

**Department of Indian Affairs and Northern Development
Corporate Services
Departmental Audit and Evaluation Branch**

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**Review of Management Practices
Quebec Region**

**Project 96/14
June 1997**

**REVIEW OF MANAGEMENT
PRACTICES, QUEBEC**



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Executive Summary

The Departmental Audit and Evaluation Branch (DAEB) reviewed management practices in the Quebec Region in February 1997. Regional managers and project officers agreed to use a non-traditional approach for this review, in keeping with a management approach already introduced as part of other regional initiatives.

The review was conducted essentially in group sessions. Files were reviewed and personal interviews conducted solely to complement or validate observations made by group members. This allowed them to develop a shared vision, leading to consensus and an action plan.

The recommendations and action plan form a coherent strategy including the following items:

- Promoting a sense of belonging is of prime importance. The Director General has agreed to take the required measures to enhance understanding of departmental and regional orientations and priorities in order to generate a sense of belonging at all levels of the organization.
- Secondly, the individuals' abilities and the potential of working groups must be used appropriately. To be able to respond to new challenges in a proactive manner, senior management has decided to give responsibility to a larger number of people by assigning the employees involved to manage each of the issues under consideration.
- Participants cited "rekindling the fire", or increasing employee motivation and commitment, as a high priority. Senior management has agreed to create an adaptable and flexible working framework geared to the new challenges, to promote decompartmentalization.
- The need to create conditions for the development of a learning organization and to provide for future needs. The organization should support the changing environment through innovative approaches to development and the sharing of information and knowledge in a whole range of ways in the context of daily activities; and
- The need to promote true partnership. Regional management, together with headquarters, has agreed to work with the First Nations to develop and adopt partnership principles which take both parties' responsibilities into consideration.

Objectives and scope of the review

Management practices in the Quebec Region were reviewed to help the region improve its operations and identify "best practices". This region is completely centralized except for two Lands, Revenue and Trust services offices at Kahnawake and Pointe Bleue.

The scope of the review included management practices, activities and controls in the following areas:

- planning, organization, communication, direction and control of management operations;
- support for meeting the department's obligations and priorities;
- innovations and improvements in client and public services delivery and information management;
- financial and administrative operations to determine the suitability of the financial control framework; and
- an examination of recent responsibility transfer and control measures in relation to transferred programs.

Review methodology

To begin with, project leaders agreed, with the approval of regional management, to conduct a comprehensive analysis of regional management practices within a policy framework defined by target activities. The management committee identified activities to be reviewed and participants to group sessions, based on their familiarity with matters under scrutiny and their involvement in the practices to be reviewed.

The management committee then agreed on the general theme of the review, namely, the most efficient use of the regional team's abilities. It also confirmed the following objectives and the selection of target activities:

Objectives

- Review regional management practices in order to improve them and thereby achieve better results; and
- Identify the region's best management practices.

Target activities

- Training;
- Communication - managers/employees;
- Preparing employees to meet new challenges;
- Using teams (horizontal/vertical) to manage issues, projects and key activities; and
- Fostering opportunities for partnership in management activities.

The project proceeded in accordance with the principles of working as a group and achieving consensus. Discussions were supplemented with judicious analyses of sample files, personal interviews and any research deemed necessary.

Review activities

In February 1997, the project leaders had their first general meeting with the working group. This type of discussion is necessary to get everyone working in the same direction and was critical to the success of the entire project. Its purpose was to review the overall situation affecting the department and the region, and to agree on the basic principles and values which guided the study. Everyone involved in the target activities attended this meeting.

During this meeting, the group requested that management committee members be actively involved in the exercise since it was felt that they should tackle the challenge together. Some committee members accordingly attended subsequent meetings.

Management practices relating to the target activities were analysed in sub-groups. At an arranged time, all members came together to present their conclusions. The comments of the whole group were taken into consideration in the work of the sub-groups.

Project leaders then analysed the information presented by the various sub-groups and produced a preliminary summary of all the points raised. This summary was in turn reviewed and finalized with representatives of the whole group in order to arrive at a consensus on the key elements.

