



Canadian Centre for  
Management Development

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# MOVING FROM THE HEROIC TO THE EVERYDAY

LESSONS LEARNED FROM  
LEADING HORIZONTAL PROJECTS

## HORIZONTAL MANAGEMENT

CCMD ROUNDTABLE  
ON THE MANAGEMENT  
OF HORIZONTAL  
INITIATIVES

CHAired BY  
JAMES LAHEY

BY  
MARK HOPKINS  
CHANTAL COUTURE  
ELIZABETH MOORE

ACTION – RESEARCH  
ROUNDTABLES

Canada

FOR ALL THOSE WHO BELIEVE IN EXCELLENCE • POUR CEUX ET CELLES QUI CROIENT EN L'EXCELLENCE



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## A WORD FROM CCMD

The Public Service of Canada is evolving at an ever-quicken pace and research is needed to address the issues and challenges public servants face daily. In consultation with managers, CCMD identified four issues of immediate and critical concern and launched four Action-Research Roundtables:

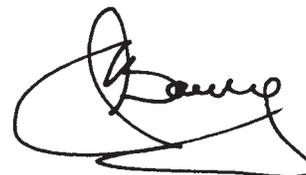
- Implementation of the Social Union Framework Agreement (SUFA)
- Building the learning organization
- Managing horizontal issues
- Risk management

This report has been released by the Action-Research Roundtable on the Management of Horizontal Initiatives. The objectives of this project 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. This document, and the other products of this roundtable, not only fulfill this mandate but go beyond it.

The range of documents that have been generated by or for the roundtable include a literature review and papers on the topics of regional councils, accountability and trends in governance, and how to undertake dialogues on the management of horizontal issues (see CCMD's website [www.ccmd-ccg.gc.ca](http://www.ccmd-ccg.gc.ca) for these documents).

I would like to thank the Chair, Jim Lahey, Associate Deputy Minister, Human Resources Development Canada. The depth and richness of this project is attributable to his committed and insightful leadership. The roundtable members also made immense contributions, volunteering their time and sharing their experiences, insights and wisdom. I would also like to thank the nearly 200 people who took part in satellite events that helped broaden and deepen the work of the roundtable. Finally, for their capable support, I would like to thank Geoff Dinsdale, coordinator of the Roundtables and the members of the roundtable secretariat, Chantal Couture, Nathalie Burlone, Elizabeth Moore, and Peter Stoyko.

Jocelyne Bourgon



President,  
Canadian Centre for  
Management Development



## PREFACE

For some time now, public service managers have recognized that working across organizational boundaries is basic to much of what they do. Simply stated, horizontal management is necessary in more and more cases in order to get the job done. Without this type of collaboration, it is difficult to imagine management of crosscutting policy issues or the delivery of service to citizens in ways that make sense to them.

There is a feeling, however, that managing horizontally is still at a pioneering stage. Too often it depends on heroic individual effort. Too frequently it seems managers must overcome obstacles that the “system” could reduce or eliminate. Our knowledge still has too many gaps. And what we know collectively is too difficult to access.

The impetus for setting up a roundtable on horizontal management was the desire to capture and make what we do know more readily available. By bringing together public service practitioners, academics and others, we aimed to distil the “state of the art.”

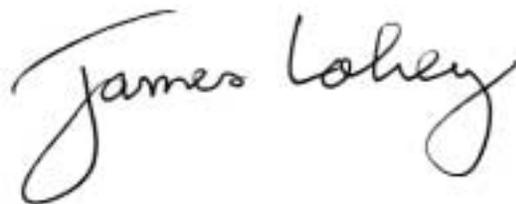
We were impressed by the enthusiasm and the sheer number of those wanting to participate. The process expanded to accommodate. Apart from six regular meetings of the Roundtable, we organized five special “satellite” events to embrace a broader array of experience. In the end, nearly 200 people shared their insights with us.

Without exception, the exchanges were intense and informative. But how to convey the energy and richness of these discussions? No “ten steps to success” or checklist could accomplish this. This document offers a summary of what we learned, drawing heavily on the cases we reviewed. It is supplemented by an annotated bibliography, case studies, and other materials that are available on the Internet at [www.cmd-cg.gc.ca](http://www.cmd-cg.gc.ca).

The art and practice of managing horizontally is still very much in development. We hope this document will help you push back the frontiers.

My thanks to the many people who contributed their time and wisdom, and to the Canadian Centre for Management Development for sponsoring our work.

James Lahey

A handwritten signature in black ink that reads "James Lahey". The signature is written in a cursive, flowing style with a large initial 'J' and 'L'.

Chair, CCMD Action-Research Roundtable  
on the Management of Horizontal Initiatives

## ACKNOWLEDGEMENTS

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The Roundtable members would like to thank the many individuals who contributed to the development of this report. This includes resource people, satellite event organizers and attendees, focus test participants, and the people who carried out the publication process. These individuals helped ensure this report is readable, relevant and useful for public servants across the country.

## SUMMARY

### I. The Nature of Horizontal Management

- Horizontal management is about working collaboratively across organizational boundaries.
  - There are no hard and fast rules to horizontal management — it is an art more than a science.

This type of management is pervasive, occurring at every level in an organization. It involves bringing people from diverse organizational and occupational backgrounds together into teams and networks with a common purpose and shared culture.
  - Horizontal management is a valuable tool, but it is not relevant in all circumstances and it comes with risks. These risks include encouraging “group think,” cutting lines of accountability and authority, and pursuing consensus at the expense of serving the public interest.
- Several important themes emerged out of the Roundtable’s discussions and research.
  - Leadership that marshals the powers of influence and persuasion is the key driver. It is best exercised through dialogue, with an emphasis on active listening.
  - A culture that values collaboration and trust among partners is essential.
  - Horizontal initiatives have a life cycle that makes timing crucial. Continual reflection and adjustment are required to maintain momentum.
  - Managers of horizontal initiatives need to maintain contact with vertical structures for the sake of securing accountability, authority and resources.
  - Support systems (knowledge bases, resource allocations, and the like) too often work against horizontal management and need to be adapted.

### II. Key Dimensions of Horizontal Management

- The Roundtable explored four key dimensions of horizontal management:
  1. Mobilizing Teams and Networks — The ability to mobilize teams and networks is crucial to getting an initiative off the ground, especially in the face of entrenched interests. Several things promote mobilization:
    - Leadership makes all the difference. While getting started may require one or two people to take on the main responsibility, leadership works best when shared, shifting from person to person depending on circumstances and personal strengths. Dialogue and persuasion are the key methods of identifying opportunities and resolving conflicts.

- Teamwork makes a horizontal partnership cohesive. Early and open engagement gives people a sense of collective ownership. Rewards and recognition provide an incentive to cooperate. A broad and inclusive network of stakeholders and third parties creates buy-in.
  - Shared mental models and vocabularies help give an initiative a working culture.
  - Trust is the glue that holds an initiative together. Building credibility, investing in relationships, openness, and continual dialogue promote trust. Small undertakings can create a positive climate for risking more together.
2. Developing Shared Frameworks — Developing a shared framework helps to ensure that everyone is working towards the same goals.
- A shared understanding of the key issues must be internalized. A shared fact base, dialogue and patience are required to accomplish this.
  - Clarity about shared goals and results, as well as roles and responsibilities, can promote effective accountability. It may be necessary, however, for these elements to evolve so that the initiative can adapt to changing circumstances and new opportunities.
  - There is a tension between individual accountability and a shared sense of purpose and responsibility. It is important to acknowledge and manage this tension.
  - Planning and reporting serve the purposes of accountability, communications, and providing discipline to an initiative.
3. Building Supportive Structures — A variety of supportive structures can be used to help managers build lasting relationships and achievements. Informal structures are less resource intensive, more flexible, and less binding on members (e.g., communities of practice). Formal structures are resource intensive but less ambiguous; they require some logistical skill and expertise to implement (e.g., agencies).
- Managers need to reflect carefully on the appropriateness of the many structures available. They do not have to be rigid, bricks-and-mortar structures.
  - Timing is also crucial, for structures erected too soon can undermine the development of a shared culture. Too much formality early in an initiative can dampen motivation, but leaving the creation of support structures too late can undermine the resilience of an initiative. The choice of structure often depends on the stage of an initiative's development.
  - When information is shared to facilitate coordination, informal structures help promote frequent and open conversation. Formal structures, in contrast, are often required to secure quality and consistency of documents and data.

- When sharing resources to create new capabilities, the choice of structure often depends on the amount of resources being shared and the length of a sharing arrangement. Large-scale and longer-term movement and sharing of resources have to be documented and accounted for formally.
  - When sharing authority or making important decisions that cut across mandated authority, formal structures are required.
  - Even when an initiative has a concrete end-point, structures should be designed to facilitate longer-term relationship building.
4. Maintaining Momentum — Initiatives have ups and downs, meaning that managers must work actively to maintain momentum. Leadership is important to motivate the key players, channel information to keep everyone engaged, and make working horizontally routine.
- An outside champion can give an initiative someone to keep things on track and to connect with vertical structures.
  - Building on small successes demonstrates viability and motivates partners. It is important to set milestones, give successes visibility, and demonstrate progress and results.
  - A horizontal arrangement can undergo several transitions during its life cycle. Managers can influence timing by keeping all the partners focused on key goals while remaining flexible in response to changes within the environment and to emerging opportunities.
  - Continuous learning is required in order to reflect on experiences and push the initiative forward.
  - While money can improve capability, too much money too early in the process can hinder individual initiative and prevent people from innovating.
  - Deadlines help practitioners develop a common schedule and manage workloads effectively.



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## INTRODUCTION

### Advancing Our Knowledge of Horizontal Management

There are three key gaps in our knowledge base when it comes to managing horizontal initiatives:

- There is a need to distil practical advice. A lot has been written on the value and importance of horizontal management. But little in the way of practical advice is available. In the words of one participant: “A lot of work has been done — but it falls down at the practical level.”
- There is a need to share real experiences. The numerous on-the-ground successes of the past five to ten years have not been captured. As one participant said: “People are not aware of what horizontal initiatives are underway. We are missing exchanges with others.” To this end we decided to ground this project in real experiences and to capture the flavour of the words of public servants as they described their own experiences and perceptions.
- There is a need to acknowledge the continuing real-world difficulties of managing horizontally and to address the concrete institutional and cultural obstacles to improving horizontal management.

### Drawing from Many Experiences and Sources

This report builds upon the ground set out by the 1996 Deputy Ministers’ Task Force report on Managing Horizontal Policy Issues, and moves beyond horizontal policy issues to focus on a wider range of horizontal issues. It is also rooted in the experiences and lessons learned of managers. The many quotes you will encounter as you read through this document are drawn from case studies, as well as from discussions at Roundtable meetings and special “satellite” events (see Appendix 5 for more information about the satellite events).

The following case studies are highlighted throughout this document (see Appendix 1 for case summaries, and contact information):

- Service (Team Canada Inc, Joint Economic Development Initiative, Rural Team New Brunswick);
- Research (Policy Research Initiative, Science and Technology Memorandum of Understanding);
- Policy (Urban Aboriginal Strategy, National Children’s Agenda, Oceans Act, Voluntary Sector Task Force, Canadian Magazine Policy, Medium-Term and Transition Planning);
- Internal support (e.g., The Leadership Network, federal regional councils);
- Emergencies (e.g., the Swissair disaster);
- Multi-faceted projects (The St. Lawrence Action Plan, Oceans Act, Natural Resources Canada (NRCan) Regional Lens Approach).

Many of these case studies, as well as other resources generated by and for the Roundtable, are available on the Canadian Centre for Management Development’s Web site at [www.ccmd-ccg.gc.ca](http://www.ccmd-ccg.gc.ca).

## Horizontal Management Is About Managing Networks

Horizontal management is about more than interdepartmental cooperation. Horizontal initiatives often involve provincial and municipal governments, non-governmental organizations (NGOs), community groups and leaders, academics, and the international community. The essence of horizontal management was described by one participant as the challenge of “bringing diverse people together and lining up authorities in a complementary way to achieve a common purpose.” Sometimes a team is the right concept — where tightly cohesive purposes and culture were developed — as in the case of Team Canada Inc., for example. In other cases the core team forms the hub of a wider network of participants, as in the case of the St. Lawrence Action Plan, which had to engage a huge number of users over a wide geographic area:

[Working horizontally] means being able to work in teams and networks across organizational silos; to think and act corporately . . . the public service is in a post-structural era; where power is exercised through networks, where influence is derived from cooperation . . .

*Mel Cappe, Clerk of the Privy Council and Secretary to the Cabinet, speech to APEX, May 31, 2001*

One can imagine at least three degrees of horizontal work:

- *Horizontal attitudes and culture*  
When individuals make a conscious effort to work horizontally in their daily work lives, building informal ties that facilitate sharing.
- *Horizontal coordination*  
When organizations coordinate work to reduce or eliminate overlap and duplication.
- *Horizontal collaboration*  
When resources, work and/or decision making are integrated across organizations.

When we move from horizontal culture to collaboration, we generally move from the simple sharing of information to the sharing of resources, work and ultimately authority.<sup>1</sup> We therefore move from relatively few to many administrative and accountability requirements (e.g., financial, human resource, and legal). While a horizontal culture (e.g., openness and information sharing) is a critical foundation for any horizontal work, this report focuses principally on the management of horizontal projects.

## Horizontal Management Is More an Art Than a Science

There are no hard and fast rules for leading a horizontal initiative. Nor is there a simple formula to successful horizontal management:

Managing horizontally is not a technique like flying an airplane. Ultimately it depends on judgment and ingenuity, a willingness to take risks, and both patience and determination.

*Roundtable member*

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<sup>1</sup> For more on these three categories of what is being shared, see Consulting and Audit Canada report *Impediments to Partnering and the Role of Treasury Board* (May 13, 1998), p. 8.

## Horizontal Management Is Becoming More Central to Good Governance

The Roundtable identified three reasons why the importance of horizontal management is likely to continue to grow.

The most important reason is effectiveness. Horizontal management is often the only or the best way to get results. It may not be the most efficient method, especially in the short run, but over time it can be the most effective. It responds to public service challenges that are increasingly complex and being analyzed afresh from horizontal perspectives. Managing Canada's oceans, restoring the ecological health of the St. Lawrence River, or putting in place a national children's agenda illustrate how the broad range of players involved and the limited capacity of any one player to "go it alone" makes horizontal management a necessity. To ensure effectiveness, we need to strengthen coordination of policy development and service delivery, and linkages between policy and operations, across government. In the case of oceans policy, for example, 23 federal departments and agencies have oceans responsibilities; ten are major players; and there are more than 100 legal instruments that regulate oceans-related activities.

Managing Canada's oceans, restoring the ecological health of the St. Lawrence River, or putting in place a national children's agenda illustrate how the broad range of players involved and the limited capacity of any one player to "go it alone" makes horizontal management a necessity.

