committees; Grants and contributions funding).

10 1] In 2017, the Clerk reported the results of broad consultations by the TBS Tiger Team: *"Employees reported difficulty getting clear directions, siloed information, and poor client service, as well as process overload and cumbersome technology. The Tiger Team found that internal red tape is a significant issue for public servants in all departments across all regions, ..."* (Clerk's 2017 Annual Report, page 21);
2] In 2018, the Clerk reported on Workplace 2.0: *"When the government launched Workplace 2.0 in 2012, it set out to create modern workplaces that change the way we work. ... But I have also heard from public servants that we have fallen short on what we set out to do. ... Our approach to workplace design has not worked for everyone. In the future, workplaces will be developed with public servants."* (Clerk's 2018 Annual Report, page 36). See subsection 2.3.E

- ✓ Second, executives surveyed overwhelmingly indicated that, in the last 5 years, management reforms had not improved their work, productivity or environment. The survey was conclusive as the majority disagreed with all its 6 proposed positive outcomes (and only a small minority held opposing views). Overall management reforms:
 - ◆ had not positively impacted the work of executives;
 - ◆ had not improved executives' work productivity;
 - ◆ had not improved the work productivity of their unit or personnel;
 - ◆ had not improved their unit's capacity to deliver its key functions, programs / services;
 - ◆ had not improved the quality/outcomes of their unit's functions, programs or services;
 - ◆ had not helped improve their work environment.

- ✓ Finally, executives assessed the public service as overall ineffective at implementing and managing its reform agenda. While they felt the public service effectively aligned its reform agenda with the priorities of the government, they rated it ineffective at:
 - ◆ ensuring sufficient capacity and resources to implement reforms;
 - ◆ defining the roles of central agencies, departments and others to ensure coordination;
 - ◆ setting clear objectives and intended outcomes, and monitoring results accordingly;
 - ◆ overseeing its whole agenda to ensure consistency and coordination between initiatives;
 - ◆ staffing executive positions to ensure the needed capacity, expertise and stability.

The public service surveys corroborated that, while there had been government-wide improvements in some areas – described further in this report – these were largely overshadowed by the more numerous instances of failed or poor performing reforms. The views of public servants were in keeping with the analysis of the clerks' annual reports, and lead to a similar conclusion that reforms have not often succeeded to produce or demonstrate adequate positive outcomes.

In addition to the survey results, synthesized above, executives provided many insightful written comments and responses to the 2018 GSPIA Executive Survey's optional open-ended questions. These were useful in helping better grasp executives' concerns and interpret the quantitative results, and selected examples are provided in this report's detailed sections. What is conspicuous, however, is the persistent critical tone and sense of frustration with a worsening work environment that is echoed through the majority of the comments received.

The combination of the surveys' different findings is alarming and overall depicts a poor and deteriorating work environment. An environment where work is increasing and becoming more complex, where executives are less strategic and more burdened with administration and red-tape, where many processes and systems are not efficient, where past management reforms have mostly failed to deliver needed improvements, and where the public service failed to properly manage its reform agenda.

Auditor General Findings

The study also sought to explore the most common underlying reasons for the public service's uneven and poor track record on government-wide management reforms. In essence, the study endeavored to do what previous clerks, auditor generals and others had suggested – to look at past initiatives and experiences to better identify common causes and lessons.

"I want to stress the need for the government and the public service to look at these audits differently, not just as a list of issues we found in different programs, but as symptoms of a much deeper culture issue. Departments can implement our recommendations and deal with the symptoms we've raised, and that is important. But the real question for the government to think about is why do we keep finding and reporting serious problems ..."
(Ferguson, Auditor General of Canada; 2018-b)

To do so, the study relied on the work of the Office of the Auditor General of Canada (OAG), which conducts performance audits – based on stringent professional standards – of various government operations, programs and initiatives, including related to management reforms. The study selected and reviewed 10 audits conducted within the last 10 years, which examined specific reforms involving multiple departments (Section 4.2).

The comparative review of OAG audits provided a good indication of why management reforms usually succeeded or failed. The audits understandably differed in terms of their specific objectives, scope and the nature of the reforms examined, and therefore their findings varied as well. Nonetheless, the audit findings were readily identified according to 6 broad common themes, which grouped both issues (negative findings) and success factors (positive findings).

1. Governance, Oversight and Strategy. All 10 audits identified findings under this theme – both issues and success factors – mostly related to:
 - ✓ Senior executive oversight, monitoring or challenge functions;
 - ✓ Strategic decisions, and underlying strategic planning and analyses;
 - ✓ Governance structures, such as the roles and composition of senior committees.
2. Stakeholder Coordination and Guidance. This theme was also reflected in all the selected audits, and included both positive and negative findings relating to:
 - ✓ Policies, directives, training and other forms of guidance to departments;
 - ✓ Consultations with internal and/or external stakeholders;
 - ✓ Communication, shared information and clarification of expectations or requirements.
3. Roles and Responsibilities. Issues and success factors were noted in 8 of the 10 audit reports. These related mostly to the proper definition, compliance with, clarification and coordination of the roles and responsibilities applicable to the initiatives audited.
4. Performance Objectives, Information and Results. This theme had the most number of findings, identified across all 10 audits. In addition to questions of performance objectives, information and reports, the category included issues of information compliance and actual results. The OAG reports predominantly identified related issues and problems.
5. Resources and Capacity. Observations on resources and capacity – planned or actual – appeared in 9 audits and also covered subtopics such as related to project costs, efforts and schedules. The large majority of findings identified problems, which centered mainly on lack of resources or expertise, and inadequate resource planning or related processes.
6. Initiative or Project Management. This theme grouped a range of management centric topics, such as risk management, project planning, needs assessment, monitoring and quality assurance, implementation and coordination, management frameworks and processes. Due to this diversity, the findings were grouped in 3 subcategories: project planning and analysis;

management and implementation; monitoring, assessment and reporting. All 10 audits addressed aspects of project management and denoted both strengths and weaknesses.

The large majority of findings reported in the selected audits, readily pertained to the common themes described above and further detailed in this report (Section 4. and Annex C). Two other important observations ensued from the analysis of the OAG reports.

- A review of the major findings by individual audits, instead of by themes, validated that the OAG's overall assessments of initiatives were well-aligned with other available evidence of their performance, such as the public service surveys or the clerks' annual reports. The OAG audits reflected, through the common themes, the overall success or failure of the individual reforms, and as such the themes could serve as effective forecasters of future performance.
- The common themes of the OAG's audits and the similar and often repetitive nature of many findings strongly suggested that, in many instances, past lessons were not well-learned and assimilated as part of newer reform initiatives. As an example, there are notable similarities between the findings of the 2011 audit of large IT projects and issues raised in the subsequent audits of the Phoenix pay system and of IT shared services.

The 6 themes identified through the review of the OAG audits could serve as the basis to draw common lessons and elaborate effective criteria and solutions to improve the governance, management and results of public service reforms. Building on these themes, more effective and efficient reforms would produce better outcomes such as increasing the performance and productivity of the public service, providing healthier workplaces and better services to Canadians.

This would be most apropos given this study's overall disturbing findings, further substantiated by the majority of the OAG reports reviewed. In many instances, information was insufficient to properly determine the actual benefits of significant reforms efforts and investments. Alternatively, where information on actual reform outcomes or trends was available – including overall or cumulative results – the evidence too often depicted worsening or stagnant conditions pertaining to different facets of the public service's activities and work environment.

BROADER PERSPECTIVES

In addition to the analyses of the clerks' annual reports, public service surveys and reports of the Auditor General, a cursory review was conducted of the literature on management reforms and pertinent topics in public administration. Public sector reforms need to be viewed, not as an isolated topic, but with proper consideration of wider public administration and social contexts. Therefore, based on a review of prior research and key publications, a few germane perspectives were identified, which were found useful in helping understand underlying reform issues, their broader context and likely remedies for enduring issues. These are briefly outlined herein.

- Conventional wisdom refers to ideas and notions in economy and other social sciences that are widely and commonly accepted but not necessarily proven or representative of current realities or situations, particularly in the face of changing circumstances. The notion of conventional wisdom is important, as it tends to have a negative effect on decisions and initiatives, by repressing critical thinking, proper analysis and planning. For instance, the

frequently accepted notion that centralized functions are more efficient and generate savings has often guided key decisions, but the anticipated savings have rarely materialized.

The persistence of conventional wisdom may help explain why the history of management reforms repeats itself, why some challenges endure and why past lessons appear so hard to assimilate. Conventional wisdom's antidote is found in better analysis and critical thinking.

- The preeminence of expertise and critical thinking, as a cornerstone of sound public sector administration and decisions, has declined markedly in recent decades, driven by a number of trends and factors.

- ✓ Fundamentally, expertise and objective rationality are increasingly being precluded in favor of a conceited social interpretation of democracy, one where everyone's opinion is just as valid as anybody else's.

"Citizens no longer understand democracy to mean a condition of political equality, in which one person gets one vote, and every individual is no more and no less equal in the eyes of the law. Rather, Americans now think of democracy as a state of actual equality, in which every opinion is as good as any other on almost any subject under the sun. Feelings are more important than facts: if people think vaccines are harmful, or if they believe that half of the US budget is going to foreign aid, then it is 'undemocratic' and 'elitist' to contradict them." (Nichols 2017)

- ✓ Closer to home, expertise and professionalism within the Canadian public administration has been steadily eroded. Many authors have confirmed and provided different perspectives and explanations for this adverse trend, including:
 - ◆ The churn created by the rapid mobility, rotations and short tenures of senior executives, driven by a culture of careerism that prioritizes advancement over competence, resulted in a loss of focus, expertise and professionalism (Heintzman¹¹). Stated differently, the effects are as troubling: *"If you want to get ahead in the senior bureaucracy, subject matter expertise is not really important."* (Freeman, 2018);
 - ◆ A 2014 study, conducted under the Centre on Public Management and Policy at the University of Ottawa, found that the public service had focused too much on generalists or generic managers and that increased emphasis was needed on senior executive having solid knowledge and expertise in their areas of responsibility (Lahey and Goldenberg 2014). This was also echoed by the results of 2018 Executive Survey.
- ✓ The competencies and skills required of federal public service executives have been defined almost exclusively as leadership competencies by the Treasury Board Secretariat, with limited or no focus placed on actual expertise and core competencies of the sort previously described and espoused by the Clerk in 2003.¹²

The difficulty has to do with the fact that the attributes listed are strictly 'leadership competencies', and that they seem to suggest that these top-down skills are the only components that matter. ... The reductive twist perpetrated by the CPPF [Canada Public Policy Forum] to transform complex concerns about competencies, capabilities and performance into simple concerns about personal leadership is deceitful. What is required for an organization to perform

11 Refer to quote on page 81 and footnote 152

12 "... core competencies as financial management, human resource management, information and communications management, leadership development, professional development and service delivery should be embedded in all departments and agencies and at all levels. When this core is neglected, standards of professionalism decline.", Clerk of the Privy Council 2003, Annual Report page 9 (Also subsection 2.3.B and footnote 34)

well is a mix of savoir-faire, qualifications, expertise, skills, competencies all around, certain behavioural characteristics, but also particular organizational and institutional rearrangements ..." (Hubbard and Paquet 2016)

- ✓ The essential preconditions and disposition required for critical thinking in the senior ranks were often undermined by established doctrines, conventional wisdom and veiled suppression. For instance (subsection 5.1.B):
 - ◆ Senior executives often lacked "safe spaces" where they could freely and critically examine difficult issues, and where constructive criticism was viewed favorably;
 - ◆ Various social entitlements, policies and arrangements have become part of the new 'progressive doctrine' and conventional wisdom. *"This has resulted in the exclusion of critical thinking from vast territories of public affairs."* (Hubbard and Paquet 2016)
- Different aspects of the public service's HR regime and culture have impacted the capacity and performance of executives, and of employees more generally. In addition to the noted overemphasis on leadership competencies, some of the major issues are as follows.
 - ✓ The short tenures of senior executives, including deputy ministers and associates, have been judged by many as troubling, not only because of the loss of expertise previously indicated, but also because they impede executives' performance, the stability of their departments or agencies, as well as effective accountability.

"Again, that type of turnover of deputy ministers, I believe, is something that is problematic. We see it all of the time in our audits, when we do an audit and then come back with a follow-up audit, I think sometimes there is, in fact, a third deputy in the middle there. We do the audit under one deputy minister. By the time we come back and do a follow-up audit, it's a whole other deputy minister and you get that same answer of 'Well, I wasn't there at the time.' There's nothing they can do about it. They weren't there at the time. ... But again fundamentally, I think it's the fact that there is so much churn, and so much rapid churn, at the deputy minister level." (Michael Fegusson, PACP 2018)¹³
 - ✓ The effectiveness of the policies and practices surrounding the selection, promotion and evaluation of executives have been called into question on various grounds, including:
 - ◆ An over-reliance on the interview process as a key method for the appointment of employees, the efficacy of which is not well established in either practice or theory;
 - ◆ The poor results of the PSES and APEX surveys regarding the effectiveness of the appointment process, the ability to address issues of poor performance, and the prevalent dissatisfaction with the Executive Talent Management process;
 - ◆ The decreasing transparency in the executive appointment process, and the increasing use of non-advertised staffing processes, reported by APEX in 2019.¹⁴
 - ✓ In a similar vein, the public service has been mostly unsuccessful in addressing important workplace and ethical issues, such as regarding harassment, discrimination, civility and general toxic leadership. This was confirmed through the public service surveys noted previously, the clerks' annual reports and concerns raised by various authors.

"We are told the how is important, however, there are still outstanding cases of harassment that fly under the radar because they get results." (2018 Executive Survey participant)

13 ["PACP Committee Meeting"](#), Standing Committee on Public Accounts, June 14, 2018 (time index 1720)

14 Refer to subsection 5.1.C and footnote 163

"... one Elite [study] participant discussed a particular staffing 'strategy': We all watch to see when an ADM or DG who we all know is a problem is coming and we watch and we all offer them (employees in unit) a deployment because all the good people will want to leave. And we watch that because they know pretty quickly if they are getting a jerk and the good people leave. There is a list and it is well known and when they move to a new place the people in there get raided." (Zimmerman 2019, page 26)

The HR issues outlined herein should not undermine the fact that, indisputably, the public service is foremost comprised of a large number of dedicated, competent and principled employees and executives, often working in challenging situations. The issues should rather serve as a catalyst to improve the HR management regime, help safeguard the health of employees and their workplaces, and thereby improve productivity.

- The relationship or interface between elected representatives and public servants is also widely debated in the public administration domain. It surfaces often as a factor underlying public sector failures, such as the 2019 SNC-Lavallin controversy and the debacle of the federal payroll system. This issue is far from new, however, and revolves around public servants' independence (nonpartisanship), politicization and their ability to provide honest and often difficult advice to politicians – speaking truth to power. In the mid-1990s, the Tait Report had already described a disturbing situation, which has since only worsened:

"... over the past two decades the climate of support for honest discussion and dialogue within the public service itself has deteriorated, and that public servants are not as ready as once they may have been to put forth honest views or engage in critical debate for fear of being seen to be 'offside' or untrustworthy." (Tait 1996, page 48)

The present study, in addition to elaborating on these observations, identified some of the more prominent prior research and publications that dealt with public reforms and administration (Section 5.2), including a few well-recognized international studies that offered comparative assessments of public service reforms (Section 5.3). The more relevant and insightful international analysis, in this author's opinion, was provided by Pollitt and Bouckaert, whose perceptive observations with respect to Canada are consistent with the findings of this study:

"From a bird's-eye view some of the history of management reforms in the Canadian federal administration appears as a bewildering series of overlapping and only loosely coordinated initiatives, many of which seem to fade away or lose momentum after a relatively short time. ... There has been no systematic evaluation of public management reforms in Canada during this period [1980 - 2015], although there have been a number of specific reviews and assessments of particular initiatives. ... it appears that Canada suffers (or at least suffered) from a significant 'implementation gap', with many initiatives failing to meet anything like their full expectations. ... Finally, even if Canada has always been keen on focusing on performance, the performance data on 108 organizations do not suggest that financial resources have been reallocated from low-performing to high-performing programmes." (Pollitt and Bouckaert 2017, pages 260, 263)

To a notable extent, this study has endeavored to conduct the needed systematic evaluation of public management reforms, similar to what Pollitt and Bouckaert suggested above.

CONSIDERATIONS GOING FORWARD

This study reconfirmed that the breadth and depth of challenges facing the Canadian federal public service are considerable, while acknowledging that past efforts yielded some progress. Still, the chorus of appeals for more substantive and effective reforms has grown more urgent.

The case for effective management reforms has been made by various pundits (Section 5.4), many of which have identified likely avenues for better progress and solutions. Most often, previous studies and research have benefited from considerable expertise and capacity, and provided more in-depth analyses and recommendations. Our research has therefore drawn heavily on such studies, and combined some of their elements and recommendations which best matched and addressed the major issues already identified.

Going forward, a prerequisite for better results would be to devise a more integrated public service reform agenda and effective management framework. This study strived to consolidate the most essential tenets and elements of such a framework from two related perspectives:

- 1] First, some key principles (lessons) on devising and implementing a reform agenda – the "how" of managing reform;
- 2] Second, the major improvements and elements of a possible integrated solution (agenda), which should be envisioned to tackle some of the enduring governance and management issues previously identified – the "what" or substance of the more essential reforms.

These elements were combined into 9 main considerations (or recommendations) for better success going forward. While the supporting rationale is further explained in the detailed report (Section 5.4), the proposed considerations are condensed as follows.

- Consideration 1. *The public service needs to ensure **clear political engagement** and commitment to its management reform agenda, as well as the governance and mechanisms required for **effective stakeholder coordination**.*
- Consideration 2. *The public service should ensure robust **long-term planning** of its overall management reform agenda and initiatives, and instate the oversight needed to ensure **sustained follow-through** and reporting on each initiative's implementation until completion.*
- Consideration 3. *The public service should avoid embracing single broad-based reform principles or approaches, but **fully assess all options** and solutions based on in-depth analyses of planned benefits, limitations **and trade-offs**.*
- Consideration 4. *The public service should define a **comprehensive reform agenda and the management framework** required for its effective oversight and coordination.*
- Consideration 5. *Based on past issues and expert studies, the government and Parliament need to establish the means by which the role, **accountability and independence of the public service** would be further clarified and enhanced, while respecting the prerogatives of elected officials.*
- Consideration 6. *The Government needs to **improve the governance regime** of the public service to ensure there is effective **and independent oversight** of departmental management and of whole-of-government functions and major initiatives.*
- Consideration 7. *The public service should implement effective and independent **horizontal internal audit and evaluation functions**, in support of the oversight of whole-of-government functions and initiatives such as reforms.*
- Consideration 8. *The public service should review the roles of central agencies, senior chief officers, service departments (e.g. PSPC and SSC) and line departments in order to **clarify and simplify the overall responsibilities** for the management of government-wide functions and initiatives.*

Consideration 9. *The public service should perform a thorough review of its **HR regime for executives**, with the objective to:*

- 1- *formalize longer tenures for senior executives;*
- 2- *adopt a more effective competency model that emphasizes the expertise and qualifications specific to individual responsibilities;*
- 3- *improve the evaluation and staffing processes to better assess and support the performance of executives and candidates;*
- 4- *provide executives and senior managers the needed authority and support to effectively deal with significant poor performance.*

CONCLUSION

The combined findings of this study's different lines of inquiry, while recognizing some successes, have confirmed what many authors have expressed: the overall account of federal public service management reforms is bleak and points to deteriorating work environment, performance and productivity.

While the consequences of a major failure – like the well-publicized federal pay system – can be more easily identified, the cumulative impact of a number of less notorious but partially ineffective reforms may be less obvious but just as consequential. It is clear that many past initiatives have failed to deliver or demonstrate the needed improvements and performance gains. What's more, there are insufficient efforts directed at assessing the cumulative impacts of the many changes occurring across the public service, and at applying the lessons of the past.

The path to better progress goes through better analysis, planning and a more integrated and coordinated approach to the whole-of-government management agenda. The broad considerations proposed in the previous section are intended to move in that direction and, while recognizing the need for more analysis and fleshing out, to progress beyond general principles towards planning, experimentation and implementation.

In the current times, when innovation is frequently hailed as the prerequisite to all successes, the idea of more analysis, experimentation and planning should be welcomed. Innovation, however, must first be grounded in the lessons of the past and a clear understanding of what worked, what didn't and, more importantly, why. The basis and need for innovation must also be well established, by defining what problems need solving or what opportunities realized. Frequently, doing what has been proven to work can be just as, if not more, rational and productive as innovating.

Despite the rhetoric surrounding innovation, the need for better reforms and the public service's coveted mantra as a learning organization, the forces defending the status quo – often grounded in conventional wisdom – can be just as potent. For many senior officials, preserving the *status quo* may represent an advantage and could ensure the protection of vested interests, entitlements or control over the bureaucracy. As echoed by different authors, the case for pressing and more comprehensive reforms may be compelling but still not sufficiently endorsed. Essentially, the biggest impediment to more fundamental and effective changes in the public service is harnessing the necessary will, engagement and public demand to do so.

Nonetheless, more systemic research, analysis and communication of the outcomes and lessons from past government-wide initiatives could help generate the needed impetus for better management reforms. This study has endeavored to contribute to this goal.

1. INTRODUCTION

1.1 WHY REFORMS MATTER

Canada's well-being and prosperity have manifestly always been tied to its economic performance. What's more, the current pandemic and other recent international issues – such as trade and diplomatic disputes – have illustrated with renewed clarity the direct interconnections between the social, health, security, environmental and economic aspects of Canadians' welfare. While a stronger economy can provide the resources necessary for better health care, education, environmental or other desired social policies and programs, a long acknowledged impediment to better economic performance has been Canada's lagging productivity.

"The study – titled A Path To Prosperity - found that slightly more than two decades back, in 1996, the gap in productivity between the average Canadian and U.S. worker in advanced industries was a relatively thin 17 per cent. Today, the gap has ballooned to 100 per cent ... Put another way, if Canadians labouring in advanced industries were just as productive as Americans, Canada's GDP would jump by about \$780-billion. That translates into a domestic economy half again larger than it is now. ... there's strong evidence that the country isn't realizing its full economic potential, but can get there by working smarter." (Willis 2018)

"More should be done to raise productivity. Hourly labour productivity continues to lag behind the upper half of OECD countries. [Canada's] Disappointing productivity performance reflects low growth in both capital intensity and multifactor productivity." (Canada Executive Summary, OECD 2018-d, page 7)

In contemplating questions of economic performance and productivity, the focus has typically been on business and industry, in part because defining and measuring productivity in the private sector is relatively less ambiguous. Since productivity in the public sector is more elusive and harder to measure,¹⁵ it has typically not benefited from the same attention. Nonetheless, public sector performance and productivity have a tremendous bearing on a nation's economy.

"Public sector productivity has a significant impact on the performance of the national economy and societal well-being. First and foremost, the public sector is a major direct producer of goods and services: on average government production costs represents 21.9 per cent of GDP across OECD countries and gross value added of government amounted to 12.3 per cent of GDP in 2015 ... Governments are the main, and sometimes only, providers of key goods and services, such as education, health, social services, transportation and infrastructure. ... In addition, the public sector is a key enabler of the proper functioning of the economy and society." (Lau, Lonti and Schultz 2017, page 181)

In Canada, the three levels of government combined were estimated to account for nearly 40% of the country's GDP. For its part, the federal government is the country's largest employer and, before the pandemic, reported expenditures of about \$277 billion in 2018-19.¹⁶ Like in many other countries, improving public sector productivity, performance and management has been part of the federal government's agenda for decades, but more recent fiscal and demographic pressures have increased its urgency.¹⁷

15 Refer for instance to "[Challenges in the Measurement of Public Sector Productivity in OECD Countries](#)" (Lau, Lonti and Schultz 2017); or to "[Changing the Game: Public Sector Productivity in Canada](#)" (Public Policy Forum 2014)

16 Refer to Overview section and footnotes 1 and 2 on page 2

17 *"Improving public sector productivity is high on many countries' political agendas. OECD countries are facing significant demographic challenges with their aging populations and increasing dependency ratios that will affect both the demand for public services and the capacity to deliver them. In order to accommodate these developments, either more resources are needed or the productivity of the public sector has to increase." (Lau, Lonti and Schultz 2017, page 181)*

The Canadian government merits some praise for its many efforts through the years to seek ways and means to improve the performance of the public service. Public service renewal and reform initiatives have long strived to improve how it manages its multiple departments, organizations and programs, and delivers services to its citizens. One author suggested, more than 2 decades ago, that the genesis of public service renewals goes back to the early 1960s.

The first is that renewal has been going on for a very long time. Indeed, some observers think Canada has one of the longest track record in this area, and that we have been embarked on the pursuit of renewal ever since the report of the Royal Commission on Government Organization (Glassco Commission) in 1962, whose watchword was 'let the managers manage'." (Ingstrup 1995, page 5)

While the public service's longstanding renewal efforts may be laudable, the objectives of renewal and the actual results that ensued from those efforts – whether increased productivity, performance, healthier workplaces or other – are much more difficult to pin-down. Part of the difficulty may be that the different objectives embodied in public service renewal and reform are broader than improving productivity and are sometimes incongruous or require trade-offs.

"..., the public sector has a massive impact on the productivity performance of the country. ... So, why hasn't the development of a productivity measurement tool become a priority? One possible reason, says David Zussman, the Jarislowsky chair in Public Sector Management at the University of Ottawa, is that other factors in service delivery may trump productivity considerations. Mr. Zussman points to the fact the federal service goes to great lengths to ensure jobs are awarded in a fair and equitable manner, which inevitably affects how productive the process is. 'It turns out that productivity or efficiency may not actually go in tandem with fairness ...' " (Ovsey 2012)

Whether intended primarily to improve productivity or other important aspects of performance, public sector renewal and reform remain hugely important endeavors with the potential to greatly benefit the management and delivery of public programs and services, the economy and hence the well-being of Canadians.

1.2 WHAT THIS STUDY IS ABOUT

A. OBJECTIVES

This study of the federal public service's management reforms sought to contribute to the understanding of the nature, outcomes, common success factors and challenges of past reforms and, as a result, help to inform and benefit future initiatives. The essential objectives of the research study were initially to:

1. Identify the objectives, nature and intended results of the public service's renewal agenda and major government-wide management reforms of the last two decades;
2. Assess the extent to which the public service has been successful in implementing its reforms initiatives, and whether management reforms have been effective overall in achieving their intended results and outcomes;
3. Identify some of the prominent research on public sector management and reforms, and their major findings and proposed recommendations;

4. Identify the factors and challenges that are common to the successes or failures of most recent reforms, and the extent the public service has incorporated past lessons in the management of its subsequent reform agenda and initiatives.

In addition, during the course of the study, its purpose and approach were expanded somewhat to include consideration of some broader social and public administration perspectives. As such, where opportune the study identified more systemic issues within the greater public administration context. Finally, the study strived to compare and merge its findings with those of other studies, and proposed a number of considerations (recommendations) for moving towards more effective and comprehensive management reform solutions and agenda.

B. RENEWAL AND REFORM

Management reforms are often discussed under the wider umbrella of public service renewal. Although the two terms often have similar connotations, renewal generally refers to the public service's overarching and evolving vision and major priorities for improving government's overall operations and relevance for its citizens, while reforms more often refer to specific initiatives (e.g. procurement reform).

"Renewal is not something to be associated with a specific government, or a particular head of the public service. Rather, it is a challenge that we public servants must embrace as an enduring responsibility if we are to continue to be relevant to Canadians and their national government. Nor is public service renewal a time-limited initiative. Rather, it is a process of deliberate evolution and innovation that must continue, because no national institution can stay static and hope to succeed." (Clerk of the Privy Council 2009, Annual Report page 18)

For the purposes of this study, management reforms were broadly defined at the outset as significant initiatives that were government-wide (i.e. involve multiple departments) and primarily focused on improving internal, enabling or crosscutting functions that impacted different programs and services. While recent reforms would have been implemented (or significantly revised) mainly within the last 10 years, the study centred more broadly on the last two decades. A few reform examples would include red tape reduction, policy suite renewal, transfer payment reform, financial systems consolidation, HR performance management, common business processes, procurement reform, regulatory management directive, shared IT services, email transformation, gender-based analysis, revised Management Accountability Framework, Results Policy (not a comprehensive list).

C. RESEARCH APPROACH AND LINES OF INQUIRY

The study's approach and methodology were grounded in various lines of enquiry and research activities, which are reflected through the different sections of this report. The following summarizes the major research activities and elements of the study's overall approach.

- The study relied significantly on past research studies, public service surveys, audits and other publications as its main sources of information and evidence. Therefore, some of what is presented may not be entirely new to the initiated reader or experienced public servant. The study strived, however, to add value by presenting a more consolidated view of the available evidence, as well as through some original lines of research and analysis.

- The scope of this study was quite broad, and focused on management reforms overall. As such, any observations on specific individual reforms were cursory and limited by both the scope of the study and the availability of publicly accessible information.
- The study was essentially grounded in the following major lines of inquiry and research:
 - 1] A detailed review and comparative analysis of the annual reports of the clerks of the Privy Council – the head of the public service – on the state of the public service for the years 2000 to 2019. The review identified and compared, according to common themes, the public service's major renewal and reform priorities, specific objectives and commitments, and reported progress.
 - Section 2 presents the analysis of the clerks' annual reports, and Annex A provides a condensed summary of the annual reports by theme.
 - 2] In support of this study, a unique survey of executives was conducted in late 2018 across the entire public service, and its results reported in 2019. The survey took a broad look across recent horizontal management reforms and queried executives on the nature and evolution of their work, the cumulative results of recent reforms, as well as solicited their views on the public service's management of its reform agenda and initiatives.
 - Annex D includes the 2018 Executive Survey Report's main sections and provides the web-link to the full report.
 - 3] A comparative review and analysis of major public service surveys. This review helped shed light on the public service's evolving work environment and the results of renewal and reform efforts as viewed by federal employees and executives. The review considered selected results from the Public Service Employee Surveys (1999 to 2019), the periodic surveys conducted by the Association of Professional Executives of the Public Service (1997 to 2017) and the above-mentioned 2018 Executive Survey.
 - Section 3 presents the combined analysis of all 3 public service surveys, and Annex B provides a summary of selected survey results and trends by key themes.
 - 4] An analysis of the findings of selected reports by the Auditor General of Canada on various government reforms, or similar initiatives, audited within the last 10 years. The analysis helped to identify common challenges and success factors across the sample.
 - Section 4 summarizes the results of the analysis of the selected audit reports, and Annex C provides a high-level outline of key audit findings by common themes.
 - 5] A selective review of previous research, studies and other publications pertaining primarily to management reforms, but also to related topics in public sector management and administration, including some international perspectives. The brief research summaries presented in Section 5 were selected based partly on the author's judgement and the prominence of the publications, and do not profess to be representative of the literature.

- Section 5.1 offers a few rife observations germane to the study, Section 5.2 provides short descriptions of selected research and studies, Section 5.3 highlights key international comparisons that included Canada, and Annex E provides a bibliography and listing of all major references.

6] Finally, the study presents some important considerations (recommendations) for a proposed path towards more effective and longer-term management reform solutions, based on both the study's own findings as well as prior research. The Overview summarized the study's findings, overarching conclusion and proposed considerations.

- Sections 5.4, 5.5 and Overview.

In addition, the annexes provides supplemental information on the approaches and methods utilized for their respective analyses, which support the corresponding report sections.

2. CLERKS' PRIORITIES AND RESULTS

The Government of Canada, to its credit, has typically conducted a variety of initiatives to try to improve how it managed its wide-range of departments, agencies and programs. This section launches our study of public service management reforms by examining what have been the major priorities of the federal government's renewal and reform agenda over the last 20 years.

2.1 THE CLERKS' ANNUAL REPORTS

To understand the government's reform agenda and priorities, we examined and compared the annual reports of the clerks of the Privy Council to the Prime Minister for the years 2000 to 2019. The first such report was introduced in 1992 as a result of the Government's 1990 White Paper, which called for an annual report by the Clerk of the Privy Council *"on the state of the Public Service in general, and for the next five years on the implementation of Public Service 2000 in particular"*.¹⁸ The reports have since been an annual requirement under the Public Service Employment Act.

These reports are especially relevant to this study. As previous clerks have stated, the annual reports serve as an important instrument to set the future direction and advance public service renewal, as well as report on progress¹⁹. In this vein, last year the Clerk indicated:

"This report is really the 26th chapter in the Federal Public Service's ongoing renewal story. It explains how we are building a more agile, better equipped, and fundamentally more inclusive Public Service." (Clerk of the Privy Council 2019, Annual Report page 9)

The publication of these reports is, by itself, a noteworthy and valuable realisation. They provide a consolidated focal point for the clerks, as head of the federal public service, to highlight their vision, priorities and accomplishments, as well as their views on current and emerging challenges. Scarcely any other publication provides a similar annual whole-of-government perspective.

"The role of the Clerk, as the most senior federal public servant, is to define major objectives, to set out benchmarks against which we can measure our progress, and to drive a continuing process of change and renewal that will take us well into this new century." (Clerk of the Privy Council 2007, Annual Report page 1)

As could be expected, the format of the clerks' annual reports has evolved considerably over the last two decades – from more succinct documents in the early 2000s, to much more elaborate, structured and visual reports, particularly starting with the 2007 document of 60-plus pages. In addition, the different clerks had diverse approaches to the structure, content and flavor of their reports. Particularly, the reports differed as to the specificity of the clerks' renewal priorities and commitments. In some reports, key priorities were clearly labelled as such and explicit, while in other instances they were more implied as part of progress summaries and more generic

18 ["Public Service 2000 - First Annual Report to The Prime Minister on The Public Service of Canada"](#), Paul M. Tellier, Clerk of the Privy Council and Secretary to the Cabinet, 1992, page 1 (Introduction)

19 For instance:

1] *"A third objective is to set priorities, year by year, and define clear, credible goals against which we can measure and report on progress"*, Clerk's 2007 Annual Report, letter to the Prime Minister and page 3;

2] *"This Report ... In it I assess progress on renewal"*, Clerk's 2011 Report, page 2;

3] *"One important instrument in advancing renewal has been these annual reports ..."*, Clerk's 2019 Report, page 9

statements (e.g.: "ensure that all employees have the opportunity to do meaningful work ..." (2007); "there is more to do to ensure that citizens receive quality services in both official languages ..." (2011)).

Public service priorities often have tended to evolve more after a new clerk took office, as presumably he or she wished to impart their own vision on the public service. Over the last two decades, most clerks of the Privy Council have stayed in office from 3 to 4 years²⁰, and published a corresponding number of reports. Likewise, important events have normally affected the tone of the clerks' priorities and reports. For example, the terrorist attacks of September 11th 2001, mismanagement scandals (e.g. Gomery enquiry), program reviews, the 2008 economic downturn and the 2012 federal Budget's deficit reduction plan, have all influenced priorities such as those related to security preparedness, values and ethics, performance and productivity.

2.2 MAJOR RENEWAL THEMES

While there are limits as to how comparable the clerks' annual reports are, they nonetheless all reflected the enduring preoccupations and commendable intentions of renewing the public service and improving how it operates. While Public Service Renewal – broadly defined – has been a constant and chief feature of all clerks' priorities and reports, the basic definitions, objectives and priorities of renewal have evolved much in the last decades. The table below (Figure 1.) provides a simplified snapshot of the clerks' overarching renewal themes and priorities, as condensed from their annual reports.

Figure 1. Summary of Clerks' Renewal Themes and Priorities

ANNUAL REPORTS	PUBLIC SERVICE RENEWAL AND REFORMS CLERKS' OVERARCHING THEMES AND PRIORITIES
2000 to 2002:	Priorities were mainly defined under 3 Pillars of Renewal: Service Delivery, Policy Capacity, and People. Modernizing HR Management was added in 2001.
2002 to 2004:	Corporate Priorities were also introduced in 2002: HR Management, Linguistic duality, Security, and Collaboration. In 2003 and 2004, these were revised to Official languages, Diversity, Learning, and Comptrollership. In 2004 were also added HR management modernization, Integrated planning, and Service delivery.
2005 and 2006:	Different priorities were identified, but not explicitly under an overarching renewal theme. Priorities included Recruitment, Learning, Centralized shared services, Service Canada, and Expenditure review.
2007 to 2010:	Priorities were defined under 4 Pillars, and progress consistently reported in annexes to the 2008 to 2011 reports, as: 1) Planning, 2) Recruitment, 3) Employee Development, 4) Enabling Infrastructure (retitled "Renewing the workplace"). Engagement was added in 2010 as 5 th Pillar.
2011:	Renewal priorities were modified and regrouped under the broad themes of: 1) Engaging employees in the excellence agenda, 2) Renewing the workforce, 3) Renewing the workplace.
2012:	The report's focus was on implementing Budget 2012, and for the future public service to be Collaborative, Innovative, Streamlined, High performing, Adaptable and Diverse.
2013:	Priorities for 2013 and Beyond: 1) Focus on Performance and Productivity, 2) Embracing Enterprise Approaches, 3) Working Together for Better Outcomes.

20 Recent Clerks of the Privy Council and Annual Reports: Mr. Mel Cappe - 2000 to 2002; Mr. Alex Himelfarb - 2003 to 2005; Mr. Kevin Lynch - 2006 to 2009; Mr. Wayne Wouters - 2010 to 2014; Ms. Janice Charette - 2015; Mr. Michael Wernick - 2016 to 2019; Mr. Ian Shugart - current.

ANNUAL REPORTS	PUBLIC SERVICE RENEWAL AND REFORMS CLERKS' OVERARCHING THEMES AND PRIORITIES
2014 to 2017:	Most priorities were defined under the new Blueprint 2020 / Destination 2020 renewal framework and vision, centered on 4 guiding principles: 1) Open and networked environment; 2) Whole-of-government approach; 3) Modern workplace and new technologies; 4) Capable and high-performing workforce. However, specific priorities and sub-themes evolved each year: 2014: Innovative Practices and Networking, Processes and Empowerment, Technology, People Management, and Fundamentals of Public Service. 2015: 9 specific initiatives listed under Destination 2020, and 3 priorities for the year: 1) Reinvigorate recruitment and learning, 2) Healthy, respectful and supportive work environment, 3) Reinforce the policy community. 2016: See next section. 2017: A detailed complement of renewal goals, priorities, planned outcomes and actions was defined. Priorities for the year: 1) Modern tools, processes and structures, 2) Measure work and outcomes achieved, 3) New ideas and collaboration, 4) Mental health and workplace well-being, 5) Talented, diverse and inclusive workforce.
2016:	No explicit overarching theme and only minor references to Blueprint 2020. Key priorities included: Streamlining workflows and processes; Strengthen skills and knowledge; Focus on mental health; Recruitment; and Modernize the policy function.
2018:	Pay system is the highest priority. Looking to the Future – sustain efforts in key areas: 1) Diverse and inclusive workforce, 2) Mental health and workplace well-being, 3) Modern tools, processes and organizational structures, and 4) Address harassment and discrimination.
2019:	Renewing the public service under the <u>Beyond 2020</u> framework. Related priorities are based on a "mindsets and behaviors" approach: 1) Agile, 2) Inclusive, 3) Equipped.

As depicted above, the key themes and definitions of what public service renewal is and entails have changed periodically. From the earlier "3 Pillars" of renewal (2000-02), to "Corporate Priorities" (2002-04), to the subsequent and somewhat distinct "4 Pillars" used consistently from 2007 to 2010, and to the current decade's more recent renewal agendas conveyed under the unfolding banners of "Blueprint 2020", "Destination 2020" and more recently "Beyond 2020".

Alternatively, in some years, reform priorities were defined but were not as clearly linked to an overarching theme or vision, and in other instances the priorities identified did not endure as described for more than a year. For example, in the 2011 annual report priorities were regrouped under 3 new headings – Engaging employees in the excellence agenda, Renewing the workforce, Renewing the workplace²¹. However, subsequent reports did not explicitly cover or report on these same 3 themes, and the priorities in the 2012 report were refocused as a result of Budget 2012. Similarly, under the heading "*Priorities for 2013 and Beyond*" the report of that same year identified as 3 priority areas: Focus on performance and productivity, Embracing enterprise approaches, Working together for better outcomes. Again, these general priorities (themes) for the most part did not really resurface as such beyond 2013.²²

Notwithstanding public service renewal's evolving visions and themes, some of the changes appear to have been as much a question of terminology and labelling, as one of substance. This is partly evident through some of the actual reform initiatives and more explicit priorities, which have persisted despite the changing themes and labels (this is examined further in Section 2.3).

21 Clerk of the Privy Council 2011, Annual Report page 12

22 The exception could be the 2013 priority "Embracing enterprise approaches", which was reworded in 2014 as a Blueprint 2020 guiding principle "Whole-of-government approach"

As well, some evolution of public service renewal should be normal, as progress is made and issues resolved, the focus and priorities would be directed to new challenges.

"Renewal will always be a work in progress. The important message is that much has been accomplished, thanks to the efforts of both managers and employees across the country. But there remains much to do." (Clerk's 2011 Annual Report page 6)

There is little doubt that "much has been accomplished" through the years in terms of renewal efforts and activities. There are ample examples of such activities provided in the annual reports. However, the more taxing question is whether issues are being truly resolved and the planned results and desired outcomes achieved? Reporting on actual (specific) results and outcomes in the annual reports is typically much scarcer. The essential issue is whether public service renewal and reforms have evolved because of actual progress, or rather because of a need to move on (i.e. "change the channel") and avoid reporting on stalled or ill-conceived reforms, or poor progress, by periodically changing priorities. The clerks have already provided some indication of the key considerations and criteria required to address this question. Amongst these:

"In my report last year, I said that there is always a gap between our aspirations and our achievements. The gap is never truly closed. A healthy organization is always confident in its mission but never satisfied with its progress." (Clerk's 2005 Annual Report, page 3)

"A third objective [of this report] is to set priorities, year by year, and define clear, credible goals against which we can measure and report on progress over the next five year. Five years represents what an optimist might call the foreseeable medium term; a realist might be less sanguine about our capacity to anticipate future developments, but equally convinced of the need for a multi-year planning horizon." (Clerk's 2007 Annual Report, page 3)

"We also need to improve our ability to plan, at every level of the organization, and assess progress made. Clarity of goals helps align efforts and improve results. We need to strengthen our capacity to deliver, to see a project through from idea generation to meaningful results that can be evaluated." (Clerk's 2011 Annual Report, page 13)

"As these examples demonstrate, part of what we need to do to improve is to focus on results and outcomes, and not just activity. As a Public Service, we must become more sophisticated in defining the objectives of the initiatives we are pursuing, ... The measure of an initiative cannot be the dollars spent or the number of meetings held, but rather the change and difference made in people's lives." (Clerk's 2016 Annual Report, page 10)

"... with the new employee survey we launched this year, we will be able to track progress more frequently on key people management issues." (Clerk's 2017 Annual Report, page 18)

"We will be measuring and tracking progress as we go. The results of the Public Service Employee Survey will serve as a key tool to analyze our progress across the Public Service and within each organization." (Clerk's 2019 Annual Report, page 21)

In essence, the clerks, as heads of the public service, have all espoused the virtues of sound planning and reporting of their renewal agendas, based on clear objectives and the tracking of actual results and outcomes. However, the reporting in the clerks' annual reports of results achieved on government-wide renewal has been sporadic and too often inconclusive, as explored further in the next section.

2.3 MANAGEMENT REFORM PRIORITIES

In addition to broadly defined public service renewal themes and general visions, the clerks' annual reports also prioritised more specific management reform initiatives, like the examples

provided as part of the Introduction (subsection 1.2.B). Specific management reforms and initiatives are more germane to this study than the broader renewal themes to which they may relate, because the more explicit initiatives usually had more concrete objectives and deliverables, and hence their results should have been more easily assessed.

A number of specific reform priorities have endured through the last two decades, while others appeared more recently, or surfaced in only one or a few reports. The study looked at the more explicit of the clerks' government-wide reform priorities and commitments, as well as reported results and tangible progress, and summarized them under broad recurring topics in order to better identify the paths, current states and benefits of major reforms. Annex A presents a detailed summary of the clerks' government-wide management reforms, and the following subsections (A. to H.) present the ensuing observations grouped under 8 major topics.

A. INTEGRATED PLANNING (IP)

(Annex A. Section 1.1)

Implementing and subsequently improving integrated planning (IP) have been major management reform priorities for over a decade. Initially identified as a priority in 2001,²³ IP became much more prominent during the 2007 to 2011 period. However, after 2012 there was no further mention of it in the clerks' annual reports.

- IP was first defined basically as the integration of human resource planning with departmental business planning.²⁴ Subsequently, the notion evolved to a core business practice necessary to align goals, resources and results, as well as widened to integrate human, financial and information resources.²⁵ The ultimate goal of IP was described as to "*make a demonstrable improvement to the business of the organization and the working lives of employees*" (Clerk's 2009 Annual Report, page 6),
- The Clerk tasked an Expert Panel to review departments' 2007-08 integrated business and human resources plans, and identify best practices. The Panel reported in December 2008 and made a number of recommendations.²⁶ The clerk subsequently asked the Deputy Heads to report on what had been done to implement these.²⁷ Overall, the Panel reported that the public service had made a good start, but there was great variety in the quality of the planning approaches and many opportunities for improvement.
- The 2008 to 2011 annual reports included detailed annexes on renewal commitments and progress, of which IP was a recurring component. Up until 2010 and 2011, IP remained a key facet and objective of renewal: "*Integrated planning remains the foundation for renewal. We will continue to improve planning at all levels of the Public Service.*"²⁸ In addition, progress on IP appeared to have reached a peak and subsequently stalled. In 2009,

23 Clerk of the Privy Council 2001, Annual Report page 7

24 Clerk of the Privy Council 2004, Annual Report page 7; 2007 Annual Report page 19

25 Clerk of the Privy Council 2010, Annual Report page 11; 2011 Annual Report Annex B page 19

26 "Report of the Expert Panel on Integrated Business and Human Resources Planning in the Federal Public Service - Better Choices for Better Results", Mr. Tony Dean - Panel Chair, [undated] website: <http://publications.gc.ca/site/eng/388697/publication.html> (as of 23/3/2020); The Panel made four recommendations focused on: 1] Top level affirmation of the importance of integrated planning, 2] Deputy ministers to drive integrated planning. 3] Best practices be disseminated and shared, and 4] Central agencies should facilitate and support. Refer also to Annex D. of the Clerk of the Privy Council's 2009 Annual Report

27 Clerk of the Privy Council 2010, Annual Report page 33

28 Clerk of the Privy Council 2010, Annual Report page 11

the clerk reported that 35 of 36 departments had IPs, while in 2011 this figure had declined to 33 out of 36.²⁹

- Progress on IP was also evaluated through the annual departmental Management Accountability Framework (MAF) assessments³⁰. The 2009 MAF reports included IP as part of the assessment of the People Area of Management, and the 2010-11 MAF exercise covered IP under Governance and Planning. Subsequently, there were no further MAF assessments of IP. However, the 2014-15 government-wide MAF report stated:

"Management practices relating to integrated business planning were last assessed in MAF 2010-11. Since that time, there has been a change in integrated business planning, defined as the process of planning initiatives and activities to achieve the organizational objectives over the next 12 to 18 months."³¹

Note that the definition of IP provided in 2014-15 differed significantly from the original, and no longer centered on integrating human resources and business planning. The same 2014-15 MAF report also qualified IP as a sound management practice, but for which there was no policy requirement.³² In essence, the fundamental IP priority was soon discarded after 2011 without a clear indication of the benefits achieved or any demonstrable improvements made to the business of the organization or the work of employees.

B. HR PERFORMANCE MANAGEMENT, DEVELOPMENT AND CAPACITY (Annex A. Section 1.2)

A number of the clerks' priorities were complementary and fell under this general category – "Human Resource Performance Management, Development and Capacity". Priorities were similarly focused on improving the capacity and performance of employees mainly through learning, development and better management of performance, and basically span the entire 20-year period under review. The following paragraphs depict some of the highlights.

- The clerks' have regularly identified learning and development as essential renewal goals and made a number of commitments, such as: delivering a core curriculum, strengthening capacity in specific areas, ensuring employees have learning plans, implementing talent management, modernizing the delivery of government-wide learning programs. More notably, the annual reports also highlighted many areas of progress, such as implementation of a learning policy, better curriculum and development programs, and regular learning and talent management plans (Section 1.2 of Annex A.).
- As part of the clerks' development priorities, the meaning and features of employee capacity and core competencies changed through the years. While more recently the competencies of executives and managers have been framed in terms of mostly generic leadership skills and behaviors,³³ earlier clerks' reports emphasized the need for more specific functional and managerial skills:

29 Refer to Annex A of this report, as well as to the clerks' Annual Reports of 2009 page 38, and 2011 page 19

30 Clerk of the Privy Council's 2009, Annual Report page 6; MAF: Management Accountability Framework

31 "Management Accountability Framework 2014-15 - Government-Wide Report", Treasury Board of Canada Secretariat [undated], page 13

32 Ibid, page 12

33 The 2015 "Key Leadership Competency profile", TBS website (modified 2016-06-07); This competency profile, currently in effect, comprises 6 competencies which define the behaviors expected of executives and managers, and serves as the basis for selection, learning, development, performance and talent management. These competencies are

"... core competencies as financial management, human resource management, information and communications management, leadership development, professional development and service delivery should be embedded in all departments and agencies and at all levels. When this core is neglected, standards of professionalism decline." (Clerk's 2003 Annual Report, page 9)³⁴

- Starting in 2007, improving employees' performance management regime became a mainstay of public service renewal, and was a renewal priority up until 2017.³⁵ Among the reported key drivers was the need to better deal with poor employee performance and performance issues, to ensure performance is well linked to business objectives, and better develop employee capacity. Poor performance was noted as an issue in the 2002 annual report, but only first appeared as a priority in 2007.³⁶ Since then, reported progress has centered on implementing a better performance management regime; regular performance agreements, assessments and discussions; and common performance management systems and business processes. The current TBS Directive on Performance Management was issued in 2014:

"The Directive requires that all employees know what is expected of them; have an opportunity to understand how their performance will be measured; and, at least twice a year, receive formal feedback on their strengths as well as help on areas for improvement."
(Clerk's 2015 Annual Report, page 14)

While the annual reports noted that much headway had been made, such progress referred mostly to improved programs, processes and the likes (i.e. outputs), and there has been no evidence of actual benefits (i.e. outcomes) achieved, such as possible improvements in the overall capacity, productivity or performance of executives or employees.³⁷ In addition, many executives have expressed misgivings about the current yearly performance and talent management exercises and supporting systems, finding them burdensome and not in keeping with the competing government priority of streamlining internal business processes and rules. This matter is examined further as part of the review of public service surveys (subsection 3.2.B, page 57).

C. WORKPLACE AND EMPLOYEE HEALTH

(Annex A. Section 1.3)

This category regroups human resources priorities and initiatives aimed at improving workplaces and the well-being of employees. This would include, for instance, matters related to values and ethics, employment equity, diversity, official languages, harassment and discrimination, and mental health. These different issues were reflected in the clerks' annual reports and priorities

behavior-based and do not require competencies in terms of specific functional or managerial expertise such as the previous "core competencies" (see next footnote and related quote).

34 Another example: *"Our learning program will include orientation for new employees, retraining of the current workforce and strengthening core capacities—including financial and human resource management."* Clerk of the Privy Council 2005, Annual Report page 5

35 The employee performance management priority was included in annual reports until 2015 when it was indicated that the Directive on Performance Management had been issued (2015 Annual Report page 13); it was also part of the 2017 Renewal Results Plan (2017 Annual Report Annex B). The topic is absent from the 2018 and 2019 reports

36 Clerk's 2007 Annual Report page 25; 2002 Annual Report page 10

37 Example: *"An increased emphasis on performance and talent management is yielding real dividends. ... This is strengthening their succession planning, while supporting employee development and a higher-performing workforce."*, Clerk's 2013 Annual Report page 9 (emphasis added); Our review of the 2013 report did not uncover any explanation or evidence as to if or how the public service workforce was higher-performing. In the next annual report, the clerk was less optimistic: *"Although performance management has been happening ... , inconsistent approaches have been adopted, and employee performance has not always been linked to business objectives and expected behaviours."*, Clerk's 2014 Annual Report page 20.

throughout the entire 2000 to 2019 period, but subject to somewhat of a lull between 2004 and 2007. This topic also revealed an abundant diversity and quantity of observations – whether priorities, commitments or reported progress – which corroborate its overall importance.

- The clerks' priorities aimed at ensuring a widely representative workforce were covered under different headings and programs: employment equity, diversity, official languages, inclusive and representative workforce. Commitments on representation were frequent throughout the last two decades, starting in 2000 when diversity had the status of an "overarching priority".³⁸ Reported progress focused mostly on employment equity targets for which there were quantifiable results. In 2017, the clerk reported that:

"As of March 31, 2016, all four employment equity designated groups continue to exceed their workforce availability for non-executive employees. Nevertheless, I am concerned that there are still gaps for particular specialized classifications and that representation is not distributed evenly across all levels." (Clerk's 2017 Annual Report, page 28)

Despite good indications of progress, diversity and inclusiveness priorities remained at the forefront in the more recent annual reports. Most often it appeared, however, as if these priorities were goals into themselves (i.e. "the right thing to do"), and hence were not usually described as leading to broader intended outcomes. Atypically, the clerk in 2018 asserted that diversity led to improved innovation and productivity, and helped ensure better programs and services.³⁹ However, the annual reports do not offer any further explanations or substantiation of diversity's contribution to such benefits.

- Another priority, which requires mentioning, is the more seldom promoted goal of ensuring that public service staffing be "merit-based", and its possible ambiguity relative to the concurrent priority of ensuring a fully representative and inclusive workforce.

"To support the Government, we need a competent, non-partisan public service able to speak truth to power. ... To attract and retain bright, hardworking Canadians, we need a competent, non-partisan public service known for its quality and teamwork. Unfortunately, I believe the merit process we have has developed in a way which undermines the merit principle. Legislative change is needed to protect merit." (Clerk's 2002 Annual Report page 12)

"The Public Service has a duty to create and maintain an inclusive, barrier-free work environment. This means that all persons have equal access to opportunities, appointments are based on merit, ..." (Clerk's 2018 Annual Report page 28, emphasis added)

The nature and interpretation of the merit principle have evolved, in part to adapt to the prevalence of diversity and inclusiveness goals. The 2003 Public Service Employment Act formalised and changed the definition of merit – from relative to individual merit. However, it potentially weakened and compromised the integrity of meritorious appointments.

"... the 2003 definition has created an opportunity for the weakening of the merit principle in the Canadian Public Service."⁴⁰

38 Clerk of the Privy Council 2000, Annual Report page 5.

39 *"To be our most innovative and productive, we must bring together teams that represent diverse identities, cultures, skills, perspectives and experiences. Diversity also helps us to better understand the needs of the citizens and communities we serve. This helps us build better programs and services that meet the needs of Canadians."* Clerk of the Privy Council 2018, Annual Report page 23

40 "Merit 2.0: Implications of the 2003 Public Service Employment Act on Merit as an Organizing Principle in the Federal Public Service", Brett W. Taylor, Dalhousie Journal of Interdisciplinary Management, Volume 10, Number 1 - Spring 2014, pages 1-2

- Promulgation of sound values and ethics has been part of a healthy work environment, and the clerks reported introducing new or updated Codes of Public Service Values and Ethics in 2004 and 2012.⁴¹ Closely linked were the many commitments to address issues of harassment, discrimination and wrongdoing, and more generally improve workplace well-being. These have been a regular staple of the clerks' annual reports and various activities were reported: new public service policy on harassment and wrongdoing (2002), a Task Team to review the harassment framework (2018), and a series of CSPA courses on harassment prevention. Irrespective, the clerk in 2015 indicated that *"the number of employees who indicated in the [public service employee] survey that they had experienced harassment and discrimination is unacceptable."*⁴² Despite long-lasting priorities and efforts towards reducing harassment, the clerk in 2019 confirmed it remained an important unresolved priority.⁴³
- Since 2015, mental health became the predominant focus of employee and workplace well-being. In essence, mental health is the new banner with which a number of wellness issues are associated⁴⁴ and a key component of public service renewal as currently defined.⁴⁵ Reported progress included, for instance: a joint TBS-PSAC Task Force, which issued recommendations in 2015, a Federal Workplace Mental Health Strategy, a number of presentations and learning activities, a Clerk's Table on Mental Health, changes to the Canada Labour Code, the 2016-19 Mental Health Progress Report.⁴⁶ However, the results of recent public service employee surveys are mixed. While surveys suggest that some headway was made on aspects of mental health,⁴⁷ there were no improvements with respect to discrimination and harassment and PSES indicators suggested the situation worsened.⁴⁸

D. HR MANAGEMENT AND MODERNIZATION

(Annex A. Section 1.4)

Human Resources (HR) Management and Modernization regroups a range of objectives aimed at improving HR management functions generally, as well as related policies, processes and systems. The two most prominent priorities of recent years would be the modernization of the HR legal framework with the advent of the Public Service Modernization Act (PSMA, December 2005), and the implementation of the new pay system and consolidation of the pay administration functions. While these initiatives have been more thoroughly documented elsewhere, from the lens of the clerks' annual reports the main points are highlighted below.

- The need for legislative reform was a major priority early at the turn of the century, driven by a number of HR challenges:

"As the Strong Advisory Committee commented: 'It is the Committee's view that there is an urgent need for clear accountabilities, matching authorities and a general streamlining of human resource processes if the Public Service is to deliver on its ambitious goals. In this respect, we

41 Clerk of the Privy Council 2004 Annual Report page 3; and 2012 Annual Report page 13

42 Clerk of the Privy Council 2015, Annual Report page 14

43 *"... harassment is now an agenda item at every meeting between management and Public Service unions;"*, Clerk of the Privy Council 2019, Annual Report page 29

44 Clerk of the Privy Council 2015, Annual Report page 18

45 Clerk of the Privy Council 2019, Annual Report page 37: *"Our focus on improving our workplace over the last number of years—seen in our hard work on diversity and inclusion, mental health, and harassment, as well as our experimentation with new ideas—has given momentum to renewal."*

46 For references and other examples, refer to Annex A. Section 1.3

47 *"2019 Public Service Employee Survey Results by Theme for the Public Service"*, TBS website (as of 17 Jan 2020). Examples of results see Figure 2 indicators 9] and 10], starting on page 41

48 Refer to Figure 2. indicators 16] and 17], page 41 and subsequent

support the Auditor General's recommendation that the government address the long-standing structural and systemic issues immediately.' To keep pace and better support the efforts of public servants at all levels, we need to move from our incremental approach to a more fundamental reform of the legislative framework for human resources management in the Public Service." (Clerk's 2001 Annual Report, page 14)

Diverse changes in HR management ensued from the PSMA and other subsequent related HR modernization initiatives, as outlined by the clerks in their reports. For instance:

- ✓ Clearer responsibility and accountability of deputy heads for people management;
- ✓ Greater HR management flexibility and tools (e.g. staffing, recruitment);
- ✓ Creation of the Canada School of the Public Service, and consolidation of HR functions under the new Chief Human Resources Officer in TBS. (references per Annex A.)

In spite of the reported progress, the 2011 Report of the Review of the PSMA concluded that *"... despite the availability of a range of new staffing flexibilities, we have been reluctant to let go of old approaches, leaving some of the legislation's potential benefits unrealized."*⁴⁹

In response, the PSC launched the New Direction in Staffing initiatives in 2016 to simplify existing policies and encourage the use of efficient, effective and customized staffing processes, while striving to preserve merit and non-partisanship.⁵⁰

- In the clerks' reports, improved HR processes and systems were a priority as early as 2007,⁵¹ and modernizing the pay system has been a major initiative (and later a major concern) in most reports since then. The 2010 to 2012 annual reports conveyed steady progress with the Transformation of Pay Administration initiative,⁵² which encompassed both the centralization of pay functions and the modernization of the pay system. However, the results reflected in the 2014 report were overly optimistic and premature, in light of the subsequent infamous failures of the Phoenix pay system:

"We are also continuing to make progress to modernize the employee pay system, the largest payroll system in Canada, ... Planning for this transition was complex, but an innovative and effective solution was found, and we are seamlessly transitioning to a new system with no financial impact on employees." (Clerk of the Privy Council 2014, Annual Report page 23)

Since the unsuccessful launch of the Phoenix pay system in 2016, addressing the resulting challenges and issues has been a major preoccupation of the public service, and in 2018 the clerk indicated it was his "highest priority".⁵³

- In addition to HR modernization and the new pay system, the clerks committed to a number of other initiatives pertaining to HR management and renewal. While these are generally inter-connected, and as such not always easy to categorize, some of the more typical were centred on the following:

49 Clerk of the Privy Council 2012, Annual Report page 10

50 Clerk of the Privy Council 2016, Annual Report page 16; Also 2017 Annual Report page 29

51 Clerk of the Privy Council 2007, Annual Report page 25 (part of the "Enabling Infrastructure" priority)

52 Clerk of the Privy Council 2010, Annual Report page 4

53 Clerk of the Privy Council 2018, Annual Report Letter to the Prime Minister; Other examples, refer to Annex A Section 1.4 (re: 2017, 2018, 2019).

- 1] Classification reform and generic job descriptions;⁵⁴
- 2] Recruitment was a priority from 2007 to 2010, and included in the reports' annexes on renewal progress and results.⁵⁵ Recruitment is also present in more recent reports;⁵⁶
- 3] In 2014, the clerk reported finalizing the reform of public sector pensions, and in 2017 completing the Transformation of Pension Administration Initiative.⁵⁷
- 4] Simplifying HR business processes, and subsequently developing common HR business processes (footnotes ⁵⁸⁻⁵⁹).

The progress and current status of some of these initiatives were not easy to ascertain from the annual reports. For instance, in 2011 the clerk reported *"Initiatives such as the Common Human Resources Business Process have made personnel operations more streamlined and more efficient"* ⁵⁸, which appeared to proclaim success. However, 3 years later the issue is described rather as a work still in progress: *"By 2014–2015, federal departments and agencies will operate using common human resources business processes. ... ensuring we are well positioned to improve services for employees."* ⁵⁹ Subsequent annual reports did not provide further references to common HR business processes. There is a general absence of information on the results and outcomes of the aforementioned initiatives.

E. INTERNAL SERVICES, PROCESSES AND RULES (Annex A. Section 2.)

Closely tied to the study's main topic of management reforms, is the predominant public service goal to better its internal services, reduce administrative burdens and simplify rules and processes in order to improve efficiency and effectiveness. This is likely the most persistent and daunting of the clerks' challenges as evidenced by the number of related commitments and issues, spread-out over the last twenty annual reports. The clerks' ongoing and long-standing priorities in this area did not evolve much, which shed doubts on any claim of fundamental progress.

"We are removing unnecessary bureaucracy from our work processes with a focus on outcomes and accounting for results." (Clerk's 2000 Annual Report, page 7)

"I recognize that it is difficult to innovate when hampered by unnecessary rules. That is why unravelling the web of rules at both the public service and departmental levels must continue. ... There is an ongoing need to improve our back office, including our financial and human resources systems as well as related business processes." (Clerk's 2010 Annual Report, page 14)

"My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago: ... We must equip ourselves with modern tools, processes and organizational structures while stripping away unproductive and unnecessary bureaucracy." (Clerk's 2017 Annual Report page 33)

There is some unavoidable overlap between these priorities and others (e.g. HR Modernization and Management), since most of them also comprised business processes and tools that needed to be improved. The ongoing priority to render internal business processes more efficient and effective has been referred to by different aliases: reducing the administrative burden, red tape reduction, unravelling the web-of rules. The priority to improve internal services, rules and

54 Classification: Clerk of the Privy Council 2001, Annual Report page 25; Generic job descriptions: Clerk's 2008 Annual Report pages 12-13, and 2009 Report page 10
 55 Clerk of the Privy Council 2008 to 2011, Annual Reports Annexes
 56 Clerk of the Privy Council 2015, Annual Report page 18; 2018 Annual Report page 39
 57 Clerk of the Privy Council 2014, Annual Report page 21; 2017 Annual Report page 22
 58 Clerk of the Privy Council 2011, Annual Report page 5
 59 Clerk of the Privy Council 2014, Annual Report page 22

processes generally revolved around a number of notable initiatives, with diverging degrees of success.

1. In the wake of the relative success of the Service Canada initiative in consolidating some (external) services to Canadians, the clerk in 2005 committed also to introduce shared services for various enabling (internal) functions – information technology, HR management and financial management.⁶⁰ As we know, Shared Services Canada (SSC) was launched in 2011 to consolidate selected government-wide IT functions⁶¹, and Public Services and Procurement Canada (PSPC) consolidated pay services and operations for most departments in Miramichi, New Brunswick, as part of the Transformation of Pay Administration (prior subsection 2.3.D). Although the clerk in 2012 reiterated the need to do so,⁶² there have not been any other major initiative to introduce shared services for other HR, finance or enabling functions, mentioned in the annual reports.

