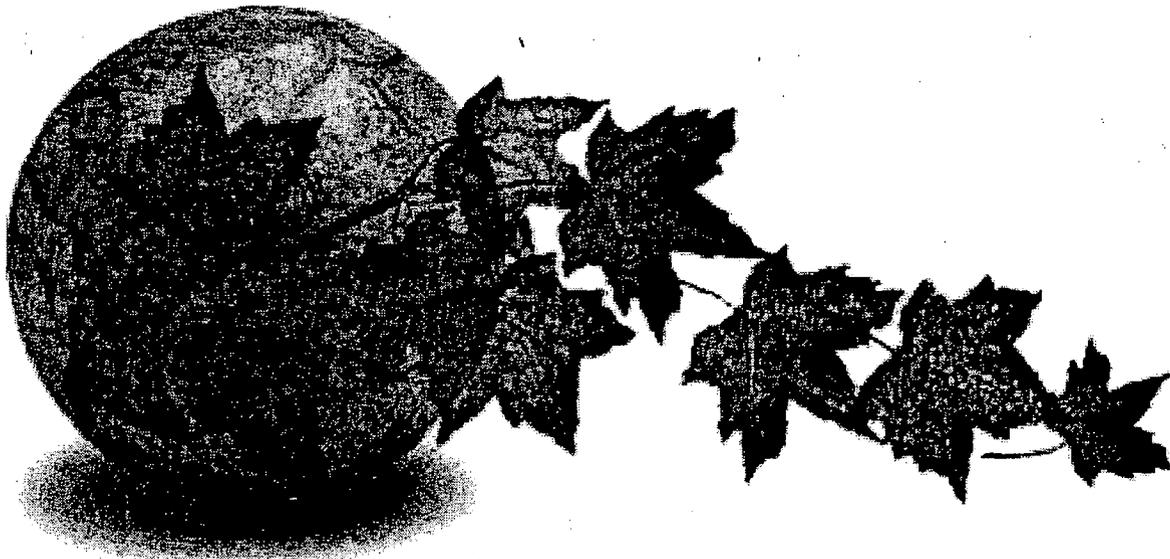


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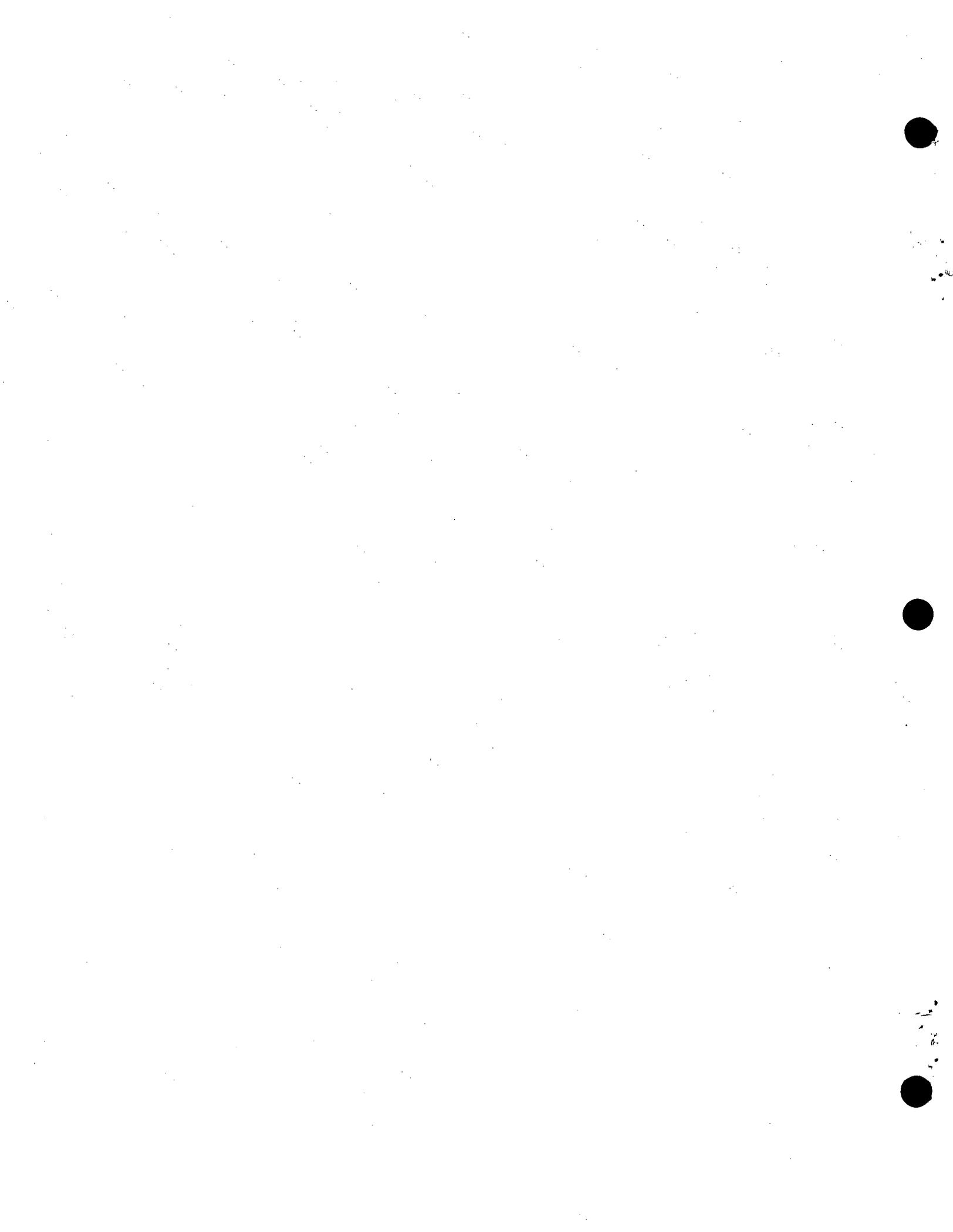


**Department of Foreign Affairs and International Trade  
Ministère des Affaires étrangères et du Commerce international**

**Human Resources Strategy  
For the Department of Foreign Affairs  
and International Trade  
SECOND CONSULTATION PAPER**

**DRAFT 2.2**

*October 1, 1998*



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## **DEPUTIES' INTRODUCTION**

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Our Human Resources Strategy reflects our commitment to putting in place the reforms needed to ensure that we attract and retain the people we need to make an important contribution to Canada's future. After years of program review, salary freezes and limited promotions, we know that there is much to be done. We believe this strategy must improve our ability to provide meaningful career development opportunities for all employees. We must recruit the right people at the right time, give them the training they need and ensure that their skills are fully utilized in the right assignments. We must do our best to recognize and reward their contribution in the pay and benefits they receive and through regular advancement.

DFAIT's first human resources strategy, which we issued in April 1997, has been the blueprint for organizational change during this past year. As you will read in the pages ahead, we have made real progress in implementing many of our promises. We also have a better understanding of what further work needs to be done. This second version of the HR strategy, built on extensive consultations with many of you and with business partners outside the department, covers issues which relate directly to every employee of this department. It is structured quite differently from its predecessor and contains a great deal of new material. The Overview section describes how the 1998 strategy is organised.

There are several key initiatives in this strategy which will touch every one of our employees in the coming months; these are significant moves to improve our human resources management, and they deserve your careful attention.

For our Canada-based staff they are as follows:

- 1) the review of our rotationality system,
- 2) the implementation of the Universal Classification Standard (UCS), and
- 3) the refinement and extension of our competency-based human resources management system.

For our locally-engaged staff, these are the first steps towards fulfilling our commitment to improve the management of your community and they are as follows:

- 1) the review of your role paralleling the rotationality review,
- 2) the reform of our compensation determination methodology, and
- 3) the elaboration of an integrated training strategy.

Notwithstanding the fact that the rotationality review is founded on our conviction that rotationality (because of the flexibility it provides) is a keystone of DFAIT's HR policy framework, it is not only concerned with rotational employees. The review also seeks to improve career opportunities for non-rotational employees, who are equally critical to our organisational effectiveness. The development of a career path for non-rotational employees and the provision for lateral entry are key elements of a healthy Human Resources Strategy for this Department. Through this review we will define the roles of all rotational and non-rotational Canada-based staff, while we clarify the role of locally-engaged staff through the companion review.

Implementation of the Universal Classification Standard (UCS) is now upon us. It is a government-wide exercise that is expected to produce a single universal classification standard, free of gender bias, to replace the individual classification standards which now exist for each of the 72 Public Service occupational groups. The simplification of our classification system will streamline many aspects of our staffing, development and compensation programs and should eliminate a number of long-standing inequalities in our workplace. We are fully committed to this exercise and have dedicated substantial resources to ensuring that it is done properly.

The basic competencies of individual employees are the building blocks of departmental capability. Our work on the HR strategy has convinced us that the development of a full competency-based HR system is central to many of our planned reforms. Competency-based management is a new approach which links human resources activities (resourcing, learning and development, performance management and human resource planning) to a competency profile. We believe that such a system will strengthen the alignment of HR processes with departmental and Public Service strategic business objectives; promote a more open, more transparent culture; improve our ability to manage rotational and non-rotational staff; and involve employees more directly in planning their careers. In July, we launched a pilot project to build and test the competency-based HR system we require.

We have started with a few key initiatives but there are many parallel projects under way and these are summarized in the action plan in Appendix B. We are committed to keeping you informed and will report to you annually on implementation progress.

You are at the heart of the HR strategy. Without your willing contribution it cannot succeed. You can influence the course of our department and construct an organization that will build on our tradition of excellence well into the next century. This remains a living strategy - one that will continue to evolve over the years to come through close consultation with all of you. It is very much a work in progress.

We will be seeking your counsel and active support in a variety of ways throughout the year. Many of you have already helped make the strategy better through your comments and engagement. We ask you to sustain and extend that involvement as we move ahead.

Robert G. Wright  
Deputy Minister for International Trade

Donald Campbell  
Deputy Minister of Foreign Affairs



## **EXECUTIVE SUMMARY**

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DFAIT's first human resources strategy issued in April 1997 was both a consultation document and a blueprint for organisational change. This second version of the HR strategy, built on extensive consultations within and without the Department, completes our preparations for sustained action. While planning will continue through our integrated business, HR and information management planning cycle, we are now concentrating on implementation. The focus of consultation with stakeholders will shift from strategic direction to action. Consequently, this summary is a report on progress, the final version of our HR strategy and the beginnings of a detailed action plan to put that strategy into place.

### ***PROGRESS TO DATE***

During our discussions with staff around the world last spring on the consultation paper, we encountered a deep scepticism about management commitment across the department, across all streams and at all levels. The feedback from employees was: "Great plan - sounds good - now convince us that you will deliver on your promises." In the past year, delivery has begun in earnest.

### **LOCALLY-ENGAGED STAFF (LES)**

All outstanding missions (US missions and three others) have now been converted to the new global LES classification standard, as promised. We are now implementing the new compensation determination system for LES that we promised last year. A new learning strategy has been developed and approved for LES. In consequence, in FY 1998-99, there will be an unprecedented level of training available to LES coinciding with major projects which will unfold during that year. In effect, the introduction of the Integrated Management System, the renewal of the Signet platform, and the implementation of the Performance Measurement Initiative will require major training blitzes involving most LES to varying degrees. The Consular training program and the individual professional training program will continue to be available to LES. During this important transition year, the foundation will be laid at headquarters and abroad for the progressive implementation of the proposed integrated LES training strategy over the next three years. This will include the Virtual Campus, which should make modest beginnings in FY 98/99, offering LES the possibility of accessing some form of training using self-paced learning technologies and methodologies within the SIGNET environment. In 1997, we confirmed our co-ownership with the Treasury Board Secretariat of the pension/social security/insurance policy and programs for LES and our policy and administrative responsibilities therefor. We also formed the LES pensions and insurance division (SPSL) with a dedicated staff of six to improve both our management of LES pension and insurance plans and the quality of our service to LES around the world. We also committed additional resources to improving the HR policy functions for LES.