The Oceans Act places sole responsibility on the Minister of Fisheries and Oceans for developing and implementing an oceans management strategy, without providing any new levers to accomplish this task. This situation necessitates horizontal collaboration with other federal departments, other levels of government, and other stakeholders.

*Oceans Act*

It is only possible to realize how complex the task we faced was when one considers the large number of organizations that have jurisdiction over aspects of the St. Lawrence ecosystem, and the number of often conflicting uses that are associated with the river.

*St. Lawrence Action Plan*

Working horizontally is done for a purpose — to pull tools from other departments to be part of the solution.

*Satellite event participant*

The second factor relates to technology. In discussion, e-government was seen to have the potential of bringing about a dramatic change in how government operates. We can expect an ever-increasing degree of customer and citizen scrutiny of the delivery of our services with implications for how we organize ourselves.

Government on-line will require a much more seamless and collaborative pattern of relationships behind the scenes. Working horizontally will cease to be an option. It will be essential.

*Satellite event participant*

The third reason is about *values*. One question we asked ourselves was: “How will the public service adapt to younger generations who expect to be connected?” There was a sense that the so-called nexus generation is less comfortable with the old certainties and the old categories. At the same time there is ample evidence from public-values research showing a decline of deference, as part of a broad-based shift in authority relations across western society. Increasing the ability of governments to act as parts of networks of actors in solving social and economic problems is seen to respond both to the value base of the coming generation of leaders and the expectations of the public.

### **Horizontal Management Is Not a Silver Bullet**

Not everything is horizontal — it isn’t always relevant.

*Satellite event participant*

“Group think” is a danger inherent in the coordination and cooperation aspects of too many projects. Consensus can drive to the “lowest common denominator” at the expense of the tougher choices that may better serve the public interest.

There was also a clear warning about not looking to horizontal management as a cure for all ills or as an end in itself. Horizontal management has enormous benefits, but it also has risks:

- Horizontal management elongates the decision making process. Gaining the trust and securing the collaboration of a network requires a large investment of time and energy.
- “Group think” is a danger inherent in the coordination and cooperation aspects of too many projects — “Consensus is a hobgoblin.” Consensus can drive to the “lowest common denominator” at the expense of the tougher choices that may better serve the public interest.
- Horizontal processes can become disconnected from the channels of authority, accountability and action when an initiative is not linked back into its supporting — often vertical — structures. This can happen when the people sitting around the table either fail to communicate decisions “back home” or have not been given the authority to negotiate. Ensuring the initiative becomes part of the organization’s official planning process is critical in order to leverage support and resources.

These risks serve to underline the importance of looking to horizontal management as a means to an end and not as an end in itself. Horizontal management is not a value, it is a tool. Our central advice here is that the decision to undertake a horizontal initiative should be a purposeful one, based on a thorough assessment of the results sought and the options available.

## **Crosscutting Themes That Emerged From the Roundtable's Work**

### ***Reinventing Leadership***

Most important of all, horizontal management demands a reinvented form of leadership — a leadership that supports the evolution of culture as much as a leadership that delivers projects on time and on budget. We need leadership that marshals the powers of influence and persuasion, is exercised through the channels of dialogue, is distributed throughout an organization, shares credit, and risks transient confusion en route to shared commitment.

We need leadership that marshals the powers of influence and persuasion, is exercised through the channels of dialogue, is distributed throughout an organization, shares credit, and risks transient confusion en route to shared commitment.

Horizontal management requires a redefinition of the role of departments and the government as a whole. Participants suggested that departments are reluctant to allow a single department to take the lead in coordinating various initiatives. To require departments to work horizontally means that every department will have to be prepared to play second fiddle at times.

Encourage senior public servants to define problems in a horizontal way. How they define issues and ask others to work on them is critical.

*Satellite event participant*

Most senior public servants use the rhetoric of advocating horizontal management. But action too often contradicts rhetoric as managers seek to advance their departmental interest by bringing colleagues over to their point of view. Leaders need to align words and action, only using the language of horizontal management when they truly intend to invest in the dialogue and partnership it implies.

### ***Building on a Foundation of Culture and Trust***

Developing a supportive culture and building trust among participants is an indispensable element. They will make or break any initiative. The amount of time it takes to develop trust varies — depending on the history of the relationships among members, on the compatibility of their goals and interests, and on the extent of conflict in mandates or objectives.

### ***Managing Changing Needs***

In many situations the key challenge is managing the evolution of an initiative. An initiative changes over time — as the relationships within the network mature, and as the initiative takes on concrete objectives. The nature of the supports, the machinery, and the skills that are needed will also evolve. The need to adapt is another reason why horizontal management is more an art than a science and why judgment is a critical component of successful leadership. In the words of one participant, “In horizontal management — as in humour — timing is everything.”

### ***Maintaining Vertical Contact***

The reality of working horizontally in a vertical institutional setting means linking back to the vertical structure that is normally the source of funding and authority. Neglecting these links can be fatal. Strong vertical links are as important as strong horizontal links. Without vertical support, horizontal initiatives are vulnerable. One frequent and frustrating barrier to success was participants who lacked delegated authority from home organizations to make decisions.

On Team Canada Inc., each person had a good background in their own business and was therefore able to negotiate on the margins.

*Roundtable member*

### ***Making Support Systems Work***

The need to share information and knowledge, resources, work, and decision-making is becoming more pressing. Yet many of the support systems we have in place — from databases and software, to financial management systems, budgeting and audit and evaluation functions, to accountability frameworks — too often work against rather than in support of such activities. The result is the need for extraordinary determination and ingenuity to achieve success. More attention is needed to streamline the support systems, and to share experience on how to use those that exist.

### ***Key Dimensions of Horizontal Management***

In horizontal projects there are four key dimensions to success (see figure below). Each of the dimensions is explored in the next four sections of this report.

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## Introduction

The diversity of players found in horizontal networks has mushroomed during the past five to ten years; interdepartmental collaboration is only part of the picture. Provincial and municipal governments, and a range of stakeholders with different interests and backgrounds, including NGOs, professional associations, volunteers, advocates, service organizations, and the private sector, may all now be involved.

There was widespread agreement across the federal regional councils that the primary determinants of success were more cultural than institutional in nature.

*The Federal Regional Councils and Horizontal Governance, September 2000*

Personality still explains 98% of success.

*Roundtable member*

It is as if the laws of gravity have changed. There is suddenly no centre of gravity and all the elements of a formerly orderly “solar system” are spinning around each other in wild motion. This is my metaphor for thinking about horizontal management. How we relate to each other and to the centre is no longer given. It has to be created. There’s a lot of responsibility in this — but also a lot of opportunity.

*Satellite event participant*

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Despite the degree of diversity, the challenges of horizontal management remain the same — sharing leadership, team building, linking cultures, sharing responsibility, and building trust emerge as the single most important cluster of success factors. People make it happen, or they break it.

## Sharing Leadership

The pattern of successful leadership that emerged from our studies is somewhat paradoxical. On the one hand, successful horizontal initiatives were often the story of intensive individual effort. On the other hand, leadership in successful initiatives was often distributed.

Both Team Canada Inc. and the Voluntary Sector Task Force relied upon a shared model of leadership where the locus of leadership shifted according to the nature of the challenges at hand.

Shared leadership at all levels (ministers, senior officials, participants) proved to be an effective means of maintaining commitment.

*Team Canada Inc.*

There were many leaders from participating departments. Leaders were not necessarily at the ADM level but were individuals committed to working on issues.

*Voluntary Sector Task Force*

Sharing leadership makes it possible to handle the challenges of horizontal management. In a study conducted for the Roundtable on the role of federal regional councils, Luc Juillet found that:

It was generally necessary for a number of council members to assume positions of leadership on specific files and initiatives. This form of “distributed leadership” proved to be essential for councils to handle a larger set of horizontal files and to maintain a clear sense that the councils’ work responds to the members’ own needs and priorities. As such, leadership should not be incumbent only on the chairperson and should be shared widely among the membership.

*The Federal Regional Councils and Horizontal Governance, September 2000*

Leaders had the ability to identify systemic linkages, goal conflicts, and sources of resistance, to communicate areas of mutual interest, and to bring teams and networks of stakeholders together. They also showed the courage to act when full consensus proved elusive.

Team Canada Inc. also found during the initial stages of its establishment that a cohesive team of three leaders (Industry Canada, Department of Foreign Affairs and International Trade, Agriculture and Agri-Food Canada) was key to the overall success of the project. Their ability to work as a team, to override turf issues, and drive the initiative made the difference.

Successful leadership also exhibits a blend of the traditional leadership appropriate to a hierarchical bureaucracy with a new form of leadership. Leadership in horizontal management means using the powers of influence and persuasion through the

channels of dialogue. This form of leadership can nurture and strengthen trust, and lead the process of cultural change. The Roundtable found that leadership for horizontal management

requires, at the root, the ability to manage relationships of interdependency. Leaders had the ability to identify systemic linkages, goal conflicts, and sources of resistance, to communicate areas of mutual interest, and to bring teams and networks of stakeholders together. They also showed the courage to act when full consensus proved elusive.

The ability to persuade and motivate members in the absence of formal authority and vertical incentives and to rally people around common objectives were seen as important leadership competencies.

*The Federal Regional Councils and  
Horizontal Governance, September 2000*

## **Investing in Teamwork**

The ability to build and sustain a team was found to be one of the key tests of the leadership needed to make horizontal work happen. The teams encountered in these case studies varied significantly in nature. They include the tightly cohesive teams that operated over the 36 hours of the Swissair search and rescue operation, to the network of teams that continues to work on the restoration of the St. Lawrence River, 13 years after coming into being. What determines the nature of teams are differences in time frame, the number of participants to be coordinated and clarity of purpose. In the Swissair case the mission was clear from the first instant. In the case of New Brunswick's Joint Economic Development Initiative, common objectives emerged over many months.

### ***Early Engagement***

One key factor is early engagement, but there is a risk involved. Expanding a network too early can make consensus harder to build. On the other hand, the length of time required for building a shared sense of trust and a shared understanding underlines the importance of engaging all potential players at the beginning of a process. The sooner people are engaged, the easier it will be to develop a sense of ownership of the process, and a willingness to stay at the table. In retrospect, one early shortcoming of the St. Lawrence Action Plan was the failure to fully engage federal and provincial governments from the beginning. It was felt that a lot of time and effort was required further down the road to make up for this early misstep.

It is also critical to involve the right people in the right way. This often demands ingenuity. In the case of the Voluntary Sector initiative, it was not obvious whom to involve. The approach used was to identify impartial people knowledgeable of the sector but not involved and ask them to nominate participants from among the 1,500 people who applied. About 70 were selected to serve on a variety of collaborative mechanisms with 12 government officials to plan and manage the work of the initiative. An open and transparent process to select participants can yield benefits in terms of credibility with participants and stakeholders.

### ***Rewarding and Recognizing Success***

The Roundtable also found that the costs of participation in horizontal initiatives are great in terms of time and energy — and the rewards are relatively few. The incentives to cooperate are not always there. In fact, sometimes people can calculate whether the pay-offs in cooperation are likely to be greater than in the lack of cooperation. They then act accordingly. Many participants talked about the workload problem and the fact that horizontal projects sat on the desk corner as an adjunct to people's day jobs.

One of the tools that proved successful in nurturing and motivating teams was the simple act of rewarding and recognizing success. Bonus pay, additional discretionary time, and awards are examples that were found effective. The Saskatchewan Federal Council has recognized federal employees through certificates of recognition, formal luncheons with the Federal Council and in newsletters. The Quebec Council of Senior Federal Officials has hosted a Distinction Awards Gala as part of its reward program. This Gala recognizes the work of the employees involved in interdepartmental projects.

Informal means of recognition can be equally rewarding for team members. For example, praise privately or in front of other team members can go a long way to creating and maintaining enthusiasm.

### ***Managing Change and Diversity Within Networks***

A number of cases demonstrated the need to build a broad network of third parties and stakeholders whose involvement — at different levels of intensity and effort — can be critical. Such a network can be a source of objective advice, particularly when an initiative is dealing with a contentious issue. In the magazine policy case, for example, involving a hotly contested trade dispute between Canada and the United States, the solution was suggested by an American government representative not involved in the dispute resolution.

A key challenge in the management of these networks is that members are diverse in their capacity and relationships are therefore asymmetrical. Some groups are better resourced, better skilled, better prepared, more sophisticated and therefore better able to enter into a partnership.

A key issue is how to involve stakeholders in policy development and balance provincial interests with those of stakeholders and citizens. The NGO community can be an important contributor at the thinking level. There is a challenge in finding new models to bring everyone to the table.

*Satellite event participant*

A key challenge in the management of these networks is that members are diverse in their capacity and relationships are therefore asymmetrical. Some groups are better resourced, better skilled, better prepared, more sophisticated and therefore better able to enter into a partnership.

This initiative [urban aboriginal strategy] has had turf problems perhaps because there is strong personal interest in the midst of scarcity which makes things extremely immovable . . . The challenge has been to encourage all partners to bring available resources to the table (direct and indirect) and to recognize not all contributions need to be equal nor can they be counted only on a financial basis.

*Roundtable member*

Although Rescue Coordination Centre - Halifax (RCC Halifax) has the federal mandate for aeronautical and maritime search and rescue operations, it frequently relies on various other federal, provincial, municipal, local volunteer groups and associations to help. Some of those partner groups have similar functions, albeit for different environments. Contrary to expectations, not all partners had formal strategies to face such an emergency. Some had no contingency plans to deal with incidents of such magnitude while others were fully prepared to respond in an organized manner.

*Swissair Search and Rescue*

In the case of the Policy Research Initiative, the two networks that were most successful in horizontal exercises were composed of smaller departments that perceived a value in sharing. The large government department network members saw less value in sharing and, as a result, were less collegial.

It will only work if there is respect between people. There has to be a basic level of belief that each party is willing and able to contribute something.

*Roundtable member*

Large departments have a special responsibility to listen to the perspectives of smaller departments. They need to resist the temptation of assuming their outlook already integrates all the salient and critical insights. Small departments, for their part, should look for areas of common interest with other organizations, find areas where they can provide the most value, and leverage their unique strengths.

Large departments have a special responsibility to listen to the perspectives of smaller departments. They need to resist the temptation of assuming their outlook already integrates all the salient and critical insights.

## Developing a Shared Culture

One key determinant of success seems to be the extent to which participants developed a shared culture. People may initially come to the table with differing perspectives, agendas, and understandings of why they are there. They may be there to explore real opportunities, to identify potential benefits for their organization, to decide whether they should participate, or to promote their own agenda. An organization and its partners come to the table with different assumptions and use specialized terminology.

### *Creating a Shared Vocabulary*

Learning to speak a common language is crucial. One solution to this challenge is the development of a shared vocabulary.

In the case of the National Children's Agenda, Health Canada looked at problems from the point of view of health determinants. HRDC looked at the issue from the point of view of human capital development. We needed to develop a subsidiary vocabulary that worked for both groups.