With respect to SSC, despite some evident progress and previous assurances that the initiative was on track,⁶³ it was not entirely successful:

"SSC was created in 2011 to consolidate and modernize federal IT infrastructure and make it more secure. The scale, scope and complexity of the infrastructure transformation are unprecedented and involve extensive co-ordination across all organizations. With hindsight, the technical challenges, as well as the requirements for resources and expertise to implement this IT transformation agenda, were underestimated. ... As a result, progress has been slower than expected, and SSC has had no choice but to maintain some of the old infrastructure past ideal timelines." (Clerk's 2017 Annual Report, page 24)

2. As reported in 2005, the federal Budget had launched a reform of procurement and real property management to ensure the public service performs these functions with integrity and a commitment to value for money, as well as better leverage the government's buying power.⁶⁴ Subsequently, the 2010 Administrative Services Review (item 5. next page) also referred to real property as an area to be improved. As well, more than a decade after the 2005 Budget, as part of Procurement Modernization, PSPC and TBS were undertaking to simplify the process for low dollar value purchases, and expecting their approach would reduce the time spent on low dollar value contracts while increasing the reliability of the system.⁶⁵ After which, there were no further references to real property or procurement reforms in the annual reports, with the exception of a new (agile) procurement process limited to only digital goods and services.⁶⁶ While it is possible that these different initiatives provided incremental improvements, information on their overall results is elusive.

60 Clerk of the Privy Council 2005, Annual Report page 3

61 Clerk of the Privy Council 2012, Annual Report page 6: *"Shared Services Canada, launched in August 2011, is a new common-service organization that will consolidate the resources and personnel for more than 60 internal email systems, 300 data centres, and 3,000 electronic networks. This whole-of-government approach will enable us to modernize our systems, as well as improve efficiency and help lower the cost of our services."*

62 Clerk of the Privy Council 2012, Annual Report page 11: *"This whole-of-government approach [re SSC] will free up resources for higher value work. We need to adopt a more standardized approach for other key common services, such as human resources and finance."*

63 Clerk of the Privy Council 2014, Annual Report page 23: *"Shared Services Canada ... is on track to consolidate 63 different departmental email systems into a single, outsourced, enterprise-wide system by March 2015, a move that will improve service and realize over \$50 million of annual savings beginning in 2015–2016. Shared Services Canada is also moving forward to consolidate and modernize data centres, from over 485 to fewer than 10 ..."*

64 Clerk of the Privy Council 2005, Annual Report page 3

65 Clerk of the Privy Council 2017, Annual Report page 16

66 Clerk of the Privy Council 2019, Annual Report page 23

3. Transfer Payment reform was implemented, following the recommendations of the 2007 Blue Ribbon Panel on Grants and Contributions, which sought to streamline processes for both funding recipients and the public service.⁶⁷ As a result, in 2013 the Clerk reported tangible improvements in the delivery of grants and contributions (G&C), including the way they are processed and administered.⁶⁸ Our review of public service surveys and findings of the Auditor General validated that some tangible improvements stemmed from G&C reform (subsection 3.2.D and Section 4.3).
4. In 2009, TBS declared that the oversight and reporting burden on departments had been reduced by an estimated 10%. As well, the 2009 annual report indicated that TBS was on track to rescind an additional 30 policies, out of a commitment to rescind 136 in total.⁶⁹ Subsequent reports did not provide further indication of progress on this major commitment.
5. An Administrative Services Review was initiated, following Budget 2010, to examine ways to simplify and consolidate processes for internal services and services to Canadians.⁷⁰ The outcomes of this review were not described in future reports, except for a reference in the 2011 Report of the Prime Minister's Advisory Committee⁷¹. In 2012, the clerk commented that *"neither internal nor external services were supported by administrative processes and systems that enabled rather than hindered the work, while supporting accountability."*⁷² This reflected poorly on the likely outcomes of the Review, or the prior commitment to rescind a number of policies.
6. In 2014, under the Destination 2020 theme, a number of initiatives were announced to help improve office productivity. The 2015 annual report identified nine of these:⁷³ Red Tape Tiger Team; The Hub [a central policy innovation resource/focal point], Enhanced directory of federal public servant [GEDS 2.0]; Desktop video conferencing; Wi-Fi access; Enterprise-wide commitment to learning; GCPedia and GCConnex; On-line second language practice tests; Public service of Canada landing page. However, not all of these pertained directly to simplifying the public service's internal business processes, and for many their final status and benefits went mostly unreported.
7. In 2015, under TBS's Red Tape Reduction Tiger Team, *"170 projects across 45 departments were underway to streamline process and cut red-tape."*⁷⁴ In 2017, the Clerk reported the results of broad consultations by the Tiger Team:

67 Clerk of the Privy Council 2008, Annual Report page 18

68 Clerk of the Privy Council 2013, Annual Report page 8

69 Clerk of the Privy Council 2009, Annual Report page 9; and Annex C - Results from the Public Service Renewal 2008-09 Action Plan, page 45

70 Clerk of the Privy Council 2010, Annual Report page 10

71 *"Implementation of the measures flowing from the 2010 Administrative Services Review should be seen as a priority. Building on the work of the ASR team, the Government should: • ... shift away from building costly, customized systems and move toward enterprise-wide administrative services ...; • Draw on proven business strategies to leverage technology and integrate back-office systems; • Put in place an appropriate governance and accountability regime to drive this initiative over the medium term; • ... consolidating front-office delivery mechanisms, with a view to ensuring seamless service delivery ...; • Be prepared to innovate and learn from experience as the initiative proceeds."*, Clerk's 2011 Annual Report, Annex C: *"Report of the Prime Minister's Advisory Committee on the Public Service"*, pages 7-8

72 Clerk of the Privy Council 2012, Annual Report page 11

73 Clerk of the Privy Council 2015, Annual Report, Annex B: Destination 2020 Progress—Enterprise-Wide Initiatives

74 Clerk of the Privy Council 2016, Annual Report page 9

"Employees reported difficulty getting clear directions, siloed information, and poor client service, as well as process overload and cumbersome technology. The Tiger Team found that internal red tape is a significant issue for public servants in all departments across all regions, and internal red tape is about more than just rules; it is also about how people react to rules." (Clerk's 2017 Annual Report, page 21)

In the same report, the clerk indicated TBS was taking steps to address the Tiger Team's recommendations, including a Policy Suite website and internal services measures to be included as part of the Management Accountability Framework process. There is no further mention of the Tiger team's recommendations, the Policy suite website or internal service measures in the subsequent annual reports.

8. Two important initiatives were aimed at improving public service connectivity and networking – the GCTools suite of online applications and Workplace 2.0. The GCTools suite or its main components – GCpedia, GCconnex, GCcollab, GCdirectory [GEDS], GCintranet (etc.) – were referred to regularly, starting with the 2010 annual report, as innovative means to foster productivity and connect public servants and others:

"The number of users of GCconnex and GCpedia has grown steadily since their launch in 2008. ... and the number of GCconnex users passed the 100,000 mark in late 2016. This year saw the creation of GCcollab, a collaboration tool outside the federal firewall to bring together students, academics and public servants at all levels of government, as well as anyone with whom we need to collaborate by invitation." (Clerk's 2017 Annual Report, page 28)

However, these tools were not a unanimous success, and many employees voiced their frustration over issues related to workplace tools and technologies more broadly, as well as workspaces.⁷⁵ With respect to workspaces, the goal of the *Workplace 2.0* initiative was to modernize public servants' work environment, including their physical workspaces and updating the technologies and systems to better support their work. In 2013, the Clerk first reported unreservedly on the benefits of Workplace 2.0⁷⁶, but by 2018 recognized the initiative had some notable shortcomings and required some rethinking:

"When the government launched Workplace 2.0 in 2012, it set out to create modern workplaces that change the way we work. ... I am convinced that these goals were the right ones. But I have also heard from public servants that we have fallen short on what we set out to do. Too much valuable space was dedicated to storing records, and not enough to collaborative work. ... The majority of our employees still lack the combination of portable computers, Wi-Fi and videoconferencing capability that would allow for a more connected, collaborative way of working. Our approach to workplace design has not worked for everyone. In the future, workplaces will be developed with public servants." (Clerk's 2018 Annual Report, page 36).

F. GOVERNANCE AND OVERSIGHT

(Annex A. Section 3.)

Some of the clerks' goals and priorities related to the mechanisms and means that define how the senior executive cadre governs and administers the public service, although these were not as prevalent as the priorities under the previous topics. Matters of interest under this category would include, for instance: strategic direction, senior responsibilities and accountabilities, authority and delegation, oversight and associated mechanisms, governance structures and functional direction. As well, governance issues in the annual reports were, for the most part,

75 *"Many also expressed their frustration over issues related to the pay system, workplace tools and technologies, and work spaces. These are all areas in which we know we need to do better, and we will."* Clerk of the Privy Council 2017, Annual Report page 17

76 Clerk of the Privy Council 2013, Annual Report page 8

more in the nature of intents, comments or decisions already made, rather than explicit commitments or planned initiatives. While not comprehensive, the next items provide an indication of some of the governance related topics in the clerks' reports.

- The clerks reports were initially more centered on management principles and concepts, for instance around longstanding questions such as centralization-decentralization, empowerment versus control. This appeared consistent with earlier government reforms often grounded on principles emphasising empowerment and decentralisation.⁷⁷

"We are moving away from a traditional model of public service based on hierarchical, directive management. We are leaving behind a public service where ... vertical, top-down communications approaches were the norm." (Clerk's 2001 Annual Report, page 3)

Starting in the mid-2000s, as well as more recently, the public service has manifestly gravitated back towards more "enterprise-wide" centralized approaches and models:⁷⁸

"In the early 1990s, many popular management theories emphasized innovation and service, and devalued rules and control. ... these theories influenced the practice of public administration ... We began moving away from transactional controls and gave managers more latitude to innovate ... But we also lost some of our rigour. We removed some departmental controls while we were reducing central oversight. ... In our drive to serve Canadians better, we may have lost sight, sometimes, of the basics. Now we have to get the balance right. We have to restore the rigour without smothering the creativity." (Clerk's 2004 Annual Report, pages 4-5)

"... the Treasury Board's policy statement, Results for Canadians, which marked a clear and deliberate move to a government-wide management style that is results-driven and principle-based ..." (Clerk's 2004 Annual Report, pages 2-3)

"We are guided by the four principles of our Blueprint 2020 vision: ... A whole-of-government approach that enhances service delivery and value for money;" (Clerk's 2015 Annual Report, page 3)

- There were many references to oversight in the clerks' reports, which sometimes appeared contradictory. Depending on the context, oversight was alternatively positioned as a valuable function or as an excessive burden that impeded innovation and accountability.⁷⁹ As per the quote above (2004 pages 4-5), the public service woes of that period⁸⁰ were unmistakably linked to a reductions in controls and oversight. Similarly, in 2017, in the aftermath of the pay system's problems, it was deemed critical to provide better oversight support (training) to executive with responsibilities for managing large-scale projects.⁸¹ Otherwise, the clerks more frequently endorsed – particularly from 2007 to 2013 – the

77 Examples: The Royal Commission on Government Organization (Glasco - 1962) was based on the principle "let the managers manage"; The TBS initiative on "Increased Ministerial Authority and Accountability" (IMMA - 1986) endorsed increased managerial flexibility and less central controls; Public Service 2000 (1990 White Paper) advocated for simplified administrative functions and controls. Refer to "[Public Service Renewal - From means to ends](#)", Ole Ingstrup, Canadian Centre for Management Development, March 1995, pages 5-7

78 Refer also to Figure 1. on page 23, particularly with respect to renewal themes under 2013 and 2014-2017

79 Selected examples:

1] "... restore a better balance between oversight and flexibility and to remove unproductive restrictions that prevent public servants from managing for results ...", Clerk of the Privy Council 2007 Annual Report page 27;

2] "TBS has reduced central oversight on high-performing departments ...", Clerk's 2009 Annual Report page 9;

3] "The [PM's Advisory] Committee's report calls for: ... examining the oversight regime, with a view to reducing multiple reporting requirements without sacrificing accountability. The Committee's valuable analysis and recommendations should be read in conjunction with this report.", Clerk's 2011 Annual Report page 8

80 "The reputation of our institution has been damaged in recent years. Core competencies have been criticized and questioned. There have been public controversies about the way we managed grants and contributions, distributed sponsorship funds and managed a national registration system.", Clerk's 2003 Annual Report page 7

81 Clerk of the Privy Council 2017, Annual Report page 22

notion of reducing the oversight burden. The Reports of the Prime Minister's Advisory Committee on the Public Service, appended to the clerks' reports, often addressed in more depth issues of governance, oversight and accountability:

"Yet the Committee is concerned about the cumulative impact of the various oversight and accountability mechanisms that have been created over many years, and the resulting cost and complexity of the current oversight regime. ... we are concerned that the costs of operating this complex regime may be disproportionate to the benefits. Our concern is not so much with the new parliamentary mechanisms but rather with operating a system that is becoming more concerned with how things are done than with what is done for Canadians. Proper oversight and accountability are essential to a well-functioning democracy, but over time current arrangements are having unintended consequences. We believe that quality of oversight is more important than quantity." (Clerk's 2011 Annual Report, Annex C page 6)

While the reflections and recommendations of the Advisory Committee were not necessarily always the same as the priorities of the clerks, there was ample concurrence on the notion of curtailing the oversight burden (footnote 79).

- Governance's eclectic theme is naturally interwoven with issues such as oversight, accountability, roles and responsibilities, and the likes. In this light and in addition to initiatives identified in previous sections (e.g. HR modernization and management), the annual reports related other governance centric initiatives and results, such as:
 - 1] Establishing the comptrollership function centrally and in departments, to enhance spending oversight (Clerk's 2004 Annual Report, page 8);
 - 2] The creation of the Expenditure Review Committee focused on transformative strategic changes (Clerk's 2005 Annual Report, pages 1-2);
 - 3] Launch of the Management Accountability Framework:
"Service transformation and resource reallocation are part of a larger management agenda for the Public Service through which we are continuing to strengthen governance and accountability. We introduced the Management Accountability Framework, ... which sets out a rigorous accountability regime." (Clerk's 2005 Annual Report page 4)
 - 4] The Office of the Comptroller General added a new policy on internal audit, which enhanced the function's independence and assurance role and created advisory departmental audit committees (Clerk's 2006 Report, page 3);
 - 5] The Deputy Ministers' Board of Management and Renewal was created to provide shared stewardship, leadership and a single enterprise management approach where appropriate (Clerk's 2013 Annual Report, page 12).

The more recent annual reports offer less reflections or considerations of matters of how the public service is, and should be, governed and organised.

G. PERFORMANCE PLANNING, INFORMATION AND REPORTING (Annex A. Section 4.)

As evidenced earlier,⁸² the clerks have extolled the virtues of properly planning and defining performance objectives, measuring and monitoring progress, focussing on outcomes and reporting on results. However, it has been a challenge for the public service to deliver on these good intentions, both in the context of Public Service Renewal and more broadly across government. The next few paragraphs highlight the clerks' main points.

82 Refer to quotes presented previously in Section 2.2

- The clerks' various commitments to improve performance information and report results most often were made in the specific setting of Public Service Renewal, while in other cases they applied more widely to all government activities. For instance, in 2018, the launch of the Impact Canada initiative was to permit experimentation with outcomes-based funding.⁸³ The clerks' reported progress with respect to improving performance information and reporting broadly across government was chiefly focused on the following:
 - ✓ The Results for Canadians policy statement and initiative (Clerk's 2004 Report, page 2);
 - ✓ Introduction of the Management Accountability Framework (Clerk's 2005 Report, p4);
 - ✓ Changes in the Estimates process and reporting to Parliament (Clerk's 2006 Report, p6);
 - ✓ Creation of the Results and Delivery unit in PCO, as part of the "deliverology" initiative (refer to subsequent item and Clerk's 2017 Report page 16);
 - ✓ The 2016 Treasury Board Policy on Results (Clerk's 2017 Report page 16);
 - ✓ The "Canada.ca/results" website and mandate letter tracker system (refer to subsequent item and Clerk's 2018 Report page 14).
- Valid efforts were made to explicitly report on renewal's key commitments and activities through the Public Service Renewal Action Plans and Progress Reports of 2007-08 to 2010-11, which were annexed to the clerks' annual reports (2008 to 2011). These progress reports were a definite step forward. They presented a brief summary of results and progress, often quantified, against the action plan's major commitments, and grouped under renewal's 4 chief pillars in effect at the time (5 in 2010; refer to Figure 1 on page 23).

While these plans/progress reports were a big improvement over prior annual reports' less structured performance information, they did have some drawbacks. The progress reported was mostly in the nature of activities undertaken (i.e. outputs) and rarely on results or benefits achieved (i.e. outcomes). Further, the action plans and most commitments evolved and changed each year making it difficult, if not impossible, to properly discern the actual results and status of multi-year commitments. Even so, the main downside was that these Action Plans and Progress Reports were not replaced with anything better or as structured and informative.

- In the context of the recent government's "deliverology approach" (May 2019), the Clerk indicated in 2018 that the Government was moving "... toward a more rigorous reporting of implementation milestones and results. We are publicly tracking these efforts through the *Canada.ca/results* website."⁸⁴ This referred to the Mandate Letter Tracker system and website, which did provide valuable information on the status of the various commitments in the Prime Minister's mandate letters to his ministers – a total of 432 commitments were recorded as of June 2019. However, for the most part, these did not necessarily include the clerks' public service renewal priorities. For those mandate letter commitments that appeared to intersect renewal priorities,⁸⁵ progress in the tracker was again reported more in terms of funding provided and activities undertaken, and seldom as actual results achieved.

83 Clerk of the Privy Council 2018, Annual Report page 15

84 Clerk of the Privy Council 2018, Annual Report page 14

85 Examples : "Implement an Innovation Agenda", "Ensure public servants paid accurately and promptly", "Modernize procurement practices", "Improve the delivery of IT and renewal of Shared Services Canada", "Take a more modern approach to comptrollership". refer to <https://www.canada.ca/en/privy-council/campaigns/mandate-tracker-results-canadians.html> (as of 13 April 2020)

In addition, at the time of this study the tracker database had been archived pending an update, and reflected progress only up to June 2019. Nonetheless, the continued use of such a tool could be of substantial benefit to track the results of major reform initiatives, as well as broader government priorities.

- While the clerks often voiced their intentions to monitor and report the results (i.e. outcomes) of renewal and reform initiatives,⁸⁶ they were generally not effective at doing so in the 20 annual reports reviewed (Annex A.). With the partial exception of the Public Service Renewal Action Plans and Progress Reports referred to above, most endeavours in this regard fell short of intentions or were incomplete for different reasons.
 - 1] The reported progress and results often related to initiatives that had not been previously identified as priorities or commitments in prior annual reports, and thus their intended objectives and planned performance and outcomes were not described ahead of time.⁸⁷ This could allow the selective reporting of successful initiatives, or reporting as successes initiatives whose results were not at par with initial expectations. It was also not consistent with the qualities of sound reporting espoused by the clerks, such as to *"... set priorities, year by year, and define clear, credible goals against which we can measure and report on progress over the next five year."* (refer to Section 2.2).
 - 2] Recent annual reports emphasized, as part of progress on Public Service Renewal, individual departments' initiatives and successes,⁸⁸ despite the clerks' numerous prior indications to favour whole-of-government or enterprise-wide approaches.⁸⁹ While these departmental initiatives were possibly quite beneficial, they did not truly represent substantial progress against broader government-wide renewal themes and objectives.

86 *"My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago: ... We must be able to measure how we are working and the outcomes we are achieving, so we can learn."* Clerk of the Privy Council 2017, Annual Report page 33; Refer also to quotes in previous Section 2.2, and to Annex A -Section 4.

87 Selected examples:

1] In 2005, results included the *"extraordinary efforts and results of program review"*, and the introduction of the Management Accountability Framework (2005 report pp 1-2, 4). These initiatives were not identified in prior reports;
 2] The important initiatives to re-establish the Office of the Comptroller General (2005 Annual Report p5) and to create the Office of the Chief Human Resources Officer (2009 Annual Report p4) were reported once completed;
 3] *"... the 2016 Treasury Board Policy on Results is improving how departments articulate the results they aim to achieve and how they measure and evaluate performance."* (2017 Annual Report p16) No mention of the planned Policy in prior reports;
 4] The "Canada.ca" and the "Canada.ca/results" websites were both reported launched in annual reports (2014 Annual Report p5; 2018 Annual Report p14), without mention of these major planned initiatives in prior reports.

88 Selected examples:

1] In 2011, change of emphasis in favor of reporting of departmental initiatives: *"Deputies are being asked to report by February 1, 2012, on their efforts and accomplishments in support of renewal."*, Clerk's 2011 Annual Report p14
 2] In 2015, the Blueprint 2020 vision is redefined according to 3 groups: *"We are already beginning to move forward toward the expected results of the Blueprint 2020 vision. Initiatives are under way in departments and agencies, within functional communities and professional networks, and through enabling enterprise-wide initiatives."*, Clerk's 2015 Annual Report p7

89 Selected examples:

1] *"... Treasury Board's policy statement, Results for Canadians, which marked a clear and deliberate move to a government-wide management style that is results-driven and principle-based, ..."*, Clerk's 2004 Annual Report p3;
 2] *"Using a whole-of-government approach, we can lower costs while improving the quality of service ..."*, Clerk's 2011 Annual Report p11;
 3] *"Embracing Enterprise Approaches - ... However, there are limits to what can be achieved on an individual departmental basis. This is why we continue to look to whole-of-government solutions to modernize the way we run our internal operations, serve Canadians, and manage people."*, Clerk's 2013 Annual Report p11;
 4] *"... I will be articulating the first round of government-wide priorities for the ongoing modernization of the Public Service in Destination 2020 ..."*, Clerk's 2014 Annual Report p25.
 5] Refer also to quote in Section 2.1 – Clerk's 2007 Annual Report p1

As well, while renewal was primarily focused internally on improving the capacity, resources, organization and work environment of the entire public service, in more recent reports the line became blurred between reporting progress on internal workings of the public service government-wide, and reporting on individual external programs and service delivery to Canadians.⁹⁰ However, government-wide service delivery priorities, involving multiple departments, were every so often part of Public Service Renewal (subsection 2.3.H).

- 3] Many renewal commitments and priorities went unreported in subsequent annual reports, or evolved considerably, and it was unclear whether they were still active or what benefits were actually achieved. Other commitments were too generic or their progress rarely reported and measured against explicitly planned outcomes or targets.⁹¹ As well, progress was seldom reported over a sufficiently long time horizon to clearly show trends and track progress, such as the five year period previously proposed by the clerk in 2007 (previous page item 1] and Section 2.2).

These observations may be due, at least in part, to the different emphasis clerks have placed on their annual reports. For instance, the 2007 report had 4 objectives⁹² none of which were focused on reporting progress. However, this was atypical and contrary to the multiple representations on the importance of reporting results (footnote 86).

- Mostly in the last decade, the clerks have favored using the results of the Public Service Employee Surveys (PSES) as key indicators of progress.⁹³ Survey results were regularly cited in annual reports, especially in recent years (e.g. 2018 and 2019). While PSES results were sometimes quoted for general context,⁹⁴ in other instances they implied explicit progress and outcomes. However, the specific PSES indicators utilised were not necessarily all intended to be well-aligned with renewal objectives or strategic outcomes. Therefore, the attribution of PSES results to specific initiatives or reforms could be ambiguous, and the reporting of these results was often not conclusive or progress clearly demonstrated.

90 For instance, per the lead-in to the 2015 annual report section "Moving Forward" (page 7): *"We are already beginning to move forward toward the expected results of the Blueprint 2020 vision. Initiatives are under way in departments and agencies, within functional communities and professional networks, and through enabling enterprise-wide initiatives."* While Blueprint 2020 principles were initially internally focused on the PS's environment, workplace and workforce (Figure 1. p23), most examples under "Moving Forward" related to specific programs and services (e.g. forest sector innovations, Library and Archive digitization, Service Canada's retirement income calculator, MyCRA tax application, government response to Ebola, Industry Canada's high speed network access (etc.)

91 Selected examples:

1] *"There will be more to say about all these important subjects in future reports, and specifically about the challenge of balancing the demand for increased accountability with the imperatives of modern, innovative management."* (Clerk's 2007 Annual Report p29). No further references to balancing increased accountability in subsequent reports;

2] *"We are already beginning to move forward toward the expected results of the Blueprint 2020 vision."* (Clerk's 2015 Annual Report p7). In the many (71) references to "Blueprint 2020" in the 2014 to 2019 annual reports there are no expected results explicitly identified, only broad guiding principles and specific initiatives under Destination 2020

3] As indicated, the Administrative Services Review (footnote 70) was identified in 2010 as a priority, but its results or impacts were not described in subsequent reports (see subsection 2.3.E "Internal Services, Processes and Rules")

92 Clerk of the Privy Council 2007 Annual Report pages 1-4; section "Purpose of this report"

93 Examples:

1] *"The survey will provide a baseline for measuring future progress in renewing the workplace and the results serve as an important information source for the People Management Dashboard."* Clerk's 2010 Annual Report p46;

2] *"I am committed to using all the Public Service Employee Survey findings to identify other areas where we need to act to build a workplace that supports our Blueprint 2020 vision."* Clerk's 2015 Annual Report p15;

3] *"We will be measuring and tracking progress as we go. The results of the Public Service Employee Survey will serve as a key tool to analyze our progress across the Public Service ..."* Clerk's 2019 Annual Report p21

94 Example: the Clerk's 2007 Annual Report (pages 3-4) quotes selected PSES results in support of the Public Service's general "sense of pride and purpose" (i.e. 59 percent response rate, 90 percent proud of the work done in their unit, 96 percent strongly committed to making their organization successful, 80 percent felt theirs was a good place to work)

Figure 2 below and on the following pages compares the results of past PSES exclusively for those indicators that were reported in the Clerk's 2018 or 2019 annual reports.

Figure 2. Comparison of PSES Results in the Clerk's 2018 & 2019 Annual Reports

PUBLIC SERVICE EMPLOYEE SURVEYS (1)				CLERKS' ANNUAL REPORTS	
Indicators (Survey Question References)	Survey Year	Positive Answers	Negative Answers	Presented in Reports	Observations or Trends
Engagement					
1] I am proud of the work I do (2019 Q#12) • I am proud of the work carried out in my work unit (2005 Q#33) - See Notes	2019	85%	5%	2018 p3: 87%	Positive answers, but suggest waning results since 2011
	2018	85%	5%		
	2017	87%	5%		
	2014	88%	4%		
	2011	89%	4%	2007 p3: 90%	Surveys differed in 1999-2005 as did not provide choice of a neutral answer
	2005	90%	9%		
2002	92%	8%			
1999	86%	10%			
Empowerment					
2] I am encouraged to be innovative or to take initiative (2019 Q#14) • Idem (2011 Q#16) - See Notes • Idem (2005 Q#16) - See Notes	2019	68%	16%	2019 p25: 66% 2018 p22: 67%	Results suggest no notable improvements or recent change (except for decline in 2014)
	2018	66%	18%		
	2017	67%	18%		
	2014	63%	21%		
	2011	81%	17%	1999-2011 surveys differed with no neutral choice. Pos. answers included "always/often/sometimes". Neg replies were consistent.	
	2008	81%	17%		
	2005	84%	15%		
	2002	82%	17%		
1999	84%	16%			
3] I feel I would be supported if I proposed a new idea (2019 Q#47)	2019	63%	17%	2018 p40: 58%	Results suggest a notable improvement in 2019
	2018	57%	20%		
	2017	58%	21%		
Organizational Performance					
4] The quality of work suffers because of too many approval stages (2019 Q#18c) • Idem (2005 Q#12c) - See Notes	2019	29%	41%	2018 p35: 43%	Overall, results are negative and fairly stable since 2008 (minor improvement in 2019)
	2018	26%	43%		
	2017	26%	43%		
	2014	23%	48%		
	2011	25%	45%	Surveys differed in 1999-2005 with 1 less answer choice. Results also negative	
	2008	25%	43%		
	2005	22%	39%		
	2002	25%	35%		
1999	26%	35%			
5] The quality of work suffers because of complicated/unnecessary business processes (2019 Q#18g)	2019	30%	38%	2018 p40: 41%	Results suggest some improvement, although overall still more negative
	2018	25%	42%		
	2017	26%	41%		
	2014	23%	44%		
Pay and Compensation					
6] To what extent has your pay or compensation been affected by the pay system (2019 Q#82)	2019	26%	74%	2019 p27: 70% 2018 p40: 69%	Results indicate worsening
	2018	30%	70%		
	2017	31%	69%		
7] Satisfied with support from department/agency to resolve pay/compensation issues (2019 Q#85)	2019	39%	41%	2019 p27: 36% 2018 p40: 36%	Results suggest improvement. Overall still negative
	2018	36%	44%		
	2017	36%	46%		
Workplace Well-being					
8] Extent pay or compensation issues causes you stress at work (2019 Q#74a)	2019	52%	28%	2019 p27: 32% 2018 p40: 34%	Results suggest improvement in 2019. Still substantial negative answers
	2018	46%	32%		
	2017	46%	34%		

PUBLIC SERVICE EMPLOYEE SURVEYS (1)				CLERKS' ANNUAL REPORTS	
Indicators (Survey Question References)	Survey Year	Positive Answers	Negative Answers	Presented in Reports	Observations or Trends
9] My department/agency does a good job of raising awareness of mental health (2019 Q#77)	2019	73%	12%	2019 p29: 71% 2018 p40: 67%	Results indicate improvement since 2017
	2018	71%	13%		
	2017	67%	15%		
10] I would describe my workplace as psychologically healthy (2019 Q#78)	2019	61%	22%	2018 p40: 56%	Results indicate improvement since 2017
	2018	59%	23%		
	2017	56%	26%		
11] Supervisor creates environment where I can discuss matters that affect my well-being (2017 Q#35)	2019	n/a	n/a	2018 p40: 81%	No comparative results. Indicator was dropped after only 1 year
	2018	n/a	n/a		
	2017	81%	11%		
Work-life Balance / Workload					
12] My immediate supervisor supports flexible work arrangements (2019 Q#29) • Idem (2005 Q#29) - See Notes	2019	82%	10%	2018 p40: 80%	Results suggest improvements since 2011 1999-2005 surveys differed with no neutral answer choice.
	2018	n/a	n/a		
	2017	80%	12%		
	2014	78%	13%		
	2011	75%	15%		
	2008	n/a	n/a		
	2005	69%	15%		
2002	69%	16%			
1999	n/a	n/a			
Respectful Workplace					
13] Every individual is accepted as an equal member of the team (2019 Q#21) • Every individual, regardless of ..., would be/is accepted as an equal member of the team (2011 Q#27) • Idem (2005 Q#39) - See Notes	2019	75%	16%	2019 p31: 72% 2018 p40: 73% 2012 p13: 88%	Results fairly consistent since 2014, with slight improvement in 2019. However, notable decline compared to earlier years, beyond what should be due to minor changes to the question and no neutral choice in 1999-2005
	2018	72%	18%		
	2017	73%	17%		
	2014	73%	18%		
	2011	88%	7%		
	2008	85%	9%		
	2005	90%	8%		
2002	90%	9%			
1999	87%	10%			
14] My department/agency supports a diverse workplace (2019 Q#49)	2019	79%	7%	2018 p40: 76%	Results consistent since 2014, with minor decline in 2017
	2018	78%	7%		
	2017	76%	8%		
	2014	79%	7%		
15] My department/agency respects individual differences (2019 Q#48)	2019	75%	11%	2019 p28: 78%	Results suggest some improvement since 2011, with partial decline in 2019
	2018	78%	9%		
	2017	78%	9%		
	2014	78%	9%		
	2011	72%	12%		
Harassment / Discrimination					
16] Have you been the victim of harassment on the job in the past 12 months ? (2019 Q#58) - See Notes • Have you been the victim of harassment on the job in the past 2 years ? (2017 Q#63) - See Notes • In the past 2 years , have you been the victim of harassment on the job? (2011 Q#59) - See Notes • Idem (2005 Q#54) - See Notes	2019	86%	14%	2018 p40: 18%	Changes to the questions' time period (2 years to 12 months) suggest likely worse results in 2018/19 despite slightly better %s than in 2014/17 2008/11's worse results likely due to the survey's different answer choices for those 2 surveys ⁹⁵
	2018	85%	15%		
	2017	82%	18%		
	2014	81%	19%		
	2011	71%	29%		
	2008	71%	28%		
	2005	78%	22%		
2002	79%	21%			

95 Answer choices to question #71 in 2008 and #59 in 2011 on harassment were: "Never; Once or Twice; More than Twice". Refer to actual PSES reports on TBS website (link provided with Notes at the end of Figure 2.)

PUBLIC SERVICE EMPLOYEE SURVEYS (1)				CLERKS' ANNUAL REPORTS	
Indicators (Survey Question References)	Survey Year	Positive Answers	Negative Answers	Presented in Reports	Observations or Trends
17] Have you been the victim of discrimination on the job in the past 12 months ? (2019 Q#66) • Have you been the victim of discrimination on the job in the past 2 years ? (2017 Q#75) • In the past 2 years , have you been the victim of discrimination on the job? (2011 Q#66) - Notes • Idem (2005 Q#58) - See Notes	2019	92%	8%	2018 p40: 8%	Changes to the questions' time period (2 years to 12 months) indicate worse results in 2018/19 despite same %s as in 2014/17 Poorer results in 2002/11 likely due to the survey's different answer choices for those 4 surveys (see previous footnote ⁹⁵)
	2018	92%	8%		
	2017	92%	8%		
	2014	92%	8%		
	2011	86%	14%		
	2008	82%	18%		
	2005	83%	17%		
	2002	83%	17%		

Notes - Figure 2

- (1): The table presents the comparative PSES results only for those PSES results that were included as indicators in the Clerk's 2018 or 2019 annual reports. The comparability of some results over the years are impacted somewhat if the text of the questions was modified (refer to 1st column) or if the answer choices were not identical. Where there were such changes, dashed lines separate the results. The PSES reports are available at: <https://www.canada.ca/en/treasury-board-secretariat/services/innovation/public-service-employee-survey.html> (21/04/2020)
- n/a: Not available

The comparison depicted in Figure 2 supports the ensuing observations:

- 1] With few exceptions, the majority of PSES indicators were presented in the annual reports as a single measure or data point, without reference to previous results and related trends or progress (e.g. results better or worse than before?). This although trends were often available or could be deduced from previous surveys.
- 2] The indicators were not presented in relation to performance targets or intended results. Consequently, it was not always evident whether reported results were either good or bad. For instance: "66% are encouraged to be innovative or to take initiative ..." or "58% felt they would be supported if proposed a new idea" (Figure 2. items 2 and 3).
- 3] The indicators used in the annual reports were small subsets of those available through the PSES. It is not clear how the indicators in the annual reports were selected, which raises some doubts as to whether the selection was opportunistic and favoured more positive results. As well, other indicators, which appeared aligned with past renewal priorities, were not selected.⁹⁶
- 4] Most importantly, based on the trends for those PSES indicators included in the 2018 or 2019 annual reports, the overall results were mixed. When compared to results available for all years of the PSES, about half of the reported indicators showed some improvements, while the other half either showed no notable changes or worsened. In addition, some results that were improving were nonetheless still quite negative (Figure 2. items 4, 5 and 7).

⁹⁶ While we did not examine in detail the selection of indicators used in annual reports, a cursory review of the 2019 PSES shows that under the categories "Engagement" and "Work-life Balance and Workload" (per Fig 2.) the indicators reported were the ones with higher positive results. Also, no indicators were reported from other pertinent PSES categories such as "Performance Management", "Job Fit and Development" and "Physical Environment and Equipment"

H. SERVICE DELIVERY AND INFORMATION TECHNOLOGY (Annex A. Section 5.)

Renewal priorities were primarily focused internally on the public service, such as around improving capacity, resources, workplaces, employee health, processes and systems, and the likes. This was exemplified through the clerks' renewal themes summarised previously (Figure 1 page 23). However, there has also been a recurring external "service to Canadians" or service delivery component interwoven in renewal, and usually with an IT perspective. In 2000 to 2002, Service Delivery was one of renewal's 3 key pillars, in 2004 it was identified as a priority, and later one of Blueprint 2020's guiding principles was "A whole-of-government approach that enhances service delivery and value for money".⁹⁷ These service delivery priorities were distinct from the more internally oriented management priorities and reforms, which are the foremost focus of this study.

The next paragraphs identifies the most prominent of the clerks' government-wide service delivery reforms.

- From 2000 to about 2004, the clerks' priorities included increasing connectivity and on-line presence for departmental programs and services, the Government On-Line initiative, and increasing service delivery options through service transformation.⁹⁸ Reported progress included establishing Service Canada Centres, use of the "1-800 O-Canada" service line, and launch of the Government of Canada Web site "www.canada.gc.ca".⁹⁹

In 2000, the government made a bold commitment: "... by 2004, it would "be known around the world as the government most connected to its citizens, with Canadians able to access all government information and services on-line at the time and place of their choosing." ¹⁰⁰ Subsequent annual reports did not account for progress specifically against this goal, but reported once on a somewhat attenuated version: "... we have met the first-year targets of the Government On-Line initiative, thus moving the Government closer to putting information and service on-line by 2004." ¹⁰¹

- In 2005, the Service Canada initiative was reported newly launched and would provide integrated, one-stop access to services by phone, on the Internet and in person. However, Service Canada was also cited five years earlier, in 2000, as the "new integrated service delivery network" to obtain one-stop service in person, by phone or the Internet.¹⁰²

Regardless of its actual launch date, Service Canada's successes were underscored in many subsequent annual reports, including most recently in 2019.¹⁰³ There is, however, some

97 Clerk of the Privy Council 2015, Annual Report page 3

98 Refer to: Clerk's 2000 Annual Report pages 3-4; 2001 Annual Report page 11; 2004 Annual Report page 8

99 Refer to: Clerk's 2001 Annual Report page 11; 2004 Annual Report 2004 page 3

100 "In the Speech from the Throne, the Government set out its goal of becoming a 'model user of information technology and the Internet' and its goal that, by 2004, it would 'be known around the world as the government most connected to its citizens, with Canadians able to access all government information and services on-line at the time and place of their choosing.'" Clerk's 2000 Annual Report page 3

101 Clerk of the Privy Council 2000, Annual Report page 11

102 Refer to Clerk's 2005 Annual Report page 2, and Clerk's 2000 Annual Report page 3.

103 Selected examples:

1] "The Service Canada initiative is now in place, launching a new approach to serving Canadians. ... ultimately making it easier for Canadians to obtain the help they need in one place.", Clerk's 2006 Annual Report page 3;

2] "We have moved toward more citizen-focused service delivery. For example, Service Canada provides single-window access to a wide range of Government of Canada programs and services." Clerk's 2012 Annual Report page 5;

incongruous statements regarding Service Canada's progress. The 2014 annual report compared modernization in 2009 and 2014, and noted that in 2009 "*Service Canada well established, but included a limited number of government services*",¹⁰⁴ despite that much earlier it had also been reported that "*Service Canada ... gives citizens one-stop access to information on more than 1,000 federal programs and services.*"¹⁰⁵

- From 2005 to 2010, there was a lull in the annual reports' emphasis on service delivery. This was confirmed in 2011:

"A decade ago, Canada was seen as an international leader in service delivery through initiatives such as Government On-Line. But we have lost momentum. ... our "vertical" department-by-department approach to service delivery is more than just inefficient—it is failing to meet Canadians' expectations for one-stop, single-window services." (Clerk's 2011 Annual Report, pages 10-11)

- Starting around 2011, there was a rekindling of government-wide priorities focussed on service delivery. Some of the most prevalent included:
 - ✓ More effective regulations through the U.S.-Canada Regulatory Cooperation Council and Red Tape Reduction Commission (Clerk's 2011 Annual Report, page 11);
 - ✓ Open Government priority, regrouping Open Data, Open Information and Open Dialogue (Clerk's 2012 Annual Report, page 5);
 - ✓ Transformation and consolidation of the Government's web-presence (Clerk's 2013 Annual Report, page 12);
 - ✓ As part of Blueprint 2020's guiding principles, "*a whole-of-government approach that enhances service delivery ...*" (Clerk's 2015 Annual Report, page 3);
 - ✓ The National Cyber Security Strategy to help protect Canadians' information (Clerk's 2018 Annual Report, page 8).

The clerks' reported progress also referred to a number of other related activities, such as: easier access and sign-on to online services, enhanced access to the Open Data Portal, increased internet access for rural households, the Federal Geospatial Platform, the Canadian Digital Service, release of the Data Strategy Roadmap to enhance the public value of government information. In addition, there were numerous departmental or program specific improvements outlined in the annual reports, which, while not government-wide, should have helped improve services to Canadians. Nonetheless, the reported progress focused mainly on activities and initiatives completed, and much less on tangible results or outcomes achieved such as information on the ensuing benefits for people and organizations.

2.4 GENERAL OBSERVATIONS

The annual reports of the clerks of the Privy Council – as heads of the public service – are a valuable instrument from many perspectives, and a unique source of insight on the vision, priorities and status of the public service throughout the years. Any critical observations herein

3] "*7.02 MILLION in-person visits to a Service Canada Centre*", Service Data 2016-17, 2018 Annual Report page 11;

4] "*34 passport offices, 315 Service Canada sites and 210 Global Affairs Canada points of passport service abroad*", Clerk's 2019 Annual Report, Annex: Transforming Our Services Over the Years, page 38

104 Clerk's 2014 Annual Report, Annex A page 30

105 Clerk's 2000 Annual Report, page 3

should not detract from these benefits and the added-value the reports have provided since the first one was published in 1992.

In order to be relevant and effective, a review of the annual reports for the purposes of this study is appropriate as far as there is sufficient concordance between the purposes of the reports and the objectives of the study. Formally, the clerks are only required to report on the state of the public service each fiscal-year.¹⁰⁶ Through the years, however, the clerks themselves have defined and expanded the purpose of their reports, as previously outlined (Section 2.2), and consequently these are well-aligned with identifying renewal and reform priorities, commitments and results. Unquestionably, many other sources and documents could provide more information and details on individual reforms.¹⁰⁷ However, these would not offer the same consolidated public service-wide perspectives sought by this study, and on a comparable yearly basis. Intrinsically, the annual reports best reflect the heads of the public service's overall visions and renewal agenda and progress, including both its successes and challenges.

This section presents some overarching observations and common threads ensuing from the study's review of the annual reports by major topics, which could serve as groundwork for improving the effectiveness of reporting on the public service renewal agenda.

A. COMPLETENESS

- The annual reports did not present, or at least refer to, all renewal initiatives of major importance during the period under review. For example, amongst others, there was no mention of these two substantial initiatives:
 - 1] The Universal Classification Standard (UCS) was part of the Government's efforts, starting in the early 1990s, to reform its classification and job evaluation systems.¹⁰⁸ The UCS was cancelled in 2002 as it could not be implemented without causing significant disruptions. At the time, the Auditor General reported: *"This planned universal approach has now been abandoned, despite a large investment of time and effort by tens of thousand of employees and an estimated investment of about \$200 million in incremental costs between 1998 and 2001."*¹⁰⁹
 - 2] In 2004, the Government committed to have its largest departments produce annual audited financial statements within five years. This evolved from the prior Financial Information Strategy's objective that departments and agencies produce "auditable" financial statements.¹¹⁰ In the following years, departments and central agencies invested

106 *"The head of the public service shall submit a report on the state of the public service in each fiscal year to the Prime Minister, and the Prime Minister shall cause a copy of the report to be laid before each House of Parliament on any of the first fifteen days on which that House is sitting after the Prime Minister receives it."* Public Service Employment Act, section 127

107 Examples: Departments and agencies annual estimates documents (departmental plans and results reports), parliamentary committee reports, project specific reports (e.g. pay system, HR modernization, etc.), renewal specific papers (Blueprint 2020), audits and evaluations.

108 The Universal Classification Standard is also not reported or commented in the 1992 to 1999 clerks' annual reports

109 "Chapter 6 - Reform of Classification and Job Evaluation in the Federal Public Service", Report of the Auditor General of Canada - May 2003, page 1

110 Refer to: 1] "Chapter 8 - Managing Government Financial Information", Report of the Auditor General of Canada, February 2005, paragraph 8.59; 2] "2004 March Chapter 6 - Managing Government: Using Financial Information", Report of the Auditor General of Canada to the House of Commons, 2004, paragraph 6.21

considerable efforts towards that goal, and the Comptroller General subsequently indicated departments would require an additional \$300 million to strengthen financial controls for the purposes of audited financial statements. In 2009, the requirement for audited financial statements was dropped, and substituted in part by an annual "*Statement of Management Responsibility Including Internal Control Over Financial Reporting*".¹¹¹ However, these statements did not provide for independent assurance or the same benefits as audited financial statements.¹¹²

- As evidenced earlier (subsection 2.3.G), the annual reports often did not report on progress or results of previously identified initiatives. Important priorities or unresolved issues vanished from subsequent annual reports, without a clear indication of any related decision on their fate or of benefits achieved. Selected examples:
 - ✓ In 2009, TBS was in process of rescinding 30 policies out of a goal to repeal a total of 136. This bold commitment was not mentioned in later reports (subsection 2.3.E);
 - ✓ The acclaimed Integrated Planning initiative appeared to have been abandoned after 2011, without clear indication of rationale or actual benefits realized (subsection 2.3.A);
 - ✓ The Administrative Service Review was reported launched in the 2010 annual report, but not mentioned further in later reports (subsection 2.3.E, footnote ⁹¹);
 - ✓ Employee performance management was a key priority for a number of years up to 2015 and 2017, but it is basically absent in subsequent reports (subsection 2.3.B);
 - ✓ The clerk expressed concerns in 2017 regarding gaps in Employment Equity representation, but no subsequent indication of progress or status was provided (subsection 2.3.C);
 - ✓ The 2017 report noted major issues identified by the Red Tape Reduction Tiger Team, but later reports did not follow-up on the Team's recommendations (subsection 2.3.E).

While it may be the prerogative of the clerks to report selectively on public service priorities and results, there is no clear representation in the annual reports to that effect or indication of where information on additional initiatives or results could be found. Certainly, the clerks' representations, such as those outlined earlier (Section 2.2), easily lead the reader to expect that their annual reports would reflect all major priorities and results.

B RESULTS FRAMEWORK AND INFORMATION

It is a common and fundamental challenge across government to properly define, measure and report on the outcomes of most departmental objectives and programs. Departmental evaluations are often hard-pressed to conclude properly on the effectiveness of programs, and must rely on different approaches and methods (e.g. surveys, studies, expert advice) to compensate for deficiencies in performance information. In context, it is not surprising that there would be a similar scarcity of information on the benefits and outcomes of management reforms. In addition to these common difficulties, however, we observed other shortfalls in the information presented in the reports, which should be considered and more readily mitigated.

111 "[Policy on Internal Control](#)", Treasury Board of Canada, effective April 1 2009 - rescinded April 1 2017, section 6.1.2

112 "[House of Commons of Canada - Standing Committee on Public Accounts - Evidence, Tuesday November 2, 2010](#)", Mr. J. Wiersema, Deputy Auditor General of Canada (time index 1210 and 1220)

- Overall, there is no obvious sense that any performance measurement or results frameworks (or similar mechanisms) had been developed for most major reform initiatives and projects. Consequently, the objectives, planned outcomes and results indicators are typically not pre-defined or consistently reported, as would normally be required for departmental programs.¹¹³

For instance, the clerks' more recent approach to rely heavily on the results of the PSES to measure progress, did not flow from a defined results framework or measurement strategy, leading to the consequences noted earlier (subsection 2.3.G). As another example, the Clerk's 24th Annual Report presented a Public Service Renewal Results Plan which specified 9 indicators under the heading "How we will know if we are making progress".¹¹⁴ However, only 1 of the 9 indicators is actually reported in the subsequent 2018 and 2019 annual reports, and the 2017 Plan already appeared superseded.

- The planning and reporting horizons are normally insufficient to properly conclude on the progress of various priorities and initiatives. With few exceptions, goals and priorities evolve regularly and results are not measured or reported consistently over time to conclude effectively on the performance of multi-year endeavors. The annual reports do not adhere to the five-year reporting period suggested by the clerk in 2007 (Section 2.2) and advocated by the 1990 White Paper for reporting on Public Service 2000 (Section 2.1).
- The clerks themes and priorities are not always amenable to assessing and reporting progress and results, because they are too subjective and not supported by well-defined objectives and expected outcomes. A quote provided in the Overview section bears repeating:

Unlike previous exercises that provided a specific and measurable vision with identifiable projects, Blueprint 2020 is cast as a bottom-up exercise (learning supposedly from PS2000 and LaRelève). Its guiding principles and the vision document are full of positive and inspirational language, but they do not provide a clear path forward to meaningful reform. This is left up to employees to articulate with some guidance from deputies. What's the strategic vision? Can one envision a large corporation like Coca Cola, Ford, TD Canada Trust, Bombardier, or SunCor relying on employees to develop its strategic vision? How is this somehow applicable in the public sector? ... A reform initiative requires a clear narrative with tangible and measurable timelines and deliverables. ... We are left with cheerleading – something with which public servants are increasingly showing signs of fatigue." (Frate 2014)

Another obvious example is the more recent Beyond 2020 renewal framework, defined in the 2019 annual report in terms of mindsets and behaviors focused in three areas – Agile, Inclusive and Equipped. The Beyond 2020 web-pages further defined 9 very generic outcomes¹¹⁵ and indicated that to measure progress a performance dashboard would be made available based on the PSES, MAF and "pulse surveys". However, more specific objectives,

113 "Policy on Results", Treasury Board, effective July 1 2016, subsection 4.3.1; Previously, similar requirements under the "Policy on Management, Resources and Results Structures", Treasury Board, effective February 23, 2010 - rescinded July 1 2016, refer to section 6 - Policy Requirements

114 Clerk's 2017 Annual Report, Annex B pages 39-43

115 The 9 Beyond 2020 desired outcomes are: "Agile: A-1 Mobilize resources and people to key priorities, A-2 Empower our workforce, A-3 Embrace uncertainty and learn through experimentation; Inclusive: I-1 Create an environment where individuals are safe to express themselves, I-2 Expand partnerships and remove barriers to collaborate, I-3 Co-create by bringing different perspectives to the table; Equipped: E-1 Design work environments to optimize performance, E-2 Make learning a fundamental part of your job, E-3 Explore technology and tools to help you be more effective in your role". Refer to <https://www.canada.ca/en/privy-council/services/blueprint-2020/blog/blueprint-beyond-2020.html> (modified 2020-03-24, as of 29-05-2020).

outcomes or indicators have yet to be provided. Without this added specificity, as they presently stand the desired outcomes are too generic to support a clear path forward or meaningful performance measurement.

It is understood that the observations and considerations expressed herein would not need all be reflected directly in the clerks' annual reports, as the document may be intended to be of a more strategic and high-level nature. Nonetheless, the annual reports could easily reference other sources where more explicit information would be made available, as is the norm in other instances such as with the departmental results reports.

C. EVIDENCE-BASED REPORTING

There were different situations noted where the successes and progress reported through the clerks' annual reports were either premature or overstated, and accordingly not grounded in adequate evidence. This was most apparent in situations where the clerk had to backtrack on previous positive result statements. The following examples were previously noted:

- ✓ In 2012, the clerk reported that some potential benefits of the Public Service Modernization Act (PSMA) remained unrealised (footnote 49);
- ✓ In 2014, reported progress to modernize the pay system indicated a seamless transition to a new pay system with no financial impacts for employees (subsection 2.3.D). This, despite that the system was unsuccessfully launched only in 2016;
- ✓ In 2014, the clerk reported inconsistent approaches to performance management, which was not always linked to work objectives and behaviors (footnote 37);
- ✓ In 2017 and 2018, reports indicated the Workplace 2.0 initiative fell short of expectations and noted issues with related collaborative tools (footnote 75, subsection 2.3.E);
- ✓ In 2017, the clerk reported slower progress than expected and the challenges and requirements to implement Shared Services Canada were underestimated (subsection 2.3.E).

Further, the prior comparison of those PSES indicators reported in the annual reports (Figure 2, page 41) showed that, overall, the results of Public Service Renewal were mixed and mostly inconclusive. Accordingly, broad statements of success based on selected results of the PSES, such as the following, are not representative of actual progress but rather of wishful thinking:

In the 2017 Public Service Employee Survey, 67% of public servants indicated that they are encouraged to be innovative or take initiative in their work, up from 63% in 2014. The combination of efforts at the system-wide, departmental, team and individual levels is making a real difference. ... The data speaks for itself: we are on the right path and have achieved a great deal in a short period of time. (Clerk's 2018 Annual Report, pages 22, 38)

Overly optimistic progress reports not based on the available evidence, and frequent retractions due to previously insufficiently corroborated statements, have negative connotations on the annual reports' credibility. Based on the various issues identified, the annual reports are in jeopardy of being viewed more as promotional documents or propaganda than objective assessments of the public service's status and progress.

D. APPROACHES AND LESSONS

The comparative review of the clerks' annual reports raised a few other points, which should be considered as part of improving the reports, but more importantly improving the effectiveness of the public service's management reform agenda and approach.

- There is some dichotomy in the renewal goals pursued. The goal of favoring whole-of-government or enterprise-wide approaches, which clerks reiterated in various reports (subsection 2.3.F), is most often not congruous with the similarly long-standing goal of simplifying business rules and processes (subsection 2.3.E). Centralised enterprise-wide functions normally have many requirements to ensure common processes, information and controls, which are made more complex to accommodate the various different circumstances of the much-diversified federal government enterprise.

These conflicting goals need to be better recognized and reconciled through rationale trade-offs, as well as better recognize that enterprise-wide solutions may not always be the more effective and efficient. For instance, in some of the most prominent enterprise reform difficulties and failures – the pay system, Shared Services Canada – unforeseen complexities were reportedly a principal contributing factor.

- The clerks also advanced, on more than one occasion, the necessity to learn from experiences.

*"A learning organization looks for best practices, celebrates its successes, and learns from its mistakes."*¹¹⁶

The issues identified in the preceding pages denoted a definite sense of "déjà-vu" and of history repeating itself inherent in many of the renewal and reform priorities of the last two decades. In some instances, it appeared minimal progress was made resolving long-standing issues despite repeated commitments and efforts (e.g. reducing red tape, abolishing harassment and discrimination). Furthermore, issues were raised or initiatives launched but not always followed through, and often faded from the annual reports without indication of final benefits or resolution (e.g. previous subsection "Completeness"). In other instances, difficulties with some initiatives appeared to have had similar root causes, such as insufficient planning and recognition of project complexities.

Evidently, there is a need for greater, more systematic analysis of past reform successes and failures in order to methodically identify and make use of common lessons and solutions, and improve the management and results of reform initiatives.

116 Clerk of the Privy Council 2000, Annual Report page 7

Other examples: "As we move ahead, we should remember that public service renewal is above all a collective effort. Across government, people are learning from one another about where change is needed; about what works and what doesn't ... " Clerk's 2009 Annual Report page 3; "My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago ... We must be able to measure how we are working and the outcomes we are achieving, so we can learn." Clerk's 2017 Annual Report page 33

E. CONCLUSION

The clerks of the Privy Council's annual reports have presented a significant number of public service priorities and commitments over the last twenty years, and have certainly reflected the clerks' ongoing objectives and efforts to improve the productivity, capacity and health of the public service and its employees. Previous sections have strived to capture the essence of the clerks' most significant renewal priorities and commitments.

Unquestionably, some of the reform initiatives have resulted in tangible improvements and were relatively successful, based on the notion that they were reported to have essentially completed what they set-out to do. Noteworthy reported successes would include (examples only):

- ✓ Reported improvements in learning policy, curriculum and individual plans;
- ✓ Meeting workforce employment targets for designated groups;
- ✓ Improved staffing following the PSMA and subsequent simplified policies and processes;
- ✓ Improved grants and contributions delivery and administration;
- ✓ Strengthened comptrollership and internal audit functions;
- ✓ Established Service Canada and numerous service centres.

In many more instances, outlined in the preceding sections, the public service's management reforms have not delivered or demonstrated tangible results, and by that token were not successful. While the clerks' reports have often (but not always) accounted for progress, generally they described such progress in terms of activities undertaken and outputs produced, such as: issuing policies and directives, implementing processes and systems, hiring employees in representative groups, creating committees and task forces (etc.). The reports have rarely provided clear indications of management reforms' actual ultimate benefits and outcomes. To paraphrase a previous clerk, the measure of initiatives has not been the change and difference made in peoples lives.¹¹⁷

The review of the clerks' annual reports have served to identify the clerk's major renewal and reform objectives, but it also leaves many questions unanswered on the results of both the broader renewal priorities and the more specific management reform initiatives. The reports by themselves do not provide a sufficient basis to conclude effectively on the overall impact of reforms, and whether they have made a real difference over the last two decades. For instance, is the public service more effective and productive, are there less employee performance issues, is there less workplace stress, is there less discrimination and harassment, have excessive bureaucratic rules and processes been substantially and permanently reduced? The search for better answers to these questions needs to be pursued elsewhere – beyond the clerks' annual reports.

117 Refer to quote in Section 2.2, or to Clerk's 2016 Annual Report, page 10

3. RESULTS FROM THE TRENCHES

3.1 PUBLIC SERVICE SURVEYS

"It is you [public servants] who will be the best judges of whether the changes we are making to rules and systems will really make a difference, or whether they will amount to just another retooling of traditional bureaucracy." (Clerk's 2007 Annual Report, page 30)

Consistent with the cue provided by Mr. Lynch in 2007 (above), the study considered that the views of public service employees should be the primary determinant of the effectiveness and outcomes of public service renewal and management reforms. The employees and executives should judge whether recent reforms, which have directly impacted them, have succeeded, failed or have been mixed-blessings. To appraise their views, selected results from the following openly accessible public service surveys were reviewed and compared:

1. **Public Service Employee Surveys (PSES)** were conducted in 1999, 2002, 2005, 2008, 2011, 2014, 2017, 2018 and 2019, on behalf of the Treasury Board Secretariat (TBS). Survey information and reports are available through the TBS website;
2. **Surveys by the Association of Professional Executives of the Public Service of Canada (APEX)** were conducted in 1997, 2002, 2007, 2012 and 2017. The more recent surveys are posted on APEX's website, while older versions were accessed from Library and Archives Canada;
3. The **Executive Survey of Federal Public Service Management Reforms**, conducted in late 2018, for the purposes of this study, in collaboration with the Graduate School of Public and International Affairs (GSPIA) at the University of Ottawa. The full survey report is available on the University's website¹¹⁸ and Annex D replicates the report's main sections.

These surveys are often referred to by their acronyms – PSES, APEX and GSPIA – in the following pages and figures. The PSES applied to all public service employees, including a smaller number and proportion of executives,¹¹⁹ while the APEX and GSPIA surveys targeted public service executives only.

The PSES and APEX surveys were not conducted for the explicit purposes of assessing the progress and outcomes of government-wide management reforms. Nonetheless, many of the surveys' questions bear a strong connection to the objectives and goals of reforms and can serve as valid indicators of results. As indicated previously (subsection 2.3.G), the clerks have often used PSES results as indicators of progress. However, as also noted, some caution regarding the attribution of survey results to specific initiatives or reforms should still be exercised.

118 The full 2018 Executive Survey Report on Federal Public Service Management Reforms (April 2019), including detailed annexes, is available at: https://socialsciences.uottawa.ca/public-management-policy/sites/socialsciences.uottawa.ca/public-management-policy/files/survey_final_report_ps_management_reforms_v6-1.pdf

119 In the 2014, 2017 and 2018 Public Service Employee Surveys (PSES), the executive occupational category represented 2.9% of all respondents. Accordingly, the PSES mostly reflect the views and results of non-executive employees. Source: "2018 Public Employee Survey - Distribution of respondents by demographic characteristic" (available at: <https://www.canada.ca/en/treasury-board-secretariat/services/innovation/public-service-employee-survey/2018.html>)

For the purposes of this study, PSES and APEX result indicators were selected that most aligned with the expected objectives of management reforms. In addition to the PSES results reported in the clerks' annual reports, and already presented in Figure 2 (page 41), the selected results from the PSES and APEX are summarized in Annex B. The study compared the successive versions of the PSES and APEX surveys to better identify possible progressions and trends, and compared the three different surveys to determine if their findings were consistent or complementary. The next section provides the highlights of this analysis under the following major areas relevant to this study:

- Work Nature and Attributes
- HR Performance Management and Development
- Work Processes, Tools and Workplaces
- Reform Results and Outcomes
- Reform Implementation and Management

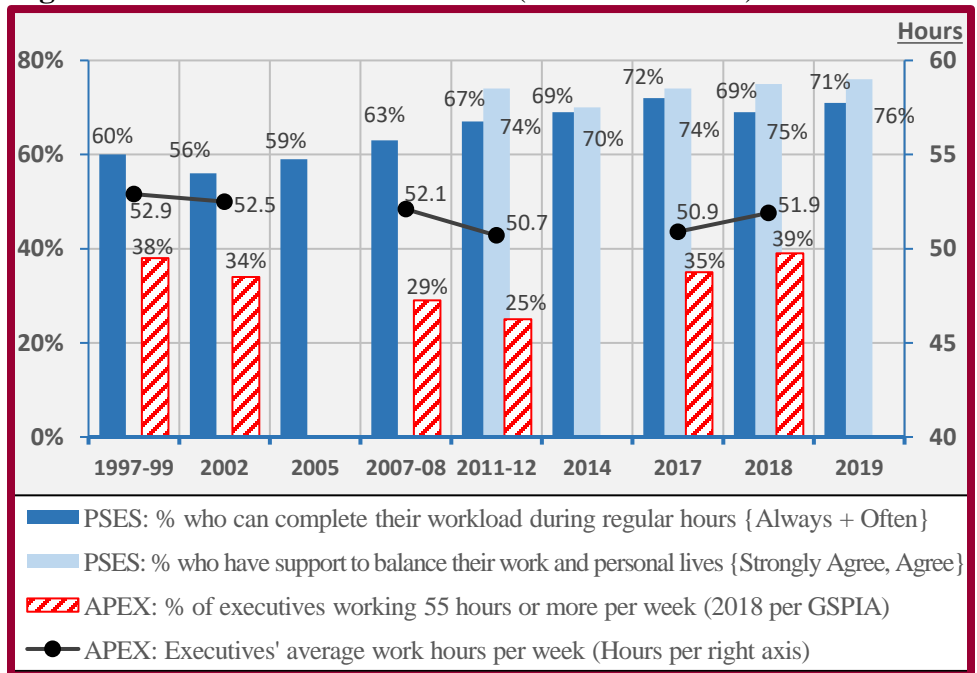
3.2 SURVEY RESULTS AND TRENDS

A. WORK NATURE AND ATTRIBUTES

Public Service renewal and management reforms are generally aimed at improving the work, productivity and overall environment of employees, including executives. Accordingly, the evolving workload, as well as the evolving nature of work and workplaces, can help determine if reforms are having the desired impacts.

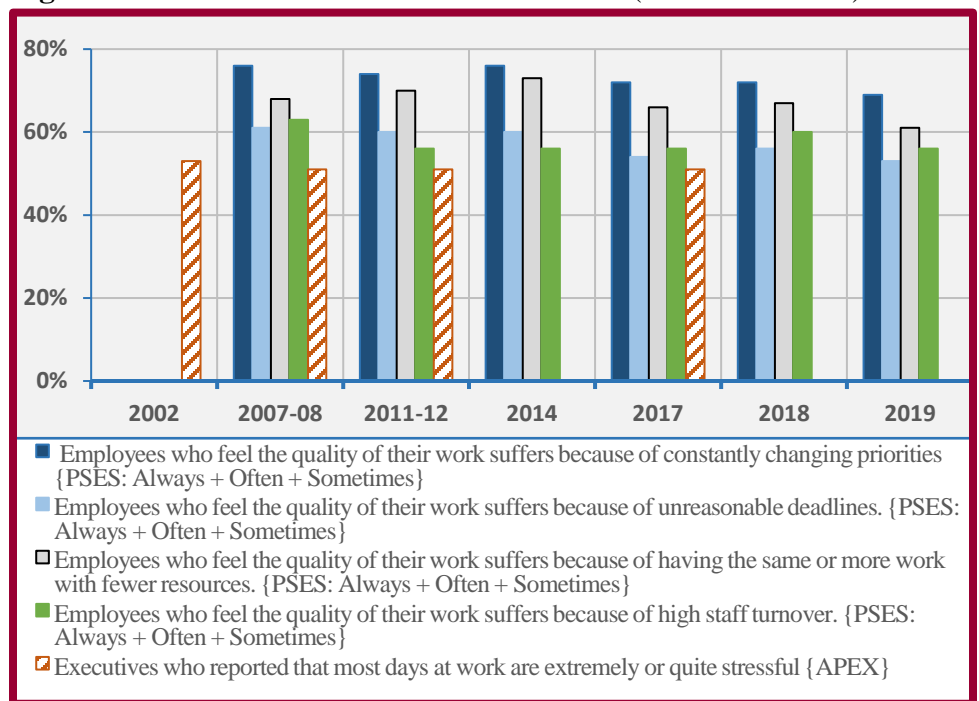
- As illustrated in Figure 3, PSES results indicate there has been a significant increase in the number of employees who could complete their workload during regular hours (56% in 2002 to 71% in 2019). This implied that overtime should not be prevalent for most employees. As well, there was some variability but no notable increase in the portion of employees who reported they had support at work to balance their work and personal lives (74% - 2011 to 76% - 2019). Regardless of trends, both these indicators showed fairly positive results (i.e. high positive percentages).

