



GOVERNANCE Model

RESEARCH AND STATISTICS DIVISION



Department of Justice
Canada

Ministère de la Justice
Canada

Canada

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A MESSAGE FROM THE DIRECTOR OF THE RESEARCH AND STATISTICS DIVISION

Traditionally, the conduct of research within the Department of Justice has been driven by immediate priorities of the Department and the government of Canada. The complexity of the justice policy environment has created a need for a more formal, proactive and planned approach to our research. Justice policy priorities are increasingly horizontal and multifaceted as elements of other systems beyond our traditional mandate are impacting on the justice policy environment. As a result, a broader, systematic approach to the planning, and ultimately to the conduct of research is required. I am therefore quite pleased to be launching a new approach to planning our research through a formal process. It is my intention to ensure that the work of my Division is both well-planned and fully endorsed by Senior Management.

In the absence of this Governance Model, there is a risk that the research process and activity will become overly reactionary. Our goal is to ensure that our research becomes more policy relevant, integrated and timely in order to provide empirical evidence to senior policy decision-makers within the Department

of Justice and the broader government of Canada. The current and future level of justice policy activity necessitates having a comparable research capacity that not only reacts effectively to urgent shorter-term requests, but provides relevant and timely future oriented work.

This document was developed to overview the conduct of justice policy research within the Department of Justice. As the first formal statement of the Research and Statistics Division's new approach to planning, we welcome your input. By its nature, the research process is dynamic and will continue to evolve. Your comments and suggestions are welcome.

I look forward to working with my Division to implement this model over the coming months.

Stephen Mihorean
Director
Research and Statistics Division



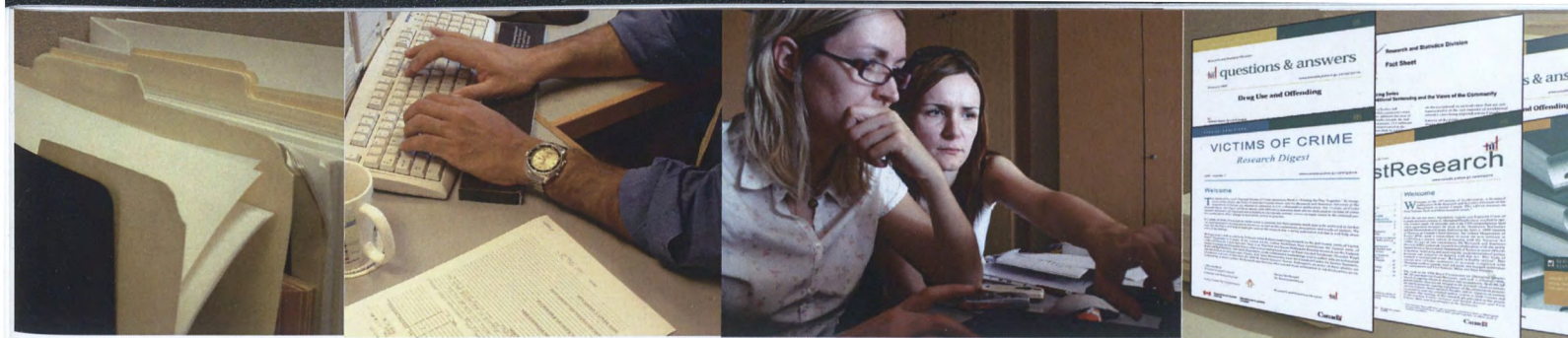
BACKGROUND

The Research and Statistics Division's strategic planning process identified the need for a formalized governance structure for developing and implementing our annual research activities. This document represents the results of this work and outlines a framework for how research activities within the Division are planned and conducted and how performance is assessed.

There are three central documents that will be produced by the Research and Statistics Division. First, the Division will produce an **Annual Research Plan** which is endorsed by the Senior Assistant Deputy Minister responsible for the Policy Sector and presented to the Policy Committee. This document outlines the central areas of policy research that the Division will focus resources on during the next fiscal year. The Annual Research Plan will be developed every year through a **Research Planning Cycle**, which involves significant consultations. In addition, the Division will produce an **Annual**

Performance Report which provides an overview and assessment of our work from the previous year. Finally, the Division will produce a **Strategic Plan** every three years in order to improve our services to the Department and set out our strategic goals and objectives for the future. The Governance Structure detailed in this report outlines the process for all three of these Reports and the Research Planning Cycle.

