



Department of Justice  
Canada

Ministère de la Justice  
Canada

# **MULTI-YEAR EVALUATION PLAN 2008-09 TO 2010-11**

June 2008 (Final Version)

Evaluation Division  
Office of Strategic Planning and Performance Management



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## 1. INTRODUCTION

This document provides an outline of the program evaluation activities planned by the Evaluation Division for the 2008/2009 to 2010/2011 fiscal years.

Program evaluation involves the application of systematic research methods drawn from a variety of disciplines to assess the performance of programs, policies and initiatives.

The Deputy Minister, departmental managers, central agencies (e.g., Treasury Board), Parliament and the public are the five primary client groups for the activities of the Evaluation Division. The Division undertakes evaluations of departmental programs, policies and initiatives in accordance with the departmental and government evaluation policies (see Appendix A). These policies stress the key role of evaluation throughout the lifecycle of policies, programs and initiatives.

Evaluation studies are intended to provide objective assessments of the continued relevance of departmental policies and programs, to determine the impacts of these policies and programs, and to identify opportunities for using alternative and more cost-effective policy instruments or program delivery mechanisms to achieve departmental and government objectives. Additionally, evaluation studies can be used to evaluate issues related to the implementation and early results of a policy, program or initiative, including those that are delivered through partnership arrangements.

### **Evolving Context for Evaluation**

The climate in which evaluation operates has changed significantly in the past five years. There is a much greater demand for accountability and reporting on results, as witnessed in the modern comptrollership movement, the *Federal Accountability Act* and the issuing of the report on Results for Canadians. Central agencies are requiring evaluation to be much more involved in the government-wide expenditure review process and to provide timely, neutral and credible

information on the performance, relevance and cost-effectiveness of programs in order to support decision-making processes on the allocation and reallocation of resources such as departmental strategic reviews that were launched as part of the revised Expenditure Management System in Budget 2007. In addition, there is an increased need for strategic information analysis and advice on horizontal initiatives where policies and programs cut across several departments. It is also expected that evaluation be a significant contributor to the development of programs and policies. There will continue to be a significant role for evaluation in meeting the department-wide challenge of supporting planning, priority setting, performance measurement and expenditure review. However, one of the greatest challenges on the horizon will be the ongoing ability to recruit and retain evaluators with the right skill sets and flexibility to adapt to the changing needs of the Department.

To successfully contribute to the overall performance of the Department of Justice, evaluation activities must be an integral part of the management culture and practices of the Department and attuned to departmental and governmental priorities. Rigorous and objective evaluation is an important tool in helping managers to manage for results.

The release of the Gomery Commission reports, the Auditor General's May 2007 report on the Department's Legal Services function, the increasing role of evaluation in the expenditure management process, recent changes to the government policy on Internal Audit and the enactment of the *Federal Accountability Act* are all recent factors that are likely to affect the environment for evaluation in 2008-09. It is within this context that the Treasury Board Secretariat (TBS) is expected to issue a revised government-wide evaluation policy and so the evaluation function is likely to be in a state of transition in 2008-09.

### **Strategic Context**

Evaluation activities outlined in this document are intended to provide timely, neutral and relevant information in order to support decision-making and account for performance in the pursuit of the Department's two strategic outcomes:

- A fair, relevant and accessible justice system that reflects Canadian values; and
- A federal government that is supported by effective and responsive legal services.

## 2. EVALUATION PRIORITIES

To provide a starting point for future year planning, a review was conducted of the various evaluation activities undertaken during 2007-2008 and the outstanding commitments that have been identified in existing Results-based Management and Accountability Frameworks (RMAFs) and Evaluation Frameworks. The details of evaluation activities undertaken in 2007-2008 are contained in Appendix B.

Evaluation priorities are identified by aligning the resources devoted to the evaluation function with departmental policy and operational priorities, corporate risks and central agency requirements. The intent is to meet the information needs of the Department for the purposes of strategic decision-making and to enable the Department to report on its results and performance, in accordance with the Government's Management Accountability Framework.

In April 2008, a call letter was sent out to all Direct Reports of the Deputy Minister requesting their identification of potential areas for evaluation over the upcoming three-year period. All proposed projects were assessed against the following criteria to determine priorities for evaluation activities over the upcoming three years:

- **Central Agency Requirements or Priority:** The TBS, the Office of the Auditor General or the Public Accounts Committee may have requested or required a specific evaluation.
- **Legislative Requirement:** Certain Justice programs and expenditures may have a statutory or legal requirement for an evaluation. For example, the *Federal Accountability Act* now requires that all transfer payment programs be evaluated every five years.
- **Departmental Priority:** The 2007-08 Report on Plans and Priorities (RPP) reflected three priorities which are: (i) effective and accessible justice system, (ii) protecting Canadian communities, and (iii) supporting other government departments and agencies in achieving Government of Canada priorities.

- **Departmental Corporate Priorities:** The corporate priorities have been: sustainability of the funding regime; strategic information, accountability and performance; managing the volume of litigation; and people development, management and diversity
- **Renewal of Authority:** Programs or initiatives seeking renewal of authority have program evaluation requirements that are identified in the RMAFs required under the Treasury Board's Transfer Payments Policy.
- **Corporate and Legal Risk:** Consideration of risks faced by the Department of Justice has also been factored into the priority setting of evaluation activities this year.