Group consensus and a regional vision on the points raised were set out jointly by project leaders and group members in the form of recommendations and action plans. Finally, group members presented the summary, recommendations and action plans to employees, regional management and the Director General of the Departmental Audit and Evaluation Branch (DAEB).

Management practices were reviewed primarily by analysing practices relating to the target activities. The analysis was conducted by groups of managers and employees.

The observations made in the review pertain to four general areas: objectives, priorities and mandates of the department and the region; innovations and improvements to be made in the organization; communication and information management; and finally, financial controls and devolution.

Objectives, priorities and mandates

Through their discussions in working groups and overviews, participants developed a group vision for each of the target activities. Their ideas clearly express their shared desire to work towards a responsible partnership. Their vision is in line with departmental objectives and priorities, especially with regard to leadership, participation and partnership.

The regional group cited four basic prerequisites to achieving the department's objectives and priorities:

- Objectives, priorities and mandates must be clearly communicated;
- All those involved must have an opportunity to discuss them to ensure that they understand them;
- Messages must be consistent (political speeches, budget policy, messages from the Deputy Minister and regional directors); and,
- Renewing the workforce (La Relève) is key to achieving long-term objectives and rising to new challenges.

Innovations and improvements

The context of change requires an environment favourable to innovation and initiative. Important cultural and structural changes are underway throughout the department, but there are still a number of attitudes and structures not suited to the context of change.

It is agreed that changes relating to decompartmentalization, teamwork and partnership are essential and should be promoted. Participants also emphasized the following points:

- The organizational structure must be stabilized (decisions must be made on acting positions), while ensuring that it remains flexible and adaptable to the changing environment;
- The wall of mistrust which has developed in the last few years must be broken down;
- Principles of trust, open-mindedness, mutual respect and the firm commitment to achieve concrete results should be the basis of interpersonal relations;
- A true partnership must be the dominant feature of relations with First Nations, namely, a relationship between equals, with risk sharing and joint responsibility for results;
- There should be a periodic monitoring process to evaluate accomplishments in relation to objectives and adjust objectives accordingly;
- Teamwork should be valued as much as other tasks performed by individuals and should be recognized; finally,
- Organizational culture should promote risk-taking and shared responsibility for results.

Communication and information management

In general, the information required by employees to perform their duties is available within the organization. Due to compartmentalization, though, information affecting more than one directorate is not systematically shared. In addition, information is sometimes conveyed too slowly.

The group made certain noteworthy points about information management and communication:

- required measures to manage the information overload;
- sometimes, informing is enough; at other times, you must communicate;
- the need to withhold some information in the interest of confidentiality;
- the impact of new technologies on information management; and
- the need for consistent messages.

The phenomenon of communication is directly related to the nature of interactions. Creating a culture which promotes initiative and partnership will improve communications.

The region should also consider specific measures to improve its information management.

Financial controls and devolution

The review also extended to management practices in the following areas:

- Financial and administrative operations, to determine the adequacy of the financial control framework; and
- an examination of recent responsibility transfer and control measures in relation to the transferred programs.

Issues relating to finances and devolution were underlying the majority of target activities analyses. These were supplemented with personal interviews and a review of specific documents or files as required.

Project leaders raised no specific concerns about management practices or controls in the context of teamwork, except for challenges related to working in partnership with First Nations.

The Quebec Region has in fact developed a number of tools (manuals, informative material and other documents) to facilitate financial control. Several of these are described in the appendix on best management practices.

Services were devolved in accordance with the capacity for accountability of the units to which they were devolved and their capacity to provide service quality and continuity. The majority of services to be devolved have already been transferred. The Quebec Region has always viewed this as a priority; in fact, it has a specific plan to accelerate the remainder of the devolution exercise.

To ensure that objectives are met, there are numerous opportunities for training and development for First Nations in all the areas of responsibility devolved. A brochure on these initiatives is being under preparation and is described in the appendix to the report on best management practices.