Currently, a significant majority of research projects and activities conducted by the Research and Statistics Division are undertaken by in-house researchers and statisticians. Within this Governance Model, whenever possible, the intention is to continue this trend towards in-house research which allows for a greater level of oversight, monitoring and input to the research process. Before discussing the process for each report, it is important to articulate how research is developed and conducted within the Division.



THE POLICY RESEARCH PROCESS

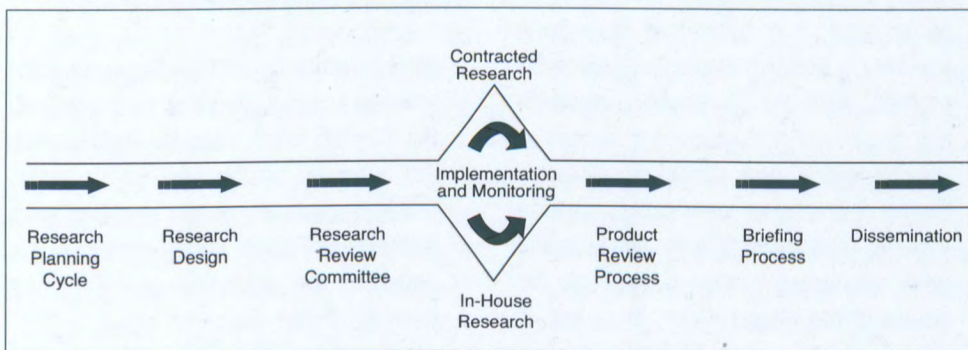
The Division follows the same general process when developing and conducting policy research. Figure 1 represents the ideal process; however, in many instances this process is not linear. During the Research Design phase, for example, it is common to move directly to the Briefing Process in order to brief Senior Management or the Minister's Office, which may ultimately change the scope of the project. During the Research Review Committee review, it is not uncommon for a research projects to return to the Research Design Phase.

1. The **Research Planning Cycle** (see Figure 2) is our process for developing an

Annual Research Plan which guides the majority of our planned research activities for the coming year. The Research Plan lays out general areas of research which are used to guide the development of individual research projects.

2. The **Research Design** phase involves developing individual research projects within the areas of research identified in the Research Plan. The design process, which is done through ongoing developmental work with policy colleagues, Federal/Provincial Territorial (FPT) Working Groups and other stakeholders, produces a research

FIGURE 1: POLICY RESEARCH PROCESS



proposal that must contain background information, research questions, methodology, budget, timeframes, deliverables and an ethics review.

3. The **Research Review Committee (RRC)** provides an internal review process whereby each proposal is reviewed for methodological issues, policy relevance, ethical issues and contracting oversight. RRC meetings are held every week and are chaired by the Director of the Research and Statistics Division. Formal minutes, which detail the discussion on each project, are recorded and retained. The Director approves all research projects based upon advice and recommendations from the RRC.
4. During the **Implementation and Monitoring** phase of the research process, whenever possible, the research projects are conducted by in-house researchers. It is sometimes necessary, however, to contract elements of research projects. All research activities, however, still remain under the care and control of the Research and Statistics Division. During this phase, researchers provide ongoing feedback to policy colleagues and other interested parties throughout the course of the project. Given that most of
- the research is conducted in-house, shifting priorities and course corrections do not pose significant challenges to the process.
5. Within the **Product Review Process**, the Division has several quality control mechanisms in place in order to ensure high quality research products. A formalized peer-review process, which involves senior researchers in the Division and policy colleagues, is used to review research reports and other documents. Director approval is also required on all research products prior to public dissemination.
6. During the **Briefing Process**, Senior Managers are briefed on the results of the research, along with others across the Department. Ministerial approval is also sought on the public release of any research report during this phase.
7. All of our products enter the **Dissemination** process and are prepared for posting on the Departmental website. Reports that are approved by the Minister for public release are posted on the Division's Internet site and those that are not approved are posted on the Division's internal Intranet site.



ANNUAL RESEARCH PLAN

The Annual Research Plan is developed through our **Annual Research Planning Cycle** (see Figure 2), which involves eight essential steps. This process has been established in order to more fully prioritize and focus Divisional resources on timely and policy relevant research areas.

1. **Research Developmental Work:**

This phase involves reviewing literature, attending FPT meetings (e.g., Co-ordinating Committee of Senior Officials, Liaison Officer Committee), identifying Ministerial and government-wide priorities through documents such as the Budget and Speech from the Throne, reviewing summaries of Deputy and Minister meetings, press clippings and other materials in order to identify the relevant policy research issues and questions. This may also involve consulting the Minister's Office and the Deputy Minister's Office when appropriate.