In addition, key departmental plans and reports were examined for evaluation implications (such as internal audits, the Management Accountability Framework and Treasury Board materials).

Priorities for evaluation are also tempered by the availability or existence of resources. The Department's capacity to evaluate ongoing operations is restricted.

The Departmental Evaluation Policy (April 2003), calls for the Departmental Audit and Evaluation Committee to play a significant role in steering the Department's evaluation agenda and ensuring that it is aligned with departmental plans and priorities. Further, the Committee is responsible for reviewing the plan with respect to its impact on departmental resources and making recommendations on the overall alignment of priorities and resources. The specific terms of reference for the Committee are contained in Appendix C of this document.

In 2008-09, the Department's Evaluation Division will review the Departmental Evaluation Policy in conjunction with a broader TBS-led review of the government-wide evaluation policy. Anticipated changes to the government-wide policy are likely to reflect the results of the Gomery Commission reports and the *Federal Accountability Act*, both of which could significantly influence the direction for evaluation.

### **3. EVALUATION PROCESS**

The evaluation process for any given program component consists of four stages: planning; data gathering and analysis; reporting; and follow-up. The planning stage consists of developing plans for the approach to the evaluation of existing, new or substantially altered programs, policies or special initiatives. The planning stage involves intensive consultations with program managers, clients and other interested stakeholders. It is important that this be done at the beginning of a new initiative or as early in the development of an initiative as possible to ensure that the objectives are stated in a manner that allows for the ready identification of performance indicators and the systematic collection of performance information required for organizational learning and management decision-making.

As part of the planning stage, evaluation undertakes an analysis of available data to determine the degree to which a range of issues can be addressed using existing data as well as the need for the collection of new data elements. The planning stage culminates in the production of a RMAF document. The document describes the program (e.g., component profile), outlines the linkages between the elements (logic model), identifies the range of issues to be addressed, including the specific questions and indicators which will be used, and specifies the approach to be taken as well as the timeframe for the completion of the evaluation. In addition, where warranted, recommendations are made as to what data elements should be collected by program or policy managers in order to obtain ongoing measures of performance.

The data gathering and analysis stage involves the actual fieldwork for the completion of the evaluation project as well as the analysis of the findings from the various sources, including the monitoring of ongoing performance measures. For more complex projects, the data gathering and analysis stage may extend over more than one fiscal year.

The reporting stage consists of reporting evaluation findings to the Deputy Minister, departmental managers, central agencies, Parliament and ultimately the public.

Evaluations focus on three primary concerns:

- 1) issues of relevance, or more aptly, whether or not program or policy instruments, including special initiatives, continue to address strategic priorities and/or actual needs, i.e. the extent to which the objectives and mandate of the program or policy are still relevant and the extent to which the activities and outputs of a program or policy are consistent with the mandate and plausibly linked to the attainment of stated objectives and intended impacts;
- 2) issues of success, including the degree to which program or policy instruments are meeting stated objectives (i.e. impacts), and without unwarranted, undesirable impacts; and
- 3) issues of cost-effectiveness, such as whether the most efficient means are used to achieve objectives relative to alternative approaches including whether another level of government could assume responsibility for the policy or program instrument.

Follow-up activities involve the formulation of recommendations for changes where warranted in terms of the areas listed above. The Program area being evaluated is required to prepare a management response. The Evaluation Division is available to assist program managers to formulate action plans as part of their management response to ameliorate any outstanding issues based on evaluation findings.

An area of growing importance is the monitoring of the implementation of the recommendations and action plans. Treasury Board has indicated that this is an area that Justice needs to strengthen. As a result, the Evaluation Division has begun including Management Action Plans with the evaluations that are submitted to the Audit and Evaluation Committee. Periodic and systematic monitoring is carried out on the implementation of these action plans.

#### **4. MULTI-YEAR EVALUATION PLAN 2008-2011**

The following section of this document outlines the proposed evaluation activities to be completed over the upcoming three-year period. They are presented in relationship to the Department's Program Activity Architecture (PAA). The alignment of activities to the PAA provides a more accurate picture of the coverage of evaluation. It will also facilitate the use of evaluation information in the RPP and the Departmental Performance Report for planning and reporting purposes because this is the same framework that is used for these exercises as well as for departmental strategic reviews.