## NON-ROTATIONAL STAFF

The rotationality review described below specifically addresses the promise in last year's strategy to clarify the role of non-rotational and rotational employees, to regularise non-rotational access to rotational groups and to develop sound career management for non-rotationals. The lateral entry paper proposes an open and transparent system for the fair allocation of opportunities within the rotational pool to qualified non-rotational employees. Our commitment is evidenced by the recent promotion of several non-rotational employees to the rotational EX pool. La Relève task forces, with significant departmental involvement, for certain non-rotational communities (communications, property and materiel management and information technology) have produced improvements in recruitment, training and career management for these communities.

## ROTATIONAL STAFF

The new Foreign Service Development Program (FSDP) we promised has been successfully negotiated with PAFSO and central agencies - this year's recruits were brought in under this program. The FSDP is the first part of FS restructuring, resolving several long-standing issues in the areas of compensation, promotion, career development, official language capability and connection with the broader Public Service. We have taken a departmental position, supported by the community, that the Management/Consular Group should become part of the FS group during conversion to the Universal Classification Standard. In the interim we have fulfilled our promise to complete a classification review of stream positions which resulted in significant upgrading.

## *THE OBJECTIVES OF DFAIT'S HR STRATEGY*

DFAIT's human resources strategy is designed to make the department's business plan work. It has three main objectives:

1. to build on the existing departmental HR management foundation a comprehensive integrative HR framework for:
  - defining how we can best align our people with our business purposes,
  - assessing the interdependencies of the HR activities we need to accomplish that alignment, and
  - designing, and ranking our HR activities to make sure we are doing the right things in the right way at the right time for the greatest long-term return on our HR investments;
2. to identify for ourselves and central agencies the urgent HR issues critical to the fulfilment of our departmental mandate; and
3. to help DFAIT contribute to and benefit from the central agency agenda for the full Public Service.



## **CONCEPTUAL FRAMEWORK**

This second version of the DFAIT HR strategy has three components:

1. **A corporate HR strategy** that captures the systemic challenges, key strategic themes, and leadership focus of the full department for the planning period. Its purpose is to explain how all of the change activity within DFAIT should be directed towards departmental strategic business objectives.
2. **Bureaux HR strategies** that are aligned with the corporate HR strategy and explain how the key themes will be used in support of each bureau's business.
3. **Community HR strategies** that are aligned with the corporate HR strategy and explain how the key themes will be managed in relation to each departmental community.

In most cases, a bureau's plan will cross several communities, and a community's plan will involve several bureau plans.

## **STRUCTURE OF THE CORPORATE HR STRATEGY**

### **BUSINESS STRATEGY**

As the HR strategy's principal purpose is to enable DFAIT to make its business strategy work, it opens with a review of the three key management themes of our current three-year strategic business plan: planning and priority setting, resource management and horizontal policy management. These themes establish the critical organisational requirements our HR strategy must be designed to meet.

### **STRATEGIC HR GOALS**

We have found that many of the promises in the HR strategy are vitally connected and that their cumulative ultimate effect, if all were pursued successfully, would be the achievement of three broad strategic goals directly related to the management challenges articulated in our business strategy:

#### ***Clear, Consistent, Unified, Supportive Leadership***

Our primary strategic HR goal is improved leadership in the broadest sense. It is the daily behaviours of the senior people in the department that tell our employees what we truly value. Accordingly, clear, consistent, unified and supportive leadership is the sine qua non of our planned HR reforms. We examine five dimensions of leadership:

- people management, including ownership of change, championing of change, and modelling desired behaviours,
- ethics and values,
- comptrollership and performance management,
- organising for leadership, and
- communications.



### ***Strengthened Organisational Capability***

Our second strategic HR goal is strengthened organisational capacity. By this we mean that DFAIT will have the breadth and depth of competencies in aggregate to master the business challenges of the day, and that these will grow and adapt as our challenges change. We mean that our management systems will properly align our people with our business purpose, encouraging and reinforcing the kinds of behaviours that will sustain and extend our tradition of organisational excellence. We also mean that these aligning systems will be designed and managed consistently with our core values. Finally, we mean that our strategic investments in planning, training and development and compensation will be well thought through, well implemented and well rewarded over time through consistently-strong business results. We examine five areas we need to address to strengthen our organisational capability:

- workforce planning, including our rotational, appointment-to-level, stream management and career management systems,
- extension and refinement of our competency-based HR management regime,
- streamlined classification,
- training and development, and
- compensation.

### ***An Enabling Culture***

Our third strategic HR goal is an enabling culture. By this we mean that DFAIT will have a working environment and a set of living values shared and manifested by all employees, that allow every one of us to make our very best contribution to Canada and the world through our work. We mean that the structures, information management and technology platform, and the management style of the department will encourage people to work with each other across functional and classification boundaries, and that teamwork and collaboration for the collective corporate good will be rewarded through our compensation and recognition programs. We mean that the demographic composition of the DFAIT workforce will reflect the diversity of the Canadian people, and that our employees will feel free to use the official language of their choice in the workplace. We mean that human rights will be as respected in our organisation as we advocate that they should be respected around the globe. We mean that the difficulties of rotational service abroad for employees and their families will be minimised through supportive policies and programs. We examine four areas we need to address to build an enabling culture:

- dismantling barriers to an inclusive culture,
- building a representative workforce through official languages, employment equity and youth programs,
- improving information management, and
- supporting rotation abroad through the Foreign Service Directives (FSDs) for the reimbursement of post-related living expenses and support for spousal employment while stationed in Canada and abroad.

These three strategic goals are the organising themes for this version of the HR strategy. They allow us to understand the fundamental underlying purpose for each of the many change initiatives now planned or underway.

### **STRATEGIC INITIATIVES**

For each strategic goal there are a number of contributory change initiatives that we must pursue. Many of these were identified in the first HR strategy, but a number of new initiatives have been identified or launched over the last year. These initiatives are clustered in families around the relevant strategic goal. This paper provides a description of each initiative and a review of progress to date, where applicable. Of these, there are three which will touch every one of our Canada-based staff in the coming months: the review of our rotationality systems, the implementation of the Universal Classification Standard (UCS), and the refinement and extension of our competencies-based human resources management system. Each of these is treated at length in the following pages. For Locally-engaged Staff, the review of their role paralleling the rotationality review, and the reform of our compensation determination methodology and training programs now underway, are the first steps towards fulfilling our commitment to improve the management of this community. These are significant moves to improve our human resources management, and they deserve your careful attention.

The rotationality review is founded on our conviction that rotationality is the keystone of DFAIT's HR policy framework. The flexibility it provides is critical to our ability to meet current and emerging business needs swiftly and effectively. Our challenge is to understand and manage this system as the essential corporate tool that it is, for both organisational effectiveness and optimal administrative efficiency. The rotationality review is not concerned with rotational employees alone. It also seeks to improve career opportunities for non-rotational employees, who are equally critical to our organisational effectiveness. Through this review we will define the roles of all rotational and non-rotational Canada-based staff, while we clarify the role of LES through the companion review.

UCS implementation is a government-wide exercise that will produce a single universal classification standard, free of gender bias, to replace the individual classification standards that now exist for each of the 72 Public Service occupational groups. The simplification of our classification system will streamline many aspects of our staffing, development and compensation programs and should eliminate a number of long-standing inequalities in our workplace. We are fully committed to this exercise and have dedicated substantial resources to ensuring that it is done properly.

As we noted last year, the basic competencies of individual employees are the building blocks of departmental capability. Our work on the HR strategy has convinced us that the development of a full competencies-based HR system is central to many of our planned reforms. We believe that such a system will strengthen the alignment of HR processes with departmental and Public Service strategic business objectives; promote a more open,



more transparent culture; improve our ability to manage rotational and non-rotational staff; and involve employees more directly in planning their careers. In August, we launched a pilot project to build and test the competencies-based HR system we require.

### **COMMUNITY PERSPECTIVES**

Following the description of all of the HR change initiatives that comprise the HR strategy, we step back and review what all of this means for each of our communities. The corporate HR strategy tries to capture the highlights for each community, but leaves to the related community-specific HR strategies the task of providing a full, detailed overview of this business.

### ***NEXT STEPS***

The HR strategy concludes with a look ahead at the next steps required to advance the HR agenda.

World-wide consultations will begin in October, immediately following the release of the Strategy. The Human Resources Development Bureau will arrange for briefings of departmental and external stakeholders. Community and bureau leaders and Heads of Mission will consult with their employees and partners on what the HR strategy means for them. Champions of the initiatives described in this paper will manage consultations on matters specific to their projects. The HR Steering Committee will oversee this activity to ensure that every one of you has the chance to get involved and make your contribution.

These consultations will build on the many briefings that have already taken place during the past year. We have taken every opportunity to brief Heads of Mission at their meetings, MAOs at their conferences, employees during pre-posting sessions, bureaux on specific issues as requested, missions when the opportunity has arisen, and unions individually and at a recent joint session.

SPD and SMD have developed the planning tools and infrastructure to support integrated planning in the fall. Building on the themes and structure of the corporate HR strategy, communities will work with their members, bureaux and partners to draft their own detailed HR strategies. The Treasury Board has asked to see our integrated plans each June. This is the perfect time for us to report to you on implementation progress. Accordingly, you can expect our first such report in June 1999.

Meanwhile activity will continue on all of the commitments made in this paper as described in the action plan contained in Appendix B.



In late March 1997, the Executive Committee approved for release a consultation paper on the first, long-term, comprehensive, integrated human resources strategy for the Department of Foreign Affairs and International Trade. Immediately thereafter, the consultation paper, signed by Gordon Smith and Robert Wright, was submitted to the Clerk of the Privy Council, the Committee of Senior Officials (COSO) La Relève Plans Review Sub-committee, and all central agencies. An electronic version of the draft was sent to every employee of DFAIT over Signet and was published with other departmental HR plans on the La Relève Task Force's CD ROM in early July, 1997.

The paper contained over 100 specific commitments to action, dealing with both community and horizontal mission-critical issues. The document is a public promise of our commitment to build and sustain a new culture within DFAIT.

We have made considerable progress on several fronts since we released the consultation paper, and we have suffered some delays as well. The following sections set out some of the highlights of the past year.

### *1.1 CONSULTATIONS*

The paper acknowledged that the HR strategy was a management-driven first draft and that it could be completed only through full consultation with our stakeholders. We launched an intense consultation effort during April and May, 1997. The Deputies met in April with the Clerk and the COSO La Relève Plans Review Sub-committee to explain the strategy. Senior officers of the Human Resources Development Bureau visited many of the missions around the world to discuss the HR strategy with all employees. All Directors General and Directors were invited to briefings on the strategy. Discussions were initiated with PAFSO, with central agencies and with our portfolio partners on key initiatives.

These initial meetings do not constitute full consultation, but they did help us see what we need to do. In FY 1998-99, we will engage all of our employees and other stakeholders in interactive, meaningful and sustained discussion and involvement as the HR strategy evolves and implementation begins. We have established formal mechanisms for internal consultations on all key HR issues and have begun to lay the ground for integrated business and HR planning at the bureau level. We will soon launch special consultations in relation to specific initiatives, such as the move to a full competencies-based HR management regime.

Generally, two themes emerged from our initial round of employee consultations. First, some groups of employees either could not see themselves in the strategy or found the treatment of their issues incomplete. Second, the promises of ameliorative action in the strategy have raised their expectations of management to an unprecedented level, yet a



deep scepticism about management commitment remains across the department, and across all streams and levels. There is clearly a widespread bias for action.

