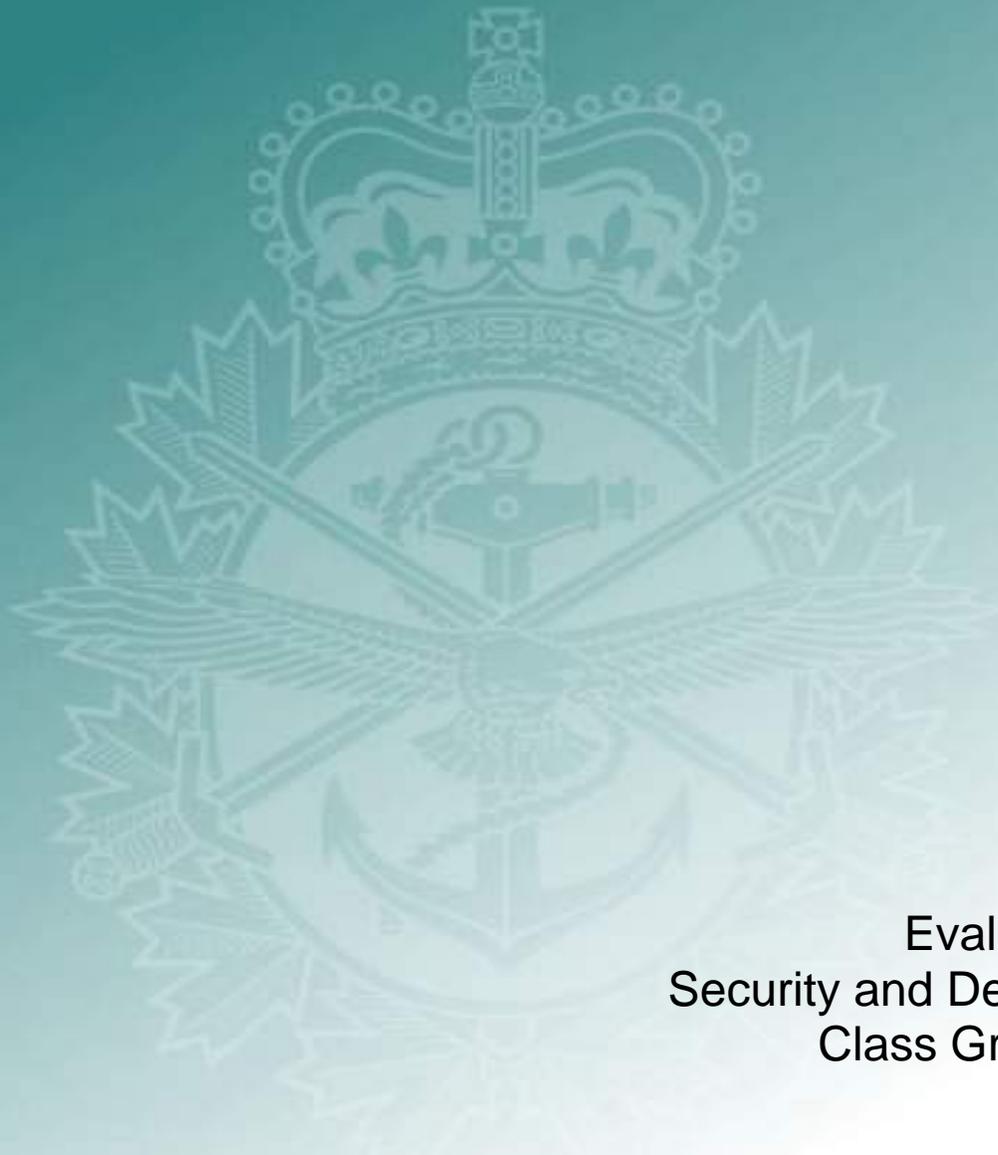National Defence Défense nationale

Chief Review Services Chef - Service d'examen

CRS ❧ CS Ex

Evaluation of
Security and Defence Forum (SDF)
Class Grant Program

May 2010

1258-182 (CRS)

Canada

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Acronyms and Abbreviations

ADM(Pol)	Assistant Deputy Minister (Policy)
CoE	Centre of Expertise
CF	Canadian Forces
CRS	Chief Review Services
DG Pol Plan	Director General Policy Planning
DND	Department of National Defence
D Public Pol	Director Public Policy
FY	Fiscal Year
MND	Minister of National Defence
NGO	Non-governmental Organization
No.	Number
NDHQ	National Defence Headquarters
OPI	Office of Primary Interest
PAA	Program Activity Architecture
RMAF	Results-based Management and Accountability Framework
SDF	Security and Defence Forum

Results in Brief

The Security and Defence Forum (SDF) Class Grant Program aims to sustain and expand domestic knowledge of, and interest in, security and defence issues of current and future relevance to Canada.

The purpose of this evaluation was primarily to determine if the Class Grant Program for the SDF remains relevant and to address its performance. The evaluation also assessed if the SDF's mandate and objectives are appropriate.

> **Overall Assessment**
>
> The SDF continues to be relevant and successful in sustaining and expanding academic competence in Canada with respect to security and defence issues.

Key Findings and Recommendations

Continued Relevance of the Program. The SDF remains relevant in that its mandate is consistent with the Canada First Defence Strategy and fits within the departmental Program Activity Architecture (PAA).

The SDF addresses a need in the academic community for enhanced academic knowledge and debate on security and defence matters through the provision of academic infrastructure grants to centres of expertise (CoE), an academic Chair, academic awards, and special projects. It provides a unique Canadian academic perspective on security and defence issues.

Performance. The performance measures indicate that the SDF is fully meeting its objectives. However, there is evidence that performance measurement requires review in terms of both substance and process.

Recommendations

It is recommended that:

- The Department should further encourage and facilitate interaction between Department of National Defence (DND)/Canadian Forces (CF) officials and the SDF academic community.
- Due to the numerous concerns voiced about the role of the Chair, a review of the position be conducted.
- A review of the performance measurement strategy should be undertaken in terms of both performance measures and process.

Note: For a more detailed list of Chief Review Services (CRS) recommendations and management response, please refer to Annex A—Management Action Plan.

Introduction

Background

Established in 1967, the SDF Class Grant Program provides funding to the Canadian academic community and aims to sustain and expand domestic knowledge of, and interest in, security and defence issues of current and future relevance to Canada. To meet this mandate, the SDF:

- Awards grants to CoEs in security and defence located at Canadian universities as well as to a Chair of Defence Management Studies;
- Funds fellowship, scholarship and internship awards; and
- Sponsors special projects.