## Multi-Year Evaluation Plan 2008-09 – 2010-11

<b>A1. Justice Policies, Laws and Programs</b>					
<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>1. Aboriginal Justice Strategy</b>	<b>A1.1 Aboriginal Justice</b> A1.1.1 Aboriginal Justice Strategy	Commence Community Trends Analysis  Commence Formative Evaluation	Complete Community Trends Analysis  Complete Formative Evaluation  Commence Recidivism Study	Case Studies  Commence Summative Evaluation and Cost Analysis Study  Complete Recidivism Study	Summative Evaluation to be completed by 2011/12.  Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2006/07.
<b>2. Aboriginal Courtwork Program</b>	<b>A1.1 Aboriginal Justice</b> A1.1.2 Aboriginal Courtwork Program	Complete Summative Evaluation  Component studies		Commence Impact Evaluation	Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2007/08.
<b>3. Youth Justice Initiative</b>	<b>A1.2 Criminal Justice</b> A1.2.1 Youth Justice Fund A1.2.2 Youth Justice Services A1.2.3 Integrated Rehabilitative Custody & Supervision	Complete Evaluation Framework  Summative Evaluation of the <i>Youth Criminal Justice Act</i>	Summative Evaluation of the Youth Justice Fund, the Youth Justice Services Funding Program and Intensive Rehabilitation and Custody Supervision (IRCS)		Evaluation of the program elements is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2006/07

<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>4. National Anti-Drug Strategy (NADS)</b>	<b>A1.2 Criminal Justice</b> A1.2.4 Drug Treatment Courts	NADS Performance Reporting Templates and Baseline study  NADS Cost-effectiveness Feasibility Study  Drug Treatment Courts Summative Evaluation	Complete NADS Implementation Evaluation	Commence NADS Impact Evaluation	Justice is lead department for the NADS horizontal initiative involving 12 federal agencies. Evaluation of Drug Treatment Courts (DTCs) and other agencies' transfer programs are a requirement of the <i>Federal Accountability Act</i> . DTCs have not yet been formally evaluated.
<b>5. Federal Victims Strategy</b>	<b>A1.2 Criminal Justice</b> A1.2.5 Victims of Crime Initiative	Complete Formative Evaluation  Component studies	Commence Summative Evaluation  Component studies	Complete Summative Evaluation  Component studies	Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2004/05
<b>6. Integrated Market Enforcement Teams (IMETs)</b>	<b>A1.2 Criminal Justice</b> A1.2.6 Integrated Market Enforcement Teams	Horizontal RMAF  Baseline Study	Formative Evaluation		Evaluation is a requirement of the <i>Federal Accountability Act</i> . Public Safety Canada is lead on this horizontal initiative. IMETs have yet to be evaluated.
<b>7. Unified Family Courts (UFC)</b>	<b>A1.3 Family Justice</b>	Complete Summative Evaluation			No federal evaluations of Unified Family Courts have been conducted since the 1980s
<b>8. Child Centred Family Law Strategy</b>	<b>A1.3 Family Justice</b>	Complete Summative Evaluation			Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2005/06.

<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>9. Legal Aid Program</b>	<b>A1.4 Access to Justice</b> A1.4.1 Legal Aid A1.4.2 Legal Aid – PSAT A1.4.3 Court-ordered Counsel in Federal Prosecutions	Evaluability Assessment	Component studies	Summative Evaluation	Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2006/07.
<b>10. Justice Partnership &amp; Innovation Fund</b>	<b>A1.4 Access to Justice</b> A1.4.4 Justice Partnership and Innovation Fund		Sub-study	Summative Evaluation	Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2006/07.
<b>11. Canada’s Action Plan Against Racism</b>	<b>A1.2 Criminal Justice</b> <b>A1.4 Access to Justice</b> A1.4.4 Justice Partnership and Innovation Fund	Complete Formative Evaluation	Summative Evaluation		Evaluation is a requirement of the <i>Federal Accountability Act</i> and it has yet to be conducted.  Canadian Heritage is lead on this horizontal initiative.
<b>12. Access to Justice in Both Official Languages Support Fund</b>	<b>A1.4 Access to Justice</b> A1.4.5 Access to Justice in Both Official Languages	RMAF			Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2007/08.
<b>13. Contraventions Act and Fund</b>	<b>A1.4 Access to Justice</b> A.1.4.6 Contraventions Act Fund	Commence Study of the <i>Contraventions Act</i>	Complete Study of the <i>Contraventions Act</i>	Formative Evaluation of <i>Contraventions Act</i> Fund	Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2007/08.

<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>14. Official Languages Action Plan</b>	<b>A1.4 Access to Justice</b> A1.4.5 Access to Justice in Both Official Languages A1.4.6 <i>Contraventions Act</i> Fund <b>B1.1 Legal Services to Government-at large and the Justice Portfolio</b>	Horizontal RMAF			Canadian Heritage is lead on this horizontal initiative which is still undergoing a process of renewal. Previously, the Action Plan provided an overall framework for a number of initiatives including the <i>Contraventions Act</i> Fund, the Access to Justice in Both Official Languages Fund and Legal Services to Government on Official Languages.
<b>15. Nunavut Court of Justice</b>	<b>A1.4 Access to Justice</b> A1.4.7 Access to Justice Services in the Territories	Complete Evaluation			Evaluation has been completed and is to be submitted to Audit and Evaluation Committee.
<b>16. Justice Policies, Laws and Programs (planning for full evaluation coverage)</b>	<b>A1.1 Aboriginal Justice</b> <b>A1.2 Criminal Justice</b> <b>A1.3 Family Justice</b> <b>A1.4 Access to Justice</b> <b>A1.5 Private International and Public Law</b>	Initiate consultations and planning for evaluation frameworks Commence evaluation frameworks	Complete evaluation frameworks Commence evaluations	Evaluations	Initiate planning to ensure full evaluation coverage of the Department's programs in order to comply with the new TB Evaluation Policy and to support future strategic reviews.
<b>17. Family Violence Initiative</b>	<b>A1.2 Criminal Justice</b> <b>A1.4 Access to Justice</b>	Component studies			Evaluation is a requirement of the <i>Federal Accountability Act</i> and was last conducted in 2002/03. In the future, it will be evaluated as part of the JPIP evaluation in 2010/11.

