



# **TRIENNIAL EVALUATION PLAN 2007-2010**

June 2007 (Final Version)

Evaluation Division



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## 1. INTRODUCTION

This document provides an outline of the program evaluation activities planned by the Program Evaluation Division for the 2007/2008 to 2009/2010 fiscal years.

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

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 evaluation 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 mechanism 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.

### **Changing Context for Evaluation**

The climate within 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. There is a call for evaluation to be much more involved in the

government-wide expenditure review process and to provide timely and objective information on the performance, relevance and cost-effectiveness of programs that could result in the reallocation of resources. 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 is the ability to attract 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, 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, 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 2007-08. It is within this context that TBS is currently embarking on a process to revise the government-wide evaluation policy and so the evaluation function is likely to be in a state of transition in 2007-08.

### **Strategic Context**

Evaluation activities outlined in this document are intended to provide timely 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 2006-2007 and the outstanding commitments that have been identified in existing RMAFs and Evaluation Frameworks. The details of evaluation activities undertaken in 2006-2007 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 (MAF).

In May, 2007 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:** TBS, the OAG or the Public Accounts Committee may have requested or required a specific evaluation.
- **Legislative Requirement:** Certain DOJ 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 for the past three years 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 and have program evaluation requirements that are identified in the Results-based Management and Accountability Frameworks (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 2007-08, 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 Results-based Management and Accountability Framework (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. TB has indicated that this is an area that DOJ needs to strengthen. As a result, the Evaluation Division has begun including Management Action Plans with the evaluations that are submitted to Audit and Evaluation Committee. Periodic and systematic monitoring is carried out on the implementation of these action plans.

#### **4. TRIENNIAL EVALUATION PLAN 2007-2010**

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 DPR for planning, and reporting purposes because this is the same framework that will be used for these exercises.

**Triennial Evaluation Plan 2007-2010**  
**Strategic Outcome A**

Strategic Outcome	A. A fair, relevant and accessible justice system that reflects Canadian values					
Program / Initiative	PAA Subactivity	Priority	2007-2008	2008-2009	2009-2010	Comments
1. Aboriginal Justice Strategy	A1.1 Developing Aboriginal justice policies & laws	T.B.	Complete Summative Evaluation	Substudies	Commence Formative Evaluation	
	A2.1 Providing funding for Aboriginal justice programs		RMAF for renewed Strategy Complete Substudies			
2. Youth Justice Initiative (YJI)	A1.2 Developing criminal justice policies and laws for adults, youth and children	T.B.	Frameworks	Summative Evaluation of the <i>Youth Criminal Justice Act</i> (tentative)	Summative Evaluation of the Youth Justice Fund	
	A2.2 Providing funding for criminal justice programs for adults, youth and children				Summative Evaluation of the Youth Justice Services Funding Program and Intensive Rehabilitation and Custody Supervision (IRCS)	
3. Federal Victims Strategy	A1.2 Developing criminal justice policies and laws for adults, youth and children	T.B.	Formative Evaluation	Substudies	Commence Summative Evaluation	
	A2.2 Providing funding for criminal justice programs for adults, youth and children		Substudies			

<b>Program / Initiative</b>	<b>PAA Subactivity</b>	<b>Priority</b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>Comments</b>
<b>4. Canada's Action Plan Against Racism</b>	<b>A1.2 Developing criminal justice policies and laws for adults, youth and Children</b>	T.B.		Commence Summative Evaluation	Complete Summative Evaluation	Horizontal Initiative Lead: Canadian Heritage
	<b>A2.2 Providing funding for criminal justice programs for adults, youth and children</b>					
<b>5. Unified Family Court (UFC)</b>	<b>A1.3 Developing family justice policies and laws</b>	T.B.	Continue Summative Evaluation	Complete Summative Evaluation		
<b>6. Child Centred Family Law Strategy</b>	<b>A1.3 Developing family justice policies and laws</b>	T.B.	Complete Summative Evaluation	RMAF (tentative)		
	<b>A2.3 Providing funding for family justice programs</b>					
<b>7. Contraventions Act Fund</b>	<b>A1.4 Developing policies and laws that promote an accessible justice system</b>	T.B.	Complete Summative Evaluation	Develop RMAF (Tentative)		
	<b>A2.4 Providing funding for programs that promote an accessible justice system</b>					
<b>8. Access to Justice in Both Official Languages Support Fund</b>	<b>A1.4 Developing policies and laws that promote an accessible justice system</b>	T.B.	Complete Summative Evaluation	RMAF (tentative)		
	<b>A2.4 Providing funding for programs that promote an accessible justice system</b>					