2. **Individual Policy Consultations:** After identifying the potential research issues and questions, researchers will meet with Policy Officers in the Policy Sector

(as well as those in Communications, and other areas of the Department) to seek input into developing a list of research areas for consideration.

3. **Research Planning Day:**

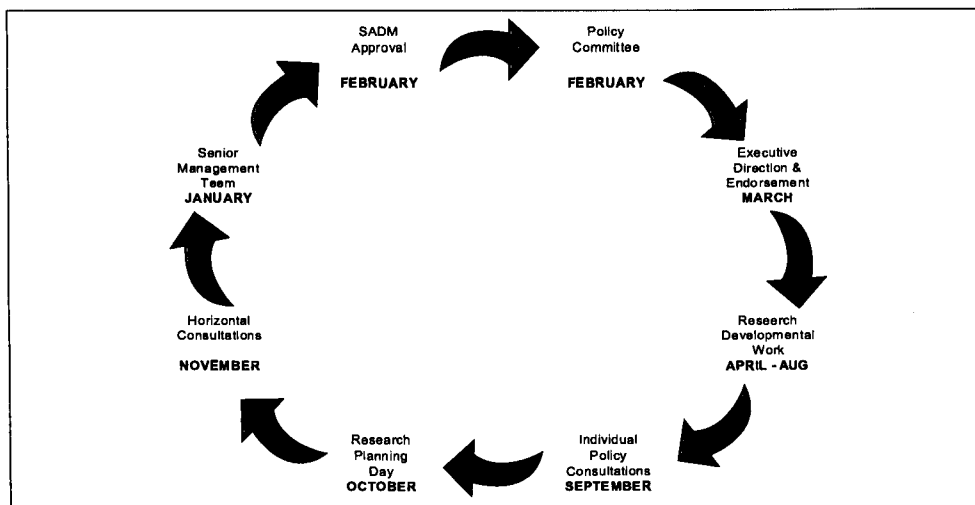
A full-day meeting will be scheduled for senior researchers to make presentations to the Division on the policy research issues and questions identified through the earlier stages in order to develop a draft priority list of Research Areas.

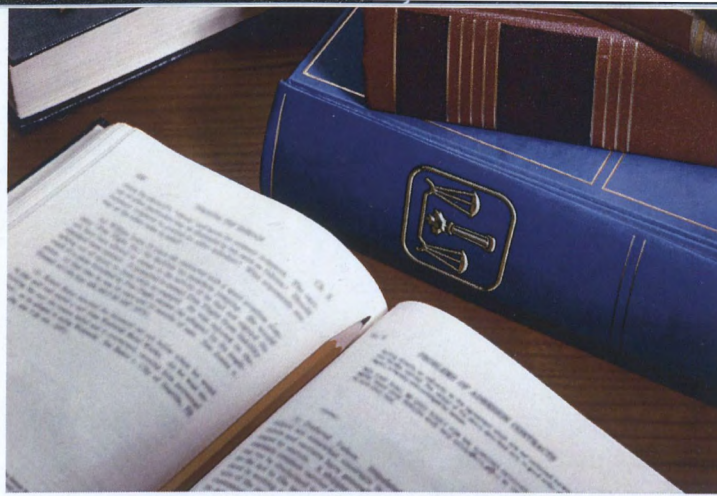
4. **Horizontal Consultations:**

A half-day meeting will be scheduled with other relevant federal governmental organizations (e.g., Correctional Service Canada, Canadian Centre for Justice Statistics, Public Safety, Royal Canadian Mounted Police) wherein the Director and Principal Researchers will present the proposed priority list in order to look at horizontal issues (e.g., partnerships, duplication). Consultations will also be completed with International Directors of Justice Research in order to ensure major international policy trends and activities are reflected within the Annual Research Plan.

5. **Senior Management Team (SMT):** A dedicated SMT meeting will be scheduled in order to review the proposed priority list and seek full Policy Sector input to ensure relevance and timeliness. This advanced consultation will also provide necessary and timely notification of research activities which have been generated by corporate priorities and other priorities originating beyond the Policy Sector.
6. **Senior Assistant Deputy Minister (SADM) Approval:** A completed Annual Research Plan, which contains the finalised areas of research, will be prepared for the signature of the SADM responsible for the Policy Sector following this process.
7. **Policy Committee:** A presentation will be made to the Policy Committee in order to seek feedback on the annual Research Plan and ultimately endorsement before tabling the report before Governing Council / Senior Management Board.
8. **Executive Direction and Endorsement:** The Annual Research Plan will be tabled before Governing Council / Senior Management Board by the SADM of the Policy Sector for final endorsement. This final step provides the Senior Leadership of the Department with an opportunity to offer input and direction to the Annual Research Plan prior to implementation.

