

CANADIAN INTERNATIONAL TRADE TRIBUNAL

MANAGEMENT RESPONSE TO THE 2008 MANAGEMENT ACCOUNTABILITY FRAMEWORK ASSESSMENT

The Management Accountability Framework (MAF) is a framework developed by the Treasury Board Secretariat (TBS) and the Canada Public Service Agency to assist in the assessment of public service management. The MAF is used as an assessment tool to evaluate the management performance of government organizations. The MAF was developed to provide public service managers, especially deputy heads, with a clear list of management expectations within an overall framework for high organizational performance.

As a whole, the Canadian International Trade Tribunal's (the Tribunal) 2008 MAF assessment was generally positive. Of the 21 areas of management against which the Tribunal was assessed during Round 6 this year, it received four "Strong", twelve "Acceptable", three "Opportunity for Improvement", one "Unrated" and one "Not Applicable" ratings. The most notable improvement was in the area of internal audit, where the rating increased from "Opportunity for Improvement" to "Strong".

The Tribunal should be recognized for its work in performance management as reflected in a "Strong" rating with regard to "Utility of Corporate Performance Framework" and "Performance Management Program for Executives".

Below are areas, however, where the Tribunal should continue to make further progress and which have been identified as management improvement priorities in order to maintain the positive trend.

Values-based Leadership and Organizational Culture—The Tribunal's values and ethics strategy, which is well in place, presents an opportunity for senior management to champion public service values and ethics, and would benefit from improved information about the actual challenges that the Tribunal faces.

Quality of Performance Reporting—The Tribunal's Departmental Performance Report (DPR) would benefit from clearly indicating key changes to its plans during the reporting period and reflecting the resulting change in expected and actual performance. The Tribunal could also strengthen its performance story by consistently identifying and discussing the benefits to Canadians at the program activity level.

Effectiveness of Information Technology (IT) Management—The Tribunal is invited to ensure that its IT plan is aligned to the organization's business and government-wide strategic directions to reduce IT complexity and duplication, promote alignment and interoperability, and optimize service delivery within the Tribunal and across the Government of Canada.

The following table provides an overview of the Tribunal's management response to Round 6 of the MAF assessment and action plan for areas that offer opportunities and recommendations for improvements.