<b>Program / Initiative</b>	<b>PAA Subactivity</b>	<b>Priority</b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>Comments</b>
<b>9. Official Languages Action Plan</b>	<p><b>A1.4</b> Developing policies and laws that promote an accessible justice system</p> <p><b>A2.4</b> Providing funding for programs that promote an accessible justice system</p> <p>Providing legal advisory and litigation and legislative services to:</p> <p><b>B1.1</b> the government at large including DOJ</p>	T.B.	Contribute to Interdepartmental Roll-Up Evaluation			<p>Interdepartmental Lead: Canadian Heritage</p> <p>Note: Crosses two PAA activity areas</p>
<b>10. Nunavut Court of Justice</b>	<b>A1.4</b> Developing policies and laws that promote an accessible justice system	T.B.	Complete Formative Evaluation			
<b>11. Justice Partnership &amp; Innovation Program (JPIP)</b>	<b>A2.4</b> Providing funding for programs that promote an accessible justice system	T.B.				Summative Evaluation in 2010-2011
<b>12. Aboriginal Courtwork Program</b>	<b>A2.1</b> Providing funding for Aboriginal justice programs	T.B.	<p>Complete Formative Evaluation</p> <p>Complete Summative Evaluation</p> <p>Revise RMAF</p>			
<b>13. Family Violence Initiative</b>	<p><b>A1.2</b> Developing criminal justice policies and laws for adults, youth and Children</p> <p><b>A2.2</b> Providing funding for criminal justice programs for adults, youth and children</p>	T.B.	Summative Evaluation (DOJ Component ) (tentative)			Horizontal Initiative Lead: Health Canada

<b>Program / Initiative</b>	<b>PAA Subactivity</b>	<b>Priority</b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>Comments</b>
<b>14. Legal Aid Program</b>	<b>A1.4 Developing policies and laws that promote an accessible justice system</b>	T.B.	RMAF	Substudies	Substudies	Partnered with CIC for Immigration and Refugee component
	<b>A2.4 Providing funding for programs that promote an accessible justice system</b>					
<b>15. National Anti-Drug Strategy (NADS)</b>	<b>A1.2 Developing criminal justice policies and laws for adults, youth and Children</b>	T.B.	RMAF Commence Substudies of Drug Treatment Courts	Complete Substudies of Drug Treatment Courts	NADS Interdepartmental Summative Evaluation (tentative)	Horizontal Initiative Lead : Justice
	<b>A2.2 Providing funding for criminal justice programs for adults, youth and children</b>					
<b>16. Measures to Combat Organized Crime (MCOC)</b>	<b>A1.2 Developing criminal justice policies and laws for adults, youth and children</b>	T.B.	Complete Interdepartmental Summative Evaluation			Horizontal Initiative Lead: PSEPC
<b>17. Integrated Market Enforcement Teams (IMETs)</b>	<b>A1.2 Developing criminal justice policies and laws for adults, youth and children</b>	TB	Complete Interdepartmental Summative Evaluation			Horizontal Initiative Lead: PSEPC
	<b>A2.2 Providing funding for criminal justice programs for adults, youth and children</b>					