Recommendations and action plans

Recommendations and action plans form a coherent strategy comprising the following elements:

- Promoting a sense of belonging is of prime importance;
- Secondly, individuals' abilities and the potential of working groups must be used appropriately;
- Participants cited "rekindling the fire", or increasing employee motivation and commitment, as a high priority;
- The need to create conditions for the development of a learning organization and to prepare for future needs;
- The need to promote true partnership.

Sense of belonging

Participants emphasized the need to clearly communicate objectives, priorities and mandates at all levels. They stressed the importance of having an opportunity to discuss these to clarify their understanding, along with the need for consistent messages.

Recommendation 1: The Director General should enhance understanding of departmental and regional directions and priorities to generate a sense of belonging at all levels of the organization.

Action plan:

- Plan general meeting(s).
- Hold general and special forums: presentations, exchanges and discussions on the policy framework for each sector, after policy framework has been submitted and regional priorities have been established.
- Review communication mediums in use, including format and content of meetings.

Efficient use of staff abilities

In response to Corporate Headquarter's requirements, senior management has become extremely involved in certain issues, occasionally relegating competent staff to a secondary role. This affects the organization in several ways:

- it weakens accountability, commitment and motivation;
- it does not help prepare the future workforce; and
- it reduces the time available to management to attend to its primary function.

Recommendation 2: To be able to respond to new challenges proactively, senior management should distribute responsibility among a larger number of people by assigning the management of issues to the employees involved.

Action plan:

- Identify issues in which senior management is heavily involved and decide who should be responsible for each one.
- The person responsible for an issue should put a team together if necessary.
- The person responsible for an issue should keep the team and senior management informed.
- Managers should accept errors associated with taking calculated risks and support employees entrusted with the duties involved.

Rekindling the flame

Major events of the last seven years (successive reorganizations and reassignment of resources resulting in downsizing in the region) generated a climate of mistrust and insecurity. Individual employees feel easily threatened as a result, a situation which gives rise to individualism and compartmentalization. These events have also led to vague and overlapping mandates.

Recommendation 3: Senior management should provide an adaptable and flexible working framework geared to new challenges, to promote decompartmentalization.

Action plan:

- Review the various sectors' mandates and current tasks and activities.
- Identify projects requiring multidisciplinary teamwork.
- Identify criteria for team formation.
- Develop criteria for team operation.
- Develop management contract models for teams.
- Develop models for employment contracts.
- Maintain the forum used for the review.
- Take teamwork into consideration in performance appraisals.
- Include facilitator training in training program to maximize team performance.

A learning organization and workforce renewal

Managing certain issues requires knowledge of several, sometimes complex subjects: acts and regulations, legal decisions, precedents, certain historical relationships, results of inquiries such as the Royal Commission on Aboriginal Peoples, pronouncements made in Aboriginal community and many others. Innovative measures are needed to meet this constant requirement for information.

Recommendation 4: The organization should support the changing environment through the use of innovative approaches to development and the sharing of information and knowledge in a whole range of ways in carrying out daily activities.

Action plan:

- Identify topical issues and promote the creation of learning circles.
- Through the training committee, develop and implement employee job-matching and mentoring arrangements and review assignment methods.
- Encourage employees to prepare for the future by involving them in meetings, working groups, etc.

- Observe what other organizations are doing to identify their future workforce and ensure its training and promotion. If necessary, modify and apply appropriate measures.

Promoting partnership

The department is currently in a period of intense transition towards a partnership culture. A number of employees are already working in partnership with band councils, but this mind-set is not yet firmly established within the department. At present, involving First Nations in decision-making which concerns them is not an automatic and natural response.

The fiduciary relationship between the Government of Canada and Aboriginal peoples is one of the primary challenges to be overcome in order to establish a true and effective partnership. This relationship is inescapable in all discussions and constitutes a major obstacle which the partners will have to resolve together.

In certain cases, employees and Aboriginal people who decide to work in partnerships must in turn include elements in their decision-making which would otherwise have been easier to ignore. The decision to work in a partnership is certainly a major new challenge for both departmental employees and Aboriginal people.