The COSO La Relève Plans Review Sub-committee and the central agencies accepted our plan with some suggestions for improvement, including the incorporation in its next iteration of specific performance measures for the HR strategy.

So we clearly need to expand the strategy to include all departmental communities. We also need to produce an excellent communications strategy, some visible milestones with significant early proofs of management commitment, and regular evidence of sustained momentum and real progress thereafter. We have a good start, and a great challenge.

## *1.2 LA RELÈVE*

While La Relève was first concerned with succession planning for senior executives, it quickly expanded to encompass all employees. Last January, the Clerk of the Privy Council signalled this expansion by calling on departments to prepare comprehensive long-term human resources strategies. She raised the following questions:

- What can be done in each department and at the corporate level to build a modern and vibrant organisation that can fully use the talents of its people?
- What can be done to expose employees to the diversity and richness of their institution and thus prepare them to take charge in the future?
- What can be done to build an institution that is more representative of those we serve?
- What can be done to remove the impediments to employees' desires to make a contribution and bring about the changes needed to better serve Canadians?

Clearly, La Relève is now focussed on addressing the severe demographic challenge to the federal Government's workforce, revitalisation of the entire Public Service, strengthening leadership, and ultimately getting Government right.

The Clerk's call gave rise to our first HR strategy. All of our work in the intervening months has convinced us that, for DFAIT, our evolving human resources strategy is La Relève.

## *1.3 PUBLIC SERVICE PARTNERSHIP*

We stated last year that we would work closely with other Government departments and central agencies to refine and implement our HR strategy. This was important for two reasons. First, many of our issues transcend our departmental borders and require the willing assistance of other organisations for their resolution. Second, one of the key objectives of the HR strategy is to connect DFAIT more visibly to the broader Public Service - to dispel once and for all the lingering perception that we enjoy a "splendid isolation".



Our early efforts to proceed with some of the key initiatives identified in our HR strategy have not progressed as quickly as we had planned precisely because of our linkage to Public Service initiatives. For example, the restructuring of the FS Group to incorporate key elements of the Foreign Service Development Program, a version of the Management Trainee Program tailored to departmental requirements, had to be negotiated with PAFSO through the collective bargaining process. After ten months of joint effort, an agreement was finally reached on April 24, 1998. The implementation of the Universal Classification Standard (UCS) has been delayed by at least six months, and we now understand that the new standard may not resolve as many of our systemic problems as we had originally hoped. We discuss the status of the UCS project in section 4.2.3 below.

We will continue to seek the understanding and support of the central agencies for our initiatives and we will continue to support fundamental reform of the Public Service legislative framework.

#### *1.4 WORK PLANNING*

Our consultation paper said we would cull all of the promised actions from the draft HR strategy, analyse them and suggest an order of priority for each of them. Last summer, we began to build detailed project plans for each of our major initiatives and to weave them together in a master blueprint for organisational change.

As we drilled down into the HR strategy, identifying and sequencing the critical activities of each promise, we began the evolution of the blueprint. At this level of detail, we could map the interdependencies among our many initiatives and with others being undertaken outside the department. Key features of the detailed project plan are:

- an inclusive design that touches each major community;
- a corporate root for community-specific initiatives wherever appropriate;
- provision for negotiations where required;
- provision for tenders where external resources are required; and
- clear, inspiring interim goals paced to sustain momentum throughout the project span.

While this work needs to be updated and extended, the summer plan helped us to determine which horizontal initiatives are most critical to HR reform and therefore deserve priority attention. These findings are reflected in this new version of the HR strategy.

Within DFAIT we have multiple stream-specific HR cycles, which have never been formally mapped or synchronised for optimal corporate efficiency. We captured the rhythms of these cycles in our work plan so that we could align the implementation of key HR initiatives with them. Consequently, we can now set specific milestones for the



delivery of important HR changes. Later, we may use the results of this planning process to suggest changes to current stream cycles that will better satisfy departmental needs.

Once updated, we will use the blueprint to assure ourselves that we are always doing the right thing at the right time in the right sequence to maximise our chances of early success. A preliminary high-level action plan for our key corporate initiatives is attached as Appendix B.

### *1.5 SIGNIFICANT EVENTS*

In September 1997, the Executive Committee considered and approved the implementation plan for the HR strategy. Executive Committee approval set several streams of activity in motion. First, a Secretariat was established in the fall within the HR Bureau, to support the refinement and implementation of the HR strategy and its related change initiatives (described further in section 6 below). An HR Steering Committee of 13 DGs was established in November to oversee the refinement and implementation of the HR strategy (described further in section 4.1.1.2 below). The committee now meets weekly. Through NAFTA-compliant competitive processes conducted last winter and this spring, we created a supply arrangement, under which we can access essential external expertise, and we selected a consulting firm to help us with a pilot of our competencies-based HR management regime. Other progress made on several initiatives is described in later sections.

### *1.6 INVESTMENTS*

Senior Management has publicly recognised that the HR strategy is the key to organisational business success. The total incremental cost of implementing all of the initiatives described in the first and second versions of the strategy amounts almost \$21 million over the next four fiscal years. Almost five million of that has been committed and spent this year on: FS Collective Agreement, FSDP, LES Salary Determination Method, Training, Competency Management, Official Languages and UCS. This is a significant investment that must be managed within the context of shrinking resources and fierce competition from other pressing departmental priorities.

## 2.1 THE OBJECTIVES OF DFAIT'S HR STRATEGY

DFAIT's human resources strategy is designed to make the department's business plan work. It has three main objectives:

1. to build on the existing departmental HR management foundation a comprehensive integrative HR framework for:
  - defining how we can best align our people with our business purposes,
  - assessing the interdependencies of the HR activities we need to undertake to accomplish that alignment, and
  - designing, and prioritising our HR activities to make sure we are doing the right things in the right way at the right time for the greatest long-term return on our HR investments;
2. to help DFAIT contribute to and benefit from the Central Agency agenda for the full Public Service; and
3. to identify for ourselves and Central Agencies the urgent HR issues critical to the fulfilment of our departmental mandate.

## 2.2 CONCEPTUAL FRAMEWORK

This second version of the DFAIT HR strategy has been structured to include the following three components:

1. **A corporate HR strategy** that captures at a high level the key strategic themes, systemic challenges and leadership focus of the full department for the planning period. While this document refers to particular communities to illustrate broad themes and when a key corporate challenge is community-specific, its purpose is to explain how all of the change activity within DFAIT should come together in relation to the strategic business objectives.
2. **Bureaux HR strategies** that are aligned with the corporate HR strategy and explain how the key themes will be realised in support of each bureau's business.
3. **Community HR strategies** that are aligned with the corporate HR strategy and explain how the key themes will be managed in relation to each departmental community.

In the cases of a few corporate business lines, a community and a bureau HR strategy will be a single document: for example the CS group and the IT bureau HR strategies will be coincident, and so will those for the IS group and the Communications bureau. In most



cases, bureaux plans will cross several communities, and community plans will involve several bureaux.

Supporting the family of HR strategies will be aligned corporate information management and internal communication strategies

### **2.3.1 BUSINESS STRATEGY**

As the HR strategy's principal purpose is to enable DFAIT to make its business strategy work, it opens with a review of the four key management themes of our current three-year strategic business plan. These themes establish the critical organisational requirements our HR strategy must be designed to meet.

### **2.3.2 STRATEGIC HR GOALS**

As we worked through our implementation analysis over the summer, we traced the implications for organisational life of the many promises in the HR strategy. We found that many of the promises were vitally connected and that their cumulative ultimate effect, if all were pursued successfully, would be the achievement of three broad strategic goals directly related to the management challenges articulated in our business strategy:

1. clear, consistent, unified supportive leadership,
2. strengthened organisational capability, and
3. an enabling culture

These three strategic goals are the organising themes for this version of the HR strategy. They allow us to understand the fundamental underlying purpose for each of the many change initiatives now planned or underway.

### **2.3.3 STRATEGIC INITIATIVES**

As just noted, for each strategic goal there are a number of contributory change initiatives that we must pursue. Many of these were identified in the first HR strategy, but a number of new initiatives have been identified or launched over the last year. These initiatives are clustered in families around the relevant strategic goal. This paper provides a description of each initiative and a review of progress to date, where applicable.

### **2.3.4 COMMUNITY PERSPECTIVES**

Following the description of all of the HR change initiatives that comprise the HR strategy, we step back and review what all of this means for each of our communities: The corporate HR strategy tries to capture the highlights for each community, but leaves to the related community-specific HR strategies the task of providing a full, detailed overview of this matter.

### **2.3.5 HR FUNCTION**

We then take a look at the new role for the HR function that is emerging from our HR strategy and its implications for both the HR Development Bureau and for the rest of the department.



### **2.3.6 NEXT STEPS**

The HR strategy concludes with a look ahead at the next steps required to advance the HR agenda.

### **2.4 HOW TO NAVIGATE THE STRATEGY**

The HR strategy has expanded to include all identified departmental and Public Service HR change initiatives that are aligned with our strategic goals, and perspectives for every key community within DFAIT. In consequence, it has become a rather bulky document, whose sheer weight might deter you from ploughing through. We would be pleased if you felt up to reading the entire document from beginning to end, but you do not need to do so to learn what may be of most direct interest to you. For those readers who cannot invest the time for a thorough cover-to-cover read, we suggest that you read sections 1 to 3 first and then skip to the community perspective in section 5 that applies to you. You will find reference in your community perspective to the change initiatives that will most immediately and most profoundly affect you. For further information on the initiatives of interest to you, you can use the table of contents or specific references within the perspective to target the relevant pages of Section 4.



As business strategy is the foundation for our HR strategy, we open with a look at DFAIT's strategic business goals and our major policy challenges<sup>1</sup>. This review concentrates on the key management challenges we face over the next three years; for it is these business-oriented management challenges that drive our HR strategy. In the end, it comes down to people. As Donald Campbell stated in his 1998 New Year's address to all staff:

*In recent years we have had to do more with less. We are hopefully now entering a period of budgetary stability. But the challenges of improving service to Canadians through our network of 159 missions and offices abroad and strengthening the quality and timeliness of our policy advice to the Government remain. In meeting these challenges now and in the future, the members of our Department - rotational and non-rotational, Canada-based and locally-engaged - remain our most precious resource.*

### **3.1 STRATEGIC BUSINESS GOALS**

The Department remains committed to the strategic goals expressed in *Canada in the World*:

- the promotion of our prosperity and employment,
- the maintenance of international peace and security,
- the promotion of Canadian values and culture abroad, and
- the provision of quality services to Canadians.

We will continue to pursue these goals by management of our activities over our eight business lines. These business lines are the means of channelling DFAIT's efforts towards the Government's priorities. The current top priority is jobs and growth, contributed to directly by a number of DFAIT business lines, but we will continue to respond flexibly to changing Government priorities, as needs dictate.

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<sup>1</sup> This section is condensed from DFAIT's business plan for FY 1997/98, which can be found on the DFAIT intranet SMD site. Appendix A contains a brief overview of DFAIT's business purposes and organisation.

### 3.2 THE POLICY CHALLENGES FOR DFAIT

Two forces have, and will continue to have, major impacts on countries the world over — **globalisation and the emergence of multiple centres of power**. As a result Canada faces challenges in five areas:

1. maintaining international competitiveness in a global, knowledge-based economy;
2. managing the implications of increasing economic integration with the US;
3. protecting and advancing Canada's security interests in a multi-power world;
4. managing our vulnerability to global change with attendant threats to human security; and
5. adjusting to the erosion of traditional government power and authority resulting from the forces of globalisation.