**Triennial Evaluation Plan 2007-2010  
Strategic Outcome B**

Strategic Outcome	<b>B. A federal government that is supported by effective and responsive legal services</b>					
Program / Initiative	PAA Subactivity	Priority	2007-2008	2008-2009	2009-2010	Comments
18. Legal Risk Management	<b>Providing legal advisory and litigation and legislative services to:</b> <b>B1.1 the government at large including DOJ</b> <b>B1.2 clients within the Aboriginal Affairs Portfolio</b> <b>B1.3 clients within the Business and Regulatory Law Portfolio</b> <b>B1.4 clients within the Central Agencies Portfolio</b> <b>B1.5 clients within the Citizenship, Immigration and Public Safety Portfolio</b> <b>B1.6 clients within the Tax Law Portfolio</b>	Corporate & Legal Risk	Complete Formative Evaluation			AEC Request

<b>Program / Initiative</b>	<b>PAA Subactivity</b>	<b>Priority</b>	<b>2007-2008</b>	<b>2008-2009</b>	<b>2009-2010</b>	<b>Comments</b>
<b>19. Public Safety and Anti-Terrorism</b>	<p><b>A1.2 Developing criminal justice policies and laws for adults, youth and Children</b></p> <p><b>A1.4 Developing policies and laws that promote an accessible justice system</b></p> <p><b>A2.2 Providing funding for criminal justice programs for adults, youth and children</b></p> <p><b>A2.4 Providing funding for programs that promote an accessible justice system</b></p> <p><b>Providing legal advisory and litigation and legislative services to:</b></p> <p><b>B1.1 the government at large including DOJ</b></p> <p><b>B1.3 clients within the Business and Regulatory Law Portfolio</b></p> <p><b>B1.4 clients within the Central Agencies Portfolio</b></p> <p><b>B1.5 clients within the Citizenship, Immigration and Public Safety Portfolio</b></p>	T.B.	Complete Summative Evaluation (DOJ component)			<p>TBS is co-ordinating all Departments</p> <p>This evaluation covers two PAA activity areas.</p>
<b>20. Early Resolution Option</b>	<p><b>Providing legal advisory and litigation and legislative services to:</b></p> <p><b>B1.1 the government at large including DOJ</b></p>	C.P.	Complete Framework	Substudies (tentative)	Substudies (tentative)	Five-year Pilot

Program / Initiative	PAA Subactivity	Priority	2007-2008	2008-2009	2009-2010	Comments
21. Crimes Against Humanity & War Crimes	B1.5 Providing legal advisory and litigation and legislative services to clients within the Citizenship, Immigration and Public Safety Portfolio	T.B.	Commence Summative Evaluation	Complete Summative Evaluation		Horizontal Initiative Lead: Justice  RMAF completed in March 2006

**Triennial Evaluation Plan 2007-2010**  
**Strategic Outcome C**

Strategic Outcome	C. Managing the Department and providing Common Services					
Program / Initiative	PAA Subactivity	Priority	2007-2008	2008-2009	2009-2010	Comments
22. Informal Conflict Management System (ICMS)	C1.6 Providing human resource services	Corporate Priority	Complete Results Measurement Framework	Implementation Evaluation		Impact Evaluation scheduled for 2010-2011
23. Justice Leaders for Tomorrow Programme	C1.6 Providing human resource services	Corporate Priority	Complete Framework	Evaluation		

**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](#) (Treasury Board Secretariat, 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 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 Audit and Evaluation Committee.

In its role with respect to evaluation activities, the Audit and Evaluation Committee (AEC) 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 reports periodically 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 Results-based Management and Accountability Frameworks (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 Results-based Management and Accountability Frameworks 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 AEC to present and discuss management responses to recommendations;
- preparing a communication's 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 & Evaluation Committee on a regular basis of the development and approval of Results-based Management and Accountability Frameworks;
- 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 Results-based Management and Accountability Frameworks;
- ensuring consistency in the development of Results-based Management and Accountability Frameworks 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 Treasury Board Secretariat; and
  - 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 of 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 AEC 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 as 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