Figure 3. Workload and Trends (PSES and APEX)



- Executives surveyed through APEX and GSPIA worked on average 51.9 hours per week in 2018. This was roughly comparable to their average workload from 1997 (52.9 hrs) to 2007 (52.1 hrs), although a small dip in workload is noticeable in 2012 and 2017 (50.7 hrs and 50.9 hrs). It is not obvious if a 52-hour workweek should be considered normal for executives, and further comparisons are provided in the GSPIA survey report.¹²⁰ However, there was a very substantial increase between 2012 and 2018 in the portion of executive working 55 hours or more (from 25% to 39%), and more detailed results revealed that, generally, the more senior the executive the more hours he or she worked. This is worrisome as previous studies identified 55-hour per week as the accepted threshold over which there normally are negative effects on the health and productivity of workers.¹²¹
- A majority of employees felt that the quality of their work suffered because of the following factors: constantly changing priorities, unreasonable deadlines, fewer resources and high staff turnover (Figure 4). While still negative overall, these indicators showed some improvements since 2008.¹²²

Figure 4. Work Environment and Trends (PSES¹²³ / APEX)



- The APEX questions regarding the nature of the work of executives were different than the PSES. About half of executives consistently reported, from 2002 to 2017, that most days at work were extremely or quite stressful.
- Other results were available only from the 2017 APEX survey.¹²⁴ Consistent with the question on stress, the 2017 survey depicted a challenging and difficult work environment for most executives:

- ✓ 85% of executives indicated having constant time pressures due to a heavy workload;
- ✓ 90% reported having many interruptions and distractions while performing their jobs;
- ✓ 87% indicted their jobs had become more and more demanding over the past few years.

120 A comparison of average workweeks for managers and executives in other sectors is provided in Annex D (page 8)

121 Refer to the 2018 Executive Survey Report (GSPIA) for additional analysis of executive hours and references (Annex D Section 3.1 including footnote #19)

122 PSES results presented in Figure 4: constantly changing priorities 76% - 2008 to 69% - 2019; unreasonable deadlines 61% - 2008 to 53% - 2019; fewer resources 68% - 2008 to 61% - 2019; high staff turnover 63% - 2008 to 56% - 2019

123 Source: 2019 PSES question 18, includes replies of "Always, Often and Sometimes". Other factors identified are reported under subsection 3.2.C, or were not as closely relevant to the study's main topic – Management Reforms. As well, none of the other factors under question 18 (sub-questions) not reported herein had overall positive results, and no other 2019 PSES question were selected as they did not relate directly to the employees' work

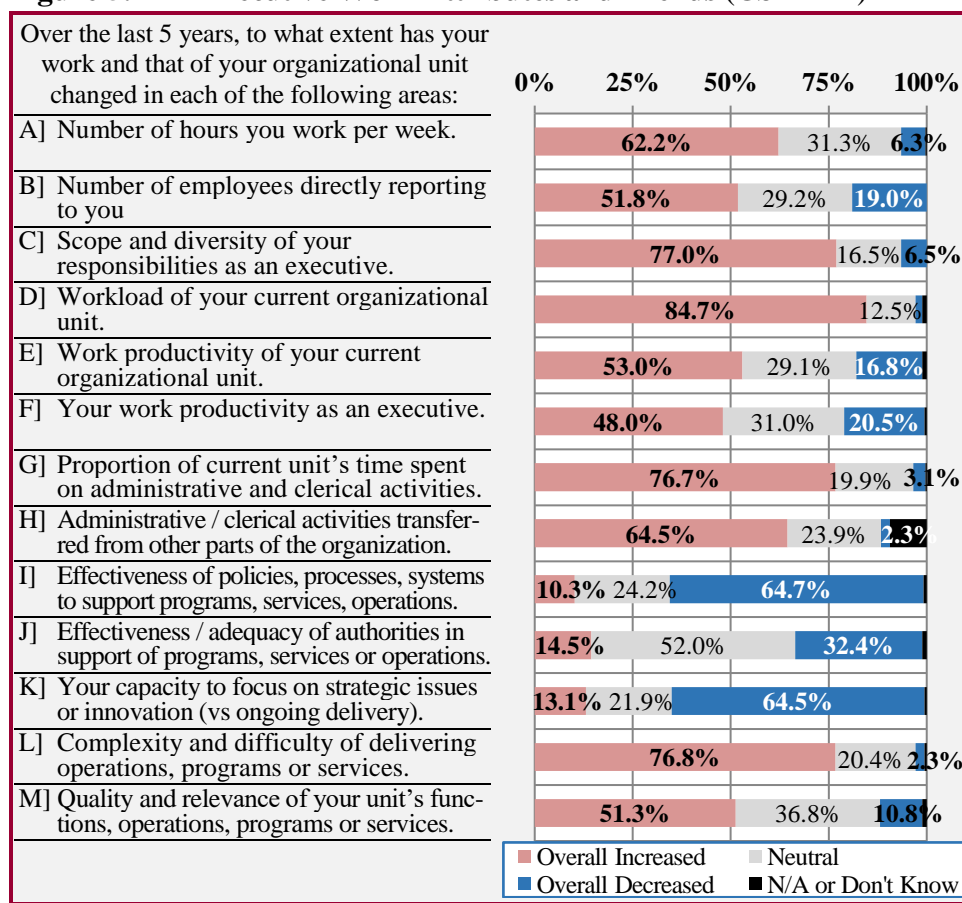
124 The 2017 PSES results were also confirmed in the 2018 GSPIA survey. Refer to Annex D - Exhibit 2 on page 11

- The 2018 GSPIA Executive Survey focused more directly on public service reforms and explored further the nature of the work of executives, and how it evolved in the last 5 years. The results, represented in Figure 5, were in line with the APEX survey and revealed that, for a sizeable majority of executives, their work has become more demanding and complex. Particularly, the following aspects of their work had all increased:
 - ✓ Number of hours worked by executives (Fig. 5 item A);
 - ✓ Scope and diversity of executive responsibilities (Fig. 5 item C);
 - ✓ Workload of executives' organizational units (Fig. 5 item D);
 - ✓ Proportion of their units' time spent on administrative activities (Fig. 5 item G);
 - ✓ Administrative activities transferred from other parts of the organization (Fig. 5 item H);
 - ✓ Complexity and difficulty of delivering operations, programs or services (Fig.5 item L).

In addition, the survey's statistical analysis considered different demographic factors and demonstrated that the increases noted above were not linked to increased responsibilities due to changes in positions or promotions.

- In a similar vein, a clear majority of executives surveyed indicated that both the effectiveness of administrative policies, processes and systems (item I), and the capacity of executives to focus on strategic issues or innovation (item K), were on the decline. These results run counter to many of the reform objectives described previously.
- Nonetheless, executives also predominantly expressed the views that their own productivity (Fig. 5 item F), that of their

Figure 5. Executive Work Attributes and Trends (GSPIA¹²⁵)



125 Refer to Annex D - Exhibit 3 on page 13 - for more information and details of GSPIA survey results. The 13 sub-questions (A] – M]) were abridged for presentation in the graph, and the full text is found in annex to the full survey report. Also, “Overall Increased” combines answers of Increased Greatly and Increased Somewhat, and “Overall Decreased” refers to both Decreased Greatly and Somewhat. The term “Work productivity” used for items E] and F] was defined as the average time spent on activities directly related to the strategic direction, management or delivery of the executive units’ operations, functions, programs or services. Small percentages for “N/A or Don't Know” are not shown in the graph (N/A: not applicable)

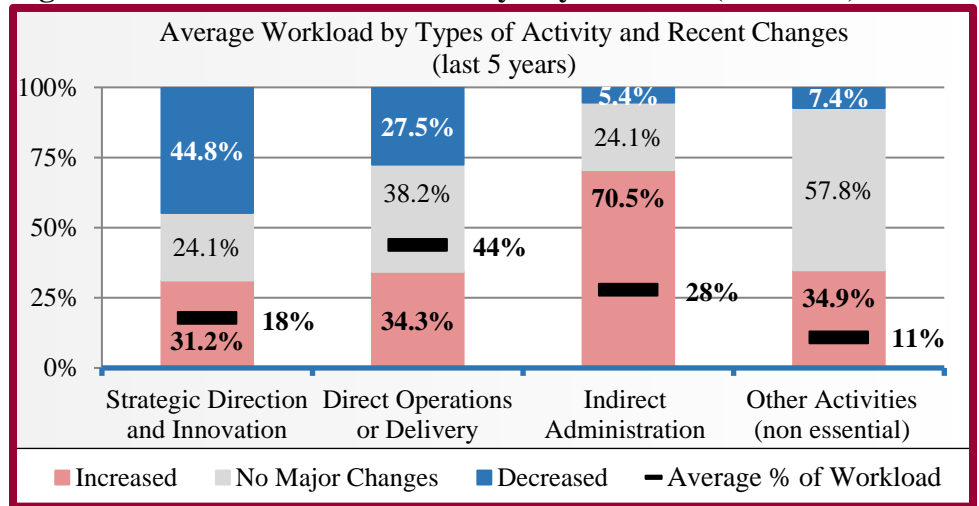
organizational units (item E), and the quality of their operations, programs or services (item M), all had increased in recent years. As noted by one survey participant:

*"We have been successful in spite of horizontal initiatives, not because of them. Also, there are too many initiatives."*¹²⁶

- The 2018 survey also examined executives' average workload and its evolution in relation to four major types of activities – Strategic Direction and Innovation, Direct Operations and Program/Service Delivery, Indirect Administration, and Other Activities or Requirements. The graph below (Figure 6), taken from the GSPIA survey report, illustrates the findings.

Executives on average spent most of their time on Direct operations and delivery (44%), and on Indirect administration (28%). Administration, such as pertaining to enabling activities (e.g. HR, finance, IM/IT, procurement, etc.) represented almost two thirds of the workload related to the management and delivery of the executives' principal operations, programs or services.

Figure 6. Executive Workload by Key Activities (GSPIA¹²⁷)



Executives spent proportionally less time on Strategic direction and innovation (18%) than on administrative activities, although the focus on innovation has been a regular aspect of Public Service Renewal. Part of executives' workload was also utilised for other activities, which neither directly or indirectly contributed to their organization's main purpose, operations, programs or services (11%). These were essentially deemed non-essential activities.

- Conspicuous in the context of management reforms, a strong majority of executives (71%) reported that the workload associated with Indirect administration had increased in the five-year period leading up to the survey, and almost half (45%) reported they spent less time on Strategic direction and innovation.

The findings of the APEX and GSPIA surveys are significant and, when combined, portray a demanding and worrisome work environment, one which executives suggest is getting worse. In general, workload and the portion of executives working above the 55 hour per week threshold are both increasing. Simultaneously, there is a tendency for executives to be spending less time on strategic matters and more on administrative activities. Therefore, despite working more, the value of executives' contributions appears lessened and less strategic, and the increased work is not necessarily a reflection of increased effectiveness or productivity. The greater part of the

126 Annex D page 12, Box insert – Reform Results and Impacts - Selected Comments

127 Refer to Annex D, pages 9-10, for further description of key activity types and GSPIA survey results.

written comments received from participants in the GSPIA survey have further confirmed and elucidated these challenges (refer to selected comments - box inset).

In the context of this evolving work environment, executives also suggested that internal factors, mostly under the control of the public service, were the main drivers of recent changes in their work. The three main drivers identified were: Government priorities and organization; Management policies, procedures and systems; and Technology (GSPIA ¹²⁸).

Selected Executive Comments (GSPIA)

- *Executives are supposed to be providing strategic direction, planning for the future - these days all we seem to do is chase our tail, put out fires and report, report, report.*
- *All my executives, including myself, are very overworked and I do not think this is sustainable in the long term, goes far beyond executive resiliency.*
- *The internal systems are not enabling mission critical work but acting as a drag on productivity and proper planning for the future.*
- *Increased expectations from the center to consider a number of issues like sustainable development, GBPlus, Indigenous issues, etc. into our work at the same time that workload has increased and resource levels are stable or decreasing.*
- *Operational outputs are treated as off the side of the desk, and have been replaced with an extreme focus on process, soft issues, and a multitude of altruistic causes.*
- *The administrative and bureaucratic overburden placed on our branch by departmental back office functions is stunning in its increased scope and complexity.*
- *The most negative change is the sheer volume of "corporate" type responsibilities, ... that all seem to require nothing but executive participation. Myself and my executives have difficulty finding enough time for our core functions due to the non-negotiable requirements to contribute to various working groups and committees.*

Further, there is a distinction to be made in the available results between the situation of executives, as per the APEX and GSPIA surveys, and of public service employees more generally as reflected in the PSES (refer to footnote 119). While the PSES provided more limited information on the nature and attributes of the work of employees,¹²⁹ the available information on workload and environment presented previously (Figures 3 and 4) suggested some improvements in the work situation of non-executive employees, unlike that of executives.

Based on this evidence, management reform initiatives whose purpose would have included the streamlining and improvements to the workload and work environment of public servants in general, have demonstrated limited and mixed benefits. Moreover, with respect specifically to the work and situation of executives, these initiatives have essentially failed.

B. HR PERFORMANCE MANAGEMENT AND DEVELOPMENT

This topic was included based on the availability of indicators in the PSES and other surveys, and their close ties with the renewal priorities aimed at improving human resources performance management, development and capacity. As highlighted earlier (subsection 2.3.B), activities in this area included: implementation of a learning policy, better curriculum and programs; regular talent management plans; an improved performance management regime including regular performance agreements, assessments and common processes and systems.

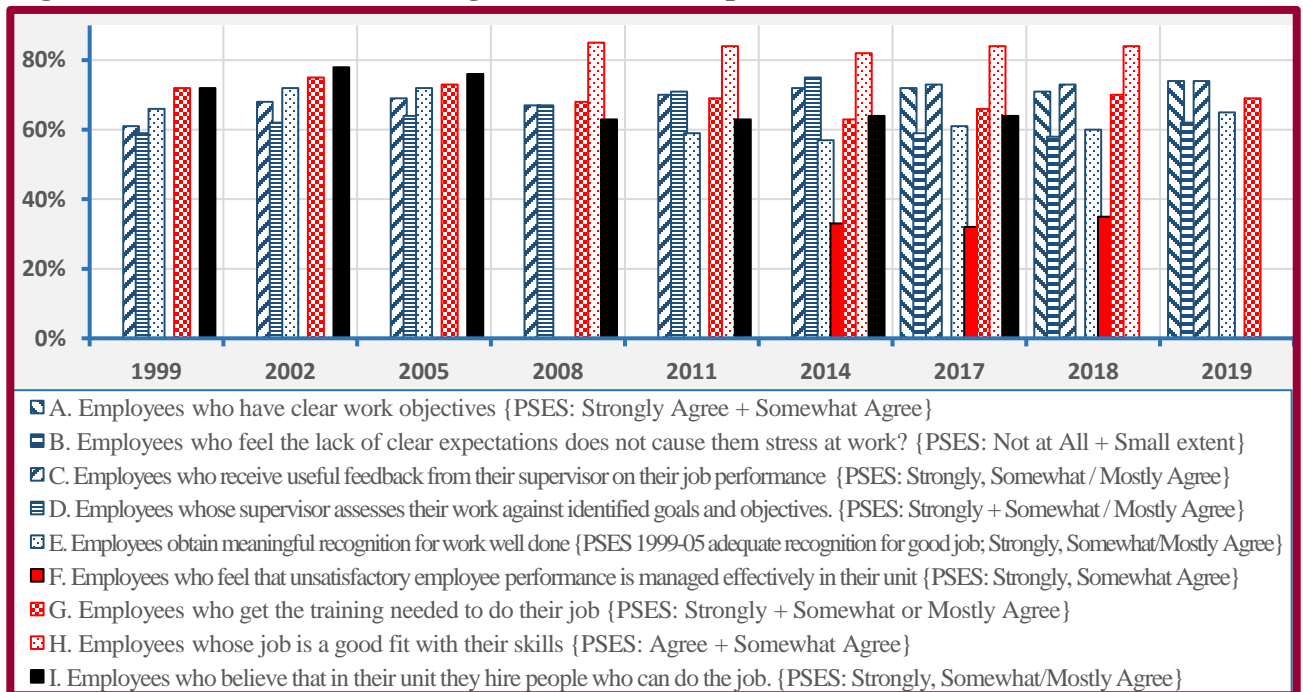
The principal PSES results were reflected through the 9 main indicators illustrated in Figure 7 (next page), and results were somewhat mixed.

128 Refer to Annex D - Exhibit 4 (page 22) and related text

129 While there are many questions somewhat related to the work of employees (such as presented in Figure 2, page 41) most related to peripheral aspects (e.g. proud of the work, encouraged to be innovative, workplace health, ...) and not on the nature of the work itself.

- Overall, PSES results were quite positive for some aspects of employees' performance management, and presented improvements in a few areas, namely:
 - ✓ The portion of employees who felt they had clear work objectives remained fairly high and relatively stable (72% in 2017, 74% in 2019; Figure 7 item A);
 - ✓ Employees who reported not being stressed by potential lack of clear expectations, increased slightly (from 59% in 2017 to 62% in 2019; Fig. 7 item B);
 - ✓ Employees who receive useful feedback on their job performance increased significantly over the last 2 decades (from 61% in 1999 to 74% in 2019; Fig. 7 item C);
 - ✓ Employees who had their performance assessed against identified goals and objectives also increased substantially up until 2014, after which the indicator was dropped from the PSES (from 59% in 1999 to 75% in 2014; Fig. 7 item D);
 - ✓ The portion of employees receiving meaningful recognition for work well done varied somewhat during the period, and while there was no long-term trend, results rebounded after a decline in 2011-2014 (66% in 1999, 57% in 2014, 65% in 2019; Fig. 7 item E);
 - ✓ Percentages of employees who felt their job was a good fit with their skills remained high, but stable, from 2008 to 2018. The question was not included in the 2019 PSES (85% in 2008, 84% in 2018; Fig. 7 item H).

Figure 7. HR Performance Management and Development (PSES)¹³⁰



- Other PSES results were not as encouraging, particularly regarding the stated priority to ensure employee performance issues are adequately addressed.

130 Figure 7. is derived from data from the PSES reports, which is also summarized in Annex B (Section 2). Note that for presentation purposes the wording of the indicators (i.e. Legend) has been simplified and only the key results presented (e.g. prevalent Positive or Negative results). In a few instances, the questions differed slightly between survey versions as noted in Annex B. Please refer to the full PSES reports for the complete descriptions, questions and results.

- ✓ The number of employees who felt that unsatisfactory employee performance was managed effectively was very low and almost the same as those who held the opposite view, despite a slight improvement from 2014 to 2018 (Fig. 7 item F).

2014: Positive results 33%; Negative results 33%.

2017: Positive results 32%; Negative results 31%.

2018: Positive results 35%; Negative results 30%.

Despite the evident importance of this indicator, it was not part of the 2019 PSES.

- ✓ The portion of employees who considered that their work units hired people who could do the job remained stable from 2008 to 2017 (63% in 2008; 64% in 2017; Fig. 7 item I). These more recent results are poorer than those of earlier PSES, although the answer choices of earlier surveys differed somewhat, which may partly explain the disparities (1999 to 2005 results varied from 72% to 78%; refer to note in Annex B.)
- ✓ The portion of employees who get the training needed to do their job remained stable from 2008 to 2019, but declined when compared to the marginally better PSES results of 1999 - 2005 (e.g. 75% in 2002, 68% in 2008, 69% in 2019; Fig. 7 item G)

- Executives consulted through the APEX (2017) and GSPIA (2018) surveys had mostly negative opinions on the benefits of the public service's performance and talent management exercises. These are reflected in the many comments received from executives through the GSPIA survey, as well as in 3 noteworthy indicators:

- ✓ 41% of executives were dissatisfied with the possibilities offered by the Executive Talent Management Process, versus only 22% who reported being satisfied (APEX);
- ✓ 44% of executives were satisfied with the professional development opportunities offered, while 29% reported being dissatisfied (APEX);
- ✓ 42% of executives felt the effectiveness and efficiency of HR performance

Selected Executive Comments (GSPIA Survey)

- *There is a massive shortage of skills [sic] employees ... As a result, employees are getting promoted too soon. ... Though we tried to raise the performance issues, employees leave to other places instead of addressing the performance issues.*
- *Pénurie de main d'oeuvre qualifiée et disponible pour les postes administratifs.*
- *Too many employees seem to be promoted too quickly and cannot cope with the full scope of their responsibilities.*
- *Very poor tools and options for dealing with poor performers and not enough hours in the day to manage poor performance.*
- *It seems impossible to manage performance. Every time a comment is included in a performance management agreement, the employee files a grievance or harassment complaint ..., poor performers are protected and management feels helpless ...*
- *Poor promotional criteria of ADMs and DMs. ... Hence, it is the wild west with duplication, a lack of rigour, and poor delivery of results glossed over by the positive promotional prospects of those that are enthusiastic cheerleaders of any initiative.*
- *We need more true subject matter expert executives and leaders and less "people managers" or "say the right thing". We need accountability for quality of delivery, not just presentation.*
- *... the performance agreement management system that is incredibly inflexible in a time when people move between units and departments.*
- *Le principe du mérite est devenu secondaire face au désir de représentativité statistique.*
- *... dominance of mental health issues overriding the rights of other employees (it's ok to not work well, not deliver and dump anger and work on other employees if you self identify mental health issues). Increase in labour relations activities to deal with poor employees.*
- *And there is very little effective performance management. This PS is still not measuring productivity and output, requiring 360 reviews of managers and ending the employment of truly bad managers. It doesn't take much to change an organization but shuffling poor managers around instead of firing or demoting them has to stop.*
- *Executive performance and talent management has become a "paper" exercise; the emphasis is on completing the information in the TB modules, not on the performance. Beyond this, performance isn't based on personal achievements and although there is good talk about rating competencies, often those who succeed are also those for whom the end does justify the means.*

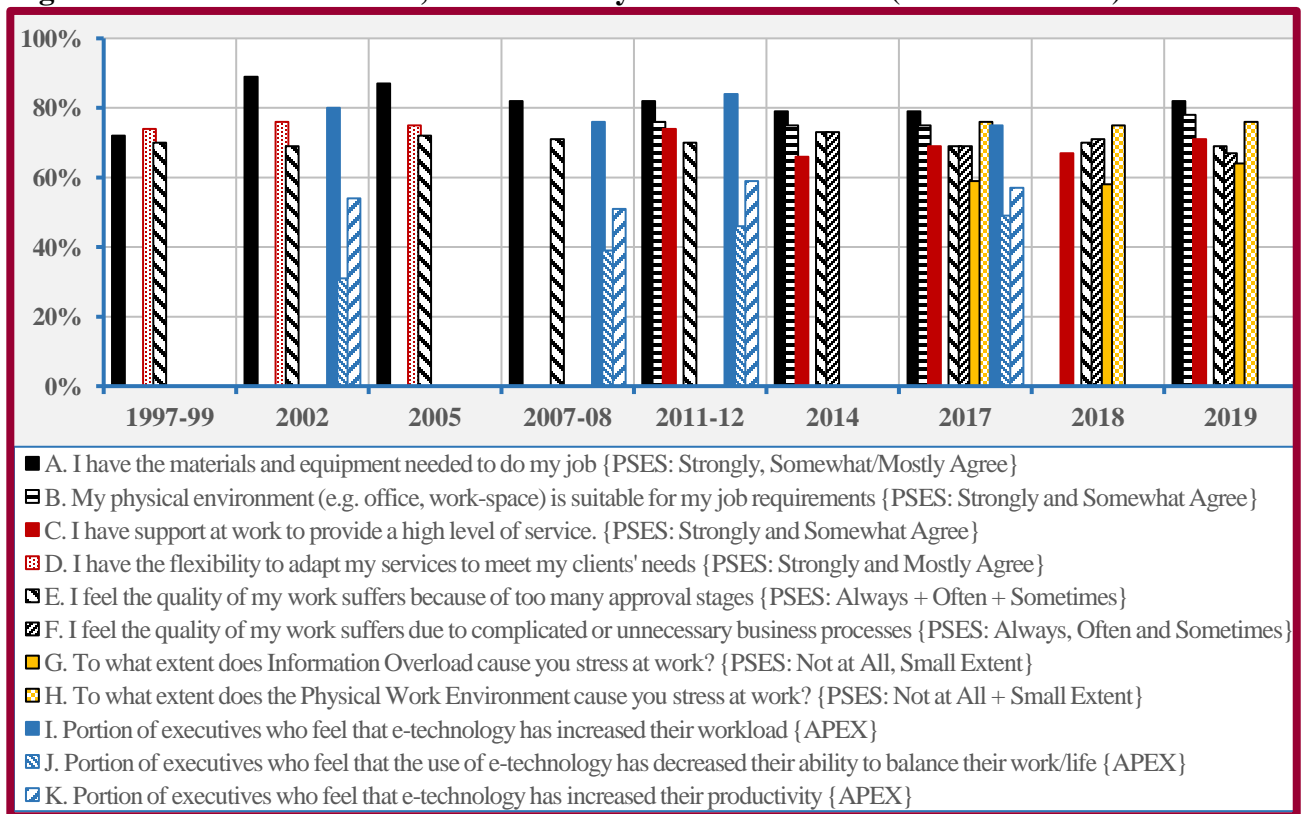
management policies, systems and processes had worsened in the last 5 years because of reforms, while 30% believed they had improved (GSPIA¹³¹)

The views expressed by public servants through the aforementioned surveys reflect some improvements in HR activities, such as regularly setting work objectives and assessing employees' performance. Conversely, public servants and executives had unfavorable views on fundamental reform outcomes, essentially the lack of progress managing performance issues and the ineffective talent and performance management processes and systems.

C. WORK PROCESSES, TOOLS AND WORKPLACES

The clerks' annual reports outlined the enduring objective of improving government's internal services, business processes and rules, and more recently the physical workplace (subsection 2.3.E). Both the PSES and APEX surveys have partly addressed these issues and the main results are condensed herein – Figure 8 below illustrates trends for questions covered in multiple surveys, while Figure 9 on the next page refers to questions only found in the latest 2017 APEX survey. Key observations are summarized under the next 4 subtopics.

Figure 8. Work Processes, Tools and Physical Environment (PSES and APEX)¹³²



131 Refer to Annex D - Exhibit 5. item H (page 17 of annex)

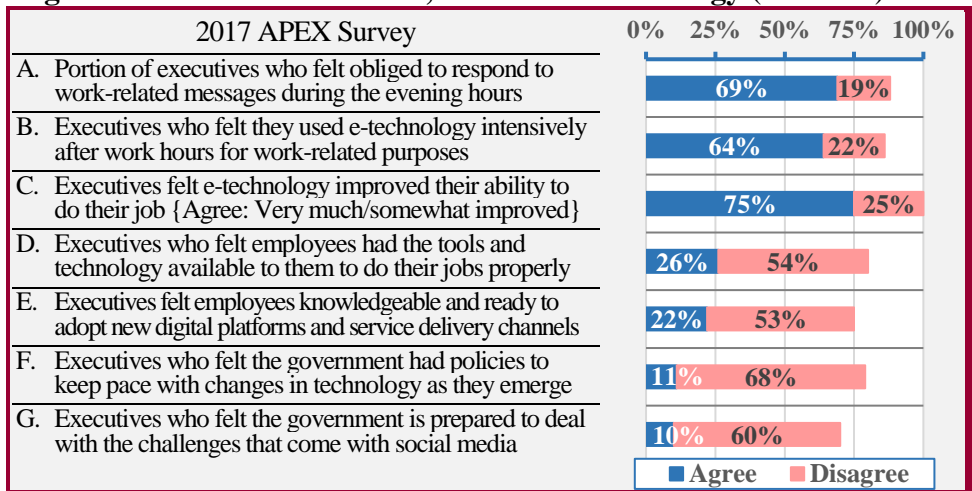
132 Figure 8. is derived from data from the PSES and APEX survey reports, also summarized in Annex B (Section 3). Please note that for presentation purposes the wording of the indicators (Legend) has been simplified and only the key results presented (e.g. prevalent Positive or Negative results). In a few instances, the questions differed slightly between survey versions (years). Please refer to the corresponding full PSES and APEX reports for complete information.

1. Workplaces and Materials.

- Views concerning employees' physical workplaces and materials were generally positive, but did not demonstrate any substantial trend or evolution. Consider:
 - ✓ The portion of employees who felt they had the materials and equipment needed to do their job remained high and mostly stable since 2008, but still decreased when compared to 2002 and 2005 results (89% in 2002, 82% in 2008, 82% in 2019; Fig. 8 item A);
 - ✓ The percentage of employees who felt their physical environment suited their job also was positive and stable from 2011 to 2019 (76% in 2011, 78% in 2019; Fig. 8 item B);
 - ✓ The physical work environment did not cause any stress at work for 3/4 of employees recently surveyed (76% in 2017 and 2019; Fig. 8 item H). As well, a smaller but growing portion of employees did not feel information overload was a stress factor (59% in 2017, 64% in 2019; Fig. 8 item G), while less than 20% felt stressed (e.g. 16% in 2019).

- Executives, however, had more negative opinions. In 2017, 54% disagreed with the statement that employees had the tools and technology available to do their job properly, while only 26% agreed (Fig. 9 item D). We noted again an obvious rift in the opinions of employees (PSES) and those of executives (APEX). Furthermore, there is evident dissonance between the positive results of the PSES and both the reported findings of TBS's Red Tape Tiger Team on the state of employees' work environment and the difficulties reported by the Clerk in 2018 regarding Workplace 2.0 (subsection 2.3.E).

Figure 9. Work Processes, Tools and Technology (APEX¹³³)



2. E-Technology.

- Overall, executives had mixed opinions regarding the benefits of e-technology. While the majority felt it had improved their productivity, it also had negative repercussions on their workload:
 - ✓ A small majority of executives agreed that e-technology increased their productivity (54% in 2002, 57% in 2017; Fig 8. item K) and, in 2017, 75% agreed it had improved their ability to do their job (Fig 9. item C);
 - ✓ At least 3/4 of executives felt e-technology had increased their workload (80% in 2002, 75% in 2017), and increasingly they felt that it hindered their ability to achieve a work-

133 Figure 9. is derived from data from the 2017 APEX survey report, which is also summarized in Annex B (Section 3). Please note that for presentation purposes, the wording of the indicators has been simplified. Also, neutral answers are not presented which largely accounts for results not adding to 100%. Please refer to the corresponding full APEX reports for the complete descriptions, questions and results.

life balance (31% in 2002 to 49% in 2017, Fig. 8 items I-J). More specifically, 69% reported feeling obliged to respond to work-related messages after work, and 64% used e-technology intensively after work hours for work purposes (Fig. 9 items A-B).

- In 2017, public service executives also clearly thought that the government was not sufficiently prepared to adopt new technologies (Fig. 9 items E-G). Particularly:
 - ✓ 68% thought government did not have policies to keep pace with technological changes;
 - ✓ 60% thought government was not prepared to deal with the challenges of social media;
 - ✓ 53% felt employees not ready to adopt new digital platforms or service delivery channels.

3. Quality of Services

- From 2011 to 2019, employees felt they had the support needed to provide a high level of service (Fig. 8 item C). In a very similar question, from 1999 to 2005 roughly 3/4 had reported they had the flexibility to adapt services to clients' needs (Fig 8, item D) The combined results of the two indicators were fairly consistent,¹³⁴ until 2014 when the results declined noticeably (from between 74-76% in the 1999-2011 period, to 66-71% in 2014-19).
- As reported in subsection 3.2.A, most employees felt that the quality of their work suffered, because of a number of factors related to their work – changing priorities, unreasonable deadlines, less resources and high staff turnover. This may help explain the decline in support for quality services identified under the prior point.

Selected Executive Comments (GSPIA Survey)

- *The amount of administrative processes that have been off loaded from others seeking efficiencies has greatly increased. ... we end up putting bandages on problems knowing full well in the long term, this will create bigger problems down the road.*
- *Manque flagrant des fonctions habilitantes pour supporter notre travail et complexité administrative en forte augmentation.*
- *Great need exists to stabilize IT tools and create spaces for calling ineffective processes out - PHOENIX is one of many examples. While it has the greatest negative impact ... other systems that recently procured have FAILED to support Executives ...*
- *... micro-management from higher level has made it worse. Travel authorizations are required, from ADM level, for simple trips... This is somewhat ridiculous. In fact, there is much more red tape than 10 years ago, which makes it worse for Executives.*
- *More and more tasks being pushed to management - corporate services no longer does the work - they just police and tell me what I did wrong ...*
- *Documenting seems more important than results. E.g. MAF - It assumes if you have documents demonstrating what TBS thinks is the best way to manage you must be doing it right ... they are wrong.*
- *The biggest change is trying to cope with the government's "modernization" initiatives, which have all led to an increase in workload and a loss of productivity: needing to interact with SSC ...; limit to the size of our email inboxes, which forces us to constantly manage PST files, the total fiasco associated with Phoenix ..., the timing of the introduction of MyGCHR, ... the introduction of HRG, the most illogical and user unfriendly tool ever conceived. The list is endless.*
- *Over and beyond Phoenix, the government-wide tools (myGCHR, ETMS, PSPM, Callipers) are either antiquated or performing sub-par ... The policies around performance management causes a bunch of busy work that amounts to nothing and is far from the approach embraced by high performing organization. Procurement needs to be overhauled to become more agile; loosening of some hiring rules is seen as positive. Staffing for entry level positions needs to [be] streamlined.*
- *The changes to the TB Directive on travel, hospitality, conferences and events are excellent. There is less red tape.*
- *Plus d'emphase sur les processus que la substance; baisse de la connaissance substantive des sujets traités.*
- *At every level, we need to remove administrative minutia from those we hire to lead the organization.*

4. Business Processes.

- The previous finding, where a declining number of employees reported having the support and flexibility to serve their clients and provide quality services, is likely also associated

¹³⁴ For instance, the results between the 2 similar questions in 2005 (75%) and 2011 (74%) were essentially the same

with the complexity of business processes. A clear majority of employees also indicated that the quality of their work suffered because of:

- ✓ too many approval stages (70% in 1999, 69% in 2019; Fig. 8 item E), and
 - ✓ overly complicated or unnecessary business processes (73% in 2014, 67% 2019; Fig. 8 item F) While still negative, this indicator showed some improvement.
- Under the 2018 GSPIA survey, 65% of executives reported that the effectiveness of policies, processes and systems in support of programs/services and operations had diminished in the last five-years (subsection 3.2.A, Fig. 5 item I).

The survey findings, under the preceding 4 subtopics, pertained directly to government-wide management reform priorities, such as those related to improving the public service's workplace, business processes and technology. While some findings were positive, particularly those conveyed through the PSES regarding workplaces, equipment and services to clients, there have not been the evident improvements expected from the many reform priorities and initiatives. In other instances, survey findings depicted a bleak situation such as with respect to technology's adverse impact on the workload of executives and the lack of anticipated headway streamlining business processes.

The survey results need be considered in the context of the related commitments and challenges identified in the clerks' annual reports. Particularly, the long-standing and ongoing public service priorities to remove unproductive and unnecessary bureaucracy (subsection 2.3.E) coupled with the results of the PS surveys, confirm that actual progress in this area has been at best minimal despite the various efforts.

D. REFORM RESULTS AND OUTCOMES

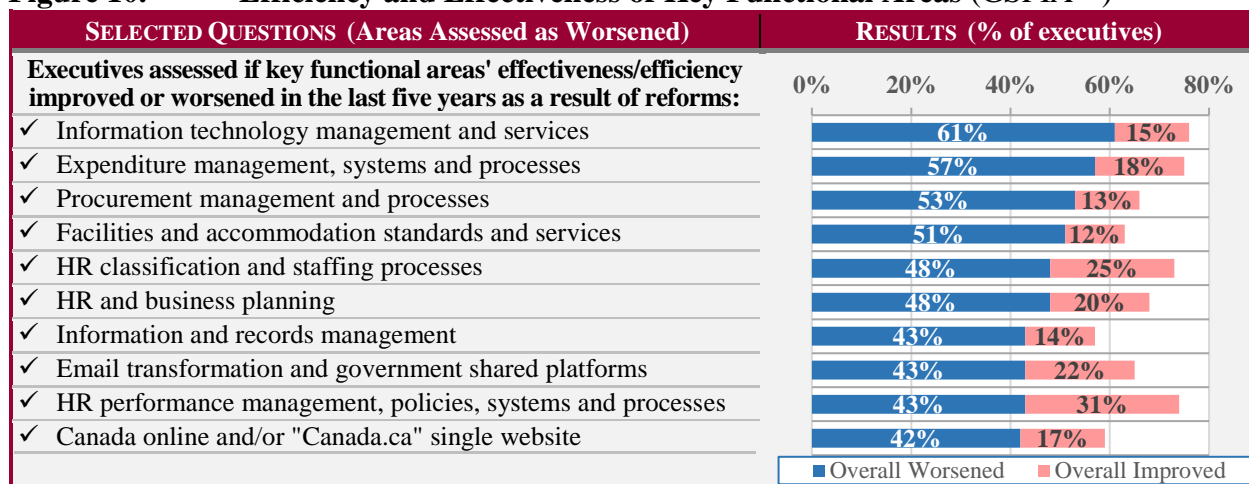
The 2018 GSPIA Executive Survey addressed more directly the overall results and outcomes of government-wide management reforms, as well as their implementation and management. While the survey report's main body is included in annex, this subsection and the next provide y brief synopses of its main findings.¹³⁵

In addition to questions on the nature and attributes of the work of executives, already highlighted, the GSPIA survey examined the outcomes of reforms from two perspectives.

- First, executives considered if the effectiveness and efficiency of 24 broadly defined functional areas, common to most departments, improved or worsened in the past five years because of management reforms or similar initiatives. Overall, more executives reported a decline across most key areas (18 of the 24), but they decisively rated 10 areas, presented in Figure 10 on the next page, as having worsened the most – usually by a ratio of 2:1 or greater (i.e. % executives who assessed as worsened to % who assessed as improved).

135 The synopsis of the 2018 Executive Survey Report's presented in this subsection is partially restated from an article by the same author: "Public Service Management Reforms - Executive Views and Consequences", Robert D'Aoust, Canadian Government Executive magazine, October/November 2019 issue (Volume 25 Number 4), page 8

Figure 10. Efficiency and Effectiveness of Key Functional Areas (GSPIA¹³⁶)

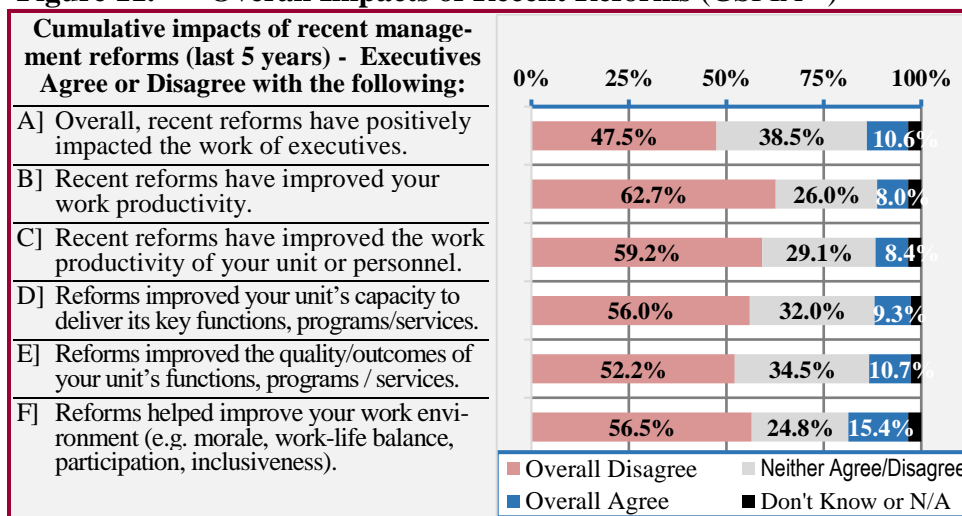


While no key areas were as conclusively rated as having improved by as many respondents, for 3 areas there were notably more executives who noted them improved (vs worsened):

- ✓ Values, ethics and wrong-doing disclosure (37% improved vs 12% worsened);
- ✓ Internal audit and audit committees (28% improved vs 12%); and,
- ✓ Grants and contributions funding (32% improved vs 17%).

In the remaining areas (11 of the 24¹³⁸) there were only marginal differences between the number of executives who thought functions had improved or worsened, and there was often a substantial portion who felt there were either mixed results or unclear changes (i.e. neutral answers). This is understandable, given that these broad functions could exhibit both improvements and deteriorations in their different aspects or activities.

Figure 11. Overall Impacts of Recent Reforms (GSPIA¹³⁷)



136 More detailed information is presented in the Survey Report (Annex D, Section 3.3 and Exhibit 5). As indicated in the Survey Report (Footnote 25), for presentation purposes abstraction was made of "Don't Know or Not Applicable" responses. Also, the percentages presented in Figure 10 above do not add to 100% because the Neutral Answers are not presented (i.e. "No Clear Change or Mixed Results"). The unabridged versions of questions, categories and results were provided in the annexes to the full Survey Report available online (footnote 118)

137 Refer to Annex D Section 3.3 and Exhibit 6. For presentation and analysis purposes, "Overall Disagree" regrouped answers of Strongly Disagree and Somewhat Disagree, and similarly "Overall Agree" regrouped Strongly and Somewhat Agree. The unabridged versions of questions, categories and results are provided in Annex to the full Survey Report available online (see footnote 118). Small percentages for "Don't Know or N/A" not shown in graph.

138 Refer to Exhibit 5 in Annex D (page 17 of annex)

- Second, executives evaluated the cumulative outcomes of recent management reforms over the past five years. The results were both conclusive and disturbing. Overall, for most executives reforms had not improved their work, productivity or environment. The majority agreed there were no improvements to any of the survey's six defined outcomes, while only a small minority ($\leq 15\%$) held the opposing view and others neither agreed nor disagreed.

The results illustrated in the survey report were replicated in Figure 11 (prior page).

These results may initially seem to contradict the previous views that work productivity had increased (Figure 5. items E and F). The distinction, however, is that here productivity improvements were assessed in relation to management reforms.

E. REFORM IMPLEMENTATION AND MANAGEMENT

The 2018 survey also examined the public service's overall implementation and management of its reform agenda and initiatives.¹³⁹ Executives rated if the public service (PS) was effective or ineffective at managing reforms based on 7 predefined and quite conventional criteria.

- Almost two-thirds (62%) of executives surveyed thought the PS effectively aligned its reform agenda and initiatives with the priorities of the elected government.

Selected Executive Comments (GSPIA Survey)

- *The issue is that neither the execs nor the employees see the benefit of the changes - they take a lot of time. As a leader, I am challenged with motivating people focused on delivering day to day programming in the middle of constant change. ...*
- *Change is not managed properly and no one looks at the cumulative impact of change across the system.*
- *Governance structures, and business process ownership are two key things that are not as clear as they should be.*
- *With larger, centralized functions ... it takes more time to communicate through multiple strata of communities of practice to reach people who know less about each other's work. Communication is increasingly necessary and decreasingly effective.*
- *ADMs and DMs that are inexperienced and have no delivery knowledge...; collaboration seen as the hallmark of success as opposed to real delivery; growing contentment with the status quo and a failure to speak truth to staff, colleagues, and power.*
- *Maintaining adequate coordination has both become more possible and more challenging, because timing of many business transformation initiatives overlaps. Change management approaches barely keep up.*
- *Alignment of subject matter expertise and experience to executives tasked with leadership/management lacking. Short executive tenures assuredly impact progress.*
- *Organizational maturity (management) significantly decreased. No overarching governance used as a control framework. No reference baseline for performance measurement (program and department specific) against which changes/improvements /additional investments are assessed or challenged prior to project/initiative launch.*
- *Changes in accommodation, security and information management are not lining up. As examples: We are reducing accommodation space to drive digital without providing adequate digital information management tools. We give mobile tools then lock down security that prevents mobile access to information.*
- *Senior Management has become less capable as leaders, risk takers, and decision makers. Executive peers have been promoted to position too quickly, are less capable ...*
- *Major initiatives failed (Shared Services, Email system, Phoenix, etc.) with no clear accountabilities and consequences.*
- *The reforms are not the problem, but the execution of them within the department has created more work, not less ... due to risk adversity. The tendency is always to layer additional process on top of existing ... and rarely to make more effective.*
- *Announcements seem to be far more important than implementation. Remember Vision 20/20? Where did it go?*
- *Leaders responsible for leading reform initiatives are overwhelmed by system complexity and unsupported by system-wide governance.*
- *I do not think identification of problems is the issue. The problem is the capacity to implement and revise decisions once taken. One of the biggest problems is performance management for executives ... But there is no evaluation of this years into the future, so there is no commitment to deal with consequences or long term issues ...*
- *Far too much time and attention is spent on ideas and too little time on challenging, testing, vetting, planning and administering the idea. Ideas such as Shared Services or Phoenix ... were ideas not rooted in facts or evidence - just saying that you will create such efficiencies and save hundreds of millions of dollars does not make it true - they were imaginary ideas but the people that came up with them were rewarded. ... The incentives and focus are wrong and there is a culture and integrity issue behind these transformation failures.*

139 Refer to Annex D, Section 3.4 and Exhibit 7 (page 20 of annex)

However, for 5 of the 6 remaining criteria, the predominant views were that the PS was ineffective and did poorly at:

- ✓ Allowing sufficient capacity and resources to implement reforms, while maintaining ongoing operations, programs and services (79% rated the PS ineffective, versus 8% who rated it as effective);
 - ✓ Defining the roles of central agencies, departments and other key players to ensure good coordination of reforms (51% ineffective vs 22% effective);
 - ✓ Setting clear performance objectives and intended outcomes for reform initiatives, and monitoring results accordingly (48% rated ineffective vs 19% effective);
 - ✓ Overseeing the overall reform agenda to ensure consistency and coordination between individual initiatives (46% rated ineffective vs 24% effective);
 - ✓ Staffing executive positions to ensure the capacity, expertise and stability needed to successfully manage and implement reforms (42% rated ineffective vs 27% effective).
- With respect to the remaining criterion, opinions were almost evenly split on whether the public service effectively consults and coordinates its reform initiatives with key internal and external stakeholders.

Overall, executives had a clearly predominant pessimistic view of the capacity and abilities of the public service to effectively manage and implement government-wide reform initiatives. Further to the survey's quantitative results, synthesized in the preceding subsections, executives also provided many insightful written comments and responses to the survey's optional open-ended questions. These comments were most useful to better grasp executives' concerns and interpret the survey's quantitative results, as well as provided helpful explanations and recommendations. A detailed summary of the comments is annexed to the full survey report available online,¹⁴⁰ and selected examples were provided in the previous inserts. What was most conspicuous was the persistent critical tone and sense of frustration with a worsening work environment that was echoed in a large majority of the comments provided throughout the survey.

3.3 OVERALL OUTCOMES AND CONCLUSION

Despite some limitations, the three public service surveys examined combine to provide some of the best publicly available evidence to assess the overall outcomes of recent government-wide management reforms. Notwithstanding, in the context of this study, the principal limits of the surveys should also be acknowledged:

- The PSES and APEX surveys essentially were not developed for the explicit purposes of assessing the outcomes of management reforms. For some renewal and reform priorities, however, there was a close link to specific survey questions as exemplified previously (e.g. discrimination and harassment, HR performance management, business processes).
- The GSPIA survey openly assessed management reforms, but mainly from an "overall" or overarching perspective – the cumulative results or impacts of reform initiatives. For the most part, evaluating specific individual reforms directly would be impractical (if not impossible) in this study's context, due to both the lack of more explicitly defined

140 Refer to Annex A of the full 2018 Executive Survey Report Available online (web link with footnote 118)

performance objectives and targets for individual reforms, and the absence of more detailed and publicly accessible information on specific reforms and their actual outcomes.

- The public service is evidently a complex entity, subject to diverse social, political, fiscal and other influences. As such, management reforms and similar initiatives are not the only factors affecting different aspects of the public service. Accordingly, the attribution of specific outcomes to management reforms should be interpreted with some prudence.

Regardless of these cautions, the analysis of the clerks' annual reports and the views expressed by public servants through 3 distinct surveys, 2 of which spanned two decades, lead to an inevitable conclusion: management reforms overall have generally failed to produce, or to demonstrate, sufficient positive outcomes to be successful.

While there have been government-wide improvements in different areas, many of which were noted in the previous sections, these are overshadowed by the more numerous instances of failed, abandoned, stalled or poor performing reform initiatives. Based on the analysis and available evidence presented, the combined findings are disquieting. In many instances, information was insufficient to determine the actual benefits of substantial reform efforts and initiatives. However, where information on actual outcomes or trends was available, the evidence too often depicted worsening or stagnant results in different facets of the government's work environment, in spite of important efforts and initiatives.

Considering recent well-publicized failures, the acknowledgment of various setbacks and other sources such as the Auditor General's reports, examined in the next section, the public service's overall weak performance on management reforms should not come as a revelation:

"To meet the rising expectations of Canadians, we need to accelerate the pace of modernization and renewal." (Clerk's 2016 Annual Report page 9)

"Wernick was barely installed in his new job when he described the public service as 'a bit of a fixer-upper.' In a recent, wide-ranging interview, he explained the public service has good bones but is hobbled by structures that make it too slow, rigid and risk-averse. ... He says the public service has to get better at recruitment, training and learning; it has to find the right people and mix of skills. The culture also has to shift to a focus on results achieved rather than simply work done, he said. ... There are too many managers, and the 'load of rules, bureaucracy and process that isn't productive' should be lightened. ... He described a public service workplace that is tired. He said it needs better buildings and technology. It also has too many cases of reported harassment. Half of all health claims are for mental stress and anxiety at work." (May 2016)

"Achieving large-scale reform is difficult at the best of times and any talk of changing an organization's culture is often met with cynicism, fatigue or resistance. In fact, we expect most readers to conclude that many of the issues, problems and solutions we are putting forward are well known. But if it is the case that the public service has been wrestling with many of the same issues for decades, we are left to wonder why implementing lasting solutions seems so elusive." (Baird and Green 2008, page 15)

4. COMMON FINDINGS AND LESSONS

4.1 NEED FOR ANALYSIS

The preceding sections provided an overview of government-wide management reform priorities and established that there are conspicuous challenges and difficulties with the effectiveness of the federal public service's many reforms. This section explores the most common underlying reasons for the public service's uneven and often poor track record. In essence, the study endeavored to do what previous clerks, auditor generals and others have suggested – to look at past initiatives and experiences to identify common causes and lessons.

"If we public servants are to modernize and renew ourselves and our institutions, then we know we must ... Learn through the process of change. We have said for years that we are a learning organization. It is up to us to show that we can "learn while doing" and in particular that we can apply the lessons of experience in one part of the Public Service to challenges faced in other areas." (Clerk's 2007 Annual Report, pages 13-14)

"My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago: ... We must be able to measure how we are working and the outcomes we are achieving, so we can learn." (Clerk's 2017 Annual Report, page 33)

"I want to stress the need for the government and the public service to look at these audits differently, not just as a list of issues we found in different programs, but as symptoms of a much deeper culture issue. Departments can implement our recommendations and deal with the symptoms we've raised, and that is important. But the real question for the government to think about is why do we keep finding and reporting serious problems ..."
(Ferguson, Auditor General of Canada, 2018-b)

"Complete lack of analysis of prior change management projects for the lessons learned."
(2018 Executive Survey participant¹⁴¹)

"There is a lack of research into potential outcomes and effects from the implementation of poorly thought out reforms and policies. As a result of forcing poorly planned reforms there will be a negative impact for decades." (2018 Executive Survey participant¹⁴¹)

Simply put, where this report has already sought to determine what the most significant reform priorities and initiatives were and how they fared, this section tries to examine why reforms usually succeeded or failed – what were the most common denominators or success factors?

4.2 FINDINGS OF THE AUDITOR GENERAL

To examine and compare the different factors impacting the results of various reforms, much more in-depth information would be needed on numerous aspects of individual initiatives, such as pertaining to planning, management, implementation and so forth – information that is normally not publicly available or easily obtainable. As an alternative, the study relied on the work of the Office of the Auditor General of Canada (OAG), which conducts detailed performance audits, in accordance with strict professional standards, of various government operations, programs and initiatives, including some related to management reforms. As well, the ensuing Auditor General reports are public, and usually provide a wealth of information on

141 Comments from participants to the 2018 Executive Survey on Federal Public Service Management Reforms can be found in Annex A of the full report, which is available online. See footnote 118 and Annex D.

the area or initiative audited, and the detailed rationale underpinning their audit assessments and findings.

Thus, the study examined recent OAG reports, which were selected on the following basis:

- ✓ Audit reports published within the last 10 years (2010 to 2019);
- ✓ Audits that examined initiatives, projects or commitments (as opposed to ongoing functions or programs), usually implemented or renewed within the last 15 years;
- ✓ Audits that examined initiatives or projects that were government-wide and involved or served multiple departments, as opposed to department-specific initiatives.

As a result, ten audits of reasonably recent reform initiatives were selected and reviewed, the full reports of which are all available on the OAG's website:¹⁴²

1. Building and Implementing the Phoenix Pay System – OAG Spring 2018, Report 1
2. Phoenix Pay Problems – OAG Fall 2017, Report 1
3. Information Technology Shared Services – OAG Fall 2015, Report 4
4. Implementing Gender-Based Analysis – OAG Fall 2015, Report 1
5. Required Reporting by Federal Organizations – OAG Spring 2015, Report 2
6. Follow-up Audit on Internal Controls Over Financial Reporting – OAG Fall 2013, Chapter 1
7. Status Report on Evaluating the Effectiveness of Programs – OAG Spring 2013, Chapter 1
8. Grant and Contribution Program Reforms – OAG Fall 2012, Chapter 2
9. Large Information Technology Projects – OAG 2011 Status Report, Chapter 2
10. Modernizing Human Resource Management – OAG Spring 2010, Chapter 2

Each report was reviewed and the OAG's key findings or observations – both positive and negative – were identified and assessed to determine to what extent the difficulties (issues) and/or success factors described contributed to the initiative's performance, and to compare if findings were similar across initiatives. To facilitate this comparison, the study grouped similar findings under 6 broadly defined governance and management themes, and the results summarized succinctly in Annex C¹⁴³ and in Figure 12 (next page), as well as presented in the following subsections (A. to F.). The analysis also served to help shed light on whether knowledge had been transferred and lessons learned regarding the management of such initiatives.

142 Office of the Auditor General of Canada, website: <http://www.oag-bvg.gc.ca>

143 Refer to Annex C starting on page 147. Please note that the comparability of the different OAG findings presented in the Annex may be restrained by the fact that the audits examined very different initiatives, and the objectives and scope of the individual audits will have differed accordingly. Also, there is an amount of overlap between the six broadly defined themes, and in a few instances findings may be included under two themes/categories. This Annex also provides the specific references to findings by OAG report paragraph numbers. Finally, the findings summarized were in effect at the time of the audits and may not represent the subsequent or current situation for any reform initiative.

Figure 12. Key Findings by Theme - Selected OAG Audits (Annex C.)¹⁴⁴

GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES (RR)	PERFORMANCE OBJECTIVES, INFO & RESULTS	RESOURCES AND CAPACITY	INITIATIVE OR PROJECT MANAGEMENT
Theme included in 10 of 10 audits	Theme included in 10 of 10 audits	Theme included in 8 of 10 audits	Theme included in 10 of 10 audits	Theme included in 9 of 10 audits	Theme included in 10 of 10 audits
Audits identified both issues and success factors	Audits identified more success factors than issues	Audits identified both issues and success factors	Audits identified more issues than success factors	Audits identified more issues than success factors	Audits identified both issues and success factors
Topic examples: <ul style="list-style-type: none"> • Oversight • Structure and committees • Strategy and decisions 	Topic examples: <ul style="list-style-type: none"> • Policy/directives • expectations, service standards • coordination and consultations 	Topic examples: <ul style="list-style-type: none"> • RR definitions • RR coordination 	Topic examples: <ul style="list-style-type: none"> • performance info measurement • Monitoring and reporting • Compliance • Expected results 	Topic examples: <ul style="list-style-type: none"> • Capacity, skills and experience • Funding • Required and actual resources 	Topic examples: <ul style="list-style-type: none"> • Planning and analysis • Processes • Quality assurance / monitoring • Testing or pilots

A. GOVERNANCE, OVERSIGHT AND STRATEGY

All of the 10 OAG audits identified findings related to higher governance functions, typically exercised by the most senior levels in departments or central agencies (in contrast to management functions). The majority of audits reflected both positive and negative findings under this theme, and dealt primarily with the following three aspects of governance.

- Findings related to senior executive oversight, monitoring or challenge functions were present in 9 of the 10 audits, and presented both problems and recent improvements at the time of the respective audits. For instance:
 - ✓ A lack of independent oversight and monitoring had been a concern and contributed to issues with the Phoenix system, the Implementation of Gender-based analysis (GBA), and the Evaluation of the effectiveness of programs (central oversight);
 - ✓ Conversely, good practices or at least improvements in oversight were noted in many other initiatives: IT Shared Services, Internal controls over financial reporting (ICFR), Evaluation of programs (departmental oversight), Grants and contributions reform (central oversight), Large IT Projects, and Modernizing HR Management (central monitoring).
- Strategic decisions by senior management, and underpinning strategic planning and analyses, had a strong correlation with the overall performance of reform initiatives. Particularly:
 - ✓ Strategic decisions related to implementation of the pay system had not taken into account the impact of scaling back the system, cancelling the pilot, or the findings of the independent consultant (i.e. Gartner report). As well, there had been no long-term strategy or solution to address the causes of the pay problems, or an integrated plan to resolve problems in a sustainable manner;
 - ✓ Shared Services Canada (SSC) did not have a comprehensive strategy for IT maintenance and transformation, and the government-wide IT strategic plan had been incomplete;

¹⁴⁴ Figure 12 is highly summarized and compiled from Annex C.: "Summary of Auditor General Reform Related Audits". The table indicates how many of the 10 selected OAG audits reviewed had findings related to the specified theme; whether the finding identified were negative (issues) or positive (success factors); and a few examples of the most frequent topics identified under the broader themes.

- ✓ TBS had needed to adjust its reporting requirements based on a review of related efforts, costs and value;
- ✓ Departments were not all fully realizing the benefits of utilizing program evaluation results in support of Treasury Board submissions;
- ✓ The OAG reported unsatisfactory progress on governance and business cases for large IT projects. For example, key project deliverables had been deferred without sufficient analyses of resulting impacts and costs.

All the same, the government did have a draft strategic plan for Gender-based analysis, as well as an engagement strategy to encourage organizations to participate in G&C reform.

- Governance structures, such as the roles and composition of senior committees, were part of the findings in about half of the audits. Governance structures were found deficient to effectively deal with pay system problems and implementation (Phoenix), and in half the project reviewed as part of the audit of large IT projects. On the other hand, the OAG observed that departments had established proper evaluation committees and supporting processes as part of evaluating the effectiveness of its programs. TBS had established DM and ADM committees to overview G&C reform, and the Office of the Chief HR Officer had been created in TBS to help resolve governance concerns as part of the Modernization of HR Management.

B. STAKEHOLDER COORDINATION AND GUIDANCE

This theme is intended to regroup activities related to the government's internal coordination through means such as policies, guidance and other forms of communication or training (i.e. internal stakeholders), as well as consultations, engagement and setting expectations with key external stakeholders and partners. Findings under this theme were also present in all 10 audits.

- There were more audits which had identified success factors (8 of the 10) than issues, although some included both. The following were among the positive findings from which lessons should have been drawn:
 - ✓ Central departments had clarified expectations and requirements for GBA, and had made progress to promote and support GBA with departments;
 - ✓ TBS had provided ongoing guidance and support on ICFR;
 - ✓ Evaluation policy and directives had enhanced requirements to generate and collect performance information, and guidance had been provided on the use of evaluation findings;
 - ✓ TBS had provided leadership and guidance to implement and coordinate the new policy on transfer payments (G&C) across government, and departments consulted with recipients to redesign G&C programs and set service standards;
 - ✓ At the time of the audit, TBS had completed new policies, standards and guidance for conducting large IT projects;
 - ✓ In some HR areas, central guidance, policies and regulations had been provided to help DMs exercise their HR management responsibilities.

- Overall, the implementation of the pay system failed on a number of coordination related areas and requirements:
 - ✓ Departments had not been sufficiently involved to determine what Phoenix needed to do, or to help them move to the new system;
 - ✓ Departments had not been provided guidance or enough time to develop contingency plans;
 - ✓ Departments had not been provided relevant and timely training to support the transition. Pay advisors often had not known why pay requests were rejected;
 - ✓ Information on security and privacy risk had not been shared with departments;
 - ✓ Central communications to departments had not been complete or timely;
 - ✓ Information and reports had been insufficient to help departments resolve their pay problems.
- The implementation of IT Shared Services had not provided for clear expectations to partner departments, and the IT service strategy, service catalogue and partner agreements had been incomplete.
- There were a few other areas where the need for improved guidance was noted by the OAG, namely to support the evaluation of programs, and to ensure risk ratings of G&C programs and recipients were accurate and current.

C. ROLES AND RESPONSIBILITIES

Clear definitions of senior roles and responsibilities is akin to the two previous themes, in that they also help ensure effective coordination of operations and initiatives between departments and with other partners. Overall, 8 out of the 10 audits had findings related to roles and responsibilities, which contributed to the difficulties or successes of the reforms. The following are highlights.

- The implementation of Phoenix had not complied with set roles and requirements for an independent readiness review, as the accountable executives had authority over the reviewers. As well, TBS had not initially played an active role to ensure cooperation from departments, and the various committee focused on pay problems did not have defined roles and their work was not adequately coordinated.
- The IT Shared Services business and service agreements with departments had not specified departments' respective roles and responsibilities.
- There had been a key inconsistency with the GBA, as departments had been responsible to implement GBA but there had been no mandatory requirement to do so. However, central agencies were responsible to review Cabinet documents to ensure departments had considered GBA.
- A number of strengths or pluses were also identified in the audits:
 - ✓ Responsibilities of both the Office of the Comptroller General (OCG) and deputy heads had been detailed in the Treasury Board Policy on Internal Controls (re: ICFR);

- ✓ The then new Policy on Transfer payments (G&C) had clarified responsibilities and accountabilities of TBS and federal deputy heads;
- ✓ Chief Financial Officers had been made responsible to attest to their DMs that submissions, such as pertaining to large IT projects, were supported and reflected due diligence;
- ✓ As part of HR modernization, responsibilities for HR management and staffing had been transferred to DMs, and central agencies were exercising their revised responsibilities per the Public Service Modernization Act (PSMA).

D. PERFORMANCE OBJECTIVES, INFORMATION AND RESULTS

This category was the most populous in terms of number of findings, and was represented in all 10 audits. In addition to questions of performance objectives, information and reports, the category also included questions of information compliance and actual results or progress. The OAG's findings predominantly pointed to issues and problems, which is not very surprising given that effective performance information, especially pertaining to outcomes, has been one of the holy grails of public administration.¹⁴⁵ The examples, which follow, are not all inclusive.

- The project to implement the Phoenix pay system had failed in many instances to properly define its objectives and report or consider performance information:
 - ✓ Failure to define and meet the needs of users, and improve the efficiency and effectiveness of the pay processes;
 - ✓ Failure to re-examine the expected benefits after Phoenix's functionality had been significantly scaled back;
 - ✓ Non-compliance with security, privacy and accessibility policies and requirements;
 - ✓ Failure to fully consider or act in accordance with available performance information;
 - ✓ Inaccurate reporting of outstanding pay requests at the Miramichi Pay Centre;
 - ✓ Phoenix would not achieve the productivity gains that had initially been expected from the Transformation of Pay Administration, even if the pay problems were resolved.
- In 2015, the IT services consolidation under Shared Services Canada had similar difficulties, and could not show if the IT transformation was achieving its stated benefits. Related issues had included not measuring and tracking progress, limited performance information or reporting against targets, no service baselines, and overall savings largely unknown.
- Under the initiative to implement Gender-based analysis (GBA), most departments had not publicly reported GBA progress, the central department responsible had not reported on the implementation of the GBA framework across government, and while examples of GBA impacts had been provided, the effectiveness of GBA had not been assessed.
- The government could not effectively assess if the G&C reform led to better processes, because both TBS and the departments audited had not assessed their implementation's impacts on their own processes or on their funding recipients. As well, audits and evaluations of G&C programs had identified the need for better recipient performance information.