Academics associated with the SDF have been involved in activities such as teaching, research, interviews with the press, publication of books and papers, and participation at relevant conferences.

The Director Public Policy (D Public Pol) manages the SDF Class Grant Program on behalf of the Assistant Deputy Minister (Policy) (ADM(Pol)) based on the guidance and recommendations of a Selection Committee. Committee members are appointed by the Minister of National Defence (MND) and are drawn from Canadian academia and the defence community. The Chair of the Committee is a person with notable expertise in the security and defence field.

Total funding for the Program of up to $12.5 million has been approved and will expire on 31 March 2011 (disbursements from FY 2006/07 to FY 2009/10 are displayed in Annex E).

Aim

This evaluation assessed the relevance and performance (effectiveness, efficiency and economy) of the SDF Class Grant Program. In addition, the evaluation assessed the three main components identified in the Logic Model:

- Academic Infrastructure Grants;
- Academic Development; and
- Special Projects.

Objectives

The following core issues were addressed in accordance with the new evaluation policy (April 2009).

1.   Continued Need for the Program

- Is there a continued need to expand the domestic knowledge of and interest in security and defence issues of current and future relevance to Canada?

- To what extent does the SDF Class Grant Program address this need?

2. Alignment with Government Priorities

- Are the objectives of the SDF Class Grant Program aligned with federal government priorities and departmental strategic objectives?

3. Alignment with Federal Roles and Responsibilities

- Is the SDF Class Grant Program aligned with the roles and responsibilities of the federal government?

4. Achievement of Expected Outcomes

- Is the SDF Class Grant Program achieving its expected outcomes with respect to performance targets and program design?
- Do the outputs link with and contribute to the outcomes?

5. Demonstration of Efficiency and Economy

- Are the most appropriate and efficient means being used to achieve the outputs and outcomes of the SDF Class Grant Program?
- Are there alternative ways of delivering the SDF?

6. Adequacy of the Performance Measurement Strategy

- Are the performance measures established for each outcome identified in the Logic Model collected and monitored to effectively manage the SDF Class Grant Program?
- Are the performance measures adequate for the SDF Class Grant Program?

Scope

This evaluation included issues related to the relevance and performance (effectiveness, efficiency and economy) of the SDF Class Grant Program and provided an opportunity to determine if the current mandate and objectives are appropriate.

Performance was assessed along three dimensions as shown in the approved Logic Model (Annex C):

- Academic Infrastructure Grants, which include CoEs and the Defence Management Studies Chair.
- Academic Development, which includes scholarships, fellowships and internships.
- Special Projects, which includes conference/research support; national conference funds; international conference funds; National Defence Headquarters (NDHQ) visits; base/operational visits.

Methodology

Appropriate documentation and data (current government priorities, grant agreements, annual reports, SDF Results-based Management and Accountability Framework (RMAF) 2005, Canada First Defence Strategy, DND Strategic Plan, and PAA) were reviewed and analyzed to determine relevance and performance. The SDF Class Grant program is a relatively modest program (current annual grant of $2.5 million per year). Therefore, the evaluation methodology was limited to the following data collection methods:

Document/Data Review. The initial document review focused on gaining an understanding of the SDF and its context. This assisted in the planning phase and allowed for a more comprehensive document review to collect and assess SDF data (see Evaluation Matrix, Annex B). The analysis of SDF data contributed to assessing the performance of the program.

Literature Review/Benchmarking. The initial literature review was used to help structure the key informant interviews. A search for "best practices" among similar organizations was conducted to establish a benchmark. The results provided a basis for comparison between similar programs in different organizations.

Interviews. Key informant interviews were conducted with senior officials in the DND/CF as well as with those involved in managing the SDF. Moreover, interviews were held with the Chair of the Defence Management Studies, the Chair of the Selection Committee, two of the CoE Directors (Carleton University and Queen's University), as well as an expert non-stakeholder.

Questionnaire. An online questionnaire[1] was administered to the 12 CoEs and to the Chair of Defence Management Studies to help assess the SDF's relevance and success in achieving its outcomes.

Quantitative and Qualitative Analyses. Analyses were conducted of the performance data collected for the indicators established in the performance measurement template approved in the RMAF 2005.

Description of Program/Program Objectives

The mandate of the SDF is to foster a Canadian perspective and enhance domestic competence in security and defence issues of relevance to Canada.[2] D Public Pol manages the SDF on behalf of ADM(Pol) based on the advice and recommendations of a Selection Committee appointed by the MND. The Selection Committee consists of members of the academic community and of the security and defence community at large.

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[1] Nine of the 13 questions in the questionnaire used a seven-point scale, two required yes/no answers and one was an open-ended question.
[2] RMAF 2005.

The SDF currently funds 12 CoEs located at universities across Canada and one Chair of Defence Management Studies, currently located at the School of Policy Studies at Queen's University. The initial intent of creating a Chair of Defence Management studies was to develop academic expertise in the area of defence management and to increase academic attention in this area. The CoEs also receive other funds to varying degrees; therefore, SDF funding represents a varying percentage of the total budgets for the CoEs.

According to the RMAF, the SDF's key objectives are as follows:

- Build and support a strong Canadian knowledge base in contemporary security and defence issues.
- Foster informed public policy discussion and commentary through research, teaching, outreach, and public education initiatives.
- Enhance communication and interaction between DND/CF and the Canadian academic community.

The SDF Class Grant Program achieves these objectives through the following activities:

Academic Infrastructure Grants. These grants provide sustaining funding to CoEs and a Chair of Defence Management Studies. Grants to the CoEs and the Chair are normally awarded for five years. Funding, however, is not guaranteed for the full period. The Selection Committee assesses CoEs and the Chair annually on the basis of submitted performance reports and may hold a Centre/Chair grant in abeyance for a set period or vary the amount of the grant. At the end of the five-year cycle, all Canadian universities are invited to apply for participation in the next funding cycle.

Academic Development. Grants towards this activity provide fellowships, scholarships and internships for students pursuing studies in a field related to security and defence. These are awarded for a one-year or a two-year period (depending on the award) and may be renewed.

- **Scholarships.** The number of scholarships varies each year depending upon the number of candidates and the quality of applications. Award recipients address a wide range of topics of interest to the DND/CF.