DFAIT will be closely involved in preparing Canada to face them effectively by:

- planning and prioritising its tasks effectively (our current planning already reflects the impact of these issues);
- minimising the impact of diminishing resources, by increased efficiency and use of new communications technology, thus maintaining the global reach of Canadian diplomacy; and
- improving horizontal policy formulation and implementation across the Government as a whole.

Globalisation and the emergence of multiple centres of power will impact both the substance of the policy issues the department must deal with and the way in which they are managed.

### 3.3 KEY MANAGEMENT CHALLENGES

#### 3.3.1 PLANNING AND PRIORITY-SETTING

The most pressing management challenge in the medium term will be the range of issues arising from the need to plan and deliver Government programs overseas. This involves priority setting, organisation of program and service delivery, changes to resource planning and management, and identification either of trade-offs or alternative means of achieving Canada's goals within the limits of affordability. Ultimately, this means systems, processes and machinery for policy, program and service management across the portfolio of internationally oriented activities of the Government.

The goal is to develop an improved management culture within the department — one that sets management priorities and sticks to them. The first steps have been taken with the establishment of an Executive Committee responsible for decision-making and prioritising at the corporate level.

The department will develop its planning machinery to provide both a strategic perspective — the annual report on Plans and Priorities (formerly Part III of the Main



Estimates) and, especially, the Departmental Business Plan - and an action-oriented, "bottom-up" perspective. The vehicle for this latter aspect of the planning process will be business planning at the bureau level. Bureau plans will provide a detailed overview of Canadian objectives and priorities in specific geographical and functional areas. They will also guide the allocation of resources and, lastly, will provide a means for Directors General to manage policy issues and activities for results.

This is a new direction for us and demands the development of new management skills and some changes in our management culture. The first round of planning at the bureau level for FY 97/98 was completed, with broadly satisfactory results. Bureau plans were internally consistent and coherent with the department's strategic goals: The second round of planning, for FY 98/99, further refined the process by:

- standardising the framework of planning requirements;
- encouraging more rigorous policy and resource prioritisation;
- linking policy and resources more explicitly;
- focusing on concrete results in the short and medium term; and
- explaining more fully the ways in which individual units complement each other's work and that of OGDs

We are currently analysing the outcome of this exercise with a view to fine tuning the planning cycle and the format for Bureaux Business Plans for the coming year. In recognition of the need for better management of horizontal issues and of modern federalism, the department is building strategic and consultative partnerships throughout Canada, to obtain the best advice available and to maximise potential synergies in policy development and program delivery. This includes co-ordination machinery among departments, outreach mechanisms with the public, provinces, business and non-governmental organisations.

The first step in this process was the adoption of a new Planning, Reporting and Accountability Structure (PRAS). The next will be to examine the PRASs of other departments and agencies to establish conceptual relationships, probably within the structure of the Government's foreign policy objectives as depicted in Figure 3.

### **3.3.2 RESOURCE MANAGEMENT**

#### ***3.3.2.1 Resource Reductions***

Affordability is one of our most critical management issues. Our budget has been cut by \$292 million over the last seven years, leading to a 15% reduction in personnel. Despite these cuts, there have been no changes in our mandate or to the expectation of continued and expanded presence abroad and the maintenance of undiminished or improved levels and quality of service. For example in the last ten years, points of federal service overseas have grown by 12%. Canada is now represented in 104 countries at 159

diplomatic, consular and satellite offices. Another 95 locations are served, or soon will be, by Honorary Consuls. In addition, the workload arising from global structural change and the renewal of international governance systems exacerbate pressures arising from internal factors, such as Program Review and adaptation to new personnel and technology needs. Our non-discretionary spending on assessed contributions and support for OGDs overseas continues to rise.

### ***3.3.2.2 Resource Pressures***

The principal resource challenge confronting the department is a long list of spending pressures that totalled \$95 million in FY 98/99, \$97 million in FY 99/00 and \$140 million in FY 00/01. Many of the pressures for new spending are effectively unavoidable (e.g. the Comprehensive Test Ban Treaty, later summits such as La Francophonie or the OAS, etc.). In addition, there are a number of issues critical to the advancement of domestic and foreign policy objectives ranging from pursuit of internal ratification of the Treaty to Ban Landmines to creation of a Free Trade Agreement within the Americas.

Finally, there are administrative and infrastructure pressures unique to the department in its international working environment. Our information technology systems must meet the challenge of the year 2000 in order to not only protect our global communications network, but to ensure that mission critical systems will function to provide consular assistance and support for our trade interests abroad in the hardest-hit areas of the globe. Other pressures such as the move of Canada's representation from Bonn to Berlin require the department to reallocate scarce resources to meet changing international circumstances.

### ***3.3.2.3 Reallocation of Resources***

To the extent that new policy initiatives and program pressures are of sufficiently high priority to warrant incremental spending, the department is reallocating resources from within its existing budget. The climate of restraint prevents the Treasury Board from providing DFAIT with any additional funds beyond compensation for foreign inflation, basic salary increases, the increased cost of existing international memberships, and 50% of the cost of PM-hosted summits.

DFAIT's capacity to reallocate funds internally, over the medium and long terms, is limited, as 45% of its budget is effectively non-discretionary. This portion of the budget cannot be reduced because the spending represents Canada's share of international organisations' budgets, qualifies as official development assistance, or supports other department's operations abroad. The difficulty faced by the department in reallocating its resources is compounded by the fact that all operations have already been cut severely to meet expenditure reductions requirements and to fund the expansion of Canada's network of missions and program delivery abroad.

Based on the Bureaux Business Planning cycle, and new funding arrangements with Treasury Board, the Department is managing the changing needs of Canada's overseas



presence and the account of memberships in international organisations. The Department is striving towards a resource allocation system responsive to the policy priorities established by Cabinet and DFAIT Ministers.

### **3.3.3 HORIZONTAL POLICY MANAGEMENT**

Canada's international goals must be pursued in a more complex environment that blurs the distinctions not only between foreign and domestic issues, but also between policy sectors and levels of government. Simultaneously, a number of government-sized initiatives and policies intersect with, and affect, the pursuit of international goals.

The international agenda increasingly involves issues that either fall under the jurisdiction of other departments or levels of government, or for which the jurisdiction is shared (e.g. environmental degradation, crime, migration, and labour codes). Program Review confirmed that international programs are a core activity for many departments. Approximately 5,000 public servants (outside the department) devote more than 50% of their time to international issues (see Figure 2). The department must improve horizontal policy and resource management of international issues across Government.

Figure 1: Strategic Objectives, Business Lines and Other Government Departments

Strategic Objectives	Business Lines	Other Departments <sup>1</sup>	
Prosperity and Employment	International Business Development  Trade and Economic Policy	<b>CIDA</b> <b>Industry</b> <b>Finance</b> <b>Environment</b> <b>Immigration</b> <b>Agriculture</b>	Heritage Public Works Revenue Transport Fisheries & Oceans Natural Resources <b>Provinces</b>
Protection of Our Security	International Security and Co-operation	<b>RCMP</b> <b>Justice</b> <b>Immigration</b> <b>Security and Intelligence Service</b> Indian Affairs & Northern Development	Solicitor General Health National Defence
Projection of Canadian Values and Culture	Public Diplomacy International Security and Co-operation	<b>Provinces</b> <b>CIDA</b> <b>Immigration</b>	Heritage Environment Human Resource Development
Quality Services	International Business Development Assistance to Canadians Abroad (Consular) Passport Services Corporate Services Services to OGDs	<b>Immigration</b> <b>Industry</b> Human Resource Development Elections	

<sup>1</sup> (Portfolio departments and major partners are in bold type.)

Many of the department's activities are already managed horizontally. One prominent example is the integration of activities in a single business line (e.g. the Team Canada visits under the International Business Development business line). The integrated mission abroad is probably the most significant example of the department's horizontal management and co-ordination activity, uniting as it does a number of Government of Canada functions (e.g. trade promotion, political and economic relations, immigration, international assistance, tourism) in a single management structure and with a single face for the host country and travelling Canadians.

### 3.3.3.1 Other Government Departments

The department has a leadership role, confirmed by Program Review, to ensure that Canada speaks with one voice in the community of nations on issues of concern to all Canadians. This is given practical shape in a number of departmental co-ordination



activities and the identification of a separate business line encompassing the range of services to OGDs.

### ***3.3.3.2 Working with the Provinces: Renewing the Federation***

The desire to renew the federation, the shared responsibilities for some international policy issues and the decline in provincial resources for representation abroad will drive closer co-operation between the department and provincial and other levels of government. Communication to all Canadians of the important issues, especially the benefits of a strong, united Canada in the international arena, will be vital.

The provinces have an important role in foreign policy matters since many international issues fall partly or wholly within their jurisdiction (e.g. education, labour and the environment). However, resource constraints have forced the provinces to reduce their overseas representation (38 provincial offices abroad have closed in the past 4 years). This has increased the pressure for more federal support of provincial interests.

The most visible aspect of the drive to improve relations with the provinces in the international field is the participation by provincial premiers in Team Canada visits, which bring Federal department, provincial governments and the private sector together in pursuit of Canada's jobs and growth objective.

### ***3.3.3.3 Policy Outreach***

Non-state actors have become more and more important in international issues. The department will need to devote more time and resources to consulting with and involving the public, non-governmental organisations (NGOs), the private sector and the academic community. For example, the number of international NGOs increased from 1,000 in 1956 to 4,700 in 1992 and the number of multinational enterprises from 7,000 in 1972 to 37,000 in 1992. The department's outreach activities, including the use of the new forms of communication technology, will expand over the planning period. The establishment of the Canadian Centre for Foreign Policy Development (CCFPD) is a major indicator of the intention to intensify the department's efforts in this aspect of policy development.

#### ***4.1 CLEAR, CONSISTENT, UNIFIED, SUPPORTIVE LEADERSHIP***

Our primary strategic HR goal is improved leadership in the broadest sense. All our fine words and brave promises aside, it is the daily behaviours of the senior people in the department that tell our employees what we truly value and what really counts when rewards and sanctions are meted out. Accordingly, clear, consistent, unified and supportive leadership is the sine qua non of our planned HR reforms.

In this section we examine five dimensions of leadership:

1. people management, including ownership of change, championship, and modelling desired behaviours,
2. ethics and values,
3. comptrollership and performance management,
4. organising for leadership, and
5. communications.

##### **4.1.1 PRIMARY FUNCTION OF LEADERSHIP: PEOPLE MANAGEMENT**

*[Canada's] challenges will require exceptional leadership, creative thinking and new operating skills and competencies – whether Public Service employees are negotiating global trade agreements, managing new service delivery mechanisms, or responding to the needs of citizens . . . . La Relève is an important first step in putting human resource management and planning issues on the front burner. All senior managers need to recognise, endorse and be held accountable for effective human resource management.<sup>2</sup>*

The primary importance of effective human resource management to organisational success is a unifying theme that connects La Relève with all of our Public Service change initiatives, from Modern Comptrollership (see section 4.1.3 below) to reform of Executive Compensation (see section 4.2.5 below). Consequently, the management of people has become the primary function of leadership in the Public Service and the first criterion upon which management performance will be measured. We will support this cultural shift within DFAIT through a variety of systemic reforms, driven from the top. This section looks at three of them.