145 Refer to previous report Section 2.4, subsection on "Results Framework and Information" (page 47), and also to comments from the Clerks of the Privy Council quoted under Section 2.2 (starting on page 23)

- Most IT business cases reviewed as part of the OAG audit of large IT projects had not clearly identified and measured benefits, or compared results against plans and targets.
- The modernization of HR Management (HRM) had presented some reporting difficulties. In 2010, the OAG found that HRM reports to Parliament had been provided late and had limited information on interim results. Despite modernization and the PSMA, the Public Service Commission had reported the average time to staff positions had not improved.
- The remaining reform projects had more mixed results.
 - ✓ The audit of required reporting by federal organization revealed that the selected reporting requirements examined had clear purposes and timelines, and that accountability and compliance reports served their purposes. However, there had also been inadequate monitoring of compliance reporting, and limited use made of the reported information for internal decision purposes.
 - ✓ 5 of the 7 departments included in the audit of internal controls over financial reporting (ICFR) had made unsatisfactory progress. The OAG noted that completing ICFR would take several years due to delays and no set timelines required by policy. Nonetheless, some improvements to internal controls linked to ICFR had been noted.
 - ✓ Following new policies, departments audited had established performance measurement strategies and progressed in collecting performance information. However, more work remained and inadequate information had prevented departments from properly addressing program effectiveness. While departments had surveyed managers to determine if evaluations met their needs, they had not all evaluated ongoing G&C programs each 5 years as required by the FAA or always addressed all 5 core evaluation issues in their reports as had been required by the Policy on Evaluation.

E. RESOURCES AND CAPACITY

Observations on resources and capacity – planned or actual – appeared in 9 audits and included related subtopics such as project costs, efforts and schedules. The large majority of findings identified problems mostly dealing with lack of resources or expertise and inadequate resource planning or related processes.

- A lack of adequate resources – either funding, capacity or expertise – was identified as an issue in most of the initiatives audited:
 - ✓ Pay System – the lead department had not the funds required and instead had reduced staff and capacity. As well, it had not heeded clear warnings that departments and the pay system itself were not ready, and overestimated their capacity;
 - ✓ GBA – the lead department had not assessed the resources required to deliver the GBA mandate and to report, and despite progress there had been limited capacity in departments for applying GBA;
 - ✓ Required Reporting – the overall efforts and costs of complying with reporting requirements had not been determined, and it was possible that resources had been utilised to prepare reports that were of limited use;
 - ✓ Internal Controls over Financial Reporting – implementation delays had been due to work-force adjustments, strategic reviews and competing priorities (i.e. capacity);

- ✓ Large IT Projects – in 4 of the 7 IT projects examined, departments had lacked the needed skills and expertise. However, some departments had properly assessed their capacity and demonstrated readiness for business transformations linked to IT projects;
- ✓ Modernizing HR Management – some of the PSMA's options had not been fully utilised because of resource or capacity issues.

On a positive note, departments were reported having increased or maintained their capacity to evaluate their programs, and TBS' Center of Excellence for Evaluation had the capacity to support departments in meeting the new evaluation requirements.

- Additional challenges related to resource and capacity included issues around financial processes and deadlines:
 - ✓ Departments often had not been able to meet deadlines under the new pay system, and not enough time had been allowed to review and authorize payments before their release;
 - ✓ Shared Service Canada had unclear processes to ensure funds would be available to meet all IT investment needs.

F. INITIATIVE OR PROJECT MANAGEMENT

Project management comprised a wide range of management centric topics, such as general management, risk management, project planning and needs assessment, monitoring and quality assurance, implementation and coordination, management frameworks and processes – to outline the most prevalent. Unsurprisingly, findings under all 10 audits addressed aspects of project management and denoted both strengths and weaknesses. Due to the diversity of findings, these were grouped under three broad subheadings and strived to exclude items covered under the preceding themes, which could also be project management related (although there may still be some overlap).

1. Planning and Analysis

- ✓ Due to higher costs, important pay system functions had been deferred or removed without clearly considering their impact on planned benefits. There had been no plans to upgrade the application on which the pay system was built. Further, the lead department had not properly tested the pay system before implementation and cancelled the pilot, and the decision to implement had not been properly documented.
- ✓ The lead department had not conducted a full analysis of the financial impacts of the pay requests excluded from its count – the OAG estimated the number of pay requests outstanding was 29% higher than what the lead department had reported.¹⁴⁶
- ✓ Planning for IT shared service had been based on poor practices to define the financial baselines, costs and savings. As well, the list of critical systems had been incomplete, and there had not been formal threat-risk assessments conducted. While there had been a partial process for allocating funds, Shared Service Canada's investment plans and 2014-15 capital plans did not have clear rationales for allocating funds to activities.

146 ["Report 1 - Phoenix Pay Problems"](#), 2017 Fall Reports of the Auditor General of Canada to the Parliament of Canada, Office of the Auditor General of Canada, November 21, 2017, paragraph 1.33

- ✓ TBS had supported pilot projects to restructure G&C agreements. Departments had developed recipient risk ratings linked to recipients reporting requirements.
- ✓ In 2006 the OAG had reported that only 2 of 7 IT projects were well-managed and 5 had incomplete business cases. Subsequently, in its 2011 follow-up audit, overall progress on the governance and business cases for large IT projects had been unsatisfactory.

2. General Management and Implementation

- ✓ Overall, the lead department had failed to properly manage the implementation of the pay system. However, a project management structure had been put in place.
- ✓ The lead department responsible for IT shared services had not implemented an adequate change management process.
- ✓ While the lead department had developed a GBA⁺ framework to assist departments, they had not all implemented an analysis framework and GBA analyses had not always been complete or consistent.
- ✓ Organizations subject to federal reporting requirements had met most of these requirements and had established quality assurance processes over their reports. However, some of the unmet requirements would have been useful for internal purposes.
- ✓ Departments had introduced processes for using program evaluation findings and recommendations to improve program performance and support decision making.
- ✓ The government had adequately implemented its action plan to reform the administration of G&C, and departments were properly assessing documentation before issuing G&C payments.
- ✓ Some departments had adequately managed the risks of large IT projects and most had taken steps to enhance risk management.
- ✓ Key PSMA requirements had been implemented and changes had been made that allowed more flexibility in HR staffing and how recourses were managed. However, there had been difficulties implementing some aspects of the PSMA (e.g.: new tools and mechanisms, fun-ding the Public Service Labour Relations Board, staffing the Advisory Board for Compensation Analysis and Research, new merit-based appointments, non-advertised processes).

3. Monitoring, Assessment and Reporting

- ✓ While the lead department had identified and made significant efforts to resolve pay problems, it had not tracked errors in pay and did not know how many outstanding errors needed to be corrected. As well, there had not been a central process to track the cost of fixing the pay system.
- ✓ Central departments did not have a full inventory of federal reporting requirements and had not tracked changes or trends in the required reports.
- ✓ As part of the implementation of ICFR, only 3 of 7 departments audited had fully tested their controls, and 2 departments had a continuous monitoring program.
- ✓ TBS had established a framework to review the Transfer Payment Policy (G&C) and a 5-year review process. However, the review process had not specified how the impacts of the reform would be assessed. Departments had conducted audits of G&C recipients where warranted.

The number of related audit findings confirmed the importance of the various aspects of sound project management for the overall success of the public service's management reforms.

4.3 COMMON LESSONS AND RATIONALE

The comparative review of audits by the Office of the Auditor General of Canada (OAG) of recent government-wide reform initiatives provided a good indication of why such reforms usually succeeded or failed. As well, it gave rise to a few other significant observations.

1. The various audits unquestionably differed in terms of their specific objectives, scope and the nature of the individual government initiatives examined, and accordingly the findings' particularities understandably varied with each audit. Nonetheless, the large majority of audit findings and recommendations were grouped without significant difficulty under the 6 broad themes identified. Thus, at a more conceptual level, most findings addressed common and recurring themes or topics, as evidenced by the prior analysis.
2. A review of the major findings identified by individual audits (instead of by themes) – both positive and negative – validated that the OAG's overall assessments of initiatives were well-aligned with other available evidence such as the clerks' annual reports and public service survey results. The OAG's audits effectively reflected individual reforms' reported successes and failures, and accordingly the broad themes identified would likely be credible predictors of future performance. Consider:
 - ✓ The highest number of issues (negative findings) raised by the OAG were for the Phoenix pay system problems and implementation (2 separate audits) and for the audit of IT Shared Services. These initiatives were previously confirmed as significantly problematic by the clerks and through the survey results.¹⁴⁷
 - ✓ The OAG had the highest number and proportion of success factors (positive findings) identified under the audits on Evaluating the Effectiveness of Programs, and Grant and Contribution Reforms. These 2 initiatives were also viewed favorably by more executives in the 2018 GSPIA Survey, and reported as successful by the clerks.¹⁴⁸
3. The repetitive nature of many audit findings and the recurring common themes of the OAG's reports on management reforms strongly suggested that, in many instances, the lessons of the past are not well-learned and assimilated as part of newer projects and initiatives. As an example, while the public service's foundational priority on integrated planning was essentially abandoned after 2011 (subsection 2.3.A), in many of the subsequent reforms the lack of effective planning was often an issue. As well, there are many similarities between

147 1] Pay system, refer to subsection 2.3.D - HR Management and Modernization (starting page 30); the Public Service Employee Survey results, such as in Figure 2 - items 6 and 7 on pay and compensation (page 41); and the 2017 APEX survey online report (section on "Preparedness for the Future - Biggest Challenge Facing the Government" pp 87-89); 2] IT Shared Services, refer to subsection 2.3.E - Internal Services, Processes and Rules (page 32), and to GSPIA Survey Results in subsection 3.2.D - Reform Results and Outcomes, including Figure 10 (page 63 and subsequent)

148 1] Program Evaluation, refer to results of 2018 Survey of Executives under Annex D (Exhibit 5, page 17), and comment in clerks' 2017 Annual Report (page 16): "... the 2016 Treasury Board Policy on Results is improving how departments articulate the results they aim to achieve and how they measure and evaluate performance. Ultimately, this will help departments achieve real, concrete results. It will also help them explain how they are helping achieve outcomes that matter to Canadians". 2] G&C Reform, refer to results of 2018 Survey of Executives under subsection 3.2.D (page 63) and in Annex D, and to subsection 2.3.E - Internal Services, Processes and Rules (starting on page 32)

the findings of the 2011 audit of large IT projects, and the issues noted in the subsequent audits of the pay system and of IT shared services.

Accordingly, the 6 major themes identified from the OAG audit findings, should serve as the cornerstones to draw common lessons and elaborate effective criteria and solutions to improve the governance, management and results of public service reforms. More effective and efficient government management reforms would produce better ultimate outcomes such as increasing the performance and productivity of the public service, providing healthier workplaces and better services for Canadians.

5. CONSIDERATIONS AND CONCLUSIONS

This study began as research focused on the public service's management reform priorities and results. In addition to the detailed examination of clerk's annual reports, public service surveys and Auditor General reports – outlined in the preceding sections – a cursory review was conducted of key literature on management reforms and pertinent topics in public administration.¹⁴⁹ The review made it rather evident that management reforms could not be fully treated as a distinct topic or isolated from wider public administration issues and societal context.

5.1 BROADER PERSPECTIVES

This section summarises a selection of ideas and observations, emanating primarily from the literature, and germane to this study. It must be emphasized that this is far from a comprehensive review of available publications, which are extensive and exceed the scope of this study, but rather a modest selection of ideas and tenets that appeared most relevant and useful in helping understand issues, their broader context and possible elements of more effective solutions. The selected topics and quotes from renowned authors presented herein are a very small tip of a very large iceberg.

A. CONVENTIONAL WISDOM

The famed economist John Kenneth Galbraith is reputed to have coined the term "conventional wisdom" in the late 1950s. It refers to ideas and notions in economy (and in other social sciences) that are widely and commonly accepted but not necessarily proven or well representative of current realities, particularly in the face of changing circumstances. In his words:

"Because economic and social phenomena are so forbidding, or at least so seem, and because they yield few hard tests of what exist and what does not, they afford the individual a luxury not afforded by physical phenomena. Within a considerable range, he is permitted to believe what he pleases. ... Just as truth ultimately serves to create a consensus, so in the short run does acceptability. Ideas come to be organized around what the community as a whole or particular audiences find acceptable. ... But perhaps most important of all, people approve of what they best understand. As just noted, economic and social behavior are complex, and to comprehend their character is mentally tiring. Therefore, we adhere, as though to a raft, to those ideas which represent our understanding. This is a prime manifestation of vested interest." (Galbraith 1999, pages 6-7)

"Because familiarity is such an important test of acceptability, the acceptable ideas have great stability. They are highly predictable. It will be convenient to have a name for the ideas which are esteemed at any time for their acceptability, and it should be a term that emphasises this predictability. I shall refer to these ideas henceforth as the Conventional Wisdom." (Galbraith 1999, pages 7-8)

The notion of conventional wisdom is important as it remains valid and robust today, including in the realm of public administration. It has a detrimental effect on public service decisions and initiatives, as it tends to stifle critical thinking and proper analysis. The stability of conventional wisdom and ideas may partially help to elucidate why the history of management reforms tends to repeat itself, why some challenges endure and why common lessons appear so difficult to assimilate. For example, how often has the assumption that centralizing functions and activities

149 The major publications reviewed are identified in the "Bibliography and References" - Annex E.

would be more efficient been at the forefront of important decisions, and how often have the expected savings and efficiencies from such decisions actually been realised ?

"By pooling efforts and resources across departments and deliberately standardizing many of our processes and systems, we will be able to drive innovation and get better value for money. ... We have made progress in enterprise-wide management of such things as pay and pension services, and now the creation of Shared Services Canada has ushered in a new era ... By taking advantage of our size, we will be able to deliver streamlined, cost effective and more secure email, data and network services to all departments. This whole-of-government approach will free up resources for higher value work." (Clerk's 2012 Annual Report, page 12)

The antidote to conventional wisdom, other than the march of time that inevitably proves an idea right or wrong, would be found in better critical thinking, analysis, planning (Kamensky 2016) and effective independent oversight and challenge. This strongly implies that effective governance structures and senior capacity and expertise would be essential prerequisites.

B. EXPERTISE AND CRITICAL THINKING

The public service is influenced by, and part of, changes and trends in the broader society. This is considered, for the purpose of this study, to be largely self-evident. One such trend that is particularly worrisome, is what American author Tom Nichols labelled "The Death of Expertise" in his book by the same name.

"By the "death of expertise" I do not mean the death of actual expert abilities, the knowledge of specific things that sets people apart from others in various areas. ... The death of expertise is not just a rejection of existing knowledge. It is fundamentally a rejection of science and dispassionate rationality, which are the foundation of modern civilization. ... Americans now believe that having equal rights in a political system also means that each person's opinion about anything must be accepted as equal to anybody else's." (Nichols 2017, pages 4-5)

The following extracts from the book's summary highlights some of Mr. Nichols key ideas, which have important ramifications for public service management.

Death of Expertise - Selected Highlights ¹⁵⁰

This book is about the erosion of respect for facts, logical analysis, and critical thinking. Uninformed opinions carry the same weight as expert opinions. There is no vetting of dubious sources from credible sources. Beliefs are conflated with facts. It is in this climate that hoaxes, conspiracy theories, fake news, propaganda, and all manner of bullshit thrive.

"In modern America, policy debates sound increasingly like fights between groups of ill-informed people who all manage to be wrong at the same time... Whether about science or policy, however, they all share the same disturbing characteristic: a [self-absorbed] and thin-skinned insistence that every opinion be treated as truth."

"The social psychologist Jonathan Haidt summed it up neatly when he observed that when facts conflict with our values, 'almost everyone finds a way to stick with their values and reject the evidence.'"

One factor contributing to the acceptance of bad information is the desire to avoid conflict. "In 2014... researchers found that the less capable people advocated for their views more than might have been expected, and the more competent member of the conversation deferred to those points of view even when they were demonstrably wrong... This might make for a pleasant afternoon, but it's a lousy way to make a decision... The reality is that social insecurity trips up both the smart and the dumb. We all want to be liked."

"Campuses in the United States are increasingly surrendering their intellectual authority not only to children, but also to activists who are directly attacking the traditions of free inquiry that scholarly communities are supposed to defend... The current fads on campus, including 'safe spaces' and speech codes, do in fact corrode the ability of colleges to produce people capable of critical thought, [i.e.] the ability to examine new information and competing ideas dispassionately, logically, and without emotional or personal preconceptions."

150 ["The Death of Expertise – The Campaign against Established Knowledge and Why it Matters"](#), Tom Nichols, Oxford University Press, 2017; Book summary link: <https://thekeypoint.org/2017/06/08/the-death-of-expertise/>

Death of Expertise - Selected Highlights¹⁵⁰

"The Internet creates a false sense that the opinions of many people are tantamount to a 'fact.' ... As James Surowiecki (the Wisdom of Crowds writer) pointed out, saying that 'cognitive diversity' is important—meaning that many views can be better than one—it does not mean that if 'you assemble a group of diverse but thoroughly uninformed people, their collective wisdom will be smarter than an expert's.'"

"Meanwhile, scholars and professionals who insist on logic, foundational knowledge, and basic rules about sources risk condemnation by twenty-first-century online users as nothing more than elitists who do not understand the miracles of the Information Age."

"One of the most common errors experts make is to assume that because they are smarter than most people about certain things, they are smarter than everyone about everything... Entertainers are the worst offenders here... This creates bizarre situations in which experts in one field—entertainment—end up giving disquisitions on important questions in other fields..."

"And this, sadly, is the state of modern America. Citizens no longer understand democracy to mean a condition of political equality, in which one person gets one vote, and every individual is no more and no less equal in the eyes of the law. Rather, Americans now think of democracy as a state of actual equality, in which every opinion is as good as any other on almost any subject under the sun. Feelings are more important than facts: if people think vaccines are harmful, or if they believe that half of the US budget is going to foreign aid, then it is 'undemocratic' and 'elitist' to contradict them."

Certainly, the current US context appears to support Mr. Nichols' thesis and the demise of expertise, rationality and critical thinking is being felt at the highest levels in the American administration.¹⁵¹ While many would justly contend that Canada's context is different from the US and that Canada's social woes are somewhat less "intense", the similarities are nonetheless substantial and many have commented on the erosion of expertise and professionalism as it applies to the Canadian public service.

"Some of the public management practices we have adopted over the past 30 years seem almost to militate against...deep professionalism and learning. One such practice...is the habit, even encouragement, of rapid horizontal mobility, especially at the managerial and executive levels. The churn and constant personnel rotation resulting from this kind of mobility culture bring with them an inevitable loss of focus, purpose, expertise and professionalism in our organization." (Heintzman¹⁵²)

"And Ferguson [Auditor General] points out another problem: the churn that took place among the upper echelons of the Department, including three deputy ministers over the seven years of Phoenix's implementation. The churn is an essential part of a culture in the bureaucracy that rewards careerism over competence. If you want to get ahead in the senior bureaucracy, subject matter expertise is not really important." (Freeman, 2018)

"That said, the conclusion of this study, reflecting the view of many study participants, is that the Public Service has moved too far in recent years towards 'generic' managers and that greater emphasis and value should be placed in the future on ADMs having strong knowledge and expertise in the content of their area of responsibility. ... This should be understood to be part-and-parcel of having a professional Public Service, led by senior people who are themselves professionals in their own areas." (Lahey and Goldenberg 2014, page 67)

The advice from Lahey and Goldenberg's 2014 study, quoted above, does not appear to have been heeded, as evidenced by findings of the Auditor General and the results of this study's 2018 Executive Survey.¹⁵³

151 *"Here was a key Trump White House rationale: expertise, that liberal virtue, was overrated. After all, so often people who had worked hard to know what they knew made the wrong decisions. So maybe the gut was as good, or maybe better, at getting to the heart of the matter than the wonkish and data-driven inability to see the forest for the trees that often seem to plague US policy making. Maybe", "Fire and Fury - Inside the Trump White House", Michael Wolff, Henry Holt and Company publishers, 2018, page 114.*

152 Quoted from the document "Canada's Public Service in the 21st Century - Destination Excellence", K. Baird and I. Green, Public Policy Forum, 2008, page 20

153 Refer to previous subsection 3.2.E (i.e. 42% of executives thought the public service ineffective at staffing executive positions to ensure the capacity, expertise and stability needed to successfully manage and implement reforms)

The collapse of the prominence of expertise and essential competencies in the senior ranks of the public administration has contributed to a decline in critical thinking. First, the focus of executive competencies and skills has been defined entirely as "leadership competencies", with limited or no focus placed on actual expertise and core competencies of the sort previously defined by the Clerk in 2003 (see subsection 2.3.B).

The document¹⁵⁴ escapes from the difficult world of the problems of capabilities and competencies of the Canadian federal executives through an elevation of the debates to the fanciful world of 'leadership', and by focussing on so-called future problems rather than the ones we face now. It would appear to suggest that the problem is not one of capabilities and competencies but one of leadership. ... It is difficult to disagree with the fact that the [leadership] attributes mentioned in Table 1 might be useful and desirable. The difficulty has to do with the fact that the attributes listed are strictly 'leadership competencies', and that they seem to suggest that these top-down skills are the only components that matter. ... The reductive twist perpetrated by the CPPF [and TBS] to transform complex concerns about competencies, capabilities and performance into simple concerns about personal leadership is deceitful. What is required for an organization to perform well is a mix of savoir-faire, qualifications, expertise, skills, competencies all around, certain behavioural characteristics, but also particular organizational and institutional rearrangements ..." (Hubbard and Paquet 2016, pages 33-36)

"We need more true subject matter expert executives and leaders and less 'people managers' or 'say the right thing'. We need accountability for quality of delivery, not just presentation." (2018 Executive Survey participant)

Furthermore, the essential competencies, preconditions and disposition required for critical thinking in the senior ranks are often hindered by established doctrines, conventional wisdom and veiled suppression. This is consistent with various comments received from participants in the 2018 GSPIA Executive Survey (Section 3.2), and with the following extract from detailed consultations by Hubbard and Paquet with numerous federal executives¹⁵⁵:

First, it became clear over those months of conversations that there is a lack of safe places where executives are allowed and enabled to explore these thorny issues. ... A sense developed during our conversations that this kind of forum is not being universally welcomed precisely because it might generate critical thinking. The shadow of yesteryears, under the realm of a certain Clerk of the Privy Council for whom criticism was considered a form of treason, was still ever present. ... While the taste and need for such safe places was felt very strongly ... it was clear that a great majority of executives have chosen to avoid them completely. ... seeing no merit in engaging in discussions that can only get them into trouble." (Hubbard and Paquet 2014-c, page 36)

"The entitlement epidemic has contributed, at least in part, to the demise of critical thinking. As individuals developed a bloated notion of what they were entitled to, many of the arrangements that underpinned such an edifice became sacred cows. Those sacred cows were placed 'outside public discussion' (as Gottfried (2002) would put it), and immunized from any criticism as part of the 'progressive' apparatus ... The notion of 'progressive' has now permeated the conventional wisdom and immunized a whole range of policies and arrangements from any meaningful scrutiny. This has resulted in the exclusion of critical thinking from vast territories of public affairs." (Hubbard and Paquet 2016, pages 56-57)

154 The document refers to "[Flat, flexible and forward thinking: Public Service Next](#)", March 2014, Canadian Public Policy Forum (CPPF); This document, based on consultation with emerging and existing leaders, proposed 10 key leadership skills, similar to the ensuing key leadership competencies currently required by TBS as qualification standards for executives. The six current TBS key leadership competencies are: Create Vision and Strategy, Mobilize People, Uphold Integrity and Respect, Collaborate with Partners and Stakeholders, Promote Innovation and Guide Change, Achieve Results (TBS website)

155 In their publication "[Probing the Bureaucratic Mind](#)" (Hubbard and Paquet 2014-c), the authors presented the results of extensive conversations about taboo topics with a large number of senior federal executives. This included 44 sessions of discussions on 24 different topics with approximately 100 senior executives, held between 2006 and 2009 (page 3)

C EXECUTIVE CAPACITY AND PERFORMANCE

A key difficulty with the capacity and competencies of public service executives has already been conveyed – the overemphasis on leadership competencies. In addition, other important facets of the public service's human resource regime have been acknowledged as hindrances to the executive cadre's effectiveness and performance. This is vital, as the effectiveness of senior executives is a determinant factor in the overall effectiveness and performance of the public service. The following describes some of the issues most frequently raised.

- The short tenures of senior executives, both deputy ministers and assistant deputy ministers, have been highlighted as a major concern and impediment to better executive performance and accountability, by many reputed authors and practitioners alike. The usual mandates of deputy ministers most often run from 2 to 3 years and do not allow them to be sufficiently knowledgeable of their departments' complexities nor provide the needed stability to their organization, particularly when facing longer term programs and initiatives. As noted previously (subsection 5.1.B), the churn thus created in the senior ranks of the public service, based largely on a culture of careerism, prioritizes the interests and advancement of executives over competencies and the performance of their departments.

"All this churn is visible all the way through the executive ranks of the public service. A few years back the Public Policy Forum studied the average tenure of deputy ministers in the period from 1997-2007 and discovered it was just 2.7 years. And when it took a snapshot of heads of agencies at the end of 2010, it found the heads had been in power for 19.4 months, shorter than the average stint of a NHL coach. I doubt it's got better since. The forum noted with [sic] this was particularly disturbing since it takes about 2 years for a new deputy to get up to speed with the department of which they're in charge. So by the time a deputy gets a handle on the job, he or she is often gone. Of course, successful bureaucrats have learned to spin this churn to their advantage. Come in, launch a major reform, take credit for doing it and get out of Dodge before its failings become apparent. Unfortunately in the case of Phoenix, it didn't work." (Freeman 2018)

Many others have raised similar concerns, including for instance: the Prime Minister's Advisory Committee on the Public Service (2010),¹⁵⁶ the Public Policy Forum (2008),¹⁵⁷ Hubbard and Paquet (2014),¹⁵⁸ Lahey and Goldenberg (2014),¹⁵⁹ and the Auditor General (2018).¹⁶⁰ In 2007, the Standing Committee on Public Accounts¹⁶¹ had reviewed the tenure of Deputy Ministers and expressed frustration over the persistence of this issue and the repeated recommendations for change. In its response to the Committee's recommendation, the Government offered explanations but no clear way forward.

- Public service policies and practices for the selection, promotion and evaluation of executives and employees have been the subject of much scrutiny. Building on the questions of competencies and tenure previously outlined, as well as the likely weakening of the merit principle (prior footnote 40), prevalent issues revolve around the effectiveness and rigour of the evaluation and promotion of employees and executives. Consider the next paragraphs.

156 "Report of the Prime Minister's Advisory Committee on the Public Service", Clerk's 2010 Annual Report, Annex E

157 "Canada's Public Service in the 21st Century - Destination : Excellence", K. Baird and I. Green, 2008, pages 22, 28

158 "Competencies: part of the governance vacuum", R. Hubbard and G. Paquet, 2014, page 16

159 "Assistant Deputy Ministers in the Canadian Public Service", J. Lahey and M. Goldenberg, 2014, pages 68-70

160 Mr. Michael Ferguson, "PACP Committee Meeting", Standing Committee on Public Accounts, June 14, 2018 (time index 1720)

161 "The Roles and Responsibilities Of The Treasury Board Secretariat And The Tenure of Deputy Ministers", House of Commons, Standing Committee on Public Accounts, June 2007 (Government Response dated October 2007)

- ✓ The effectiveness of the current federal staffing approach, based on the interview process as the main method for the appointment and promotion of employees, is not well established both in practice and in theory.

"Several Elite participants noted that 'research' indicates interviews are not good predictors of performance; many Hiring Managers just as strongly critiqued the standard federal approach as unreliable in its ability to identify true performers. They are aware, based on their own, colleagues' or staff members' experiences that some people are very good government test takers and others are not and management participants viewed interviews as highly artificial and as such problematic." (Zimmerman 2019, page 25)

"... for many specialists and experts, it is silly to rely exclusively on simplistic information like IQ measurements or generic academic degrees or casual impressions at stylised interviews – for those are often quite poor predictors – to determine if an individual is suitable for a complex job of a particular sort." (Hubbard and Paquet 2014-a, page 11)

- ✓ The 2018 staffing survey of all employees by the Public Service Commission¹⁶² found that only about half of employees indicated that people hired in their unit could do the job, and that appointments depended on who you knew. A bit less than half indicated staffing activities were conducted fairly and in a transparent way. Over 85% of managers indicated the process to staff positions remained burdensome.
- ✓ APEX reported in 2019 *"Out of 1,097 confirmed internal appointments to EX positions in 2017-18, 607 were filled on a non-advertised basis. This number represents an increase, year-over-year, of 143.8% in the number of non-advertised appointments to EX positions"*¹⁶³. This is likely the result of the flexibilities introduced by the PSC's New Direction in Staffing. Nevertheless, it does not reflect transparency nor the clerks' goal of maintaining an inclusive, barrier-free work environment where all persons have equal access to opportunities (Clerk's 2018 Annual Report page 28, and subsection 2.3.C).
- ✓ APEX also offered its perspectives on talent management following the poor results of the 2017 PSES, which indicated 41% of executives were dissatisfied with the possibilities offered by the Executive Talent Management process to meet career goals and aspirations (versus only 22% who were satisfied).¹⁶⁴ APEX's perspectives to fix executive talent management were defined through 20 proposed actions, which emerged from further discussions and consultations with executives, and addressed 4 broad topics: articulating the talent management value proposition; ensuring the required leadership skill; meeting both the needs of the organization and the goals of the individuals; and, ensuring an effective system to support talent management.
- The public service's human resources regime regularly fails to deal effectively with critical issues of poor performance, ethics and accountability – issues that were identified in some of the clerks' annual reports (subsections 2.3.B-C and Figure 2), and by participants in both the 2018 GSPIA Executive Survey (subsection 3.2.D) and the PSES (subsection 3.2.B). The following selected quotes strive to illustrate the range of concerns.

162 ["Staffing and Non-Partisanship Survey: Report on the Results for the Federal Public Service"](#), Public Service Commission of Canada, 28/09/2018

163 ["APEX Newsletter"](#), Edition of January 17, 2019, Association of Professional Executives of the Public Service of Canada

164 ["APEX Perspectives: Talent Management"](#), document available on the APEX website and through the aforementioned newsletter (previous footnote); 2017 PSES results to survey question #12

"As the PSES 2014 results for workplace harassment indicates there are clear problems with the degree of uncivil or disrespectful behavior experienced by too many public servants in the course of their work. This is also true for the executive cadre. ... The troubling extent to which these negative behaviors have been normalised into the workplace culture of the federal public service is examined in a review of civility published by the Association of Professional Executives of the Public Service of Canada (APEX) in 2015. Clearly, there is a risk of toxic leadership taking hold as part of the organizational culture of the public service. A focus on achieving results, to the detriment of the well-being of the people who are actually performing the required work, would undermine the capacity of the public service to deliver and to adapt to change." (Stevenson 2016, page 6)

"The same may be said about the process of evaluation and promotion. When persons who have left a trail of the bodies of individuals they have destroyed behind them are routinely promoted to higher levels, or when demonstrated failure in meeting performance targets are rewarded with cushy jobs in international organizations, how can these actions not constitute signals that ethics and accountability are not important for career progress?" (Paquet 2016, page 7)

"Privy Council Clerk Michael Wernick stirred another hornet's nest this week when he told a Senate Committee that Parliament should consider changing the Public Service Employment Act so it is easier to fire public servants for poor performance, mismanagement and misconduct. Wernick's appeal came amid the debacle over who's to blame for the Phoenix disaster ... Wernick, however, says firing non-performers has been an issue long before the Phoenix debacle." (May 2018-c)

"The Senate Committee blamed the Phoenix crisis on a systemic culture problem within government that needs to be fixed before any kind of new or altered payroll system is selected. We are dismayed that this important project proceeded with minimal independent oversight, including from central agencies, and that no one has accepted responsibility for the failure of Phoenix or has been held to account' said the report." (CBC News, July 31 2018)

"And there is very little effective performance management. This PS is still not measuring productivity and output, requiring 360 reviews of managers and ending the employment of truly bad managers. It doesn't take much to change an organization but shuffling poor managers around instead of firing or demoting them has to stop." (2018 Executive Survey participant)

"We are told the how is important, however, there are still outstanding cases of harassment that fly under the radar because they get results." (2018 Executive Survey participant)

Unquestionably, the public service is comprised of a large number of devoted, competent and principled employees and executives, often working in very demanding circumstances. The various issues noted should not detract from this verity, but should serve as a renewed impetus to improve the HR management regime and solve its many problems, in order to truly help better the health of employees and the workplace and improve productivity. The authors already referenced, amongst others, have provided many suggestions and possible paths to better HR management, which have been explored and documented. As previously quoted (page 67), *"... we are left to wonder why implementing lasting solutions seems so elusive."*

D. POLITICAL-PUBLIC SERVICE INTERSECTION

In many countries, the relationships and interactions between elected officials, such as ministers, and the most senior bureaucrats have frequently been examined and identified as a challenge. In Canada, there have been extensive analyses, debates and various solutions proposed to optimise the dynamics of the political and public service interface, such as to respect the ultimate policy and governing prerogatives of Parliament and the elected government, as well as ensure the effective and independent (non-partisan) management and policy advice of the public service. The following authors provided examples of the depth of the difficulties.

"The first InCiSE Index, released in June 2017, ranked Canada's federal public service as top overall; Canada was also rated fourth in the integrity index, after New Zealand, Sweden and Norway. Since then, however, serious questions about the independence and integrity of Canada's federal public service have arisen. Much of 2019's media reporting on the Canadian federal government so far has been occupied with the accusations that the Prime Minister, his senior political staff, and, most importantly for this analysis, the Clerk of the Privy Council, attempted to exercise political interference in prosecutorial decision making, contrary to the principle of prosecutorial independence. ... What the Clerk, as head of the independent, professional public service, should not do, however, is convey the political pressure of the Prime Minister to the Attorney General, as Michael Wernick seems to have done in the case of SNC-Lavalin. ... Mr. Wernick's retirement may bring an end to concern about his particular confusion over the appropriate roles of political staff and public servants, but it will not solve the underlying problem of the politicization of public services in Canada." (Peach 2019)

"Mr. Ferguson is equally right to say that the Phoenix pay fiasco points to a serious problem. The Auditor-General says, correctly, that the Phoenix mess is further evidence of an 'obedient' public service whose ability to convey hard truths has eroded, as has the willingness of senior levels – including ministers – to hear hard truths. ... others have reported on this same climate of fear and self-censorship. Public-administration scholar Donald Savoie, for example, has repeatedly described the centralization of power in the federal government which has produced what he calls 'court government', a culture in which officials often conduct themselves as 'courtiers' seeking preferment rather than as truth-tellers. As recently as last year, a study of the Phoenix initiative by management consultants Goss Gilroy Inc. already concluded that its failings were partly rooted in a public-service culture that 'does not reward speaking truth to power.'" (Heintzman 2018)

"With diminished public expectations of the civil service, politicians lack an incentive to ensure it remains a robust institution. This is made all the more difficult by an increasingly frayed political-administrative relationship. Civil servants are grappling with a world where there is an increased expectation of hyper-responsiveness to the government's partisan actions or agenda, largely driven by the emphasis on the communications function of government, ... While there will always be tension and ambiguity in the political-administrative relationship, more can be done to clarify the roles and responsibilities of ministers and civil servants. Calls for greater clarity are not new. Repeated calls have been made for a charter of civil service as a means to achieve greater clarity and shared understanding." (Jarvis 2016, pages 31-34)

"The problem with the public service and how to fix it has been debated and studied for decades. There is no shortage of reports on the problems and proposed reforms to fix it. The problem is there is no consensus on what's wrong. ... Ferguson described a culture in which deputy ministers have lost influence and are too sensitive to the demands of political bosses. Accountability is blurred and bureaucrats are obsessed with dodging responsibility. As a result, public servants are risk-averse, too 'obedient,' fear mistakes and obscure the tough truths and use policies as cover for blame. Ferguson was particularly pointed in his concerns about leadership. He said there must be a 'healthy tension' between public servants and politicians in a Westminster system but that balance is out of whack and politicians dominate. ... Savoie, who has written 47 books, says the public service has lost its way. ... Savoie has long argued for new rules to govern the relationship between public servants, ministers and Parliament to clarify public servants role in policy making and management. 'The auditor-general was bang on. There is a cultural problem,' said Savoie." (May 2018-b)

While the few examples provided above are more recent, the challenges of the political-public service interface are far from new, nor is Mr. Wernick the only clerk to have faced criticism for compromising his independence.¹⁶⁵ In 1996, the Tait Report had already noted:

"... that over the past two decades the climate of support for honest discussion and dialogue within the public service itself has deteriorated, and that public servants are not as ready as once they may have been to put forth honest views or engage in critical debate for fear of being seen to be 'offside' or untrustworthy." (Tait 1996, page 48)

165 Other example, refer to "[Top bureaucrat crossed the line into partisanship, study author suggests](#)", Kathryn May, Ottawa Citizen, June 11, 2014

5.2 PAST ASSESSMENTS AND STUDIES

The previous section provided a few of the more conceptual topics germane to the public administration domain, with the purpose of positioning management reform issues within a broader context. As indicated, the selection of topics was partly subjective and partly the consequence of their frequency and "popularity" in the literature identified, and it was not intended to suggest these few are the more important or well representative of the literature.

In a similar fashion, this section provides a listing and very brief, and somewhat oversimplified, descriptions of some of the past studies and reports on management reforms or related aspects of public administration. This, for the purpose of providing a preliminary chart for further exploration, as well as help define sources of possible answers to the challenges of management reforms. Again, the selection does not purport to be comprehensive or fully representative. The 14 reports selected focus mostly on the last two decades, primarily for convenience. While older publications may still be very relevant, a more exhaustive review was beyond the scope and resources of this study. The archived publication *"Milestones to the Millennium: Serving the Public Good"* (Kernaghan 2000), however, provides a most useful synopsis and outlook on the key changes and reforms to the Canadian public service since confederation.

A. A STRONG FOUNDATION (Tait 1996)

Also known as the Tait Report, it presented the findings and conclusions of a task force on public service values and ethics. In the mid-1990s, the Clerk of the Privy Council (J. Bourgon) had established 9 task forces led by deputy ministers to explore various issues identified as a result of Program Review. The stated purpose of the task force on values and ethics was to examine the relationship between existing and evolving values in the public service, and to consider ways to align values with current challenges.

The report provided detailed analyses and results of deliberations on a number of topics. Its main subthemes were: Democratic context and accountability, Employment values, Evolving PS values - old and new, Leadership and change. The report concluded by providing a definition of the different aspects of public service's core values (democratic, professional, ethical and people values), proposing a statement of principles of conflict of interest and post employment code, and recommending the components of an ethics regime.

B. DEPUTY MINISTER TASK FORCES (PCO 1996)

The paper subtitled *"From Studies to Action"* served to identify key common findings arising from the deputy minister task forces, established by the Clerk in 1995, and to set out the next steps. The paper provided a list of the individual task force's deliverables, and a synopsis of what was learned under 8 common themes: Horizontality, Partnerships, Culture, Accountability, Values, Policy capacity, Citizen-focused service, and HR management. In addition to the implementation of individual task force recommendations, the deputies concluded by defining four priorities for action:

- 1] Modernizing Service Delivery
- 2] Strengthening Policy Capacity
- 3] People Management - La Relève
- 4] Culture and Leadership

C. MOVING FROM THE HEROIC TO THE EVERYDAY (Hopkins, Couture and Moore 2001)

This report ensued from a roundtable on the management of horizontal initiatives, sponsored by the Canadian Centre for Management Development (and chaired by J. Lahey). The objective of the roundtable were *"to review initiatives and research undertaken to date, to identify lessons learned, and to provide practical guidance for managers on the how and the when of effective horizontal management."*

The roundtable examined leading horizontal projects and identified the lessons learned and presented these as guidance under 4 key dimensions: Mobilizing teams and networks, Developing a shared framework, Building supportive structures, and Maintaining momentum. The report concluded:

"Clearly, the critical elements of horizontal management are cohesive and motivated teams, the development of a shared framework, the judicious use of structures to provide resilience and support, and a continuous momentum. At the end of the day, however, the success of horizontal management comes down to people." (page 41)

D. PUBLIC SERVICE MANAGEMENT REFORM: PROGRESS, SETBACKS AND CHALLENGES (OAG 2001)

In 2001, the Office of the Auditor General (OAG) conducted a study of public service (PS) management reforms from the 1990s and focused primarily on PS 2000 and 'La Releve', and also referred to some of their studies and audits dealing with aspects of other reforms. The study consulted with a number of knowledgeable individuals, and 3 senior experts contributed supporting papers.¹⁶⁶ Overall, the OAG concluded that:

"Our assessment of efforts at public service reform over the last decade found progress in a number of respects. At the same time, we have serious concerns about the lack of attention given to certain aspects of the management framework proposed by PS 2000. Moreover, the little progress made in reforming human resource management has been a major disappointment."

The OAG's detailed observations on the progress and status of various elements of past reforms are mostly still relevant, and their wide-span touched the following areas:

- ✓ Improvements in service to the public;
- ✓ Enhanced management flexibility in some areas (e.g. budget allocations, TB submissions, procurement authority, use of central services such as translation);
- ✓ Focus and use of information on results;
- ✓ Policy function and capacity;
- ✓ Departmental management and control frameworks;
- ✓ Balance of centralization and decentralization (central control vs departmental autonomy);
- ✓ Exercise of accountability for performance and results;
- ✓ Human Resources Management (e.g. legislative and systemic changes, divided responsibilities, values and ethics, training and development, regulated environment, workload);
- ✓ Coherence between the management agenda and the broader policy and fiscal agenda;

166 John Edwards - former manager of PS 2000; Peter Aucoin - noted expert in political science and public administration; and, Ian D. Clark - former Secretary of the Treasury Board and Comptroller General during PS 2000. Refer to Annex E for details of their supporting publications

- ✓ Accountability for management reform;
- ✓ Changing leadership (turnover among top officials, rotation of DMs);
- ✓ Employee buy-in and relation between government and the unions.
- ✓ Regular progress assessments;
- ✓ Need for Parliamentary review;
- ✓ Need for breakthrough in HR Management (i.e. modernizing a complex and outdated framework, resolving fragmented governance, bolstering departmental HR management).

E. MODERNIZING GOVERNMENT ACCOUNTABILITY (Aucoin and Jarvis 2005)

The publication, subtitled "*A Framework for Reform*", predated the subsequent enactment of the *Federal Accountability Act*. It examined the basic architecture of the system of federal governance and public administration in Canada, and related practices. The authors concluded:

"... in light of developments in the practice of governance and public administration over the past few decades, we need to better formulate the way that we understand, articulate and practice the essential elements of public accountability in governance and public administration. There is too much confusion around the subject. In many respects, accountability has been improved considerably. ... In any event, there are now more accountability mechanisms than ever before. Not surprisingly, these developments have made the regime even more complex." (page 9)

Based on its analysis of current shortcomings, the report suggested a number of means to improve and modernize accountability, focused in areas such as: Parliamentary scrutiny; Accountability of ministers and deputy ministers; Independence of the public service and the appointment of deputy ministers; Audits and performance reviews; and Extending accountability to entities with delegated governance (e.g. crown corporations and foundations). The report also gave a very valuable, high-level, summary of the essential notions and workings of the Canadian government and public administration.

F. MANAGING HORIZONTAL INITIATIVES (Auditor General of Canada 2005)

The Auditor General reported to the House of Commons in November 2005 (Report Chapter 4) the results of an audit that examined federal policies, government-wide guidance, and the role of central agencies in creating, coordinating and overseeing initiatives that involved a number of organizations. The report recognized that horizontal issues remained complex and challenging for governments. Based on its review of three such horizontal initiatives, the report concluded as follows:

"Despite some positive examples, we found weaknesses in horizontal governance, accountability, and co-ordination. The government is doing little to find out what is working and what is not – limiting its opportunities to learn and improve." (page 25)

More specifically, the audit reported that (per Main Points, pages 1-2):

- ✓ The approach to horizontal initiatives was much on a case-by-case basis, and the government had not decided when a horizontal initiative is required and the governance needed;
- ✓ The specialized tools or means required for the governance, accountability, coordination and funding of horizontal initiatives were not sufficiently developed;

- ✓ Two of the three initiatives examined had inadequate arrangements for governance and coordination;
- ✓ In all three initiatives, there were insufficient planning for measuring and reporting how federal organizations contributed to the whole initiative;
- ✓ One initiative utilised a positive governance approach, where the three levels of government worked together to meet community needs.

G. RESTORING ACCOUNTABILITY - RECOMMENDATIONS (Gomery 2006)

The Commission of Enquiry into the Sponsorship Program and Advertising Activities (CISPAA), lead by Justice John Gomery, presented its first report titled *"Who is Responsible?"* in November 2005, and its second report *"Restoring Accountability"* in February 2006. This second report is most pertinent as it examined a number of key issues, including: the respective responsibilities and accountabilities of ministers and public servants, whistleblowing and access to information legislation, the accountability framework for crown corporations, and also issues of transparency, accountability, the relationship between politicians and public servants, and the responsibilities assigned to Parliament and to parliamentarians. The report was supported by detailed inquiries, consultations, written submissions and research, including 18 commissioned research studies published in 3 volumes. The Commission made 19 recommendations that aimed "to rebalance the relationship between Parliament and Government and to assign clearer accountability to both politicians and public servants". The recommendations dealt with the following topics:

- ✓ Funding for parliamentary committees;
- ✓ Public service charter;
- ✓ Resources of the Public Accounts Committee;
- ✓ Deputy ministers and senior public servants' accountability for statutory and delegated responsibilities;
- ✓ Ministerial process to overrule deputy ministers on statutory and delegated responsibilities;
- ✓ Appointment terms of deputy ministers and senior public servants;
- ✓ Appointment of members of the Public Accounts Committee;
- ✓ Deputy ministers as witnesses to the Public Accounts Committee;
- ✓ Management and reporting on the use of special reserves;
- ✓ Appointment of ministerial exempt staff to the public service;
- ✓ Code of conduct and training for exempt staff;
- ✓ Process for the selection of deputy ministers;
- ✓ Respective roles and functions of the Clerk of the Privy Council and the Secretary of the Treasury Board;
- ✓ Government's communication policy and advertising;
- ✓ Role and resources of the Registrar of Lobbyists;
- ✓ Public servants' obligations to document and retain decisions and recommendations;
- ✓ Section 34 of the Financial Administration Act;
- ✓ Appointments of chief executive officers and board members of crown corporations;

While the Commission's recommendations influenced some of the government's subsequent actions and measures, a significant number were not implemented. There was also criticism of some of the Commission's findings, as well as a subsequent court appeal.¹⁶⁷

H. PRIME MINISTER'S ADVISORY COMMITTEE ON THE PUBLIC SERVICE (2007-2016)

In 2006, the Prime Minister had established an Advisory Committee on the Public Service, comprised of prominent experts, academics and senior officials from both the public and private sectors, including previous clerks, parliamentarians and business leaders. The independent Committee consulted broadly and provided strategic assessments, advice and recommendations on the governance of the public service through their yearly reports, which were annexed to the clerks' annual reports of 2007 to 2016. The Committee's recommendations each year were numerous, and the following illustrate their key topics.

- 2007: Recruitment and business needs, Succession planning, Leadership development, Strategic and integrated planning.
- 2008: Human resources governance and accountability, Performance management and training, Talent management, DMs and associates' tenure, Web of rules, Diversity.
- 2009: Challenges of the economic downturn, Whole of government risk management, Reduced central oversight and web of rules, Systems and technology renewal, Public Service Renewal and recruitment.
- 2010: Leadership continuity, Talent management and succession planning, Collaboration and use of external expertise, Lessons from the Economic Action Plan, Changes in HR governance, Health of the workforce.
- 2011: Administrative Service Review implementation, Enterprise-wide administrative services / integrated back-office systems, Consolidation of service delivery, People management competencies, Performance information, Staffing, Long-term strategic thinking, Oversight regime.
- 2012: Deficit reduction action plan, Transformation and change management, Recruiting talent, Training and development, Senior management confidence, Web 2.0 and social media, Shared Services Canada.
- 2013: Modernizing the employment model – managing performance, Labour relations, Compensation – public service vision and engagement, Red-tape and reporting, Horizontal management, Deficit reduction, Shared services arrangements.
- 2014: Employee involvement, Streamlining business processes, Investing in learning and leadership, Middle management roles and structures, Investing in longer-term thinking, Sustained momentum of management reforms, Blueprint 2020.
- 2015: Operational pace and implementation of government decisions, Middle management cadre, Recruitment, Client-focused service delivery, Blueprint 2020, Social media, Employee engagement, Recruitment, Culture and values, Delivering results.
- 2016: Focus on results, Modern service delivery, Measuring progress and outcomes, Digital services, Complexity of approval and accountability structures, Social media

¹⁶⁷ *"The incoming prime minister, ... had campaigned on his own set of proposals to tighten government spending controls. He praised the report but stopped short of promising that his government would implement the recommendations. ... In June 2008, the Federal Court ruled that Gomery had displayed bias in several comments made before the hearings had closed and that his remarks showed that he had prejudged the issues. ... The court voided those sections of Gomery's report dealing with Chrétien and Pelletier."*, Source: "[Commission of Inquiry into the Sponsorship Program and Advertising Activities](#)", Stephen Azzi, The Canadian Encyclopedia, Last edited July 3, 2014.

platforms, Gaps in front-line staff and management perspectives, Managing performance, Middle management, Mental health, Recruitment.(Committee's final report).

The Committee's annual reports remain a valuable source of summary information on the public service's issues and evolving challenges, most of which are still very relevant as demonstrated through the clerks' subsequent annual reports.

I. CANADA'S PUBLIC SERVICE IN THE 21ST CENTURY (Baird and Green 2008)

This study, by the Public Policy Forum, encouraged broad discussions and provided independent diagnosis and recommendations on the challenges and choices facing the public service. The study was conducted over 18 months and mined the views of Canadians across different jurisdictions, sectors, regions and age groups. The report analysed the challenges facing the public service and proposed principles to modernize it and its culture. The report concluded with its recommendations:

"10 recommendations support a change in culture, brought about by a focus on renewed leadership and accountability rooted in the following modern organizational principles: trust, the removal of unnecessary rules and barriers, an emphasis on sustained, values-based leadership and honest and transparent management of performance." (page 4)

The study's 10 recommendations dealt with:

- ✓ Improving the management and performance of deputy ministers and the executive rank;
- ✓ Applying minimum terms of office of deputy ministers and other executives;
- ✓ Value and develop inside-outside executive talent;
- ✓ Sharing responsibilities more effectively between deputy ministers and associates;
- ✓ Conducting a review of central agencies;
- ✓ Creating more separate employers and agencies to improve organizational accountability and facilitate flexibilities and governance structures similar to the CRA;
- ✓ Revitalizing the staffing regime;
- ✓ Recommitting to on-the-job learning (in part to slow down hyper-mobility in the executive cadre);
- ✓ Immediately streamlining existing rules and regulations;
- ✓ Encouraging political engagement in public service reform.

J. RENEWAL OF THE FEDERAL PUBLIC SERVICE (Heintzman 2014)

The policy paper, prepared for the "Canada 2020" think tank, stipulated that an effective federal public service required a renewed moral contract between senior public servants, ministers and parliamentarians, in order to uphold the values of a professional and non-partisan public service and redefine the boundaries between political and public service values. The author confirmed that the issue was raised by many others beforehand, including the Gomery Commission, the Public Accounts Committee and various experts and scholars. Consistent with previous commitments of both houses of Parliament, this moral contract should be embodied in a Charter of the Public Service founded on 4 pillars:

- ✓ Values and ethics of public service;
- ✓ Strengthening the deputy minister's role as accounting officer;

- ✓ Reforming the process for the appointment of deputy ministers;
- ✓ Establishing new rules for government communications.

The paper further defined the requirements of the proposed charter and its 4 pillars through 29 more detailed recommendations.

K. ASSISTANT DEPUTY MINISTERS IN THE CANADIAN PUBLIC SERVICE (Lahey and Goldenberg 2014)

The study, undertaken through the University of Ottawa's Centre on Public Management and Policy, examined ADMs as the group of most senior appointees under the Public Service Employment Act and the key source of appointments to the deputy minister level. As such, the study considered the ADMs of "*significant importance if Canada is to have the public sector leadership that it will need to address future social and economic challenges ...*" (page 2). The study examined the ADM community, how it evolved, what were its key issues, trends and challenges, and offered advice to help ensure the ADMs provide the required public service leadership.

The study observed how the ADM community exhibited both significant growth in size and stability in its composition, and how the nature of ADMs work and their roles and responsibilities had changed. The study made recommendations in five areas dealing with:

- ✓ Structural issues and right-sizing ADMs' jobs;
- ✓ Bringing in new blood;
- ✓ Raising the bar for appointments to ADM;
- ✓ Reducing ADM 'churn' and deepening ADMs' skills and experience;
- ✓ Managing ADMs and building community and attachment.

L. DRIVING THE FAKE OUT OF PUBLIC ADMINISTRATION (Hubbard and Paquet 2016)

The book, a sequel to "*Probing the Bureaucratic Mind*", focused on the human resources dimension to identify the main factors responsible for what the authors dubbed the "fake in public administration" – the strategic maneuvering that resulted in many actors becoming complicit in operations to contrive, deceive and cause poor performance. It examined four major toxic sets of forces generating under-performance in the federal public service:

- ✓ The laxity in the notions of "competencies": qualifications and capabilities used in the hiring and evaluation of Canadian federal public servants;
- ✓ The inadequacy of the administrative structures and the organizational design function;
- ✓ The needed understanding of the burden of office of top appointees – poorly handled by highly stylized job descriptions – required to fit the right person in the right structure;
- ✓ The human resources management apparatus in the Canadian federal public service, which emerged from a set of forces defining the culture and ethos of the Canadian socio-economy and have prevented necessary management actions from being implemented.

The authors expanded the analysis by examining a number of progressive related crippling phenomena. Recognizing the toxicity of the forces and the many interfaces in the public service, the authors suggested efforts would be required on all four fronts and while

interfaces could be detoxed through mechanical means, other would require cultural changes. The book provided additional specifics on how this could be accomplished.

The authors were most prolific over the decades, publishing – together and individually – numerous books and articles germane to the federal public service and public administration. This book was included herein as partly representative of their broader work.

M. CREATING A HIGH-PERFORMING CANADIAN CIVIL SERVICE AGAINST A BACKDROP OF DISRUPTIVE CHANGE (Jarvis 2016)

This study, published by the Mowat Centre,¹⁶⁸ examined Canada's record of reform and defined six characteristics of a high-performing civil service: Innovation, Transparency, Accountability, Collaboration, Evidenced-informed analysis, and Public and political commitment. The study explored for each characteristics how was Canada doing and what should be done moving forward, and issued a total of 17 reform-related recommendations under its six characteristics/areas. The study also determined four core questions (criteria) that should be considered in proposing any new reforms:

- 1] Does each specific reform help to enhance the civil service's ability or capacity to deliver on one and/or more of its core responsibilities?
- 2] Are the proposed reforms likely to diminish trust between the civil service and the government or the public?
- 3] Does each reform have a clear objective against which progress can be measured?
- 4] Are the proposed reforms politically feasible?

N. PUBLIC MANAGEMENT REFORM - A COMPARATIVE ANALYSIS INTO THE AGE OF AUSTERITY (Pollitt and Bouckaert 2017)

This book is a well-known standard on international public sector management reforms, and is up to its fourth edition (first published in 2000). In addition to providing a useful primer on management reform theories and concepts, a key defining aspect of the book is its thorough comparative analysis of reforms in 13 major countries (including the European Commission). It is also quite detailed and this short text cannot provide an adequate summary. However, some of the book's highlights include for instance:

- ✓ A summary of the major concepts and models of public management reforms (PMR);
- ✓ An introduction and examination of the main debates in the field;
- ✓ A model of the process of PMR and the different trajectories of modernization and reforms;
- ✓ The types of political-administrative regimes in the different countries examined, and the relationships between politicians and public servants.

Another valuable feature of the book was its detailed "country file" summaries of the main events and reforms in each of 13 the countries since 1980, including Canada. In their concluding reflections, the authors focussed on answering 5 vital questions:

168 Mowat Centre is an independent public policy think tank located at the School of Public Policy and Governance at the University of Toronto (source: above noted publication - Jarvis 2016)

- ✓ What have been the main trajectories of reform, 1980-2016?
- ✓ What have been the results of these reforms?
- ✓ What are the implications of this experience for the future?
- ✓ What are the implications of foreseeable external trends for the recent experience of reform?
- ✓ What kind of answers are we looking for, and what kind of answers can we reasonably expect to get?

5.3 INTERNATIONAL COMPARISONS

The publication noted above (Pollitt and Bouckaert 2017) illustrated the usefulness of international comparisons for learning from the experiences of others and assessing the government's relative progress. The following highlight some international comparisons involving Canada.

- The clerk of the Privy Council often referred to the Canadian public service being ranked the most effective under the 2017 International Civil Service Effectiveness index (InCISE).¹⁶⁹

"Canada's Public Service has much to be proud of. In 2017, we were ranked as the most effective public service in the world in an international civil service effectiveness index. This ranking reflects the talent and diversity of our public servants." (Clerk's 2018 Annual Report)

The subsequent 2019 version of the InCISE index was enhanced by refining its methodology and adding more metrics, data sources and 7 more countries (for a total of 38).¹⁷⁰ Canada's public service now ranked 3rd overall according to the 2019 InCISE results. While still quite a respectable standing – within the top 5 – there has been much less attention paid to this more recent ranking. As well, the federal public service ranked in the top 5 for only half of InCISE's 12 individual indicators, and in 4 instances ranked only about average. This suggests the public service could perhaps look to others for how to improve its performance in a few areas (e.g. crisis and risk management, digital services, fiscal and financial management, and tax administration).

While the InCISE index was the first of its kind and provided unique comparative international information on civil service effectiveness, some have been critical of the index's value. Particularly, its limited consideration of specific Canadian issues and context, in contrast for example to more knowledgeable Canadian-based studies and authors, raised caution about its potential misuse as a formal guidepost.¹⁷¹

169 Ranking according the "[The International Civil Service Effectiveness \(InCISE\) Index – 2017](#)", Blavatnik School of Government (University of Oxford) and the Institute for Government, 2017. This new index considered the following core functions, which were combined into an overall composite measure: Policy Making, Fiscal and Financial Management, Regulation, Crisis/Risk Management, Human Resources Management, Tax, Social Security Administration, Digital Services, Integrity, Openness, Capabilities, Inclusiveness.

170 Refer to "<https://www.bsg.ox.ac.uk/about/partnerships/international-civil-service-effectiveness-index-2019>"

171 Examples:

1] Despite very pertinent concerns raised about the public service's independence and integrity in the wake of the well-publicized SNC-Lavalin affair, and its likely impact on the InCISE index (Peach 2019), the InCISE's ranking of Canada under its integrity measure subsequently increased in 2019 (Canada went from 4th in 2017, to 2nd in 2019);

2] "... how can the Clerk thunder his denial of the findings of the Auditor General [re: Phoenix] and challenge the AG's competence and integrity in the process ... and therefore surprisingly belittling the critical view of the knowledgeable experts of the AG's office living down the street and having carefully probed the enterprise, in a way that contrasts sharply with the overly generous Brison's admirable embrace of the glorification emanating from overseas' amateurs [re: InCISE] through what-ever process." (Hubbard and Paquet 2018, page 52).

- The work by Pollitt and Bouckaert (2017), previously noted, provided the most detailed comparative information on management reforms, identified through this study. First, it provided a summary of the performance of the 12 countries examined according to a number of international data and indices, and supplemented these with descriptions of the indices and cautions about their limitations. In order to illustrate, the following indicators were included amongst others:¹⁷²
 - ✓ Government effectiveness scores - source World Bank (Canada had decreasing scores from 1996 to 2014, and ranked 5th in 2014);
 - ✓ General government expenditures as percentage of GDP - source OECD (Canada's results varied from 1980 to 2014, and ranked 3rd lowest in 2014);
 - ✓ Employment in general government as a percentage of the labour force - source OECD (Canada's overall decreased from 1985 to 2011, ranked 5th highest in 2011);
 - ✓ Government efficiency according to the World Economic Forum's Competitiveness Index (Canada ranked 6th in 2015-16).

Please refer to the actual publication and its referenced sources for more information and proper utilization or interpretation of these results.

In addition, the book provided summaries and analyses of the main events and aspects of reforms in each country since 1980. With respect to Canada, the authors' observations are consistent with the overall findings of this study.

"From a bird's-eye view some of the history of management reforms in the Canadian federal administration appears as a bewildering series of overlapping and only loosely coordinated initiatives, many of which seem to fade away or lose momentum after a relatively short time. ... There has been no systematic evaluation of public management reforms in Canada during this period [1980 - 2015], although there have been a number of specific reviews and assessments of particular initiatives. ... it appears that Canada suffers (or at least suffered) from a significant 'implementation gap', with many initiatives failing to meet anything like their full expectations. ... Finally, even if Canada has always been keen on focusing on performance, the performance data on 108 organizations do not suggest that financial resources have been reallocated from low-performing to high-performing programmes." (Pollitt and Bouckaert 2017, pp 260, 263)

- The Organization for Economic Cooperation and Development (OECD) published a number of international studies and reports that pertain (at least in part) to government and public service performance. While some of their focus was often on macro-economics or specific programs (e.g. health care, education), other aspects pertained to some extent to countries' public service.

The OECD's report "*Government at a Glance 2019*" is likely the most relevant for our current purposes. The report presents "*performance data and comparisons, providing a vision of the state of the public sector and the trends that are shaping it The 2019 edition includes input indicators on public finance and employment; while processes include data on institutions, budgeting practices and procedures, human resources management, regulatory government, public procurement and digital government and open data.*"¹⁷³ The report and supporting "Country Fact Sheets" provided for Canada and other participating countries a number of indicators. These were mainly indicative, however, of government

172 Refer to "Public Management Reform - A Comparative Analysis into the Age of Austerity" (Pollitt and Bouckaert 2017), Chapter 5 Tables 5.1, 5.3, 5.4 and 5.6

173 "Government at a Glance 2019", OECD, OECD Publishing, Paris, <https://doi.org/10.1787/8ccf5c38-en>.; See also: <https://www.oecd.org/gov/govtaglance.htm>

(federal and provincial) policy choices rather than public service effectiveness or efficiency. Selected examples of the OECD's more public sector-centric indicators:

- ✓ Civil servants as % of all central administration employees (2018 – Canada 98%, OECD average 68%);
- ✓ Performance management regime for senior managers (2019 – Canada met 5 of the OECD's 7 criteria ¹⁷⁴);
- ✓ Composite indices on regulatory governance for primary laws (2017 – Canada ranked above the OECD average on all its 3 indices ¹⁷⁵);
- ✓ Mechanisms to prevent and manage conflicts of interests among public procurement officials (2018 – Canada satisfied all 4 OECD criteria ¹⁷⁶);
- ✓ OURdata - Open, Useful, Reusable Government data (2017 and 2019 composite indexes – Canada overall ranked higher than the OECD average for both years);
- ✓ Satisfaction and confidence in the National government (2018 – Canada 61% of citizen expressed confidence/satisfaction, OECD average 45%).

5.4 PROSPECTIVE CONSIDERATIONS AND SOLUTIONS

While acknowledging that past efforts yielded some progress, this study has reconfirmed that the breadth and depth of challenges facing the Canadian federal public service are considerable, and the evidence presented in the preceding sections – from the clerks' annual reports, public service surveys and Auditor General reports – is overwhelming. As well, the chorus of appeals for better planned and more substantive and effective management reforms has grown more urgent, particularly in light of well-publicised failures such as the Phoenix pay system.

"Loud and clear dissatisfaction with the performance of the Canadian federal public service has been recorded since the 1970s. This has led to various waves of putative reforms ..., but none has generated a substantial refurbishment of the governing apparatus triggering the installation of the requisite capacity to transform in the Canadian federal public service. The main reason for these failures has been the lack of gumption that has presided over all these enterprises: they all ended up being nothing more than wishy-washy patching up exercises entirely dominated by temporary fiscal restraint objectives, and completely ignoring the governance and management imperatives that should have been given priority." (Hubbard and Paquet 2016, page 23)

"At the same time, there is broad consensus that most past reform efforts have not had the transformative impact that they were expected to deliver. Systematic examination suggests that reforms have at best 'yielded only marginal change'. ... Canada lacks a popular public and political discourse around policy and public administration and the importance of civil service reform. While the civil service is often a target of criticism, complacency and a lack of demand for reform from political actors and the broader public has reinforced the status quo. ... The challenges the civil service faces are real and pressing. Reform should not languish any longer. Even if comprehensive change is not possible, reform – based on an accurate diagnosis and prescription – should be ambitious, focused and prioritized in order to overcome obstacles and to address shortcomings in the characteristics of a high-performing civil service." (Jarvis 2016, pages 5, 7)

"But others say the [public accounts] committee should embrace the conflicting views as the basis for a review of the public service. The problem with the public service and how to fix it has been

174 Criteria not met: "Performance agreement with the Minister" and "360 degree appraisal"

175 OECD's 3 regulatory indices were: Stakeholder engagement in developing regulations, Regulatory Impact Assessment for developing regulations, and Ex-post evaluation of regulations.