<b>B1. Services to Government</b>					
<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>18. Legal Risk Management</b>	<b>B1.1 Legal Services to government at large and the Justice Portfolio</b> <b>B1.2 Legal Services to the Aboriginal Affairs Portfolio</b> <b>B1.3 Legal Services to the Business and Regulatory Law Portfolio</b> <b>B1.4 Legal Services to the Central Agencies Portfolio</b> <b>B1.5 Legal Services to the Citizenship, Immigration and Public Safety Portfolio</b> <b>B1.6 Legal Services to the Tax Law Portfolio</b> <b>C1.1 Management and Oversight Services</b> <b>C1.9 Legal Services</b>	Complete Evaluation			Evaluation was originally requested by Audit and Evaluation Committee as an area of departmental priority and will support eventual coverage of the PAA.
<b>19. Mandatory Mediation</b>	<b>B1.1 Legal Services to the government at large and the Justice Portfolio</b>	Analytical Framework Commence Analysis	Interim Results	Complete Analysis	Work is a response to the 2007 Auditor General's Report on Legal Services.

<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>20. Crimes Against Humanity &amp; War Crimes</b>	<b>B1.5 Legal Services to the Citizenship, Immigration and Public Safety Portfolio</b>	Complete Summative Evaluation			Justice is lead for this horizontal initiative which includes RCMP, CIC and CBSA.  Evaluation is a specific TB requirement.
<b>21. Administrative Measures in Support of Refugee Reform</b>	<b>B1.5 Legal Services to the Citizenship, Immigration and Public Safety Portfolio</b>	Complete Evaluation			CIC is lead for this horizontal initiative.  Evaluation is a specific TB requirement.
<b>22. Security Certificates</b>	<b>A1.4 Access to Justice</b> <b>B1.5 Legal Services to the Citizenship, Immigration and Public Safety Portfolio</b>		Interdepartmental Evaluation		Public Safety Canada is lead on this horizontal initiative.  Evaluation is a specific TB requirement, with the evaluation of part of the Justice component being a requirement of the <i>Federal Accountability Act</i> .

Program / Initiative	PAA Subactivity and Subsubactivity	2008/09	2009/10	2010/11	Comments
<b>23. Legal Services to Government (planning for full evaluation coverage)</b>	<b>B1.1 Legal Services to government at large and the Justice Portfolio</b>  <b>B1.2 Legal Services to the Aboriginal Affairs Portfolio</b>  <b>B1.3 Legal Services to the Business and Regulatory Law Portfolio</b>  <b>B1.4 Legal Services to the Central Agencies Portfolio</b>  <b>B1.5 Legal Services to the Citizenship, Immigration and Public Safety Portfolio</b>  <b>B1.6 Legal Services to the Tax Law Portfolio</b>	Initiate consultations and planning for evaluation frameworks  Commence Evaluation Frameworks	Complete Evaluation Frameworks  Commence evaluations	Evaluations	Initiate planning to ensure full evaluation coverage of the Department's programs in order to comply with the new TB Evaluation Policy and to support future strategic reviews.

<b>C1. Internal Services</b>					
<b>Program / Initiative</b>	<b>PAA Subactivity and Subsubactivity</b>	<b>2008/09</b>	<b>2009/10</b>	<b>2010/11</b>	<b>Comments</b>
<b>24. Informal Conflict Management System</b>	<b>C1.6 Human Resources Management</b>	Complete Results Measurement Framework	Formative Evaluation		Support of departmental priority.
<b>25. Justice Leaders for Tomorrow Program</b>	<b>C1.6 Human Resources Management</b>	Complete Evaluation			Support of departmental priority.
<b>26. Legal Excellence Program</b>	<b>C1.6 Human Resources Management</b>	Complete Evaluation			Support of departmental priority.



**APPENDIX A :**  
**Department of Justice Program Evaluation Policy**



## **INTRODUCTION**

The Department of Justice Program Evaluation Policy is built upon the principles of the [Government Evaluation Policy](#) (TBS, April 1, 2001). This policy, in keeping with the new management framework for the Government of Canada, [Results for Canadians](#), reflects the view that public service managers are expected to define anticipated results, continually focus attention towards results achievement, measure performance regularly and objectively, and learn and adjust to improve efficiency and effectiveness.