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<sup>2</sup> The first Report of the Advisory Committee on Senior Level Retention and Compensation (Strong Committee), January 1998



#### 4.1.1.1 Executive Committee Ownership

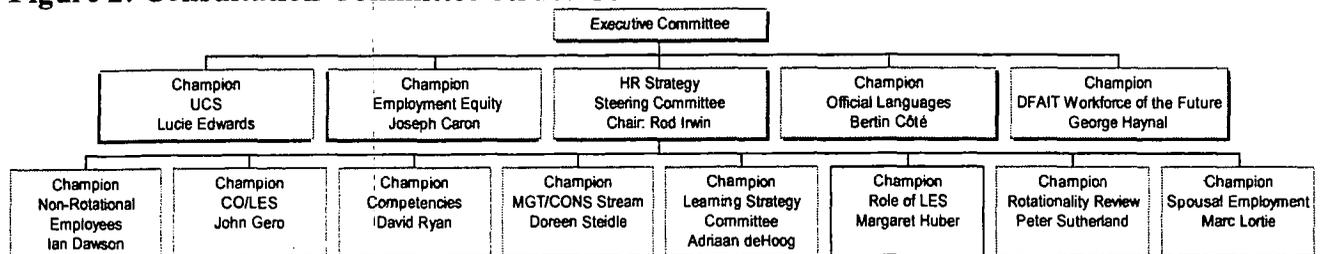
The Executive Committee leads the management of human resource issues. Given the importance of the HR strategy, the Executive Committee has taken ownership from the beginning, and continues to drive its refinement and implementation. During the last year, the Executive Committee has spent many hours addressing HR issues relating to the strategy, as is evidenced in the published minutes. In September 1997, the Executive Committee approved in principle a very significant investment in the people practices of DFAIT. Throughout the year, the actions of members of the Committee have demonstrated their commitment. In his 1998 New Year's message, Donald Campbell stated: "my first management priority for the coming year will be the full implementation of our HR strategy, in partnership and consultation with all employees, to ensure we continue to attract, train and retain the best and brightest people". This message promises that Executive Committee ownership of the HR strategy will be sustained. The appointment of four Assistant Deputy Ministers as Champions of specific areas addressed by the HR Strategy is further evidence of Executive Committee's commitment.

#### 4.1.1.2 HR Steering Committee and Championship

In the paper entitled "Departmental Governance: Adapting to Change within DFAIT" distributed to all staff in March 1997, we stated that horizontal connections and corporate thinking would be encouraged by "tasking DGs to chair departmental committees made up of their colleagues on management issues, such as overseas representation or informatics". Following the La Relève model, the HR Steering Committee was established in November to oversee the refinement and implementation of the HR strategy. The committee is composed of 13 DGs who have the ability to lead, a passion for reform, and credibility within the department. The Committee now meets weekly.

Four Assistant Deputy Ministers and five DGs from the HR Steering Committee will act as line champions for key change initiatives or for studies of significant HR issues flowing from the strategy. The following figure illustrates the kind of committee structure we are developing:

**Figure 2: Consultation Committee Structure**



Memberships and mandates for these initiatives are either in place or in process.



#### **4.1.1.3 Modelling Desired Values and Behaviours**

We acknowledged in the HR strategy that our new culture will be built primarily through the everyday modelling of desired behaviours by all managers, especially so by those at the most senior level. When our managers consistently demonstrate in their own work a living commitment to our values and when they actively encourage respect for these values in the work of others, we will be more than half the way there. We have many excellent managers who do this now.

Reform of our policies and systems, just words and tools, will not make any difference if our managers do not prove through their actions that we mean what we say. Training on specific programs and skills for managers will be a part of our enabling learning strategy (currently in development), but no manager should wait for training to get on side.

We will use the "at risk" compensation program being phased in for executives over the next four years to strengthen our managerial commitment to business plans and human resource planning. New performance contracts with executives will include amongst their agreed-upon targets the achievement of specific HR goals tied to the business plan.

#### **4.1.2 ETHICS AND VALUES**

The Task Force on Public Service Values and Ethics identified a number of core Public Service values, which the Clerk of the Privy Council and Secretary to Cabinet described in her 1997 Report to the Prime Minister on the Public Service of Canada as follows:

- loyalty to the public interest as represented and interpreted by the duly elected government of the land;
- service to Canada and Canadians;
- ethical values such as honesty, integrity and probity, which mean the ability to hold a public trust and to put the common good ahead of any private or individual self-interest; and
- people values such as fairness and equity.

DFAIT shares these fundamental values. In addition DFAIT has established some complementary workplace values that reflect its mandate and culture, such as teamwork, innovation and adaptability and flexibility. These values are now reflected in formal performance appraisal and promotion criteria. The policy foundation is in place; now these values will have to be respected in practice.

As we noted in the first HR strategy, more work needs to be done to refine and complete the set of values that best supports the business purposes of DFAIT and the broader Public Service. The debate continues across the Public Service on the elements and architecture of the statement of core values that will provide the foundation for a strong and unified Public Service in the next century. While contributing to this service-wide debate, we are also taking a harder look at the values of greatest importance to DFAIT.



In April 1998, the Executive Committee considered a policy paper on ethics and values presented by the Legal Advisor. The Committee decided to pursue the following course of action:

1. an ethics committee will be established this fall, to be chaired by an ADM;
2. the ethics committee will develop and publish a statement of principles that will govern the conduct of all employees in the discharge of DFAIT business; and
3. these principles will be incorporated as a fundamental element in employee training programs and will shape future recruitment and performance management efforts.

The ethics committee will not become involved in the resolution of individual problems that may arise, but rather will be responsible for articulating, promulgating and championing the statement of principles.

We want our treatment of employees to reflect the values we express in our services to, and on behalf of, Canadians. As we noted last year, it is critical for this culture change that our departmental leaders manifest these values in their day-to-day performance.

#### **4.1.3 COMPTROLLERSHIP**

In late October 1997, the Independent Review Panel on Modernisation of Comptrollership in the Government of Canada submitted its report to the Secretary of the Treasury Board. The report sets out an integrated set of proposals for a new modern comptrollership system for the federal Government. As described in the Panel's report, modern comptrollership will increase the "effectiveness of the government in fulfilling its mission and achieving its objectives". It "represents better management which will produce:

- balanced excellence in policy development and administration,
- an enhanced ability to adopt new approaches to conducting public business,
- an enhanced ability to achieve the government's policy agenda – to define and attain public objectives,
- a better administrative capacity to serve the public interest, and
- support for the governance responsibilities of elected officials."<sup>3</sup>

Here are the key elements of the new philosophy:

- comptrollership is a management responsibility,
- comptrollership needs to be put into harmony with the overall management direction of government,

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<sup>3</sup> Modernization of Comptrollership in the Government of Canada, Report of the Independent Review Panel, October 1997.

- comptrollership is an integrating function,
- comptrollership is management-centred but should also contribute to effective governance,
- comptrollership must be embedded in the management culture, and
- comptrollership needs to be strong at the departmental level and at the centre.

A key recommendation of the report is that the Government promote a move from the current “command/control” management orientation to the “loose/tight” orientation pioneered successfully by the high-tech industry, where organisational nimbleness is the key to survival. The “loose/tight” orientation combines a strong commitment to central standards and values and achievement of planned results, with flexibility regarding process and operational approaches.

DFAIT has some hard experiences with past risk-taking experiments whose painful results are still sharply etched in organisational memory. These illustrate just how difficult this shift will be. While the recommended direction is not new, the energy mobilising behind the comptrollership initiative, and the intelligently-opportunistic, measured and sensible implementation approach that seems to be emerging, offer some new hope that real progress can be made this time around.

At the end of the day, modern comptrollership will only be achieved through people. The report calls for a quantum leap forward:

*That leap forward will be mostly centred on achieving in practice the notion of management-centred comptrollership and will have to be accompanied by a commitment to new responsibilities. The challenge will lie in managerial and professional capacity development, the acceptance of new responsibilities and the development of maturity in acting on these responsibilities.<sup>4</sup>*

Such changes require sustained leadership and enabling changes to our people practices.

The Treasury Board Secretariat has reorganised a number of its functions to support the implementation of the report’s recommendations. All indications are that the federal government has chosen to take the path advocated by the Panel.

The Panel’s report identifies as key management challenges the same issues as we have identified in our own business planning. It looks to the people of the Public Service for a stronger business focus, improved leadership, integration of relevant information in the hands of decision makers, a new culture of stewardship and intelligent risk management, a bias for action and ethical behaviours – all key elements of our HR strategy. Accordingly, the theme of modern comptrollership can serve as a useful bridge to link our

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<sup>4</sup> Ibid.



business challenges with our HR strategy and our departmental agenda with that of the broader Public Service.

The report suggests that three aspects of management normally housed separately within Public Service organisations - financial, information and HR management - are really just parts of a broader management function that must be integrated in the hands of those responsible for managing the business of the organisation. Within DFAIT we have collected these functions, together with business planning, resource allocation and property management under the ADM of Corporate Services who sits on the Executive Committee - so structurally we are part of the way there. The challenge that remains is to integrate the cultures of the corporate disciplines with each other and with the broader management functions of the department. Where appropriate, we will incorporate the principles of modern comptrollership and its integrative mechanisms in this HR strategy and in the change initiatives flowing from it.

#### ***4.1.3.1 Results-based Management - Measuring Departmental Performance***

Like all other Public Sector institutions around the world, DFAIT is mandated to achieve a set of business objectives that include both quantifiable "hard" results that can be readily measured and public goods, qualitative "soft" results, that cannot be easily measured. We believe that a balanced scorecard approach to performance measurement can best capture a fair assessment of the department's total performance. DFAIT will work with the Treasury Board Secretariat and other departments through the Results-based Management and Modern Comptrollership initiatives to develop a balanced set of clear, measurable, high-level business results that will support the long-term assessment of the department's organisational effectiveness. The degree to which DFAIT achieves its business objectives as measured by this balanced scorecard will indicate the effectiveness of the HR strategy.

The development of a fair balanced scorecard will be a challenging task. We cannot, nor do we wish to, do this alone. Our performance measurement system must mesh well with those of other departments to support an assessment of the full Public Service. The investments required to design the balanced scorecard and the measurement systems to support it can be made more bearable through collaboration with TBS and other departments. Accordingly, we look to TBS for decisive, enabling leadership on this file.

Our work has already begun. Our Performance Measurement Initiative in the Trade Commissioner Service (see below) has already produced early results which should prove to be scaleable to much of the department. Some of the success criteria, performance indicators and possible sources of measurement information contained in the Framework for Good Human Resource Management in the Public Service issued by TBS in February 1998 are already captured in this document, or will be, in the balanced scorecard we will develop this Fall. Current processes already produce a number of the measurements described in the Framework. The problem is that many of these simply measure process and transactions rather than business results. The trick is to synthesise from the inputs of

the PMI, Results-based Management, Modern Comptrollership and the Framework the five or six key indicators that will together present a fair, comprehensive picture of our achievements against plan.

Within DFAIT, a similar approach will be taken to the measurement of the business and organisational effectiveness of bureaux, and ultimately the performance of managers and employees. Specific performance objectives or targets are and will be set for HR initiatives, such as Official Languages, wherever appropriate (this strategy contains numerous examples throughout).

With TBS's help, we hope to see the process for measuring business results and organisational effectiveness confirmed during the integrated planning process in the Fall of 1998. We will establish a baseline for these key indicators in early 1999 through a variety of mechanisms including employee and client surveys, against which improvement can be measured over time. In each subsequent planning cycle, an evaluation of departmental performance against the previous year's objectives will be conducted as the first step in preparing the next set of objectives.