- **Internships.** The purpose of the SDF internship program is to give recent Masters graduates practical work experience so that they may transition into a permanent career in the security and defence field. Interns may work with a range of organizations, including think-tanks, non-governmental organizations (NGO) and international organizations. Internships cannot be held in federal departments or universities.

- **Special Projects.** Funds towards this activity support a national and an international conference fund; visits to CF bases, in CF operations and at NDHQ from Canadian academics and graduate students; and individual and institutional special projects. The funds for these projects are generally limited to $10,000 per event.

While all program components are complementary, they have different management requirements. The sustaining grants to CoEs are the largest component and have the longest time frame—five years as compared to one to two years for Awards and per-event funding for Special Projects.

Findings and Recommendations

Relevance

Issue 1: Continued Need for the Program

The mandate of the SDF Class Grant Program is to provide the necessary funding to the Canadian academic community to sustain and expand domestic knowledge of and interest in security and defence issues of current and future relevance to Canada.

Both the on-line questionnaire and the interview results indicate a strong consensus among SDF officials, beneficiaries, as well as the Chairman of the Selection Committee, that the needs that led to the creation of the SDF still exist today. A non-participating university confirmed that SDF funding encourages relevant research, education and discussion in security and defence matters. SDF-related activities are still relevant, contributing to a greater awareness of and interest in security and defence issues in the Canadian public. The SDF informants commented that researchers associated with SDF centres are among the most active commentators in various public media. SDF-supported events often draw the attendance of interested members of the public. Based on the questionnaire and interview findings, stopping funding would lead to a gradual decline of Canadian security and defence expertise in universities, and a decline in the level of public interest and knowledge might be observed.

Recipients of SDF funds and officials believe that the SDF has been instrumental in the following areas:

- Defence and policy issues were often absent within the graduate curricula of the Canadian University system. The SDF has filled this gap by maintaining scholarly exposure to defence issues and invigorating the Canadian academic community to generate information and opinion on these issues.
- The SDF helps in connecting the DND/CF to Canadians and enables scholars, students and the general public to realize that they, ultimately, also share responsibility for the CF.
- The SDF produced a vibrant, large community that links and engages the academic community with the DND/CF.

The findings support the contention that despite security- and defence-related courses being popular among the students, security and defence issues have long been marginalized within the academic community—particularly the political science community. Therefore, without the presence of the SDF, university resources would most likely not be allocated towards hiring security- and defence-minded academics and the Centres indicate they would cease to be replenished when current SDF scholars retire. According to an academic external to the SDF, if the SDF were not continued "research and university-based programming on security and defence issues in Canada would significantly decline."

The program informants also believe that given the new security challenges facing Canada and the DND/CF, such as multilateral international initiatives and territorial claims for scarce resources, the need for distinctive Canadian research to inform and assist decision and policy makers in these increasingly complicated contexts is greater than ever. Therefore, the provision of sustaining grants remains essential in ensuring that security and defence issues are addressed within a Canadian perspective, given today's political and economic climate.

The SDF achieves its objectives as required by the RMAF. Outside the bounds of the RMAF, the SDF provides further benefit, and achieves additional outcomes, by being a source of valuable information to the Department in terms of publications, formal and informal contact with, and advice from the academic community. Improvements, however, can be made in this area. Although academic freedom has always been a key feature of the SDF, and despite the limits of a grant program which prevents the granting department from directly benefiting from the activities undertaken by the beneficiaries, DND should encourage opportunities for interaction between DND/CF officials and the SDF community. The ideas generated by the SDF community need to be made more widely known and accessible across the Department.

Recommendation

SDF/Department Interaction. The Department should further encourage and facilitate interaction between DND/CF officials and the SDF academic community.

Issue 2 and 3: Alignment with Government Priorities and Federal Roles and Responsibilities

The SDF is aligned with Part II of the Canada First Defence Strategy—the Strategic Environment. Academic expertise gained as a result of SDF activities should contribute directly to the understanding of this environment and facilitate planning. The SDF also aligns with the new PAA for the Department in the program activity "non-security support". It states:

> "National Defence is strongly committed to contributing to Canadian society in non-operational roles. The program [program activity 'non-security support'] will provide supports to develop national competency in defence issues and to the whole of government approach by sharing information to other government departments and non-governmental organizations. This may include the provision of grants to researchers to generate knowledge related to defence issues."

Performance (Effectiveness, Efficiency and Economy)

Issue 4: Achievement of Expected Outcomes

The primary intent of the SDF is to expand domestic knowledge of, and interest in, security and defence issues of current and future relevance to Canada. The funding supports research, conferences, and publications, and generates information and opinion on security and defence issues under three main SDF components as per the program Logic Model (Annex C).

The RMAF contains a comprehensive performance measurement strategy requiring significant data to be collected from the 12 CoEs and the Chair. D Public Pol office summarizes this data in the SDF annual report but uses the detailed data in its ongoing dealings with the individual centres. The summary data was used in the analysis of relevance along the three component lines. See Annex D for the performance measurement template.

Academic Infrastructure Grants

The aim of the academic infrastructure grants is to improve the academic capacity within Canadian Universities and contribute to public policy debates and public education in relation to security and defence issues. The Annual Evaluation Reports from each CoE highlight the overall performance of each Centre. Table 1 shows the number of students and SDF-related courses within the 12 CoEs.

	FY 2006/07	FY 2007/08	FY 2008/09
SDF relevant courses	316	294	232
Number of students	14,457	14,829	9,712

Table 1. Number of SDF relevant courses and students. From fiscal years (FY) 2006/07 to 2008/09, the number of relevant SDF courses decreased from 316 to 232. The total number of students registered in these courses dropped from 14,457 to 9,712.

At face value, the figures indicate that there has been a decrease in the number of courses and students involved in SDF-relevant activity. In fact, according to the SDF manager, the decreases are attributable to more stringently enforced criteria during the last two fiscal years. More rigorous standards were adapted in terms of "what constitutes an SDF course" leading to elimination of those courses (and their student count) with less SDF content. Interviews and questionnaires reveal that the CoEs and the Chair of Defence Management Studies have been maintaining or improving the capacity of the Canadian academic community by sustaining interest in defence-related issues among Canadian students. For example, at McGill University, on a yearly basis, student numbers have increased by 1,500 in 15 undergraduate and 12 graduate SDF courses. Moreover, according to the directors of the CoEs, the quality of the courses has also significantly improved.