*Roundtable member*

HQ and regional vocabularies are different, especially if you talk with policy people. They describe things differently. We need to spend more time together. We need a common base of understanding. You can't get the wisdom of people if you don't take the time to get an understanding.

*Satellite event participant*

Members of Rural Team New Brunswick did not have a common vision until the team committed to the strategic plan. The strategic planning process also allowed members to realize that the terminology we use on a daily basis frequently does not hold the same meaning from one department to another.

*Rural Team New Brunswick*

Linking cultures means bringing existing cultures together and developing a subsidiary working culture. It does not mean forcing partners to abandon their own culture or work practices.

### ***Understanding Each Other's Perspective***

Understanding one another is about more than terminology. A deeper understanding is needed: “shared mental models,” “core shaping assumptions and values,” and “common narratives” were different phrases participants used to express the need for a deeper and more empathetic understanding. We also need to have an understanding of the pressures that

partners experience. In the Canadian Magazine Policy case study the successful collaboration between Canadian Heritage and the Department of Foreign Affairs and International Trade depended on the “ability to walk in each other’s shoes and to understand each other’s pressures.”

Linking cultures means bringing existing cultures together and developing a subsidiary working culture. It does not mean forcing partners to abandon their own culture or work practices.

At the outset, the goal was not to change the culture of each organization involved in the action plan but to learn to work together on a series of projects. Top officials dealt with each other with respect from the beginning of the process. Some time was needed for people from different organizations to learn to work in a consensus mode. Trust became embedded at all work levels. Credibility, respect and trust were the values promoted. Open communication, flexibility and rapid problem solving were also important.

*St. Lawrence Action Plan*

### ***Techniques for developing a shared culture***

Many of the effective techniques are simple ones: continued dialogue, information sharing, and personnel sharing. Another useful technique is clearly-signaled expectations and a very conscious strategy to intercept the turf protection “reflex.”

From the beginning it was made clear that there would be no tolerance for turf battles. There was pride in the corporate product and the Team Canada Inc. concept.

*Roundtable member*

Shared communications (joint reports, special signature, Web sites, phone number, business cards) have proven to be an effective means of maintaining commitment.

*Team Canada Inc.*

### ***Ambiguity and Clarity***

At the initial stage of a project, people can be uncomfortable with ambiguity. However, many experiences showed that premature clarity could kill a new initiative. The risk is that vision, terminology and work plans, if they are seen to be imposed by one leader, will be rejected. Patience in allowing clarity to emerge proved valuable in initiatives with long time frames and wide circles of participants. In other cases, where timelines were externally driven (e.g., by trade disputes, as in the magazine policy issue), clarity of roles and objectives were needed from the very beginning. The smaller the network of participants, and the longer the history of collaborative relations, the easier it is to achieve clarity.

## Building Trust

Trust is the glue that holds an initiative together. But on what does trust depend? How do you make it happen?

The first and most basic rule seems to be that trust does not exist between institutions. It exists between individuals. This was stressed repeatedly.

Identifying new solutions requires good will and trust. “People don’t trust institutions — but they do trust other people.”

*Urban Aboriginal Strategy*

Interdepartmental trust is not embedded in departments’ culture. Trust is built from the credibility of the participants. Trust is also built on transparency, knowledge, and competence.

*Canadian Magazine Policy*

It was also felt that in order to develop basic trust, someone needs to lead the way and “suspend his or her distrust.”

### ***Gaining Credibility Through Small and Simple Actions***

The complement to trust is credibility. If people are seen to be playing games, playing one side against another, or using relationships to achieve a hidden agenda, then the distrust engendered is fatal. Participants emphasized over and over the importance of credibility. But credibility is not gained through a single grand gesture. Credibility is won through the accumulation of a series of small and simple actions. Honouring small undertakings builds the confidence that larger commitments will be respected.

Credibility is won through the accumulation of a series of small and simple actions. Honouring small undertakings builds the confidence that larger commitments will be respected.

Ensuring credibility is key — adherence to verbal agreements, timely responses, communication of information, regular meetings.

*Joint Economic Development Initiative*

### ***Investing in Relationships***

Trust also takes time. The reality, however, is that time is often a luxury and it is always expensive. The key therefore is anticipation and laying the groundwork. Trust needs to be cultivated. The Policy Research Initiative (Trends Project) found that the teams that coalesced best were ones where there was a pre-existing working relationship, however informal or tentative. This saved a lot of time when the rubber hit the road.

It was important for the Trends teams to cohere and work well as a single team. The teams were often comprised of people who had previously not known one another and who may not have been aware of one another’s professional reputations. To launch the project, the Policy Research Initiative brought the Trends team members to Ottawa for a two-day conference. Despite the availability of innovative technical support tools, face-to-face interaction is important. Teams began to cohere only after several interactions had taken place where people had a chance to build relationships. Moreover, teams tended to emerge most quickly where academic researchers and government policy developers already had some familiarity with one another and/or with each other’s work.

*Policy Research Initiative (Trends Project)*

It can easily take a year to get people to a comfort zone. Dialogue can continue even if there is no formal agreement. By not setting fixed agendas for meetings, participants were able to dialogue more openly. Through federal leadership at the table, the conversations were boiled down into priorities. This process alone took four meetings, before participants could move forward towards more active implementation. It also helped that early establishment of the principle of cooperation for the community — not for an organization — limited conflict at the table.

*Urban Aboriginal Strategy*

Sustained relationship building outside the context of specific initiatives also proved to have a substantial payoff in terms of how well networks work together.

In the end, it was recognized that regular face-to-face visits between service providers would enable discussion of various issues, including contingency plans, and promote a better understanding of each other's capabilities.

*Swissair Flight 111 — Search and Rescue Operations*

This is a pattern that applied within — as much as between — organizations. One participant observed that the capacity of an organization to communicate with its partners was often a function of its capacity to communicate internally.

Relationships at different levels are critical (between ministers, deputy ministers, the working level) — both horizontally and vertically within a department. The ability to conduct policy management within a department — internal politics around who does policy and what they communicate — has a very direct effect on how effectively a department can manage horizontal issues.

*Roundtable member*

### ***Dialogue Is an Essential Element of Trust***

Trust and the linking of cultures depend on frank and ongoing dialogue among key stakeholders. Leading a dialogue was seen to require the ability to listen carefully, to communicate messages persuasively to diverse audiences, and to mediate conflict. The central task of leadership is to facilitate a deeper exchange of views and ideas on (sometimes controversial) subjects crucial to the success of a horizontal initiative.

Communications across departments and with sector leaders are open and transparent. It's more than communications — it's about maintaining a continuous dialogue and developing methods to consult broadly. Many means are used: Web sites, newsletters, face-to-face meetings, etc. The process in place allows for horizontal and vertical communications.

*Voluntary Sector Initiative*

But there are dilemmas in conducting an open dialogue, especially where cabinet-level decision-making is required.

A key constraint on our ability to be inclusive and provide feedback is the sensitive and secret nature of advice to the Prime Minister and Cabinet. A key issue is how to manage the tension between a fairly open horizontal process and a vertical product output. We set up a collaborative horizontal process in order to gather information, assessments and analysis, but at the end of the day, the development of the final product becomes the responsibility of one person or organization, and that final product is delivered in the context of secret advice to ministers. . . . Enthusiasm and credibility may be lost if horizontal processes are one-way exercises. A two-way process would build in more effective feedback, ensuring that everyone benefits from analysis, the formulation of strategic advice, and can provide advice to their own departments.

#### *Medium-Term Planning*

In order to act in ways that build trust, the partners need to be empowered to make commitments and to stick to them. This implies becoming engaged at the appropriate level in the organization, and maintaining constant communication with one's superiors to confirm undertakings.

### **From Mobilizing Teams and Networks to Developing a Shared Framework**

Without a spirit of teamwork, horizontal initiatives will not succeed. This makes the capacity to mobilize teams and networks indispensable. In turn, it means dialogue, open channels of communication, building a shared vocabulary, and recognizing and respecting differences. But teamwork is never sufficient. As initiatives progress from the framing of problems and the sharing of information to the sharing of resources and decision-making authority, more structure is needed. The spirit of cooperation and shared vocabulary can only be translated into real action and real results by putting in place a framework that identifies tangible goals and accountabilities. The ability to turn a spirit of cooperation into a framework for action is the true test of an initiative's durability and resilience.

The spirit of cooperation and shared vocabulary can only be translated into real action and real results by putting in place a framework that identifies tangible goals and accountabilities.



## Introduction

A framework translates good will and teamwork into action. It gives shape and purpose to a horizontal initiative. It does this in three ways: it reflects a shared understanding of the issues in play; it identifies shared goals and results (including specific performance measures); and it provides a means of accounting to partners, to the public and to governing bodies for actions taken and resources spent.

In form, frameworks can vary from federal-provincial agreements or policy frameworks anchored in memoranda to Cabinet, to verbal agreements. If there are two key messages to be learned from the challenge of developing a shared framework, they are that

- clarity around roles and responsibilities is important to accountability, but the most critical tool of all is a shared set of objectives;
- the process of developing a framework is often as valuable as the framework itself.

## Developing a Shared Understanding

To be effective a framework must be more than a business plan or an accountability framework on paper. It must be based on a shared understanding, a common fact base and an appreciation for the different perspectives and values brought to the initiative by different participants.

If you want to find true horizontal solutions, you have to understand what the issues are. It is key that everybody feels and understands each other's pressures.

*Satellite event participant*

Managers developing policy for the implementation of the Oceans Act described one of the most challenging tasks they faced as building a common understanding among a multitude of users.

There is an increasing number of oceans users, accompanied by a shift from the primary focus on fisheries to multiple use. Given the diversity of users, there is a need to allow players to see the bigger picture — to foster an understanding that their activities have impacts on ocean resources and that other ocean users have legitimate interests. Engagement and integration take time, effort, and a lot of commitment. It will require the development of new governance structures to integrate the various federal, provincial, territorial, municipal and stakeholder interests.

*Roundtable member*

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A framework translates good will and teamwork into action. It gives shape and purpose to a horizontal initiative.

Instrumental to developing a shared understanding is a common fact base. Some case studies emphasized the value of investing time at the beginning to develop this fact base as the foundation of further action. This can be a highly rigorous exercise — or it can be informal, even conversational.

Good analysis was reflected in a “101” deck. It was very helpful because everyone shared a common fact base: it built confidence in the analysis and, in the end, nobody disagreed with the analysis. As well, a road map showing what would be done to solve the problem within 15 months was provided at the beginning of the initiative.

*Canadian Magazine Policy*

Sharing of data requires information systems that are interoperable. It also requires data that are compatible. This was a particular challenge for large science-intensive projects like the St. Lawrence Action Plan, which depended on the integration of data from multiple disciplines — from ecology and chemistry to economics.

Another central issue is when and how far to formalize a framework. The answers require judgment and on-the-ground knowledge. In some cases, the key to success has been pushing the development of a shared framework as early as possible. In other cases, a high degree of patience was necessary to allow for the emergence of a sense of trust. The leadership challenge is knowing when to push and when to hold back.

### **Defining Shared Goals and Results: A Key Turning Point**

The identification of shared goals and results was found to be a critical success factor and marked a key turning point in the progress of many initiatives. Goals themselves varied in specificity. They ranged from the broad commitments of the Leadership Network to “implement La Relève” to the specific targets identified in the work plans of the St. Lawrence Action Plan to restore habitat and reduce effluent from priority sites by predetermined percentages. Having concrete goals, however, depended on extensive analyses as well as a sense of what collective effort can achieve. The more time invested in developing a fact base, the better and more indicative the goals and the more effective the partnership is likely to be.

The departments, under the memorandum of understanding (MOU), envisioned collective results which made it easier to align activities. While joint business planning is important, the real challenge is to define common goals. Action plans of the sort that may satisfy the Office of the Auditor General might do little more than roll together a lot of disconnected activities. The real challenge is to have all parties agree on goals that will shape not only the activity captured under the MOU but also influence the ancillary work of the departments.

*Five Department MOU on Science and Technology for Sustainable Development*

The “Working Together” report presented 26 recommendations from participants. This document was published by the participants themselves rather than as a government publication in order to resolve the dilemma of the bureaucratic role in providing impartial advice. By using this approach it became possible to submit recommendations representing the consensus of bureaucrats and voluntary leaders.

*Voluntary Sector Task Force*

On the other hand, systems of measurement must serve the project and its goals, not replace them. This is one of the key risks of a results-focused strategy that we identified. Shared goals are not necessarily the same as “measurable results.”

Sometimes the goals of initiatives are more sophisticated than the thinking of officials who have the job of finding something to measure.

*Roundtable member*

Results can also give a false sense of security. In many cases, social science may not be able to measure what is needed.

We must rethink our cosmetic use of false social science in various evaluative and coordination theories being advanced. Current measurement theory and information aggregation capacity cannot support the conceptual links being made.

*Roundtable member*

Decision making and results measurement often take place at very different speeds. Results information is not always available when decisions have to be made.

Although the first plan was based on achieving measurable results, measurement tools were not available at the beginning of the plan. There were also delays caused by the need to come to common agreement on how to understand certain concepts that were difficult to apply and how to define certain environmental objectives. . . . It should also be understood that there is a time lag between new scientific results and their use when making managerial decisions.

*St. Lawrence Action Plan*

The conclusion is that a results-focused strategy can be particularly effective for horizontal initiatives. Nonetheless, there are inherent risks that can be managed if they are clearly acknowledged.

### Addressing the Accountability Conundrum

Accountability is often viewed as a significant obstacle to horizontal management. On the basis of interviews of federal regional council participants, Luc Juillet found that, for many, the confusion and potential pitfalls around accountability provoked caution about launching into horizontal initiatives.

Indeed, the need to reconcile individual accountability with a collective sense of purpose and responsibility is one of the most significant tensions to be resolved in the management of a horizontal initiative.

Collective responsibility exists regarding the issues of urban aboriginals, but collective accountability is a more complex matter.

*Roundtable member*

Systems of measurement must serve the project and its goals, not replace them. This is one of the key risks of a results-focused strategy. Shared goals are not necessarily the same as “measurable results.”

### ***Horizontal Initiatives Multiply Accountabilities***

Traditional accountability frameworks within the Public Service of Canada are vertical. They are based on the principle of ministerial responsibility. They establish a clear hierarchical structure of authority and, in turn, accountability within departments. Horizontal initiatives also create accountabilities between partners and may also include mechanisms to provide accountability more directly to citizens.

Sharing responsibility for horizontal initiatives, and sharing departmental resources to jointly pursue common objectives, tends to blur these traditional lines of accountability. For example, who will be held formally accountable for a shared horizontal initiative that fails? Should public managers or ministers be held accountable for initiatives that they do not fully control?

*Roundtable member*

Horizontal initiatives can raise problems of democratic accountability . . . while these problems can be considered to be minor with regard to relatively simple and limited initiatives (such as the provision of shared internal services), they can become acutely important when managers are asked to commit resources and take responsibility for complex, high-profile horizontal policy initiatives.