#### **4.1.3.1.1 Performance Management Initiative**

Within DFAIT, the Trade Commissioner Service, faced with increasing demand for its services as its resources diminished, pressure to continuously improve service delivery and insistence that its success be measured against value-for-money criteria, launched the Performance Measurement Initiative (PMI) in 1997. Building on the best practices of Canada's Export Development Corporation and the trade promotion organisations of such countries as Australia and New Zealand, the PMI is intended to orient the TCS towards results in delivering services to capable and committed clients and to improve resource allocation. It has six components:

1. **Client and service definition** will describe who our clients are, what services we will provide them and under what conditions.
2. **Client surveys** will measure our clients' satisfaction with us and capture their suggestions for service improvements.
3. **Employee surveys** will measure our strengths and weaknesses from the inside and capture employees' suggestions for service improvements.
4. **Workload indicators** will measure where and how much TCS time is invested.
5. **Service standards** will define precisely what our clients can expect from us and what we expect from them.
6. **Service charge feasibility** will evaluate feasibility of establishing a comprehensive service-charge system for TCS.

This pilot project will enable TCS program managers to set clear priorities, monitor performance, better allocate resources, improve client service and demonstrate value and

results. The results of the pilot will be reviewed by the Executive Committee for harmonisation with modern comptrollership and possible extension of this approach to all of DFAIT. Ultimately, this approach will have a significant effect on individual performance measurement and management across the department, linking individual effort with the achievement of DFAIT's strategic business objectives. This approach could form the basis for the performance contracts with Executives recommended by the Strong Committee.

#### **4.1.4 ORGANISATIONAL STRUCTURE AS A FUNCTION OF MANAGEMENT**

##### **4.1.4.1 A Living Organisation**

Like many Public Service organisations, but more regularly and radically than most, DFAIT has for decades continuously evolved to provide strong support for the changing needs of the federal Government. Its mandate, structure and employee populations have shifted as necessary over the years to keep current and strong the organisational capacity the Government required. Within these broader shifts, DFAIT has often been asked to mount quickly temporary organisational responses to sudden urgent Government needs, without reduction in the service quality of its existing business lines.

This flexibility and adaptability are core organisational competencies for DFAIT. To supply these competencies, DFAIT has developed a rotational service and an appointment-to-level HR management system. While unique within the federal Public Service, this system is critical to DFAIT's continued business success. Over the years, this flexible HR system has enabled DFAIT to move its people to the priorities of the day very effectively. In effect, DFAIT is a living organisation well adapted to its environment and business purpose.

For example, over the past year, we have been through the most intense period of diplomatic activity in our history, and the department, at home and abroad, has performed admirably. In support of the Government's commitment to help shape the new global agenda and Canada's response to it, DFAIT's challenges in the last year include the Chairmanship of APEC at a time of great economic uncertainty in Asia; our historic initiative to ban anti-personnel landmines; our work to broker binding commitments on climate change at Kyoto; and our continuing efforts to promote global liberalisation of trade and investment. This year we continue our campaign to gain a Security Council seat for 1999-2000.

Many of these initiatives were not even on our radar a few years ago. And it will be ever thus. It is critical to the HR strategy that we begin with this understanding of who we are and what we must be. We must recognise that we are building on a core system that works. It is critical to DFAIT's business success that the HR strategy help make that core system better.

#### **4.1.4.2 Organising for Better Human Resources Management**

DFAIT and the Public Service now appear to be aligned in their recognition of the primary importance of sound people management to business success. The restructuring of DFAIT in 1996 and our HR strategy in 1997 are proofs of our collective intention to make comprehensive, corporate, coherent human resources management the centrepiece of our management agenda.

The 1996 restructuring of DFAIT created the Executive Committee, comprised of the deputies, the ADMs and the Legal Adviser, to improve the department's focus on strategic policy, corporate priorities (medium and long term planning, personnel policy, resource allocation, and the performance of the EX complement), and high-profile issues. To permit ADMs and the Legal Adviser to exercise effectively their corporate responsibilities, they delegated generic line responsibilities to DGs. DGs, in turn, were and are expected to focus on their management responsibilities, and not take over the responsibilities of their Directors.

With restructuring came management's commitment to developing a stronger corporate culture, and to fostering a co-operative approach to problems, inside and outside the department. Changes in structure have begun to facilitate changes in culture, but we knew from the beginning that real progress would require a major effort, starting at the top. We said we would expect senior managers to support the development of a corporate culture through example and by means of formal and informal incentives.

This direction was strengthened with the recent creation of a new ADM position responsible for communications, culture and policy planning. This new ADM oversees the work of the Policy Planning Secretariat, which has been reorganised to provide advice to the entire department on horizontal political and economic issues and to act as a focal point within the department for co-ordination of our participation in government-wide policy development initiatives.

In short, the department has been re-structured to improve the management of its people for the achievement of departmental and Public Service business objectives, to foster a new "team" approach to the management of corporate interdependent responsibilities, and to begin the evolution of a new enabling DFAIT culture. The refinement and implementation of the HR strategy is a key vehicle for advancing the department towards the realisation of all of these goals.

#### **4.1.5 COMMUNICATIONS**

A communications strategy to support the implementation of the HR strategy has been developed for consideration by the HR Steering Committee. It articulates the key messages that will help employees, our partners and the Canadian public understand what we are trying to do and why. In addition to the normal communications channels of Signet, Panorama, departmental intranet and so-on, the communications strategy relies



heavily on existing and planned HR strategy consultation processes to deliver the key messages.

#### ***4.1.5.1 Formal Internal and External Consultation Mechanisms***

Some consultations have already taken place both at headquarters and at certain posts abroad for certain segments of the DFAIT community. A program of additional meetings and consultations has been designed to make sure to the extent possible that representatives of all employee groups have the opportunity to participate in face-to-face strategy-related discussions. Subsequently, an ongoing schedule of consultations with employee groups will take place throughout the implementation phase of the HR strategy.

The refinement and implementation of the HR strategy will require meaningful consultation with stakeholders in respect of more than a dozen streams of activity over the next few years. Properly managed consultation will improve our initiatives, foster line ownership of HR management and employee acceptance of change, and strengthen our partnerships across the Public Service. It will also enable us to take full advantage of the good ideas and efforts of other organisations that are pursuing similar goals.

Departmental management, employees and Public Service partners will have to be involved in multiple activity streams at the same time. To reduce the burden of consultation and to maximise its value to DFAIT, we must focus and co-ordinate our consultative efforts through initiative- or community-specific committees, which can strike their own sub committees as they see fit, all managed by the HR Steering Committee founded last fall. The Champions and consultative committees described in section 4.1.1.2 will lead the consultation process.

#### ***4.1.5.2 The Communication Responsibilities of Management***

It is widely felt that, despite well-intentioned efforts, senior management has taken important departmental decisions without sufficient consultation with a full cross-section of employees. In the past, inadequate communications with employees about several personnel-related issues have increased that perception and the discontent. Moreover, employees feel that they have seen too many reviews that changed nothing. For these reasons, the visible commitment of senior management to the strategy is crucial to its successful implementation.

Support for the strategy must be voiced and embodied by the deputy ministers and the ADMs. Some members of the senior management team have been and others will be asked to "champion" specific elements of the strategy, assuring that the issues receive prominence from a communications standpoint and that any bottlenecks to their implementation are dealt with promptly. Ultimately, all levels and layers of the department will be encouraged to participate in the promotion of the strategy by supporting efforts to explain and implement it.



BCC will work closely with the Secretariat to implement the communications aspect of the strategy.

## **4.2 STRENGTHENED ORGANISATIONAL CAPABILITY**

Our second strategic HR goal is strengthened organisational capacity. By this we mean that DFAIT will have the breadth and depth of competencies in aggregate to master the business challenges of the day, and that these will grow and adapt as our challenges change. We mean that our management systems will properly align our people with our business purpose, encouraging and reinforcing the kinds of behaviours that will sustain and extend our tradition of organisational excellence. We also mean that these aligning systems will be designed and managed consistently with our core values. Finally, we mean that our strategic investments in planning, training and development and compensation will be well thought through, well implemented and well rewarded over time through consistently strong business results.

In this section we examine five areas we need to address to strengthen our organisational capability:

1. workforce planning, including our rotational, appointment-to-level, stream management and career management systems;
2. extension and refinement of our competency-based HR management regime,
3. streamlined classification;
4. training and development; and
5. compensation.

### **4.2.1 WORKFORCE PLANNING**

#### **4.2.1.1 Institutionalising Integration of HR Planning and Business Planning**

*Effective human resource planning and management is a "mission critical" requirement; traditionally, the Public Service has not focused senior management attention upon these activities, nor has human resource planning been intrinsically linked to the business planning process of departments. It is now clear that, without integrating human resource management issues into business planning and management, it will simply not be possible to ensure that departmental mandates are achieved.<sup>5</sup>*

Under our new governance model, the Executive Committee allocates resources to DGs each year. DGs have some flexibility to move resources around within their operational span of control (including posts). Their annual bureau plans set out how the deployment

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<sup>5</sup> p.14, *La Releve Overview*, La Releve Task Force, June 1997.

of their resources will achieve their objectives. DGs are accountable to the Committee for their performance, for their use of their resources, and for monitoring their posts' performance. In conjunction with the recently completed Bureaux Business Planning exercise for FY 98/99, DGs were asked to integrate their business, human resources, information management and financial planning, and to work closely with their colleagues in other bureaux and with Corporate Services to ensure that their plans are horizontally sound. This exercise was complemented with a strengthened accountability framework that introduced a global requirement for Heads of Mission to prepare an annual accountability framework or document that outlines their objectives for the coming year. This integrated planning process must be permanently embedded in our annual management cycle and day-to-day business. SPD, SXD and SMD will collaborate between now and the fall to further refine the new integrated planning and accountability process.

#### ***4.2.1.2 Managing Rotationality***

Rotationality is the keystone of DFAIT's HR policy framework. The flexibility it provides is critical to our ability to meet current and emerging business needs swiftly and effectively. By moving competent people around the globe on a regular basis, it ensures that our representatives never become captives of the special interests they deal with on Canada's behalf or the foreign communities they join from time to time – the integrity of their advice is thereby secured. By bringing our people home at regular intervals, we renew their understanding of our evolving culture so that the Canada they next represent abroad is the one Canadians currently live in, not a dated and distant memory. We also have the opportunity to refresh their skills and knowledge through training and to use their fresh front-line intelligence to improve our policy development. Rotationality is a high-maintenance system whose cost is justified by its benefits. Our challenge is to understand and manage this system as the essential corporate tool that it is, for both organisational effectiveness and optimal administrative efficiency.

##### **4.2.1.2.1 Rotational Staff**

As described in more detail in Appendix A, the rotational workforce is divided into four categories, along broad functional lines: Executives, Foreign Service (FS) Officers, Management/Consular Officers, and Administrative and Technical Support. Within the FS category, there is a further subdivision into three distinct streams, focussed severally on political/economic, trade, and immigration business lines (this last is managed separately for the most part by Citizenship and Immigration). Each of these categories and streams is managed discretely as a pool through an appointment-to-level staffing system. To meet organisational requirements in the near term and to develop the required functional and rotational competencies of individuals over time through long-term career-pathing, employees are assigned by pool managers at regular intervals from within their category/stream pools to positions at home or abroad.

It is currently normal policy for a rotational employee to have a balance of assignments at headquarters and abroad. A sufficient stock of home positions is required to provide places for all rotational staff returning after their tours of duty abroad. The size of that home stock in relation to the community dictates the length of each posting and the duration of the home assignment.

#### **4.2.1.2.2 Rotational Positions**

Under a long-standing departmental policy, all Canada-based positions at posts and all FS and EX/FS positions are rotational. Each Canada-based position in Canada is rotational unless one or more of the following criteria applies to it:

1. there is an overriding need for continuity;
2. the incumbent requires specialised skills or lengthy training which would make it impractical to fill the position with rotational personnel;
3. the functions of the position cannot be directly or indirectly related to the functions performed by rotational employees.

When a new position is created or the designation of an existing position is to be changed, DFAIT may also apply operational factors that assess the effect of the proposed change on:

1. the balance of rotational positions in headquarters and at posts, and
2. career opportunities for both rotational and non-rotational employees.