Recommendation 5: Together with headquarters, Regional management should work with First Nations to develop and adopt partnership principles which take both parties' responsibilities into account.

Action plan:

- Create forums for discussion with First Nations.
- Define principles and establish a partnership mentality by:
 - strengthening our networks;
 - involving Aboriginal people in decision-making;
 - accepting to take risks; and
 - promoting joint activities to gain a better understanding of each other's values.

Appendix I - Best Management Practices

The main efficient management practices listed below were identified in the Quebec region.
A summary of each one follows.

1. Regional Contracting Manual.
2. Payment methods.
3. Routing of required reports.
4. Funding Manual.
5. Funding Officers training.
6. Reorganization of Funding Services.
7. Alternative Funding Method / school-related capital assets.
8. Annual meeting of maintenance supervisors in communities.
9. Annual meeting of Directors General and Band Councils.
10. Brochure on skills development measures.
11. Teamwork training.
12. Strategic Intervention Fund Users' Manual.
13. Three-year planning exercise for surveying and mapping requirements conducted in conjunction with the Legal Surveys Division of Natural Resources Canada.

1. Regional Contracting Manual

Rationale for creating the manual:

Certain practices used by a number of managers for contracting out services did not follow Treasury Board regulations and occasionally overlapped responsibilities of Contracts Services.

Objectives:

- Summarize the principal Treasury Board regulations on contracts.
- Define the roles and responsibilities of managers and of Regional Contracts Services.
- Specify the delegation of financial authority for issuing service contracts.
- Help managers submit complete requisitions to allow Contracts Services to issue contracts quickly and effectively.

Outcome:

In the functional review of contract administration in November 1995, all contract files were rated as being of "**Superior Quality**". No negative observations were made during this exercise.

Conclusion:

Given that the number of contracts negotiated and authorities delegated are constantly increasing while resources are being cut, quality could suffer. But with good management tools, good practices will be continued.

2. Payment methods

Rationale for creating this document:

In drawing up comprehensive funding arrangements, there was no standard for distributing funds in relation to cash flow forecasts. Funding officers therefore distributed funds as they deemed appropriate, without any consistency.

Objectives:

- Determine a basic standard for distributing funds to First Nation.
- Ensure a better balance and consistency in the payment of funds to First Nations.
- Provide funding officers and administrative staff with a tool to simplify and standardize their activities.

Outcome:

The work of funding officers and administrative staff was greatly simplified, reducing funding errors.

Conclusion:

Given the number of eligible services included under the contribution arrangements and the variety of programs administered, this tool ensures higher quality, while simplifying procedures.

3. Routing of required reports

Rationale for creating this document:

Following the creation of the manual on reports required of First Nations funded under comprehensive arrangements, the responsibilities of staff in the various sectors in processing these reports were not clearly specified.

Objectives:

- Ensure that each report drafted is received and processed without delay.
- Clarify the roles and responsibilities of each sector.
- Facilitate the work of Funding Services staff.

Outcome:

Funding Services staff's work will be clearly defined, the required tasks will be completed and the terms of arrangements will be better met.

Conclusion:

Given the number of reports required of First Nations and differences in processing each of them, this tool will define the tasks of each employee more precisely and ensure more effective processing while helping train our future workforce.

Implementation:

April 1997

4. Funding Manual

Rationale for creating the manual:

Since the arrival of the concept of a single service outlet, funding officers have had to work with a very wide range of First Nations programs funded by the department under contribution agreements. For this reason, the Funding Services Directorate developed a manual providing detailed information on each service for which the department may provide funding.

Objectives:

- Ensure that funds are expended for the purposes for which they are allocated.
- Facilitate funding officers' work in their contacts with First Nations.
- Ensure a common, precise understanding of each service covered.
- Convey the same information to all clients.

Outcome:

Funding officers' and analysts' work was greatly simplified, reducing funding errors.

Conclusion:

Given the number of services covered under contribution agreements and the variety of programs administered, this tool ensures higher quality while simplifying procedures. This manual will also help train our future workforce.