RECOMMENDATIONS AND ACTION PLAN

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>Area of Management (AOM) 1) Values-based Leadership and Organizational Culture: Public service leaders embody public service values and ethics and foster a culture of integrity and respect in their organizations.</p> <ul style="list-style-type: none"> • Leadership demonstration of strong public service values and ethics • Public service values and ethics infrastructure in place, understood and effective • Organizational culture reflective of public service values and ethics 			
<p>Opportunities:</p> <p>Given its priorities and resources, the organization is urged to take into consideration the following options: Draw up a plan comprising a strategy backed by senior management detailing medium-term activities designed to inculcate in staff the importance of values and ethics in the public service.</p> <p>Recommendations:</p> <p>Identify opportunities for senior management to champion public service values and ethics as part of an overall V and E strategy for the organization.</p>	<p>Opportunity for Improvement</p>	<p>The Tribunal’s Executive Committee has approved the strategic direction for the development of its values and ethics program. The three-year program, taking into consideration the particularities of the organization, will outline the Tribunal’s approach to values and ethics, senior management engagement, communications strategy, success measures, as well as deliverables. At its semi-annual meeting with employees in June, the Tribunal initiated dialogue with employees on values and ethics to identify the Tribunal’s values that would form part of the Tribunal’s values and ethics code. The approach was formally reviewed and approved by the executive committee during its annual planning session in the fall of 2009.</p>	<p>March 2011</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>AOM 2) Utility of the Corporate Performance Framework: A robust performance framework reinforces corporate alignment to outcomes.</p> <ul style="list-style-type: none"> • Clarity and measurability of the organization’s strategic outcomes • Level of completeness of the Program Activity Architecture and its alignment to the organization’s strategic outcomes • Quality of the performance measurement framework (including expected results, outputs, indicators, targets, data sources, and frequencies of data collection) 			
<p>Opportunities:</p> <p>The organization should start to collect data for the performance indicators, use it in decision making and incorporate the associated learning back into the Performance Measurement Framework.</p>	<p>Strong</p>	<p>The Tribunal already collects data for its performance indicators that are used in the Performance Measurement Framework. Moreover, the executive committee reviews and monitors, on an ongoing basis, the operational performance indicators, uses them in decision making and incorporates the associated learning back into the Performance Measurement Framework. A Tribunal-wide management system will be developed to integrate the different case-tracking systems and management reports.</p>	<p>Ongoing</p>
<p>AOM 4) Contributions to government-wide priorities and portfolio coordination: Contributions to government-wide priorities and portfolio coordination</p> <ul style="list-style-type: none"> • Degree to which organizations are effectively leading selected horizontal initiatives • Degree to which organizations are effectively participating in selected horizontal initiatives • Degree to which Ministerial portfolio responsibilities are understood, integrated, and carried out as part of the lead portfolio organization’s key responsibilities 			
<p>Opportunities:</p> <p>TBS encourages the Tribunal to build on its engagement activities, seeking and acting upon employee suggestions on a regular basis, thereby furthering the organization’s efforts at implementing Public Service Renewal.</p>	<p>Acceptable</p>	<p>The Tribunal holds two general meetings per year with its employees. These meetings are an excellent opportunity to seek employees’ participation and feedback on various topics. They also contribute to effective team building. The results of the Public Service Employee Survey were</p>	<p>Ongoing from 2009-2010</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
		<p>reviewed and discussed with the employees and appropriate action was taken following this consultation. It should be noted that 92 percent of the employees completed the survey, 99 percent know their work contributes to the achievement of the Tribunal's goals and 90 percent believe that senior management will try to resolve the concerns raised in the survey.</p>	
<p>AOM 6) Quality and Use of Evaluation: Evaluation is valued by the deputy head and is used to inform expenditure and policy decision-making.</p> <ul style="list-style-type: none"> • Quality of evaluations, including focus on value for money and program improvement • Neutrality of evaluation function (governance and resources) • Evaluation coverage of the organization's programs • Use of evaluation in support of decision-making in the organization 			
<p>Recommendations:</p> <p>The Tribunal is encouraged to consult the new Treasury Board Policy on Evaluation (2009) for evaluation requirements in 2009-2010 and future years.</p>	<p>Not Assessed</p>	<p>The Tribunal has consulted the new Treasury Board Policy on Evaluation (2009) and will implement it by the start of 2010-2011.</p>	<p>Start: April 1, 2010 and the first evaluation report at the end of 2010-2011</p>
<p>AOM 7) Quality of Performance Reporting: Departmental reports to Parliament are credible, reliable, balanced, MRRS-based and of high quality.</p> <ul style="list-style-type: none"> • Extent to which clear performance expectations in the Report on Plans and Priorities (RPP) are tracked and reported on in the DPR on a Management, Resources and Results Structure basis • Extent to which the DPR concisely integrates credible performance information (beyond activities and outputs to results) • Extent to which the DPR sets performance in context, is balanced and reports on lessons learned 			