According to the evaluation findings, the SDF-funded CoEs have contributed to the following:

- Widening the pool of students interested in defence-related issues and in applying for positions within DND or other departments with a strong interest in security.
- Maintaining the rate of publication on security and defence issues.
- Sharing their perspectives with the community and Canadians at large.

Table 2 shows the number of publications and key activities organized by the Chair and the Centres.

	FY 2006/07	FY 2007/08	FY 2008/09
Publications	662	761	896
Outreach events	420	412	452
Media Interviews	1,213	1,369	1,224
Op-ed [3]Articles	115	108	97

Table 2. Key Activities of the SDF CoEs and the Chair of Defence Studies. This table presents a breakdown by year of the number of publications, outreach events, media interviews, and op-ed articles.

There is occasional distortion in the numerical reporting of media appearances. CoE members are from various university departments which oftentimes get credit for an interview or simply the university itself on occasion.

The Chair of Defence Management Studies

During interviews conducted as part of this evaluation, the role of the Chair position was discussed with a cross-section of stakeholders. The Chair of Defence Management Studies' role is unique: the Chair complements CoE expertise activities through teaching and research, and maintains a leadership role in furthering questions of defence policy and management issues, as well as defence-related social issues.

Key informants believe an adjustment to the current model is required—from that of a single individual to one where the role of the Chair is expanded and distributed among individual CoEs. This adjustment would enable the development of other subject matter expertise, particularly in the area of defence economics and procurement.

Academic Development

This component of the SDF program supports opportunities for scholarly work through scholarships, fellowships and internship funding. In the three years between FY 2006/07 to FY 2008/09, the selection committee awarded a total of $1,147,500 in academic awards to 57 recipients, of which $25,000 were in aboriginal scholarships.

According to the key informant and responses received from the CoEs, by increasing the number of scholars in the area of security and defence issues, the funding creates more new scholars qualified for employment in areas relevant to security and defence. Moreover, the funding has contributed to the creation of a sizable network within the Canadian academic community of scholars working on security and defence issues, allowing for the establishment of inter-university research groups. This is also evident in the greater interest in security and defence issues in Canadian universities, which has led to an increase in graduate-level studies in these fields. The result is a larger and better qualified pool of graduates for recruitment into the public service. In the last 20 years,

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[3] A newspaper article that expresses the opinions of a named writer who is usually unaffiliated with the newspaper's editorial board.

many graduate students who worked at SDF CoEs or received SDF scholarships were hired by DND, notably through the Policy Officers Recruitment Program and by other departments.

	FY 2006/07	FY 2007/08	FY 2008/09
No. of scholarships	12	14	13
No. of fellowships	2	2	2
No. of internships	4	4	4

Table 3. Number of Awardees. This table shows the total number of scholarships, fellowships and internships awarded by the SDF from FY 2006/07 to 2008/09.

Four internship positions are awarded every year. Although one objective of the internship activity is to improve connections between recent graduates and non-academic defence-oriented organizations, there is not enough data to assess the achievement of this aim. Officials also observed that during recent years, this internship activity has lost its momentum; most recent applicants were from the same universities with similar backgrounds and the internship program attracts a narrow range of people.

In all, the SDF officials are in agreement that revising the academic development component, particularly in the area of internship funds, would improve the SDF focus.

Special Projects

The aim of this activity is to increase the total number of scholars with the resources to work within the academic community on security and defence issues as well as being another method of improving connections between graduates, faculty, practitioners, and non-academic, defence-oriented organizations. Therefore, this fund provides support for a wide range of activities including conferences, workshops and academic visits. Each CoE is funded $5,000 per year to allow graduate students and junior faculty members to take part in security- and defence-related conferences held in Canada. Between FYs 2006/07 and 2008/09, 147 of 178 special project applications were funded. While approximately 50 percent of the Special Projects Funding goes to CoEs and their affiliated researchers, the remainder of the funded projects has been undertaken by non-SDF universities, research centres, the voluntary sector and NGOs. Table 4 shows the number of funded projects and amount disbursed.

	FY 2006/07	FY 2007/08	FY 2008/09
Number of special projects funded	60	44	43
Amounts Disbursed	$158, 120	$268, 963	$279,506

Table 4. Funded Projects and Amounts Disbursed. This table shows the number of special projects funded and the amount disbursed from FY 2006/07 to 2008/09.

The evaluation findings indicate that Special Projects Funding contributes to the:

- Promotion of security and defence-related high-quality research;
- Frequent representation of a distinctively Canadian voice both inside and outside of Canada; and

- Development of a distinctively Canadian network of critical security and defence scholars and practitioners.

SDF officials confirm that a high number of participants from the non-academic community have also participated in seminars, workshops, and conferences and contributed to such publications as the Canadian Naval Review (a publication of the CoE in Dalhousie University). However, there is also a strong consensus that the academic community must increase its efforts in improving relationships with non-academic defence-oriented organizations.

Results obtained from both the questionnaires and the interviews reveal that in the absence of SDF funding, most activities (workshops, seminars, conferences, public meetings or media coverage) would not be feasible or sustainable. This would adversely affect the opportunities for outreach activities through research presentations in national or international conferences, private gatherings of community, scholars, practitioners, business leaders, CF members, and the media, as well as books, and newsletters.

In all, the SDF funding provided a platform for the academic community to disseminate their findings on security and defence issues. Although not required by the grant agreement, it was evident that SDF funding encouraged closer ties between the academic community, the general public, government officials, and non-academic defence-oriented organizations. Many CoEs confirmed connections with security- and defence-related organizations and defence and foreign policy think-tanks, e.g., Canadian Defence Academy, CF Reserve Units, Canadian Forces College, Royal Military College, the Canadian War Museum, the Canadian Battlefield Foundations, Veterans Affairs Canada, Conference of Defence Associations Institute, Canadian Defence and Foreign Affairs Institute, and the Canadian International Council. In addition, conferences with CF Reserve Units and the Centre for International Governance Innovation were held. Moreover, the SDF has provided an information base for the Department to facilitate these links (especially for sensitive issues such as the Arctic).