## **WHAT IS PROGRAM EVALUATION AND HOW IS IT USED?**

Program evaluation<sup>1</sup> employs a set of applied research instruments that provides a systematic, objective assessment of elements of a policy's or program's<sup>2</sup> performance. Program evaluation contributes to strategic/corporate decision-making, innovation and accountability practices at all levels. Its purpose is to provide managers and other stakeholders with timely, relevant, credible and objective information on the continued relevance of government and departmental policies and programs, the impacts they are producing and opportunities for using alternative and more cost-effective policy and programming instruments.

Program evaluation acts as a feedback loop within the policy development process. It serves as a test of the ultimate success of policies by determining whether they accomplished what they set out to and, if not, why not? Program evaluation provides support to policy makers and line managers on matters such as the identification of expected policy and program outcomes, the development of performance frameworks, the monitoring of program and policy implementation, accountability reporting and the establishment of client-oriented service standards.

Program evaluation also provides information mid-way through a program (while the program activities are forming or happening) by examining various processes including the delivery of the program, the quality of its implementation and the assessment of the organizational context, and program inputs.

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<sup>1</sup> The terms "program evaluation" and "evaluation" are used interchangeably in this document.

<sup>2</sup> The term "program" in this document, also refers to/includes "initiatives".

Program evaluation assists in promoting organizational learning within government, for example by communicating benchmarks for the use and management of policy instruments and program delivery mechanisms.

Finally, program evaluation, as one element of the departmental comptrollership function, is conducted in co-operation and co-ordination with other review processes, specifically audit and management-led reviews.

*The Glossary of Terms* at the conclusion of this document provides more detailed information on the components and concepts involved in the evaluation process.

## **POLICY OBJECTIVE**

The objective of the Department of Justice Program Evaluation Policy is to ensure that the Department has credible, timely, strategically focussed, objective and evidence-based information on the performance of its policies and programs.

## **POLICY STATEMENT**

It is the Department of Justice policy that key departmental policies and programs are:

- designed such that they clearly define expected results and embody sound performance measurement, reporting and accountability provisions at their outset; and,
- evaluated strategically and cost effectively in a rigorous and objective manner and that departmental managers use evaluation findings to improve and report on policies and programs.

Key departmental policies and programs are those that involve large expenditures or a high level of risk, those for which the government or the Department requires strategic information, or those in which the central agencies, Parliament or the public has expressed a particular interest.

## **ROLES AND RESPONSIBILITIES**

### **The Deputy Minister**

The Deputy Minister<sup>3</sup> is responsible for:

- ensuring that departmental policies and programs are achieving their intended results;
- appointing and providing support to a senior manager responsible for conducting strategic and cost-effective program evaluations in accordance with government standards;
- approving the Triennial Program Evaluation Plan on an annual basis;
- approving the Departmental Program Evaluation Policy and any changes to it;
- ensuring that evaluation findings, conclusions and recommendations are used in strategic decision-making on policies and programs and in accountability reporting;
- ensuring that evaluation reports are made accessible to the public with minimal formality; and,
- participating in centrally led evaluations as directed by Treasury Board and/or Cabinet.

### **Audit and Evaluation Committee**

The Audit and Evaluation Committee meets periodically to assist the Deputy Minister in discharging his/her responsibilities with respect to audit and program evaluation. It should be noted that, periodically, the Chairperson, as a member of Executive Council, will inform the Executive Council of the activities of the Committee.

In its role with respect to evaluation activities, the Audit and Evaluation Committee is responsible for:

- providing advice and counsel to assist the Deputy Minister in discharging his or her responsibilities for program evaluation;

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<sup>3</sup> In the Treasury Board Evaluation Policy these responsibilities rest with the Deputy Minister. However, the Deputy Minister may delegate these responsibilities to the Audit & Evaluation Committee.

- assisting in ensuring that the roles and functions of program evaluation and the responsibilities of all personnel involved in the evaluation are communicated and understood in the Department;
- advising the Deputy Minister of the implications of issues raised by central agencies and other governmental organizations in relation to program evaluation;
- examining the Department's Program Evaluation Policy periodically and recommending proposals for change;
- reviewing and recommending approval of the Triennial Evaluation Plan on an annual basis;
- reviewing and approving evaluation reports, including recommendations and management responses, and where appropriate bringing issues to the Deputy Minister's attention;
- receiving periodically reports prepared by the Evaluation Division concerning the status of actions taken by managers in response to evaluation reports and problems encountered by managers in implementing recommendations;
- following up with Direct Reports for action plans in cases where there are serious issues requiring follow-up; and,
- informing Executive Council periodically of its activities and submitting the Triennial Program Evaluation Plan to the Council for review and ratification.

### **Direct Reports and Policy and Program Managers**

Direct Reports and Policy and Program Managers are responsible for:

- ensuring that the expected outcomes of new policies and programs are defined in terms amenable to subsequent evaluation (in consultation with Evaluation Division)<sup>4</sup>;
- monitoring the performance of their programs and operations;
- demonstrating program performance and acting on performance information;

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<sup>4</sup> Evaluation staff routinely participate early in the policy and program development process in order to ensure that expected outcomes of policies are defined in terms which are amenable to subsequent evaluation.