176 OECD's 4 public procurement criteria: Regulatory framework includes a definition of a conflict of interest; Procurement officials have to declare their private interests; Procurement officials have to declare 'no conflict of interest' or notify in case of potential conflict of interest; Certain officials and political appointees have limitations participating in public procurement opportunities.

debated and studied for decades. There is no shortage of reports on the problem and proposed reforms to fix it. The problem is there is no consensus on what's wrong." (May 2018-b)

"In the long-term, the public service needs to prepare a robust reform initiative to save its own relevance. This is more than about being better and faster. It is about asking some fundamental questions such as: what is the public policy role of a 21st century public service? How should risk be defined in and by a 21st century public service? How will a 21st century public service convince Canadians and politicians that it matters? In short, the public service needs to be asking itself some serious questions to make sure that in the 21st century world of significant social and economic upheaval, disruption and division, the public sector of the future is up to the task of serving the Canadian public." (Fyfe 2019)

The case for pressing and more effective reforms has been amply made, and many prior studies have identified possible avenues for better solutions. As such, this study drew significantly on previous research and authors, and combined some of their results and recommendations – detailed in the references provided – that would best match and resolve the principal issues described in the previous sections. As per the above quote (May 2018-b), there were no shortage of reports on problems and proposed solutions. The key challenge would be to devise a more effective public service reform agenda and management framework as the basis for better performance and success. This study does not purport to have all the answers, but strives to consolidate what appeared as the most essential tenets and elements of such a framework.

This short exposé looks at the path to a better reform management framework through 2 interconnected lenses:

- 1] First, some key principles and considerations (lessons) on devising and implementing a reform agenda – the "how" of managing reform;
- 2] Second, the major improvements and necessary elements of a possible integrated solution (agenda), which should be envisioned to tackle some of the enduring issues previously identified – the "what" or substance of the more fundamental reforms.

A. PRINCIPLES AND CONSIDERATIONS

Based on the study's research, there are a few considerations and lessons that should have been largely evident and easily assimilated from experience, but have nonetheless contributed to past failures. These are summarized under the next topics.

1. Political Support and Stakeholder Coordination.

It is necessary to ensure that any substantial reform is supported by the elected officials and congruent with the elected government's agenda. A previous Secretary of the Treasury Board, reflecting on the performance of the 1990s PS2000 initiative, went a step further and recommended that there must be an alignment of 3 key agenda.

"The crucial role of politics - Looking back over the decade, and taking account of the extensive changes in public service management in some other Westminster systems (particularly the UK, New Zealand, Ontario and Alberta), I would propose the following hypothesis: Major public service reforms can succeed only if they are embedded in a 'management agenda' that is led from the political level, and that is aligned both with the government's 'policy agenda' and its 'fiscal agenda.' ... My observation is that in the first half of the 1990s, in Ottawa the management agenda was not driven from the political level and the three agendas were imperfectly aligned." (Clark 2001)

"Political will - In discussing case studies, contributors noted that initiatives were most successful when elected officials were engaged and supportive of public sector productivity objectives." (Canada's Public Policy Forum 2014, page 12)

Numerous other experts and academics have made similar comments.¹⁷⁷ For instance, some initiatives ran aground because of lack of funding and capacity due in part to fiscal restraints (subsection 4.2.E), hence the necessity of alignment with the government's fiscal agenda.

In addition, stakeholder consultation, support and coordination is essential to success. Somewhat similar to ensuring political support, the stakeholders impacted more directly by the proposed changes must also be consulted and allied. More than just consultation, coordination is needed to ensure, to the extent possible, that key players are working towards a common goal. This is especially relevant when faced with complex (wicked) problems or reforms, where the information, resources and authority required for effective solutions may be dispersed and shared between multiple actors. The failure of the pay system could serve as poster-child for the consequences of inadequate stakeholder coordination – in this case coordination between central departments and client-departments, as well as between different senior officials. While differences and conflicts are natural, often inevitable and need to be addressed (Radin 2012, page 177), consultation and coordination are the better means of mitigating them.

"The Storyline: It's All a Matter of Coordination - This short book is about coordination. It argues that when coordination ceases to be the primary concern in organizations, and is displaced by another dominant guiding principle (egalitarianism, absolute hierarchy, etc.) a debacle follows: inefficiency and ineffectiveness ensue, fake creeps in, and toxic behavior, structures and habits crystalize." (Hubbard and Paquet 2016, page i)

"To make government more effective and efficient, greater internal and external collaboration is needed. While there are efforts to improve collaboration in government, they are often project-specific. Strengthening collaboration will require cultural and structural changes." (Jarvis 2016 page 24)

- **Consideration:** *The public service needs to ensure clear political engagement and commitment to its management reform agenda, as well as the governance and mechanisms required for effective stakeholder coordination.*

177 Selected examples:

- 1] *"We think that an important lesson has been learned: governments cannot leave significant reform to the public service leaders and rely on a gradualist reform agenda. A concertation of political and bureaucratic forces is necessary to create the necessary space and momentum for such complex change." (Lindquist and Paquet 1996, page 3)*
- 2] *"But which problems need tackling and where is change most needed? Our examination of the public service revealed the following: ... Concern that political leadership is overly focused on issues of partisanship and centralized control and must be fully engaged in and supportive of public service reform." (Baird and Green 2008, pages 12-13);*
- 3] *"In the absence of the necessary political commitment, the likelihood that the civil service can achieve the standards for each of the key characteristics set out in this report –innovation, transparency, accountability, collaboration, and evidence-informed analysis – is limited." (Jarvis 2016, page 32)*
- 4] *" La Relève attempted to "let the managers manage" as a way of improving flexibility and responsiveness to citizen needs, but such initiatives were met with reluctance on the part of the media and politicians. Cultural change processes without political support essentially failed. ... The fact is, sadly, that Clerk-led initiatives have shown little by way of lasting change. ... Until the public service and ministers can work together toward common outcomes, this pattern is unlikely to change. We are left with cheerleading – something with which public servants are increasingly showing signs of fatigue." (Frate 2014)*

2. Sustained and Long-Term Focus.

Most renewals and management reforms are long-term endeavors, and initiatives can take 5 or 10 years from planning to fruition¹⁷⁸. As noted through the review of the clerks' annual reports, the planning and reporting horizons for multi-year initiatives were often too short, and planned initiatives evolved considerably or were superseded before their completion. Previous clerks had emphasized the vital importance of proper planning and of a longer planning and reporting horizon.¹⁷⁹ Based on this study, this has not often materialized.

It is that the timescale for effective management reform is often far longer than (a) the timescale of media attention and (b) the timescale of strong political interest. ... Thus stability of purpose and continuity of practice are important ingredients in successful reforms (Pollitt, 2016). Yet stability and continuity are increasingly hard to come by in today's high speed world. ... It is the countries in between – where reforms require hard work over time to construct the necessary political consensus, but which then have a good chance of long-term survival in a less adversarial system – that may have the best hope of sticking to agreed trajectories and eventually firmly embedding reforms. Finland, Sweden, and to a lesser extent the Netherlands, typify this kind of system." (Pollitt and Bouckaert 2017, pages 222-223)

"According to our research, only 30 percent of organizational transformations are successful, and of the 70 percent that fail, nearly three-quarters do so due to unsupportive management behavior or employee resistance to change. ... In government, these obstacles can be compounded by the constraints of public-sector service, as well as by the predictable cycle of leadership changes that inevitably shift priorities and organizational focus." (D'Emidio and Malfara 2018)

The success of future public service reforms is dependent on its ability to bridge this timescale challenge, and implement the structures and capacity necessary for longer-term thinking, analysis, planning and focus. Likewise, the Prime Minister's Advisory Committee on the Public Service had also recommended longer-term thinking as a core public service responsibility and priority.¹⁸⁰

- **Consideration:** *The public service should ensure robust long-term planning of its overall management reform agenda and initiatives, and instate the oversight needed to ensure sustained follow-through and reporting on each initiative's implementation until completion.*

3. Trends and Trade-offs

It was noted earlier that there can be some dichotomy in the reform goals and initiatives pursued – enterprise-wide approaches may not be congruent with streamlining business rules and processes (subsection 2.4.D). Likewise, there have been long-term cyclical trends in public administration with respect to major opposing ideas and principles that periodically gain in acceptance and then wain. The most obvious may be the decentralized delivery and management

178 *"The fundamental changes envisioned for the corporate culture called for a long-term process of reform (the name—PS 2000—recognized that it would likely take 10 years)", Auditor General 2001; As well, the introduction of the Clerk's Annual Report through the 1990 White Paper required reporting on the implementation of the Public Service 2000 initiative over the next five years, refer to quote in Section 2.1 and footnote 18*

179 Refer to Section 2.2 and quotes from the Clerk's 2007 Annual Report (page 3) and the 2011 Annual Report (page 13)

180 *"Investing in Longer-term Thinking: A recurrent theme in our discussions, particularly given the challenge of global competitiveness facing Canada today, is the importance of long-range thinking about longer-term issues such as an aging population, energy, infrastructure and the environment. These matters touch all Canadians. ... This is a core responsibility of the Public Service." Eighth Annual Report of the Prime Minister's Committee on the Public Service, Clerk's 2014 Annual Report Annex C*

focus – embodied by the "let the manager manage" motto prevalent in the 1990s¹⁸¹ – as opposed the more current tenet of a centralised "whole-of-government" approach, such as promoted under Blueprint 2020 (subsection 2.3.F). There are others such opposing cyclical trends.

"As remarked in Chapter 7, it has long been observed in public administration that there is a tendency for policy prescription to be packaged in contrary or opposing principles – now decentralization is the answer, now centralization (Pollitt, 2006); or now specialize tasks, now consolidate them (Hood and Jackson, 1991; see also Simon 1946). Each prescription at first seems to make sense in itself, but after it has been applied for a while, its disadvantages become more apparent, and eventually there is a movement to go the other way because it is perceived that now we have too much of what was formerly thought to be a good thing (too much autonomy, too much audit, too many performance indicators and so on)." (Pollitt and Bouckaert 2017 page 215)

The clerks have more than once expressed the need to "get the balance right", for example between innovation and service, and rules and controls (subsection 2.3.F); between oversight and flexibility (footnote 79); between centralization-decentralization, or yet between deficit reduction and investing in renewal and the public service.¹⁸² In some instances, such as the centralization of the pay system, the right balance was missing and the obvious consequences of trade-offs were ignored or unplanned for. There was a lack of foresight and proper planning in attempting (and continuing to attempt) to generate benefits from centralizing a system for a diverse government-wide enterprise that is characterized by 80,000 pay rules emanating from over 100 collective agreements and necessitating 200 custom-built programs to interface with 34 separate HR systems. (Auditor General of Canada 2017, page 2). Unplanned for complexities also contributed greatly to the difficulties with centralized IT shared services (subsections 2.3.E, 3.2.D).

There is no evidence to suggest that doggedly pursuing single broad-based policy principles rooted in today's conventional wisdom, such as a centralized whole-of-government approach, will lead to better success. Rather, there needs to be a more critical approach. One that reviews in-depth each initiative and option on its own merits and according to expert analysis and criteria. The need for balance expressed by the clerks – whether between flexibility and control, or other opposing trends – should not be interpreted as "either-or" scenarios, but as an integrated approach that effectively assesses and recognises the trade-offs between options, and where possible combines the most favorable elements into a more effective solution. As well, this would help break the unproductive cycle of back-and-forth between competing objectives.

"Beyond 'either-or' approaches: taking an integrated view - Rather than choosing from among the options that exist, we believe that the ability to generate something different, more innovative and more effective comes from an ability to hold two seemingly opposable ideas and create something new. For example, while it may be easy to debate whether the public service should be rules-based or values-based, bureaucratic or entrepreneurial, made up of generalists or subject-matter experts, it is a lot harder to conclude that it needs to be all of these things and to create something optimal as a result." (Baird and Green 2008, page 15)

181 *"The [Glassco] Commission's five-volume report had an enormous impact on the organization and management of government. To let managers manage, the report suggested that the Civil Service Commission and the Treasury Board remove some of the constraints they had imposed on departments. ... it concluded that in many cases 'government operations can be improved by adopting methods that have proved effective in the private sector.' This was a frequently recurring theme in subsequent years, especially in the 1990s." (Kernaghan 2000)*

182 *"Deficit Reduction - This committee report follows the tabling of Budget 2014. We support the Government's strategy to balance its budget and we recognize that in order to realize this goal, all must contribute, including the Public Service. But there must be a balance between cost reduction, operational efficiency and renewal through investment and re-investment in the Public Service." , Eighth Annual Report of the Prime Minister's Committee on the Public Service, Clerk's 2014 Annual Report Annex C*

- **Consideration:** *The public service should avoid embracing single broad-based reform principles or approaches, but fully assess all options and solutions based on in-depth analyses of planned benefits, limitations and trade-offs.*

4. Comprehensive and Coordinated Reform Agenda

As the review of selected audits by the Auditor General confirmed, the relative successes or failures of major reform initiatives are not typically the result of only one factor or of a single predominant issue. The 6 broad themes identified and used for the analysis of the OAG findings were consequential across the majority of the initiatives audited. Equally, there is not one major solution or particular difficulty to overcome that will guarantee success for future endeavors – no panacea or magic bullet.

Improving the effectiveness of Canadian public administration and the success of specific initiatives and management reforms, would require a sufficiently comprehensive and integrated approach and agenda – one that addresses a critical number (or critical mass) of key factors and common failings (lessons) in order to engender overall game-changing positive results.

"Reforms must not be too modest in their goals and too tame in their implementation. ... Even if comprehensive change is not possible, reform – based on an accurate diagnosis and prescription – should be ambitious, focused and prioritized in order to overcome obstacles and to address shortcomings in the characteristics of a high-performing civil service. ... Modest efforts at reform will not ensure that the civil service is prepared to meet the challenges it currently faces or that it is resilient and flexible enough to meet the challenges it will confront in the future."
(Jarvis 2016, pages 7, 35)

Comprehensive does not imply doing everything. There is already a clear sense that there is too much going on and that executives and employees alike suffer from reform fatigue, especially where the anticipated benefits were not realized. For instance, consider the examples of comments received from participants in the 2018 GSPIA Executive Survey (inserts on pages 62 and 65) and the survey results on the outcomes of reforms (subsection 3.2.D). The management reform agenda must be doable and planned in accordance with the public service's available capacity and resources, based on realistic timelines, and with a sober appreciation of the consequences of too much churn.

"The chosen reforms will determine specific next steps, but must have clear objectives that civil servants, the public and elected officials can understand. They must also ensure that the civil service has the capacity and processes in place to actually deliver change." (Jarvis 2016, page 35)

The overall management reform agenda, and its underlying management framework and approach, should be comprehensive to the extent that it is effectively planned and coordinated to ensure its different initiatives are aligned and sufficient to produce the desired cumulative results. Effective coordination would also entail that any countervailing effects or trade-offs between different initiatives would be recognized and/or mitigated as needed (e.g. an initiative to centralize a function and impose new requirements may counter or thwart others which strive to streamline policies and processes).

While the previous subsection – Political Support and Stakeholder Coordination (page 98) – emphasized coordination between departments, stakeholders and other concerned parties, there also a need to coordinate the overall reform agenda and better align its individual initiatives and

reforms. The observations of the Auditor General, the 2018 GSPIA Executive Survey and different experts have all found Canadian public service reforms ill-coordinated.¹⁸³

"Changes in accommodation, security and information management are not lining up. As examples: We are reducing accommodation space to drive digital without providing adequate digital information management tools. We give mobile tools then lock down security that prevents mobile access to information." (2018 Executive Survey participant)

"Maintaining adequate coordination has both become more possible and more challenging, because timing of many business transformation initiatives overlaps. Change management approaches barely keep up." (2018 Executive Survey participant)

"With larger, centralized functions ... it takes more time to communicate through multiple strata of communities of practice to reach people who know less about each other's work. Communication is increasingly necessary and decreasingly effective." (2018 Executive Survey participant)

"Change is not managed properly and no one looks at the cumulative impact of change across the system." (2018 Executive Survey participant)

"But if it is the case that the public service has been wrestling with many of the same issues for decades, we are left to wonder why implementing lasting solutions seems so elusive. There are probably numerous practical explanations (the sheer size of the enterprise, the nature of government, etc.). However, we think the reasons are more fundamental and have to do with two related issues: 1) a traditional way of "solving problems" which leads to trade-offs, partial solutions and unintended consequences (some of which are worse than the original problem) and 2) a tendency to focus on mechanical or structural approaches that ignore the human element ... What is required is a more integrated approach to achieving sustainable change." (Baird and Green 2008, page 15)

➤ **Consideration:** ***The public service should define a comprehensive reform agenda and the management framework required for its effective oversight and coordination.***

This study suggests that the criteria of the 2018 GSPIA Executive Survey used to assess "Reform Implementation and Management" (subsection 3.2.F) could serve as an outline of the key principles essential for the effective management and coordination of a more comprehensive reform agenda. These criteria also align with the major themes that emerged from the review of the Auditor General's findings. Thus, in support of the Consideration proposed above, a comprehensive management framework, grounded in effective governance, would steer and guide the public service to:

- 1] Align its reform agenda and initiatives with the priorities (agenda) of the elected government;
- 2] Plan, manage and oversee its overall reform agenda to ensure consistency and coordination between individual initiatives;
- 3] Consult and coordinate initiatives with key internal and external stakeholders;
- 4] Ensure sufficient capacity and resources to implement planned reforms, while maintaining ongoing operations, programs and services;

183 Refer also to:

- 1] Findings of the Auditor General previously highlighted, particularly in subsections 4.2.B, 4.2.F and 5.2.F;
- 2] The 2018 GSPIA Executive Survey results on Reform Implementation and Management (subsection 3.2.F and Exhibit 7 in Annex D, page 20). Particularly, executives rated the PS ineffective at Defining the roles of central agencies, departments and other key players to ensure good coordination of reforms, and at Overseeing the overall reform agenda to ensure consistency and coordination between individual initiatives;
- 3] Pollitt and Bouckaert (2017) quoted in Section 5.3: "... some of the history of management reforms in the Canadian federal administration appears as a bewildering series of overlapping and only loosely coordinated initiatives, ... "

- 5] Define the roles of central agencies, departments and key players (e.g. senior chief officers) to ensure effective coordination of reforms and accountability for results;
- 6] Set clear performance objectives and intended outcomes for reform initiatives, and monitor results accordingly; and,
- 7] Staff executive positions to ensure the capacity, expertise and stability needed to successfully manage and implement reforms.

B. ELEMENTS OF A SOLUTION

The study provides a high-level sketch of the initial components of a proposed comprehensive reform agenda (previous Consideration above), and possible paths to better public service performance and productivity. It suggests a limited number of elements from two standpoints:

- 1] Addressing the major difficulties identified and summarized in the preceding sections;
- 2] Drawing on some of the major findings and recommendations of earlier studies, particularly where there is some concordance between authors.

There is no shortage of reports on public service problems and proposed reforms, as already reflected in the examples of previous research and studies (Section 5.2). As well, these prior studies typically benefited from substantial capacity and expertise, and provided in-depth analysis and recommendations.

This study proposes that a public service management reform agenda should at least address the following 5 key elements, which would need to be developed and planned further. Nevertheless, a strong foundation has been set through prior research and by various authors.

1. Public Service Independence

The issues and challenges emanating from the interface between elected officials and senior bureaucrats, and the politicization of the public service, have already been exposed (subsection 5.1.D). There seems to be quasi-unanimity from the expert sources identified that this remains a fundamental problem. Hubbard and Paquet have long explored various aspects of the relationship between elected officials and bureaucrats, which they once qualified as "*the most important unresolved problem in a system of parliamentary democracy.*"¹⁸⁴ There is also some, but not complete, consensus from academics and practitioners on the possible solutions to strengthen the independence of the senior public service, while maintaining the policy and governance prerogatives of the elected government.

- Aucoin and Jarvis (2005) proposed measures to improve the accountability of deputy ministers and the independence of the public service. For the latter, they suggested a new regime for appointing deputy ministers, which would see an enhanced role for COSO¹⁸⁵ and the Public Service Commission (PSC) to recommend candidates for appointment, thus minimizing any partisan considerations. Mr. Aucoin expanded further on the nature and

184 "The Black Hole of Public Administration", Ruth Hubbard and Gilles Paquet, University of Ottawa Press, 2010, page 10

185 At the time of their study, COSO was the Committee of Senior Officials comprised of Deputy Ministers and chaired by the Clerk and who assisted the Clerk with questions related to the management of the senior level of the public service. The current day equivalent would likely be the Senior Leadership Circle (refer to PCO publication: "Deputy Minister Committee and Task Force Mandates and Memberships", PCO website, July 2019)

risks of the public service's "politicization" in Westminster systems of government (Aucoin 2012)

- The Commission of Enquiry into the Sponsorship Program and Advertising Activities issued a number of recommendations, including:
 - "Recommendation 2: The Government should adopt legislation to entrench into law a Public Service Charter";*
 - "Recommendation 12: The Government of Canada should adopt an open and competitive process for the selection of Deputy Ministers, similar to the model used in Alberta." ¹⁸⁶*
- Heintzman (2014) proposed a Charter of the Public Service in support of a professional non-partisan public services, and made a number of recommendations on the content of this Charter under main 4 pillars (see subsection 5.2.I). This scenario also included an enhanced role for the PSC in recommending appointments of deputy ministers.
- Other authors and studies have made similar proposals centered around either a civil service charter, revised appointments and responsibilities of deputy ministers, or both. For instance, the 2015 report by Canada's Public Policy Forum ¹⁸⁷ issued a number of recommendations aimed at restoring *"the balance that has served Westminster-style democracies so well over the years"*. The recommendations centred around 4 themes or steps:
 - ✓ Strengthen parliamentary committees.
 - ✓ Restore cabinet government by letting ministers be ministers.
 - ✓ Let the public service fulfill its intended role.
 - ✓ Require more accountability from the political service.

The recommendations addressing the role of the public service – some of which resembled the Gomery Commission's – included the need for a clear public statement regarding the conventions underpinning the public service (Recommendation 7), and enshrining into legislation the principles, roles and responsibilities of the public service including the specific accountabilities of deputy ministers (Recommendation 8).

- **Consideration:** *Based on past issues and expert studies, the government and Parliament need to establish the means by which the role, accountability and independence of the public service would be further clarified and enhanced, while respecting the prerogatives of elected officials.*

2. Governance and Oversight

The issues and lessons outlined in the previous sections often pointed to a need for better governance and oversight, which a comprehensive reform agenda should address, particularly in the context of horizontal or government-wide initiatives (subsection 4.2.A). However, the topic of governance is difficult and often confusing, because its meaning is not always clear and can denote different things.

186 "Restoring Accountability - Recommendations", Commission of Inquiry into the Sponsorship Program and Advertising Activities (Gomery), 2006; Recommendation 2 pages 62-67, Recommendation 12 pages 148-151

187 "Time for a Reboot: Nine Ways to Restore Trust in Canada's Public Institutions", Canada's Public Policy Forum, October 2015; The report was the result of an examination by a panel of eminent Canadians comprised of: Jim Dinning (chair), Jean Charest, Monique Leroux, Kevin Lynch and Heather Munroe-Blum. The panel was supported by an 18-member advisory council.

*"Consult any dictionary, and the word appears. That there is noun 'governance' is undoubted; precisely what it means is contested – so contested that the word has lost much of its utility. ... as Pierre and Peters argue 'the concept of governance is notoriously slippery; it is frequently used among both social scientist and practitioners without a definition which all agree on' "*¹⁸⁸

The problem is compounded because in public service documents "governance" and "management" are sometimes used interchangeably, and the distinction between them is often ambiguous. Accordingly, for the purposes of this study, the main characteristic of governance would be its distinction and independence from management. Similar to a more traditional and corporate perspective, governance herein refers to the strategic and oversight (and sometimes advisory) functions exercised by a governing body distinct from senior management. In the public service, this would refer primarily to the Treasury Board – frequently referred to as the government's management board. Particularly and for obvious reasons, providing meaningful oversight and challenge cannot be the purview of those primarily responsible for delivery (such as the deputies ministers / accounting officers), as effective oversight must be independent.¹⁸⁹ Hence, the Clerk's various deputy minister committees and task forces (footnote 185), while certainly important from coordination and management perspectives, cannot really provide independent governance and oversight.

The most prevalent instrument proposed to supplement the oversight of public service management has been the departmental boards of management. Based in part on the experience in the United Kingdom and other Westminster systems, a number of authorities have recommended the adoption of similar boards of management for the Canadian public service, but to no avail.

"In all these instances, a deep denial of there being anything systemic amiss characterizes the status quo. The Canadian scandal [Sponsorships] is especially instructive in this regard because it occurred over several years, included warnings to ministers from public servants at all levels including even from the very top, and yet, at the most critical times, the accommodative culture of promiscuous partisanship kicked in and public servants crossed the line. ... The challenge, then, is how to enhance and safeguard impartiality and management performance in the context of forces that inherently threaten politicization and, thereby, the risk of political corruption. ... The two most important institutional changes involve the independent staffing of the top posts in the public service and the establishment of independent boards to perform the governance of management function in departments. ... However, management performance requires more than having the very best managers rise to the top. It also provides the checks and balances on how they exercise their powers; in short, a robust "governance of management" regime is also required." (Aucoin 2012, pages 190, 192)

188 ["The New Public Governance? - Emerging perspectives on the theory and practice of public governance"](#), edited by Stephen P Osborne, Routledge, 2010; Quote is from the chapter "Does Governance Exist?" by Owen Hughes (page 87)

189 1] *"The most insidious danger, because it is rarely visible, is that boards will include large numbers of individuals tied too closely together – and too closely to the CEO – by other loyalties. One commentator referred to 'powerful social links' and another to the consequences of 'club-like' relationships, which I have certainly seen operate to the detriment of good outcomes. ... Issues of independence arise in the nonprofit world too – where they can be just as troubling. ... Nonprofits are subject to the same risks as for-profits that personal friendships, and social or political relationships, will influence judgements."* ["The Board Book - An Insider's Guide for Directors and Trustees"](#), William G. Bowen, W.W. Norton & Company, 2008, pages 146-148

2] The need for independence is also reflected, for example, in the AG's audit of the pay system: *"There were no oversight bodies independent of the project management structure to provide independent advice to the Deputy Minister of Public Services and Procurement on the project status. This meant that the Deputy Minister did not receive independent information showing that Phoenix was not ready to be implemented or that the Miramichi Pay Centre and departments and agencies were not ready for Phoenix. Phoenix executives were more focused on meeting the project budget and timeline than on what the system needed to do."* (Auditor General of Canada 2018-c, paragraph 1.62)

3] *"The Treasury Board of Canada Secretariat's guidance recommends that information technology projects undergo independent reviews of readiness to proceed at key decision points, including at implementation."* (Auditor General of Canada 2018-c, paragraph 1.79)

"The most recent Cameron [UK] initiative has been the creation of Departmental Boards "to advise on and supervise the strategic clarity of individual departments, the development of business practices, the hiring of talented people, the reporting of performance results, and the availability of clear performance information." To give weight to this effort each Departmental Board is led by a private sector management executive. In the event that the Departmental Board concludes that the permanent secretary (deputy minister) is underperforming, the board can recommend to the Prime Minister that the permanent secretary be dismissed. ... The changes sweeping across the U.K. should be of considerable interest to those who are interested in governance in Canada." (Zussman 2013)

"The tool we propose on the first front is the creation of external boards of management for all departments and agencies in the Canadian federal government (unless it can be claimed that it might be totally unsuitable for important reasons) – boards that would focus explicitly on performance – not in complete ignorance of the overall mission of the unit but as a subsidiary board charged with performance within the constraints defined by the policy framework and the senior board, and charged with continuous feedback with the senior board (the whole-of-government board) ... Boards of management is not a new idea but one whose time has come ... Peter Aucoin (2007) has argued that the board of management experiment that has been successful with CRA should be extended to other departments and agencies, because there is a 'vacuum of governance for the management function in government'. The point has been reiterated forcefully by Heintzman and Juillet (2012) who underline the fact that 'if departments and agencies have their own local governance instruments that are able to apply the same standards (e.g. MAF) in more direct ways and on a more regular basis ... boards of management could help to "drive out the fake" in public management and help make something like MAF a genuine framework for senior leaders ...' " (Hubbard and Paquet 2016, pages 132-133, 158)

Hubbard and Paquet (2016), amongst others, have suggested in more depth how proposed boards of management could operate and what their responsibilities and working arrangements could be, including such as to avoid weakening the existing accountability chain or impeding on the prerogatives of elected officials.¹⁹⁰

- **Consideration:** *The Government needs to improve the governance regime of the public service to ensure there is effective and independent oversight of departmental management and of whole-of-government functions and major initiatives.*

3. Government-wide Audits and Evaluations

As reflected earlier, this study does not prone the exclusive endorsement of a broad-based whole-of-government or enterprise-wide approach, without due analysis and consideration of related options and trade-offs (subsection 5.4.A). However, in those instances where government decides, on its merits, to adopt an enterprise-wide strategy for particular functions, reforms or other initiatives, the enterprise-wide governance required to provide the necessary oversight needs to be supported by adequate performance information, assurance and support mechanisms – in particular independent audits and objective evaluations.

The clerks and many others have established the importance of assessing progress and evaluating the results (outcomes) of renewal and reform initiatives. Despite various commitments to improve performance measurement, monitoring and reporting, earlier sections outlined the challenges and limited progress in this area.¹⁹¹ A fundamental underlying issue is that there are no truly

190 Refer for instance to Hubbard and Paquet (2016) descriptions of the proposed boards of management, what the boards would do and how they would work (pages 133-142)

191 Refer to the analysis of the clerks' annual reports (subsection 2.3.G); the 2018 Executive Survey results in which 48% of executives rated the public service ineffective (vs 19% effective) at setting clear performance objectives and

enterprise-wide internal audit and evaluation functions to support enterprise-wide reforms and governance, by providing independent assurance, assessments and performance information.

- The Office of the Comptroller General (OCG), part of the Treasury Board Secretariat, is responsible for the government-wide internal audit function. This includes providing functional direction to individual departments' chief audit executives and audit committees, as well as conducting horizontal internal audits across government.¹⁹² However, there are important limitations to the horizontal internal audits conducted by the OCG. Consider:
 - ✓ The OCG has typically performed horizontal internal audits, labelled horizontal because they involved multiple departments, focused almost exclusively on ensuring compliance with the Treasury Board's various policy suites and policies. For the most part, however, these audits cover departmental functions and could also be conducted by individual departments, and often were.¹⁹³ Accordingly, the OCG rarely examined (if at all) government-wide initiatives such as pertaining to government-wide renewal objectives and management reforms.¹⁹⁴
 - ✓ The OCG horizontal internal audits generally do not examine important initiatives while under development or under implementation, such as to provide timely audit findings that could help serve to inform key decisions and enact possible course corrections.¹⁹⁵
 - ✓ The OCG's horizontal internal audit function is not truly independent, as required under professional audit standards, because the Comptroller General is responsible for internal audit as well as other government-wide functions, including financial management, investment planning, procurement, project management, and the management of real property and materiel. As well, the Government of Canada's Audit Committee,¹⁹⁶ through which OCG internal audit plans and reports are submitted and discussed, reports in an advisory capacity only to the Secretary of the Treasury Board and not to the management board or other government-wide governance body responsible for the oversight of major government-wide initiatives.

intended outcomes for reform initiatives, and monitoring results accordingly (subsection 3.2.E); and the Auditor General findings pertaining to performance objectives, information and results (subsection 4.2.D).

192 Refer to Office of the Comptroller General's website, internal audit section: <https://www.canada.ca/en/treasury-board-secretariat/corporate/organization/internal-audit.html>

193 The OCG's "Three-Year Risk-Based Internal Audit Plan 2017-18 to 2019-20" (Unclassified, March 2018) specifies: *"The OCG reassessed the audit universe and concluded that the Treasury Board policy suite continues to be the most relevant starting point for the RBAP, as it forms the basis of management requirements that span all departments."*, page (OCG's more recent Risk-Based Audit Plans were not publicly available on the OCG website)

194 1]. The horizontal internal audits completed by the OCG between 2008 and 2019 are listed on the TBS website – <https://www.canada.ca/en/treasury-board-secretariat/services/audit-evaluation/horizontal-internal-audits.html> –. Examples of recent audits include: Business Continuity Planning (2017), Values and Ethics (2017), Information Management (2016), IT Security (2016), Shared Accountability in Service Arrangements (2015), Contributions Receivables Management (2015), Financial Forecasting (2014), Protection of Personal Information (2014)
2] Based on the OCG's 2017-20 RBAP for example, while important risks were identified regarding the pay system and IT shared services – somewhat after the fact (i.e. OAG findings having been already reported) – there were no audits planned that explicitly included these initiatives, on the rationale that they were reviewed by others (OAG and/or departmental internal audits)

195 Refer to footnote 194 above. Audits or reviews, such as "System under Development " audits (SUD) assesses whether programs or initiatives are on track, identify key issues in a timely manner to allow for corrective action (refer to OCG archived document "Guide to the Audit of Systems Under Development - Internal Audit Handbook")

196 Description of the Government of Canada's Audit Committee (GCAC), refer to the Treasury Board of Canada Secretariat's "Annex to the statement of managerial responsibility including internal control over financial reporting" for fiscal year 2018-19 (per TBS website)

- The requirements for program evaluation in federal departments are defined in the Treasury Board *Policy on Results* (2016), and the Results Division within TBS's Expenditure Management Sector provides functional direction for evaluation (replacing the previous Centre for Evaluation Excellence). As defined in the Policy and supporting *Directive on Results*, departmental evaluations are centred primarily on mandatory evaluations of grant and contribution programs and of major programs defined through departments' results frameworks and program inventories.¹⁹⁷ These are normally ongoing programs and, accordingly, seldom did departmental evaluations focus on the outcomes of time-bound initiatives or projects such as related to management reforms.

As well, the Policy provides for the possibility of centrally-led, horizontal evaluations to be conducted by TBS. In practice, however, there have not been any, although joint-evaluations are more frequent between departments that share a common program. As a result and subject to rare exceptions,¹⁹⁸ public service reform objectives and initiatives generally are not subject to horizontal (government-wide) evaluations, and there is no evident governance body where the findings of such evaluations would be tabled.

In light of the ongoing difficulties and limited success in securing effective performance and results information, and assessing the progress and outcomes of various public service reforms (footnote 191), there is a strong need to bolster the government's internal audit and evaluations functions. This, in order to more effectively assess enterprise-wide management reform objectives and initiatives, and provide support for enterprise-wide governance and oversight.

- **Consideration:** *The public service should implement effective and independent horizontal internal audit and evaluation functions, in support of the oversight of whole-of-government functions and initiatives such as reforms.*

4. Central Roles and Responsibilities

The manner in which the respective roles and responsibilities of central agencies, departments and other key players are defined, was assessed as ineffective by a majority of respondents to the 2018 GSPIA Executive Survey (subsection 3.2.E). In addition, roles and responsibilities were a common theme in the Auditor General's findings related to various recent government initiatives (subsection 4.2.C).

The public service comprises a plethora of organisations and senior officials whose functions overlap, which adds to the potential confusion regarding their respective responsibilities and hinders the effective coordination of major undertakings, such as the implementation of the

197 Refer to TBS's "[Directive on Results](#)", 2016, Appendix A: Mandatory Procedures for Departmental Results Frameworks, Program Inventories, Performance Information Profiles and Programs; and Appendix B: Mandatory Procedures for Evaluation. <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=31306>

198 A review of the "Canada.ca" and TBS websites did not identify any horizontal evaluations (refer to <https://www.canada.ca/en/treasury-board-secretariat/services/audit-evaluation/evaluation-government-canada.html>), except for a few reform related reviews or evaluations of programs and services at TBS, mainly: "Lessons Learned from the Transformation of Pay Administration Initiative" (2017); "Evaluation of the Human Resources Services Modernization Initiative" (2017); and "Evaluation of the Oversight and Enablement of High Risk, Complex IT Enabled Projects" (2014). (refer to <https://www.canada.ca/en/treasury-board-secretariat/corporate/transparency/internal-audit-evaluation-treasury-board-canada-secretariat.html>)

government's pay system.¹⁹⁹ In a 2018 APEX sponsored event²⁰⁰, the recently appointed Comptroller General had indicated that TBS senior management had yet to effectively define the primary business owner responsible for compensation and the pay system.

Clearly, issues pertaining to the roles and responsibilities of central agencies and departments should be addressed as part of a comprehensive public service reform agenda. This could follow the example of the modernization of HR management that included, with the advent of the Public Service Modernization Act in 2005, the streamlining of the management and governance of HR.²⁰¹ In 2010, the Auditor General's conclusion on HR modernization was quite positive:

"The implementation of the Public Service Modernization Act (PSMA) is a complex undertaking bringing into play four different acts and a number of stakeholders. We are satisfied that the central human resource agencies and selected entities have implemented the new requirements of the PSMA and that the new and revised structures and processes have also been put in place. Central human resource agencies have exercised their responsibilities as outlined in the legislation. Human resource management responsibilities have been transferred from central agencies and human resource professionals to deputy heads and line managers respectively, in accordance with the legislation. In an effort to address remaining concerns about clarity of roles and responsibilities, the government changed the existing governance structure for human resources by creating a new agency responsible for all human resource management matters in the public service." (Auditor General of Canada 2010, pages 17-18)

The more government adopts centralised enterprise-wide (whole-of-government) strategies and approaches, the more it will likely need to equip itself with corresponding corporate-type mechanisms to minimize the duplication and muddling of responsibilities, and ensure effective coordination across the government enterprise.

The financial management domain is a case in point, where too many actors share responsibility for government accounting and finance functions (including payroll). For instance:

- ✓ The Comptroller General (CG) – part of TBS and responsible for government-wide functional direction and assurance, for financial management, internal audit, investment planning, procurement, project management, and real property and material (the CG is not responsible for actual accounting and financial operations, or procurement, property/material operations);

199 The implementation of the Phoenix pay system provided a good examples of the confusion between the roles of he different players involved in compensation, which can include: PSPC the department charged with the implementation and also responsible for the functions of receiver general, TBS as the employer, the CHRO responsible for HR overall, the CIO responsible with SSC for IT systems, the CG responsible for financial management, the Deputy Ministers and their CFO responsible for the financial transactions of their departments (particularly under sections 34 and 33 of the Financial Administration Act)

200 "A Conversation with Rock Huppé, Comptroller General of Canada", event of January 16, 2018 organized by the Association of Professional Executives of the Public Service of Canada (APEX) as part of their ConnEXions series

201 The Public Service Modernization Act (PSMA) intended to transform and simplify how the federal government hires, manages and supports its employees, and clarified the roles of Deputy Heads and of central agencies. The PSMA included 4 separate pieces of legislations – the Public Service Labour Relations Act, the Public Service Employment Act, the Canada School of Public Service Act, and revisions to the Financial Administration Act. The PSMA (2005) and subsequent changes in HR Governance (Clerk's 2009 Annual Report, Annex B) included: the creation of Chief Human Resources Officer (in TBS) and the dissolution of the separate Public Service Human Resource Agency of Canada; the creation of the Canada School of the Public Service; and the clarification of the primary responsibility of Deputy Ministers for people management and staffing. The 2010 Auditor General Report "[Modernizing Human Resource Management](#)" provides a summary description of the PSMA and the major resulting changes (pages 3-6).

- ✓ The Receiver General (RG) – the central Treasurer and Accountant of the government. The Minister of PSPC, as the RG, is responsible for receipts and disbursements into/from government accounts, maintenance of the accounts of Canada, the Consolidated Revenue Fund, and preparation of the Public Accounts (i.e. financial statements);
- ✓ Public Service and Procurement Canada (PSPC) – in addition to the RG's accounting and treasury functions, the Department is responsible for providing a wide range of internal support services to government operations, including responsibility for pay and pension administration;²⁰²
- ✓ The Chief Human Resource Officer (CHRO) – part of TBS, supports the treasury Board (TB) in its role as employer for the government. CHRO responsibilities include pensions and benefits, conditions of employment, and for the *"Policy Framework for the Management of Compensation"*.²⁰³ The Policy document defines further the roles and responsibilities of TB, TBS/CHRO and PSPC. TBS responsibilities include compensation planning and reporting and supports TB which is responsible for all matters relating to HR management, while the role of PSPC is limited to providing administrative and support services for the disbursement of pay;
- ✓ Deputy Ministers, departmental Chief Financial Officers (CFO) and executives/managers are ultimately responsible for the financial transactions of their departments, as delegated by their Minister under the Financial Administration Act (e.g. FAA sections 32 to 34);
- ✓ The Chief Information Officer (CIO) – part of TBS, would influence government's accounting and financial systems, as his/her responsibilities include: governing and managing enterprise-wide IT, prioritizing demand for IT shared services, providing direction on the enterprise-wide transition to digital government, updating the government's digital standards, prescribing expectations with regard to enterprise architecture and establishing priorities for IT investments.²⁰⁴

This above summary is likely incomplete, but serves to illustrate the number of players with partial responsibility for the overall accounting/finance function across government, and the ensuing complexity and challenges in coordinating both the function itself and any major related initiative. Similar to the gains made under the HR modernization initiative, there is merit in exploring how these varied and overlapping responsibilities could be clarified and simplified.

A path that should be explored would be to enhance the current role of Comptroller General and transform it into that of an actual Chief Financial Officer for the Government of Canada. The CFO role would consolidate current responsibilities for functional direction to departments with central accounting and financial operations and systems presently under PSPC. This new role

202 PSPC responsibilities and programs also include (not necessarily a complete list): Procurement of goods and services including major projects such the National Shipbuilding strategy; Management of real property and infrastructure; Administration of pay and pensions; Translation and linguistic services; Information and records management; Management and disposal of Crown assets and of seized and forfeited assets; Information technology solutions (e.g. GCDocs, GCCase). Source: PSPC website (<https://www.tpsgc-pwgsc.gc.ca>) and 2019-20 Departmental Plan.

203 "[Policy Framework for the Management of Compensation](https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12084)" refer to TBS/OCHRO website (as of July 2020): <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=12084>; Note, the document is accessible under the OCHRO portion of the website, via the page "Terms and conditions of employment"; The Policy, in effect since 2007, refers to Public Works and Government Services Canada since renamed Public Service and Procurement Canada (PSPC)

204 "[Policy on Service and Digital](https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=32603)", effective 2020, per TBS website: <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=32603>

would avoid any confusion as to the business owner for financial functions and systems (including the pay system). In addition, this would be more in keeping with a typical corporate CFO role, which has been successful in many large and complex enterprises. Roles and responsibilities pertaining to other government functions would also benefit from similar reviews.

- **Consideration:** *The public service should review the roles of central agencies, senior chief officers, service departments (e.g. PSPC and SSC) and line departments in order to clarify and simplify the overall responsibilities for the management of government-wide functions and initiatives.*

5. Executive Capacity and Expertise

The issues and difficulties with the capacity of public service executives have been effectually described in the preceding pages. In summary, there are essentially 4 underlying and interrelated concerns to address in the context of a comprehensive management reform agenda.

- The tenure of senior executives is often not long enough to both provide the needed stability to their organizations and allow them to gain sufficient knowledge of their department or agency and their complex files (subsection 5.1.C).
- The exclusive reliance on the current leadership competencies and behaviors for the selection, development, performance and talent management of executives is ineffective, and leadership competencies and intelligence are not substitutes for expertise.²⁰⁵ There needs broader considerations of the specific expertise, qualifications and experience required of executives based on the nature and complexities of their responsibilities and of the organization (subsection 5.1.B/C).

"This has entailed a relaxation of the HR regime to the point of allowing (except in certain areas regulated by external bodies) the real matching of the capacities of the human resources and the complexities of the job to become somewhat subsidiary in the staffing function – and the more so the more one climbs the hierarchical levels, since the job requirements tend to become fuzzier there, leaving much more margin for maneuverability at a whim. ... Instead of trying to tackle the difficult task of delineating the precise dimensions of the job, public administration specialists are satisfied to look for across-the-board qualities that are purported to grant true missionary competencies (whatever these may be) for all the work in the whole federal government that is regarded as a homogeneous lump of labour (Kernaghan 2007; Hubbard and Paquet 2010). In fact competencies are not that generic. One would not necessarily trust one's dentist to defend one in a court of law." (Hubbard and Paquet 2016, pages 131, 152)

- Regardless of the limitations of the leadership competencies in use, the evaluation and promotion of executives are also not based on effective processes and practices. For instance, there is more importance accorded to the highly structured and unproven interview process, than the previous performance, track-record and qualifications of candidates. This is a good example of where an enterprise-wide evaluation of the outcomes of the current executive staffing and promotion policies would be most useful (subsections 5.1.C, 5.4.B).

"Behind the cloak of obligatory questionnaires and rituals, and the agony of pumps and theatrics to go through, the process of hiring, evaluation and promotion in the federal public sector has become more and more whimsical (the more so the higher one looks in the hierarchy): more an echo of personal likes and affinities (that pays attention to only the most ethereal notion of merit)

205 *"As much as there is an immediate need to replace talent, we reiterate that developing skills and talent – whether with respect to management, operations, policy, finance, human resources or any other area of specialty – takes time; intelligence is no substitute for experience and will only get people so far" (Baird and Green, 2008, page 28)*

than the result of a serious evaluation of cognitive abilities and creative skills of the employee. ... Any serious in-depth audit of the appointment process ... would reveal momentous incongruities: from willful blindness in the face of great talent to flagrant rewarding of failure in the name of sheer patronage of the like-minded. ... In the meantime, the defence of the status quo would appear to be obscurantist, and the defence of the current amateurish selection of personnel is nothing less than active support for maladministration and malgovernance of management." (Hubbard and Paquet 2016, pages 98, 160)

- As well, the related issues of poor performance, harassment and discrimination remain essentially unresolved, and progress on these front has been limited as documented previously (subsection 5.1.C). While significant efforts were made throughout the public service to implement more structured employee performance agreements and regular performance and talent management exercises, public surveys have indicated that these had not had the desired results and were considered burdensome by many (subsections 2.3.B/C, Figure 2). Many executives have commented through the 2018 GSPIA Executive Survey on the probable causes and impediments to better performance management in the public service. This topic would warrant a more thorough evaluation.
- **Consideration:** *The public service should perform a thorough review of its HR regime for executives, with the objective to:*
 - 1- *formalize longer tenures for senior executives;*
 - 2- *adopt a more effective competency model that emphasizes the expertise and qualifications specific to individual responsibilities;*
 - 3- *improve the evaluation and staffing processes to better assess and support the performance of executives and candidates;*
 - 4- *provide executives and senior managers the needed authority and support to effectively deal with significant poor performance.*

5.5 CONCLUSION

Management reform within an entity as large and complex as the Canadian public service is inherently both very difficult and very necessary. Regrettably, the combined findings of the study's different lines of inquiry, while recognizing some successes, confirmed what many other authors have expressed and provided an overall dismal account of the results of previous public service reforms, which points to deteriorating work environment and performance.

Despite increasing complexities and demands faced by the public service, it has not fulfilled many of its own renewal objectives and commitments. Without reiterating all findings from the previous sections, highlights of ongoing challenges include:

- ✓ Increasing red-tape and unnecessary business and administrative processes;
- ✓ Lack of support and progress in dealing with poor performers;
- ✓ Insufficient stability, capacity and expertise in the senior ranks;
- ✓ Executives' increasing workload, challenging work environment and diminishing efforts at strategic direction and innovation;
- ✓ Lack of progress and worsening results regarding discrimination and harassment;
- ✓ Inadequate results and outcome information on government-wide initiatives (including poor evidence-based reporting and the promotional nature of clerks' annual reports);
- ✓ Worsening overall cumulative impacts of recent management reforms;
- ✓ Ineffective implementation, coordination and management of the public service's reform agenda and initiatives;

- ✓ Recurring audit findings and issues related to governance and oversight, stakeholder coordination, roles and responsibilities, performance objectives and results, resources and capacity, and project management.

While the consequences of a major failure – like the well-publicized federal pay system – may be more easily identified, the cumulative impact of a number of less notorious but partially ineffective initiatives may be less obvious but just as consequential. It is clear that many past reforms have failed to deliver the needed improvements and performance gains. What's more, there are insufficient efforts directed at assessing the cumulative impacts of the many changes occurring across the public service, and at identifying and applying the lessons of the past.

“Cannot over-estimate the demoralizing impact of pay issues. ... Now how do we ensure this never happens again - are lessons really learned including by senior managers - let's be more open on this.” (Senior Assistant Deputy Minister, 2018 Executive Survey participant)

“We must be able to measure how we are working and the outcomes we are achieving, so we can learn.” (Wernick²⁰⁶)

“But the real question for the government to think about is why do we keep finding and reporting serious problems, and why do incomprehensible failures still happen?” (Ferguson²⁰⁷)

The path to better progress goes through increased analysis, planning and a more integrated and coordinated approach to a comprehensive reform agenda. The considerations proposed in the previous section were intended to move in that direction, but also recognizing the pressing need to progress beyond general principles to planning, experimentation and implementation.

We have referred in passing throughout the text to some of these mental prisons and other potential blockages to be overcome. They may be summarized in the form of propensities: ... to restrict debates about reform to general principles instead of recognizing that the devil is in the details, and carrying out precise experiments that can demonstrate whether an initiative is indeed or not a good answer to the present challenges.” (Hubbard and Paquet 2006, page 140-141)

In the current times, when innovation is frequently hailed as the prerequisite to all successes, the idea of more detailed analysis, planning, coordination and experimentation should be welcomed. However, innovation must first be grounded in the lessons of the past and a clear understanding of what worked and what didn't, and more importantly why. Detailed analysis – including consideration of options and trade-offs – must also help establish the basis and need for innovation by defining what problems need solving or what opportunities could be realized. Frequently, doing what has been proven to work can be just as, if not more, rational and productive as innovating.

Despite the rhetoric surrounding innovation, the need for experimentation and the public service's coveted mantra as a learning organization, the forces defending the status quo – often grounded in conventional wisdom – can be just as potent. For many senior officials and representatives preserving the *status quo* may represent an advantage which could ensure the protection of vested interests, entitlements or control over the bureaucracy. As reflected previously (Section 5.4), the case for pressing and more comprehensive reforms may be compelling, but still not sufficiently endorsed. Essentially, the biggest impediment to more fundamental and effective

206 “Twenty Fourth Annual Report to the prime Minister on the Public Service of Canada”, Michael Wernick, Clerk of the Privy Council and Secretary to the Cabinet, For the year ending March 31, 2017, page 33.

207 Mr. Michael Ferguson, Former Auditor General of Canada, Office of the Auditor General News Release, May 2018.

changes in the public service, is not analyzing, designing and implementing solutions, but rather harnessing the necessary will, engagement and demand to do so.

"While the civil service is often a target of criticism, complacency and a lack of demand for reform from political actors and the broader public has reinforced the status quo. In short, while important constituencies may complain about the civil service, no constituency cares enough to do anything about it." (Jarvis 2016, page 7)

"What is missing at the present time is a recognition by all parties that reforming the Canadian federal bureaucracy is a sine qua non for any government that wishes to ensure that it has the capacity to deliver on its agendas. This would appear not to be acknowledged by any of the key players at the present time." (Hubbard and Paquet 2016, page 40)

The effective research, analysis and communication of the public service's daunting challenges and the outcomes of past initiatives are key to help generate the needed impetus and recognition of the necessity of management reforms. This study has endeavoured to contribute to this goal.

ANNEXES

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ANNEX A.: SUMMARY OF CLERKS' ANNUAL REPORTS - 2000 to 2019

Purpose and Approach: This annex presents a comparative summary of the major elements of the clerks' of the Privy Council annual reports to the Prime Ministers of the last 20 years (2000 to 2019), with respect to commitments and results related to government-wide management reforms and renewal.

This summary, while detailed, is not intended to be all inclusive. Rather it presents the more explicit of the clerks' government-wide commitments or priorities, and reported results or tangible progress, under eight broad topics. Particularly, the summary generally excludes commitments that were too general or imprecise, and not indicative of a specific action or deliverable. As well, results are excluded if they are not sufficiently specific, not government-wide (e.g. pertain to only 1 or a few departments), or are mainly program specific (i.e. not "management" focused). There was much variability in the approach and content of the various clerks' reports over the twenty years under review, and the amount of details provided varied. For instance, from 2008 to 2011 the reports included more specific and mostly comparable annexes on "Renewal Progress and Results", for which summary information has been identified under each applicable topics.

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
1.1 HUMAN RESOURCES – INTEGRATED PLANNING	
2000: We continue to modernize our work processes and management practices. We are placing a priority on integrating and streamlining our planning and reporting systems, so that we can better focus on outcomes (p6)	2008: 35 Deputy Ministers [of 36] reported having integrated plans ... or have undertaken to do so by March 2008 (p12)
2001: Departments, with the support of central agencies, in the coming year will work to better integrate their work force plans and business plans (p7)	2009: ... we created the Expert Panel on Integrated Business and Human Resources Planning, ... [it] was asked to review the 2007-08 integrated business and human resources plans ... to identify best practices and lessons learned (p5)
2004: For the coming year ... I have added human resource management as a priority covering ... the integration of HR planning with departmental business planning (p7)	2009: The quality of the plan and progress against commitments are evaluated by the TBS in the annual MAF assessment ... (p6).
2007: Priorities – To make progress over time, you must have a plan. This is therefore our first priority ... By integrating business planning with human resources (HR) planning, we will develop a better sense of our strengths and of the gaps we will need to fill ... (p19). Actions:	2009: The Quebec Regional Council has conducted a comprehensive review of departmental/agency integrated business and human resources plans ... (p11)
<ul style="list-style-type: none"> • require every department and agency to include a HR plan as a fully integrated element of its normal business planning and reporting. • develop a unified Public Service human resources plan ... 	2010: ... many areas where real progress has been made: ... putting human resources management higher on their agendas, and fully integrating human resources into departmental business plans (p4)
2008: ... to extend the coverage and improve the quality of the plans ... in terms of rigour, concreteness and clarity of the link between business and people management goals (p16)	2011: The results of those efforts over the past several years include ... Departments and agencies are doing a better job of integrated planning, linking their plans for human resources to broader business plans (p5)
2009: ... the panel [on <i>Integrated Business and Human Resources Planning</i>] made four key recommendations ... that will be guiding the work of DMs (i.e. top-level affirmation of integrated planning; DMs to drive integrated planning; sharing experience and learning from successes; and central agencies to support and facilitate) (pp 5, 16-17)	2012: As a result of the renewal efforts launched in 2006, business and human resources planning is better integrated and more rigorous (p4)

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2009: ... the challenge now ... is to deliver on those plans in ways that make a demonstrable improvement to the business of the organization and the working lives of employees. This will be the future focus of our attention (p6)</p> <p>2010: Integrated planning remains the foundation for renewal. We will continue to improve planning at all levels of the Public Service. Planning should be seen as a core business practice for all public servants, one that is necessary to align goals, resources and results (p11)</p>	
CLERKS REPORTS - ANNEXES ON RENEWAL PROGRESS AND RESULTS:	PLANNING
<u>2008:</u> <i>By March 2008, all departments and agencies will have ... put on their website their integrated plan (Annex 2)</i>	<p>As of March 2008:</p> <ul style="list-style-type: none"> • 17 departments / agencies met this commitment • 18 are 'on track' to meet this commitment by end of March • 1 will not meet the commitment in 2007-08
<u>2009:</u> <i>Each deputy head will update the department's integrated business and human resources plan, including identifying progress against the 2007-08 plan. Each updated plan will include a strategy for the recruitment, development and advancement of visible minorities, as well as Aboriginal people and persons with disabilities ... (Annex C)</i>	<ul style="list-style-type: none"> • 35/36 departments/agencies updated their integrated business and human resources plans. • 34/36 updated plans include a strategy for the recruitment, development, and advancement of visible minorities, Aboriginal peoples and persons with disabilities.
<u>2010:</u> <i>1. In addition to putting a strong emphasis on linking human resources (HR) needs with the organization's business needs, Deputy Heads will report on what they have done to give effect to the recommendations of the Expert Panel on Integrated Business and Human Resources Planning. (Annex B)</i> <i>2. CHRO and the CSPS will facilitate peer review sessions of integrated plans as a learning event for Deputy and Associate Deputy Heads, with a view to building and sharing best practices. (Annex B)</i>	<ul style="list-style-type: none"> • All Deputy Heads are taking steps to integrate the recommendations of the Expert Panel on Integrated Business and Human Resources Planning. • There is strong evidence that integrated planning has moved well beyond a paper exercise and is being systematically adopted into the culture, systems and governance structures of each organization. • The CSPS and the CHRO delivered a peer review session of integrated plans for Deputy and Associate Deputy Heads in March 2010.
<u>2011:</u> <i>Planning is the foundation for management excellence and must be accompanied by effective and efficient implementation and sound reporting on results. The goal is to align and integrate the human, as well as financial, asset and information resources required to deliver on the business of government. (Annex B)</i>	<ul style="list-style-type: none"> • 33 out of 36 have integrated business plans in place. • 27 out of 36 are incorporating financial and information resources, in addition to human resources considerations into their plans. • 32 out of 36 have made their planning processes increasingly integrated, inclusive and robust. Many have introduced supporting tools, learning events and more systematic engagement of key players into the organizational planning process.

1.2 HUMAN RESOURCES – PERFORMANCE MANAGEMENT, DEVELOPMENT AND CAPACITY	
<p>2003: ... core competencies as financial management, HR management, information and communications management, leadership development, professional development and service delivery should be embedded in all departments and agencies and at all levels. When this core is neglected, standards of professionalism decline (p9)</p> <p>2004: In the coming year, we will [be] ... through the new Canada School of Public Service, developing and delivering a core curriculum ... so that everyone has the skills needed to do their job well (p8)</p> <p>2005: We will upgrade the skills of our managers through a modern curriculum emphasizing leadership and responsibility ... and strengthening core capacities — including financial and human resource management (p5)</p>	<p>2001: ... we have put in place and updated programs for developing people at various levels and in several functional communities. (p5)</p> <p>2001: ... launched a Policy Research Development Program designed to attract the best graduates into policy research (p12)</p> <p>2002: ... many seasoned employees feel that poor performance is ignored and that the only reward for good performance is more work (p10)</p> <p>2003: The Public Service now has an institution-wide learning policy (p13)</p> <p>2008: 30 of 36 Deputy Ministers have indicated that at least 90% of their employees will have learning plans by March 2008; Talent management plans for over 300 ADMs or equivalents were completed by March 2008 (p12-13)</p>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2007: Employee Development – Actions <i>[selected]</i>. we will ...</p> <ul style="list-style-type: none"> • ensure (a) that employees have meaningful learning plans that are reviewed periodically with their supervisors, and (b) that there is an employee development plan for every organization • implement the ADM Talent Management Initiative. ... • as part of reviewing our performance management regime, develop a new approach to evaluating performance in people management • expand the model of the ADM Talent Management Initiative to other executive levels (pp24-25) <p>2007: Enabling infrastructure – Actions <i>[selected]</i> ...</p> <ul style="list-style-type: none"> • develop modern electronic platforms for on-line learning, networking and sharing best practices • invest in renewing the skills and leadership of the HR community (p26) <p>2008: ... will focus on improving employee learning plans, as well as strengthening performance management for executives (p16)</p> <p>2008: This year we will focus on setting clearer performance objectives, on reviewing performance throughout the year, on refining our evaluation of people management, and on dealing more rigorously with weak performance (p17)</p> <p>2008: We will also develop specific initiatives to strengthen performance management, including dealing better with poor performance. This will build on last year’s work which strengthened the performance management system for Deputy Ministers and Associates (p20)</p> <p>2009: Going forward, we will need to take effective steps to expand our approach to performance management throughout the public service. If unaddressed, problems of poor performance damage morale as well as efficiency (p14)</p> <p>2012: ... continue to develop the competencies needed for an evolving Public Service. Professional development should not stop during times of fiscal restraint (p8)</p> <p>2012: ... performance management is an essential element ... In the months to come, I expect all managers ... by setting high standards for individual performance, and expecting employees to meet those standards. All employees should have a performance agreement with their supervisor (p12)</p> <p>2013: Managers need to set out clear expectations for their employees and provide them with the tools necessary to assess their progress. ... managers are accountable for employee performance. Excellence needs to be encouraged and recognized, while performance issues need to be managed ... (p11)</p> <p>2014: We are enhancing our approach to performance management to ensure that excellence at all levels is encouraged and recognized. This means having specific and timely performance expectations and feedback for all employees. ... As of April 1, 2014, all departments and agencies are to have performance agreements in place for their employees ... and evaluating employee performance each fiscal year (p20)</p> <p>2014: ... we will foster an agile and high-performing workforce, focusing on performance management, leadership development, and ...learning opportunities (p27)</p>	<p>2009: Last year, deputies and deputy heads were asked to ... hold feedback sessions with their employees on performance, career development and related learning needs. ... also asked to expand the talent management approach ... to their entire executive cadre by March 2009. With only a few exceptions, both of these commitments have been met (p8)</p> <p>2009: Another commitment was to strengthen our management development programs. Here too, progress was made (p8) ...</p> <ul style="list-style-type: none"> • ... approved a comprehensive framework for leadership development programming ... • ... place a second group of 25 promising senior leaders into the Advanced Leadership Program ... • ... asked 150 employees to prepare an assessment of the principal challenges facing Canada in 2017 ... <i>[project]</i> is well underway <p>2009: Deputy heads were asked to apply a rigorous performance management approach to their senior executives, ... and specific action plans to address all performance issues. With a few exceptions, this has been done ... (p8)</p> <p>2011: The results ... over the past several years include ... visible progress in areas such as individual learning plans and performance discussions (p5)</p> <p>2012: Important work ... to help our managers build their performance management capacity. The Office of the Chief Human Resources Officer has developed an online Performance Management Tool and the Canada School of Public Service offers a Performance Management for Managers curriculum (p12)</p> <p>2013: Many departments have broadened talent management discussions to include their executive feeder groups. This is strengthening their succession planning, ... supporting employee development and a higher-performing workforce (p9)</p> <p>2014: Although performance management has been happening in federal departments and agencies, particularly for executives, inconsistent approaches have been adopted, and employee performance has not always been linked to business objectives and expected behaviours (p20)</p> <p>2015: Respondents <i>[re: PSES 2014]</i> were more positive in 2014 than in previous years about their ... performance management, workload, ... However, ... there are areas where we face challenges, and where further work will be required (p2)</p> <p>2015: ... the new Directive on Performance Management, which came into effect a year ago. ... requires employees know what is expected of them; have an opportunity to understand how their performance will be measured; and, at least twice a year, receive formal feedback on their strengths as well as help on areas for improvement (p14)</p> <p>2016: Enterprise-Wide Commitment To Learning - All learning at the CSPS—both in person and on-line—is free of charge as of April 1, 2016 (p11)</p> <p>2017: The CSPS has launched new tailored programs to help develop current and future leaders. These include the Aspiring Directors, New Directors and Directors General Programs, as well as the new Executive Leadership Development Program created in partnership with OCHRO (p31)</p>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2015: ... managing individual performance. Every public servant needs to have a clear understanding about the expected results of our programs and services, and their role in achieving those results (p13)</p> <p>2015: To better meet learning and training needs, the CSPS is revitalizing its curriculum, and modernizing its delivery of learning as part of the new enterprise-wide approach to learning (p14)</p> <p>2017: While most executives have some project management or oversight responsibilities, they often have little formal training to support these. We need to raise our game in project management, learning from our strengths and the many examples of excellence and best practices ... (p22)</p> <p>2017: Although the gap between people leaving through attrition and hiring continues to shrink, we still face a skills gap as the experienced baby boomers leave. This underscores the importance of our work on knowledge sharing and skills development to support the renewal of the Public Service (p29)</p>	<p>2018: ... 14 government departments and agencies developed a one-day training session on public engagement fundamentals. The course was delivered in eight sessions across the country, and train-the-trainer sessions helped build the skills of participants to support ongoing delivery (p17)</p> <p>2018: Canada Beyond 150 ... about 80 new public servants devoted one day per week to learning new approaches, including foresight methods, design thinking and best practices for engagement. It has provided leadership and skills development for a diverse group of participants ... (p35)</p> <p>2018: The CSPS has modernized and digitized its learning delivery through the development of GCcampus. This has led to increased reach from 78,000 learners before the digital transformation to a peak of 159,000. ... more public servants have reported they were able to apply their learning on the job and satisfaction levels have increased (p37)</p> <p>2019: • "I am encouraged to be innovative or to take initiative in my work." 2018 Public Service Employee Survey - results 66% (p25)</p> <p>2019: ... the CSPS launched the Digital Academy. ... The curriculum supports all levels of public servants in their efforts to modernize operations to deliver digital services that Canadians expect (p34)</p>
CLERKS REPORTS - ANNEXES ON RENEWAL PROGRESS AND RESULTS:	EMPLOYEE DEVELOPMENT AND PERFORMANCE MANAGEMENT
<p><u>2008:</u> • <i>By March 2008, deputy ministers will ensure at least 90% of Public Service employees have learning plans in place and that a corresponding discussion and an assessment of the plans between employee and supervisor occurs annually in connection with performance review.</i></p> <p>• <i>In 2007-08, the Committee of Senior Officials (COSO) and deputy ministers will implement talent management plans for all assistant deputy ministers.</i></p> <p>• <i>In 2007-08, COSO and the Canada School of Public Service will launch an Advanced Leadership Program (ALP).</i></p> <p>• <i>In 2007-08, working with TBS, the Canada Public Service Agency will:</i> <ul style="list-style-type: none"> ✓ <i>revise the performance management regime for excluded managers and unrepresented employees ...; and</i> ✓ <i>develop a performance management approach for all managers with substantial people management responsibilities ...</i> </p> <p>• <i>Beginning in 2007-08, all executives, including deputy ministers, will be formally assessed on people management.</i></p> <p>• <i>The Canada Public Service Agency will develop tools to support the assessment.</i></p>	<p><i>As of March 2008:</i></p> <ul style="list-style-type: none"> • <i>11 departments/agencies met this commitment [re: 90% learning plans ...];</i> • <i>19 are 'on track' to meet this commitment by the end of March; and</i> • <i>6 indicated they will not meet this commitment in 2007-08.</i> • <i>95% of Assistant Deputy Ministers and equivalents will have a talent management discussion with their Deputy Minister by the end of March 2008</i> • <i>The ALP was launched in October 2007 with 25 participants</i> <p>• <i>The existing Performance Management Program for Senior Excluded and Unrepresented Managers and Staff will be aligned with the approach taken for executives beginning in 2008-09.</i></p> <p>• <i>An approach for all managers with substantial people management responsibilities is being developed for consideration.</i></p> <p>• <i>As part of a substantially more rigorous approach to the performance assessment of DMs and Associate DMs, all Deputy Heads were assessed on people management beginning in 2006-07. Beginning in 2007-08, all executives are also being formally assessed on people management.</i></p> <p>• <i>The Canada Public Service Agency has developed new standards and tools to support robust and consistent assessment of people management by executives.</i></p>
<p><u>2009:</u> • <i>Deputy heads will ensure that by March 2009 discussions have occurred between supervisors and their employees regarding performance, career development and related learning needs. Learning plans will be updated as a result, building on the implementation of last year's plans.</i></p>	<ul style="list-style-type: none"> • <i>32/36 departments/agencies have met this commitment or are "on track".</i>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<ul style="list-style-type: none"> • Deputy heads will expand talent management to their entire executive cadre by March 2009, building on the ADM Talent Management approach. The CPSA will provide by September 2008 a common framework and tools ... • We will intensify our support for leadership development at all levels. Specifically: <ul style="list-style-type: none"> ✓ By January 2009, a second group of at least 25 promising senior leaders will undertake the Advanced Leadership Program. ✓ As a special developmental opportunity for future leaders, 150 new employees ... will prepare by June 2009 ... an assessment of the principal challenges facing Canada in 2017 and implications for the public service. • By March 2009, the CPSA, in collaboration with CSPS, will strengthen our management development programs. We will ensure that tools ... are effective in supporting the timely preparation of the next generation of public service • Building on the new rigorous system being applied to the performance management of deputies, deputy heads will: <ul style="list-style-type: none"> ✓ Institute and apply a comparably rigorous approach in their departments. All executives will have clear, assessable commitments in place by July 2008 and will receive mid-year feedback on progress by the end of November 2008. Specific action plans will be developed and implemented to address all performance issues. ✓ Implement the revised Performance Management Program for eligible excluded or unrepresented employees by March 2009 	<ul style="list-style-type: none"> • 35/36 departments/agencies have met this commitment or are “on-track”. • CPSA provided deputy heads with common executive talent management tools and supplementary materials. • A second cohort of 27 participants started in fall 2008 and will graduate in May 2009. Since it began in January 2008, the Advanced Leadership Program has had 52 participants. • Three working conferences have taken place, and using web 2.0 tools, participants have identified a series of policy challenges. The final phase of work, culminating in June 2009, will focus on identifying implications for the public service. • A Leadership Development Framework has been developed. Work is underway to align tools and programs with the framework • 31/36 departments/agencies have met this commitment or are “on track”. • The program was introduced in April 2008, with 2008/09 serving as a transition year for departments/agencies to fully implement. • Three departments (DND, INAC and CPSA) are piloting supporting tools and processes, which will be made available to all departments by April 2009. leaders.
<p><u>2010:</u></p> <ol style="list-style-type: none"> 1. Building on progress ... Deputy Heads will report on what they have done to: <ul style="list-style-type: none"> • Extend to all executives a rigorous performance management regime that includes the use of indicators and tools (e.g., Management Accountability Framework and Public Service Employee Survey results); • With the support of the CHRO, equip executives and managers with the tools and training needed to effectively manage the full spectrum of performance of employees at all levels; • Ensure commitments are in place for all executives by the end of June 2009, mid-year feedback on progress provided by the end of November 2009 and, collectively, commitments are coherent from a departmental perspective; and • Ensure all employees have clear performance objectives by end of June 2009 and regular discussions take place between managers and employees regarding performance, career development and related learning needs. 2. A new Leadership Development Framework will be implemented by the CHRO and Deputy Heads to support leadership at all levels. <ul style="list-style-type: none"> o Corporate development programs will be aligned with the Leadership Development Framework. o Deputy Heads will use the Leadership Development Framework to guide their organizations’ leadership development approaches to ensure management excellence. 	<ul style="list-style-type: none"> • 32 of 33 Deputy Heads indicated that a rigorous performance management regime is in place for executives, including indicators and tools. • 25 of 33 Deputy Heads indicated that they have developed supporting tools for managers and executives to help them manage the full spectrum of performance. • The CHRO has also developed a performance management website that sets out key leadership competencies and behaviours and provides links to sample documents (performance agreements, evaluations, TBS guidelines, etc.). • 32 of 33 Deputy Heads indicated that commitments were in place for all executives, mid-year feedback was provided and commitments are coherent. • 24 of 33 Deputy Heads indicated that employees established performance objectives with their managers and regular discussions took place ... • The Leadership Development Framework is being communicated to departments to help guide their implementation of leadership development activities ... • A new approach to corporate development programs has been developed. ... existing centrally managed leadership development programs are being phased out. • 28 of 33 Deputy Heads indicated that they are developing internal frameworks, programs and/or strategies with regard to talent management and/or leadership development. Six Deputy Heads indicated that these initiatives are being aligned with the Leadership Development Framework developed by the CHRO.