Issue 5: Demonstration of Efficiency and Economy

Respondents to the questionnaire and interviewees commented frequently that the SDF provides significant return for a very low expenditure. Nevertheless, there were several suggestions made that would increase the overall cost-effectiveness of the SDF:

- The role of the host universities in the SDF needs to be examined. There is a feeling that, in some cases, the universities could provide more in-kind support than they currently do thereby freeing up more of the SDF money to be directly applied to SDF activities instead of administrative costs.
- Proposals for special projects are approved within the ADM(Pol) organization. Currently, these proposals are staffed to several directorates with subject-matter expertise for approval. Respondents feel that in an effort to conserve staff time this number of approvals could be reduced. Furthermore, special projects are dealt with on a first come, first served basis. In an effort to increase the overall quality of special projects, proposals could be considered in groups at various periods throughout the year in a competitive selection process.

- There is evidence in the Annual Reports submitted by the CoEs that some expenditures are made outside of the parameters of the granting agreement. The SDF staff, in their review of the Annual Reports, have stated that they take note of these instances, notify the CoEs accordingly, and recover the funds.

Alternatives

A benchmarking activity was performed to compare SDF overlap with other programs or services. Accordingly, organizations in Canada and abroad were compared against their source of funding, number of staff and faculty, activities, objective(s)/aim, and recognition. The findings confirm that the SDF has a unique model that other similar programs in Canada (such as Canadian Defence and Foreign Affairs Institute) or abroad—United Kingdom, United States, Australia—do not duplicate. While the SDF aims at primarily improving the capacity of the Canadian academic community and public at large in security and defence issues, other similar organizations primarily aim at the research and analysis of security- and defence-related issues and trends. The ongoing development of the academic community and of a broad public knowledge base is what makes the SDF unique.

Most other similar organizations receive funding from numerous sources, including private funding, membership fees, publication sales and government grants. Moreover, while other models have certain components of the SDF (research, media relations, and awards), with the exception of the Australian National University, they are exclusively research institutions and/or forums, providing insights and policy solutions in security and defence. The five-year SDF Program (2005), on the other hand, promotes education on security and defence issues, notably requiring eligible universities to demonstrate a capacity to offer courses at undergraduate and graduate levels with at least 50 percent of the content addressing security and defence issues.

Therefore, although other alternative designs and funding models could be considered for the next SDF funding cycle, none of them offer the educational benefits of the current model.

Recommendation

Role of the Chair. Due to the numerous concerns voiced about the role of the Chair, a review of the position be conducted.

Issue 6: Adequacy of the Performance Measurement Strategy

Outcomes are measured in accordance with the performance measurement strategy. Although the data collected by the performance measures is discussed in Issue #4, the measures have been further reviewed both in terms of the nature of the measures themselves as well as the process involved in their collection and analysis.

Measures

D Public Pol annually provides the CoEs with a comprehensive template for the capture of all required information as well as ample opportunity for respondents to provide additional thoughts resulting in thorough coverage of the complete set of outputs and short/medium-term outcomes. Some universities expressed concern, questioning whether the performance template accurately represents what they do every year. They also ask "How do you tell the story of what we have gotten from the [SDF]?" "How do we measure spin-off benefits such as outreach?" "We are measuring short-term productivity but not whether or not we are achieving the aim."

The amount of information asked annually from the CoEs is reportedly a burden for them. Although CoEs recognize that performance measurement is an important accounting mechanism, they largely find the measures themselves to be repetitious and cumbersome. They also feel strongly that while the template quantitatively measures the number of published articles or the number of conferences attended for example, it does not measure the quality of the articles or conferences. Written publications have profound differences in complexity and level of peer review—in a simple count of publications, a lengthy, complex, peer-reviewed research paper carries the same weight as a short opinion piece.

Publishing timelines do not correspond with the government fiscal year or university calendar years—this also leads to a misunderstanding of how much activity is taking place. Furthermore, the budget categories required by the template do not always fit into the universities' spending categories, leading to difficulty in financial reporting. Most CoEs have several sources of funding and it is arbitrary as to how SDF funds are spent out of pooled resources.

The Process

There is a comprehensive process to implement the performance measurement strategy starting with the issue of an annual performance measurement template by the SDF manager. The CoEs and the Chair submit completed reports for review and analysis by the Selection Committee. Following this analysis, D Public Pol responds with individual letters containing both generic comments applicable to all as well as comments aimed at the specific individual CoE/Chair. The process is completed by an annual visit from D Public Pol providing detail additional to the letter as well as an opportunity for in-depth discussion of particular concerns.

While there was general support for this process, there was also a certain level of discontent. Again "cumbersome and lengthy" were commonly used descriptors by several of the CoEs to describe the process components. Although some see it as a bother, they noted improvements over the years and found the process more useful than before.

The key to the process was widely felt to be the Selection Committee which is able to exercise the external judgment required to overcome the qualitative issues noted above and contextualize the information being submitted. There were some comments that improved access to the Selection Committee could improve the process even further. Some interviewees expressed the wish to appear before a meeting of the Selection Committee in person to discuss their performance rather than simply respond to a template and await a letter and visit.

Some CoEs felt unable to address the Selection Committee's concerns noted in its annual letter. This was in part due to the desire to explain further in person and in part due to the timelines involved. Some CoEs feel that the letters from the Selection Committee and the visit from D Public Pol occur too long after the annual templates are submitted to be able to be applied to the next university year. The cycle of information takes too long (capture info, review, provide feedback) to be useful in a timely fashion for some of the CoEs.

Recommendation

Performance Measurement. A review of the performance measurement strategy should be undertaken in terms of both performance measures and process.

Annex A—Management Action Plan

Relevance

CRS Recommendation

1. **SDF/Department Interaction.** The Department should further encourage and facilitate interaction between DND/CF officials and the SDF academic community.

Management Action

The Policy Group accepts this recommendation.

Since its inception more than forty years ago, the SDF has maintained the objective of building and sustaining a strong Canadian academic competence in security and defence issues. The program has been highly successful in achieving this objective. A strong competence in defence and security now exists in Canadian universities, and Canadian scholars are able to share their expertise through research, teaching and media interaction, among other activities. The SDF community also has a strong record of engaging the DND and the CF at the local and regional level.

However, we recognize that interaction between DND/CF officials and the SDF academic community can improve. Increased and closer interaction would be beneficial for both groups: the SDF community would benefit from enhanced interaction with defence officials to inform their research, and defence officials would have their understanding of security and defence issues enriched by being exposed to different perspectives.