- ensuring evaluators (including contract staff) have access to all departmental information that evaluators consider essential for the proper conduct of an evaluation and to interview departmental employees to obtain the required information, to the extent permitted by legislation and government policy.
- preparing RMAFs that provide for appropriate measuring and reporting of results, as related to the purpose of providing resources through transfer payments and where requested to meet Treasury Board needs (Policy and Program Managers in consultation with Evaluation Division);
- approving RMAFs that provide for appropriate measuring and reporting of results, as related to the purpose of providing resources through transfer payments and where requested to meet Treasury Board needs (Direct Reports);
- submitting a management response to the Evaluation Division within 45 working days of receiving the final evaluation report and recommendations. The management response must address each of the recommendations contained in the evaluation report;
- appearing before the Audit and Evaluation Committee to present and discuss management responses to recommendations;
- preparing a communications plan where necessary to address any concerns that may arise from the evaluation report; and,
- ensuring that recommendations, as approved by the Audit and Evaluation Committee, are implemented.

### **Evaluation Division Director and Staff**

The Evaluation Division is responsible for:

- conducting objective evaluations and providing advice and recommendations to the Deputy Minister and senior management on the continued relevance, success and cost-effectiveness of key Department of Justice policies and programs (summative evaluations) and on the effectiveness of the management systems, processes and practices (implementation evaluations);

- recommending measures for improving the policies and programs of the Department and enhancing the accountability of managers for program performance;
- communicating relevant and useful evaluation findings, conclusions and recommendations to program managers, senior management, the Audit and Evaluation Committee and the Deputy Minister in a clear, balanced and timely manner;
- apprising the Audit and Evaluation Committee on a regular basis of the development and approval of RMAFs;
- working with managers to help them enhance the design, delivery and performance measurement of departmental policies and programs by providing advice, support (and management of the process where requested) on the development of RMAFs;
- ensuring consistency in the development of RMAFs across programs;
- providing methodological support and training regarding the development of performance measurement instruments and practices;
- submitting draft annual and triennial evaluation plans to the Audit and Evaluation Committee on an annual basis;
- forwarding copies of all evaluation reports to TBS;
- submitting reports periodically to the Audit and Evaluation Committee concerning the status of actions taken by managers in response to evaluation reports and problems encountered by managers in implementing recommendations;
- informing policy and program managers when approved reports will be posted on the Internet and allowing sufficient time for the preparation of a communications plan; and,
- posting approved reports on the departmental intranet and Internet sites.

## **PUBLIC ACCESS**

Once completed and approved, all reports are posted on the Department's Internet and intranet sites in both official languages within 60 working days after the Audit and Evaluation Committee's approval . The reports are also accessible by the public in accordance with the Treasury Board *Review Policy* and the *Access to Information and Privacy Acts*.

## **OTHER CONSIDERATIONS**

When designing the evaluation approach and especially in the preparation of evaluation questions for the evaluation of any departmental program or policy, special consideration will be given to the relevance and inclusion of questions that examine the differential impacts of programs and policies on employment equity groups, linguistic groups, gender and other relevant diversity groups.

## **REFERENCES**

*Treasury Board Policy on Internal Audit (April 2001)*

*Treasury Board Policy on Evaluation (April 2001)*

*Treasury Board Policy on Transfer Payments (June 2000)*

*Access to Information Act*

*Privacy Act*

*Results for Canadians: A Management Framework for the Government of Canada (March 2000)*

*Official Languages Act*

*Employment Equity Act*

Policies are found on the Treasury Board Internet site: [http://www.tbs-sct.gc.ca/pubs\\_pol](http://www.tbs-sct.gc.ca/pubs_pol)

## **ENQUIRIES**

Enquiries about this policy should be directed to:

Director, Evaluation Division  
Office of Strategic Planning and Performance Management

## GLOSSARY OF TERMS

- **Activities:** An operation or work process internal to an organisation, intended to produce specific outputs (e.g. products or services). Activities are the primary link in the chain through which outcomes are achieved.
- **Goal:** A broad, high-level statement of a desired outcome, in general terms, to be achieved over an unspecified period of time. A goal should reflect an organization's "Mission".
- **Logic Model:** A graphic representation of the program "theory" or "action". It consists of a logical chain of if-then relationships; if  $x$  occurs, then  $y$  will occur, that shows the linkage from the activities through the sequence of outcomes
- **Mission:** A statement identifying an organization's business, purpose and reason for existence – critical areas within which goals, objectives and standards should be set.
- **Objective:** A statement of specific results to be achieved over a specified period of time. Objectives are generally lower-level and shorter term than a goal.
- **Outcome/Result:** The effect of the outputs of a program on client or target groups. In other words, outcomes/results are the changes a program or policy hopes to achieve. Outcomes/Results focus on what the program or policy makes happen rather than what it does (i.e. the intended results of the project, not the process of achieving them). They may be described as immediate, intermediate or final, direct or indirect, intended or unintended.
- **Output:** A unit of service provided, product provided, or people served by a program or policy, or a count of goods and services produced.
- **Performance Measurement:** Consists of tracking program performance against goals over time to provide an assessment of a program's performance, including measures of productivity, effectiveness, quality, and timeliness. Performance Measurement can help provide objective perspectives for defending or expanding a program, rather than allowing it to suffer from relatively arbitrary or habitual decisions. Ongoing monitoring systems, which emphasize indicators and analysis linked to improvement, can help track and improve results