5. Funding Officers Training

Rationale for creating the document:

To develop a directory of courses and a self-evaluation form based on the national knowledge and skills profile developed for funding officers.

Objectives:

- Ensure that officers can increase their knowledge and skills.
- Use the funding officers profile to develop a directory of specific and ongoing training suited to funding officers' needs.
- Identify a range of courses designed to train the future workforce.

Outcome:

The directory was created and is used by the officers and other interested staff in preparing their training plans. This tool helps identify group courses.

Conclusion:

In combination with self-evaluation based on the skills profile, this tool is used to develop a three-year training plan in order to achieve a vision of training needs in the medium-term. It helps us deal directly with the weaknesses identified.

6. Reorganization of Funding Services

Rationale:

Following the request to reassign staff (20%), Funding Services had to make changes in its organization to ensure service delivery and carry out their new functions while increasing partnership opportunities.

Objectives:

The new structure was created:

- following individual, sectoral and multi-sectoral consultations led by a consultant;
- on the basis of the following 10 principles:
 - promoting teamwork
 - sharing duties fairly
 - maximizing the use of staff's abilities
 - improving client relations
 - offering a flexible structure and preparing for the future
 - eliminating overlaps in roles and responsibilities (grey zone) **OR** concentrating on identical roles
 - taking account of the 6.5 full-time equivalents (FTEs) (payroll expenditures) cut
 - responding to specific issues
 - enhancing organizational efficiency
 - implementing Financial Transfer Agreements (FTAs)
- and by developing clear processes for each major function, using an integrated approach for all sectors involved.

Outcome:

- Changes were possible because of staff involvement at all stages of the process and a constant emphasis on teamwork and consensus.
- Staff consultation allowed for a more realistic implementation of the new structure in two distinct phases.
- The new organizational structure will allow for greater emphasis on partnership, accountability, program evaluation and skills enhancement.

Conclusion:

There is a need to consult and communicate with employees and achieve consensus in order to ensure a shared commitment.

7. Alternative funding method / school-related capital assets

Rationale for creating the document:

This method was developed to meet a greater number of First Nations' school-related needs each year. By making payments through annual installments, the Department of Indian Affairs and Northern Development (DIAND) can provide simultaneous funding for several projects of this type. This method also makes it possible to accelerate the implementation of school-related projects as part of DIAND's prioritization process.

Objectives:

- Promote partnership among First Nations / DIAND / financial institutions / consultant firms, involving risk sharing.
- Reduce DIAND's role in carrying out these projects by transferring responsibility to First Nations.
- Optimize First Nations' skills for the administrative management of these projects.
- Reap significant savings by building permanent infrastructure rather than temporary facilities.
- Reduce political pressure on DIAND regarding certain issues.

Outcome:

In the case of the Betsiamites pilot project, this project was very successfully implemented, with joint supervision by the First Nation involved, with the assistance of both its consultants and DIAND. Given the limit on funding from DIAND, the First Nation must also assume interest payments under this method, thereby enhancing its credibility with financial institutions and encouraging it to improve its knowledge of financial management.

Conclusion:

Given the pilot project's potential success, the Mashteuiatsh, Lac Simon and Kahnawake First Nations are also interested in adopting this type of alternative funding.

8. Annual meeting of maintenance supervisors in communities

Rationale for creating the meeting of supervisors:

This annual meeting was instituted to help supervisors in their work, make them aware of their responsibilities and help them learn new working methods following the takeover by the First Nations of the O & M of facilities.

Objectives:

- Understand the supervisor's role and responsibilities and those of Technical Services.
- Discuss their problems and find solutions.
- Help supervisors take charge.
- Make supervisors aware of new developments with regard to both facilities and management.
- Learn how to manage their Operations and Maintenance budget more effectively.

Outcome:

After seven years, the meeting still claims to be dynamic and responsive to change. The demand is greater every year and participants, based on the evaluation of sessions, find this a very interesting mode of exchange. This annual conference is now organized by a committee composed of representatives from First Nations.