*Roundtable member*

Intergovernmental horizontal initiatives of broad enough scale raise a number of democratic challenges. For example, the political level in one government might think the initiative is fulfilling the purpose or objective of a particular policy or program; however, if administrative implementation is not linked back to the political level, this can dilute what the policy or program is trying to achieve. For example, it could reduce ministers' influence on outcomes that affect the public by "blending" one government's standards (e.g., criteria, guidelines, requirements) with those of another government. As a result, ensuring that all ministers connected to a horizontal initiative are regularly briefed is central not only to good horizontal management, but to effective democratic accountability.

### ***Internal Barriers to Accountability***

Often what appear to be accountability barriers are in fact rules and procedures required by individual departments. They are put in place in response to Treasury Board or Auditor General requirements for clarity and due process. The inconsistency of these rules and procedures between organizations and agreements can create a real challenge.

Performance evaluations for executives and employees also tend to be narrowly tied to departmental objectives and mandates.

*Roundtable member*

Differences in federal and provincial administrative requirements (i.e., application procedures, authorization processes) were considered to be a factor that impeded the success of this initiative. Most of these processes were put in place so as to ensure accountability provisions.

*Joint Economic Development Initiative*

Councils were also generally short of organizational resources and, sometimes, administrative rules developed to serve an hierarchical, vertical structure created operational difficulties for sharing resources in the pursuit of collective objectives.

*The Federal Regional Councils and  
Horizontal Governance, September 2000*

### ***Innovating for Accountability***

The case studies, however, provide ample evidence that there is flexibility within existing frameworks to make accountability work for, rather than against, a project. The make-or-break variable is not the requirement for accountability, but the way accountability is managed, as well as the capacity of managers and organizations to take measured risks and to be innovative.

The make-or-break variable is not the requirement for accountability, but the way accountability is managed, as well as the capacity of managers and organizations to take measured risks and to be innovative.

In the cases of the Joint Economic Development Initiative and of the Voluntary Sector Task Force, an effective solution proved to be to work with Treasury Board to develop an accountability framework.

We try to work horizontally but at the end of the day we remain vertically accountable. This requires being very clear on outcomes, and how you plan to deliver and report on these outcomes. One approach is to develop a new accountability tree and to propose it to Treasury Board Secretariat. This is consistent with the new concept of modern comptrollership that focuses on outcomes.

*Joint Economic Development Initiative*

The St. Lawrence Action Plan is an example of a mature and highly institutionalized initiative with some very sophisticated accountability arrangements in place. These arrangements demonstrate how a horizontal initiative is ensuring accountability. The co-chairs of the Canada-Quebec Agreement are accountable for the achievement of all results announced in the St. Lawrence Vision 2000 (SLV 2000) Action Plan. Accountability is delegated for each of the seven issues to the Cooperation Committee co-chairs. Each partner is responsible for achieving set objectives and for resource management. The program also has an interdepartmental performance framework, an Internet-based management and performance system, and periodic accounting of the level of achievement of results to the Agreement Management Committee. A joint federal-provincial mid-program evaluation has been conducted.

A communications policy that defines the main objectives and states the management structure and communication guidelines to be respected was accepted by all partners in 1998. Periodic reports on what has been accomplished were shared with the public through annual reports, the Le Fleuve information bulletin, the SLV 2000 Web site, and joint news releases and press conferences. A multidisciplinary team (10 people) of representatives of Environment Canada, Fisheries and Oceans Canada, and the Quebec Ministry of Environment and Wildlife produced State of the St. Lawrence River reports and issued fact sheets.

It is desirable to have a clear accountability framework in place up front regarding the role of the federal government. But sometimes it is necessary to let consensus around problems and solutions emerge slowly from a process of dialogue before you can have a meaningful accountability framework.

In the case of the Urban Aboriginal Strategy, it was noted that “a clear mandate and defined federal capacity to support the assigned ministerial accountability would have been helpful from the start.” Accountability and capacity were also issues for the aboriginal governments. The lack of clarity around accountability between provincial and local First Nations and Metis governments on urban governance and urban service delivery was an initial obstacle to the development of the urban aboriginal strategy. First Nations have resolved this issue, and the Metis community is presently working to address it. In general, gaining clarity can take time because it is best if it emerges from, as opposed to being imposed upon, participants of an initiative.

### ***Creating an Accountability Framework***

The strength of accountability frameworks also proved to be a key factor in affecting the success or failure of initiatives.

Progress on accountability is critical if we want to make progress on horizontal management.

*Roundtable member*

Work is being done to capture the lessons about securing accountability when working horizontally. Most notable are the 1999 and 2000 reports of the Auditor General of Canada.<sup>2</sup> Also of interest is the Collectives Results Database, established by the Treasury Board Secretariat to bring together information about horizontal initiatives and their performance measurement strategies.<sup>3</sup> Drawing from the principles and lessons learned from intergovernmental and interdepartmental initiatives, Treasury Board Secretariat has also generated a helpful accountability checklist (see Appendix 3).

To achieve a common understanding of the accountability framework, partners must determine how power will be exercised (how decisions will be made and by whom, what processes or structures will be used) and who will be responsible to whom for what.<sup>4</sup> All partners must understand and agree to the accountability framework.

### From Developing a Shared Framework to Building Supportive Structures

The definition of a shared purpose is perhaps the most powerful tool of all. Throughout the cases we studied, the specification of shared goals and shared results helped overcome turf battles, and helped orient capacities and actions in relation to long-term objectives. Likewise, a shared framework is also vital to the clarification of accountabilities. It links initiatives back to the vertical world and connects them to the broader decision-making universe of Parliament and the public. But a shared framework does not deliver results on its own. It can help frame objectives and accountabilities, it can arrange for the pooling of resources, decision-making authority and work. As horizontal initiatives gain momentum, supportive structures must be developed to give the initiative coherence and direction. This is one area where innovation in the public service has been particularly rich.

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<sup>2</sup>See website at <http://www.oag-bvg.gc.ca/>

<sup>3</sup>See Web site at [http://www.tbs-sct.gc.ca/rma/eppi-ibdrp/coll\\_res/coll\\_res\\_e.htm](http://www.tbs-sct.gc.ca/rma/eppi-ibdrp/coll_res/coll_res_e.htm).

<sup>4</sup>Drawn from the report presented to the CCMD by the Treasury Board of Canada Secretariat, *Horizontal Management: Trends in Governance and Accountability* (Ottawa November 2000), p. 11.



## Introduction

As a horizontal initiative progresses, a supportive structure can help achieve results and give the initiative the appropriate degree of permanence. The central observations of the Roundtable are that:

- the right choice of structure depends on the goals of an initiative, the tasks that it will undertake, and the stage of its life cycle;
- managing the transition of structures is one of the central leadership challenges experienced; and
- there is a broad range of structural solutions available.

In selecting supportive structures for horizontal initiatives, the crucial issue is finding the right fit. Two factors in particular determine appropriateness:

- tasks — whether the central task of the initiative is to share information, resources or decision making; and
- stage — whether an initiative is at an early, middle or late stage of its life cycle.

## Selecting a Supportive Structure

Many different kinds of structure can be used. Alternatives include joint decision-making committees, written agreements and protocols, arrangements to share resources and communication networks, to name just a few. Formal commitments, such as a memorandum of understanding (MOU), were found to be a useful way to solidify horizontal relationships within the Science and Technology Community.

A key role for supportive structures is to help sustain relationships among people over the longer term. This requires balancing two conflicting tendencies. On the one hand, we found a need to build supportive structures that give relationships resilience as other priorities divert people's energies. This is especially true as the number of partners increases or staff turns over. On the other hand, too much formality may impede an initiative's ability to adapt to changing circumstances. There is also a risk that erecting elaborate and formal structures may overshadow continued personal contact and commitment among the key players. Structures can displace the spirit of volunteerism.

Machinery rarely solves problems. The softer factors are more important.

*Roundtable member*

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Opportunities to entrench structure, however, present themselves only occasionally. Some participants in horizontal management regretted having passed up the opportunity to create support structures, especially when leadership changed or staff turned over, and operating norms had not yet been formalized.

Building support structures does not necessarily mean building concrete structures, such as new offices, legal mandates, and staffing contingents. Such “machine-like” structures were often found to be undesirable, especially early in an initiative’s development. For example, at the early stage of the Team Canada Inc. initiative, it was necessary to demonstrate that a team-based approach could in fact accomplish more than a bricks-and-mortar solution.

Nobody wanted to spend time creating a separate agency that would not result in a greater improvement in delivery than a more informal approach.

*Team Canada Inc.*

### ***A Wide Range of Structures Is Available***

In recent years the number of horizontal structural innovations has increased dramatically. Our Roundtable compiled an illustrative, although hardly exhaustive, list of structural possibilities (see Appendix 4 for a list of examples of horizontal mechanisms). Several structural options were found to be successful at different times and for different ends.

- Informal structures: less resource intensive, more flexible, and less binding on members.
- Agreements: formal indicators of support, or written agreements where participants commit themselves to a course of action.
- Formal structures: less ambiguous, resource-intensive supports that require some logistical skill and expertise to implement.

### ***Informal Structures***

*Communities of practice* are the best example of a flexible, informal structure used to support horizontal relationships. They rely heavily on volunteerism and are not affiliated with any particular organization. They are a forum in which practitioners with a shared interest in working horizontally can meet and exchange ideas on a regular basis. It is through candid conversation and a commitment to learning that members share ideas and work jointly to solve problems. The Interdepartmental Knowledge Management Forum is an example of a community of knowledge management practitioners. It meets monthly. Members exchange information continually through the Internet. The community has grown over several years to include participants from provincial governments and foreign countries.

*Ad hoc or exploratory committees* are support structures that are created to explore a particular issue on a moment’s notice, while not necessarily committing participants to a course of action. Such committees require minimal resources, but help potential partners clarify important issues that might affect a horizontal initiative. They also provide a way of framing issues and helping partners reach a common understanding of the challenges involved.

## **Agreements**

*Memorandums to Cabinet* are a formal mechanism designed to ensure that ministerial responsibility remains intact as horizontal initiatives bridge statutory mandates. They provide a proactive way of informing senior officials of the accountability issues involved so that an appropriate framework can be put into place.

*Memorandums of Understanding* are formal agreements that commit horizontal partners to a course of action. These agreements retain enough flexibility to adapt to changing circumstances. They confirm a shared understanding of the key challenges, clarify terms of reference, and signal a general direction to guide partners in their day-to-day activities. As the experience of the Science and Technology Community demonstrates, the added value comes from the trust that is developed as a result of an MOU:

While the amount of collaborative research conducted under the aegis of the MOU has been limited, it has nonetheless fostered a level of cooperation and trust that all its signatories have come to value.

*Science and Technology Community*

*Protocols* are used to help horizontal management partners set the ground rules and terms of engagement. In information-sharing arrangements, protocols frequently specify how information is to be laid out and exchanged. Protocols can also establish the parameters of sharing, so that all partners have an understanding of what to expect and what role to play.

Finally, *mandate letters* provide horizontal partners with the requisite approval to proceed with an initiative. They tend to be used in situations where mandated authority is shared or is ambiguous in the first place. The clarity and sense of mission that is offered provides guidance and authority to proceed without fear of unduly stepping on someone else's terrain.

## **Formal Structures**

A *co-chaired advisory committee* was found to be particularly useful to the Voluntary Sector Initiative. The committee is comprised equally of government and voluntary sector officials and is co-chaired by a person from each sector. The strength of this structure is that it provides a systematic way to identify and discuss issues, while not letting any one group of stakeholders dominate the agenda.

A *joint decision-making committee* helped partners in the St. Lawrence Action Plan to come to agreement on some of the more complicated issues involved. Such committees provide a more participatory process to resolve issues and develop mutually agreeable solutions. In this case, it was also credited with helping to bring complex scientific knowledge together with practical experience to come up with a series of actionable recommendations.

A *temporary joint-coordination centre* became the nerve centre of the Search and Rescue Operation for Swissair Flight 111. Each participating organization had a liaison officer and, collectively, they coordinated the emergency operation. By putting effective decision makers in one place, the Centre was able to mobilize quickly and not have to resort to regular, time-consuming channels of communication. Close proximity also facilitated a shared understanding of the challenges involved.

The *federal regional councils* are an example of a long-term structure composed of senior officials of federal departments and agencies. Each council has a formal budget to cover basic operational costs, with additional funding volunteered by participating departments. The activities of the councils range from information sharing and relationship building, to cooperation on internal managerial files and assisting the coordination of policy horizontally. Although many regional councils are highly institutionalized, none has taken on formal operational responsibilities of their own. As Luc Juillet points out:

... while the councils constitute essential vehicles for the management of horizontal files, entrusting them with the formal responsibility to lead a file was not seen to be necessarily the best way to proceed. The focus should be on enhancing their capacity to provide support and act as a forum for the development of horizontal leadership.

*The Federal Regional Councils and  
Horizontal Governance, September 2000*

The creation of a new agency or secretariat set in place the most formal types of support structures. In the case of the Leadership Network, a new agency was created to follow up on the recommendations of the La Relève Task Force. The new organization was small enough to work within the “spaces” not occupied by central agencies. Yet, at the same time, it had enough resources at its disposal to cultivate networks of leaders across the entire public service. Since it was established with a time-limited mandate, there was a strong motivation to make the organization operational very quickly.

### **Matching Structure to Task**

Matching structures to objectives involves looking closely at what partners are attempting to share and to what end. Scale and scope will often determine the amount of logistical support an initiative needs.

Different structural arrangements are better at different tasks. The Voluntary Sector Task Force provides a good example.

The mechanism of joint tables worked well for policy exploration — but not as well for policy analysis.

*Voluntary Sector Task Force*

Matching structure to task proved to be one of the key challenges in getting the right structure in place.

### **Sharing Information to Facilitate Coordination**

One of the central tasks of horizontal initiatives is the sharing of information. The type of support structure that is most suitable for this task depends on whether coordination is best served through frequent and open conversation or the regular exchange of data and documentation.

Frequent and open conversation may require only informal structures. Existing communications networks (telephone and e-mail) facilitate periodic contact, but many complain that lack of additional structures reduces collaboration to just “heads up” warnings and occasional debriefings. Structures that facilitate more regular, face-to-face exchange often provide deeper communication. Examples include workshops, conferences, secondments and committees. Internet list servers are another method of keeping participants within a particular area informed of developments. They provide an ongoing forum for discussion between face-to-face meetings.

If horizontal partners need to regularly exchange documentation and data, more formal arrangements may be necessary. Formal structures, in such cases, are designed to provide greater assurances of consistency, quality and standardization. A good example of this is the decision of the Department of Finance and the Treasury Board Secretariat to merge their computer network infrastructures. There was a recognition that, since both central agencies tend to work on similar subject matter, new opportunities would result from affording access to each other’s documents and data. While merging computer networks might be an extreme case, there are more commonplace examples of joint pools of information (such as shared databases) and creation of information-sharing protocols.