In practice, the application of this policy has allowed exceptions to the default status of rotationality to be made for:

- a concentration of non-rotational positions in corporate services bureaux, where the work is largely unrelated to the functions performed by rotational employees at post;
- for a scattering of exceptional non-rotational positions across program bureaux, where continuity, special skills or lengthy training are truly required; and
- for positions at posts where the duties could truly be carried out fully by LES.

For a variety of reasons discussed below, there may be some positions that have been misclassified one way or the other over the years.

To support the category and stream-specific pool management systems for rotational staff, rotational positions are earmarked for each rotational category and stream both in Canada and abroad, to ensure that rotational staff will always have an appropriate position to fill. Thus the Management/Consular group of rotational employees, as a pool, owns a set of positions at all levels (including some executive positions to which they can be promoted) both at home and abroad.

#### 4.2.1.2.3 A Delicate Balance

The pools of rotational positions and the pools of rotational staff must be kept in fine balance for this system to work. A variety of pressures can threaten that balance. For example:

- If there is insufficient recruitment to replace rotational staff lost to a rotational pool through attrition or to meet the demand for new rotational positions which has been created by expanded business requirements, some managers will find that positions owned by that pool will remain vacant, and their unit understaffed. If this is unacceptable, they must take extraordinary measures to reclassify the position, temporarily on a term basis or permanently, to non-rotational and then to fill the positions with a non-rotational employee.
- If for cost-reduction reasons a stock of rotational positions is eliminated in a Headquarters unit, the pool may be unable to find spots for all of their returning employees. In this case, alternative assignments outside of the pool, and perhaps outside of the department, must be found for them.
- If CBS positions are converted to LES positions at a mission to meet imposed cost reductions, the number of rotational positions abroad for rotational staff is reduced.
- Sometimes when positions are reclassified and staffed as non-rotational because a special skill set not found within the relevant pool is required, the business need for that special skill fades over time, but the position is never recaptured by the rotational pool.
- In general, the desired balance suffers when individual and managerial event-level preferences drive the annual assignment process rather than the principles of systems management for DFAIT's long-term corporate interest.

#### 4.2.1.2.4 Problems

When the pools of positions and people get out of synch, business imperatives can drive classification and staffing decisions that offend the rotationality policy. These undermine the integrity of the system and departmental effectiveness and create internal pay inequity, security and other serious HR issues. To the extent that these aberrations proliferate and persist over time, a number of problems can be created. Here are some examples:

- A chronic insufficiency in rotational group (largely FS) recruitment over the years has driven the move to resourcing from non-rotational groups, increasing the volume of temporary classification and staffing activity within DFAIT, and causing serious HR system overloads that delay service and impair operational effectiveness.
- Morale is damaged by glaring examples of internal pay inequity (in some cases FSs work in Headquarters side-by-side with LAs, COs and ESs who are doing exactly the same work for substantially more money).

- Although we will always need specialised non-rotational employees, there is no concerted management of career development opportunities for this group.
- While there will always be valid operational reasons for lateral entry of non-rotational employees into rotational pools, we do not have a simple, transparent and regular process to deal with such staffing actions.
- Non-rotational employees who succeed in joining rotational pools often enter at levels that take considerably longer to attain for those who were recruited into the bottom of the pool in the normal manner. This is seen as "jumping the queue", limits promotional opportunities and engenders a sense of injustice within the pool.
- Serious security issues can arise at a post where a rotational position has been converted to an LES position to save money, but the confidentiality of its duties requires a Canadian to fulfil them.
- While it has been the practice that promotion to rotational EX1 positions requires a previous posting abroad, some non-rotational employees are promoted without having met this criterion, creating dissonance between word and deed and adding to the pool some EXs who may not be able or willing to serve abroad.

#### **4.2.1.2.5 The Response**

The HR Steering Committee has confirmed that rotationality is an appropriate, indeed an essential policy. The rotational system, and the great flexibility it provides, is critical to meeting current and emerging business needs. Nevertheless, the Committee also recognises that there will always be exceptional circumstances and the pools will need to be carefully and consistently managed.

Peter Sutherland recently championed a fundamental review of the current status of our rotational system. His report was presented to Executive Committee in May. The report scoped the key issues, and suggested an action plan for managed rotationality. The report is attached as Appendix C. On the basis of that report, the Executive Committee has approved the following:

1. Each rotational pool will be assessed to determine its optimal size (positions and employees) in relation to our business needs.
2. Beginning with the specific areas where pools need to be adjusted (identified through step 1), positions will be subject to some kind of reassessment against the rotationality policy. Positions currently misclassified as non-rotational will be restored to the rotational pool, and vice versa. It is probable that some ES and CO positions within program bureaux will be reclassified as rotational, and most functional group positions within corporate services such as PEs and FIs will remain non-rotational. Likewise, some FS and AS positions may become non-rotational. To reduce the burden of this reassessment, it will be conducted as an extra dimension to the review



of positions for UCS conversion, scheduled to run from May until December of this year.

3. The effect of proposed reclassifications under the rotationality policy on the desired balance between position and employee pools, which drives the frequency and duration of the posting cycle, will be carefully considered and alternatives or remedies will be identified, before positions are moved between groups.
4. Similarly, the effect of proposed reclassifications on career paths for rotational and non-rotational employees will be carefully considered, and alternative paths or remedies will be identified, before positions are moved between groups.
5. There will likely be a carefully-controlled multi-year conversion to rotationality of non-rotational employees (encumbering rotational positions) who meet the rotational pool competency profiles and wish to become rotational.
6. Non-rotational incumbents of newly-designated rotational positions who do not wish to become rotational will be grandfathered on an appointment-to-position basis until they move on to another job.
7. Recruitment levels for rotational pools will be adjusted in light of the new departmental map and a forecast of departmental needs three years down the road (which will be identified through the business plans).
8. A regular, transparent lateral entry mechanism will be introduced following UCS conversion.

This initiative has significant people and policy implications for the department. It will have to be well thought through, well understood and supported by decision-makers, and well communicated throughout. The activities must be carefully orchestrated with those required within the same timeline for the implementation of the UCS and to support the pilot for the refinement and extension of our competencies-based HR management regime.

#### ***4.2.1.3 Demographic Analytical Model***

In the first HR strategy, we introduced our prototypical analytical model that would eventually allow us to monitor the evolving demographic profile of the department as a whole and of each of its communities. The model supported projections of current demographic trends into the future so that we can identify in advance critical workforce issues that are likely to arise. As a pilot test for this new tool, we analysed two of our six communities: the FS and EX Groups. We said that, beginning in April 1997, we would refine this tool and extend our analysis to the rest of the Department. Although we still believe that a sound understanding of our demographics is essential to the development and management of our HR strategy, this project stalled in 1997.

We want to be able to model the entire department far into the future, to track possible shifts of personnel between departmental communities through promotion, and possibly

to incorporate a competencies component that would tie into our expanded competencies-based HR management regime (see next section). We have discovered that we do not have ready to hand the in-house actuarial skills required to carry on this new work. Accordingly, we engaged an external consultant to review the prototype model, to test its capabilities, and to suggest improvements. The consultant has confirmed that the model is sufficiently robust to support the modest department-wide analysis for which it was designed (forecasting needed recruitment levels and promotional activity). Consequently, we will apply this tool to our other communities, beginning with the Management/Consular community, after we have completed our mapping of rotational pools.

The refinement of the model to also forecast competency requirements will depend on the success of collaborative Public Service-wide efforts led by the Treasury Board Secretariat. This refined model will be an important tool to support workforce planning and management of corporate pools.

#### ***4.2.1.4 Aligning Work with Purpose***

DFAIT is exceptionally fortunate compared with many other governmental organisations. Its business purposes are clear and indisputably critical to Canada's economic and social health. Furthermore, most of the work carried out by the department is directly related to these business purposes, allowing most employees to understand the ultimate value of their daily contributions.

As we noted last year, there are some kinds of work remaining in the department where employees are required to devote time to activities that are not efficient contributors to organisational success. To the extent that employees are engaged in work that they cannot clearly see as a contribution to the organisation's business purposes, they will be unaligned, regardless of how well everything else is configured to encourage them into alignment.

Six current initiatives will allow us to identify and eliminate low-value work. The integration of departmental business, human resource, information and financial planning, slated for introduction this fall, will help us allocate our investments to our most urgent priorities. The rotationality review, implementation of the Universal Classification Standard (UCS) and the competencies pilot project will, from varying perspectives, help us evaluate the relevance and value of work currently being performed in the department. The culture of modern comptrollership, and the related Performance Management Initiative in the Trade Commissioner Service, will strengthen our ability to assess value of effort and to redirect our investments to activity of greatest value to those we serve.

As these initiatives mature, we should be much better positioned to align our work with purpose and to keep our work aligned as our business purposes evolve.

#### **4.2.2 COMPETENCY-BASED HR MANAGEMENT**



There are many HR projects flowing from the HR strategy now underway (e.g. FS restructuring) or about to start (e.g. the corporate learning strategy). Each of these will require serious, sustained management attention in the months to come. The timelines of these projects are shaped sometimes by external drivers, such as the Public Service collective bargaining schedule, and sometimes by internal drivers such as the rhythms of our stream management cycles.

Our work to date on the HR strategy has convinced us that the competencies project is central to many of our planned reforms. The activities that comprise this project all fall along the critical path of the implementation plan. Delay these activities and reform is delayed.

We want to work with the Public Service to share our lessons learned and best practices from decades of experience with competencies, to leverage on the investments of others in this area, and to harmonise as much as possible our work with emerging Public Service standards.

DFAIT requires a competencies-based HR management regime that will:

- clearly articulate desired corporate behaviours,
- improve workforce planning,
- strengthen departmental capability and alignment of HR processes with departmental and Public Service strategic business objectives,
- promote a more open, more transparent culture,
- improve the ability to manage rotational and non-rotational staff,
- improve the ability to provide, through selected internal and external assignments, the targeted accelerated development of qualified people for forecast key vacancies,
- improve the capacity to meet departmental business needs while providing opportunities for extra-departmental resources to develop through DFAIT assignments key competencies required elsewhere in the Public Service,
- improve managerial rigour in, and accountability for, HR decisions, and
- involve employees more directly in planning their careers.

#### ***4.2.2.1 Current Status of Competency-based HRM within DFAIT***

Within most of the Public Service, staffing is done to a position and the criteria of the position are used to measure employees' suitability. DFAIT operates an appointment-to-level system for its rotational staff. In DFAIT's rotational pooling system, position criteria cannot be used, and, therefore, competency profiles for various levels have been developed. These competencies have been used both for recruitment and in the appraisals used for annual promotion boards. These same competencies are not extensively used, however, when considering developmental plans for employees or for assignments.

Competencies have been developed for LES, but these are not yet incorporated in HR processes. With the exception of department-wide corporate competencies, the LES will not be subject to the same regime as Canada-based staff. Competencies have not yet been defined for non-rotational staff (in any event, other than corporate competencies for all and job-specific competencies for some program non-rotationals, these will be defined by and for the full Public Service).

All rotational staff are assessed against the same criteria (competencies). Performance expectations change according to the level of the employee. For most assessments the criteria “roll up”: that is, employees are assumed to possess the skills and abilities assessed at lower levels.

The competencies currently used by DFAIT are compatible with, but not identical to, those suggested by the PSC for Executives. For those of our EXs interested in participating in the Pre-Qualified Pool (PQP) of ADMs and in the Accelerated Executive Development Program (AEXDP), the PSC model alone will determine their success. During the project, the current competency profiles and the mechanisms used to assess the competencies of individuals will have to be harmonised with the PSC model and adjusted to fit the new DFAIT regime.