Conclusion:

Given the constantly increasing responsibilities of maintenance supervisors and in view of the technology transfer from DIAND, this meeting is intended as an indispensable working tool in all areas that may help supervisors in developing their knowledge.

9. Annual meeting of Directors General and Band Councils

Rationale:

While political representatives of the band councils meet regularly, there is no formal forum for administrators of band and tribal councils. An annual meeting is held at which DIAND and the bands present information or discuss specific items. The first meeting was organized jointly by the bands and DIAND. A committee consisting of representatives of band and tribal councils was established to prepare for upcoming meetings.

Objectives:

- Compensate for the isolation of band and tribal council administrators.
- Discuss information and practices.
- Create a network.
- Develop skills.

Outcome:

- The exchanges helped identify common problems (e.g. skills development) and develop mechanisms to compensate for them.
- Sharing of information among bands and networking.
- DIAND can provide information to bands as required and obtain feedback on its own administrative practices.

Conclusion:

Given the importance of this type of forum, it was agreed that these meetings should be held annually.

10. Brochure on skills development measures

Rationale for producing the brochure:

There are numerous regional measures to develop skills which could be helpful to Aboriginal Public Administrations, but First Nations are not always sufficiently aware of them. Compiling a single list of these measures, by sector of activity, will make for easier reference and use.

Objectives:

- Prepare a summary of regional training and skills development measures in all areas of responsibility devolved to First Nations.
- Bring these measures to the attention of First Nations in the region and promote their use to develop their employees' abilities.

Outcome:

First Nations in the region will have a simple and quick reference tool to manage their training and skills development strategy for employees interested in the administration and delivery of services and programs to their community.

Conclusion:

We dealt with the topic of skills development with First Nations Directors General in the region at a meeting held in October 1996. That is when we thought of listing measures in this area, to highlight them and, especially, to make them more accessible to Aboriginal public service employees.

This project is in progress and should be completed by October 31, 1997.

11. Teamwork training

Rationale for the project:

Following a decision by the management committee, teamwork became a regional priority in the 1996-1997 training plan. The decision was designed to enhance the effectiveness of DIAND teams by mobilizing team members and making them accountable, and by strengthening the ability of teams to resolve problems, use creative approaches, hold meetings, etc.

Outcome:

Seven teams at the regional office, or some twenty-four employees, received training. Team leaders met to define training project parameters and decided on a core curriculum for the first day of training. The other training modules were developed on the basis of each group's specific needs. Nearly all those who attended the training workshops responded favourably and each team concluded the training project with an action plan to improve the effectiveness of the team.

Conclusion:

This training substantially improved the working atmosphere in each team. A follow-up with each team will be carried out in 1997-1998 to monitor the implementation of their action plans. In addition, the project will continue in 1997-1998 and training will be provided to other teams in the regional office upon request.

12. Strategic Intervention Fund Users' Manual

Rationale for creating the manual:

A number of directorates were experiencing difficulties in funding certain projects and the region was granting additional funding without any real formal process. A written request (non-standard) was sent to the branch and the Director of General Services who, after analysing the project, made a recommendation to the Director General as to whether the additional funding should be awarded.

Objectives:

Develop a regional approach including a statement of basic principles and draw up criteria for establishing priorities to ensure the strategic intervention fund (SIF) is used rationally and fairly.

Outcome:

Ensure appropriate use of regional funding available for special projects and involve certain managers in decision-making. Standard requests are easier to analyse and monitor.

Conclusion:

Given the limits of available funding and the ever increasing needs of communities, this tool enables the Director General to approve the projects which are given priority.

13. Three-year planning exercise for surveying and mapping requirements conducted in conjunction with the Legal Surveys Division of Natural Resources Canada

Rationale for the exercise:

Planning of surveying and mapping work on Indian reserves was not being conducted as a joint exercise by all sectors involved. The lack of coordination between the various users in the department resulted in rather poor management of allocated funding. Consequently, it was decided to give Lands, Revenues and Trust (LRT) the task of coordinating the exercise to determine the region's surveying and mapping needs.