<p>Opportunities:</p> <p>The organization should focus on ensuring that the performance story is reported at the Program Activity (PA) level with a discussion of benefits for Canadians.</p>	<p>Opportunity for Improvement</p>	<p>Starting with the DPR for 2008-2009, the Tribunal will ensure that its reports to Parliament set out the Tribunal's performance story at the PA level with a discussion of benefits to Canadians.</p>	<p>Ongoing</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>Recommendations:</p> <p>The DPR should clearly indicate the key changes to plans during the reporting period and reflect any resulting changes in expected and actual performance appropriately.</p>		<p>The Tribunal will also ensure that the DPR clearly indicates the key changes to plans during the reporting period and reflects any resulting changes in expected and actual performance.</p>	
<p>AOM 9) Effectiveness of Corporate Risk Management: Risk is a factor in corporate decision-making processes and management.</p> <ul style="list-style-type: none"> • Senior management directs, participates in, and provides oversight of the organization’s Risk Management approach • Organization is implementing its Risk Management approach • Risk Management explicitly informs corporate decision-making, planning and reporting • Quality assurance of risk information and continuous improvement in Risk Management 			
<p>Opportunities:</p> <p>The Tribunal has made progress in terms of ensuring that senior management encourages and participates in a risk-smart culture (e.g. ensuring the accountability for key risks are assigned to senior management in their Performance Management Agreements. The Tribunal has taken the opportunity to make continued progress in this area and should explore the possibility of identifying a lead for each risk mitigation strategy and ensuring that senior management’s level of engagement in the encouragement of risk management within the organization is apparent to all employees and key stakeholders. While it is evident that risk information is an input in the organization’s strategic planning process, the Tribunal should develop a process to ensure that this risk information is also explicitly embedded within its planning and decision-making processes.</p>	<p>Acceptable</p>	<p>It is the Tribunal’s senior management’s practice to review its corporate risk profile on a quarterly basis. Greater effort is being made through the DPR and the RPP to demonstrate to employees and stakeholders that risk management explicitly informs decision-making and planning at the Tribunal. The Tribunal will continue to ensure that this risk information is also explicitly documented within its planning and decision-making processes.</p>	<p>Ongoing</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>AOM 10) Extent to Which the Workplace is Fair, Enabling, Healthy and Safe: A workplace that is fair, enabling, and healthy and safe in order to provide the best services to Canadians.</p> <ul style="list-style-type: none"> Extent to which the workplace exhibits fair employment and workplace practices and effective labour relations Extent to which the workplace exhibits clear direction, collaboration, respect and support for employees' linguistic rights, diversity and personal circumstances in order to enable them to fulfill their mandate Extent to which the workplace is a healthy and safe physical and psychological environment 			
<p>Opportunities:</p> <ul style="list-style-type: none"> Take action to ensure that employees feel recognized for their contribution. Take action to ensure occupational health and safety programs are well managed. 	<p>Acceptable</p>	<p>The Tribunal revised its Award and Recognition Policy in 2009-2010 in order to reflect better the employees' and managers' needs. Employees at all levels are encouraged to nominate fellow employees through a formal process.</p> <p>Training has been provided for the occupational health and safety team. A policy has been prepared and a committee established to facilitate the cooperation of management and employees in identifying and resolving occupational health and safety concerns in the workplace.</p>	<p>Ongoing</p> <p>Completed and ongoing</p>
<p>AOM 12) Effectiveness of IM: IM supports the organization's business strategy and government-wide objectives.</p> <ul style="list-style-type: none"> Corporate governance for IM Management of information and records to meet program and service outcomes, operational needs and accountabilities Statutory and regulatory requirements of the <i>Privacy Act</i> are met (including sound management practices with respect to the handling and protection of personal information and consistent public reporting on the administration of the act) Statutory and regulatory requirements of the <i>Access to Information Act</i> are met (including consistent public reporting on the administration of the act) 			
<p>Opportunities:</p> <ul style="list-style-type: none"> More wholly integrate IM requirements into planning, approval, management, operational, and evaluation activities. 	<p>Acceptable</p>	<p>The Tribunal has hired a dedicated information management resource who will be responsible for renewing and updating the Tribunal's IM policy suite.</p>	<p>Completed</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<ul style="list-style-type: none"> • Increase reporting and monitoring on the IM initiatives to ensure they are aligned with the business strategy. • Develop and register Personal Information banks and/or classes of personal information to ensure all personal information under the institution's control is appropriately described in accordance with the <i>Privacy Act</i>. • Review institution-specific Classes of Records to ensure that all descriptions in Info Source are comprehensive, complete, up-to-date, and comply with TBS requirements. <p>Recommendations:</p> <p>The Tribunal must comply with all Access to Information and Privacy legislative and policy requirements. In particular, it must provide descriptions of its personal information collections.</p>		<p>As of June 2009, the Tribunal has already implemented the recommendations. It has revised its input to <i>Info Source</i>, ensuring that its institution-specific classes of records are comprehensive, complete and up-to-date, and comply with all TBS requirements. It has also developed and registered information banks and/or classes of personal information to ensure that all personal information under the institution's control is appropriately described. The Tribunal's input has been reviewed and approved by TBS.</p>	