FIGURE 2: ANNUAL RESEARCH PLANNING CYCLE





ANNUAL PERFORMANCE REPORT

The Annual Performance Report will be produced and submitted to the SADM of the Policy Sector in September every year. The Report will detail the nature and extent of our research activities from the previous fiscal year, summarize major findings and compare our performance to our planned efforts. It will also include several appendices which provide oversight and monitoring of our work. These appendices will include the following reports:

1. **Budget/Human Resources Report:** this will detail how we spent our resources, both human and financial, during the previous fiscal year.
2. **Public Opinion Report:** this report provides oversight and monitoring of the entire Department's public opinion research activities, which are coordinated through the Research and Statistics Division.
3. **Dissemination Report:** this report provides information on the Division's research report production process and website traffic in order to assess our ability to provide timely, relevant and accessible public dissemination of research.



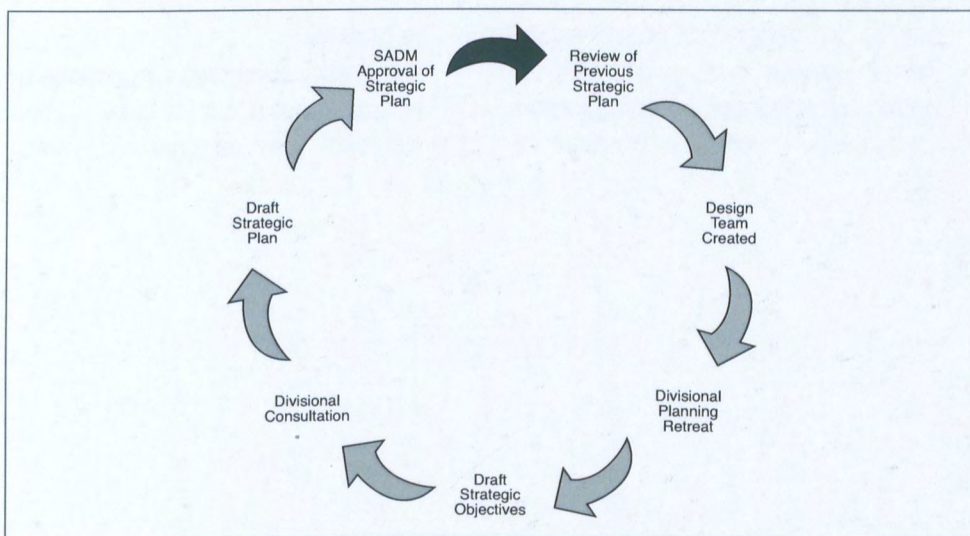


THREE YEAR STRATEGIC PLAN

Every three years, the Division will produce a Strategic Plan in order to chart our progress on longer-term strategic goals and objectives and to plan for the future. The Strategic Plan will be produced following our Strategic Planning Process (see Figure 3). This process would occur in the final year of the previous three-year cycle so that at the end of the three-years, the new Three-Year Strategic Plan will be developed and approved.

1. Before beginning development of a new Strategic Plan, a thorough assessment and **Review of the Previous Strategic Plan** will be conducted.
2. In order to be inclusive and relevant to the entire Division, a **Design Team** will be created with participation from all levels and areas of responsibility within the organization.

FIGURE 3: STRATEGIC PLANNING PROCESS



3. The Design Team will plan and organize the **Divisional Planning Retreat** with the Director. The Retreat will be focused exclusively on reviewing previous strategic plans and developing new strategic goals for the future three-year period.
4. The Design Team, along with the Director, will develop **Draft Strategic Objectives** based upon the results of the Planning Retreat.
5. The Draft Strategic Objectives will be distributed to all employees in order to conduct a **Divisional Consultation**.
6. Following the consultation, the Design Team will develop a **Draft Strategic Plan** which will be approved by the Director and sent to the Director General for review.
7. Finally, the SADM will review and grant **Approval of the Strategic Plan**, which will be adopted for the next three years within the Division.