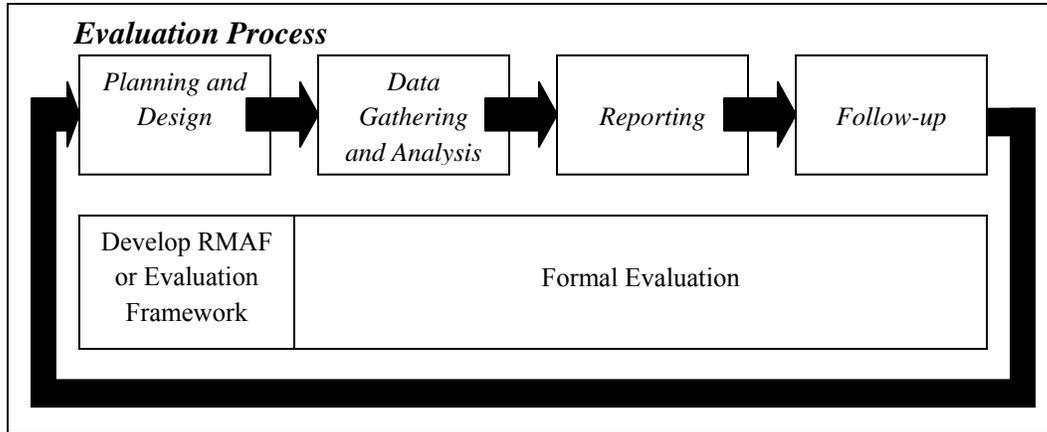
over time and can also prove to be a valuable source of information in the formal evaluation process.

- **Program evaluation:** Employs a set of applied research instruments to provide a systematic, objective assessment of elements of a program's performance. This information provides managers and other stakeholders with timely, relevant, credible and objective information on the continued relevance of government and departmental policies and programs, the impacts they are producing and opportunities for using alternative and more cost-effective policy and programming instruments. Depending on the timing of the evaluation, it can consist of:
  - a *formative, implementation or mid-term evaluation* which provides information mid-way through a program by examining the delivery of the program, the quality of its implementation and the assessment of the organizational context, personnel procedures and inputs; or
  - a *summative or impact evaluation* which determines the overall impact a program has had by examining the effects or outcomes of programs.

Summative Evaluations focus on three primary concerns:

- *issues of relevance*, or more aptly whether or not program or policy instruments , continue to address strategic priorities and/or actual needs, i.e. the extent to which the objectives and mandate of the program or policy are still relevant and the extent to which the activities and outputs of a program or policy are consistent with the mandate and plausibly linked to the attainment of stated objectives and intended impacts;
- *issues of success*, including the degree to which program or policy instruments are meeting stated objectives (i.e. impacts), and without unwarranted, undesirable impacts; and
- *issues of cost-effectiveness* such as whether the most efficient means are used to achieve objectives relative to alternative approaches including whether another level of government could assume responsibility for the policy or program instrument.

- **Program Evaluation Process:** Consists of four stages: planning and design; data gathering and analysis; reporting; and follow-up.



➤ *Stage 1: Planning Stage*

The planning stage consists of developing plans for the approach to the evaluation of existing, new or substantially altered programs or policies. The planning stage involves intensive consultations with program managers, clients and other interested stakeholders. It is important that this be done at the beginning of a new program or policy or as early on as possible in the development of a program or policy to ensure that the objectives are stated in a manner that allows for the ready identification of performance indicators and the systematic collection of performance information required for organizational learning and management decision-making. As part of the planning stage, evaluation undertakes an analysis of available data to determine the degree to which a range of issues can be addressed using existing data as well as the need for the collection of new data elements. The planning stage culminates in the production of a RMAF document (or an evaluation framework, assessment framework or evaluation workplan).

➤ *Stage 2: Data Gathering and Analysis*

The data gathering and analysis stage involves the actual fieldwork for the completion of the evaluation project as well as the analysis of the findings from the various sources, including the monitoring of ongoing performance measures. For more complex projects, the data gathering and analysis stage may extend over more than one fiscal year.

➤ *Stage 3 : Reporting Stage*

The reporting stage consists of reporting evaluation findings to the Deputy Minister, departmental managers, central agencies, Parliament and ultimately the public.

➤ *Stage 4 : Follow-up*

Follow-up activities involve the formulation of recommendations for changes where warranted in terms of any of the areas listed above. The Program area being evaluated is required to prepare a management response. The Evaluation Division is available to assist program managers to formulate action plans as part of their management response to ameliorate any outstanding issues based on evaluation findings. This follow-up evaluation service can also include assistance in monitoring the implementation of the action plan.