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>AOM 13) Effectiveness of IT Management: IT supports the organization’s business strategy and government-wide objectives.</p> <ul style="list-style-type: none"> • Designation of a senior official to ensure that IT supports the organization’s business strategy and government-wide objectives and participation in setting government-wide strategic directions for IT • Alignment of IT plans with the overall departmental business and government-wide strategic directions for IT and that IT governance structures are integrated with the corporate governance structure and define appropriate decision rights • Organizational use of common or shared IT assets and services to avoid duplication, when such assets and services are available and appropriate, and performance measurement tools and the use of metrics to guide departmental management of IT towards improved efficiency, effectiveness and innovation 			
<p>Opportunities:</p> <ul style="list-style-type: none"> • Contribute to setting government-wide directions for IT through participation of the senior official for IT and the management team in designated governance, advisory and working group forums. • Strengthen the integrated set of processes and practices for governance, planning and benefits realization in order to monitor and oversee the delivery of business value from IT investments. • Strengthen the qualitative and quantitative set of key performance measurement tools that provide metrics to guide better decision making, increase performance levels and enable continuous improvement. <p>Recommendations:</p> <p>Ensure the IT plan is aligned to the organization’s business and government-wide strategic directions to reduce IT complexity and duplication, promote alignment and interoperability, and optimize service delivery within the organization and across the Government of Canada.</p>	<p>Opportunity for Improvement</p>	<p>An IT plan is to be developed in 2009-2010 that will be integrated into the Tribunal’s business plan and will ensure that the outstanding issues are addressed adequately, within a reasonable timeframe.</p>	<p>March 2010</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>AOM 14) Effectiveness of Asset Management: Effective Lifecycle Asset Management supports the organization's business strategy and delivery of programs and services.</p> <ul style="list-style-type: none"> Investment planning is a systematic process that identifies program needs, considers existing asset performance, and determines and documents needed investments based on departmental priorities and risks A real property management framework supports timely, informed real property management decisions A materiel management framework supports timely, informed materiel management decisions 			
<p>Opportunities: The Tribunal could consider developing its own materiel management policies when appropriate.</p>	<p>Acceptable</p>	<p>The Tribunal will develop its own materiel management policy.</p>	<p>March 2011</p>
<p>AOM 16) Effective Procurement: A balanced approach to effective, efficient and economical procurement contributes to valuable program delivery and achieving government-wide objectives.</p> <ul style="list-style-type: none"> An organization-wide procurement governance and oversight structure Ability to satisfy operational requirements through procurement 			
<p>Opportunities: A management action plan has been prepared to address the Audit Report of the Financial Management Framework dated February 13, 2007, that makes recommendations for improvement of the procurement/contracting function, particularly the establishment of a formal contracting challenge function.</p> <p>Recommendations: Continue work on the Financial Management Framework Audit Action Plan.</p>	<p>Acceptable</p>	<p>The Tribunal will continue work on the Financial Management Framework Audit Action Plan.</p>	<p>March 2011</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>AOM 18) Effectiveness of Internal Audit Function: The organization has an effective internal audit function that is founded on rigorous planning, robust reporting, appropriate governance, level of resources/capacity and results.</p> <ul style="list-style-type: none"> • An internal audit governance structure in place and monitored progress is achieved against an approved plan to implement the 2006 Policy on Internal Audit • Internal Audit planning, assurance engagement, reporting and follow-up processes/practices in place • Internal Audit Human Resources/Capacity are appropriate to requirements • Expected results for the Internal Audit function established, measured, and used by organizational senior management 			
<p>Opportunities:</p> <p>The Tribunal is reminded to provide the Office of the Comptroller General (OCG) with annual updates of the Risk-Based Audit Plan. The Tribunal should inform the OCG two weeks in advance of posting audit reports on the Tribunal Web site.</p>	<p>Strong</p>	<p>The Tribunal will continue to provide the OCG with annual updates of the Risk-Based Audit Plan. The Tribunal will inform the OCG two weeks in advance of posting audit reports on the Tribunal’s Web site.</p>	<p>Every year</p>
<p>AOM 19) Effective Management of Security and Business Continuity: Security and business continuity contribute to the effectiveness of government by safeguarding employees, information, and assets and ensuring the continued availability of critical services.</p> <ul style="list-style-type: none"> • Extent to which a departmental security program is established and managed based on the Government Security Policy, to ensure the co-ordination of all policy functions and implementation of policy requirements • Extent to which an IT security program is established and managed based on the standard on Management of IT Security (MITS), to ensure that sensitive information and IT systems are adequately protected • Extent to which a Business Continuity Planning (BCP) program is established and managed based on the standard on BCP Program, to ensure that measures are in place to provide for the continuity of critical services 			
<p>Opportunities:</p> <ul style="list-style-type: none"> • Develop a work plan to guide changes in the security program and identify activities to be undertaken to meet the organization’s specific needs (including ongoing projects related to security training). • Improve the organization’s security management framework 	<p>Acceptable</p>	<p>The Tribunal will:</p> <ul style="list-style-type: none"> • develop a work plan to guide changes in the security program and identify activities to be undertaken to meet the organization’s specific needs (including ongoing projects related to security training). • improve the organization’s security management 	<p>July 2010</p> <p>March 2011</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<p>(including formalization of program governance, revision of the <i>Employee Manual</i> and development of procedures to support certain security-related activities).</p> <ul style="list-style-type: none"> Support efforts related to MITS, so as to maintain the current compliance status (including approval by senior management of the Departmental Information Technology Security Policy). Implement plans, measures and provisions to ensure business continuity. 		<p>framework (including formalization of program governance, revision of the <i>Employee Manual</i> and development of procedures to support certain security-related activities).</p> <ul style="list-style-type: none"> support efforts related to MITS, so as to maintain the current compliance status (including approval by senior management of the Departmental Information Technology Security Policy). implement plans, measures and provisions to ensure business continuity. 	<p>Dec. 2010</p> <p>Phase 2: Dec. 2009 Phase 3: March 2010</p>
<p>AOM 20) Citizen-focused Service: High-quality service promotes citizen confidence in the public service, produces high levels of client satisfaction, demonstrates value for money to taxpayers and contributes to the achievement of public policy goals.</p> <ul style="list-style-type: none"> Extent to which management is engaged in the overall management of service delivery and of service-related priorities with clear and well established management processes and demonstrated results Public/client views/needs are considered when developing new services, programs or policies Services are provided in both official languages in accordance with the Official Languages Policy Framework 			
<p>Opportunities:</p> <p>TBS encourages the Tribunal to:</p> <ul style="list-style-type: none"> use the results of performance information, including the results of client satisfaction measurement and performance related to service standards, to identify goals and priorities for the improvement of its services at the institutional level. conduct client satisfaction measurement for key services using the Common Measurements Tool (CMT) developed by the Institute for Citizen-Centred Service. 	<p>Acceptable</p>	<p>The Tribunal will develop a plan to evaluate the quality of services it provides to clients. Feedback will be requested from clients who interact with the Tribunal in terms of timely provision of information, accuracy of administrative information and guidance provided, and a renewed Web site satisfaction survey among other things. Consultations will be held with the Bench and Bar Committee in the fall of 2009 to discuss the proposed approach.</p>	<p>Fall of 2009</p>