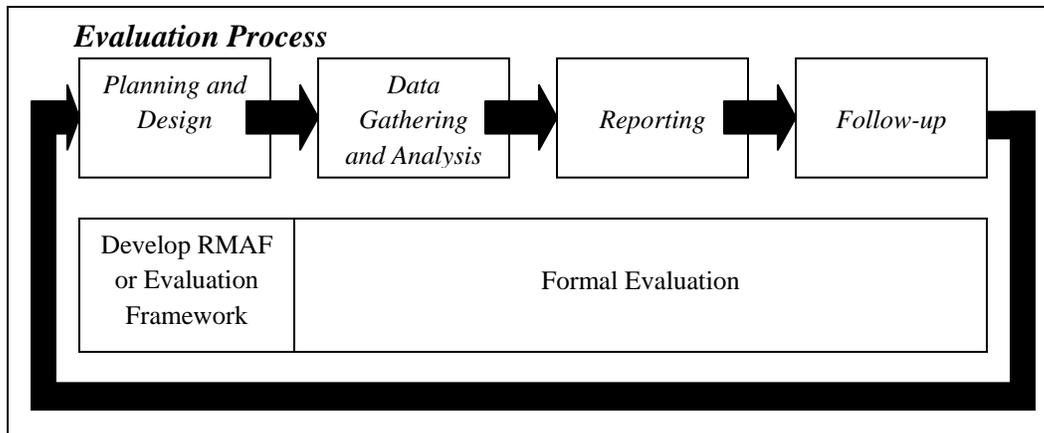
over time and can also prove to be a valuable source of information in the formal evaluation process.

- **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 Results-based Management and Accountability Framework (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 four 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 (TB) in the approval of new or renewed programs. RMAFs are also called for under the TB 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, including

*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 TB).*

**APPENDIX B :**  
**Report on Performance of Evaluation Activities 2006-2007**

## REPORT ON PERFORMANCE

### Evaluation Activities – 2006/07

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Aboriginal Justice Strategy - Recidivism Study - Case Study Report - Summative Evaluation - RMAF	√ √ √	√		
Youth Justice Renewal Initiative - Summative Evaluation			√	RMAF has also been completed
Victims of Crime Initiative - Substudies		√		
Anti-Racism Initiative - Interdepartmental evaluability assessment	√			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		√		
Family Law Assistance Services - Summative Evaluation			√	
<i>Contraventions Act</i> Fund - Formative Evaluation - Summative Evaluation		√	√	
Access to Justice in Both Official Languages Fund - Summative Evaluation		√		

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Nunavut Court of Justice - Formative Evaluation	√			
Justice Partnership and Innovation Fund - Summative Evaluation			√	RMAF has also been completed
Aboriginal Courtwork Program - Formative Evaluation - Summative Evaluation	√	√		
Legal Aid Program - Summative Evaluation			√	
Legal Risk Management - Formative Evaluation		√		Evaluation delayed due to staffing constraints and to allow for broad departmental consultation
Canada Drug Strategy - Formative Evaluation		√		Health Canada has been lead on this interdepartmental initiative

Evaluation Activity	Status – Complete	Status – Ongoing	Approved by A&E	Comments
Public Safety and Anti-Terrorism (PSAT) Initiative - Summative Evaluation	√			
Measures to Combat Organized Crime - Summative Evaluation	√			PSEPC is lead on this interdepartmental initiative
Informal Conflict Management System (ICMS) - RMAF	√			
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: Paul Wheatley, Director, Evaluation Division

Member: Sheila Bird, Director General, Communications Branch

Member: Michel Bouchard, Associate Deputy Minister

Member: Michelle Gosselin, Director General, Policy Integration and Coordination Section

Member: Daniel Schnob, Director General, Finance, Administration and Programs Directorate

Member: Virginia McRae, Executive Director, Strategic Planning and Performance Management

Member: Terry McAuley, Senior Regional Director, Ontario Regional Office

Member: John Mark Keyes, Chief Legislative Counsel

Resource Person: Steve Samuels, Director, Audit and Management Studies

Resource Person: Paul Wheatley, Director, Evaluation Division

## **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.