The Policy Group will put mechanisms in place, in partnership with CoEs, to further ensure and enhance the broad promotion and dissemination of SDF activities among the Policy Group and other DND/CF organizations. These mechanisms will include encouraging visits of CoEs' scholars to NDHQ and to local CF units as well as DND/CF officials' participation in events organized by the Centres. The Policy Group will also ensure a better and wider distribution of Centres' publications and SDF promotional material among its staff, as well as in NDHQ and other DND/CF organizations, to increase interest in SDF activities across the Defence Team.

Furthermore, the Policy Group will aim to further benefit from SDF academic expertise in policy development and strategic analysis by promoting more constant and direct exchanges between SDF scholars and its staff. The Group will consider mechanisms, such as periodic meetings and the creation of a database linking scholars' fields of interest with the Group's research priorities, to help foster and formalize these contacts.

OPI: D Public Pol, DG Pol Plan
Target Date: FY 2011/12

Annex A

Performance

CRS Recommendation

2. **Role of the Chair.** Due to the numerous concerns voiced about the role of the Chair, a review of the position be conducted.

Management Action

As mentioned in the evaluation report, the role of the Chair of Defence Management Studies is unique. Defence management issues, such as policy development, intra-government relations, procurement, and the relationship between defence and Parliament, are significant to the Policy Group and of continuing importance to the broader Defence Team. That being said, the current approach to defence management studies—a centralized annual investment of $165,000 which exceeds that of any CoE—may not yield an optimal return on the investment.

Given the multidisciplinary character of contemporary defence management questions and their importance for the Policy Group and the Department more generally, the Policy Group will propose that defence management studies be a central part of the work of all CoEs. While the structural details of this model remain to be defined, it is expected that such an approach will enrich the academic expertise on defence management issues, particularly through the enhanced contribution of related disciplines such as law, public policy and economics. This revised approach will ensure that the study of defence management issues—and how it can benefit the Defence Team—is informed by perspectives from across the country.

OPI: D Public Pol
Target Date: FY 2011/12

Annex A

CRS Recommendation

3. **Performance Measurement.** A review of the performance measurement strategy should be undertaken in terms of both performance measures and process.

Management Action

The Policy Group accepts this recommendation and will continue its efforts to continuously improve the SDF performance measurement strategy in collaboration with the CoEs. Since the beginning of the 2006-2011 funding cycle, the comprehensive reporting template provided annually to the Centres has been refined to reflect more accurately the activities undertaken by the Centres and the realities of academia. For example, the template takes into account that academic publishing can be a slow process, and that one peer-reviewed publication may hold more academic value than a series of non peer-reviewed publications. The template has been streamlined over the years to better target the program management information needs, and to simplify the data collection process. Performance measurement will continue to be reviewed and modified as required.

The Policy Group will also consider increasing the feedback given to each Centre following the annual performance process. Currently, the feedback provided to each Centre consists of a letter from the Selection Committee, which summarizes the evaluation of the Centre's annual report, and of a visit to the Centre by D Public Pol, during which particular concerns may be discussed in more details. The Policy Group could explore economical ways of expanding this feedback by facilitating meetings between Centres' Directors and the Selection Committee to discuss their performance evaluation.

The Policy Group will continue to provide feedback to the CoEs in a timely fashion following the annual meeting of the Selection Committee and its review of Centres' performance. The Centres will continue to benefit from this early feedback and be in a position to adapt their activities accordingly for the next academic year. D Public Pol will also continue annual visits to the CoEs to foster interaction and discussion on performance assessments and any other concerns.

OPI: D Public Pol
Target Date: Fall 2010

Annex B—Evaluation Matrix

SDF EVALUATION MATRIX
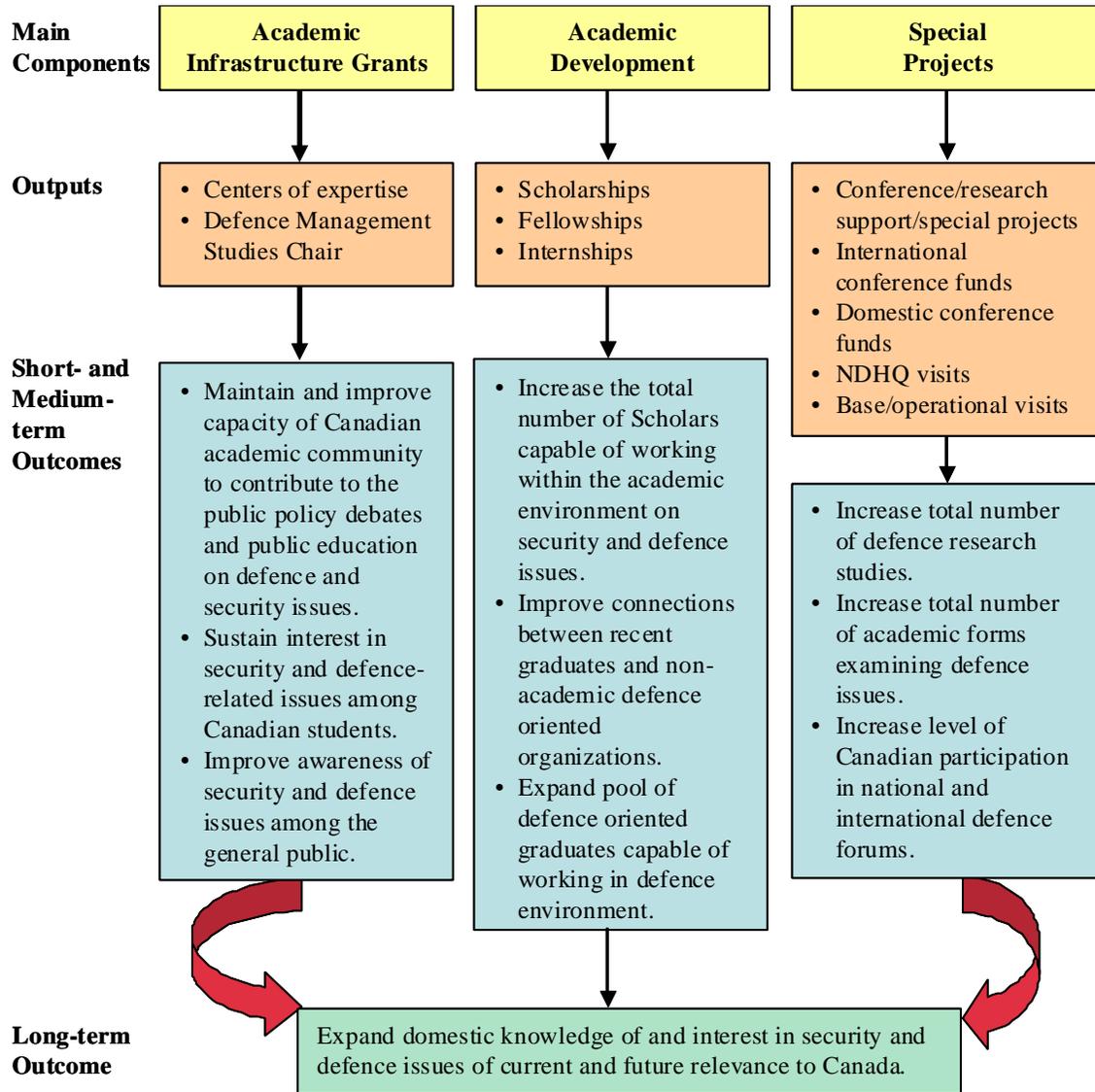
EVALUATION QUESTIONS	PERFORMANCE INDICATORS	DATA SOURCES
Continued need for program. Is there a continued need to expand the domestic knowledge of and interest in security and defence issues of current and future relevance to Canada?	• Stakeholder perspectives and opinions • Socio-political trends	• Interviews • Questionnaires • Document/File review • Literature review
Continued need for program. To what extent does the SDF Class Grant Program address this need?	• Analysis of the SDF's program objectives	• Interviews • Questionnaires • Document/File review
Alignment with government priorities. Are the objectives of the SDF Class Grant Program linked with federal government priorities and departmental strategic objectives?	• Evidence that program objectives are closely linked with federal government priorities and DND strategic objectives	• Document Review
Alignment with federal roles and responsibilities. Is the SDF Class Grant Program in line with the roles and responsibilities of the federal government?	• Degree of alignment with the federal roles and responsibilities of the federal government	• Document review
Achievement of expected outcomes. To what extent have the program's expected results been achieved and should alternate program design be considered?	• Feedback from stakeholders and program files on the efficacy of the program • Degree of performance in accordance with the Performance Measurement Template in the RMAF	• Annual CoE reports • Interviews • Questionnaires
Achievement of expected outcomes. Do the program outputs link with and contribute to the program outcomes?	• Evidence that program outputs (SDF-related conferences, seminars, courses, research exercises media and outreach efforts) produce the intended outcomes	• Interviews • Questionnaires • Annual CoEs reports
Demonstration of Efficiency and Economy. Are the most appropriate and efficient means being used to achieve the outputs and outcomes of the SDF Class Grant Program?	• Evidence that grant funding was put to good use • Perceived adequacy of funding	• Financial reports, documents • SDF documentation • Interviews
Adequacy of the Performance Measurement Strategy. Are the performance measures established for each outcome identified in the Logic Model being collected and monitored to effectively manage the Grant?	• Evidence that the performance indicators listed in the performance measurement template are being collected and analyzed	• Document review • Interviews