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IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>3. A set of best practices and practical approaches to improve diversity and foster recognition and use of both official languages will be provided by Deputy Heads to their managers for departmental use.</p>	<ul style="list-style-type: none"> The final report and compendium of practical approaches of the Workplace and Workforce Task Force have been broadly distributed, including posting on the CSPS website.
<p><u>2011:</u> <i>Employee Development - It is critical for a high performing organization to develop its talent through a systematic and integrated approach to managing performance and learning.</i></p> <p><i>Supporting Managers - Managers are the creators and carriers of corporate culture. They translate the principles and goals of renewal into the realities of daily work.</i></p> <ul style="list-style-type: none"> <i>Deputy heads will engage their managers and foster managers' communities. They will enable managers to better manage people and performance by equipping them with the tools, skills and support they require.</i> <i>Deputy heads will draw on the Canada School of Public Service (CSPS) Learning Roadmap for Managers and align departmental learning activities for managers with CSPS offerings.</i> 	<p><i>Reports of deputy heads:</i></p> <ul style="list-style-type: none"> <i>28 out of 36 have a robust performance management and/or talent management regime in place for the executive cadre, and already have or are planning to extend this approach further in the organization.</i> <i>12 out of 36 indicated that learning and learning plans were formally incorporated into the performance management process.</i> <i>25 out of 36 invested in new tools, courses, programs or other development opportunities, targeting various employee groups.</i> <i>16 out of 36 introduced or enhanced mentoring, coaching or onboarding initiatives.</i> <p><i>Reports of deputy heads:</i></p> <ul style="list-style-type: none"> <i>21 out of 36 established or enhanced a managers' network.</i> <i>19 out of 36 are actively engaging their managers' communities by: supporting network infrastructure; identifying senior-level champions; and hosting various learning and networking events for managers.</i> <i>32 out of 36 are offering practical tools, courses, training and other learning and development opportunities to managers on an ongoing basis.</i> <i>18 out of 36 are drawing on the CSPS's Learning Roadmap for Managers</i>

1.3 HUMAN RESOURCES – WORKPLACE AND EMPLOYEE HEALTH (Includes: Values and Ethics, Engagement, Harassment and Wrongdoing, Diversity, Official languages)	
<p>2000: In each of three areas — recruitment, workplace well-being, and learning and development — a recently created committee of deputy ministers is drawing up plans to ensure that progress continues over the next five years. Diversity is an overarching priority for all three (p5)</p> <p>2000: we are taking immediate action, particularly to address the serious issues of harassment and discrimination. ... we are revising our government-wide policy on harassment (p5)</p> <p>2001: a continued focus on recruitment, workplace well-being and retention, and learning and development ... (p6)</p> <p>2001: This means meeting or even exceeding the benchmarks on hiring visible minorities in the Public Service, in the Perinbam report ... (p7)</p> <p>2001: a modern policy on the prevention and resolution of harassment in the workplace ... has been developed and is being prepared for implementation (p8)</p> <p>2002: We expect to finalize and promulgate a statement of principles in the coming months [re: Public Service values] (p5)</p> <p>2002: Legislative change is needed to protect merit (p11) - draft legislation is expected to be ready for tabling in Parliament in the fall (p12)</p> <p>2003: the eight-point plan of action on ethics in government announced by the Prime Minister in May 2002 ... (p4)</p>	<p>2002: Health Canada is working with six other science departments to increase Aboriginal employment in the science and technology fields (p7)</p> <p>2002: Public service-wide policies have been announced on the prevention and resolution of harassment and on disclosure of workplace wrongdoing (p8)</p> <p>2003: PS Employee Survey [PSES] in 2002 ... show that federal public service employees are dedicated to their jobs. Workplace challenges still need to be addressed, but the 2002 survey reveals an energized, committed workforce (p5)</p> <p>2004: Articulated the principles that guide our work as public servants in the Values and Ethics Code for the Public Service (p3)</p> <p>2004: We have also suffered some setbacks that we need to examine and learn from. We were all dismayed by what we have heard about incidents of serious mismanagement and, most disturbingly, breaches of the public trust (p4)</p> <p>2007: The latest PSES achieved an impressive 59% response rate... 90% of respondents were proud of the work done in their unit and 96% were strongly committed to making their organization successful. Over 80% felt theirs was a good place to work (p3)</p> <p>2009: Diversity - By 2008, the representation of women in the federal public service had shown the greatest gains, rising to 54.9% ... All employment equity target groups demonstrated improvements, and three of the target groups (women, Aboriginal peoples and persons with disabilities) exceed workforce availability (p7)</p>

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<p>2008: we will undertake a fourth round of the Public Service Employee Survey of all employees In line with best practice, we will also develop a targeted, on-line annual survey, which will begin by the first quarter of 2010 (p18)</p> <p>2009: Benchmarking - We have agreed on key indicators for central tracking of the state of the public service and of people management ... and will launch an annual on-line survey ... to better track people management including employee engagement starting in 2010 (p9)</p> <p>2009: Achieving a fully representative workforce in the public service remains an important goal. ... to create a public service workforce that is truly representative, at all levels, of the diversity of Canada's population (p17)</p> <p>2014: We are also committed to improving the wellness of federal employees. Our current approach to managing disability and sick leave is out of step with leading practices, as employees must wait 13 weeks to become eligible for long-term disability, or exhaust all of their banked sick leave ... We are changing this, and are committed ... to develop and implement a disability and sick leave management system that is modern, comprehensive, and responsive ... A short-term disability plan will provide employees with access to active case management ... and seamlessly connect sick leave with long-term disability benefits (p20)</p> <p>2015: I expect all departments and agencies to ... address these issues [<i>harassment and discrimination</i>] and to create a workplace where all employees are respected. I am committed to using all the PSES Survey findings to identify other areas where we need to act to build a workplace that supports our Blueprint 2020 vision (p15)</p> <p>2015: three priority areas for action in the coming year ... Two, we will also focus on building a healthy, respectful and supportive work environment. ... the Government announced the creation of a joint task force with the Public Service Alliance of Canada (PSAC) to improve mental health and safety in the workplace (p18)</p> <p>2016: There is no single way of addressing mental health issues ... every organization will be asked to develop its own action plan. These plans will focus on changing the culture through leadership, training and education; building capacity to support employees and managers; and measuring the impact of this work and learning ... (p15)</p> <p>2017: We must act on this input by measuring and continually improving our approaches to mental health and wellness. And with the new annual employee survey we launched this year, we will be able to track progress more frequently on key people management issue ... A once-a-year survey will not be sufficient—it is only the beginning ... That is why I have now set up a contact group on mental health ... (p18)</p> <p>2017: My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago ... We must remain focused on mental health and workplace well-being, including by improving communication and our people management practices (p33)</p>	<p>2010: Monique Collette [ACOA] ... looked at the experience of departments in the areas of diversity, internal communications and official languages. ... she noted dozens of ways in which managers and employees ... are improving their organizations. Concrete steps range from appointing champions to supporting networks and experimenting with web-conferencing (p10)</p> <p>2011: ... the Public Service over the last five years has also increased the diversity of our workforce ... Seven federal organizations were among Canada's top 45 Best Diversity Employers for 2011 (p5)</p> <p>2012: ... the 2011 PSES results which show that the majority (88%) of public servants believe that in their work unit, every individual, regardless of race, colour, gender or disability, is accepted as an equal member of the team. ... the vast majority of public servants feel comfortable using the official language of their choice (p13)</p> <p>2012: The new Values and Ethics Code, in effect April 2012, renews our deep commitment to a professional, non-partisan, highly ethical public sector (p13)</p> <p>2013: A number of departments are proactively managing employee sickness and disability, with a focus on ongoing communication and modified work arrangements to encourage early return to work (p9)</p> <p>2013: Canada placed 1st on E&Y's Worldwide Index of Women as Public Sector Leaders which measures the progress of G20 nations in achieving gender equality at senior levels of the public sector (p10)</p> <p>2014: In March 2014, changes to the Public Service Health Care Plan were approved ... include increases to pensioner cost-sharing and eligibility, and benefit enhancements ... will support the health and wellness of employees and retirees (p22)</p> <p>2015: Respondents [<i>PSES 2014</i>] were more positive in 2014 than in previous years about their immediate supervisor, performance management, workload, and respect and ethics in the workplace ... However, ... there are areas where we face challenges, and where further work will be required (p2)</p> <p>2015: ... the PSES highlighted some areas of concern in this regard [<i>healthy workplaces</i>] ... The number of employees who indicated ... they had experienced harassment and discrimination is unacceptable (p14)</p> <p>2016: Online Second Language Practice Tests - PSC and the Translation Bureau launched 2 new online second language practice tests to help employees self-assess skills (p14)</p> <p>2016: ... the work carried out by the Joint Task Force, established by TBS and PSAC has been an important achievement in addressing mental health challenges ... The Task Force helped lay the foundation for action in its December 2015 report, which made key recommendations. ... all deputy ministers and executives ... were required to take action on this priority area as part of their performance agreements. (p14)</p> <p>2017: This year, we have built on that foundation by developing a Federal Public Service Workplace Mental Health Strategy, released in June 2016 (p18)</p> <p>2017: ... the Bureau [<i>Federal Speakers' Bureau on Mental Health</i>] delivered 94 presentations, directly engaging an estimated 4,700 public servants ... with 94% participants surveyed stating they had gained a better understanding of mental health. 92% had</p>

<p>2017: The Public Service Renewal Results Plan is about delivering outcomes for Canadians and the Government with a healthy and productive workforce. ... We will focus on measuring our progress in creating: ... A Public Service that embodies a healthy workplace (p40)</p> <p>2018: ... we are committed to creating a diverse, inclusive and talented workforce, ... We will maintain our focus on mental health and workplace well-being, and put an end to harassment and discrimination (p1, letter to the PM) ... we must bring together teams that represent diverse identities, cultures, skills, perspectives and experiences (p23)</p> <p>2018: The Public Service has a duty to create and maintain an inclusive, barrier-free work environment. This means that all persons have equal access to opportunities, appointments are based on merit ... (p28)</p> <p>2018: The TB Policy on Harassment Prevention and Resolution articulates our commitment to ensuring that employees have access to an effective, timely and confidential informal or formal harassment resolution process ... This framework would be strengthened under the provisions in Bill C-65 ... these provisions would allow victims of harassment ... to appeal to the Canada Industrial Relations Board (p32)</p> <p>2018: It is critical that we sustain our collective efforts in key areas: ... Remain committed to mental health and workplace well-being ... Address harassment and discrimination (p39)</p>	<p>improved their views of people with mental health issues, and 84% said they were more likely to seek help for a mental health problem after attending (p20)</p> <p>2017: As of March 2017, over 2,500 public servants and more than 90 deputy ministers and heads of agencies have signed the mental health pledge, whereby they commit to creating a healthy, respectful and supportive workplace ... (p20)</p> <p>2017: The 2014 PSES drew attention to some disparities in the levels of comfort felt by employees in expressing themselves in the official language of their choice. ... I formed a working group on language of work to examine these and other related issues ... since 2003, federal organizations have improved their capacity to create bilingual work environments ... The [Translation] Bureau partnered with National Research Council Canada to launch the Language Comprehension Tool, which is currently available to 40 departments. It won a 2016 GTEC Distinction Award (p25)</p> <p>2017: Over the past year, we have implemented strategies to attract employees ... who reflect the diversity of Canada’s population. As of March 31, 2016, all 4 employment equity designated groups continue to exceed their workforce availability for non-executive employees. Nevertheless, I am concerned that there are still gaps for particular specialized classifications ... (p28)</p> <p>2017: ... the President of the Treasury Board has launched the Joint Union-Management Task Force on Diversity and Inclusion in the Public Service (p28)</p> <p>2017: ... TBS worked with the Assembly of First Nations, the PSC, the CSPS, INAC, and participating federal departments to implement the Indigenous Youth Summer Employment Opportunity (IYSEO) ... a program designed to strengthen representation, development, and retention of Indigenous youth ... (p30)</p> <p>2018: I established a Clerk’s Table on Diversity and Inclusion and a Table on Mental Health that provided valuable insight over the past year. I have engaged over 22,000 public servants at events across the country and around the world (p1 – letter to PM)</p> <p>2018: To deliver on the Government’s commitment to ensuring that federally regulated workplaces are free from harassment and sexual violence, officials worked with stakeholders ... This work informed proposed amendments to the Canada Labour Code in Bill C-65. The amendments would update the existing framework for the prevention of harassment and violence in the workplace ... (p13)</p> <p>2018: The representation of women, Indigenous Peoples, persons with disabilities and visible minorities exceeds estimates of their availability in the workforce. In 2017, Global Government Forum ranked Canada first in its Women Leaders Index ... important gaps persist ...persons with disabilities are under-represented in the technical and operational categories, and overall representation in the PS has decreased over the past 10 years. Indigenous Peoples remain under-represented in executive positions, and their promotion rate remains lower than those for the PS overall (p23)</p> <p>2018: ... we launched our first-ever national survey to ask our students to rate their work experiences. ... 92% reported a positive work experience and 83% said they would recommend a career in the Public Service ... (p27)</p> <p>2018: The Workplace Breaking Barriers Challenge invites departments and employees to apply “Inclusive by Design” and “Accessible by Default” principles... The result is an important employee engagement tool that invites conversation between public servants about persistent barriers and potential solutions (p28)</p>
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IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
	<p>2018: This past year, the Task Force <i>[on Mental Health]</i> reached out to stakeholders. It wanted to learn about promising practices for establishing and maintaining a psychological health and safety system ... The resulting guide provides a roadmap to help departments identify and assess workplace hazards ... (p31)</p> <p>2018: We must create respectful workplaces where inappropriate behaviours are never tolerated ... I have launched a Task Team to spearhead a targeted review of our culture, harassment framework and areas where we can better support employees (p33)</p> <p>2019: This has been a landmark year. ... to address mental health and wellness and to tackle harassment and discrimination. ... we have supported legislative reforms, including: Bill C-65, which addressed harassment; the Pay Equity Act; the Accessible Canada Act; and legislation creating the Department for Women and Gender Equality (p1 – letter to PM)</p> <p>2019: <ul style="list-style-type: none"> • "I think my department or agency respects individual differences (e.g., culture, work styles, ideas)". 2018 Public Service Employee Survey - results 78% (p28) • "My department does a good job of raising awareness of mental health in the workplace". 2018 Public Service Employee Survey - results 71% (p29) • "In the work unit, every individual is accepted as an equal member of the team" 2018 Public Service Employee Survey - results 72% (p31) </p> <p>2019: Safe Workspaces ... used employee feedback to identify actions to better support employees. Early action is under way, including: <ul style="list-style-type: none"> • departments and agencies have begun to offer ombuds services to employees; • harassment is an agenda item at every meeting between management and unions; • many engagement and training sessions have taken place ... (p29) </p> <p>2019: My recently released 2016-19 Mental Health Progress Report ... takes stock of our collective efforts on mental health in the workplace to date (p29)</p> <p>2019: Public servants are benefiting from an enhanced series of CSPS courses on harassment prevention. As well, TBS will launch the Centre for Wellness, Inclusion and Diversity in the Public Service in spring 2019 (p30)</p> <p>2019: Through the DM Task Force on Reconciliation, tools have been developed ... <ul style="list-style-type: none"> • an Action Plan Placemat that outlines barriers and recommended solutions and identifies progress on improving recruitment, retention and promotion; • a DM Dashboard to outline initiatives and tangible workplace practices ... • a departmental Progress Scorecard to identify existing gaps and provide updates ... towards improved and sustained recruitment, retention the CSPS has established an Advisory Circle ... defining the focus of the curriculum and the overall direction of the Indigenous Learning Series (p31) </p> <p>2019: ... the Translation Bureau's Language Comprehension Tool helps maintain a vibrant culture of bilingualism and enable public servants ... <i>[it]</i> has been integrated into GCconnex ... to help encourage the use of both official languages ... (p34)</p>

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IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
CLERKS REPORTS - ANNEXES ON RENEWAL PROGRESS AND RESULTS:	
<p><u>2011:</u> <i>Public Service Values - Values matter. They underpin public service renewal. In serving Canadians, our institution will continue to be guided by the values of public service.</i></p> <ul style="list-style-type: none"> • <i>Deputy heads will draw on and seek to apply best practices from the Workplace and Workforce led by Monique Collette (bilingualism, diversity, communications).</i> • <i>The CHRO will finalize the Values and Ethics Code for the Public Sector by fall 2010 and deputy heads will develop and implement their departmental codes by March 31, 2011.</i> • <i>Deputy heads will encourage dialogue among employees on values / ethics.</i> 	<p>RENEWING THE WORKPLACE – PUBLIC SERVICE VALUES</p> <p><i>Reports of deputy heads:</i></p> <ul style="list-style-type: none"> • <i>The Public Sector Code is now planned for tabling in spring 2011.</i> • <i>31 out of 36 have customized their departmental codes in anticipation of the Public Sector Code. All were developed in large part based on employee consultations.</i> • <i>27 out of 36 are working to embed the Code into the culture of the organization on a sustained basis. This includes promoting ongoing scenario-based dialogue, developing new course modules, and incorporating values and ethics into existing training and orientation programs. Many have also identified senior-level values and ethics champions and established specific divisions with a primary focus on values and ethics.</i> • <i>All departments indicated commitments and action to address employment equity and official language considerations</i>

1.4 HUMAN RESOURCES – MODERNIZATION AND MANAGEMENT (Includes: HR Modernization, HR roles and responsibilities, HR processes and systems, Classification and staffing/recruitment, Pay administration)	
<p>2001: Laws, rules and structures for managing people in the Public Service are neither flexible nor responsive enough to allow us to compete for talent in a knowledge economy (p3)</p> <p>2001: It means implementing classification reform. ... developing creative solutions which allow for the transfer of essential corporate memory and knowledge before a large percentage of our work force retires (p6)</p> <p>2001: modernize the management of human resources ... should be based on the following guiding principles:</p> <ul style="list-style-type: none"> - protection of merit, non-partisanship, representativeness and competence. - management be responsible for HR management. - authority for HR management should be pushed as far down in the organization as possible. - managers should be held accountable ... (p14) <p>2002: To meet the goal ... “that we continue to have the talent necessary for a public service that is committed to excellence,” legislative reform is required (p9)</p> <p>2003: our corporate priorities of increasing diversity, building our learning capacity, reinforcing our commitment to official languages, and continuing to strengthen the practice of modern comptrollership (p4)</p> <p>2004: ... to maintain last year’s priorities: official languages, diversity, learning, and modern comptrollership. I have added human resource management as a priority covering the implementation of the Public Service Modernization Act ... (p7)</p> <p>2005: The new Canada School of Public Service will be an important institution ... and helps ensure we have the talent we need to deliver the results Canadians want (p5)</p> <p>2005: ... the success of our efforts to modernize our HR management regime will be measured by whether these reforms helped us to renew ourselves and recruit and develop the people we need, ... helped create a climate in which excellence and innovation thrive, and whether we are representative of the diverse country we serve (p6)</p>	<p>2002: The Public Service Commission is delegating recruiting authority to those departments willing to take on additional responsibility and accountability (p6)</p> <p>2002: Average staffing action takes 5 months. Delays in staffing result in increased workload for other staff, unmet commitments, and reduced service to the public (p10)</p> <p>2003: The completion of the work of the Task Force on Modernizing Human Resource Management ... subsequent recommended reforms contained in the Public Service Modernization Act will have profound and positive effects on recruitment, labour relations, workplace well-being, and learning (p5)</p> <p>2004: Public Service Modernization Act gives us new tools to manage HR better ... (p3)</p> <p>2006: With the coming into force of the new Public Service Employment Act on December 31, 2005, the Public Service Modernization Act (PSMA) is now fully implemented. ... The PSMA assigns greater flexibility ... in managing people ... It supports more collaborative labour-management relations, ... while generating trust between managers and employees (p2)</p> <p>2008: ... at least 4,000 recent post-secondary graduates have been recruited or given offers for appointment [goal was 3,000]</p> <ul style="list-style-type: none"> • The PSC exceeded the goal of reducing wait times for access to second language oral interaction testing by 50% • Generic job descriptions have been completed for the CS group and work well advanced in the PE group • The OCG has established pools from which 7 DG or Exec. Director positions were filled; ... 54 FI-03/04 hired; and 191 entry-level financial officers hired (p12-13) <p>2009: PM announced important changes to improve the management of HR ... the Canada Public Service Agency (CPSA) and the elements of TBS that deal with compensation and HR matters were consolidated into a new office headed by a new Chief Human Resources Officer (CHRO) ... These organizational changes reflect the fundamental responsibility of deputy ministers for people management ... (p4)</p>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2007: Enabling infrastructure – Actions <i>[selected]</i>.</p> <ul style="list-style-type: none"> • establish [and implement] a plan for streamlining HR business processes and systems across government • introduce new tools to support more effective and efficient recruitment in departments (p25) <p>2008: Recruitment, we will set a higher recruitment goal for this year (p16);</p> <p>2008: We will broaden the use of generic job descriptions to reduce the burden of classification, spread the use of “fast tracking” for more routine staffing ..., and deploy the new technology for the electronic transfer of employee records (p17)</p> <p>2008: We will also start to tackle our outdated back-office processes, including modernizing our pay system to ensure that all employees get paid on time (p18)</p> <p>2008: We will act to simplify the structure and clarify the accountabilities as recommended by the Advisory Committee (there should be no ambiguity about Deputy Ministers having the primary responsibility and accountability for managing their employees. ... central human resource agencies should only undertake those roles that must be carried out corporately, and the overlaps and unclear accountabilities among these agencies need to be sorted out) (pp19-20)</p> <p>2009: Recruitment - the first <i>[commitment]</i> was that deputy ministers and deputy heads would make offers to at least 4,000 post-secondary graduates for indeterminate positions; The second commitment was to strengthen the public service “brand.” One proposed initiative in this regard was to develop a website friendly to job-seekers, ... (p6)</p> <p>2009: deputies and deputy heads were asked to establish departmental service standards for key human resources services, including staffing, classification and pay ... (p9)</p> <p>2009: We need to urgently modernize our pay systems, which are decades out of date, but such investments are not without cost or without risk given the current state of the systems (p16)</p> <p>2010: Recruitment must be grounded in integrated planning. The goal is to match recruits strategically to identified business needs (p12)</p> <p>2014: This past year, we finalized the reform of public sector pensions. These reforms will see ... contribution rates gradually increase, bringing the public service pension plan’s employer/employee cost-sharing ratio to 50:50 by 2017-18 (p21)</p> <p>2014: By 2014–2015, federal departments and agencies will operate using common human resources business processes ... ensuring we are well positioned to improve services for employees ... (p22)</p> <p>2015: three priority areas for action in the coming year ... One, we need to reinvigorate our recruitment efforts (p18)</p> <p>2017: My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago ... We must continue to attract and retain top talent and be a diverse and inclusive workforce (p33)</p>	<p>2009: This goal <i>[commitment]</i> was exceeded; by March 2009, offers had been made to more than 4,200 graduates (p6)</p> <p>2009: We will increase our focus on functional communities ... Several communities have also been working at simplifying human resources management processes ... (p10)</p> <ul style="list-style-type: none"> • The Human Resources Council has collaborated ... in developing “PE” Group Generic Tools ... • The IM/IT Community has developed IT generic organizational models, pre-classified work descriptions, and job competency profiles ... • The Science and Technology Community is developing and implementing a collaborative intranet site ... <p>2009: Current human resources business processes and systems do not, for example:</p> <ul style="list-style-type: none"> • facilitate collective staffing and/or the storing of information regarding pools of candidates, which could be considered in filling future needs • make assessment tools and statements of merit criteria readily available ... • automatically include new employee information into HR files ... • allow for HR files to be transferred quickly when an employee starts a new job ... <p>This results in: constraints in the recruitment and mobility of public servants; duplication of efforts and delays; a lack of integrated planning (Report of the PM’s Advisory Committee on the Public Service, p9)</p> <p>2010: real progress has been made: ... with major initiatives such as the Transformation of Pay Administration, which aims to modernize the public service pay system and ultimately to transform the pay advisory function (p4)</p> <p>2010: In 2009, we saw the central HR function of the Canada Public Service Agency consolidated within TBS under ... a new Chief Human Resources Officer (p6)</p> <p>2011: The results ... over the past several years include ...</p> <ul style="list-style-type: none"> • Deputies and their management teams have greatly increased their focus on people management • Recruitment is much more systematic ... • We have begun to modernize our 40-year-old pay and pension systems. • Initiatives such as the Common HR Business Process have made personnel operations more streamlined and more efficient (p5) <p>2012: The ... Report of the Review of the Public Service Modernization Act revealed that despite ... a range of new staffing flexibilities, we have been reluctant to let go of old approaches, leaving some of the legislation’s potential benefits unrealized (p10)</p> <p>2012: Our technology infrastructure is the backbone of our operations and services. We have made progress in enterprise-wide management of such things as pay and pension services, ... (p11)</p> <p>2013: Reducing workforce impacts - ... succeeded in finding other opportunities for employees affected by Budget 2012 ... more than 3,100 affected indeterminate employees were placed in vacant positions ... more than 1,100 alternations have been completed, enabling employees affected by reduction initiatives to exchange positions with unaffected employees planning to leave the Public Service (p4)</p>

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<p>2018: ... in 2017, I asked my deputy minister colleagues to sign a pledge ... We committed to: support student onboarding; undertake a timely hiring process; welcome students through orientation sessions; provide meaningful work that allows students to learn and contribute ... (p27)</p> <p>2018: ... in 2018, we will continue to work hard to make progress on the pay system and to ensure that our employees are paid accurately and on time. It is my highest priority (p1 – letter to PM)</p> <p>2018: It is critical that we sustain our collective efforts in key areas: ... Attract and retain a diverse and inclusive workforce ... (p39)</p>	<p>2013: We continue to advance major enterprise-wide management ventures such as the modernization of the Public Service pay and pension systems (p7)</p> <p>2014: We are also continuing to make progress to modernize the employee pay system ... Planning for this transition was complex, but an innovative and effective solution was found, and we are seamlessly transitioning to a new system with no financial impact on employees (p23)</p> <p>2016: The PSC has launched the New Direction in Staffing, moving from 12 policies to one, while preserving the principles of merit and non-partisanship. This means departments have more opportunities to use innovative, efficient and effective staffing tools and customized processes (p16)</p> <p>2017: PSPC also concluded the ... Transformation of Pension Administration Initiative. ... a complex, 10-year IT-enabled project, which was completed on time and under budget. PSPC now provides pension services to more than 850,000 members of Canada’s military, RCMP, and Public Service (p22)</p> <p>2017: Last year, there was perhaps no greater test than the implementation of the new Phoenix pay system. Modernization of the pay system was long overdue ... However, the urgency of the task led to an unsuccessful launch of a new system. Planning and implementation of this project fell short and left many employees with missing or inaccurate pay (p27)</p> <p>2017: Over the past year, we have implemented strategies to attract employees who have the talent and skills to meet the needs of the Public Service of the future ... (p28)</p> <p>2017: On April 1, 2016, the PSC introduced the New Direction in Staffing, the most ambitious change in the staffing system since the 2005 PSEA. It allows organizations to customize their staffing system to meet their individual needs and hiring managers to apply their discretion in developing and executing resourcing strategies (p29)</p> <p>2018: In spite of the significant efforts of public servants, our pay system challenges persist. I sincerely wish that I could state with certainty when these issues will be resolved, but there are no quick fixes. We are striving to address this situation in a number of ways ... (p4)</p> <p>2018: Due to delays in obtaining data from the pay system, Employment Equity data and data on promotions and lateral and downward transfers are currently not available for 2016-17 (p20)</p> <p>2019: ... third year we have written about the Phoenix pay system ... The message is clear: problems with our system continue to be widespread and persistent. Though we continue to reduce our backlog of cases, we are still a long way from resolving our pay issues. Progress, however, has been made. ... In a 12-month period, the backlog of cases in the queue was reduced by over 20% ... We have increased the number of employees in pay operations to relieve some pressure and have introduced pay pods ... to help streamline the process for employees in resolving pay issues (p27)</p>

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CLERKS REPORTS - ANNEXES ON RENEWAL PROGRESS AND RESULTS:	
<p><u>2008:</u> <i>By March 2008, deputy ministers will increase the number of post-secondary graduates appointed directly to indeterminate positions to at least 3,000—up from about 2,100 last year—and will ensure that the new entrants have orientation and development plans.</i></p> <p><i>By March 2008, the Canada Public Service Agency (CPSA) will work with functional communities, departments and agencies to implement recruitment plans to address the needs of the following functional communities:</i></p> <ul style="list-style-type: none"> • <i>Human Resources (recruitment of 75 PEs [Human Resources Professionals] and 100 compensation specialists); and</i> • <i>Information Services (recruitment of 100 ISs).</i> <p><i>The Office of the Comptroller General has established prequalified pools from which departments and agencies will appoint:</i></p> <ul style="list-style-type: none"> • <i>7 Directors General or Executive Directors (EX-03);</i> • <i>130 mid-level financial officers; and</i> • <i>more than 200 entry-level candidates.</i> <p><i>In order to support longer term succession planning, DMs will ensure that the requirements for entry-level executive jobs take full account of potential contribution to the Public Service ... in order to achieve a demographic profile (e.g. age, gender, employment equity groups) appropriate to future needs.</i></p>	<p>RECRUITMENT</p> <p><i>As of March, 2008:</i></p> <ul style="list-style-type: none"> • <i>At least 4,000 post-secondary graduates have been appointed or offered appointments directly to indeterminate positions. All new entrants attend the Orientation to the Public Service program offered by the CSPS in addition to department-specific orientation and development programs.</i> <p><i>As of March 2008:</i></p> <ul style="list-style-type: none"> • <i>75 PEs (Human Resources Professionals) have been hired as a result of a PE Recruitment Initiative, and 109 compensation specialists have been hired; and</i> • <i>85 IS-04 and IS-05 positions have been filled.</i> <p><i>As of March 2008:</i></p> <ul style="list-style-type: none"> • <i>7 Director General/ Executive Director positions have been filled;</i> • <i>less than half, 54 FI-03 and FI-04 candidates, have been hired; and</i> • <i>191 entry-level financial officers have been hired through the Financial Officer/Internal Auditor Recruitment and Development Program.</i> • <i>Departments/agencies are at various stages of succession planning, from conducting preliminary analyses of their workforce to identifying potential successors</i> • <i>Baseline executive and feeder group demographics have been developed against which progress can be measured.</i>
<p><u>2009:</u> <i>By the end of March 2009, deputy heads will make offers to at least 4,000 post-secondary graduates for indeterminate positions.</i></p> <ul style="list-style-type: none"> • <i>To accelerate closing the gap in representation of visible minority Canadians in the public service, overall recruitment in this area will exceed workforce availability.</i> • <i>New recruits will have an orientation and learning plan to facilitate their effectiveness in the public service, including consideration of measures to strengthen second official language skills early in their career.</i> <p><i>We will strengthen our public service brand, capturing in a compelling way who we are and what we do. Specifically:</i></p> <ul style="list-style-type: none"> • <i>... the Canada Public Service Agency (CPSA), in cooperation with the PSC and departments, will pilot a new public service-wide approach to career fairs at no fewer than four universities ... Managers will be equipped to make conditional job offers on the spot for suitable candidates.</i> <p><i>By March 2009, the CPSA and the PSC ... will develop a plan for a job-seeker friendly website. By the end of 2009 interested Canadians will be able to apply for any job open to external candidates through this website.</i></p>	<ul style="list-style-type: none"> • <i>Deputy heads report that more than 4,200 post-secondary graduates have been appointed or offered appointments directly to indeterminate positions.</i> • <i>Deputy heads report that more than 550 of these 4,200 graduates have self-identified as visible minority Canadians.</i> • <i>All new entrants attend orientation offered by the CSPS. In addition 28/36 departments/agencies have provided orientation specific to their organization. 32/36 have a more rigorous approach in place to ensure all employees have learning plans.</i> • <i>Four pilot career fairs took place in Halifax, Victoria, Waterloo and Sherbrooke. ...</i> <ul style="list-style-type: none"> • <i>over 35 federal organizations participated in the initiative;</i> • <i>more than 5,000 students and alumni attended the pilot fairs and events; and</i> • <i>more than 175 conditional job offers were made</i> • <i>A plan has been developed. In the first phase, a new website design has been launched on the existing site. It is available at: http://jobsemplois.gc.ca/.</i>
<p><u>2010:</u></p> <ol style="list-style-type: none"> <i>1. Offers of indeterminate employment will be made across the Public Service to at least 4,000 post-secondary graduates, with overall levels of visible minority recruitment exceeding workforce availability.</i> <i>2. Building on the career fair pilots held in 2008-09, eight Regional Federal Councils, in partnership with central HR organizations and Deputy Minister University Champions, will deliver government-wide career fairs.</i> 	<ul style="list-style-type: none"> • <i>Close to 4,000 offers will be made by March 31, 2010. As of February 2010, organizations reported hiring 2,536 post-secondary graduates into indeterminate positions. Visible minority groups represent 23% of these appointments.</i> • <i>Regional Federal Councils, HR organizations and DM University Champions delivered six government-wide career fairs in fall 2009 ... and five in winter 2010 ...</i>

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<p>3. <i>The PSC, working in collaboration with the CHRO and Deputy heads, will make its job seeker friendly website fully operational for all interested Canadians to apply to any job open to external candidates.</i></p> <p>4. <i>Deputy Heads, in collaboration with the PSC, will take full advantage of additional funding under the 2009 Economic Action Plan to hire more students.</i></p>	<ul style="list-style-type: none"> • <i>Enhancements have been made to the jobs.gc.ca website to be more job seeker-friendly. The site now incorporates a modern look and feel and improved job search tools. It also includes a Career Explorer with career-related information such as featured jobs and career and development programs.</i> • <i>29 of 33 Deputy Heads indicated that they received additional funding for student hiring under the 2009 Economic Action Plan and hired additional Federal Student Work Experience Program and co-op students as a result.</i>
<p><u>2011:</u> <i>Targeted and coordinated recruitment initiatives aligned to business needs should continue. This must take advantage of efficiencies, with a view to developing a diverse and representative Public Service workforce.</i></p>	<p>Reports of deputy heads:</p> <ul style="list-style-type: none"> • <i>24 out of 36 recruited over 2,500 indeterminate post-secondary candidates.</i> • <i>24 out of 36 targeted specific communities and/or mid-career professionals to fill existing or expected workforce gaps.</i> • <i>17 of 36 actively participated in job fairs and/or involved as a university champion.</i>
<p>Refer to the Annex on Renewal Progress and Results in the next section (2.) whose content also pertains in part to HR Modernization and Management</p>	<p>Re: "Enabling Infrastructure / Renewing the Workplace" in Annex Section 2.</p>

2. INTERNAL SERVICES, PROCESSES AND RULE REDUCTION (Includes: Red-tape reduction, Tools, Internal services consolidation, Efficiency and productivity)	
<p>2000: ... central agencies must provide managers with the tools they need to work efficiently and effectively and ensure the integrity of programs and services (p6)</p> <p>2000: We continue to modernize our work processes and management practices. We are placing a priority on integrating and streamlining our planning and reporting systems, so that we can focus on outcomes (p6)</p> <p>2001: Laws, rules and structures for managing people in the PS are neither flexible nor responsive enough to allow us to compete for talent in a knowledge economy (p3)</p> <p>2005: We should be applying the same approaches [<i>re Service Canada</i>] to our internal services. And so we will introduce shared services for information technology, human resource management and financial management to improve efficiency and quality, and reduce costs (p3)</p> <p>2005: The Budget formally launched the reform of procurement and real property management. ... it is critical that we perform them [<i>functions</i>] with integrity and a commitment to value for money. We need to use technology more effectively, working with all suppliers ... to consolidate purchasing so that we can leverage our buying power to get the best possible prices. It means managing our real property better through accommodation standards and better inventory ... taking better care of our capital assets, realizing savings through good planning and ongoing maintenance (p3)</p> <p>2005: But we cannot build systems based on distrust. We cannot go backwards, building layers of hierarchy and rules governing each transaction (p6)</p> <p>2009: [<i>reducing administrative burden</i>] This remains a priority going forward (p9)</p> <p>2010: To renew the workplace, we must put greater emphasis on collaboration, technology, innovation, back office systems and knowledge management (p13)</p> <p>2010: ... it is difficult to innovate when hampered by unnecessary rules. That is why unravelling the web of rules at both the public service and departmental levels must</p>	<p>2008: ... as one element of scaling back the web of rules, we are implementing the recommendations of the 2007 Blue Ribbon Panel on Grant and Contribution Programs, reducing the administrative burden for both recipients and government (p18)</p> <p>2009: TBS has taken preliminary steps to reduce the “web of rules” ... has reduced central oversight on high-performing departments and has also reduced the administrative and reporting burden on its clients by at least 10 percent (p9).</p> <p>2010: ... real progress has been made: ... in tackling the web of rules by cutting red tape and reducing unnecessary reporting requirements, both within and outside government (p4)</p> <p>2012: ... many public servants are frustrated by a lack of access to the Web 2.0 and social media tools that have such potential for helping us transform the way we work (p10)</p> <p>2012: Public servants need administrative processes and systems that enable rather than hinder their work, while still supporting accountability. Unfortunately, neither our external nor internal services are hitting this mark (p11)</p> <p>2013: We continue to advance major enterprise-wide management ventures such as the modernization of the Public Service pay and pension systems. We have also successfully created Shared Services Canada, which ... will see the consolidation of 63 different email systems into a single secure system (p7)</p> <p>2013: Public Works and Government Services Canada is leading a Workplace 2.0 initiative to create a modern Public Service workplace that attracts, retains and enables public servants to work smarter, greener and healthier ... more than 100 installation projects have been undertaken and nearly 200 more are planned for the near future (p8)</p> <p>2013 ... tangible improvements are being made in how we deliver federal grants and contributions ... [<i>departments</i>] are working together to standardize and harmonize the way they process and administer grants and contributions (p8)</p>

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<p>continue. ... There is an ongoing need to improve our ... financial and human resources systems as well as related business processes (p14)</p> <p>2011: Launched in Budget 2010, the Administrative Services Review is examining ways to simplify, standardize and consolidate service delivery and administrative processes for our internal services (e.g. IT and real property) and services to Canadians (p10)</p> <p>2012: SSC, launched in August 2011, is a new common-service organization that will consolidate the resources and personnel for more than 60 internal email systems, 300 data centres, and 3,000 electronic networks. This whole-of-government approach will enable us to modernize our systems, as well as improve efficiency and help lower the cost of our services (p6)</p> <p>2012: Over the next few years ... By working collaboratively across our organizations and beyond, streamlining our processes, and taking advantage of new technologies, we will be able to provide ...better services at a lower cost (p7)</p> <p>2012: By taking advantage of our size, we will deliver streamlined, cost effective and more secure email, data and network services ... This whole-of-government approach will free up resources for higher value work. We need to adopt a more standardized approach for other key common services, such as human resources and finance (p11)</p> <p>2012: Boosting productivity across our organizations will also be key to achieving excellence in our core functions. Rigorous performance management is an essential element ... (p12)</p> <p>2013: ... we will standardize and consolidate the procurement of software for federal employees' computers and laptops. This will enable us to achieve economies of scale and provide better service across our institution. SSC will also work to consolidate our more than 300 data centres to fewer than twenty (p12)</p> <p>2014: SSC ... is on track to consolidate 63 different departmental email systems into a single, outsourced, enterprise-wide system by March 2015, a move that will improve service and realize over \$50 million of annual savings ... beginning in 2015–2016. SSC is also moving forward to consolidate and modernize data centres, from over 485 to fewer than 10 ... (p23)</p> <p>2014: BP 2020 - ... this spring, I will be articulating the first round of government-wide priorities for the ongoing modernization of the PS in Destination 2020 (p25) ... focus on the following crowdsourced priorities [<i>4 themes-principles</i>]</p> <p>2015: ... over time, our reforms will mean simpler and fewer processes, more efficient information technology infrastructure, and a more coordinated and effective approach to people management and learning (p3)</p> <p>2015: ... We need to remove any step of our processes and operations that is not necessary for achieving quality outcomes ... By approaching internal rules from an end-user perspective, we can become more nimble and agile. (p10)</p> <p>2015: Shared Services Canada is enabling a mobile and collaborative workforce by providing Wi-Fi access. Over 30,000 public servants will have access by the end of summer 2015, and by the end of 2016-2017, 40 percent of all public servants will have access to Wi-Fi in common areas (p12)</p>	<p>2014: We continue to improve performance and productivity ... in an effort to reduce costs and support the Government's priority to return to balanced budgets. Today, the number of federal public servants represents a lower proportion of the Canadian population than a decade ago (p21)</p> <p>2014: SSC is now responsible for the procurement of end-user devices and associated software ... By consolidating how we procure items ... and moving towards enterprise-wide licenses, the GoC will leverage economies of scale ... (p23)</p> <p>2014: Departments are also continuing to reduce administrative costs and improve how they do business. In keeping with EAP 2013 [<i>Economic Action Plan</i>], public servants continued to find alternatives to travel, reducing departmental travel expenditures ... (p23)</p> <p>2014: Employees ... are equally concerned about internal red tape as Canadians were about external red tape ... are looking for the reduction of unnecessary burden in internal processes and provided many ideas on to how to streamline business processes ... (p26)</p> <p>2015: With the roll-out of the Government Electronic Directory Services (GEDS) 2.0 and updates to GCpedia and GCconnex, we are making internal collaboration easier by connecting public servants ... (p12)</p> <p>2016: Red Tape Tiger Team - In 2015, over 170 projects across 45 departments were underway to streamline process and cut red tape (p9)</p> <p>2016: GEDS 2.0 - 11,728 profiles on this government-wide employee directory, managed by SSC, have been updated with photos, work preferences, etc (p14)</p> <p>2016: Video-Conferencing - Employees in 43 partner organizations have access to SSC's videoconferencing (p15); Wi-Fi Access – SSC is providing Wi-Fi services to 23 departments ... (p16); GCPedia and GCConnex - These TBS sites receive 8000 – 10,000 visitors per day (p18)</p> <p>2017: PSPC and TBS ... As part of Procurement Modernization, are collaborating to simplify the process for low dollar value purchases. Beginning in May 2017, several departments will test the effectiveness of a new approach that seeks to reduce the time spent on low dollar value contracts (p16)</p> <p>2017: Many also expressed their frustration over issues related to the pay system, workplace tools and technologies, and work spaces. These are all areas in which we know we need to do better, and we will (p17)</p> <p>2017: The BP2020 Internal Red Tape Reduction Tiger Team at TBS consulted over 2,000 public servants in person and online from across departments ... Employees reported difficulty getting clear directions, siloed information, and poor client service, as well as process overload and cumbersome technology. ... internal red tape is a significant issue ... in all departments across all regions. The Tiger Team made a number of recommendations ... (p21)</p> <p>2017: TBS continues to take steps to address the Tiger Team's key recommendations and findings ... it has launched a new Policy Suite website that will help users find the information they need. ... TBS has developed and is rolling out service measures to be introduced in the annual Management Accountability Framework process (p21)</p>

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IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2015: In May 2014, Destination 2020 was released. In addition to summarizing the historic engagement process, it announced 10 enterprise-wide initiatives ... important to achieve our Blueprint 2020 vision [<i>refer to Annex B, which presents 9 initiatives</i>]:</p> <ul style="list-style-type: none"> - Red Tape Tiger Team - The Hub (central policy innovation resource/focal point, connector, amplifier) - enhanced directory of federal public servant [<i>GEDS 2.0</i>] - Desktop video conferencing - Wi-Fi Access - Enterprise-wide commitment to learning - GCPedia and GCConnex - On-line second language practice tests - Public Service of Canada Landing Page <p>2016: ... we must equip ourselves with modern tools, processes and organizational structures while stripping away unproductive and unnecessary bureaucracy (p7)</p> <p>2016: Rigorously streamlining workflows and processes is critical. We must review what work is done and how it is done. Promising approaches, using Lean, are being implemented across departments (p9)</p> <p>2017: We need to ensure that our workforce is well equipped to be agile and responsive, working with good tools and efficient processes, and supported by a modern approach to how we structure and run our organizations (p11)</p> <p>2017: We also need lighter processes and simpler structures in order to be more agile and nimble ... We must make sure that the rules, structures, and policies in place are enabling and empowering. We need to get rid of process for the sake of process ... If certain things are not working or getting results, we need to have the courage to change course ... (p21)</p> <p>2017: My aspirations and priorities ... for the year ahead are the ones I set out a year ago ... We must equip ourselves with modern tools, processes and organizational structures while stripping away unproductive and unnecessary bureaucracy (p33)</p> <p>2018: ... we are committed to creating a diverse, inclusive and talented workforce, equipped with the right tools, processes and organizational structures (p1)</p> <p>2018: We have to support them and give them the tools, the workspaces and the decision-making structures to do their jobs ... some success at accomplishing this on a project-by-project basis. We need to have the systems and culture in place to make this easy to scale up across the Public Service (p33)</p> <p>2018: It is critical that we sustain our collective efforts in key areas: ... Equip ourselves with modern tools, processes and organizational structures ... (p39)</p> <p>2019: ... beyond the open-office concept of Workplace 2.0, the GCworkplace vision is enabled by the Activity-Based Workplace design concept. It features a variety of work points that are designed with productivity in mind and supports a range of activities we do each day ... whether in an office building or a laboratory or on the front lines of service to Canadians (p35)</p>	<p>2017: SSC was created in 2011 to consolidate and modernize federal IT infrastructure and make it more secure. The scale, scope and complexity of the infrastructure transformation are unprecedented and involve extensive co-ordination ... With hindsight, the technical challenges, as well as the requirements for resources and expertise ... were underestimated ... As a result, progress has been slower than expected, and SSC has had ... to maintain some of the old infrastructure past ideal timelines. Despite these challenges, steady progress is being made ... SSC has closed 92 data centres ... has installed over 109,000 desktop phones with Voice over Internet Protocol ... has made enterprise video-conferencing available to 43 departments. SSC has also implemented a service-first approach and has seen an increase in service satisfaction ratings ... (p24)</p> <p>2017: This year, the suite of online ... collaboration tools, known simply as “GCTools”, was revamped and significantly improved ... The number of users of GCConnex and GCPedia has grown steadily since their launch in 2008 ... and the number of GCConnex users passed the 100,000 mark in late 2016. This year saw the creation of GCcollab, a collaboration tool outside the federal firewall (p26)</p> <p>2018: I have also heard from public servants that we have fallen short on what we set out to do [<i>re: Workplace 2.0</i>]. Too much valuable space was dedicated to storing records, and not enough to collaborative work. It did not address the needs of the many public servants who are on the road ... The majority of our employees still lack the combination of portable computers, Wi-Fi and videoconferencing capability ... Our approach to workplace design has not worked for everyone (p36)</p> <p>2019: The Statistics Canada Human Resources (HR) Business Intelligence team developed a number of interactive tools that empower managers to use HR data to make evidence-based decisions. One tool is a multi-faceted dashboard that allows users to view and interact with results from the 2017 Public Service Employee Survey (p23)</p> <p>2019: TBS and PSPC have launched an agile procurement process for the purchase of digital goods and services ... This agile procurement process ... features “challenge-based procurement,” where we present companies with a problem and invite them to solve it. This is a new and promising approach ... (p23)</p> <p>2019: SSC, DCC and DND opened the government’s largest state-of-the-art data centre ... Enterprise Data Centre Borden:</p> <ul style="list-style-type: none"> • supports ... online program and service delivery to Canadians; • provides greater physical and cyber security ...; and • contributes to a long-term IT solution for Canadians’ growing use of digital services. ... <p>Of our over 700 data centres ... close to 90% are simple rooms in office buildings. SSC has closed 180 legacy data centres to date and continues to migrate applications and data to newer, more secure environments (p33)</p>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
CLERKS REPORTS - ANNEXES ON RENEWAL PROGRESS AND RESULTS:	
	ENABLING INFRASTRUCTURE / RENEWING THE WORKPLACE (Also pertains to previous Section 1.4 - HR Modernization and Management)
<p><u>2008:</u></p> <ul style="list-style-type: none"> • In 2007-08, the PSC will reduce the time it takes to access second language oral interaction testing by 50%. • In 2007-08, the Canada Public Service Agency (CPSA) will produce a web-based tool to facilitate the secure electronic transfer of an employee's HR record from one department to another, thereby reducing processing time from 6 months to 6 minutes. • In 2007-08, the CPSA will enable the adoption of the "Fast Track" staffing model developed by Agriculture and Agri-Food Canada in at least two other departments as a first step toward system-wide application. • In 2007-08, the CPSA will deliver preclassified generic work descriptions, reducing the number of work descriptions for: <ul style="list-style-type: none"> ✓ Computer Science (CS) group from 1,500 to 37 in medium and large IT organizations; and ✓ HR (PE) functional community from 2,000 to 20, covering 80% of the PE pop. • In 2007-08, the CPSA in collaboration with the TBS and the PSC will review reporting requirements, including the alignment of the Management Accountability Framework (MAF), the People Component of the MAF and the Staffing MAF, to reduce requirements to the greatest extent possible. 	<ul style="list-style-type: none"> • The wait time for second language oral interaction tests has been reduced by more than 50%. As of March 2008, wait times are: 1 to 2 days for urgent service requests, and 1 to 2 weeks for non-urgent service requests. • The CPSA produced and tested a Government of Canada web-based tool, the Employee Passport, which can securely transfer employee records rapidly and with minimal errors. • Environment Canada, the Department of Fisheries and Oceans, and the Canadian Food Inspection Agency have adopted the "Fast Track" staffing model. <p>As of March 2008:</p> <ul style="list-style-type: none"> • computer science generic work descriptions have been reduced from 1,500 to 37. Fifteen departments (representing over 50% of the computer science population) are implementing the new description and organizational structures; and • human resources generic work descriptions have been reduced from 2,000 to 19. Eleven departments (representing over half of the HR professionals population) are implementing these work descriptions. • In 2008-09, important work remains to align and rationalize the overall reporting requirements of Central Agencies for human resources management.
<p><u>2009:</u></p> <ul style="list-style-type: none"> • Effectiveness - The TBS will begin to reduce the "web of rules" constraining the effective delivery of services and advice, as follows: <ul style="list-style-type: none"> ✓ TBS will put into effect by October 2008 a new Policy on Transfer Payments that reduces central oversight on high-performing departments in the delivery of grants and contributions; and ✓ TBS will work with the six departments that deliver over 50 percent of grants and contributions spending to reduce by March 2009 their clients' administrative and reporting burden by at least 10 percent. • By March 2009, TBS will rescind an additional 30 Treasury Board policies (for a total of 86 out of 136 policies to be rescinded). • Benchmarking - By November 2008, PCO, in consultation with the DM Committee on PS Renewal, will set out the key indicators to be used for central tracking of the state of the public service and people management within it. • CPSA, through Statistics Canada, will administer the fourth Public Service Employee Survey to all employees, with results reported by March 2009. • In addition, by March 2009 the CPSA, working with Statistics Canada, will finalize development of an on-line survey to measure employee engagement that will be administered annually starting in 2009-10. • By March 2009, ... deputy heads will establish departmental service standards for key human resources services, including staffing, classification and employee pay, and communicate these to their employees. 	<ul style="list-style-type: none"> • The new Policy on Transfer Payments is in effect and will reduce the number of submissions by departments to TB ministers by 10 percent (80 fewer) per year. • The six "Vanguard" departments/agencies (Human Resources and Skills Development, Indian and Northern Affairs, Health Canada, Canadian Heritage, Canada Economic Development for Quebec Regions, and the Canadian International Development Agency) have taken specific actions to reduce the administrative and reporting burden by 10 percent for clients. • TBS is "on track" to rescind 30 policies. • New performance and status indicators are ready for implementation on April 1, 2009. • The Public Service Employee Survey was administered in the fall of 2008. Results will be made available in May 2009. • The Annual Employee Survey will be ready to administer online in 2010. • 26/36 departments/agencies have met this commitment or are "on track" [re service standards]
<p><u>2010:</u></p> <p>1. Effective April 1, 2009, departmental reporting on the People Component of the MAF will be replaced by a new set of performance and status indicators for tracking the state of the Public Service and people management ... To ensure success, the CHRO will work with central partners to agree on data definitions and the management and alignment of data gathering and reporting cycles.</p>	<ul style="list-style-type: none"> • Deputy Heads have defined a set of [HR] performance and status indicators (including an electronic scorecard), which were put into effect on April 1, 2009. • CHRO has developed a People Management Dashboard to provide public service-wide trend information for ... people management (in addition to MAF scorecards).

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2. In response to the shift in roles and responsibilities regarding people management, the CHRO will review the HR policy suite and reduce central HR policies by one-third.</p> <ul style="list-style-type: none"> • Deputy Heads will ensure that central policies will not be replaced by unnecessary departmental rules. • Working with the advice of Deputy Heads, the PSC will continue to apply a risk-based approach to its monitoring of staffing in departments/agencies. <p>3. In consultation with employees and managers, departmental standards for key HR services will be further refined (including staffing, classification and pay) and performance against those standards will be communicated to employees.</p> <p>4. With assistance and advice from the CHRO, staged implementation of selected common HR business processes will begin in a minimum of five departments, with a goal of making them more streamlined and cost-effective.</p> <p>5. The CHRO will undertake a comprehensive analysis of the results of the 2008 PSES to support Deputy Heads in their actions to respond to the survey findings, with an expectation that key response actions will be included in organizational HR plans.</p> <ul style="list-style-type: none"> • The CHRO will launch an annual online survey to better track people management including employee engagement. 	<ul style="list-style-type: none"> • Work has begun on data definitions ... An agreement on common definitions relative to Staffing and Employee Integration and Learning and Development is also being developed with the PSC, CSPS and CHRO. • 32 mandatory people management policies are now at various stages in the review process. To date, recommendations have been made to rescind 11 of them. Analysis is underway on the second group of 21 policy instruments. • 11 of 33 Deputy Heads indicated that they have initiated an internal policy review and will not replace central policies by unnecessary departmental rules. • The PSC continues to apply a risk-based approach to monitoring and staffing activities. The Staffing Management Accountability Framework has been refined to improve stakeholder engagement. It will be provided to organizations for the 2009-10 assessment cycle following consultations with the HR community. • 29 of 33 Deputy Heads indicated that they have established standards for key HR services, the majority of which are being refined, tracked and/or assessed, and communicated to all employees. • 11 departments/agencies are formally engaged in adopting the Common Human Resources Business Process (CHRBP). In its enabling role, the CHRO's Centre of Expertise continues to liaise with organizations to provide tools and guidance. A community for lead implementers has also been established to share lessons learned, bring organizations together and create opportunities for collaboration. • CHRO will soon release the CHRBP 4.0 and make it available to all lead implementers. • An analysis of the PSES results was presented to Deputy Heads as part of the release of the survey results. Customized departmental reports were delivered to heads of HR in fall 2009. They are now being incorporated into organizational planning activities. • The CHRO has designed an annual online survey to track people management and employee engagement. A decision was taken not to administer the survey in 2009.
<p><u>2011:</u> Knowledge Management - Our knowledge and information are important government assets that should be systematically captured and shared among individuals and across organizations.</p> <ul style="list-style-type: none"> • Deputy heads will assess and improve their approaches to managing knowledge and information as corporate assets. • Deputy heads will build knowledge transfer considerations into their talent management and succession planning strategies for executives and other critical positions. <p>Innovation - Innovation is about doing things differently in ways that are more effective and efficient. We need new ideas and ways of doing things, greater flexibility, more experimentation and better implementation.</p> <ul style="list-style-type: none"> • Deputy heads will foster a culture of innovation, both in the way they manage their organizations and in the way they serve and engage Canadians, through activities such as: <ul style="list-style-type: none"> ◦ building strong employee and managers' networks; ◦ developing collaborative work environments; ◦ further reducing the "Web of Rules"; and ◦ experimenting with Web 2.0 technology, including GCPEDIA. 	<p>Reports of deputy heads:</p> <ul style="list-style-type: none"> • 24 out of 36 have a knowledge management approach or strategy in place, as well as complementary, supporting tools and systems to varying degrees. • 14 out of 36 incorporate knowledge management considerations into performance management processes and succession strategies <p>Reports of deputy heads:</p> <ul style="list-style-type: none"> • 18 out of 36 bolstered or established employee networks (in addition to managers' communities), including communities of best practice, functional communities and other horizontal forums and task teams. • 25 out of 36 have adopted new tools and applications to make the workplace more collaborative and modern (e.g. videoconferencing, instant messaging, collaborative software, enhanced desktop functionality, improved web management systems). • 11 out of 36 have further reduced their "web of rules," particularly in the areas of staffing and human resources management. • 28 out of 36 experimented with internal Web 2.0 technologies ..., and with internal government tools such as GCPEDIA and GCFORUMs. • 19 out of 36 are investing in back office systems, with particular emphasis on automation of HR requests and launching "one-stop shop" online HR service portals. • 16 out of 36 are adopting the Common HR Business Processes.