### ***Sharing Resources to Create New Capabilities***

Horizontal initiatives may also require the sharing of work, funding or personnel.

Individual departments internally reorganized to make resources available to the process.

#### *Urban Aboriginal Strategy*

In the case of resource sharing, the appropriate type of support structure often depends on the particular resource being shared. Partners can donate the work time and personnel to an initiative on a short-term basis without resorting to formal mechanisms. The sharing of money and formal secondments typically require administrative and comptrollership support structures to ensure probity and accountability.

The definitive factor in determining the level of formality is the scale and scope of the initiative. Large-scale and longer-term movement and sharing of resources have to be documented and accounted for formally. As the number of participants in an initiative increases, the amount of formal logistical support must also increase.

### ***Sharing Authority to Improve Decision Making and Collaboration***

Authority is often shared within a horizontal initiative to improve the quality of decisions and to increase “buy in” of the decision-making process. Sharing of authority was described as one of the most important success factors in many of the cases our Roundtable studied.

The structures used to support the sharing of authority and delegation vary in terms of two criteria. The first is the fundamental importance of the decisions being made or work being undertaken. The second is the extent to which partners share mandated resources or authority.

Minor details are usually delegated with only informal assurances to those with effective authority. In contrast, important issues that cut across statutory mandates are not often shared without the creation of a joint-accountability framework (see Chapter 2). For example, all horizontal projects that involve service or program delivery to citizens require formal governance and accountability structures.

Formal agreements usually must be approved at the ministerial level and are supported by memorandums to Cabinet. Since authority sharing involves the potential loss of “ministerial agility,” ministers need advance notice and formal assurances that responsibilities will be carried out to their satisfaction.

### Matching Structure to Life-Cycle Stage

One conclusion from our study of the wide range of structural arrangements is that different types of structures work better at different stages of an initiative’s life cycle. A number of leadership challenges are involved in making the right choice.

One of the key challenges in matching the right structure to the right moment is being aware of the risk of going too far too fast on the one hand, and the risk of missing opportunities to institutionalize progress on the other.

At a diagnostic stage, machinery is premature. Machinery can displace the emergence of a culture of horizontal management.

*Satellite event participant*

One of the key challenges in matching the right structure to the right moment is being aware of the risk of going too far too fast on the one hand, and the risk of missing opportunities to institutionalize progress on the other.

If you wait too long to formalize or institutionalize a horizontal arrangement, there is a risk that the initiative will lose momentum and lack resilience. Rural Team New Brunswick encountered this obstacle because of excessive staff turnover and the lack of lasting profile that informal arrangements tend to have.

Continued progress in RTNB’s action areas was not always possible due to a consistent turnover in membership outside a small core of dedicated individuals. Departmental representatives need to be committed for the medium to long term. Horizontal initiatives such as RTNB will need to deal with a wide array of issues over time and individual departments may not find relevancy with their individual mandates from time to time, but they need to stay as committed as the active participants.

*Rural Team New Brunswick*

This trade-off suggests that there are windows of opportunity for adding structural supports. There is no single developmental path that is right for all initiatives. Managers need to be acutely sensitive to how the timing of adding structures can affect momentum.

There is no single developmental path that is right for all initiatives. Managers need to be acutely sensitive to how the timing of adding structures can affect momentum.

## Using Expert Advice When Creating Structures

Canvassing input from experts and knowledgeable sources was also cited as helping match a structure to a stage of development. Case studies that involved setting up a new agency consistently mentioned this fact. Participants not only needed to know how to create an agency from scratch, but also when all the pieces should be put into place and in what order. Since there is no recipe for this type of setting up, access to expert advice was seen as crucial.

One challenge was setting up the new agency that takes lots of time and energy. There is nowhere to go to get support for this. It is also demanding to wind down an entity . . . Since there was no single source of advice on how to set up the new agency, it was necessary to find expert resources who knew what was needed to put in place the basic support systems (e.g., financial, materiel, human resources, informatics, accommodation, telephone, furniture, equipment).

*The Leadership Network*

These sources of expertise can be built into the process through roundtables and communities of practice.

## Sunset Strategies

Many horizontal initiatives have a “sunset date” or a fixed end-point when objectives have been achieved. This poses the challenge of dismantling structures since structures, almost by definition, have momentum of their own. For example, staff allocated to an initiative need a place to land after the job is done, or else resistance to closure may build, and loyalty may dwindle. Responsibilities and authority, which are often difficult to give up, need to be reassigned to others. Managers should also take care to rely on structural supports that can be reallocated fairly easily. Short-term contracts and secondments are examples of tools that fit this description.

Contrary to conventional wisdom, winding down an operation actually requires extra work and resources, and therefore needs to be planned.

All of these challenges suggest the need to develop an exit strategy early in the process if a horizontal initiative is expected to exist over a short time horizon. One case-study participant noted that, contrary to conventional wisdom, winding down an operation actually requires extra work and resources, and therefore needs to be planned.

Our Roundtable members stressed that the vast majority of horizontal initiatives include some form of long-term relationship building. An initiative may not have objectives that are set in stone, but will instead have goals that evolve and take on new dimensions as the partners discover new opportunities to work together. One Roundtable member observed that a large portion of initiatives are not one-off projects at all, but attempts to forge more lasting ties across organizational boundaries. Even when an initiative does have a strict sunset date, stakeholders will find value in maintaining ongoing relationships that make future collaboration possible.

Structural supports, in such cases, need to facilitate more enduring contact among partners. One of the more popular and inexpensive tools is an e-mail-based discussion forum provided through an Internet list server. For the user, a list server operates like regular e-mail, but is a much more simple and effective way to share information with a designated group of people on an ongoing basis.

### **From Building Supportive Structures to Maintaining Momentum**

Structures sustain an initiative. They give it form and purpose. But too much structure too soon can displace the spirit of volunteerism. Too little structure too late can allow commitment to dissipate. Like all dimensions of horizontal management, matching form to function is a matter of judgment and will require both flexibility and ingenuity. The challenge is to ensure that new structures sustain rather than constrain momentum.

As an initiative matures, maintaining momentum can become as great a challenge as mobilizing teamwork. The challenges are many and the solutions rarely obvious. Players leave. Commitment can dissipate in the absence of success or visibility. The key challenge is recognizing and managing the transitions in the life cycle of an initiative. Maintaining momentum, the subject of the next chapter, is the challenge not so much of building as of sustaining. As such it is often the most difficult to achieve.

## Introduction

The momentum of a horizontal initiative is not sustained naturally by a system accustomed to operating within vertical silos. When difficulties are faced, many people revert to what they know best and perceive as being safe. Roundtable members believe it is important to emphasize the need for leadership in maintaining momentum.

The participants in many initiatives could vividly describe the point when all the pieces clicked into place and a project that had required a huge exertion of will power developed a momentum of its own. In some cases there was one specific meeting where a long process of trust building and discussion suddenly gelled into a sense of shared purpose. In others, the turning point occurred over a longer period of time.

A particular set of questions tended to recur in the Roundtable's conversations on maintaining the momentum of an initiative. What was the key turning point when all the elements of the project clicked into place and where it developed an unstoppable motion of its own? How do you reach that point? What are the variables and how can they be influenced? What do you do to sustain momentum when an initiative is no longer in the spotlight? How do you handle the inevitable turnover of staff and participants?

## Leadership and Momentum

Frequent mention was made of the need to motivate participants in the initiative. People's enthusiasm wanes, other work builds up, and new priorities compete for attention. These factors all lead to fluctuations in horizontal activity during the life of an initiative. As one presenter put it to Roundtable members:

The skills, commitment, and motivation of key individuals appear to have been critical to the success of this initiative. This conclusion is common to many cases of horizontal initiatives.

Having leaders who are personally able to motivate participants was particularly important for the Team Canada Inc. initiative, since many of the initial motivating factors declined in significance over time.

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The participants in many initiatives could vividly describe the point when all the pieces clicked into place and a project that had required a huge exertion of will power developed a momentum of its own.

Another facet of leadership is the ability to channel information required to keep an initiative progressing. At a most basic level, this involves encouraging people to communicate continually. Everyone needs to be kept informed so that they can contribute, as well as remain engaged in conversation to keep information fresh. As the Voluntary Sector Task Force found, it requires considerable energy on the part of leaders to act as communication brokers of sorts:

It is highly complicated to manage a horizontal initiative and keep all the same legs running in the same direction. There are multiple ways to filter information.

*Voluntary Sector Task Force*

A third, and related, leadership ability involves enabling members to integrate a horizontal attitude into their work. This typically involves helping individuals develop the capabilities to make horizontal thinking a part of their daily routines. Yet, there is also a need to ensure flexibility, since horizontal initiatives tend to take place within more dynamic work environments. Promoting “continuous learning” was a topic Roundtable members raised as a quality that would help participants maintain the right balance.

### Identifying a Champion

Without a champion, an initiative will often flounder and lose momentum. In the case of Team Canada Inc., the political mandate was clear from the beginning. The Voluntary Sector Task Force and The Leadership Network are other initiatives with high visibility and support from the beginning. For initiatives such as the Urban Aboriginal Strategy that were developed “from the ground up,” gaining a champion was even more important.

The sooner you get senior decision makers involved the better because the tendency to cooperate is weaker at lower levels, often because of uncertainty regarding the position of senior management.

*Canadian Magazine Policy*

The initiative was strongly supported by the Minister who acted as a catalyst.

*NRCan’s Regional Lens*

Reporting from his interviews of members of federal regional councils, Luc Juillet found widespread agreement that the support of central agencies had been a significant success factor.

Visible and consistent high-level support contributed to enhancing the credibility of councils, encouraged members’ participation by recognizing the value of horizontal work, and helped the councils’ secure the cooperation of other managers in the public service.

*The Federal Regional Councils and  
Horizontal Governance, September 2000*

But champions can be hard to find — especially when the accountabilities and the responsibilities for success of a horizontal initiative are diffused by the size of the network and by the timelines involved.

It has been difficult to engage deputy ministers because an initiative that focuses on relationship building is fuzzy on the “end game” and deliverables.

*Voluntary Sector Task Force*

Finding a champion is also a key technique for achieving the vital link back into the vertical structure of the home organization. Without this linkage, action does not happen, resources do not flow and decisions are not supported. The Roundtable found that the ability to manage this linkage was often a key test of the success of horizontal management.

### **Building on Small Successes**

Roundtable participants underscored the benefits of earning a series of small “wins” and building the opportunity to demonstrate early successes into the staging of action. This has the effect of motivating participants and augments the visibility of the project.

This strategy helps to gain the resources and support needed and provides participants with tangible evidence of the benefits of horizontal cooperation. Small successes help solidify the bonds between partners by stimulating pride in accomplishment. As one case study participant noted:

... it is useful to have early, even if very small, successes to build credibility and trust.

*Roundtable member*

Earning a series of small “wins” has the effect of motivating participants and augments the visibility of the project.

One critical element of small successes is to set achievable milestones. A larger initiative can be divided into smaller portions. This is a more straightforward way to track progress for reporting purposes, and it provides people with manageable short-term objectives. “Start small and work up from there,” was the conclusion offered by several of the more ambitious cases the Roundtable looked at.

It is easier to make progress in smaller, targeted areas through pilot projects, as opposed to trying to start by implementing a national Oceans Management Strategy.

*Oceans Act*

But it is not enough to simply accomplish project milestones, the results have to be given visibility and be widely recognized as worthwhile accomplishments. Many cases found that this type of publicity helped boost the profile of the larger initiative. At any given time, public servants are bombarded with demands on their time and attention. Nothing seems to hold people’s attention as strongly and consistently as a story of demonstrated success.

Momentum was fostered by ... the good visibility of the action plan, ongoing and joint communications and a special signature for the program.

*St. Lawrence Action Plan*

In many cases, small successes also made it easier to show the benefits of a broader initiative and to deepen the commitment of participants. This was crucial to the Urban Aboriginal Strategy in Saskatchewan, particularly given the skepticism that stakeholders brought to the table in this case.

Early successes are important to maintain partnerships. The discussion of the federal Homelessness Initiative brought a sense of purpose to the value of the protocol — it was a practical application. A small, successful, multi-partner community project reflecting the value of cooperation and coordination may have been a better place to start, rather than with the concept of a “facilitating mechanism,” a more obscure entity. The protocol could then follow, as a means to legitimize a practical working relationship.

*Urban Aboriginal Strategy*

## Managing Transitions

One of the central challenges of maintaining momentum lies in managing the transition of an initiative from stage to stage. Although there is no definitive solution to this challenge, part of the solution involves remaining focused on the initiative’s objectives. Focusing on objectives tends to trigger good timing.

When horizontal initiatives are in transition and the initial enabling factors have changed, it may be useful to conduct an evaluation and possibly redesign the initiative to better fit with changing conditions.

Leaders must also adapt to changing roles as the horizontal initiative evolves. Case study participants spoke of the need to change gears at various points. Participants of The Leadership Network, for example, found that they had to move from a role as strategizers during the La Relève process to catalysts when implementing key elements. The challenge of adapting to transitions was best captured by the experiences of Team Canada Inc..

When horizontal initiatives are in transition and the initial enabling factors have changed, it may be useful to conduct an evaluation and possibly redesign the initiative to better fit with changing conditions. While informality may work well in the initial stage of a horizontal initiative, it may well be a weakness during a time of transition unless other measures can ease the transition without jeopardizing the initiative.

*Team Canada Inc.*

Some Roundtable members underscored the importance of full disclosure to maintaining momentum during transitions. Participants who harbour hidden agendas risk undermining a horizontal initiative in such a period of uncertainty. This element of success highlights the value of establishing trust early in the process and providing open and straightforward assurances of continued support.

### ***When Key Individuals Leave***

One of the most common transitional challenges faced within our case studies involved the problem of turnover. Core players come and go. Turnover can have a significant impact on levels of trust.

People don't trust my organization, they trust me.

*Roundtable member*

When the momentum of a horizontal initiative relies on a small handful of people, there is a risk that career changes of one or more members may create a severe setback. There can be a loss of important knowledge and expertise. In such cases, sharing information widely, documenting lessons learned and continually recruiting new members helped preserve an initiative's "memory." It may also be necessary to take stock of progress and future directions, once new members are on-board and brought up to speed.

### ***Using Formal Evaluation and Performance Reporting***

Evaluation and performance measurement can be used strategically to maintain momentum, especially when lessons are used to adapt the initiative appropriately to changing conditions. These activities — whether through action plans, business plans or strategic plans — proved a valuable tool. They support the management of resources, the identification of accountabilities to Parliament, and the communication of progress to the public.

Breaking down results and goals into performance indicators — whether for the purposes of accountability or for management — can be a significant challenge, especially in the case of a highly populated network.