EVALUATION QUESTIONS	PERFORMANCE INDICATORS	DATA SOURCES
Adequacy of the Performance Measurement Strategy. Are the performance measures adequate for the SDF program?	• Evidence that the performance indicators provide adequate information to effectively manage the grant	• Document Review • Interviews

Table 5. SDF Evaluation Matrix. This evaluation matrix was used to identify the performance indicators used and their data sources for each of the evaluation questions.

Annex C—SDF Logic Model

Main Components	Academic Infrastructure Grants	Academic Development	Special Projects
Outputs	• Centers of expertise • Defence Management Studies Chair	• Scholarships • Fellowships • Internships	• Conference/research support/special projects • International conference funds • Domestic conference funds • NDHQ visits • Base/operational visits
Short- and Medium-term Outcomes	• Maintain and improve capacity of Canadian academic community to contribute to the public policy debates and public education on defence and security issues. • Sustain interest in security and defence-related issues among Canadian students. • Improve awareness of security and defence issues among the general public.	• Increase the total number of Scholars capable of working within the academic environment on security and defence issues. • Improve connections between recent graduates and non-academic defence oriented organizations. • Expand pool of defence oriented graduates capable of working in defence environment.	• Increase total number of defence research studies. • Increase total number of academic forms examining defence issues. • Increase level of Canadian participation in national and international defence forums.
Long-term Outcome	Expand domestic knowledge of and interest in security and defence issues of current and future relevance to Canada.		

Figure 1. Security and Defence Forum Logic Model. This logic model was used to show the linkages between the main components of the SDF program, and their outputs and outcomes all leading to the eventual long-term outcome of the program.

Annex D—Performance Measurement Template (from RMAF)

Academic Infrastructure Grants

Performance Indicator	Data Element	Responsibility	Frequency
1.1 Level of academic research population focused on security and defence issues within SDF centres	No. faculty staff No. graduate students No. research associates per year	Centre Administration	Yearly
1.2 Attendance of target audience at SDF-sponsored forums (e.g., seminar, conference, workshop	No. attendees Nature of attendees—which segments of the security and defence community were present? (government, students, private sector, NGOs, etc.)	Centre associates to report to Centre Administration	Per Event
1.3 Level of activity of Centre associates at relevant events (such as conferences, workshops, seminars, political meetings)	No. of speakers No. of attendees No. of discussants	Centre associates to report to Centre Administration	Per instance
1.4 Rate of publication	No. of publications - academic presses - in-house publication	Author to report to Centre Administration	Per publication
1.5 Number of research grants on security and defence issues awarded to academic and research population within SDF	No. of grants Value of grants Granting agency	Academic reports to Centre	Per Grant

Table 6. Academic Infrastructure Grants—Outcome 1. Maintain and improve capacity of Canadian academic community to contribute to the public policy debates and public education on security and defence issues.

Performance Indicator	Data Element	Responsibility	Frequency
2.1 Courses with minimum 50% security and defence content	No. courses offered in semester (with 50% security and defence content) along with course calendar description Instructor's name	Centre Administration	Yearly
2.2 Number of research exercises completed	No. completions	Centre administration	Yearly

Table 7. Academic Infrastructure Grants—Outcome 2. Sustain interest in security and defence-related issues among Canadian students.