Objectives:

- Rationalize the use of funds.
- Ensure greater efficiency.

Outcome:

The surveying and mapping three-year planning exercise is being conducted with the cooperation of the various sectors involved.

Conclusion:

The exercise allows the region to achieve considerable economies of scale and provides First Nations with services more closely matching their needs.

Terms of Reference

TERMS OF REFERENCE

REVIEW OF MANAGEMENT PRACTICES IN THE QUEBEC REGION

- BACKGROUND:** Since April 1, 1992 when new responsibilities had been assigned the department has undergone a significant organizational change in relationships between headquarters and regions. Also, the public sector environment is adapting to new challenges as well as downsizing and reorganizations.
- The nature of DIAND has continued to change from one of providing services and products to First Nations, to the roles of funding and facilitation.
- Results from the reviews of Management Practices in 1994-1995 were well received by the auditees and the Departmental Audit and Evaluation Committee (DAED). The reviews conducted by the Departmental Audit and Evaluation Branch (DAEB) covered the Ontario, British Columbia and Atlantic regions.
- The Quebec Region is entirely centralized, except for two Lands, Revenues and Trusts services delivery offices, in Kahnawake and Pointe-Bleue.**
- NEED:** DAEB conducts, on a periodical basis, reviews and assessments of management practices, as well as a determination of Best Practices. These reviews assist management in sharing Best Practices and improving operations. All regions and headquarters branches are covered on a cyclical basis.
- SCOPE:** The review will include management practices, initiatives and controls pertaining to the following:
- planning, organization, communicating, directing and controlling the operations in the region;
 - support of the fulfilment of department's obligations and priorities;
 - innovations and improvements in the delivery of client and public services and in information management;
 - financial and administrative operations in the areas of appropriateness of financial control framework; and

- an examination of recent responsibility transfer and control measures with respect to transferred programs.

In considering the above, best management practices should be considered in terms of results-orientation and due risk consideration in supporting the key management philosophies of:

- client focus;
- quality assurance;
- involvement and participation;
- service standards;
- building horizontal linkages;
- supporting departmental strategic directions; and
- principles vs. rules-based management.

EXCLUSIONS:

The review will include an assessment of the following:

- environmental issues in relation to operational processes and practices;
- implementation of Treasury Board security policy;
- materiel management; and
- management of human resources and related issues such as staffing, staff relations and classification.

OBJECTIVES:

The objectives of the review are to:

- assess whether the regional management practices and frameworks in selected responsibility centres are operating with due regard to maximum effectiveness, efficiency and economy;
- assess the degree that selected aspects of regional operations comply with central agency and departmental, policies and procedures; and
- identify best practices that lead to improved effectiveness of the organization.

APPROACH:

The review will be conducted in the following three stages:

- Preliminary Review and Evaluation;
- Field Work and Analysis; and
- Reporting.

RESOURCES: The project will be implemented using contracted resources and will be managed by DAEB.

TIMEFRAME: The Review Planning will commence in August 1996 and the report will be completed by March 1997.

APPROVED BY:

Jérôme Lapierre
Acting Director General
Quebec Region
August 29, 1996

Action Plan

AUDIT AND EVALUATION / VERIFICATION INTERNE ET ÉVALUATION

REQUEST FOR ACTION PLAN / DEMANDE DE PLAN D'ACTION

PROJECT / PROJET : 96 /14
DATE SENT / DATE D'ENVOI : 97-02-20
DATE DUE / ÉCHÉANCE : 97-03-07

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PROJECT TITLE / TITRE DU PROJET : Review of Management Practices
REGION OR BRANCH / RÉGION OU DIRECTION GÉNÉRALE : Quebec Region