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
3. GOVERNANCE, OVERSIGHT, ROLES AND RESPONSIBILITIES (Includes: Strategy, Accountability, Organizational Changes, Centralization/Decentralization)	
<p>2000: Ensure decision-making authority is located at the right level to achieve results (p3)</p> <p>2001: We are moving away from a traditional model of public service based on hierarchical, directive management (p3)</p> <p>2004: In the early 1990s, many popular management theories emphasized innovation and service, and devalued rules and control ... But we also lost some of our rigour. We removed some departmental controls while we were reducing central oversight ... we may have lost sight, sometimes, of the basics. Now we have to get the balance right. We have to restore the rigour without smothering the creativity. We know from long experience that more red tape is not the answer ... (p5)</p> <p>2004: In the coming year, we will <i>[be]</i> ...</p> <ul style="list-style-type: none"> • accelerating the establishment of the comptrollership function centrally and within departments to ensure appropriate oversight of spending • implementing the new public service disclosure legislation, ... and developing tools for employees and management to help ensure that respect for our values and ethics is an integral part of all operations (p8) <p>2007: The Deputy Ministers' Committee on Public Service Renewal, chaired by the Associate Secretary to the Cabinet, which is the senior forum for overseeing and driving the process of renewal (p16)</p> <p>2007: A more clearly defined role for the Committee of Senior Officials, which is the senior committee responsible for management of the deputy minister community (p16)</p> <p>2013: I have created the DMs Board of Management and PS Renewal to help ensure a successful shift to managing as a single enterprise where it makes sense ... This group ... provides the shared stewardship and sustained leadership we need to drive these changes ... (p12)</p> <p>2015: We are guided by the four principles of our Blueprint 2020 vision: ... A whole-of-government approach that enhances service delivery and value for money; ... (p3)</p>	<p>2003: The reputation of our institution has been damaged ... Core competencies have been criticized and questioned. ... public controversies about how we managed grants and contributions, distributed sponsorship funds and a national registration system (p7)</p> <p>2004: We have also suffered some setbacks that we need to examine and learn from. We were all dismayed by what we have heard about incidents of serious mismanagement and, most disturbingly, breaches of the public trust (p4)</p> <p>2004: Over the past few years we have taken a series of measures to be open about our performance challenges — for example, more frequent reports by the Auditor General, publicly available internal audit reports, access-to-information legislation and marked improvements in departmental performance reports (p4)</p> <p>2005: The extraordinary efforts and results of program review ... the creation and work of the Expenditure Review Committee ... focused on crosscutting, transformative changes—from the launch of Service Canada to procurement reform (p1)</p> <p>2005: ... expenditure review has already yielded significant savings, almost 90 per cent of which will come from innovation in government operations (p2)</p> <p>2005: Since it was re-established, the Office of the Comptroller General has led our efforts to improve financial management. ... We are improving our systems for gathering and analyzing information on spending and performance ... (p4)</p> <p>2005: We introduced the Management Accountability Framework (MAF), a common basis for performance reporting, which sets out a rigorous accountability regime (p4)</p> <p>2006: The Office of the Comptroller General is in place and operational, having added a new policy on internal audit ... the policy further strengthens and professionalizes this core management function, increasing its independence ... while enhancing its assurance and reporting role. We have also strengthened procurement processes, and increased transparency in reporting to Parliament through the Estimates process (p3)</p> <p>2008: With the Management Accountability Framework (MAF) ..., we believe we have a sound conceptual foundation to manage performance and accountability (p16)</p>
4. RESULTS MANAGEMENT, MEASUREMENT AND REPORTING	
<p>2000: We are removing unnecessary bureaucracy from our work processes with a focus on outcomes and accounting for results (p7)</p> <p>2001: "Results for Canadians" highlights the need to strengthen management practices, decision making and priority setting to better respond to citizens' needs. (p10)</p> <p>2003: ... we will continue to broaden and strengthen our performance within the context of our current management and leadership agendas (p15)</p> <p>2007: We must ...set goals and priorities that are relevant, ambitious and still realistic. ... Set benchmarks for performance and be prepared to measure progress ... (p14)</p>	<p>2004: Treasury Board's policy statement, Results for Canadians, marked a clear and deliberate move to a government-wide management style that is results-driven and principle-based ... (p2)</p> <p>2005: We introduced the Management Accountability Framework (MAF), a common basis for performance reporting, which sets out a rigorous accountability regime (p4)</p> <p>2006: We have also ... increased transparency in reporting to Parliament through changes to the Estimates process (p3)</p> <p>2008: The commitments for last year are listed in Annex 2, along with the results achieved on each (pp11-) <i>[Highlights provided in respective summary sections]</i></p>

CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
<p>2008: 14 specific renewal commitments were set for 2007-08. Setting measurable objectives and monitoring progress are essential elements of our approach to renewal (p11)</p> <p>2009: We will report next year on progress on these timely and challenging recommendations [re: <i>PM's Advisory Committee</i>] (p16)</p> <p>2015: We will need to deliver on the Destination 2020 commitments... We will continue to take stock of our progress and identify further initiatives (p17)</p> <p>2016: We must also be able to measure how we are working, and the outcomes we are achieving, so we can learn (p7)</p> <p>2016: ... what we need to do to improve is to focus on results and outcomes, and not just activity ... we must become more sophisticated in defining the objectives of the initiatives we are pursuing... The measure of an initiative cannot be the dollars spent or the number of meetings held, but rather the change and difference made in peoples' lives (p10)</p> <p>2017: My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago ... We must be able to measure how we are working and the outcomes we are achieving, so we can learn (p33)</p> <p>2018: Public Service has worked to launch the Impact Canada Initiative. This whole-of-government effort will permit experimentation with outcomes-based funding approaches, ... and impact measurement methodologies. The goal is to test new approaches, and to scale up those that deliver improved results (p15)</p> <p>2018: Last year, ... I also asked that we measure how well we are working and the outcomes we are achieving, so we can gauge our progress, learn and adapt (p22)</p> <p>2019: We will be measuring and tracking progress as we go [re: <i>Beyond 2020</i>]. The results of the Public Service Employee Survey will serve as a key tool to analyze our progress across the Public Service and within each organization (p21)</p>	<p>2010: The MAF is one of the ways in which we benchmark renewal, as set out in Annex D (p4)</p> <p>2011: We now plan against declared strategic objectives, measure and report results, and understand and apply the principles and practices of modern public sector management (p9)</p> <p>2017: ... last year, I noted that I looked forward to ... reporting not just activity, but impact. ... departments have put in place systems, practices, and tools to track implementation of the Government's priorities... The Results and Delivery Unit has been created within PCO and serves as a central hub to promote a new results oriented culture ... the 2016 TB Policy on Results is improving how departments articulate the results they aim to achieve and how they measure and evaluate performance. Ultimately, this will help departments achieve real, concrete results (p16)</p> <p>2018: The Public Service is assisting the Government as it moves toward a more rigorous reporting of implementation milestones and results. We are publicly tracking these efforts through the Canada.ca/results website. Launched in November 2017, this website features 364 commitments across departments and agencies, along with details of the progress made and results achieved (p14)</p>

5. SERVICE DELIVERY AND INFORMATION TECHNOLOGY	
<p>2000: ... by 2004, "be known around the world as the government most connected ... with Canadians able to access all government information and services on-line ... (p3)</p> <p>2000: ... by December 2000, all departments will have an on-line presence, with information on programs and services and with key forms (p4)</p> <p>2001: ...move ahead with the Government On-Line and ensure knowledge workers have the tools, learning and infrastructure to deliver in an electronic world</p> <p>2004: In the coming year, we will [be] ... continuing to increase service delivery options ... through our service transformation initiatives and our presence in communities (p8)</p> <p>2011: Launched in Budget 2010, the Administrative Services Review is examining ways to simplify, standardize and consolidate service delivery and administrative processes for our internal services (e.g. IT and real property) and services to Canadians (p10)</p>	<p>2000: The Public Service of Canada is working to meet these goals ... One way is through Service Canada, a new, integrated service delivery network which gives citizens one-stop access to information on more than 1,000 federal programs and services. People can obtain one-stop service in person at Service Canada access centres, by phoning 1-800-O-Canada, or through the Canada site on the Internet (p3)</p> <p>2001: ... continued to establish Service Canada centres for face-to-face service. We have also encouraged the use of 1-800 O-Canada ... for information on 1,000 federal programs and services. And have met the first-year targets of the Government On-Line initiative, thus moving closer to putting information and service on-line by 2004 (p11)</p> <p>2001: January 2001, ... launched the redesigned Government of Canada Web site (www.canada.gc.ca) (p11)</p> <p>2003: ... the most recent research available demonstrates that, since 1998, there has been a measurable increase in Canadians' satisfaction with the services they receive from the federal government (p2)</p>

<p>2011: The recently announced U.S.-Canada Regulatory Cooperation Council and Red Tape Reduction Commission are two government initiatives that through our support will lead to more effective regulation for Canadians (p11)</p> <p>2012: Government expanded its commitment to Open Government through three main streams: - Open Data (making greater amounts of govt data available to citizens), - Open Information (proactively releasing info about Government activities) and - Open Dialogue (expanding citizen engagement... through Web2.0 technologies) (p5)</p> <p>2013: Over the coming year, departments and agencies will work together to transform the Government of Canada's web presence by consolidating our more than 2,500 websites into one portal (p12)</p> <p>2015: We are guided by the four principles of our Blueprint 2020 vision: • An open and networked environment that engages citizens and partners for the public good; together with... • A whole-of-government approach that enhances service delivery ... (p3)</p> <p>2017: My aspirations and priorities for the Public Service for the year ahead are the ones I set out a year ago ... We need to be open to new ideas as we collaborate with communities and Canadians to serve them better (p33)</p> <p>2018: ... we must remain vigilant against cyber attacks to protect information shared by Canadians who access these services. The National Cyber Security Strategy, announced in Budget 2018, will contribute to these efforts (p8)</p>	<p>2004: Through service transformation initiatives, generally, and government-on-line, specifically, we have been altering how we do our work and improving the range and quality of the services that we provide to Canadians (p3)</p> <p>2005: The newly launched Service Canada initiative is intended, over time, to provide Canadians with integrated, one-stop access by phone, on the Internet and in person ... (p2)</p> <p>2005: These are some of the reasons why Canada has ranked first in Accenture's international e-government survey for the past four years (p2)</p> <p>2010: Service Canada transformed business processes to offer better service to Canadians. It launched an imaging pilot project to shift from a management model based on physical paper to one based on electronic information (p7)</p> <p>2011: A decade ago, Canada was seen as an international leader in service delivery through initiatives such as Government On-Line... we have lost momentum. ... our "vertical," department-by-department approach to service delivery is more than just inefficient—it is failing to meet Canadians' expectations for one-stop, single-window services (p10)</p> <p>2012: We have moved toward more citizen-focused service delivery. ... Service Canada provides single-window access to a wide range of ... programs and services. However, citizens still have to navigate their way through multiple channels to find many of the services they need (p5)</p> <p>2012: To support ... the [Red Tape Reduction] Commission, ... Federal Regulators set up an online collaboration tool and more than 1,000 regulatory employees used it to share their ideas for reducing red tape (p5)</p> <p>2014: Instead of remembering multiple usernames and passwords, Canadians can now sign in using their identification from their financial institution or credit card through SecureKey Concierge... this enables Canadians to access services in over 20 departments and agencies ... (p4)</p> <p>2014: We also enhanced access to ... data and information through the Open Data Portal, www.data.gc.ca. As noted by the OECD, Canada has the highest number of data sets on a centralized open data portal of any OECD country (p5)</p> <p>2014: Service Canada, in collaboration with other departments and agencies, launched www.Canada.ca – a simple and intuitive government-wide site that replaces over 1,500 separate websites ... (p5)</p> <p>2014: Employees ... are equally concerned about internal red tape as Canadians were about external red tape prior to the successful Red Tape Reduction exercise (p26)</p> <p>2015: Our country leads the way in Internet connectedness. Thanks to the efforts of Industry Canada, this year brought high-speed network access to another 280,000 Canadian households in rural and remote regions (p10)</p> <p>2017: 21 departments and agencies have worked together to develop the Federal Geospatial Platform ... where a collection of the government's most relevant geospatial information can be found easily and viewed on maps to support evidence-based decision making, foster innovation, and provide better service ... Open maps is the open access version of the platform. This is part of the broader Open Government initiative ... (p22)</p> <p>2018: Service Excellence - ... It means more accessible, connected and bundled services. And more than ever before, this means access to digital tools. For example (p7 – <i>not all government-wide</i>): - ... Canadians now have one-stop access to their benefit and tax information ...</p>
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CLERKS ANNUAL REPORTS - MANAGEMENT REFORM SUMMARY BY KEY THEMES (2000 TO 2019)	
IDENTIFIED COMMITMENTS, PLANS OR PRIORITIES	REPORTED RESULTS OR COMPLETED ACTIONS
	<ul style="list-style-type: none"> - modernized processing for travellers at major international airports ... - CRA is making its information easier for Canadians to understand ... it launched a modernization project. - ESDC launched automatic enrolment for the Guaranteed Income Supplement benefits <p>2018: ... the government has created the Canadian Digital Service. Launched in July 2017, the team works with federal departments to build simple-to-use, cyber-secure online services, designed from the client’s perspective (p8)</p> <p>2018: The Public Service is strengthening the foundation for collaboration between government and citizens. It is working in the open, and putting information, data, research and analysis online. Over 60 departments and agencies are publicly releasing data, research and analysis [re: Open Government] (p18)</p> <p>2019: The Government appointed the first Minister of Digital Government ... who, shortly thereafter, announced the Government of Canada <u>Digital Standards</u>, which outline how we will work differently in the digital age. ... <u>The Digital Operations Strategic Plan</u>, sets out concrete, practical steps focused on implementation and delivery. Public servants also developed a Data Strategy Roadmap centered on improved strategic use, protection, and stewardship of government data (p15)</p> <p>2019: The recently released Data Strategy Roadmap for the Federal Public Service sets the foundation for the Public Service to create greater public value from the data it creates, collects, and manages (p33)</p>

ANNEX B.: COMPARATIVE SUMMARY OF PUBLIC SERVICE SURVEYS

(Please refer to Legend and Notes at the end of Annex, page 146)

Purpose and Approach: The main objective of this annex is to consolidate and summarize, for comparison and analytical purposes, the principal results of federal public service surveys that pertained in part to management reforms.

The summary includes selected results primarily from the periodic Public Service Employee Surveys (PSES)²⁰⁸ of all employees, and from the surveys of executives by the Association of Professional Executives of the Public Service of Canada (APEX)²⁰⁹. This summary has purposely condensed the text of the survey questions and results to facilitate analysis. In addition, a unique survey of executives specifically focused on public service management reforms, piloted through the University of Ottawa's Graduate School of Public and International Affairs (GSPIA), is presented in Annex D and some of its results are also referenced in this summary where applicable. Please refer to the corresponding full survey reports (per footnotes) for complete survey descriptions, questions and results, and to the **Legend and Notes** presented at the end of this Annex (page 146) and which include descriptions of acronyms and symbols utilized.

SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
1. NATURE OF WORK, WORKLOAD AND CAPACITY										
A] PUBLIC SERVICE EMPLOYEE SURVEYS										
1. I can complete my assigned workload during my regular working hours. <i>{Always + Often}</i>	POS 60%	POS 56%	POS 59%	POS 63%	POS 67%	POS 69%	POS 72%	POS 69%	POS 71%	POS & ↗ Δ: 27% / 2002 → 2014 - 2019
2. I have support at work to balance my work and personal life. <i>{Strongly Agree + Agree}</i>	n/a	n/a	n/a	n/a	POS 74%	POS 70%	POS 74%	POS 75%	POS 76%	POS & ⚡ Δ: 2014 only
3. I can balance my personal, family and work needs in my job <i>{Always + Often}</i>	n/a	POS 68%	POS 69%	n/a	n/a	n/a	n/a	n/a	n/a	↗ if viewed with #1.A.2.
4. I feel that the quality of my work suffers because of constantly changing priorities <i>{Always + Often + Sometimes; See notes}</i>	NEG 83%	NEG 77%	NEG 79%	NEG 76%	NEG 74%	NEG 76%	NEG 72%	NEG 72%	NEG 69%	NEG & ↘ Δ: 10% / 2002
5. I feel that the quality of my work suffers because of unreasonable deadlines. <i>{Always + Often + Sometimes; See notes}</i>	NEG 68%	NEG 66%	NEG 67%	NEG 61%	NEG 60%	NEG 60%	NEG 54%	NEG 56%	NEG 53%	NEG & ↘ Δ: 20% / 2002
6. The quality of my work suffers because of having to do the same or more work, but with fewer resources. <i>{Always + Often + Sometimes; see notes}</i>	NEG 79%	NEG 72%	NEG 73%	NEG 68%	NEG 70%	NEG 73%	NEG 66%	NEG 67%	NEG 61%	NEG & ↘ Δ: 15% / 2002

208 The Public Service Employee Surveys were conducted in 1999, 2002, 2005, 2008, 2011, 2014, 2017, 2018 and 2019. The full PSES reports are available via the Treasury Board Secretariat's website: <https://www.canada.ca/en/treasury-board-secretariat/services/innovation/public-service-employee-survey.html>

209 APEX' conducted surveys of executives in 1997, 2002, 2007, 2012 and 2017. The more recent versions of the full reports are accessible on the APEX web-site: <https://apex.gc.ca/surveys/>, while older version are available through Library and Archives Canada or via Google search.

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SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
7. I feel that the quality of my work suffers because of high staff turnover. <i>{Always + Often + Sometimes}</i>	n/a	n/a	n/a	NEG 63%	NEG 56%	NEG 56%	NEG 56%	NEG 60%	NEG 56%	NEG & ↯ Δ: 11% / 2008; Δ: 2019 = 2011
B] APEX SURVEYS (EXECUTIVES ONLY)										
1. Executives' average work hours per week	52.9 hours	52.5 hours	n/a	52.1 hours	50.7 hours	n/a	50.9 hours	51.9 hrs <i>per GSPIA</i>	n/a	Neutral & → Δ: < 5%
2. Portion of executives working 55 hours or more per week (see also question 1.C.1 below)	38%	34%	n/a	29%	25%	n/a	35%	39% <i>per GSPIA</i>	n/a	Neutral & ↯ ↯ = NEG from 2007-12
3. Executives' satisfaction with Workload <i>{Scale 1 to 5: 1 very dissatisfied, 5 very satisfied}</i>	n/a	AVG 2.8	n/a	AVG 2.8	AVG 3.0	n/a	AVG 2.8	n/a	n/a	Neutral & ↯ Δ: 2012 only
4. Executives' satisfaction with Hours <i>{Scale 1 to 5: 1 very dissatisfied, 5 very satisfied}</i>	n/a	AVG 2.8	n/a	AVG 2.9	AVG 3.1	n/a	AVG 3.2	n/a	n/a	POS & ↗ Δ: 14% / 2002
5. Executives' satisfaction with Tasks <i>{Scale 1 to 5: 1 very dissatisfied, 5 very satisfied}</i>	n/a	AVG 3.9	n/a	AVG 3.9	AVG 3.8	n/a	AVG 3.8	n/a	n/a	POS & → Δ: < 5% / 2002
6. I have many interruptions and disturbances while performing my job <i>{Strongly A + Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 90%	n/a	n/a	NEG no trends
7. Over the past few years, my job has become more and more demanding. <i>{Strongly A + Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 87%	n/a	n/a	NEG no trends
8. I have constant time pressure due to a heavy workload. <i>{Strongly Agree + Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 85%	n/a	n/a	NEG no trends
9. Portion of executives who reported that most days at work are extremely or quite stressful	n/a	NEG 53%	n/a	NEG 51%	NEG 51%	n/a	NEG 51% POS 6%	n/a	n/a	NEG & → Δ: < 5% / 2002
10. How satisfied are you with your current workload <i>{NEG: Dissatisfied + Very D.}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 41% POS 32%	n/a	n/a	NEG no trends
11. Workload scale 1-5 [5: very high]; Per APEX 2012 <i>"Scores relatively constant over time"</i>	n/a				AVG >4	n/a	n/a	n/a	n/a	NEG & → stable per 2012 APEX report
12. How satisfied are you with the number of hours you work <i>{NEG: Very D + Dissatisfied}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 38% POS 36%	n/a	n/a	Neutral , no trends
13. How satisfied are you with the sort of things you do on the job <i>{POS: Very S + Satisfied}</i>	n/a	n/a	n/a	n/a	n/a	n/a	POS 73% NEG 12%	n/a	n/a	POS no trends
C] GSPIA – 2018 SURVEY OF EXECUTIVES										
1. Portion of executives working 55 hours or more per week (see also 1.B.2 above)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	39.1%	n/a	↯ = NEG if with 1.B.2
2. Estimated percentage of executives' workload allocated to Strategic Direction and Innovation	n/a	n/a	n/a	n/a	n/a	n/a	n/a	AVG 18%	n/a	Neutral , no trends

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SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
3. Estimated percentage of executives' workload spent on Direct Operations, Programs / Services	n/a	n/a	n/a	n/a	n/a	n/a	n/a	AVG 44%	n/a	Neutral , no trends
4. Estimated percentage of executives' workload allocated to Indirect Administration	n/a	n/a	n/a	n/a	n/a	n/a	n/a	AVG 28%	n/a	Neutral , no trends
5. Estimated percentage of executives' workload allocated to Other Activities (non essential)	n/a	n/a	n/a	n/a	n/a	n/a	n/a	AVG 11%	n/a	Neutral , no trends
6. Executives who estimated the workload related to Strategic Direction and Innovation increased or decreased in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a	Footnote ²¹⁰		DEC 45% INC 31%	n/a	↘ = NEG less strategy, and innovation
7. Executives who estimated the workload related to Direct Operations, Program or Service Delivery increased or decreased in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a			INC 34% DEC 28%	n/a	Not Conclusive Δ minimal (INC vs DEC)
8. Executives who estimated the workload related to Indirect Administration increased or decreased in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a			INC 71% DEC 5%	n/a	↗ = NEG more admin. activities
9. Executives who estimated the workload related to Other (non essential) activities increased or decreased in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a			INC 35% DEC 7%	n/a	↗ = NEG more non- essential
10. Executives who estimated the Number of hours they work per week had changed in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a			INC 62% DEC 6%	n/a	↗ = NEG consistent with I.C.1
11. Executives who estimated the Number of employees directly reporting to them had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 52% DEC 19%	n/a	↗ but Neutral (neither Pos or Neg indicator)
12. Executives who estimated the Scope and diversity of their responsibilities had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 77% DEC 7%	n/a	↗ but Neutral (neither Pos or Neg indicator)
13. Executives who estimated the Workload of their organizational unit had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 85% DEC 2%	n/a	↗ = NEG consistent with I.C.8/16/17.
14. Executives who estimated the Work productivity of their unit had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 53% DEC 17%	n/a	POS & ↗
15. Executives who estimated their productivity as executives had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 48% DEC 21%	n/a	POS & ↗
16. Executives who estimated the Portion of their unit's time spent on administrative and clerical activities had changed over the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a			INC 77% DEC 3%	n/a	↗ = NEG consistent with I.C.8/17

210 Regarding questions 1.C.6 to 1.C.20: INC = "Increased Greatly + Increased Somewhat"; DEC = "Decreased Greatly + Decreased Somewhat". Questions cover last 5 years: 2014 to 2018

SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
17 Executives who estimated the Administrative activities transferred from other parts of the organization had changed over the last 5 years	n/a	n/a	n/a	n/a	n/a			INC 65% DEC 2%	n/a	↗ = NEG consistent with I.C.8/16
18 Executives who estimated their Capacity to focus on strategic issues, direction or innovation had changed over the last 5 years	n/a	n/a	n/a	n/a	n/a			INC 13% DEC 65%	n/a	↘ = NEG consistent with I.C.6
19 Executives who estimated the Complexity and difficulty of delivering their operations, programs or services. had changed in the last 5 years	n/a	n/a	n/a	n/a	n/a			INC 77% DEC 2%	n/a	↗ = NEG
20 Executives who estimated the Quality and relevance of their unit's functions, operations, programs or services had changed in the last 5 years.	n/a	n/a	n/a	n/a	n/a			INC 51% DEC 11%	n/a	↗ = POS
2. HUMAN RESOURCES PERFORMANCE MANAGEMENT AND DEVELOPMENT										
A) PUBLIC SERVICE EMPLOYEE SURVEYS										
1. I have clear work objectives <i>{Strongly Agree + Somewhat Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	POS 72%	POS 71%	POS 74%	POS & →
2. My supervisor and I discuss the results I am expected to achieve <i>{Strongly+Mostly Agree}</i>	POS 62%	POS 67%	POS 69%	n/a	n/a	n/a	n/a	n/a	n/a	POS & ↗ if with 2.A.1
3. Overall, to what extent do the following factor cause you stress at work: Lack of clear expectations? <i>{POS: Not at All + Small extent}</i>	n/a	n/a	n/a	n/a	n/a	n/a	POS 59% NEG 39%	POS 58% NEG 41%	POS 62% NEG 36%	POS & ↗ Δ: 5% / 2017
4. I receive useful feedback from my immediate supervisor on my job performance <i>{Strongly Agree + Somewhat/Mostly Agree; See notes}</i>	POS 61%	POS 68%	POS 69%	POS 67%	POS 70%	POS 72%	POS 73%	POS 73%	POS 74%	POS & ↗ Δ: 10% / 2008
5. My supervisor assesses my work against identified goals and objectives. <i>{Strongly Agree + Somewhat or Mostly Agree; See notes}</i>	POS 59%	POS 62%	POS 64%	POS 67%	POS 71%	POS 75%	n/a	n/a	n/a	POS & ↗ Δ: 12% from 2008 to 2014
6. I receive meaningful recognition for work well done. [1999-2005: I get adequate recognition from supervisor when I do a good job] <i>{Strongly + Somewhat/Mostly Agree; notes}</i>	POS 66%	POS 72%	POS 72%	n/a	POS 59%	POS 57%	POS 61%	POS 60%	POS 65%	POS & ⇄ Δ: +10% / 2011 Δ: -10% / 2002
7. In my work unit, unsatisfactory employee performance is managed effectively. <i>{POS: Strongly Agree + Somewhat Agree}</i>	n/a	n/a	n/a	n/a	n/a	POS 33% NEG 33%	POS 32% NEG 31%	POS 35% NEG 30%	n/a	NEG & ↘ (Neg ≈ Pos) Δ: 6% / 2014
8. I get the training I need to do my job <i>{Strongly Agree + Somewhat / Mostly Agree; See notes}</i>	POS 72%	POS 75%	POS 73%	POS 68%	POS 69%	POS 63%	POS 66%	POS 70%	POS 69%	POS & ⇄ ↘ since 2002
9. My job is a good fit with my skills <i>{Strongly Agree + Somewhat Agree}</i>	n/a	n/a	n/a	POS 85%	POS 84%	POS 82%	POS 84%	POS 84%	n/a	POS & → Δ: < 5% / 2008

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SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
10. In my work unit, I believe that we hire people who can do the job. {Strongly Agree + Somewhat or Mostly Agree; See note}	POS 72%	POS 78%	POS 76%	POS 63%	POS 63%	POS 64%	POS 64%	n/a <i>Note: 54% per PSC²¹¹</i>	n/a	POS & → Δ: < 5% / 2008 ↘ since 2002
B] APEX SURVEYS (EXECUTIVES ONLY)										
1. How satisfied are you with the possibilities offered by the Executive Talent Management process {NEG: Dissatisfied + Very Dissatisfied}	n/a	n/a	n/a	n/a	n/a	n/a	NEG 41% POS 22%	n/a	n/a	NEG no trends
2. How satisfied are you with the professional development opportunities offered {POS: Satisfied + Very Satisfied}	n/a	n/a	n/a	n/a	n/a	n/a	POS 44% NEG 29%	n/a	n/a	POS no trends
C] GSPIA – 2018 SURVEY OF EXECUTIVES										
1. Executives who felt the overall effectiveness and efficiency of HR performance management improved in the last 5 years, as a result of reforms {NEG: Much Worsened + Somewhat Worsened}	n/a	n/a	n/a	n/a	n/a			NEG 42% POS 30%	n/a	NEG = ↘ consistent with 2.B.1 above
3. WORK PROCESSES, TOOLS AND ENVIRONMENT										
A] PUBLIC SERVICE EMPLOYEE SURVEYS										
1. I have the materials and equipment I need to do my job. {Strongly Agree + Somewhat or Mostly Agree; See note}	POS 72%	POS 89%	POS 87%	POS 82%	POS 82%	POS 79%	POS 79%	n/a	POS 82%	POS & ⇄ Δ: 2008 = 2019 Δ: 8% / 2002
2. My physical environment (e.g., office, work-space) is suitable for my job requirements {Strongly Agree + Somewhat Agree}	n/a	n/a	n/a	n/a	POS 76%	POS 75%	POS 75%	n/a	POS 78%	POS & →
3. I have support at work to provide a high level of service. {Strongly Agree + Somewhat A.}	n/a	n/a	n/a	n/a	POS 74%	POS 66%	POS 69%	POS 67%	POS 71%	POS & ⇄ Δ: 4% / 2011
4. I have the flexibility to adapt my services to meet my clients' needs {Strongly Agree + Mostly A.}	POS 74%	POS 76%	POS 75%	n/a	n/a	n/a	n/a	n/a	n/a	↘ if considered with 3A3 above
5. I feel that the quality of my work suffers because of too many approval stages {Always + Often + Sometimes; note 1}	NEG 70%	NEG 69%	NEG 72%	NEG 71%	NEG 70%	NEG 73%	NEG 69%	NEG 70%	NEG 69%	NEG & ⇄ Δ: 2014 higher
6. I feel that the quality of my work suffers because of overly complicated or unnecessary business processes {Always + Often + Sometimes}	n/a	n/a	n/a	n/a	n/a	NEG 73%	NEG 69%	NEG 71%	NEG 67%	NEG & ↘ Δ: 8% / 2014
7. Overall, to what extent do the following factor cause you stress at work: Information overload? {Not at All + Small Extent}	n/a	n/a	n/a	n/a	n/a	n/a	POS 59%	POS 58%	POS 64%	POS & ↗ Δ: 9% / 2017

211 54% of employees agreed to a quasi-identical question in the 2018 "Staffing and Non-Partisanship Survey" by the Public Service Commission (PSC). Not considered in Trend Analysis

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SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
8. Overall, to what extent do the following factor cause you stress at work: Physical work environment <i>{Not at All + Small Extent}</i>	n/a	n/a	n/a	n/a	n/a	n/a	POS 76%	POS 75%	POS 76%	POS & →
B] APEX SURVEYS (EXECUTIVES ONLY)										
1. Portion of executives who feel that e-technology has increased <i>{NEG}</i> their workload	n/a	NEG 80%	n/a	NEG 76%	NEG 84%	n/a	NEG 75% POS 2%	n/a	n/a	NEG & ↘, from 2012
2. Portion of executives who feel that the use of e-technology has decreased <i>{NEG}</i> their ability to balance their work/ life	n/a	NEG 31%	n/a	NEG 39%	NEG 46%	n/a	NEG 49% POS 28%	n/a	n/a	NEG & ↗ Δ: 58% / 2002
3. Portion of executives who feel that e-technology has increased <i>{POS}</i> their productivity	n/a	POS 54%	n/a	POS 51%	POS 59%	n/a	POS 57% NEG 14%	n/a	n/a	POS & ↗ ↗ 2002 to 2017
4. Portion of executives who feel obliged to respond to work-related messages during the evening hours <i>{Strongly Agree + Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 69%	n/a	n/a	NEG no trends
5. Portion of executives who feel they used e-technology intensively after work hours for work-related purposes <i>{Strongly Agree + Agree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 64%	n/a	n/a	NEG no trends
6. Portion of executives who feel e-technology improved their ability to do their job <i>{Very much + Somewhat}</i>	n/a	n/a	n/a	n/a	n/a	n/a	POS 75%	n/a	n/a	POS no trends
7. Federal employees have the tools and technology available to them to do their jobs properly <i>{NEG: Disagree + Strongly Disagree}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 54% POS 26%	n/a	n/a	NEG no trends, consistent with question 3.C.1
8. Employees are knowledgeable and ready to adopt new digital platforms and service delivery channels <i>{NEG: Disagree + Strongly Dis.}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 53% POS 22%	n/a	n/a	NEG no trends
9. ... the federal government has policies in place to keep pace with changes in technology as they emerge <i>{NEG: Disagree + Strongly Dis.}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 68% POS 11%	n/a	n/a	NEG no trends
10 The Federal government is prepared for dealing with the challenges that come with social media <i>{NEG: Disagree + Strongly Dis.}</i>	n/a	n/a	n/a	n/a	n/a	n/a	NEG 60% POS 10%	n/a	n/a	NEG no trends
C] GSPIA – 2018 SURVEY OF EXECUTIVES										
1. Executives who felt the Effectiveness of <u>policies, processes, systems</u> to support programs, services or operations had increased in the <u>last 5 years</u>	n/a	n/a	n/a	n/a	n/a	Footnote ²¹²	NEG 65% POS 10%	n/a	n/a	NEG = ↘

212 For question 3.C.1-2.: NEG = "Decreased Greatly + Decreased Somewhat"; For questions 3.C.3-11.: NEG = "Much Worsened + Somewhat Worsened"

SURVEY THEMES AND SELECTED QUESTIONS	SUMMARY SURVEY RESULTS BY YEAR (Legend and Notes on page 146)									TRENDS AND ANALYSIS
	1997 or 1999	2002	2005	2007 or 2008	2011 or 2012	2014	2017	2018	2019	
2. Executives who felt the Effectiveness or adequacy of <u>authorities</u> in support of programs, services or operations had increased in the <u>last 5 years</u> .	n/a	n/a	n/a	n/a	n/a			NEG 32% POS 15%	n/a	NEG = ⬇
3. Executives who felt the effectiveness and efficiency of <u>IT management and services</u> had improved in the <u>last 5 years</u> , as a result of reforms.	n/a	n/a	n/a	n/a	n/a			NEG 61% POS 15%	n/a	NEG = ⬇
4. Executives who felt the effectiveness / efficiency of <u>Expenditure management, systems, and processes</u> had improved in the <u>last 5 years</u> , because of reforms	n/a	n/a	n/a	n/a	n/a			NEG 57% POS 18%	n/a	NEG = ⬇
5. Executives who felt the effectiveness and efficiency of <u>Procurement management and processes</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 53% POS 13%	n/a	NEG = ⬇
6. Executives who felt the effectiveness / efficiency of <u>Facilities and accommodation standards and services</u> had improved in the <u>last 5 years</u> , because of reforms	n/a	n/a	n/a	n/a	n/a			NEG 51% POS 12%	n/a	NEG = ⬇
7. Executives who felt the effectiveness and efficiency of <u>HR classification and staffing processes</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 48% POS 25%	n/a	NEG = ⬇
8. Executives who felt the effectiveness and efficiency of <u>HR and business planning</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 48% POS 20%	n/a	NEG = ⬇
9. Executives who felt the effectiveness and efficiency of <u>Information and records management</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 43% POS 14%	n/a	NEG = ⬇
10. Executives who felt the effectiveness / efficiency of <u>Email transformation and shared platforms</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 43% POS 22%	n/a	NEG = ⬇
11. Executives who felt the effectiveness / efficiency of <u>Canada Online or the “canada.ca” web-site</u> had improved in the <u>last 5 years</u> , as a result of reforms	n/a	n/a	n/a	n/a	n/a			NEG 42% POS 17%	n/a	NEG = ⬇
4. OTHER RELATED RESULTS										
A) PUBLIC SERVICE EMPLOYEE SURVEYS										
1. I believe that senior management will try to resolve concerns raised in this survey {POS: Strongly + Somewhat/Mostly Agree; See note}	POS 37% NEG 51%	POS 50% NEG 38%	POS 47% NEG 40%	POS 43% NEG 31%	POS 44% NEG 31%	POS 43% NEG 31%	POS 47% NEG 29%	n/a	n/a	POS & ⬇ Δ: 6% / 2002; ⬆ since 2008

Annex B. - Legend and Notes

Summary Survey Results by Year

- POS Positive survey results, as defined further if required in the question column under brackets "{ }".
- NEG Negative survey results, as defined further if required in the question column under brackets "{ }". Note that when there are two results presented for the same survey question (e.g. POS and NEG), the definition in brackets "{ }" applies to the main result with the higher value.
- AVG Average
- INC Increased
- DEC Decreased
- n/a Not Available

Note: The summary attempts to compare all available surveys results for similar questions. In some instances, the PSES wording of either the survey questions or answer choices varied slightly in different versions. These instances have been identified in the summary by presenting the results in italics and lightly shaded cells (e.g. "*POS/NEG*"). This pertains to the 1999, 2002 and 2005 PSES that may differ from subsequent versions. For example, the main differences between survey versions pertained to:

- The 1999-2005 surveys provided answer choices of "*Mostly Agree/Disagree*", while in subsequent versions the wording was "*Somewhat Agree/Disagree*".
- The 1999-2005 surveys did not always provide for neutral answers to questions, while subsequent versions provided the choice: "*Neither Agree or Disagree*".

Trends and Analysis

The Trends and Analysis column provides, when available, for each survey question an overall finding (i.e. positive or negative result) and any significant trend as to whether the principal result indicator is increasing, decreasing or stable. For instance, results for a question may be Positive (favorable finding), but decreasingly or increasingly positive over time. For the analysis, the differences between earlier and most recent survey results are used to identify trends, and these are considered significant if differences are 5% or more, while results that differ by less than 5% are considered stable. As well, 2002 or 2008 are most often used as the earlier (base) result, depending on whether the 2002 results are available and comparable. Additionally, since 1997 and 1999 were the initial years of the APEX survey and PSES respectively, the results from those years are often outliers (not as comparable) and are generally not used to determine differences and trends.

The symbols used in the table to summarize the analysis are:

- ↗ Increasing Trend (significant positive difference between last available and earlier results of 5% or more, or trend implied in survey question)
- ↘ Decreasing Trend (significant negative difference between last available and earlier results of 5% or more, or trend implied in survey question)
- Stable Trend (no significant variability or differences of 5% or more in results)
- ≈ Significant Variability in results, but with no clear trend or significant differences between an earlier and final (i.e. most recent) results.
- Δ Change or difference -- most often the % of change between an earlier result (identified) and the most recent result. For instance: " $\Delta: 8\% / 2008$ " would indicate an 8% difference (increase or decrease) between the last available result and the 2008 result. The symbol is also used to refer to the difference in results within the same year (e.g.: differences between POS and NEG values) or to identify other changes or differences.
- POS** Overall Positive Finding from survey results – Color coded GREEN or LIGHT GREEN (depending on strength of finding).
- NEG** Overall Negative Finding from survey results – Color coded RED or LIGHT RED (depending on strength of finding).
- Neutral** Overall Neutral Finding or Conclusion, either because result values were neutral (neither clearly positive or negative) or because the survey question did not directly imply a positive or negative outcome – Color coded LIGHT BLUE.

ANNEX C.: SUMMARY OF AUDITOR GENERAL REFORM RELATED AUDITS

Purpose and Approach: This annex serves to summarize the main findings of fairly recent audits (post 2009) by the Office of the Auditor General of Canada (OAG), pertaining to government-wide management reforms or similar initiatives. The goal is to compare the main audit findings – both positive and negative – in order to determine to what extent problems and/or success factors identified are similar across initiatives, and thus whether knowledge has been transferred and/or lessons learned regarding the management of such initiatives. Caution must be exercised in utilizing this summary, since the different audits had different audit objectives and scope, and may not have addressed the same underlying criteria. Therefore the audits are comparable only to the extent they similarly address comparable management or governance issues. Accordingly, to facilitate this comparison, we have grouped similar findings under 6 broadly defined themes (which may partially overlap) as follows:

- Governance, oversight and strategy (also includes areas of strategic planning, decision-making, strategic risks or issues, and audit oversight)
- Stakeholder coordination and guidance (includes Policy/directives, training, functional guidance, stakeholder consultation)
- Roles and responsibilities
- Performance objectives, information and results (also: productivity/efficiency, performance measures and targets, monitoring and reporting)
- Resources and capacity (financial and human resources, related issues of workload and delays, competencies and expertise)
- Project or initiative management (broadest category including various management and operational aspects of reform initiatives)

Also, please be aware that the findings presented herein are highly summarized in order to succinctly identify the most essential points, are not comprehensive, and the reader should refer to the original OAG reports for more information (i.e. refer to the "Report Key Paragraph References" identified in the summary, and to the full OAG reports available at: <http://www.oag-bvg.gc.ca/internet/index.htm>). Please also refer to the symbol legend below.

Legend:

- Major Issue or Difficulty
- Secondary or Partial Issue or Difficulty
- Major Success Factor
- ▣ Secondary or Partial Success Factor
- ◆ Neutral or Mixed Factors, or Key Context Element

AUDITS OF MANAGEMENT REFORM INITIATIVES	GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES	PERFORMANCE OBJECTIVES, INFO AND RESULTS	RESOURCES AND CAPACITY	PROJECT OR INITIATIVE MANAGEMENT
<p>1] BUILDING AND IMPLEMENTING THE PHOENIX PAY SYSTEM Auditor General of Canada, Spring 2018, Report 1</p> <p>Notes: DM Deputy Minister MPC Miramichi Pay Centre PSPC Public Service and Procurement Canada TB Treasury Board TBS TB Secretariat</p>	<ul style="list-style-type: none"> ● Phoenix was a failure of project management and oversight ● PSPC did not assess the impacts of scaling back the system or cancelling the pilot ● No oversight allowed executives to implement the system despite key problems, and no independent oversight bodies to 	<ul style="list-style-type: none"> ● PSPC did not fully involve departments to determine what Phoenix needed to do, or to adequately help them move to the new system ○ PSPC did not provide departments guidance or enough time to develop contingency plans ○ PSPC did not provide relevant and timely training to 	<ul style="list-style-type: none"> ◆ PSPC was responsible for implementing the pay system, and administers the pay of public service employees ◆ Per TB Policy, the deputy head is responsible for ensuring effective governance and oversight mechanisms ◆ DMs are responsible for paying employees in a 	<ul style="list-style-type: none"> ● Phoenix failed to meet the needs of users and improve the efficiency and effectiveness of the pay processes. ● PSPC did not re-examine the expected benefits after they significantly scaled back what Phoenix would do. ○ Phoenix did not comply with security, privacy and 	<ul style="list-style-type: none"> ● PSPC did not have the required funds and did not ask TB for more. Instead, PSPC reduced staff and capacity ● PSPC did not heed clear warnings that the MPC, departments and the pay system itself were not ready, and overestimated their capacity 	<ul style="list-style-type: none"> ● Overall, PSPC failed to properly manage the project ● PSPC did not properly test Phoenix before implementing and cancelled the planned pilot ● Due to higher costs, PSPC removed or deferred important system functions ○ No plans to upgrade the application on which Phoenix

AUDITS OF MANAGEMENT REFORM INITIATIVES	GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES	PERFORMANCE OBJECTIVES, INFO AND RESULTS	RESOURCES AND CAPACITY	PROJECT OR INITIATIVE MANAGEMENT
	<ul style="list-style-type: none"> ● advise PSPC's DM ● DMs from client departments had no governance roles ● No internal audits of Phoenix ● Gartner's independent report was not considered before implementation 	<ul style="list-style-type: none"> ● support the transition to Phoenix ● PSPC did not share information on security and privacy risk ● PSPC communications to departments were not complete or timely 	<ul style="list-style-type: none"> ● timely and accurate manner. ● PSPC did not comply with TBS requirement for an independent readiness review, as the PSPC executives had authority over the reviewers 	<ul style="list-style-type: none"> ● accessibility policies ● PSPC did not fully consider or act in accordance with its available performance information 		<ul style="list-style-type: none"> ● was built, despite its need for regular upgrades ■ PSPC had a detailed project management structure ● The decision to proceed with implementation was not documented
<p><i>Report Key Paragraph References:</i></p>	<p>1.24, 1.35, 1.40, 1.62, 1.78, 1.84, 1.90, 1.92, 1.95</p>	<p>1.22, 1.47, 1.49, 1.54, 1.56, 1.57-60,</p>	<p>1.2, 1.8, 1.79-82,</p>	<p>1.23, 1.35, 1.41, 1.56, 1.72, 1.75, 1.97</p>	<p>1.32, 1.63, 1.68, 1.73</p>	<p>1.21, 1.22, 1.25, 1.26, 1.32, 1.36, 1.40, 1.45, 1.55, 1.84, 1.97, 1.102</p>
<p>2] PHOENIX PAY PROBLEMS Auditor General of Canada, Fall 2017, Report 1</p> <p><u>Notes:</u> PSPC Public Service and Procurement Canada MPC Miramichi Pay Centre TBS Treasury Board Secretariat</p>	<ul style="list-style-type: none"> ● PSPC took 4 months to recognize serious pay problems, and about a year after to have a better understanding of problems ● PSPC had not fully addressed the causes of problems or developed a long-term sustainable solution or strategy ● No comprehensive governance structure, oversight or integrated plans to resolve pay problems in a sustainable way 	<ul style="list-style-type: none"> ● PSPC did not provide sufficient information and reports to help departments resolve their pay problems ● Pay advisors reported they did not receive enough training, ... and often did not know why pay requests were rejected 	<ul style="list-style-type: none"> ◆ Departments, including PSPC/TBS, have a shared responsibility to pay employees in a timely and accurate manner, and to comply with employment terms ◆ PSPC is the administrator and owner of the pay system ● Initially, TBS did not play an active role supporting PSPC and ensuring cooperation from departments to solve problems ● Various committees and working groups focused on pay problems, but roles not defined and work not coordinated 	<ul style="list-style-type: none"> ● Number of outstanding pay requests in MPC was much higher than reported by PSPC, as some request types were excluded ● Once outstanding pay requests are reduced to a level allowing accurate and timely pay, Phoenix will still not achieve the productivity gains initially expected from the Transformation of Pay Administration 	<ul style="list-style-type: none"> ● Departments often could not meet the processing deadlines, and PSPC did not always give them the time to review and authorise payments before issuing them ◆ A sustainable solution will take years and cost far more than the \$540M expected to resolve the pay problems 	<ul style="list-style-type: none"> ● PSPC did not conduct a full analysis of the financial impacts of the pay requests excluded from its count ● PSPC did not track errors in pay and did not know how many outstanding pay requests were errors that needed to be corrected ■ PSPC identified, tracked, and devoted significant effort to resolving pay problems. ■ Departments took their own various actions to try to resolve pay issues ● No central process to track costs to fix the pay problems
<p><i>Report Key Paragraph References:</i></p>	<p>1.17, 1.43, 1.50-52, 1.75, 1.71.78-79, 1.86, 1.97</p>	<p>1.19, 1.56</p>	<p>1.11, 1.40, 1.85, 1.86</p>	<p>1.21, 1.33, 1.34, 1.58</p>	<p>1.61, 1.66, 1.69</p>	<p>1.34, 1.40, 1.57, 1.71, 1.105,</p>

AUDITS OF MANAGEMENT REFORM INITIATIVES	GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES	PERFORMANCE OBJECTIVES, INFO AND RESULTS	RESOURCES AND CAPACITY	PROJECT OR INITIATIVE MANAGEMENT
<p>3] INFORMATION TECHNOLOGY SHARED SERVICES Auditor General of Canada, Fall 2015, Report 4</p> <p><i>Notes:</i> IT Information Technology SSC Shared Services Canada TBS Treasury Board Secretariat</p>	<ul style="list-style-type: none"> ● No comprehensive strategy for maintenance and transformation ● Limited strategic direction from TBS ● Incomplete government-wide IT strategic plan ■ SSC progress to improve governance and oversight 	<ul style="list-style-type: none"> ● Not managing or setting clear expectations for partners ● Partial service strategy and catalogue only ● Insufficient detailed partner agreements ■ TBS integrated database for partners project priorities or plans 	<ul style="list-style-type: none"> ● Business / service agreements did not specify roles and responsibilities 	<ul style="list-style-type: none"> ● Not measuring and tracking progress ● Limited performance information or reporting against targets; no service baselines ● Overall savings largely unknown ● Cannot show if transformation achieving stated benefits 	<ul style="list-style-type: none"> ● Unclear process to ensure available funds to meet all investment needs 	<ul style="list-style-type: none"> ● Poor practices to define financial baselines, costs and savings ■ Partial process for allocating funds ● SSC's investments plans and 2014-15 capital plan did not have clear criteria and rationales for allocating funds to activities ● Inadequate change management process ● Incomplete list of critical systems, no formal threat-risk assessments
<p><i>Report Key Paragraph References:</i></p>	<p>4.15, 4.17, 4.44, 4.75</p>	<p>4.13, 4.16, 4.24, 4.54, 4.45</p>	<p>4.28, 4.48, 4.54, 4.56</p>	<p>4.13, 4.14, 4.34, 4.38, 4.39, 4.64, 4.70, 4.72</p>	<p>4.83</p>	<p>4.15, exh 4.1, 4.87, 4.90, 4.92, 4.82, 4.83, 4.36, 4.49, 4.59, 4.75</p>
<p>4] IMPLEMENTING GENDER-BASED ANALYSIS Auditor General of Canada, Fall 2015, Report 1</p> <p><i>Notes:</i> GBA Gender-Based Analysis PCO Privy Council Office TBS Treasury Board Secretariat SWC Status of Women Canada</p>	<ul style="list-style-type: none"> ● Progress made, but TBS and PCO challenge did not fully ensure departments properly considered GBA ● Limited senior management review of GBA in departments ■ SWC drafted GBA 2015-2020 Strategic Plan 	<ul style="list-style-type: none"> ■ Progress made to promote and support GBA with departments ■ SWC, PCO, TBS clarified expectations of when to perform GBA and the requirements 	<ul style="list-style-type: none"> ● No mandatory requirements to conduct GBA, but departments responsible to implement ■ TBS and PCO responsible to review Cabinet documents and committed to ensure departments considered GBA 	<ul style="list-style-type: none"> ● Most departments did not report GBA progress in public reports ● SWC reported on GBA activities, but not on implementation of framework across government ● GBA effectiveness not assessed, but examples of impacts identified 	<ul style="list-style-type: none"> ● Despite progress, limited capacity for applying GBA ● SWC need to assess resources required to deliver GBA mandate and to report 	<ul style="list-style-type: none"> ● Departments did not all implement a GBA analysis framework ● GBA analyses by departments not always complete or consistent ■ SWC developed a GBA+ framework to assist departments
<p><i>Report Key Paragraph References:</i></p>	<p>1.15, 1.49, 1.50, 1.52, 1.58</p>	<p>1.11, 1.42, 1.48, 1.50, 1.59, 1.65</p>	<p>1.11, 1.13, 1.15, 1.50, 1.53, 1.58</p>	<p>1.29, 1.30, 1.60, 1.62-Rec</p>	<p>1.53, 1.58</p>	<p>1.11, 1.18, 1.31, 1.37, 1.39, 1.40, 1.64,</p>

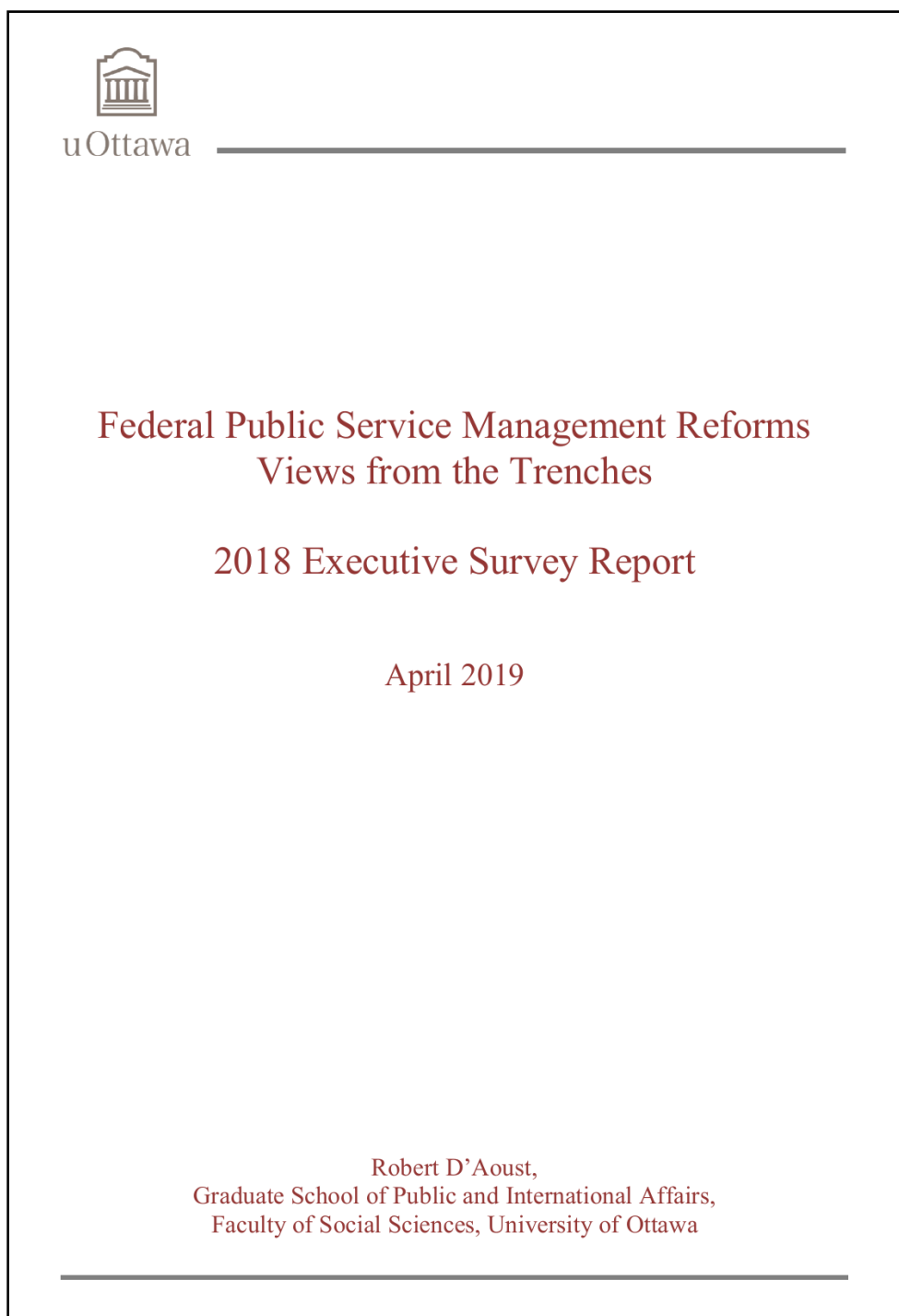
AUDITS OF MANAGEMENT REFORM INITIATIVES	GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES	PERFORMANCE OBJECTIVES, INFO AND RESULTS	RESOURCES AND CAPACITY	PROJECT OR INITIATIVE MANAGEMENT
<p>5] REQUIRED REPORTING BY FEDERAL ORGANIZATIONS Auditor General of Canada, Spring 2015, Report 2</p> <p>Notes:</p> <ul style="list-style-type: none"> Audit tied to commitments by TBS and PSC to streamline reporting <p>PSC Public Service Commission TBS Treasury Board Secretariat</p>	<ul style="list-style-type: none"> During the audit period, TBS and PSC reviewed and reduced some reporting requirements Required reporting needs to be adjusted based on effort, cost and value 	<ul style="list-style-type: none"> Central agencies provided reporting guidance and support 	<p><i>(Not covered or Reported)</i></p>	<ul style="list-style-type: none"> Selected reporting requirements had clear purposes and timelines Inadequate monitoring of reporting compliance Accountability and compliance reports serving their purposes Limited use of reported information for internal decision-making 	<ul style="list-style-type: none"> Effort or cost of reporting not determined. Possible that resources are used to prepare reports of limited use 	<ul style="list-style-type: none"> Entities met most requirements and established quality assurance processes for reporting Some reporting requirements not met that would be useful for internal purposes No full inventory of reporting requirements, and no tracking of changes / trends
<p><i>Report Key Paragraph References:</i></p>	<p>2.32 to 2.35, 2.43R</p>	<p>2.14, 2.18,</p>		<p>2.14, 2.18, 2.67, 2.68R, 2.69, 2.72, 2.77, 2.85R, 2.101, 2.102</p>	<p>2.14, 2.27, 2.36, 2.37, 2.91, 2.92</p>	<p>2.14, 2.59 to 2.61, 2.14, 2.45, 2.50, 2.53R, 2.91, 2.92</p>
<p>6] FOLLOW-UP AUDIT ON INTERNAL CONTROLS OVER FINANCIAL REPORTING Auditor General of Canada, Fall 2013, Chapter 1</p> <p>Notes:</p> <ul style="list-style-type: none"> Audit included the implementation of the 2009 PIC <p>AG Auditor General ICFR Internal Controls over Financial Reporting OCG Office of the Comptroller General (part of TBS) PIC Policy on Internal Control TBS Treasury Board Secretariat</p>	<ul style="list-style-type: none"> OCG monitored progress in implementing PIC and ICFR and engaged departments 	<ul style="list-style-type: none"> TBS/OCG provided ongoing guidance and support on ICFR Per the AG, the OCG should take more direct action to help ensure the timely completion of ICFR 	<ul style="list-style-type: none"> Responsibilities detailed in PIC: <ul style="list-style-type: none"> OCG responsible for oversight and recommending corrective action if needed Deputy Heads responsible for implementing PIC and timelines 	<ul style="list-style-type: none"> 5 of 7 departments made unsatisfactory progress Completing ICFR will take several years due to delays, but no set timelines in PIC Reported improvements to internal controls as results of ICFR 	<ul style="list-style-type: none"> Departments reported delays or changes due to work-force adjustments, strategic reviews and competing priorities (i.e. capacity) 	<ul style="list-style-type: none"> Only 3 of 7 departments have fully tested their controls Only 2 of 7 departments have a continuous monitoring program
<p><i>Report Key Paragraph References: (MP: Main Points section)</i></p>	<p>MP p2, 1.25, 1.29</p>	<p>MP p2, 1.25, 1.29, 1.30, 1.31, 1.32, 1.35, 1.36</p>	<p>MP p2, 1.6, exh 1.1, 1.27, 1.28, 1.33R</p>	<p>MP p2-3, 1.9, 1.15, 1.17, 1.20, 1.34, 1.21, exh1.3,</p>	<p>1.20</p>	<p>MP p2, exh 1.2, 1.18-20</p>

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<p>7] STATUS REPORT ON EVALUATING THE EFFECTIVENESS OF PROGRAMS Auditor General of Canada, Spring 2013, Chapter 1</p> <p><u>Notes:</u></p> <ul style="list-style-type: none"> Audit focused on new Policy on Evaluation introduced in 2009 <p>AAFC Agriculture and Agri-Food Canada CEE Centre of Excellence for Evaluation (part of TBS) FAA Financial Administration Act FOC Fisheries and Oceans Canada G&C Grant and Contribution HRSDC Human Resources and Skills Development Canada MAF Management Accountability Framework TB Treasury Board TBS TB Secretariat</p>	<ul style="list-style-type: none"> There are gaps in how TBS monitors evaluation coverage in departments via the MAF reports Departments established processes, involving their evaluation committees, to monitor the implementation of prior evaluation recommendations Departments are not all fully realizing the benefits of using evaluation results in TB submissions As required, departments audited established evaluation committees, which met 4 times per year on average 	<ul style="list-style-type: none"> Departments concerned about obligations to evaluate all programs each 5 years, and always address all core evaluation issues, thus limiting best use of resources. Policy and Directive enhanced requirements to collect performance information both for management and evaluation Policy and guidance on generating ongoing performance information Adequate TBS guidance on the use of evaluation findings While progress was made, TBS needs to provide more guidance in key areas 	<ul style="list-style-type: none"> TBS responsible to monitor departments' compliance with the Policy on Evaluation, and provide guidance to support performance measurement Departments responsible to implement performance measurement strategies and ensure that performance information is collected 	<ul style="list-style-type: none"> Departments established performance measurement strategies and progressed in collecting performance information ... However, more work remains ... Inadequate performance information prevented departments from properly addressing program effectiveness Departments audited surveyed managers to determine if evaluations met their needs Departments did not all evaluate all ongoing G&C programs over a 5-year period as required by the FAA Evaluation reports did not all address the 5 required core evaluation issues 	<ul style="list-style-type: none"> Audited departments maintained or increased their capacity to evaluate programs. Expanded Policy (2009) and FAA (2006) requirements for evaluating all grant and contribution programs each 5 years, challenged departments' evaluation capacity. TBS's CEE has the capacity to support departments to meet evaluation requirements 	<ul style="list-style-type: none"> Departments introduced processes for using findings and recommendations to improve program performance and support decision making.
<p><i>Report Key Paragraph References: (MP: Main Points section)</i></p>	<p>1.28, 1.32-34, 1.66, 1.68</p>	<p>MP p6, 1.36-46, 1.48-50, 1.57, 1.66, 1.76</p>	<p>1.28, 1.57, 1.53</p>	<p>MP p 6, 1.16, 1.25, 1.26, 1.52-56, 1.58, 1.61</p>	<p>MP p 6; 1.3, 1.76</p>	<p>MP p 6, 1.66, 1.81</p>
<p>8] GRANT AND CONTRIBUTION PROGRAM REFORMS Auditor General of Canada, Fall 2012, Chapter 2</p> <p><u>Notes:</u></p> <p>ADM: Assistant DM DM Deputy Minister</p>	<ul style="list-style-type: none"> TBS developed an engagement strategy to encourage all organizations with G&C programs to participate TBS chairs and supports G&C committees, 	<ul style="list-style-type: none"> TBS led the new Policy on Transfer Payments, provided leadership and guidance to implement across government. 	<ul style="list-style-type: none"> New TB Policy on Transfer Payments clarified accountabilities and responsibilities of the TB, TBS and deputy heads of federal organizations. 	<ul style="list-style-type: none"> TBS and departments audited had not assessed the impacts of implementing the GAP on their own processes or on burden for recipients. Thus, they cannot assess 	<p><i>(Not covered or Reported)</i></p>	<ul style="list-style-type: none"> Government has adequately implemented its GAP to reform the administration of G&C TBS established a framework to review the Policy and

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G&C GAP TBS TB	Grant and Contribution Government Action Plan Treasury Board Secretariat Treasury Board	including: • DM committee on reform strategic direction; • ADM committee on the implementation of reforms ■ TBS monitored if organizations aligned their terms and conditions with the new Policy, and recommended corrective actions when required	■ Departments consulted with applicants and recipients to redesign G&C programs, and began to set service standards. ● TBS has not provided adequate guidance to ensure risk ratings of programs and recipients are accurate and remain current, or to assess the impacts of the reforms		if actions have led to better processes ● Evaluations and audits of G&C programs pointed to the need for better recipient performance information which could be used to focus on recipient audits		directive, and a 5-year review process ● Review process did not specify how impacts of reforms would be assessed ■ TBS supported pilot projects to re-structure G&C agreements ■ Departments developed recipient risk ratings, linked to reporting requirements ■ Departments conducted recipient audits where warranted, and properly assessed documentation before issuing payments
<i>Report Key Paragraph References: (MP: Main Points section)</i>		2.14, 2.17, 2.21	MP p2, 2.11, 2.14, 2.17, 2.20, 2.23, 2.42, 2.45, 2.48, 2.51-52	2.12	MP p2, 2.23, 2.25, 2.38-39, 2.56		MP p2, 2.13, 2.19 2.34-35, 2.40
9] LARGE INFORMATION TECHNOLOGY PROJECTS Auditor General of Canada, 2011 Status Report, Chapter 2 <u>Notes:</u> • Audit included follow-up on 2006 audit of IT, and PAC's 2008 7 th report to the HoC	ADM Assistant DM CIO Chief Information Officer (part of TBS) DM Deputy Minister HoC House of Commons IT Information Technology	● Progress unsatisfactory for governance and business cases. Example: key deliverables deferred without analysis of impacts and costs ■ TBS challenged departments' IT project submissions, and provided a first semi-annual TB report on the health of large IT projects ■ New governance mechanisms enhanced	■ TBS completed new policies, standards, and guidance that will impact IT projects by the end of the 5 year implementation period	◆ Per TBS, its challenge function is limited to reviewing policy compliance, as DMs are responsible for project submissions ■ SFOs are now responsible to attest to their DMs that the submission is fairly presented and supported, and due diligence exercised.	● Most business cases did not clearly identify and measure benefits, or compare results against plans and targets	● In 2006, for 4 of 7 projects, departments lacked the required skills and experience ■ Some departments adequately assessed their capacity, and demonstrated readiness for business transformation	● In 2006, only 2 of 7 projects were well-managed, and 5 had incomplete business cases. In 2011, overall progress was unsatisfactory on governance and business cases ■ Some departments adequately managed projects risks, and most took steps to enhance risk management

AUDITS OF MANAGEMENT REFORM INITIATIVES	GOVERNANCE, OVERSIGHT AND STRATEGY	STAKEHOLDER COORDINATION AND GUIDANCE	ROLES AND RESPONSIBILITIES	PERFORMANCE OBJECTIVES, INFO AND RESULTS	RESOURCES AND CAPACITY	PROJECT OR INITIATIVE MANAGEMENT
PAC Public Accounts Committee TB Treasury Board TBS TB Secretariat SFO Senior Financial Officer (or Chief Financial Officer)	ced monitoring of large projects – ADM Executive Project Oversight Committee chaired by the CIO ● Governance structures problematic, and issues in 2 of 4 projects audited					
<i>Report Key Paragraph References: (MP: Main Points section)</i>	MP p2, 2.17-19, 2.22-23, 2.38, 2.58	MP p2, 2.22, 2.25, 2.30-32, 2.40, 2.84, 2.97	2.26-27	2.59, 2.65, 2.68-69, 2.76, 2.79, 2.84	MP p1, MP p 2, 2.86, 2.94	MP pp1-2, 2.95, 2.98, 2.100, 2.102, 2.106, 2.107
10] MODERNIZING HUMAN RESOURCE MANAGEMENT Auditor General of Canada, Spring 2010, Chapter 2 <u>Notes:</u> • Audit reviewed the implementation of the 2003 PSMA, but not its HRM effectiveness ABCAR Advisory Board - Compensation, Analysis, Research DM Deputy Minister or Head HRM Human Resource Management OCHRO Office of Chief HR Officer PS Public Service PSC PS Commission PSLRB PS Labour Relations Board PSMA PS Modernization Act TBS Treasury Board Secretariat	■ To resolve concerns on governance, in 2009 OCHRO was created within TBS but role continued to evolve ■ PSC via its enhanced oversight role, implemented a new framework to monitor staffing and conducted related audits and investigations ● DMs would like more stability in roles, responsibilities and organizational structure of HRM, which were still in transition	■ In some areas central guidance, policies and regulations were developed to help DMs exercise their HRM responsibilities.	■ Primary responsibility for HRM and staffing has been transferred to DMs ■ Central HR agencies have exercised their new or revised responsibilities per PSMA	● HRM reports to Parliament provided info on implementation and activities, but only some info on interim results ● Insufficient information on results achieved could limit the ability to meaningfully support legislative reviews and inform Parliament ● PSC reported the time needed to staff positions had not improved ● TBS's HRM reports to Parliament were provided late	● Some options of PSMA not fully used because of resource or capacity issues. Example. lack of HR capacity to support pre-qualified pools and non-advertised processes	■ Key requirements of PSMA were implemented, and changes made to allow more flexibility in how the PS is staffed and recourse managed ● Difficulties in implementing some aspects of PSMA, including: • new tools and mechanisms • lack of stable PSLRB funding • ABCAR positions unfilled • new merit-based appointments • non-advertised process
<i>Report Key Paragraph References: (MP: Main Points section)</i>	MP p2, 2.25, 2.39-42, 2.43-46	2.22, 2.24	MP p2, 2.23, 2.25-30	MP p2, 2.38, 2.49-55, 2.59, 2.69-71	2.37	MP p2, 2.16-21, 2.23, 2.32-37

**ANNEX D.: FEDERAL PUBLIC SERVICE MANAGEMENT REFORMS
2018 EXECUTIVE SURVEY REPORT - MAIN SECTIONS**



Note: Full Report including Annexes available at

https://socialsciences.uottawa.ca/public-management-policy/sites/socialsciences.uottawa.ca/public-management-policy/files/survey_final_report_ps_management_reforms_v6-1.pdf

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2018 Executive Survey Report available online
(link per previous page)**

1. OVERVIEW

WHY MANAGEMENT REFORMS MATTER

Government management reforms matter because the performance and productivity of the public sector have a substantial influence on the Canadian economy and society more broadly. For instance, governments both consume and produce considerable goods and services, as well as support the economy through public policy, regulations, infrastructure and various essential services. This is especially relevant given that concerns over Canada's lagging productivity are widely recognized,¹ and Canada's Public Policy Forum reported in 2014 that the broader public sector – all three levels of government – accounted for nearly 40% of Canada's GDP.²

The importance of public sector productivity and effectiveness is well-established.³ Furthermore, different studies and surveys have examined the consequences of public sector work environments on employees' engagement, health and productivity.⁴ In this vein, the path to better productivity and healthier workplaces is often sought through initiatives aimed at improving (reforming) how public sector organizations are managed.