Performance Indicator	Data Element	Responsibility	Frequency
3.1 Media Contact	No. media interviews granted (print, broadcast, etc.) No. of Op-Ed articles published	Interviewee/author to report to Centre Administration	Per instance
3.2 Off-campus outreach to speak to the general public and those beyond the regular audience of the Centre/Chair	Description of community speaking engagements and/or Parliamentary outreach	Speaker/organizer to report to Centre Administration	Per instance
3.3 On-campus outreach efforts to engage those beyond the regular audience of the centre/Chair	Description of event/ activity	Speaker/organizer to report to Centre Administration	Per instance

Table 8. Academic Infrastructure Grants—Outcome 3. Improve awareness of security and defence issues among the general public.

Academic Development

Performance Indicator	Data Element	Responsibility	Frequency
SDF Award Recipients	No. of graduates in defence related fields receiving SDF awards	Program manager	Annually

Table 9. Academic Development—Outcome 1. Increase the total number of scholars capable of working within the academic environment on security and defence issues.

Performance Indicator	Data Element	Responsibility	Frequency
SDF Internship-hosting organizations	No. of SDF Internships awarded to candidates placed in non-academic defence oriented organizations	Program manager	Annually

Table 10. Academic Development—Outcome 2. Improve connections between recent graduates and non-academic defence oriented organizations.

Performance Indicator	Data Element	Responsibility	Frequency
Applicants to policy-relevant positions in DND	No. and percentage of applicants to policy-relevant positions within the DND who are/were recipients of SDF awards	Program manager	Annually

Table 11. Academic Development—Outcome 3. Expand pool of defence oriented graduates capable of working in defence environment.

Special Projects

Performance Indicator	Data Element	Responsibility	Frequency
Defence Studies	No. of defence studies published each year based on support from Special Projects Funding	Program manager	Annually

Table 12. Special Projects—Outcome 1. Increase total number of defence research studies.

Performance Indicator	Data Element	Responsibility	Frequency
Defence-related academic forums	No. of defence-related academic forums held each year based on Special Projects Funding	Program manager	Annually

Table 13. Special Projects—Outcome 2. Increase total number of academic forums examining defence issues.

Performance Indicator	Data Element	Responsibility	Frequency
Canadian participation in forums	No. of Canadian participants attending domestic and international defence forums using funds from the International and Domestic Conference Funds	Program manager	Annually

Table 14. Special Projects—Outcome 3. Increase level of Canadian participation in national and international forums.

Annex E—Disbursements from FY 2006/07 to FY 2009/10

YEARLY FUNDING APPROVED BY TB	ALLOCATED		DISBURSED
ALLOCATIONS	**$2,500,000.00**		
I) Centres of Expertise	**$1,450,000.00**		**$1,450,000.00**
II) Chair of Defence Management Studies	**$165,000.00**		**$165,000.00**
III) Scholarships and internships	**$402,500.00**		**$402,500.00**
IV) SDF Special Projects	**$482,500.00**		**$390,467.24**
Special Projects: Center Conferences, NGO Conferences, University Organized Conferences, Research Papers, Field Tours, etc.	$241,000.00		$182,641.85
International Conference Fund	$132,000.00		$132,000.00
National Conference Fund	$60,000.00		$60,000.00
SDF Community Operations Visit Fund	$30,000.00		$7,589.26
SDF Discussion Board	$7,500.00		$7,500.00
National Defence Student Briefing Tour	$12,000.00		$736.13
TOTAL ALLOCATION	**$2,500,000.00**		**$2,407,967.24**

Table 15. Disbursement for FY 2006/07.

YEARLY FUNDING APPROVED BY TB	ALLOCATED		DISBURSED
ALLOCATIONS	**$2,500,000.00**		
I) Centres of Expertise	**$1,455,000.00**		**$1,455,000.00**
II) Chair of Defence Management Studies	**$165,000.00**		**$165,000.00**
III) Scholarships and internships	**$402,500.00**		**$392,500.00**
IV) SDF Special Projects	**$477,500.00**		**$425,716.79**
Special Projects: Center Conferences, NGO Conferences, University Organized Conferences, Research Papers, Field Tours, etc.	$236,000.00		$268,758.45
International Conference Fund	$132,000.00		$89,385.45
National Conference Fund	$60,000.00		$32,151.28
SDF Community Operations Visit Fund	$30,000.00		$18,421.61
SDF Discussion Board	$7,500.00		$5,000.00
National Defence Student Briefing Tour	$12,000.00		$12,000.00
TOTAL ALLOCATION	**$2,500,000.00**		**$2,438,216.79**

Table 16. Disbursement for FY 2007/08.

Annex E

YEARLY FUNDING APPROVED BY TB	ALLOCATED		DISBURSED
ALLOCATIONS	**$2,500,000.00**		
I) Centres of Expertise	**$1,455,000.00**		**$1,455,000.00**
II) Chair of Defence Management Studies	**$165,000.00**		**$165,000.00**
III) Scholarships and internships	**$350,000.00**		**$350,000.00**
IV) SDF Special Projects	**$530,000.00**		**$463,661.07**
Special Projects: Center Conferences, NGO Conferences, University Organized Conferences, Research Papers, Field Tours, etc.	$288,500.00		$284,448.54
International Conference Fund	$132,000.00		$102,058.46
National Conference Fund	$60,000.00		$47,030.36
SDF Community Operations Visit Fund	$30,000.00		$18,692.14
SDF Discussion Board	$7,500.00		$3,500.00
SDF Award Winners Visit.	$12,000.00		$7,931.57
TOTAL ALLOCATION	**$2,500,000.00**		**$2,433,661.07**

Table 17. Disbursement for FY 2008/09.

YEARLY FUNDING APPROVED BY TB	ALLOCATED		DISBURSED
ALLOCATIONS	**$2,500,000.00**		
I) Centres of Expertise	**$1,465,000.00**		**$1,465,000.00**
II) Chair of Defence Management Studies	**$165,000.00**		**$165,000.00**
III) Scholarships and internships	**$402,500.00**		**$382,500.00**
IV) SDF Special Projects	**$467,500.00**		**$395,729.58**
Special Projects: Center Conferences, NGO Conferences, University Organized Conferences, Research Papers, Field Tours, etc.	$233,500.00		$207,427.07
International Conference Fund	$132,000.00		$111,845.24
National Conference Fund	$60,000.00		$51,683.56
SDF Community Operations Visit Fund	$30,000.00		$18,427.20
National Defence Student/Award Winners NDHQ Visit	$12,000.00		$6,346.51
TOTAL ALLOCATION	**$2,500,000.00**		**$2,408,229.58**

Table 18. Disbursement for FY 2009/10.