A formal evaluation framework may be useful for drawing lessons in a systematic and disciplined way. However, we do not yet have evaluation tools that can fully assess the value of horizontal initiatives. Current auditing practice stresses the importance of clear objectives, results tied to core business lines and clear lines of accountability. Horizontal initiatives are ambiguous by their nature, which creates a challenge for this type of auditing.

Breaking down results and goals into performance indicators — whether for the purposes of accountability or for management — can be a significant challenge, especially in the case of a highly populated network. The Canadian Rural Partnership found this a challenge with 29 participating departments and agencies.

## Ensuring Continuous Learning

After an initiative passes a milestone or when it faces a difficult challenge, future success often depends on the ability of partners to reflect on lessons learned. The key seems to be the ability to come together as a group and analyze experiences, as well as emerging threats and opportunities. As members of the Science and Technology Community found:

It is almost a truism to say there should be a provision in any horizontal management arrangement for learning from experience. The MOU departments are attempting to document lessons learned, existing collaborative efforts, program gaps and future opportunities. The experience of the working groups is revealing; where shared interests and working relations are long standing, “corporate learning” happens.

*Science and Technology MOU*

Reflection on experiences need not be formal. What seems to be key is that all partners recognize the method as appropriate, fair and inclusive. Partners usually want assurances that their experiences and concerns will be taken into account. It is in such cases that dialogue can be a particularly effective tool.

It was also stressed in Roundtable discussions that there is a need to draw lessons on a continual basis. Reflecting on experience is not just about post mortem analysis, but about integrating such analysis into the routine operations of a horizontal initiative. Insights need to be gathered in a timely fashion so that they can be used by partners to move the initiative forward.

## Considering Key Tools and Techniques: Communications, Money and Deadlines

Case study researchers were asked to identify those factors that most likely could make or break the momentum of an initiative. The Roundtable was struck by how common three particular success factors were among the cases.

### ***Good Communications***

Good communications have several dimensions. Participants need to be candid and forthcoming with information. Full disclosure and transparency were crucial, so long as they did not interfere with the need to safeguard confidential information. Openness was necessary, but not sufficient. Partners also had to develop a warm yet professional rapport.

Being continually informed of key developments is vital, particularly during difficult transitions. While the amount and thoroughness of the information provided are important, so is the means of communications. Participants need to have the opportunity to engage in face-to-face conversation.

### ***The Right Money — at the Right Time***

Money was found to be a double-edged sword. On the one hand, money can cause members to lose sight of objectives and it can provoke a struggle over resources and turf that can derail a project. On the other hand, money can contribute significantly to an initiative's capacity. A lack of money can cause partners to set the bar lower in their expectations of what is possible.

Timing seems to be a key variable in using money successfully. As one case participant put it: "Money helps, perhaps not always at the beginning of the process." If money precedes the development of trust, commitment to shared goals and an agenda, then problems result. Several case participants stressed this lesson:

If the project had started with a pot of money, it would have failed at the beginning. The focus would have been on sharing the funding. Instead we identified gaps and then developed strategies to overcome them.

*Joint Economic Development Initiative*

It is important to build trust and find solutions and have early, small successes before bringing substantial funding to the table.

*Urban Aboriginal Strategy*

Money can set in motion a dynamic that differs considerably depending on the type of initiative. It can be a strong motivator, as one case participant noted: "Without the money our partners would not have been there." At other times, partners are more motivated by good will and a perceived value in building understanding and a common framework. In such cases, the availability of money can often be an impediment to more profound collaboration.

The first year of Team Canada Inc. illustrates how the lack of money was a motivator. It compelled partners to search for ways of collaborating.

The lack of resources encouraged people to work together. The first reaction to the possibility of new resources seems to be to go it alone and no longer work as a team.

*Team Canada Inc.*

A similar finding was reported by the Voluntary Sector Task Force, which found that stakeholders were just as anxious to participate in order to develop the opportunity to network and share. The success of early horizontal networking actually became the impetus for funding later on.

When the initiative first started out, it was not clear whether money would be on the table. People stayed because of the potential to develop new relationships and to develop mechanisms to work together on policy development. As a result of the policy exploration level, ministers approved a \$94.6 million initiative to take action in three key areas: building the relationship, strengthening the sector's capacity and improving the regulatory framework.

*Voluntary Sector Task Force*

The use of mechanisms to facilitate the sharing of financial resources was also central to success. In the case of the St. Lawrence Action Plan, the use of an official Canada-Quebec agreement and the transfer of funds to other federal departments for joint projects contributed to securing buy-in. Such a strategy is more complicated when there is a broader range of partners. The difficulty of sharing financial resources remains among the most significant obstacles to horizontal initiatives today.

### ***Using Deadlines to Motivate Action***

A third success factor was shared deadlines. A well-defined timeline outlining an agenda for action was a very powerful tool for managing a horizontal project. Development of timelines and schedules can provide a focal point for negotiating effort and resources. Externally generated deadlines could also impose a common schedule.

Common deadlines and a short time frame were a critical factor. It was helpful to have an imposed (World Trade Organization) deadline, because it focused everyone's attention and because there was no way to slip it.

#### *Canadian Magazine Policy*

The timing and the people were very important in establishing the first action plan. Pressure was high from non-government organizations. The provincial Minister of the Environment was interested. There was a coming together of the right individuals, external forces and a pressing environmental problem.

#### *St. Lawrence Action Plan*

At the same time, unrealistic deadlines can be de-motivating and partners need to know how to set sensible workloads. Partners need to be aware of the point at which taking on new responsibilities might lead to overload and burn out.

### **Maintaining Momentum: Final Thoughts**

As an initiative evolves — like any system — it requires the constant infusion of energy. Thus it depends centrally on the ability to develop new teams and networks. A sense of ongoing vision and a sense of the possibilities of what can be accomplished are also important to bridge the inevitable turf battles into which a stale initiative can descend. This returns to the themes that were identified at the beginning of this report. Success demands leadership which is supple and sensitive to shifts in terrain — to changes in mood of participants and of political circumstance; it demands an ongoing culture of trust, fortified by shared commitment and understanding; and finally it demands roots in the interests and mandate and resources of home organizations because accountabilities — however challenging — are the life blood of public sector work.

## CONCLUSION

Working across organizational boundaries is not new. But the changing context for public service leadership makes horizontal management a more frequent challenge, and it makes it more important to do it well. The time has come to systematically conduct an inventory of our knowledge about the elements of successful horizontal management.

The Roundtable's contribution to this effort has been to distil wisdom from the experiences of participants in a variety of horizontal initiatives. These insights are a valuable starting point for public sector managers, whether contemplating a horizontal initiative or conducting a mid-term evaluation. But they can only be a beginning — the diversity within horizontal management means that managers must exercise judgment in applying these lessons to their own unique horizontal initiatives.

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. Other factors can enable and support horizontal management, but ultimately it is leadership, commitment, and enthusiasm that make the difference.

Working horizontally should be a natural reflex for public servants rather than something extraordinary.



## APPENDIX 1: OVERVIEW OF CASE STUDIES AND CASE CONTACTS

Below are short descriptions — drawn from Roundtable presentations, case studies, and Web pages — of the case studies that helped inform the findings of this report. A contact person is provided for each case.

If an asterisk (\*) appears next to the title of a case, the full text is available on CCMD's Web site at [www.ccmd-ccg.gc.ca](http://www.ccmd-ccg.gc.ca).

### **\* *Oceans Act***

The Oceans Act came into force on January 31, 1997. The purpose of the Act is to put in place a legislative framework for the sustainable management and use of Canada's ocean resources.

The Minister of Fisheries and Oceans is accountable for the implementation of the Oceans Management Strategy, which must be developed in consultation with other federal departments, other governments and stakeholders.

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### ***Canadian Magazine Policy***

This case involved the challenge of balancing cultural policy objectives (support for Canadian content) with trade policy objectives (support for a rules-based trading system). The U.S. challenged Canadian measures before the World Trade Organization, which ruled that Canada had 15 months to implement a new policy. Canadian Heritage had to develop this policy by working horizontally with many other departments because all the levers to deal with the issue were not in their own department.

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### ***GeoConnections, Natural Resources Canada's Regional Lens Approach***

GeoConnections, an NRCan-led national partnership supported by federal agencies, all provincial and territorial governments, the private sector and the academic community, is a five-year project to make geographic information accessible on the Internet.

NRCan's regional lens approach provides: (1) integrated analysis of regional issues, challenges and opportunities as they pertain to the sustainable development of natural resources; (2) enhanced coordination and communication with regional agencies, regional councils and regional forums, to support and promote NRCan's horizontal engagement both federally and provincially; (3) regionally-focused policy research; (4) support for engagement on horizontal regional initiatives and partnerships; and (5) on-line access to information and knowledge through a 'regional lens' window on the National Atlas (GeoConnections) and NRCan On-Line.

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### ***Medium-Term and Transition Planning***

The process of planning for the Government's agenda has opened up considerably over the past five years. In 1997, in recognition of the horizontal nature of many issues, the process itself became more horizontal, collaborative and open. The 1999 Medium-Term Planning exercise built on this foundation, and input was sought and received from an even wider range of departments and officials at many levels. Nine DM-led working groups and the corresponding "cascade" effect provided input to PCO in developing strategic advice and options for the second half of the Government's mandate.

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### ***National Children's Agenda***

Canada's federal, provincial and territorial governments have been working together to develop the National Children's Agenda (NCA). As a first step in the development of the NCA, governments have agreed on a shared vision for Canada's children. The vision sets out broad goals for children, and suggests ways Canadians can work together to achieve these goals. It also suggests policy areas

where governments can work together to improve the well-being of children. One of these areas — support for early childhood development — is the subject of a recent federal-provincial-territorial agreement that will see improvement and expansion of services for young children and their families. Finally, under the NCA, governments have agreed to work together to measure and monitor children's progress and to share information on effective practices for children and families.

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### ***New Brunswick Federal Council***

#### ***\* Canada Pavilion at the Village de la francophonie***

The New Brunswick Federal Council, recognizing the Ville Sommet de la francophonie 1999 as a unique opportunity for the Government of Canada to showcase its wide range of services, asked the N.B. Federal Communications Council to examine the possibilities of such a project.

Once it was agreed that the project would go ahead, the Village de la francophonie was identified as the best venue as it was a gathering place for the general public. The goal was to showcase the Acadian, Canadian and international Francophonie and offer the public a place to celebrate the contributions of the Francophonie to the world. In total, 28 federal departments, agencies and corporations were represented in the Canada Pavilion.

#### ***\* Integrated Regional Economic Development Work Plans***

Integrated regional economic development work plans were initiated in New Brunswick to encourage key partners involvement in economic development at the local level to develop their annual work plans on an integrated basis. The purpose of this initiative is to encourage economic development partners at the local level to approach the development of their regions from a comprehensive and strategic perspective, work together, coordinate their activities better, be accountable and decrease overlap and duplication.

#### ***\* Joint Economic Development Initiative (JEDI)***

The JEDI is a tripartite process that was implemented by Aboriginal communities and federal and provincial governments to identify and encourage projects aimed at stimulating economic development in Aboriginal communities within New Brunswick. Its purpose is to create a forum that would lay the foundation for open dialogue between Aboriginal peoples and federal/provincial representatives so as to facilitate access to both government and programs.

*\* New Brunswick Joint Adjustment Committee (JAC)*

The 1995 federal Budget announced a major Program Review initiative aimed at reducing the overall size of the Public Service of Canada by 45,000 positions. Heads of the bargaining units and the Treasury Board Secretariat met to discuss a possible joint approach to labour market adjustment. On May 30, 1995, an agreement-in-principle concerning workforce adjustment in the Public Service of Canada was signed. It established the mandate of the National and Regional Joint Adjustment committees. The fundamental mandate of the JAC was to facilitate a joint process to deal with workplace challenges presented by a major downsizing (and in the process, assist employees in making informed transitions).

*\* Rural Team New Brunswick (RTNB)*

The RTNB was formed in 1999 as a result of the Canadian Rural Partnership (CRP) dialogue process in 1997–98. The group was formed to review and identify actions in response to this dialogue. RTNB undertook a strategic planning process in the spring of 1999, followed by a work-planning session in September of the same year. Of the 11 priority areas identified for action by the Government of Canada, three were chosen by RTNB for action in the short term. They are:

- improve access by rural communities to government programs and services;
- improve access to financial resources for rural business and community development; and
- strengthen rural community capacity building, leadership and skills development.

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*\* Policy Research Initiative: The Trends Project*

The Trends Project, a collaborative effort of the Policy Research Initiative (PRI) and the Social Sciences and Humanities Research Council (SSHRC), is a new and innovative model for the federal government to engage the academic community to provide insight into the major forces of change that will affect Canadian policy making in the medium term.

The project is an experiment in the use of a Canada-wide multidisciplinary team approach to policy research. Under the project, academics, think tanks and government officials worked in partnership to identify knowledge gaps requiring further research on eight broad trends. This research has been presented and discussed at numerous workshops and conferences across the country, and it was showcased at the annual National Policy Research Conference in November 1999.

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***\* Science and Technology Memorandum of Understanding for Sustainable Development***

The Memorandum of Understanding on Science and Technology for Sustainable Development was signed in 1995 by four departments (Agriculture and Agri-Food Canada, Environment Canada, Fisheries and Oceans Canada, and Natural Resources Canada). With the memorandum's renewal in 1998, Health Canada became a signatory. All signatories view the MOU as a mechanism to further collaborative science on priority issues. While the amount of collaborative research conducted under the aegis of the MOU has been limited, it has nonetheless fostered a level of cooperation and trust that all its signatories have come to value.

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***\* St. Lawrence Action Plan (SLAP)***

The St. Lawrence Action Plan (1988–2003) involves the conservation and protection of the St. Lawrence River ecosystem. The complexity of this task is only realized when one considers the large number of organizations that have jurisdiction over certain aspects affecting the St. Lawrence ecosystem, as well as the number of often conflicting uses that are associated with the river. Federal and provincial organizations, as well as non-governmental partners, have been involved in this project.

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***\* Swissair Flight 111 — Search and Rescue Phase***

By Cabinet directive adopted on June 18, 1947, and in 1951, the Department of National Defence (DND) was given the responsibility for effective operation of the coordinated aeronautical and maritime Search and Rescue system within the Canadian Region. In this case, DND's involvement began when they received a first call from the Area Control Centre (ACC) in Moncton (Wednesday, September 2, 1998, at 10:18 p.m.) and ended 36 hours later (Friday, September 4 at 10:30 a.m.) when all avenues had been explored and ACC was forced to abandon hope of finding any survivors. This case describes the coordination of the Search and Rescue operations.

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**\* *Team Canada Inc.***

Team Canada Inc is a partnership of 23 federal departments and agencies helping companies succeed in world markets. The organization strives to meet private sector demand for faster, easier, less duplicative and more comprehensive access to government export-related services, both within and outside Canada.