To its credit, the federal public service of Canada has a long history of striving to improve how it manages its numerous programs and services across its many departments and agencies. For instance, the annual reports of the recent clerks of the Price Council illustrate the ongoing importance of the many priorities aimed at improving the management and productivity of the public service. The past priorities and results also reveal, however, the often repetitive attempts at similar management reforms and the daunting challenges of making headway in certain areas. For some reform priorities, such as simplifying internal administrative rules and processes, tangible results remain elusive and objective information on actual outcomes is seldom available.

WHAT WE SURVEYED

The intent of this survey was to take a broad look across recent horizontal management reforms to increase our knowledge of common challenges, results and lessons, and to inform future initiatives. In late 2018, we surveyed Canadian federal public service executives regarding the nature of their work and how it was evolving, and the results of recent government-wide reforms. We also solicited their perspectives on the public service's implementation and management of its reform agenda and initiatives.

We obtained the views of executives from a wide range of organizations and exercising diverse functions, on how their work, themselves and their staff were impacted by management reforms. Essentially, getting the views from the trenches.

1 Example: "OECD Economic Surveys – Canada Executive Summary", OECD, June 2018, page 7.

2 "Changing the Game: Public Sector productivity in Canada", Canada's Public Policy Forum, 2014, page 1.

3 "Challenges in the Measurement of Public Sector Productivity in OECD Countries", OECD (E. Lau, Z. Lonti, R. Schultz), International Productivity Monitor, Number 32, Spring 2017.

4 Examples: 1] "Maximizing Employee Engagement Within the Federal Public Service", G. Dowden, APEX, 2015; 2] Surveys such as the periodic Public Service Employee Surveys, and surveys of the Association of Professional Executives of the Public Service of Canada (APEX). 3] See also footnote 19.

WHAT EXECUTIVES REPORTED

A total of 353 executives from 46 different federal organizations answered our survey, and also provided valuable written comments. The following observations summarize the survey's essential results, and further details are provided in the report's main sections and annexes.

1. The workload of executives is increasing. Compared with prior surveys by the Association of Professional Executives of the Public Service of Canada (APEX), the average number of hours worked per week has risen slightly since 2012, and is now more comparable to those from the early and mid 2000s. More importantly, the proportion of executives working more than 55 hours per week has gone up by more than half (from 25% in 2012 to 39%). Generally, the more senior the executive, the more hours he or she worked.
2. The nature of the workload is changing. Overall, executives reported spending less time in recent years on strategic direction and innovation, and more time on indirect administrative activities. While on average, the time spent on ongoing operations and program or service delivery has remained fairly constant.

Currently, executives spend on average 44% of their time on direct operations and delivery of programs or services, 28% on indirect administrative or support activities, 18% on strategic direction and innovation, and a further 11% on non-essential activities or requirements that are neither directly nor indirectly related to their main purpose.

3. Consistent with the previous 2017 APEX survey, a solid majority of executives reiterated that their work remains challenging: they have constant time pressures and a heavy workload; suffer too many interruptions; their jobs have become more demanding; and employees do not have the tools and technology to do their jobs properly. In addition, the following factors were all reported as having increased in the last 5 years:
 - ✓ Number of hours worked per week by executives;
 - ✓ Scope and diversity of executives' responsibilities;
 - ✓ Workload of executives' organizational units;
 - ✓ Proportion of their organizational units' time spent on administrative activities;
 - ✓ Administrative activities transferred to their units from other parts of the organization;
 - ✓ Complexity and difficulty of delivering their respective operations, programs or services.

In addition, roughly two-thirds (2/3) of survey participants indicated that both the effectiveness of administrative policies, processes and systems, and executives' capacity to focus on strategic issues or innovation, were in decline. More encouraging were the executives' dominant views that there were improvements to:

- ✓ The work productivity of their organizational units;
 - ✓ The quality and relevance of their units' functions, operations, programs or services;
 - ✓ The executives' own work productivity.
4. The survey asked executives to identify the main causes underlying the various recent changes to their work and workplace. The three main causes were: Government priorities

and organization; Management policies, processes and systems; and Technological changes. Accordingly, this helped determine that changes are predominantly driven by internal factors, over which the public service and government largely have control.

5. Executives considered if the effectiveness and efficiency of broadly defined functional areas, common to most departments, improved or worsened in the past five years as a result of horizontal management reforms or similar initiatives. Overall, more executives reported a worsening across most functions, but the following were all decisively rated the poorest:
 - ✓ Information technology management and services;
 - ✓ Expenditure management, systems and processes;
 - ✓ Procurement management and processes;
 - ✓ Facilities and accommodation standards and services;
 - ✓ HR classification and staffing processes;
 - ✓ HR and business planning.

While no areas were clearly rated “improved” by most executives, for a few there was an evident favorable margin between those who assessed them as “improved” versus “worsened”:

- ✓ Values, ethics and wrongdoing disclosure;
 - ✓ Internal audit and audit committees;
 - ✓ Grants and contributions funding and management processes.
6. The most telling results are those addressing the cumulative impacts of recent management reforms. A majority of executives reported that the reforms of the past five years had not resulted in improvements to any of the 6 defined outcomes related to:
 - ✓ Impact on the work of executives;
 - ✓ Work productivity of executives;
 - ✓ Work productivity of executives’ units or personnel;
 - ✓ Capacity to deliver key functions, programs or services;
 - ✓ Quality or outcomes of functions, programs or services;
 - ✓ Work environment (e.g. morale, work-life balance, participation, inclusiveness).

This may initially appear to partially contradict the previous results on work productivity (per item 3. above). The key distinction to emphasize, however, is the lack of productivity improvements reported here (item 6.) is in relation to the results of management reforms.

7. Finally, executives assessed the public service’s effectiveness and efficiency at implementing and managing its reform agenda and horizontal initiatives. Executives reported that the public service effectively aligns its reform agenda and initiatives to the priorities of the elected government. For 5 of the 6 remaining criteria, however, the predominant views were that the public service does poorly with respect to:
 - ✓ Allowing sufficient capacity and resources to implement reforms, while maintaining ongoing operations, programs and services;

- ✓ Defining the roles of central agencies, departments and other key players to ensure good coordination of reforms;
- ✓ Setting clear performance objectives and intended outcomes for reform initiatives, and monitoring results accordingly;
- ✓ Overseeing the overall reform agenda to ensure consistency and coordination between individual initiatives;
- ✓ Staffing executive positions to ensure the capacity, expertise and stability needed to successfully manage and implement reforms.

In addition to the results synthesized under the preceding topics, executives also provided many insightful written comments and responses to the survey's optional open-ended questions. These are most useful to better grasp executives' concerns and interpret the quantitative results, and are detailed in Annex A. What is conspicuous is the consistent critical tone and sense of frustration with a worsening work environment, which is echoed in the majority of the comments provided.

The combination of the survey's findings and executives' comments is alarming and depicts an overall dire and deteriorating work environment. An environment where work is increasing and becoming more complex, where executives are less strategic and more burdened with administration and red-tape, where many processes and systems are not efficient, and where past management reforms have often failed to deliver the needed improvements and productivity gains.

WAY FORWARD

While the consequences of a major failure – like the well-publicized federal pay system (Phoenix) – may be easily identified, the combined impact of a small number of less notorious but mainly problematic initiatives may be less obvious but just as consequential. As many emphasized, there are insufficient efforts directed at assessing the cumulative impacts of the many changes occurring across the public service, and at identifying and applying the lessons of the past:

“Cannot over-estimate the demoralizing impact of pay issues. ... Now how do we ensure this never happens again - are lessons really learned including by senior managers - let's be more open on this.” (Senior Assistant Deputy Minister, survey participant)

“We must be able to measure how we are working and the outcomes we are achieving, so we can learn.” (Wernick)⁵

“But the real question for the government to think about is why do we keep finding and reporting serious problems, and why do incomprehensible failures still happen?” (Ferguson)⁶

“There is still work to be done to hear and incorporate the views of Executives on reform initiatives. There are few opportunities to ‘speak truth to power’, nor have we achieved a Public Service senior management or political culture that welcomes this approach.” (Survey participant)

Heeding these views, the public service needs to comprehensively assess the overall impacts of its different initiatives, and better address past lessons and systemic obstacles in order to improve the results of its management reforms. This survey was intended as a step in that direction.

5 “Twenty Fourth Annual Report to the prime Minister on the Public Service of Canada”, Michael Wernick, Clerk of the Privy Council and Secretary to the Cabinet, For the year ending March 31, 2017, page 33.

6 Mr. Michael Ferguson, Former Auditor General of Canada, Office of the Auditor General News Release, May 2018.

2. CONTEXT

2.1 BACKGROUND

The federal government is the largest and most complex public service organization in Canada. As such, it has traditionally been quite active in attempting to improve how it manages and operates, in order to deliver its myriad of programs and services as effectively and efficiently as possible. In that context, it has over the years conducted a broad-range of horizontal management reform initiatives across its many departments and agencies.

This survey of federal public service executives contributes to our understanding of the challenges and outcomes of recent management reforms. The survey was conducted in November and December 2018, as part of the Executive in Residence Program of the University of Ottawa's Graduate School of Public and International Affairs.

2.2 OBJECTIVE AND SCOPE

The survey sought the views of executives on the evolving nature of their work, the effectiveness of past management reform initiatives, and the overall impact of such initiatives on their work, productivity and work environment. It also sought their opinions on the public service's success in implementing and managing its reform agenda and initiatives.

Management reforms were broadly defined, in the survey questionnaire, as significant initiatives that involved multiple departments, and primarily focused on improving internal or cross-cutting functions impacting different programs or services. Recent reform initiatives would have been implemented, or substantially modified, within the last 10 years (maximum). A few examples would include: red tape reduction, policy suite renewal, transfer payment reform, financial systems consolidation, HR performance management and processes, procurement reform, regulatory management directive, common IT services, email transformation, gender-based analysis, revised Management Accountability Framework, Results Policy (not a comprehensive list).

The survey was focused mainly on the direct aspects of executives' work and the effectiveness of management reforms. Other more peripheral aspects, although possibly linked to reforms, were not part of the survey's scope and structured questions, but nonetheless were often referred to in the written comments received from participants. For instance, related topics such as job satisfaction, remuneration, engagement, talent management, work culture, and executives' physical and mental health (to name a few) were not directly covered.

2.3 METHODOLOGY AND RESPONSES

- The survey was initially launched with the assistance of the Association of Professional Executives of the Public Service of Canada (APEX), through its November 2018 Newsletter. APEX reported that its Newsletter was distributed to close to 7,500 executive recipients.

- The survey was also promoted via a blog on the “Executive Corner” of the CGconnex government collaboration platform. Finally, individual email invitations were sent to a sample of approximately 1,300 executives randomly selected from 19 departments within the core public administration.
- The survey was conducted on a volunteer and confidential basis using the University’s approved survey platform, which hosts its data on Canadian servers. The survey questionnaire was offered in both French and English, and took on average 16 minutes to complete.
- In total, 353 executives responded to the survey, and 84% of those fully completed the survey by answering all required questions. Statistical analysis revealed no significant differences between the responses of the partially and fully completed sub-groups.⁷
- While the number of total respondents is sizeable, the sample is essentially a volunteer-based sample, because participants self-selected by deciding to participate. Therefore, the sample cannot be considered fully random as it may reflect a possible volunteer-bias. Accordingly, caution should be exercised not to unduly infer conclusions about the entire population of executives.⁸ Unless otherwise noted, this report refers to executives as the respondents to the survey.
- The survey was in part intended as a further exploration of some of the work-related questions of APEX’s 2017 “Executive Work and Health Survey”. Six questions were repeated from APEX’s much broader-based survey, and results were very comparable between both surveys.⁹ This helped corroborate the reliability of this survey’s results.
- The large majority of executives (95%) who participated were classified as EXs (i.e. Executives), while others were mainly EX equivalents or above. For those who identified their recent work locations, 84% worked in the National Capital Region (NCR), 19% outside the NCR and 5% worked in international offices.¹⁰
- Survey participants worked in 46 different federal organizations, which included federal departments (74% of participants), divisions or branches of the public administration (15% of participants) and departmental corporations (11% of participants).¹¹ For comparative purposes, based on information from the Treasury Board Secretariat¹², there was an estimated total of 6,660 EXs in these types of organizations as of March 2018, and approximately 5,850 EXs in the 46 organizations identified.

7 Refer to Annex B sub-section on "Statistical and Demographic Analyses" for details of the statistical tests.

8 A confidence or credibility interval should not be estimated for such non-probability sample, see footnote 34 reference.

9 Refer to Annex B sub-section on "Statistical and Demographic Analyses", and report Section 3.1 (Table 1, Exhibit 2).

10 Total exceeds 100% as participants identified their work locations of the last 5 years and multiple choices were allowed.

11 297 participants identified their organization, which included as defined in the Financial Administration Act: departments (FAA Schedule I), divisions or branches of the federal public administration (FAA Schedule I.1), and departmental corporations (FAA Schedule II).

12 Compiled from the dataset “Population of the federal public service by department and executive level”, available via the on-line TBS document (modified 2018-11-13, as of Feb 8, 2019: <https://www.canada.ca/en/treasury-board-secretariat/services/innovation/human-resources-statistics/population-federal-public-service-department.html>).

3. KEY FINDINGS

This section – Key Findings – presents the survey’s main results and observations under four broad topics: Nature of executive work, Work trends and factors, Reform results and outcomes, Reform implementation and management. The subsequent two annexes present information on executives' written comments and responses (Annex A.), and on the survey's detailed results, approach and analysis (Annex B.).

3.1 NATURE OF EXECUTIVE WORK

Understanding the nature and evolution of executives' work is a useful prelude to the survey’s main purpose – examining the effectiveness and outcomes of management reforms – since reforms are normally aimed at improving the work, productivity or workplace of public servants, including executives.

- Executives surveyed reported working an average of 51.9 hours per week. This is comparable to APEX's reported average work weeks since 2002, but subject to small decreases noted in 2012 and 2017 (Table 1.).

Table 1. Comparative Summary of Executives’ Working Hours (Survey question 1.)

Hours Worked by Executives	Current Survey	APEX 2017 ¹³	APEX 2012	APEX 2007	APEX 2002
A] Average Hours worked per week - all executives:	51.9	50.9	50.7	52.1	52.5
B] Average Hours worked per week by EX Level:			not available		
• EX-1	49.4	49.4			
• EX-2	51.1	51.1			
• EX-3	55.4	53.0			
• EX-4 and EX-5	59.2	56.5			
C] Portion working 55 Hours or more - all executives:	39.1%	35%	25%	29%	34%
D] Portion working 55 Hours or more by EX Level:			not available		
• EX-1	25.2%	27%			
• EX-2	35.4%	38%			
• EX-3	60.6%	51%			
• EX-4 and EX-5	65.4%	60.5%			

- It is difficult to conclude if a 52-hour work week should be considered normal for public service executives, as similar points of reference are diverse and not always comparable. Both Statistics Canada and the US Bureau of Labor Statistics estimate average work weeks for management and similar occupations of between 40 and 44 hours.¹⁴ However, other

13 APEX survey results for 2002, 2007, 2012 and 2017 are from the “Association of Professional Executives of the Public Service of Canada - Executive Work and Health Survey”, 2017 Results, 5th Edition, January 2018 (page 20, 103). Some results differ from the original 1997 and 2002 APEX survey reports. The portion of EX-4/5 working 55+ hours under APEX 2017 was estimated by averaging the distinct EX-4 and EX-5 results (56% and 65% respectively).

14 1] Statistics Canada: "Table 14-10-0320-02 Average usual hours and wages by selected characteristics, monthly, unadjusted for seasonality" (April 2019); 2] US Bureau of Labor Statistics, "Labor Force Statistics from the Current Population Survey" ("<https://www.bls.gov/cps/lfcharacteristics.htm>", hours of work, annual, modified Jan 2019)

studies of CEOs, executives and professionals report various and usually much busier work weeks, including possibly as high as 72 hours per week.¹⁵

- More noteworthy, the proportion of executives working 55 hours or more per week increased considerably, by more than half, having jumped from 25% to 39% since 2012. Both the average hours per week and the proportion of those working 55 hours or more, increase steadily with executives' classification levels – from EX-1 to EX-4/5. This, despite that APEX reported in 2017 that “Lower level executives are much more likely to have issues managing the demands of work.”¹⁶
- The survey also examined the average distribution of executives' workload according to four major types of activities. These activities served to assess the relative importance of the strategic, operational and administrative portions of executives' work, as well as their time spent on other non essential activities (Table 2.).
- On average, executives spend an estimated 44% of their time on direct operations or delivery of their programs or services, 28% on indirect administrative or support activities, 18% on strategic direction and innovation, and a further 11% on activities or requirements that are neither directly nor indirectly related to their main purpose – “non essential” activities.

Table 2. Executive Workload by Key Activities (Survey question 3.)

Key Types of Activities and Descriptions	Average Workload	Distribution Highlights (% of executives)
A) Strategic Direction and Innovation: Future focused activities to establish the vision, strategic direction or plans of your department/agency or organizational unit. As well, activities to develop and implement new policies, programs/services, business processes, systems or innovations.	18%	61% estimate these activities are 5 to 15% of their workload 45% estimate they spend less than 10% on these activities
B) Direct Operations and Program/Service Delivery: Activities to directly manage, coordinate and oversee the ongoing delivery of your department/agency or organizational unit's current functions, operations, programs or services.	44%	55% estimate these activities are 30 to 50% of their workload 73% estimate they spend 50% or less on these activities
C) Indirect Administration: Activities indirectly related to the management or delivery of operations, programs or services, such as necessary enabling or support activities (e.g. finance, HR, IM/IT, procurement, communications, legal, and other functions in support of delivery).	28%	84% reported activities total 10 to 40% of their workload 60% estimate they spend 25% or more on these activities
D) Other Activities or Requirements: Activities not directly or indirectly contributing to your department or organizational unit's main purpose, or to the management or delivery of related functions, operations, programs or services (i.e. non essential).	11%	74% reported these activities total 5 to 15% of their workload 63% estimate they spend 10% or more on these activities

- The distribution of these results is also noteworthy. For instance, 73% of executives spend 50% or less of their time on their operations, programs or services; 45% spend 10% or less

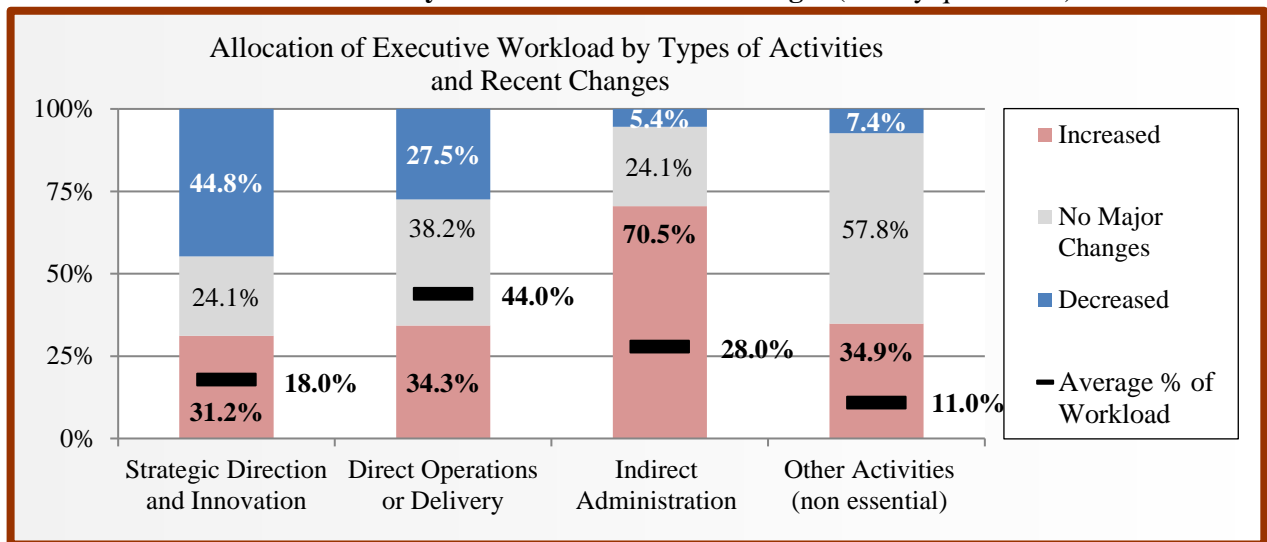
15 Examples: 1] "How CEO's Manage Time", M.E. Porter and N. Nohria, Harvard Business Review, July-August 2018 (reported 62.5 hours average); 2] "This is the Secret Way CEOs Stay Ultra-Productive", J.P. Pullen, Time magazine, October 2015 (reported 58.2 hours average); 3] "Welcome to the 72-Hour Work Week", J.J. Deal, Harvard Business Review, September 2013.

16 APEX "Executive Work and Health Survey" 2017 Results, page 7.

of their time on strategic or future focused endeavors; while 60% estimate they spend 25% or more on administration. In addition, executives indicated that their workload had evolved in the last 5 years, in relation to the same four activity types (Exhibit 1.). A significant majority (70%) reported that time spent on administrative activities had increased, while close to half (45%) stated they have less time for strategic or innovative pursuits.

- These results should be cause for concern, as charting the strategic direction of the public service is primarily the purview of executives, and the increasing high level of administrative work is likely not an effective use of valuable executive resources.
- While more than half of participants stated that the portion of time consumed by other activities has remained stable, just over a third also reported that it is increasing. Results were less polarized on whether the average workload related to ongoing direct operations has remained stable (38%), increased (34%) or decreased (28%).

Exhibit 1. Executive Workload by Activities and Recent Changes (Survey question 3.)

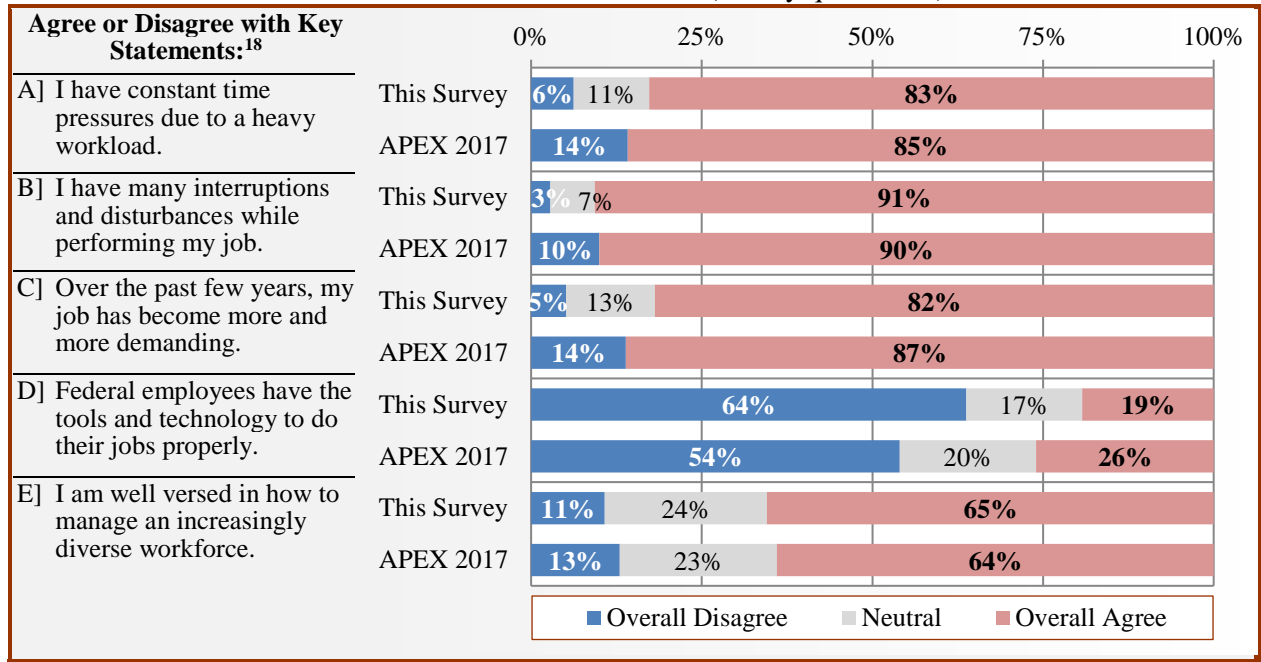


- In proportions very similar to APEX’s 2017 survey, executives confirmed that their work environment remains challenging. The large majority of executives reiterated that they have constant time pressures and a heavy workload, suffer too many interruptions, and that their jobs have become more demanding (Exhibit 2.).
- Almost two-thirds believe employees do not have the tools and technology to do their jobs properly – a 10% increase from APEX’s results of a year earlier. Although, under both surveys, about two-thirds feel they are well versed in how to manage a diverse workforce.
- There are some significant patterns between these results (Tables 1-2. and Exhibits 1-2.) and some of the demographic characteristics of executives. The following are noteworthy:¹⁷
 - ✓ As reflected above (Table 1.), the average hours worked per week is directly related to the level of the executive, but also to the number of years as a public service executive;

17 See Annex B, sub-section “Methodology and Statistical Analysis”, for more information.

- ✓ Those that were executives for 5 years or more disagreed further with the statement that "Federal employees have the tools and technology to do their jobs properly";
- ✓ More EX-1s and EX-2s reported an increase in administrative activities than their more senior colleagues (EX-3/5s).

Exhibit 2. Nature of Executive Work and Environment (Survey question 2.)



- Annex A provides an overview of the various comments and written responses received from participants. Not surprisingly, the majority of comments are consistent with the quantitative results outlined above (refer to selected examples, next page). While some executives reported notable progress in some specific areas, none appeared to suggest that the overall workload, productivity and work environment were satisfactory.
- These results and comments are significant and, when combined, portray a demanding and worrisome work environment, one which executives suggest is getting worse. In general, workload and the portion of executives working above the 55 hour threshold¹⁹ are both increasing. Simultaneously, there is a tendency for executives to be spending less time on strategic matters and more on administrative activities. Therefore, despite working more, the value of executives’ contributions appears lessened and less strategic, and the increased work is not necessarily a reflection of increased effectiveness or productivity.

¹⁸ Exhibit 2 compares the results of the current survey with the 2017 APEX survey, with respect to 5 statements. While the question and statements were identical, the APEX survey did not provide the option of a Neutral answer (“Neither Agree or Disagree”) for items A], B] and C]. This appears to explain the higher proportion of “Disagree” under APEX’s results (APEX 2017 report pages 27, 83, 84). Items may not add to 100% due to rounding.

¹⁹ Previous studies utilized 55 hours per week as an established threshold at which there are negative impacts on workers’ health and productivity. For example: “APEX 2012 Executive Work and Health Survey – Synopsis”, September 12, 2013 (page 3); and “Long working hours and risk of coronary heart disease and stroke: a systematic review and meta-analysis of published and unpublished data for 603 838 individuals.”, The Lancet, Vol 386, October 2015 (page 1739).

These findings are not entirely new and can be gleaned from other surveys and reports. Nonetheless, they are important to consider against the backdrop of the goals of recent public service management reforms. The annual reports of the clerks of the Privy Council to the Prime Minister have, through the years, advocated the need to better support public servants and address work related-issues such as those presented herein.²⁰

3.2 WORK TRENDS AND FACTORS

To better define the nature of, as well as the reasons for, the changes to executives' work, productivity and work-place, the survey focused on two additional questions.

First, executives were asked to assess the extent their work, and that of the organizational unit(s) for which they were responsible, had changed in the last five years in relation to a number of factors (Exhibit 3.).

- A solid majority (from 62% to 85%) of executives indicated that the following had increased:
 - ✓ Workload of their organizational units;
 - ✓ Scope and diversity of their responsibilities;
 - ✓ Complexity and difficulty of delivering their operations, programs or services;
 - ✓ Proportion of their units' time spent on administrative activities;
 - ✓ Administrative activities transferred to their units from other parts of the organization;
 - ✓ Number of hours worked.
- Likewise, a majority (almost two-thirds) indicated that both the effectiveness of administrative policies, processes and systems, and the capacity of executives to focus on strategic issues or innovation, were on the decline. Issues with administrative policies, processes and systems were also a recurring theme found in executives' written comments.
- On a positive note, the dominant views expressed by executives, although not by as clear a majority (48% to 53%), were that the following also increased:
 - ✓ The work productivity of the executives' organizational units;
 - ✓ The quality and relevance of the units' functions, operations, programs or services;
 - ✓ The executives' own work productivity.

NATURE OF EXECUTIVE WORK SELECTED COMMENTS:

"In recent years, it seems my work has become more and more transactional. I do not feel I have the same influence I had in the past."

"More work, less time, less people, fewer strategic decisions, more operational decisions, less autonomy."

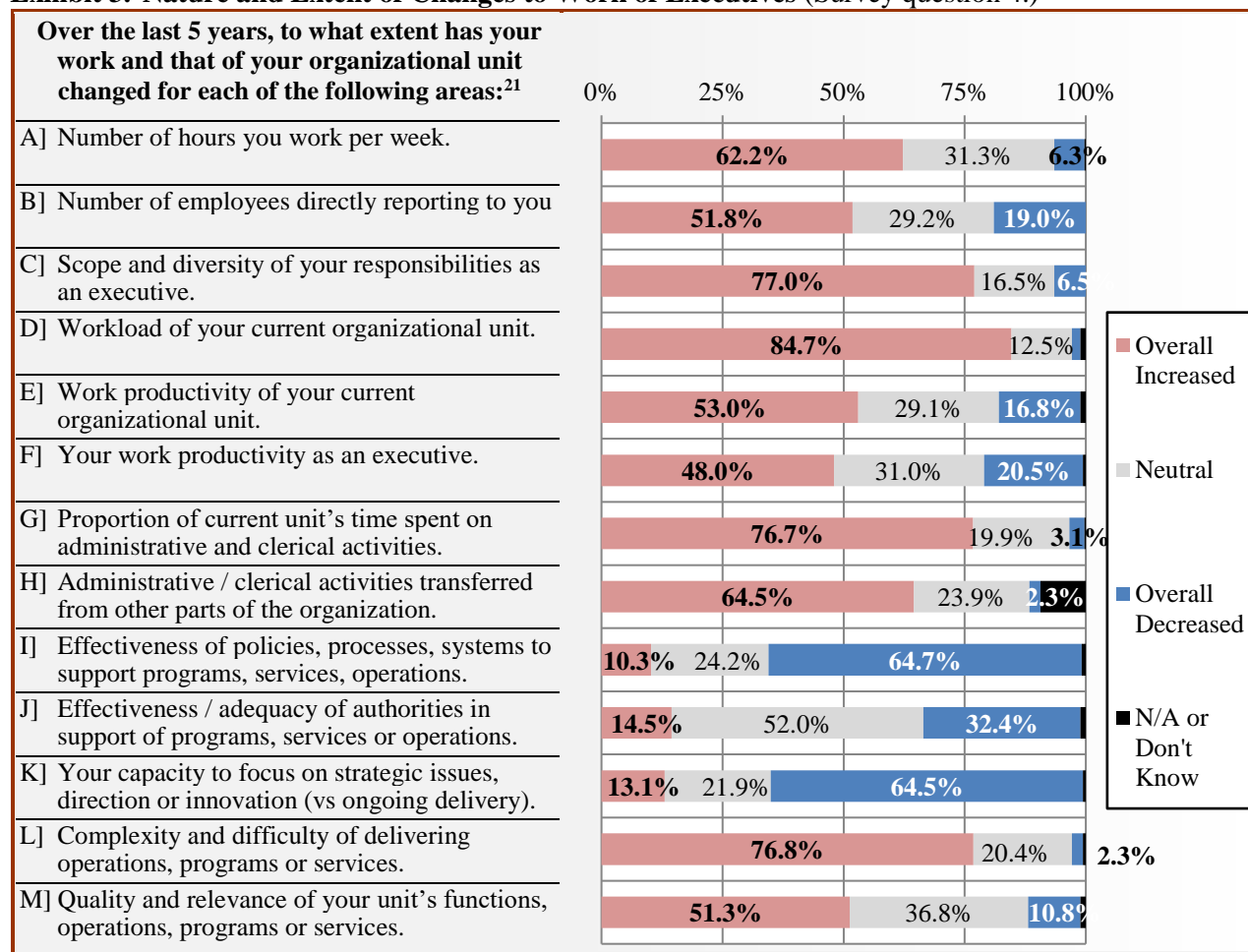
"Executives are supposed to be providing strategic direction, planning for the future - these days all we seem to do is chase our tail, put out fires and report, report, report."

"All my executives, including myself, are very overworked and I do not think this is sustainable in the long term, goes far beyond executive resiliency."

"The internal systems are not enabling mission critical work but acting as a drag on productivity and proper planning for the future."

"On parle de bien-être et de santé mentale, mais les pressions et exigences augmentent sans les ressources nécessaires. L'épuisement professionnel est omniprésent et aucune attention n'est apportée à ce problème. Senior management does not walk the talk."

²⁰ Example: "... give them the tools the workspaces and the decision-making structures to do their jobs. ... we must continue to build processes that are efficient and minimize the number of approvals stages and unproductive rules". Source: "Annual Report to the Prime Minister on the Public Service of Canada", Year ending March 31, 2018, Michael Wernick, Clerk of the privy Council and Secretary to the Cabinet, page 33.

Exhibit 3. Nature and Extent of Changes to Work of Executives (Survey question 4.)

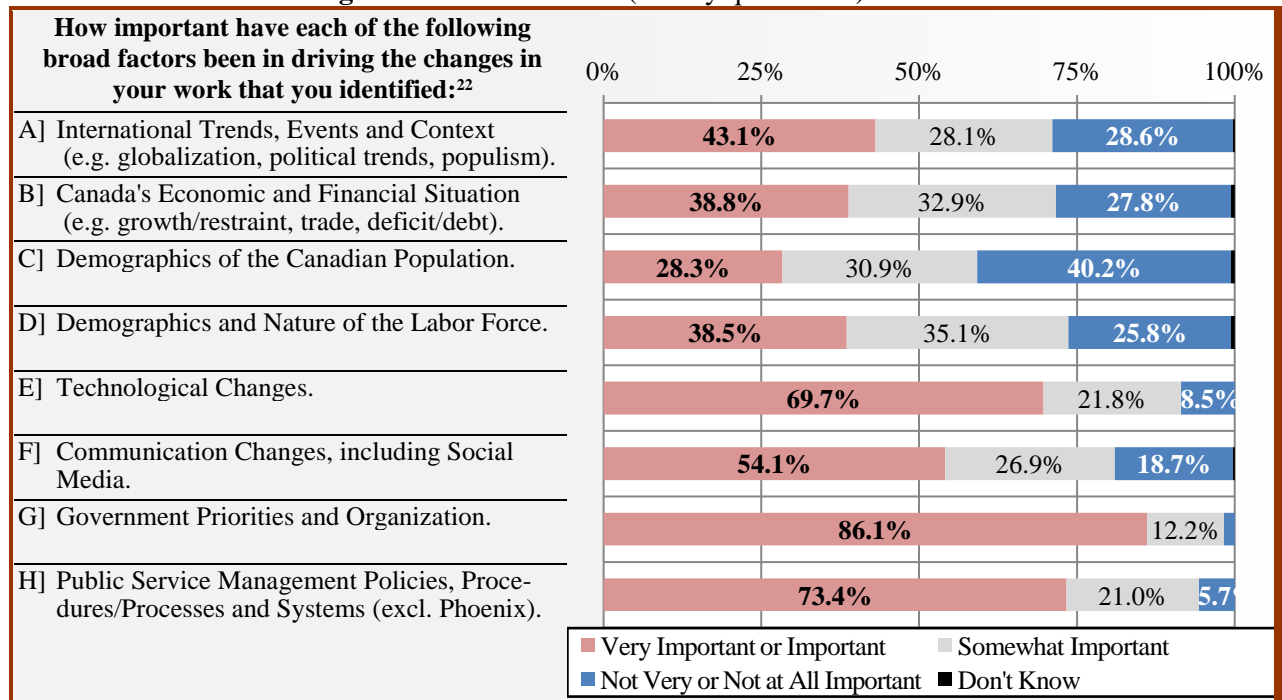
- There is an apparent inconsistency, however, in some of the views expressed. Specifically, it is difficult to reconcile the notion that productivity is increasing, while concurrently both administrative work is increasing and the effectiveness of processes and systems is worsening. The explanation appears to be that executives may have interpreted “productivity” more broadly than intended by the survey²¹, and likely considered indirect administration as productive work. In addition, the following trends help explain the results further:
 - ✓ Senior executives (EX-3s to EX-5s) were more inclined to indicate that their productivity had increased, and that the quality and relevance of their units' functions, operations, programs or services had also increased;
 - ✓ More EX-1s and EX-2s reported increases in administrative and clerical work, and a declining focus on strategic issues, direction or innovation;

21 The question's 13 areas (A) – (M)] were abridged for presentation in the graph, and the full text is found in Annex B. Also, “Overall Increased” combines answers of Increased Greatly and Increased Somewhat, and similarly “Overall Decreased” refers to both Decreased Greatly and Somewhat. The term “Work productivity” used in items E] and F] was defined as the average time spent on activities directly related to the strategic direction, management or delivery of the executive units' operations, functions, programs or services (see also items A] and B] in Table 2). Small percentages for “N/A or Don't Know” are not shown in the graph. (N/A: not applicable).

- ✓ Executives working outside the NCR noted lower increases in executive productivity and greater increases in administrative and clerical work.
- Many executives also commented on how else the nature of their work and activities had changed in recent years, in addition to the question’s preset factors (items A] to M]). Well over 200 comments were provided, which referred most often to issues pertaining to the following (see selected examples next page and Annex A.):
 - ✓ Workload and complexity of work;
 - ✓ Administrative policies, processes and systems;
 - ✓ Resources and capacity;
 - ✓ Human resources management;
 - ✓ Governance, strategy and leadership.

Secondly, the survey sought to identify the main causes underlying the various changes reported by executives (Exhibit 4.). In part, this was to help determine if changes are primarily driven by external factors outside the public service’s control (such as demographics and international trends), or conversely if changes are more often the results of internal factors largely within the public service's or government's purview (such as policies, systems, organization and initiatives).

Exhibit 4. Causes of Changes in Executive Work (Survey question 6.)



22 The text of the survey question areas has been abridged for formatting and presentation in the above graph - the full text can be found in Annex B. Small percentages for "Don't Know" not shown in the graph, and items may not add to 100% due to rounding.

- Executives surveyed essentially confirmed that recent changes to their work were mostly driven by internal factors, which the public service largely has control over. The three major factors, identified by a large majority (70% or more), were in order of importance:
 - ✓ Government priorities and organization;
 - ✓ Management policies, procedures/processes and systems; and,
 - ✓ Technological changes.
- The other factors, identified in Exhibit 4, were not viewed as important by as many participants. Nonetheless, more executives found the following factors to be very important or important, than those who found them not very or not important: Communications and social media; Demographics of the labor force; Economics; and International trends or context. The Demographics of the Canadian population (item C]) was the only factor identified as not very or not important by more executives (40%).
- The survey allowed participants to identify other likely causes of changes, and various comments and suggestions were provided as a result. The majority of comments also referred to internal factors and topics, for instance related to (not a complete list):
 - ✓ Administrative procedures and systems;
 - ✓ HR challenges and competencies;
 - ✓ Resource and capacity issues;
 - ✓ Downloading of activities;
 - ✓ Changing priorities and reorganizations;
 - ✓ Risk management and delegation;
 - ✓ Increased scope of work, reporting and other demands (e.g. related to reconciliation, external consultations, diversity, and mental health).
- One executive judiciously suggested that the survey question could lead to somewhat of an oversimplification, since the combined effect or interplay between the various factors would be more important:

“The interplay between all of those [factors] and government priorities is key, including responses to many factors in addition to those listed, such as health/mental health, political correctness, diversity issues, indigenous reconciliation, gender issues ...”

WORK FACTORS AND CAUSES OF CHANGES

SELECTED COMMENTS:

“Downloading of tasks by stealth through E-Systems that simply put additional burden on highly paid experts to do administrative activities across the range of enabling functions, IT, HR, Fin etc.”

“Concentration of power at the very top. ... Too much focus on short term achievements.”

“Pénurie de main d'oeuvre qualifiée et disponible pour les postes administratifs.”

“Increased expectations from the center to consider a number of issues like sustainable development, GBAPlus, Indigenous issues, etc. into our work at the same time that workload has increased and resource levels are stable or decreasing.”

“Resource - expectation gap has increased significantly with marginal increases in risk acceptance/tolerance.”

“... the underlying philosophy behind policies / procedures / systems seems to be that executives are a boundless resource (no overtime costs) and can take on all of these expert roles using systems designed for subject matter experts.”

“Poor promotional criteria of ADMs and DMs. ... Hence, it is the wild west with duplication, a lack of rigour, and poor delivery of results glossed over by the positive promotional prospects of those that are enthusiastic cheerleaders of any initiative.”

3.3 REFORM RESULTS AND OUTCOMES

Building on the above depiction of the evolving nature of the work of executives, its diverse challenges and causes, the survey's main goal was to examine the results of past reforms in addressing some of these challenges and improving the public service's work environment.

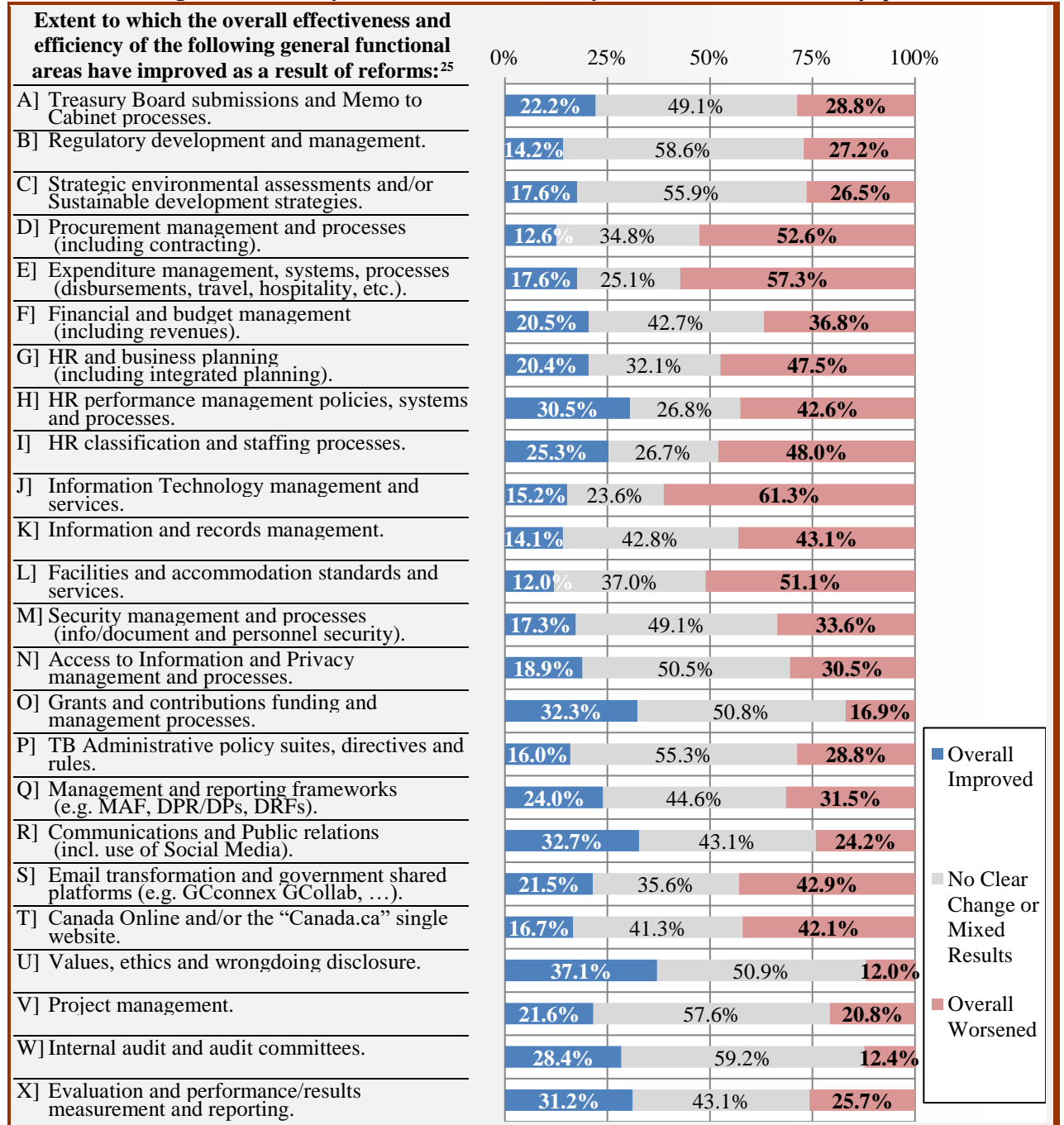
- Executives identified which general areas improved or worsened in the last five years, mainly as a result of government-wide management reforms or similar initiatives. The focus was on the effectiveness and efficiency of broadly defined functional areas common to most departments, and which should potentially have been positively impacted by different reforms. Twenty-four (24) such broad areas or functions were defined (Exhibit 5.).
- In some areas there were only marginal differences between the number of executives who thought the function had improved and those who believed it had worsened. Furthermore, there was often a substantial portion who felt there were either no clear changes or mixed results. This is understandable, given that these broad functions could exhibit both improvements and deteriorations in their different aspects or activities.
- The exhibit on the next page illustrates that, overall, a larger number of executives reported a worsening of most functions' effectiveness and efficiency. The top six functional areas which were definitely assessed as "worsened", by a majority or quasi-majority of executives, are in order of significance:
 - ✓ Information technology management and services;
 - ✓ Expenditure management, systems, processes;
 - ✓ Procurement management and processes (including contracting);
 - ✓ Facilities and accommodation standards and services;
 - ✓ HR classification and staffing processes;
 - ✓ HR and business planning (including integrated planning).
- There were no functions distinctly rated as "improved" by most executives. However, for the following three areas there was at least a 15% favorable margin between those who rated them as "improved" as opposed to "worsened":
 - ✓ Values, ethics and wrongdoing disclosure (37% improved versus 12% worsened);
 - ✓ Internal audit and audit committees (28% vs 12%);
 - ✓ Grants and contributions funding and management processes (32% vs 17%).
- These results were related to a few demographic factors. For instance, the combined results for the two key central agencies (TBS, PCO) and two major internal service departments (PSPC, SSC), showed significant differences compared to other departments.²³ Executives from these four key departments²⁴ expressed more favorable opinions with respect to: Procurement; Information technology management and Services; Information and records management; and TB submissions and memoranda to Cabinet. This suggests that

23 Refer to Annex B subsection on "Methodology and Statistical Analysis" for details of analysis.

24 TBS: Treasury Board Secretariat; PCO: Privy Council Office; PSPC: Public Services and Procurement Canada; SSC: Shared Services Canada.

executives’ views on successes or failures of reforms are influenced in part by their department’s role, expressly where it is associated or partly responsible for the related function or area.

Exhibit 5. Changes in Efficiency and Effectiveness of Key Functional Areas (Survey question 8.)

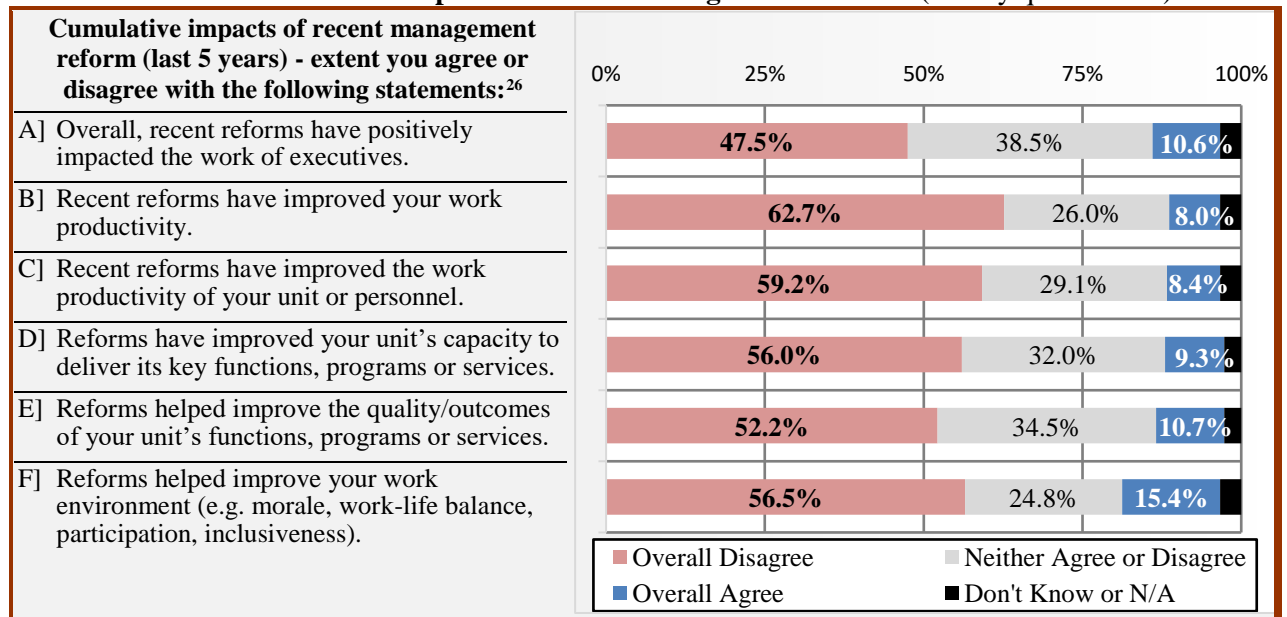


25 For presentation purposes, in Exhibit 5 abstraction was made of “Don’t Know or Not Applicable” replies. Also, “Overall Improved” regroups answers of Much Improved and Somewhat Improved, and similarly “Overall Worsened” regroups Somewhat and Much Worsened. The unabridged versions of questions, categories and results are provided in Annex B. Items may not all add to 100% due to rounding.

- The reported improvement or worsening of some of the functional areas identified also varied according to executive levels and work locations. Particularly:
 - ✓ As their levels and responsibilities increased (EX-1 to EX-4/5), executives’ views were more positive (or less critical) regarding the following areas:
 - A] Treasury Board submissions and memorandum to Cabinet processes;
 - M] Security management and processes (info/document and personnel security);
 - N] Access to information and privacy management and processes;
 - O] Grants and contributions funding and management processes;
 - U] Values, ethics and wrongdoing disclosure;
 - W] Internal audit and audit committees;
 - X] Evaluation and performance/results measurement and reporting.
 - ✓ Executives working outside the National Capital Region (NCR) were more favorable and reported increased improvement to Communications and public relations, but were also more critical of the following areas (i.e. more executives reported areas as worsened):
 - A] Treasury Board submissions and memorandum to Cabinet processes;
 - Q] Management and reporting frameworks (e.g. MAF, DPR/DPs, DRFs);
 - V] Project management.

As well, executives were asked to assess the overall cumulative impacts of recent management reform initiatives, based on 6 key impact statements related to their work and work environment (Exhibit 6.). The ensuing results were conclusive: overall the reforms of the past five years have not improved the work, productivity or general work environment of most executives.

Exhibit 6. Overall Cumulative Impacts of Recent Management Reforms (Survey question 10.)



26 For presentation and analysis purposes, in Exhibit 6 “Overall Disagree” regroups answers of Strongly Disagree and Somewhat Disagree, and similarly “Overall Agree” regroups Strongly and Somewhat Agree. The unabridged versions of questions, categories and results are in Annex B. Small percentages for "Don't Know or N/A" not shown in graph.

- For all 6 impact statements (items A] - F]), a majority (or near majority in one case) of executives refuted that there were any significant positive outcomes resulting from those management reforms they were most familiar with, while a small minority (15% or less) held the opposing view. According to the prevailing opinions, management reforms did not result in any improvements to any of the following:

- ✓ The work of executives;
- ✓ The work productivity of executives;
- ✓ The work productivity of executives' units or personnel;
- ✓ The capacity to deliver key functions, programs or services;
- ✓ The quality or outcomes of functions, programs or services;
- ✓ The work environment (e.g. morale, work-life balance, participation, inclusiveness).

This may initially appear to contradict the previous views of increased work productivity (Exhibit 3. items E] and F]). However, the key distinction is that the lack of productivity improvements noted here is in relation to management reforms.

- We also examined these findings (Exhibit 6.) in relation to our basic demographics and found that both the number of years as a public service executive and the number of years in their current positions, related to how executives responded:
 - ✓ The results for all 6 impact statements were similarly affected by the number of years respondents had held executive positions, where more experienced executives (5 years or more) disagreed more with the statements than more recent executives (of less than 5 years).
 - ✓ Similarly, more executives which had been in their current positions for 5 years or more disagreed with 4 of the 6 statements.²⁷
- Executives could also offer further comments, and most of these were focused on describing issues, consequences or solutions. Some positive comments were provided which identified areas of improvements. However, consistent with the above results, only about 1 in 5 executives provided positive or partially positive comments, and most often these were not the main thrust of their overall observation. Hence, the large majority of

**REFORM RESULTS AND IMPACTS
SELECTED COMMENTS:**

"We have been successful in spite of horizontal initiatives, not because of them. Also, there are too many initiatives."

"Essentially there is way too much of all of the above, and in most cases the paperwork/reporting requirements etc. have grown and there are more steps required to get anything done."

"Aucun - beaucoup de ces enjeux sont dus à un manque de temps, de ressources adéquates, difficulté de recruter étant la grande compétition sur le marché du travail, des politiques ambiguës, et des contraintes de contrôle élevées."

"Too many business rules in HR, which greatly contributed ... to the transition to a single pay system too complex to succeed ... We need to reward simplification. The internal processes and rules of the GOC must take into account user productivity."

"While I think there has been improvement with staffing processes ..., the classification processes are still very tedious and frustrating. They should be in two different categories above."

"Most reforms have had limited impact as they simply codified things people are already doing. ... Centralized reform initiatives are inherently difficult to implement - one size does not fit all."

"All the rules and regulations and oversight, it is aimed at ensuring nothing gets done."

²⁷ The 4 statements impacted by the number of years in current positions are: C] Recent reforms improved the work productivity of your unit or personnel; D] Reforms improved your unit's capacity to deliver its key functions, programs or services; E] Reforms helped improve the quality / outcomes of your unit's functions, programs or services; and, F] Reforms helped improve your work environment. Refer to Annex B section on "Methodology and Statistical Analysis".

comments was critical and there was more consensus on difficulties than on any specific improvement. The comments received mostly had to do with:

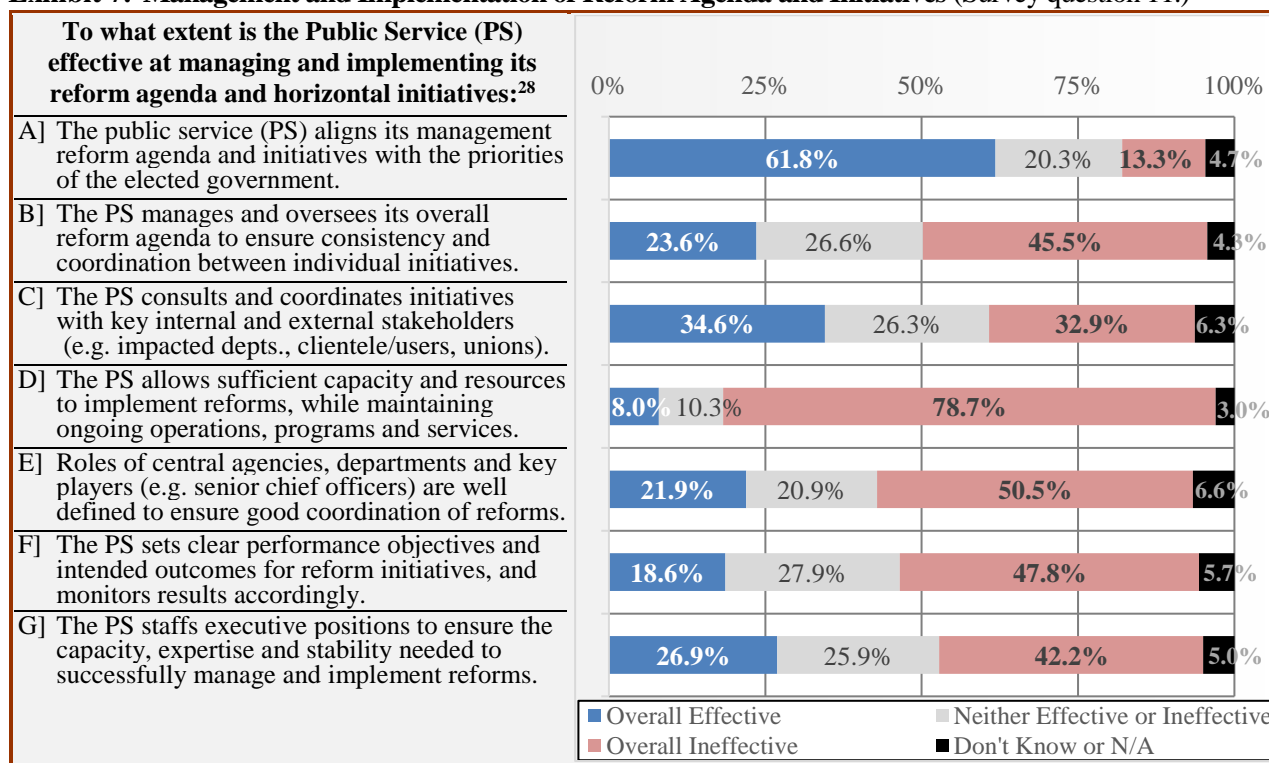
- ✓ Administrative processes, rules and systems;
- ✓ The pay administration system (Phoenix);
- ✓ Shared Services Canada, and the adequacy of IT and IM systems and support;
- ✓ HR issues and capacity;
- ✓ Workload, productivity and resources;
- ✓ Various reform implementation issues; and,
- ✓ Central coordination and reporting requirements.

Both the survey results and the tone of most comments point to a disturbing conclusion. The combination of the many well-meaning initiatives is actually having an opposite and detrimental effect, and contributes to an overall dire work environment for executives and, by extension, for the public service more broadly.

3.4 REFORM IMPLEMENTATION AND MANAGEMENT

Finally, executives rated the public service’s implementation and management of its reform agenda and initiatives, based on seven defined and uncontentious criteria (Exhibit 7.).

Exhibit 7. Management and Implementation of Reform Agenda and Initiatives (Survey question 11.)



28 For presentation and analysis, in Exhibit 7 “Overall Effective” regroups answers of Very Effective and Somewhat Effective, and similarly “Overall Ineffective” regroups Very and Somewhat Ineffective. The full and unabridged versions of questions, categories and results are found in Annex B. Items may not add to 100% due to rounding.

- Almost two-thirds (62%) of executives surveyed thought that the public service effectively aligns its reform agenda and initiatives with the priorities of the elected government.
- A considerable majority (79%) noted that there is insufficient capacity and resources to effectively implement management reforms while also properly maintaining ongoing operations, programs and services. Also, half of executives indicated that the public service is ineffective at defining the roles of central agencies, departments and other key players to ensure good coordination of horizontal initiatives.
- There were markedly more executives who thought the public service ineffective at doing the following, than those who viewed it as effective:
 - ✓ Setting clear performance objectives and intended outcomes for initiatives, and monitoring results accordingly;
 - ✓ Managing and overseeing the overall reform agenda to ensure consistency and coordination between individual initiatives;
 - ✓ Staffing executive positions to ensure the capacity, expertise and stability needed to successfully manage and implement reforms.
- Executives commented on the management of reforms generally, and on related success factors, challenges, outcomes or suggestions for improvements.²⁹ The general topics referred to most often included matters related to:
 - ✓ Human resources management;
 - ✓ Governance, strategy and leadership; and
 - ✓ Resources and capacity.
- Comments were generally fairly aligned with the topics and results presented in the exhibit (selected examples in boxed inset). Similar to the previous sections, the comments covered a breadth of issues requiring attention, but also reflected a general prevailing sense that the public service's governance and management of horizontal reforms require a significant examination and overhaul.

**REFORM IMPLEMENTATION AND MANAGEMENT
SELECTED COMMENTS:**

"The huge variation in quality between ADMs and DGs continues to astound me. ... And there is very little effective performance management. ... shuffling poor managers around instead of firing or demoting them has to stop. Tenure of DGs and ADMs also needs to get longer ... We are not changing fast enough - especially slow procurement and HR procedures weigh down execution. ... It is an honour to serve Canadians and I know we can do ever better!"

"Perhaps reform initiatives should be subject to gating ... This would ensure that planned reforms that are not delivering on their promises are shut down before lots of time and money are spent chasing objectives that are never realized."

"Nous sommes à l'ère de la généralisation. On ne tient pas compte du fait qu'en certaines circonstances, il y a une valeur ajoutée à recruter des personnes ayant une solide expérience dans un domaine précis pour assurer la capacité, la cohérence et la stabilité."

"Governance structures, and business process ownership are two key things that are not as clear as they should be."

"le principe du mérite est devenu secondaire face au désir de représentativité statistique."

"Major initiatives failed ... with no clear accountabilities and consequences."

"Changes in accommodation, security and information management are not lining up. ... We are reducing accommodation space to drive digital without providing adequate digital information management tools. We give mobile tools then lock down security that prevents mobile access to information."

"Announcements seem to be far more important than implementation. Remember Vision 20/20? Where did it go?"

"Stop finding new initiatives."

"The very phrase 'government-wide reform initiatives' makes me cringe. Avoid associating yourself with any such thing at all costs. Certain to fail and to worsen the professional lives of thousands of public servants."

²⁹ Refers to both survey question 11.H] and question 12. Refer to Annex A for more information.

- There were no significant differences in the results under this question (Exhibit 7.) based on either the levels of the executives or whether the executives were from the four central and service departments.³⁰ For some of the reform management criteria, experienced executives were more critical and assessed the management of reforms as more ineffective. As well, executives in the NCR rated the defined roles of central agencies, departments and other players as more ineffective.

Generally, the executives surveyed had a pessimistic view of the capacity and abilities of the public service to effectively manage and implement government-wide reform initiatives.

30 Group of four key departments includes TBS, PCO, PSPC and SSC. Refer to Annex B.

ANNEX E.: BIBLIOGRAPHY AND REFERENCES

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