(1) RECOMMENDATIONS / RECOMMANDATIONS	(2) REPORT / RAPPORT PAGE NO.	(3) ACTION PLAN / PLAN D'ACTION	(4) RESPONSIBLE MANAGER / GESTIONNAIRE RESPONSABLE (TITLE / TITRE)	(5) PLANNED COMPLETION DATE / DATE PRÉVUE DE MISE EN OEUVRE
1. The Director General should enhance understanding of departmental and regional directions and priorities to generate a sense of belonging at all levels of the organization.	6	1. Plan general meeting(s). 2. Hold general and special forums: presentations, exchanges and discussions on the policy framework for each sector, after policy framework has been submitted and regional priorities have been established. 3. Review communication mediums in use, including format and content of meetings.	RDG RDG/Directors A/Director, Executive Services	March 31, 1997 April 30, 1997 June 30, 1997
2. To be able to respond to new challenges proactively, senior management should distribute responsibility among a larger number of people by assigning the management of issues to the employees involved.	7	1. Identify issues in which senior management is heavily involved and decide who should be responsible for each one. 2. The person responsible for an issue should put a team together if necessary. 3. The person responsible for an issue should keep the team and senior management informed. (Ongoing) 4. Managers should accept errors associated with taking calculated risks and support employees entrusted with the duties involved. (Ongoing)	RDG/ADG Persons responsible for files/Directors Persons responsible of files Managers	May 31, 1997 May 31, 1997 March 31, 1998 March 31, 1998

AUDIT AND EVALUATION / VERIFICATION INTERNE ET ÉVALUATION

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PROJECT TITLE / TITRE DU PROJET : Review of Management Practices
 REGION OR BRANCH / RÉGION OU DIRECTION GÉNÉRALE : Quebec Region

(1) RECOMMENDATIONS / RECOMMANDATIONS	(2) REPORT / RAPPORT PAGE NO.	(3) ACTION PLAN / PLAN D'ACTION	(4) RESPONSIBLE MANAGER / GESTIONNAIRE RESPONSABLE (TITLE / TITRE)	(5) PLANNED COMPLETION DATE / DATE PRÉVUE DE MISE EN OEUVRE
3. Senior management should create an adaptable and flexible working framework geared to the new challenges, to promote decompartmentalization.	7	1. Review the various sectors' mandates and current tasks and activities. 2. Identify projects requiring multidisciplinary teamwork. 3. Identify criteria for team formation. 4. Develop criteria for team operation. 5. Develop management contract models for teams. 6. Develop models for employment contracts. 7. Maintain the forum used for the review. 8. Take teamwork into consideration in performance appraisals. (Ongoing) 9. Include facilitator training in training program in order to maximize team performance. (Ongoing)	RDG/ADG/Directors RDG/ADG/Directors RDG/ADG RDG/ADG RDG/ADG RDG/ADG RDG/ADG Managers Reg. Manager Human Resources	September 30, 1997 April 30, 1997 December 31, 1997 December 31, 1997 December 31, 1997 December 31, 1997 May 31, 1997 March 31, 1998 November 30, 1997

AUDIT AND EVALUATION / VERIFICATION INTERNE ET ÉVALUATION

REQUEST FOR ACTION PLAN / DEMANDE DE PLAN D'ACTION

PROJECT / PROJET : 96 /14
 DATE SENT / DATE D'ENVOI : 97-02-20
 DATE DUE / ÉCHÉANCE : 97-03-07

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4. The organization should support the changing environment by using innovative approaches to development and the sharing of information and knowledge in a whole range of ways in carrying out daily activities.	8	1. Identify topical issues and promote the creation of learning circles. 2. Through the training committee, develop and implement employee job-matching and mentoring arrangements and review assignment methods. 3. Encourage employees to prepare for the future by involving them in meetings, working groups, etc. 4. Observe what other organizations are doing to identify their future workforce and ensure its training and promotion.	Reg. Manager, Human Resources	October 31, 1997
5. Together with headquarters, Regional management should work with First Nations to develop and adopt partnership principles which take both parties' responsibilities into account.	9	1. Create forums for discussion with First Nations. 2. Define principles and establish a partnership mentality by: <ul style="list-style-type: none"> - strengthening our networks; - involving Aboriginal people in decision-making; - accepting to take risks; and - promoting joint activities to gain a better understanding of each other's values. 	RDG	October 31, 1997