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**\* *Urban Aboriginal Strategy in Saskatchewan***

The Urban Aboriginal Strategy (UAS) is a federal initiative led by Minister Goodale as the Federal Interlocutor for Metis and Non-Status Indians. It is designed to address the socio-economic needs of urban Aboriginal peoples at risk, in partnership with all stakeholders, by refocusing federal involvement without compromising the federal position for responsibility for urban Aboriginal peoples.

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**\* *Voluntary Sector Task Force***

In June 1997, an ADM steering committee was put in place to respond to commitments made in Red Book II to have a better engagement of the voluntary sector. In June 1998, a small group (the Voluntary Sector Task Force) was created in the Privy Council Office to support the ADM steering committee. In developing policy advice on how to have a better engagement of the sector, the new relationship was modeled on a process called Joint Tables. The Joint Tables process involved leaders from across the federal government and a wide assortment of voluntary sector organizations, allowing both vertical and horizontal coordination of work and communications.

The Joint Tables process resulted in a comprehensive strategy called the Voluntary Sector Initiative, which was launched in June 2000 with a budget of \$94.6 million. The strategy's goals are to improve the quality of life of Canadians by creating a better relationship between the government and the voluntary sector by strengthening the capacity of the sector to meet society's demands, and by improving government's policies and programs.

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## APPENDIX 2: ADDITIONAL RESOURCES

### ***Reports of the Action-Research Roundtable***

The following reports are available on CCMD's Web site at [www.ccmd-ccg.gc.ca](http://www.ccmd-ccg.gc.ca)

*Management of Horizontal Issues: An Annotated Bibliography* looks at books and articles published between 1996 and 2000 that are relevant to horizontal management.

*Case Study Report* analyzes 13 case studies, looking at such issues as identification of initial success factors, barriers, and lessons learned.

*Guide on Building Dialogues on Horizontality* was generated by Environment Canada with input from the satellite overview event that the department hosted. This is a self-help guide designed to assist public servants conduct dialogues on working horizontally. It uses case studies to help participants address real-life challenges.

*The Federal Regional Councils and Horizontal Governance* was submitted by the Regional Councils and Treasury Board Secretariat. The report examines the evolving role that federal regional councils play in the management of horizontal issues.

*Report on Governance, Accountability and Horizontality* was submitted by Treasury Board Secretariat and addresses several of the emerging issues surrounding the challenges faced when managing horizontally. It situates results-based management and accountability as well as an enhanced role for Treasury Board ministers in horizontal management.

### ***Other Relevant Books***

The following titles do not explicitly address the topic of horizontal management.

Fisher, Roger, and Alan Sharp. *Getting It Done — How to Lead When You're Not in Charge*. Harper Perennial, 1998.

Fisher, Roger, William Ury, and Bruce Patton. *Getting to Yes — Negotiating Agreement Without Giving In*. Penguin Books, 1991.

McRae, Brad. *Negotiating and Influencing Skills — The Art of Creating and Claiming Value*. Sage Publications, 1997.

Susskind, Lawrence, and Jeffrey Cruikshank. *Breaking the Impasse — Consensual Approaches to Resolving Public Disputes*. Basic Books, Inc, 1987.

### **Web Sites**

The following Web sites provide useful information and resources on horizontal issues.

#### ***Canadian Centre For Management Development***

<http://www.ccmd-ccg.gc.ca>

#### ***Human Resources Development Canada Web site***

The partnership handbook

<http://www.hrdc-drhc.gc.ca/common/partners/partner.shtml>

#### ***Leadership Network***

[http://www.leadership.gc.ca/menu\\_e.asp](http://www.leadership.gc.ca/menu_e.asp)

#### ***Office of the Auditor General***

<http://www.oag-bvg.gc.ca/>

#### ***Policy Research Initiative***

<http://policyresearch.gc.ca>

#### ***Treasury Board of Canada Secretariat Web site***

TBS Web site: <http://www.tbs-sct.gc.ca>

*Guide for the Development of Results-based Management and Accountability Frameworks*  
(forthcoming)

*Results for Canadians: A Management Framework for the Government of Canada*

[http://www.tbs-sct.gc.ca/home\\_e.html](http://www.tbs-sct.gc.ca/home_e.html)

## APPENDIX 3: AN ACCOUNTABILITY CHECKLIST (TBS)

<i>Partners understand and agree on:</i>	<i>Partners should:</i>
<i>Identifying Results</i>	
objectives, key results and strategic priorities	<ul style="list-style-type: none"> <li>• involve citizens and clients in defining key results, state what they are and show links to objectives</li> <li>• publish results, eligibility criteria and service-level commitments</li> <li>• focus on outcomes (vs. process, activities and outputs)</li> </ul>
roles and responsibilities	<ul style="list-style-type: none"> <li>• define what each party is expected to contribute to achieve the outcomes</li> <li>• publicly recognize and explain the role and contribution of each partner</li> <li>• respect public sector values and conflict of interest issues</li> </ul>
balanced performance expectations	<ul style="list-style-type: none"> <li>• clearly link performance expectations to the capacities (authorities, skills, knowledge and resources) of each partner to ensure that expectations are realistic</li> </ul>
<i>Measuring Performance</i>	
a performance measurement strategy	<ul style="list-style-type: none"> <li>• identify appropriate monitoring approach and review tools</li> <li>• use common databases where possible and share information</li> <li>• factor in performance and contextual information from external sources (e.g., societal indicators for broader context)</li> <li>• invest in necessary information management/information technology systems</li> </ul>
a set of indicators for the short, medium and long term	<ul style="list-style-type: none"> <li>• identify indicators to measure progress on objectives and results (“indicators” means what measurement tool will be used to demonstrate performance)</li> <li>• develop comparative and societal indicators where possible</li> </ul>
dispute resolution and appeals/complaints practices	<ul style="list-style-type: none"> <li>• establish an approach to corrective action if partners’ responsibilities are not fulfilled or when adjustments are needed to address citizens’ complaints</li> </ul>
<i>Reporting</i>	
provisions for balanced public reporting	<ul style="list-style-type: none"> <li>• identify the reporting strategy early in the initiative</li> <li>• consider incorporating performance information into existing reports (e.g., DPRs)</li> <li>• report publicly on citizens’ appeals and complaints, and ensure confidentiality and privacy needs are met</li> </ul>
reporting that is transparent, open, credible and timely	<ul style="list-style-type: none"> <li>• use all forms of performance evidence to support reporting</li> <li>• provide easy public access to information</li> <li>• link costs to results where possible</li> <li>• use independent assessments</li> </ul>
sharing — lessons learned	<ul style="list-style-type: none"> <li>• track lessons learned and good practices and publish them</li> <li>• establish mechanisms for improvements and innovations</li> </ul>

<sup>1</sup>Canada, Treasury Board Secretariat, Managing For Results 2000.



## APPENDIX 4: HORIZONTAL MANAGEMENT MECHANISMS OF THE FEDERAL GOVERNMENT<sup>2</sup>

An increasing number of the issues addressed by the Government of Canada cut across the responsibilities of several (or all) federal departments and agencies. Many of these “horizontal issues” also impinge upon the responsibilities or interests of other levels of government, as well as those of the private or voluntary sectors. To manage such crosscutting issues, a variety of coordinating mechanisms have been developed.

The accompanying table provides basic information on a sample of 14 such horizontal mechanisms involving the federal government. The examples show that there are substantial differences in approaches among the various mechanisms. Nevertheless, one can discern some basic models, which might be summarized as follows:

### **1. Coordination Arrangement**

Federal departments or agencies (and possibly other partners) come together to coordinate and catalyze their respective efforts in a field of common interest. Minimal resources are devoted to the mechanism itself, which may consist of a simple memorandum of understanding and coordinating committee, plus mechanisms (such as working groups) for joint work and communication.

### **2. Secretariat for a Federal Horizontal Initiative**

The primary participants are federal departments and agencies (though there may be secondary partnerships with outside organizations). The purpose is to address an issue that affects several (or all) parts of the federal government. A secretariat or similar group is formally established to manage and support the initiative. Resources may be formally allocated directly or through a host department, or borrowed through a “virtual” arrangement. Responsibility may reside with a lead department or within PCO or TBS.

### **3. Intergovernmental Cooperation Agreement**

The arrangement involves the federal government with governments or agencies at other levels (provincial/territorial, municipal). The purpose is to address an important issue that crosses jurisdictional boundaries (e.g., environment, urban problems). Partners enter into a formal agreement committing their own resources to the initiative and accepting a specified coordinating or decision-making mechanism.

### **4. Network for Service or Shared Goals**

Through cooperation among several parties, including the federal government, services are delivered to the public or to a defined sector (such as business), or shared goals are pursued jointly (e.g., international trade promotion). The initiative may involve significant federal resources as well as commitments in cash or kind by other parties, such as the private sector. The federal government provides leadership and coordination.

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<sup>2</sup>This material was produced by the Sussex Circle Consulting Group

### ***5. Forum for Broad Policy Advice/Development***

Participants may include federal agencies, other levels of government, universities, private or voluntary sector organizations, and individual experts. The purpose is to provide advice to government or, more broadly, to decision-makers and the public on a major issue such as sustainable development. A secretariat supports the consultative and deliberative mechanisms. Resources are generally provided by the federal government, but the organization operates with a considerable degree of autonomy.

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>o1 Policy Research Initiative (PRI)</b>	<p>To help build a stronger knowledge base on the complex issues facing Canada in the future by:</p> <ul style="list-style-type: none"> <li>• developing a stronger base of longer-term policy research on crosscutting issues;</li> <li>• building policy research capacity;</li> <li>• strengthening partnership in the policy research community.</li> </ul>	<p>30+ federal departments and agencies</p> <p>other governments, academic institutions, think tanks and others.</p>	<p>Deepening and accelerating research on emerging issues and integrating results into the policy debate.</p> <p>Developing strategies to improve policy research capacity in Canada.</p> <p>Helping the policy research community share knowledge and collaborate through publications and events, workshops, conferences, seminars and awards.</p>	<p>An independent organization administratively affiliated with PCO.</p> <p>Part of the same Business Line as commissions, inquiries and task forces.</p>	<p>Vertical accountability: Executive Director reports to two co-chairs (DMs), who report in turn to the Clerk of the Privy Council.</p> <p>Co-chairs also provide periodic updates to, and receive direction from, CCDM — Policy.</p> <p>Horizontal accountability: provided through numerous advisory committees on individual projects.</p>	<p>Secretariat has about 35 staff members.</p> <p>Annual funding \$4.4 million.</p>	<p>PRI was created in 1997.</p> <p>Indefinite term.</p>
<b>o2 Rural Secretariat (Canadian Rural Partnership)</b>	<p>To provide leadership, coordination and support to the cross-government Canadian Rural Partnership.</p>	<p>Participants: 28 federal departments and agencies plus rural teams in each province and territory.</p>	<p>Pilot projects, rural dialogue, information outreach, “Rural Lens” on federal policies.</p>	<p>Rural Secretariat is a division of Agriculture and Agri-Food Canada.</p>	<p>Minister of Agriculture and Agri-Food Canada is also Minister Coordinating Rural Affairs. Assisted by the Secretary of State (Rural Development).</p> <p>Advice and coordination by interdepartmental working group of officials.</p>	<p>\$20 million over four years.</p>	<p>Initiative launched in 1998. Planned duration four years.</p>

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>03 Canadian Biotechnology Secretariat</b>	<p>To provide support for the development of ongoing integrated advice to the federal government on the strategic positioning of the government over a wide range of biotechnology issues and sectors.</p> <p>To manage the Canadian Biotechnology Strategy Fund</p> <p>To support the Canadian Biotech Advisory Committee (CBAC)</p>	<p>Participants: DMs of 7 federal departments (IC, HC, AAFC, EC, F&amp;O, DFAIT, NRCan)</p> <p>ADMs of same plus NRC, granting councils, CFIA</p> <p>Partners include provinces, territories, industry, academia, consumers, environmental groups, other interested parties. Partners are reached mostly through departments and agencies, not directly by CBSec.</p>	<p>Coordinate development of federal biotech strategy, monitor and report on implementation.</p> <p>Support committees of ministers, DMs, ADMs</p> <p>Lead ad hoc and permanent committees on specific themes [e.g., govt-wide communications strategy]</p> <p>Provide advice on policy and communications.</p> <p>Support CBAC in consulting and providing advice.</p>	<p>Secretariat is independent, serving the Biotech group of departments.</p> <p>Located within Industry Canada for administrative purposes. Approved by Cabinet and PM in 1998</p>	<p>Committee of 7 ministers, committee of DMs, committee of ADMs. working groups on specific themes.</p> <p>CBAC provides advice on biotech issues to biotechnology ministers' coordinating committee.</p>	<p>Secretariat has up to 10 professional staff.</p> <p>Budget is provided from the CBSec fund though Industry Canada estimates.</p> <p>Total budget, including staff salaries and overhead levies for policy coordination work, is \$750K per year for CBSec and \$2.3M per year for CBAC.</p>	<p>Canadian Biotech Strategy was renewed in 1998. The Secretariat, coordinating committees of ministers, DMs and ADMs , and CBAC were established by the PM at that time. Duration indefinite.</p>

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<p><b>04 Climate Change Secretariat</b> (National Air Issues Co-ordinating Mechanism and National Climate Change Process)</p> <p>Composed of a “federal secretariat” and a “national secretariat.”</p>	<p>To coordinate the development and implementation of a national climate change strategy for Canada with support across jurisdictions and among stakeholders.</p> <p>Undertake policy and analytical work to enable a decision on ratification of the Kyoto Protocol.</p>	<p>Federal coordination: 12 federal departments and agencies.</p> <p>National coordination: F/P/T governments (led by ministries of energy and environment but with other departments and agencies).</p> <p>Stakeholder advisory component: 16 Issue Tables, involving 450 stakeholders from government, industry, academia and NGOs.</p>	<p>Federal Secretariat: Coordination and integration of federal climate change policy and program-ming.</p> <p>Management of participatory, decision-making process among departments and agencies.</p> <p>National Secretariat: Coordination and integration of national policy and programming. Management of national stakeholder advisory component and public engagement.</p>	<p>Federal Secretariat is a project within the federal government, has no legal standing and performs similar coordination functions as a central agency. NRCan is the “platform” department, providing support.</p> <p>National Secretariat was created by F/P/T energy and environment ministers and is jointly managed and funded by the participants.</p>	<p>Federal Secretariat reports jointly to DMs of NRCan and Environment and advises a steering committee of federal DMs, co-chaired by DMs of EC and NRCan, on federal and national issues.</p> <p>National Secretariat advises National Air Issues Steering Committee (F/P/T DMs of energy and environment) on national issues.</p>	<p>Federal Secretariat has 25 employees seconded from departments and agencies</p> <p>National Secretariat is cost-shared virtual office model with federal and provincial employees operating from their existing offices mostly through electronic connections.</p> <p>Funding from Climate Change Action Fund in NRCan Estimates (A-Base of convenience)</p>	<p>Secretariat created in 1998, by the Prime Minister following Kyoto 1997.</p> <p>Funding for the Climate Change Action Fund extended to April 1, 2004, in Budget 2000.</p> <p>The Issue Tables concluded their work in Dec. 1999 and provided valuable input into the development of a national strategy and first business plan of action.</p>
<p><b>05 The Leadership Network (TLN)</b> (Canadian Rural Partnership)</p>	<p>To promote, develop and support networks of leaders throughout the Public Service of Canada, and To assist them in the ongoing challenge of public service renewal.</p>	<p>TLN develops close partnerships and horizontal links with departments, agencies, federal regional councils, functional communities, the PCO, PSC, TBS, and CCMD.</p>	<p>Career and advisory services for the ADM community.</p> <p>Assistance to federal entities in implementing public service renewal by providing leadership, guidance and support</p> <p>Promotion for emergence of new leadership networks and nurturing existing ones through innovative use of technology</p>	<p>The Leadership Network is an agency located in Ottawa.</p> <p>Reports to the Prime Minister through the Privy Council Office.</p>	<p>Agency headed by a deputy minister.</p>	<p>Resources 2000–01: \$12 million, 53 FTE</p>	<p>Created for two years in 1998.</p> <p>Extended until June 3, 2001.</p>