- ***Results-based Management and Accountability Framework (RMAF)***: A blueprint for managers to help them focus on measuring and reporting on outcomes throughout the lifecycle of a policy or program. RMAFs are a requirement of the [Treasury Board Policy on Transfer Payments](#) and are commonly required by Treasury Board in the approval of new or renewed programs. RMAFs are also called for under the Treasury Board Evaluation Policy whenever they make sense for the purpose of measuring and reporting on results. RMAFs generally include:
  - a clear statement of the roles and responsibilities of the main partners involved in delivering the policy or program;
  - a clear articulation of the resources to be applied and the objectives, activities, outputs and key results/outcomes to be achieved, along with their linkages (see Glossary of Terms for a description of each of these terms);
  - an outline of the performance measurement strategy, including costs and performance information (key indicators) that will be tracked;
  - the schedule of major evaluation work expected to be done; and
  - an outline of the reporting provisions as appropriate for funding recipients and those for the Department.

RMAFs are a useful management tool for significant policies or programs, regardless of whether they are produced in compliance with an "official" government requirement. However, when an RMAF is not specifically required by TB and where a manager nonetheless wishes to have a framework to assist in the evaluation of a program or policy, it is sometimes called an evaluation framework, assessment framework or evaluation workplan. Essentially, these terms are equivalent to an RMAF but have more flexibility in their components (because they are not required by Treasury Board).



**APPENDIX B :**  
**Report on Performance of Evaluation Activities 2007-2008**



## REPORT ON PERFORMANCE

### Evaluation Activities – 2007/08

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Aboriginal Justice Strategy - Summative Evaluation - RMAF	√		√	
Youth Justice Renewal Initiative - Evaluation Frameworks		√		
Victims of Crime Initiative - Formative Evaluation	√			
Anti-Racism Initiative - Formative Evaluation	√			Canadian Heritage lead

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Unified Family Courts - Summative Evaluation		√		
Child-Centered Family Law Strategy - Summative Evaluation	√			
<i>Contraventions Act</i> Fund - Summative Evaluation			√	
Access to Justice in Both Official Languages Fund - Summative Evaluation			√	
Nunavut Court of Justice - Formative Evaluation	√			

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Aboriginal Courtwork Program - Formative Evaluation - Summative Evaluation		√	√	
Legal Aid Program - RMAF	√			
Legal Risk Management - Formative Evaluation		√		
National Anti-Drug Strategy - RMAF	√			Justice lead on this interdepartmental initiative
Public Safety and Anti-Terrorism (PSAT) Initiative - Summative Evaluation			√	

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Informal Conflict Management System (ICMS) - RMAF	√			
War Crimes - Evaluation		√		
Security Certificates RMAF	√			Public Safety lead
Early Resolution Pilot - Evaluation Framework	√			

**APPENDIX C:**  
**Terms of Reference for the Departmental Audit and Evaluation Committee**



## **INTRODUCTION**

The Audit and Evaluation Committee meets bi-monthly or as required at the call of the Chair.

## **ROLE**

The Audit and Evaluation Committee assists the Deputy Minister to discharge his responsibilities with respect to the government's internal audit and evaluation policies.

## **MEMBERSHIP**

Membership of the Committee is determined by the Deputy Minister and is intended to be representative of the Department. The current composition of the Committee includes:

Chair: **John H. Sims**, Deputy Minister

Secretary: **Alyson MacLean**, Senior Evaluation Manager, Evaluation Division

Member: **Jodi Redmond**, Director General, Communications

Member: **Barbara Merriam**, Acting Director General, Programs Branch

Member: **Daniel Schnob**, Director General, Finance

Member: **Terry McAuley**, Acting Assistant Deputy Minister, Management Sector

Member: **John Mark Keyes**, Chief Legislative Counsel, Legislative Services

Member: **Joel Oliver**, A/Director General, Strategic Planning and Performance Management

Resource Person: **Paul Wheatley**, Director, Evaluation Division

Resource Person: **Steve Samuels**, CAE, Internal Audit Branch

Resource Person: **Lynne Lajoie**, Director, Internal Audit Branch

## **RESPONSIBILITIES**

The key responsibilities of the Committee are to:

- a. Assist in ensuring that the roles and functions of internal audit and programme evaluation and the responsibilities of all personnel involved in those processes are communicated and understood in the Department.

- b. Advise the Deputy Minister of the implications of issues raised by central agencies and other governmental organizations in relation to internal audit and programme evaluation.
- c. Examine periodically the Department's internal audit and programme evaluation policies and, if required, make proposals for change to the Deputy Minister.
- d. Examine annually the internal audit and programme evaluation plans and make recommendations to the Deputy Minister concerning these plans. In reviewing the plans, the Committee will pay special attention to departmental and central agency priorities, high risk and high expenditure areas, the needs of departmental managers, the potential impact of the projects and the availability of human and financial resources.
- e. Advise the Deputy Minister, when required, with respect to the findings, recommendations and management responses contained in audit and evaluation reports.
- f. Receive periodically reports prepared by the Internal Audit and Programme Evaluation sections concerning the status of actions taken by managers in response to audit and evaluation reports and problems encountered by managers in implementing recommendations.
- g. Advise the Deputy Minister, as required, with respect to the findings contained in external audit reports, such as the Auditor General's reports.