TBS Recommendation	Tribunal Rating	Management Action Plan	Timeline
<ul style="list-style-type: none"> continue with efforts to see that all decisions are published simultaneously in both official languages. 		<p>The Tribunal will continue to exercise strong case management controls to ensure that it continues to publish decisions in both official languages simultaneously.</p>	<p>Ongoing</p>
<p>AOM 21) Effectiveness of the Performance Management Program for Executives: The organization has a healthy and effective performance management system to hold executives accountable for results.</p> <ul style="list-style-type: none"> Alignment of high-quality executive performance agreements and organizational business plans and the Clerk’s priorities, demonstrating clear accountability Competent and effective assessment of performance Effective review mechanism 			
<p>Opportunities:</p> <p>All departments and agencies should place a heightened focus on clear accountabilities, face to face mid-year review and performance improvement plans.</p>	<p>Strong</p>	<p>The Tribunal will continue to establish clear objectives for all the executives of the Tribunal, as well as for all other employees, at the beginning of the fiscal year. A mid-year review of their performance is conducted. Final discussions on the performance appraisals are based on the objectives of each employee and those of the organisation. Managers and employees also complete their learning plans and establish their performance objectives using a similar format, to strengthen the link between learning and performance. Professional development is a priority for the Tribunal.</p>	<p>2009-2010</p>