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>o6 Voluntary Sector Task Force</b> (Voluntary Sector Initiative — VSI)	To increase the capacity of the voluntary sector in meeting the demands Canadian society places on it  To improve government policies, programs and services to Canadians.	Participants: Over 22 federal departments and agencies.  Task Force works in partnership with voluntary sector organizations and Voluntary Sector Round Table	Horizontal policy development across government; coordination, consultation, communication, and partnership across government; development of the Accord between government and voluntary sector.	Voluntary Sector Task Force was set up to support development of Voluntary Sector Initiative. Operates jointly with voluntary sector.	Reference Group of Ministers provides strategic policy direction and coordination. Manages relations with voluntary sector and oversees development of the Accord.  ADM Steering Committee (22 members) provides operational leadership to the Initiative and guidance to the Voluntary Sector Task Force.	\$10 million allocated for the Accord and relationship-building measures out of total \$92 million for VSI.	Task Force set up in 1998.  Current mandate runs to 2002.
<b>o7 Vancouver Agreement (Downtown Eastside)</b>	To support sustainable economic, social and community development in Vancouver. Initial focus is on Downtown Eastside.  Themes: community health and safety, economic and social development, community capacity building.	Government of Canada, Province of B.C., City of Vancouver.	Activities to address social, economic, health and safety issues, such as: treatment for substance abusers; improved policing; strengthened drug enforcement; street improvement (e.g., graffiti clean-up, needle pick-up).	Task Force Secretariat is located within PCO. Not a separate agency.  Legally binding agreement signed by federal, provincial and city governments. Virtual organizations or networks of the partners at working level.	Federal Minister of Western Development.  B.C. Minister of Community Development.  Mayor of Vancouver.  Management Committee: 3 members from each partner jurisdiction.  Working Group: 2 officials from each partner.	Total investment planned to date: \$13.9 million.	Five-year agreement signed March 9, 2000.  First phase announced September 29, 2000.
<b>o8 National Roundtable on Environment and Economy (NRTEE)</b>	Legislated by Parliament in 1994 to explain and promote sustainable development, NRTEE provides decision makers, opinion leaders and the Canadian public with independent advice and recommendations for promoting sustainable development.	Distinguished Canadians appointed by the Prime Minister of Canada. Members represent a broad range of regions and sectors, including business, labour, academia, environmental organizations and First Nations.	Working with stakeholders across Canada, NRTEE: commissions research, conducts consultations, reports on agreements and disagreements, and recommends how to promote sustainability, balancing prosperity with environmental preservation.	NRTEE is a departmental corporation reporting to Parliament through the Prime Minister. Liaison is maintained through PCO. NRTEE works with departments and agencies as appropriate.	Activities are organized into programs, each overseen by a task force of NRTEE members and representatives from business, government and non-profit organizations.  NRTEE members meet quarterly to review progress, establish future priorities, start new programs, and endorse recommendations to be contained in final reports.	NRTEE has own Estimates. Budget of \$4.3 million in FY 2000–01. Approximately 22 staff.	Established 1994. Ongoing.

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>09 Year 2000 Project Office</b>	To prepare Canadian information technology systems for risks associated with change in calendar year 2000 by: <ul style="list-style-type: none"> <li>• coordinating internal governmental progress;</li> <li>• coordinating external activities, including surveys of business readiness for Y2K.</li> </ul>	Led by Treasury Board, Industry, Foreign Affairs and National Defence.  All federal departments and agencies involved.  Cooperation with provinces and territories and private sector.	Monitor and report on departmental progress.  Coordinate actions to minimize disruption.  Coordinate Y2K-related activities external to government.	Organizationally, Secretariat was located within Treasury Board Secretariat.  Functioned as separate organization. No legislative basis.  Related private sector Task Force, chaired by Jean Monty, CEO of BCE, reported to Minister of Industry.	Initiative led by ministers of Treasury Board, Industry, Foreign Affairs and National Defence.	Total federal government cost of Y2K estimated at \$1.9 billion.	Established in summer 1998.  Delivered final report in July 2000.  Any residual responsibilities are now with Chief Information Office Branch of TBS.
<b>10 MOU on Science and Technology for Sustainable Development</b> (and associated working groups)	To optimize the use of S&T to advance sustainable development goals by facilitating integrated program planning, development, evaluation of issues and problem resolution.	“5NR” departments: Agriculture and Agri-Food Canada; Environment Canada; Fisheries and Oceans Canada, Natural Resources Canada; Health Canada (joined in 1998).	Working groups active in identifying knowledge gaps, establishing joint agendas, producing substantive reports and science assessments, developing partnerships among participants and other interested stakeholders, and communicating federal science.  Major issues: (1) Science for Sustainable Development (2) S&T Strategy (3) Science Policy, (4) Communication of Science	Mechanism shared by the participating departments. No legal status.  The MOU demonstrates commitment of the 5NR departments to collaborate on science issues in order to advance sustainable development.	Activities are reported annually by 5NR DMs to Clerk of the Privy Council.  ADM Steering Committee provides leadership and direction (chair rotates among members).  Operational collaboration through DG Committee.  Working group activities are key to collaborative science.	Working group activities primarily funded by participating departments on an issue by issue basis. Some 5NR working groups have been able to secure consistent funding for their initiatives, either from third parties or the 5NR departments (e.g., on communications).	MOU is for three years, renewable.  Original MOU signed in 1995, renewed in 1998.

Horizontal Coordination Mechanisms of the Government of Canada: Examples							
Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>11 St. Lawrence Action Plan (SLAP)</b>	<p>To conserve, protect and restore the use of the St. Lawrence ecosystem with a view to ensuring sustainable development.</p> <p>Main goals are: protect ecosystem health, protect human health and involve riverside communities in helping to make the St. Lawrence more accessible and recover its former uses.</p>	<p>8 federal government departments: EC, AAFC, CED, PCH, F&amp;O, HC, TC, PWGSC.</p> <p>5 Quebec government departments.</p> <p>Partnerships with numerous community groups, NGOs, private sector and university /research centre sector.</p>	<p>Involve communities in environmental projects. Partnership projects to conserve Biodiversity, to reduce the environmental impacts of the agricultural, industrial, municipal and shipping sectors and to reduce human health risks associated with water use.</p>	<p>Agreement between Canada and Quebec.</p> <p>Environment Canada responsible for Canada's side of the agreement.</p>	<p>Committees of F/P departments (Agreement Management Committee and Coordination Committees) work on consensus basis.</p> <p>St. Lawrence Vision 2000 Advisory Committee advises Agreement Management Committee.</p> <p>ZIP Committees (Zones d'intervention prioritaire) involve communities.</p>	<p>Total 1998–2003 budget \$239 million, divided almost equally between Canada and Quebec.</p>	<p>Five-year agreements.</p> <p>Current agreement runs to 2003.</p> <p>Original agreement signed in 1989, renewed in 1994 and 1998.</p>
<b>12 Sectoral Advisory Groups on International Trade (SAGITs)</b>	<p>To provide advice to the Minister for International Trade on federal policy pertaining to trade in various industry sectors.</p>	<p>SAGITs are established in 12 industry sectors.</p> <p>Members: senior business executives, representatives from industry associations, labour, environment and academia.</p> <p>Members serve in their individual capacities. Appointed for two-year (renewable) term, by the Minister for Intl. Trade.</p>	<p>Each SAGIT meets three to four times annually.</p> <p>SAGITs provide channels for open exchange of ideas and information between industry sectors and government on trade-related issues, using face-to-face meetings, conference calls, and electronic consultation mechanisms.</p>	<p>The SAGIT structure is supported by advisors from the Trade Policy Consultations and Liaison Division of the Department of Foreign Affairs and International Trade.</p>	<p>SAGITs report to Minister of International Trade.</p> <p>(Agriculture SAGIT also reports to Minister of Agriculture)</p>	<p>Members serve without remuneration.</p> <p>DFAIT provides support.</p>	<p>Structure was established in 1986, revised in 1998.</p> <p>On-going.</p>

**Horizontal Coordination Mechanisms of the Government of Canada: Examples**

Mechanism (Initiative)	Mandate	Participants and Partners	Activities	Organizational Status and Location	Governance and Advice	Resources	Duration
<b>13 Team Canada Inc</b>	TCI provides Canadian companies with faster, easier, less duplicative and more comprehensive access to the government's export-related services, both within and outside Canada.	TCI is a virtual partnership of 23 federal departments and agencies working closely with the provinces and the private sector.	TCI provides export information and assistance to exporters: to enhance their capability and preparedness to export, through the Regional Trade Networks in Canada, and to ensure their export success abroad, through DFAIT's Trade Commissioner Service.	TCI is a virtual agency supported by trade officers from its 23 members as well as by a small secretariat, located in Industry Canada, responsible for the development of tools and communications products.	A committee of 30 deputy ministers on International Business Development provides strategic directions to TCI that are implemented through a management board (directors general from 23 member departments) and an executive committee of directors general from the five core departments (DFAIT, IC, NRCan, AAFC and PHC).  Advice is provided by the provinces and the private sector through ongoing consultations and through their participation in the Regional Trade Networks set up in each province and through the Trade Team Canada Sectors system; and by Canadian embassies overseas. TCI publishes an annual business plan as well as an achievement report.	Member departments contribute \$1.6 million in funding annually to develop tools and communications products to promote TCI to Canadian exporters and to enable officers to better prepare Canadian firms to export. The 23 member departments also provide human resources to support the governance of TCI.	TCI was established in 1997.
<b>14 National Secretariat for the network of Canada Business Service Centres (CBSC)</b>	To provide business people in every part of Canada with access to accurate, timely and relevant information and referrals.  To reduce the complexity of dealing with various levels of government by serving as a central resource for Canadian business information.	Some 37 federal business departments; all provincial and territorial governments; in some cases, businesses, private sector associations, academic and research communities.	Information products, services, publications and expert referrals to help clients get business information, (e.g., business planning, starting a business, finding new markets, preparing for exporting).  CBSCs provide comprehensive information on government programs, services and regulations. Service accessible by telephone, Internet (Web and e-mail) and in-person service location.	P/T and other partner involvement through arrangements such as F/P/T agreements.  One main CBSC per P/T and an extended network of 343 regional access partners.  Federal lead department designated in each part of Canada, accountable for management of federal interests and funding and for arrangements with other partners.  ACOA in Atlantic, CED in Quebec and WD in the West. Industry Canada for Ontario, NWT, Yukon and Nunavut.	Federal interdepartmental committee at ADM level.  National Secretariat is responsible for coordination, policies to promote consistent national operation of the network, information technology, managing federal information and core information collection, special development projects, coordination of audits and evaluations, and service quality standards.	Current budget: \$75 million over period 1998–99 through 2003–04.  Industry Canada provides support for the National Secretariat.	Announced in 1994 as part of the federal Jobs and Growth Agenda. Established 1994–95.  On-going.



## APPENDIX 5: ACTIVITIES OF THE ROUNDTABLE

The objective of the Roundtable on Horizontal Management was 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.

**Roundtable Meetings:** December 7, 1999, and five meetings in 2000: March 30, May 16, June 20, October 3, and November 29.

### *Satellite Events: Events Held Voluntarily in Support of the Roundtable*

**Policy Event (July 6, 2000)** The purpose of this session was to present practical lessons on horizontal policy management from five case studies: Medium-Term and Transition Planning; Voluntary Sector (PCO); National Children's Agenda (HC, HRDC); Geoconnections and NRCan's Regional Lens Approach (NRCan); and the Canadian Magazine Policy Case (PCH, DFAIT). This event was chaired by Margaret Biggs (HRDC) and attended by 19 participants from 13 departments.

**National Conference on Regional Involvement in National Policy — A Culture Shift (September 7, 2000)** The purpose of this conference was to discuss ways to improve regional involvement in policy making. Representatives from 32 government organizations attended with a total of 100 participants, of which 53 were from the regions). Mel Cappe presented opening remarks and was followed by three keynote speakers (Michael Decter, Jean-Pierre Gauthier and Avrim Lazar). In the afternoon, five group discussions took place around policy process, culture, capacity, accountability, and operational constraints.

**Regional Event — Operational Issues Related to Horizontality (September 8, 2000)** Jean-Pierre Gauthier invited members of Quebec Council of Senior Federal Officials to discuss operational challenges and regional practices related to horizontal issues. A very dynamic discussion took place between 15 participants from 12 government organizations and ENAP. Three themes emerged from the discussion: Why work horizontally, values, and systemic issues.

**Report on Federal Regional Councils (September 2000)** Luc Juillet (Carleton University) interviewed 20 chairs and executives of federal regional councils to take stock of lessons learned to date by the councils across Canada. Benefits and challenges faced by the councils are presented in the report (see Appendix 2).

**Horizontality — What Does It Mean at the Working Level? (October 5, 2000)** The purpose of this event was to explore what horizontality means from the perspective of the senior officer and middle management levels. The event was based on three sessions. The first session focused on the organization at large: How can senior management best set the stage for working horizontally? The second concentrated on the daily challenges of horizontal policy development: What enablers would assist senior officers and middle managers to work on horizontal projects on a day-to-day basis? The third looked at the personal attributes needed to work horizontally: What individual knowledge, competencies, and skills should senior officers and middle managers develop in order to work horizontally. The event was chaired by Liseanne Forand.

**Overview Event on Horizontality (October 12, 2000)** The purpose of this event was, first, to investigate how best to communicate the Roundtable's findings to public servants; second, to review and provide recommendations on the outline of the Roundtable's Guidebook for Managers and, third, to review two documents developed for this event: *A Continuous Learning Plan for Horizontal Management* and *A Discussion Guide on Building Dialogues on Horizontality*. The event was chaired by Dr. Robert Slater (EC).