#### ***4.2.2.2 Competencies in DFAIT***

For DFAIT the basic competencies of individual employees are the building blocks of departmental capability. DFAIT uses the definition developed by the Public Service Commission for the federal Public Service to describe competencies: “any skills, knowledge, values, attitudes, personal attributes or distinguishing qualities and motives as demonstrated through behaviours which contribute to successful performance of work”.

Within DFAIT there will be four layers of competencies:

- **corporate** competencies that are common to all members of the organisation regardless of their individual roles (e.g. teamwork);
- **group** competencies specific to each of the three major employee groups: rotational, non-rotational and LES (e.g. for the rotational group, adaptability and sensitivity to other cultures, both critical to delivering departmental services while stationed abroad);
- **community** competencies that are required for specialised functions normally carried out by specialised communities; and
- **level and job-specific** competency standards required for critical roles, such as “Head of Mission” and “Desk Officer, Trade Policy Division”.

#### ***4.2.2.3 HR Management Processes to be Supported by Competencies***

The following HR processes are to be supported by the competencies regime:

- **recruitment/selection**



- **performance appraisal**
- assignment
- training/career development
- **promotion**
- succession planning
- long-term HR planning, strategic HR management

For rotational groups, the bolded processes already fully use competencies.

#### **4.2.2.4 Challenges**

##### **4.2.2.4.1 Linkages with Other Departments and the Full Public Service**

The La Relève Task Force recognised that many departments are interested in competencies-based HR management. It warned that most organisations were developing competencies in isolation from other departments. The Task Force urged Public Service organisations to co-operate on these initiatives to reduce duplication of effort and to promote the concept that competencies are portable across boundaries.

This is an important issue for DFAIT for three reasons:

1. For the most part, the department's non-rotational staff is clearly tied to the broader Public Service and their competency profiles will best be built from service-wide templates (apart from the corporate competencies established for all DFAIT employees).
2. Since DFAIT is committed to participation of its executives in central agency La Relève programs such as the Pre-qualified ADM Program and the Accelerated Executive Development Program, the competency profiles developed for DFAIT executives must harmonise well with the profiles developed for the full Public Service.
3. DFAIT shares LES staff and some rotational groups with its business partners - CIDA and CIC, each of whom has taken an interest in competencies.

Accordingly, we have designed into the project provision for substantive consultations with external stakeholders to forge links with comparable initiatives underway in partner departments and central agencies.

##### **4.2.2.4.2 Global Implementation**

DFAIT maintains 128 missions and 31 satellite offices in 104 countries around the world, all of which must eventually be able to use the tools of the new competencies-based HR regime for Canada-based staff. Electronic access of these missions to central systems is currently problematic. Moreover, the state of internal administrative systems at each of these posts is extremely varied, from non-existent in small posts to state-of-the-art in

major missions such as London and Washington. This heterogeneous operating environment poses special training, security and informatics challenges for project design and implementation.

#### **4.2.2.4.3 Resistance to Culture Change**

Clear competency profiles for assignments will allow qualified individuals from outside the department to serve with DFAIT on secondments, even though they have not been developed within the career streams of the department. In some cases, clear understanding of the developmental needs of potential leaders will allow DFAIT to identify appropriate assignments outside of the department to accelerate acquisition of key competencies.

Changes to the promotion/assignment processes will be welcome to the degree that they create greater openness and transparency. The change to competency profiles will, however, create some apprehension amongst those who perceive that their careers might be affected. The challenge here is to develop strategies for proactively managing these cultural changes.

#### **4.2.2.5 Pilot Project**

The new DFAIT competencies-based human resources management regime will be piloted first with a cross-section of employees from the rotational and non-rotational populations as well as a cross-section of business lines and selected HR processes. It will be supported by an automated information system that makes the regime easy to use for managers, employees and HR management initially involved in the pilot. It will encompass eventually all aspects of staffing from recruitment, through training and development, to assignment and promotion processes. Finally it will be sufficiently scaleable to encompass eventually all employees, positions and offices within the department around the world.

### **4.2.3 STREAMLINED CLASSIFICATION: UNIVERSAL CLASSIFICATION STANDARD (UCS)**

#### **4.2.3.1 The Tool**

The UCS is a classification tool that will be used to evaluate work. It is a technology-based system that will be open and more easily understood by everyone. A single "universal classification standard" free of gender bias will replace the individual classification standards which now exist for each of the 72 public service occupational groups. The UCS is also expected to lead to simpler job descriptions.

For DFAIT, the UCS is vital to our HR strategy. It is the vehicle for delivering Public Service reform for our non-rotational people and key to the way our department will deal with other important issues, including restructuring the FS and administrative support groups, and resolving the classification issues attached to the Management/Consular stream.



The common standard of the UCS and the collapse of the current 72 groups into a smaller, broader group structure of 25 to 30 groups represented by 16 bargaining agents will raise some challenging compensation problems. For the first time we will be able to see clearly the compensation differences attached to work of comparable value across occupational groups. It is not yet apparent how instances of unequal pay for work of equal value will be resolved through the collective bargaining process.

#### **4.2.3.2 Implementation**

During the past year, DFAIT began preparing for UCS implementation, which will affect some 4,000 positions in all occupational groups (excepting only EX and LES positions). Our work started with the production of a single job description for groups of positions with similar duties. Developing these "lead files" will reduce the total number of job descriptions that the department must create. We have committed funding and have established a core UCS team with 10 HR specialists and up to 20 line staff. A special office has been created to house the UCS team, and members were trained on the Standard. Beyond the core UCS team, training was provided to employees to write work descriptions in the new format required by the Standard. Evaluation committees began their work late in the summer. A final review of these new job descriptions will be undertaken in November/December to verify consistency with the Standard. Positions will be converted to the UCS between January and March 1999.

As we review each job description, we will assess whether the position described should be rotational under the rotationality policy. The information so collected will provide the foundation for improved corporate management of our rotational systems. (see section 4.2.1.2 above).

#### **4.2.4 LEARNING STRATEGY – ALIGNED TRAINING AND DEVELOPMENT**

In the first HR strategy we recognised that we must develop a comprehensive long-term training and development strategy to ensure that our learning processes will fully support our human resources strategy and therefore our business purposes. We acknowledged that our investments in training and development are substantial and we must receive full value for them. We promised to re-examine existing and alternative delivery systems against our need, and reconfigure our programs as necessary.

In early December 1997, the Executive Committee reviewed a study of the Canadian Foreign Service Institute (CFSI) conducted over the previous fall. The study reviewed CFSI's mandate and relationship with departmental managers. It looked at DFAIT's overall resourcing for training and found current initiatives (such as this strategy, the UCS, and the TCS Performance Measurement Initiative) pose training needs which exceed current allocations. The study also examined the increasing complexity of the training function arising from information management technology. Finally it assessed the need to update the Foreign Language Training Policy.



The Executive Committee approved a revised mandate for the CFSI that recognises that it has the functional authority for departmental training. It is to be governed by a senior departmental committee that will meet several times a year to review training developments and to make recommendations to the Executive Committee. The Executive Committee asked CFSI and the Resource Planning and Management Secretariat, with the full involvement of relevant bureaux, to prepare a detailed forecast on the processes of change underway in such areas as informatics, trade and HR planning and development. Options for addressing emerging training needs and resource implications are to be spelled out. The training components of new initiatives are to be detailed in all new initiatives from now on, and comprehensive departmental training forecasts are to be a standard feature of annual reports on training.

With these decisions, the Executive Committee has taken ownership of the training function. It has also established the reporting mechanisms that will allow it to set training priorities in accordance with its business strategy, and to allocate funds where they will have the greatest positive effect towards the creation of the desired organisational capability.

#### **4.2.5 COMPENSATION**

Compensation policies are a powerful means of aligning people with purpose. DFAIT has two distinct roles in relation to compensation matters. For CBS, Treasury Board is the employer and has ultimate responsibility to determine rates of pay and other terms and conditions of employees, through collective bargaining for represented groups and unilaterally for excluded and unrepresented groups. In this case, DFAIT acts as an advocate for sound corporate decisions that serve the department's business interests and the interests of its employees. For LES, DFAIT is the employer, with delegated powers comparable to a central agency's to set rates of pay and terms and conditions of employment within the limits of the LES Regulations.

There are a variety of current compensation issues of concern to DFAIT employees. For brief descriptions of some horizontal compensation issues, please refer to the sections on the Universal Classification Standard (Section 4.2.3), the Foreign Service Directives (Section 4.3.4.1) and Spousal Employment (Section 4.3.4.2). For community-specific compensation issues, please refer to the community perspectives in Section 5 below.

### **4.3 AN ENABLING CULTURE**

Our third strategic HR goal is an enabling culture. By this we mean that DFAIT will have a working environment and a set of living values shared and manifested by all employees, that allow every one of us to make our very best contribution to Canada and the world through our work. We mean that the structures, information management and technology platform, and the management style of the department will encourage people to work with each other across functional and classification boundaries, and that teamwork and collaboration for the collective corporate good will be rewarded through our



compensation and recognition programs. We mean that the demographic composition of the DFAIT workforce will reflect the diversity of the Canadian people, and that our employees will feel free to use the official language of their choice in the workplace. We mean that human rights will be as respected in our organisation as we advocate that they should be respected around the globe. We mean that the difficulties of rotational service abroad for employees and their families will be minimised through supportive policies and programs. Achievement of this goal, along with the first two, will ensure that we are able to sustain our long tradition of organisational excellence well into the next century.

Several of the initiatives described in the preceding pages will contribute to the realisation of this goal. In this section we examine four areas we need to address to build an enabling culture:

- 1 dismantling barriers to an inclusive culture,
- 2 building a representative workforce through official languages, employment equity and youth programs,
- 3 improving information management, and
- 4 supporting rotation abroad through programs for the reimbursement of post-related living expenses and support for spousal employment while stationed in Canada and abroad.

#### **4.3.1 DISMANTLING DEPARTMENTAL BARRIERS TO AN INCLUSIVE CULTURE**

The three personnel systems we have fashioned within DFAIT to serve our business needs sit upon the foundation of the service-wide HR structures of the federal Government. Within this multi-layered complexity, our already diversified workforce is parsed by business lines into organisational units, by classification into discrete communities, categories, groups and streams and by geography amongst 159 locations around the world. While these divisions are intended to help us organise and manage for business effectiveness, they often become artificial barriers to understanding and co-operation in addition to those faced by some employees because of their differences.

We are looking for things we can do to open up our departmental society. As good leaders, our senior managers will model, and encourage in others, the behaviour that shrinks internal differences. We will simplify our HR structures through initiatives like the UCS to reduce the divisions amongst us. We will facilitate departmental dialogue about ourselves and the organisational ties that bind us to our common cause, through integrated business and HR planning, through initiatives like modern comptrollership and such corporate efforts as this departmental HR strategy. Our hope is to create a work environment where all of our communities and all of our employees can be accommodated and see themselves as valued contributors to Canada's common wealth.



### 4.3.2 BUILDING A REPRESENTATIVE WORKFORCE

We want a workforce that represents the Canadian public it serves and where all qualified Canadians feel welcome to work. The following sections describe how we intend to do this in the areas of official languages, employment equity and youth employment.

#### 4.3.2.1 Official Languages

The business purpose of *the Official Languages Act* is to ensure service delivery to Canadians in the language of their choice in Canada and abroad. This requires a workforce capable of providing bilingual service wherever we operate. As well, the *Act* requires us to provide a work environment conducive to the use of both official languages. While the first purpose is not directly related to an enabling culture, it is inseparable from the second purpose of making employees from both official language groups feel at home within DFAIT, a key objective of an enabling culture. Both purposes are therefore treated together in the following section.

##### 4.3.2.1.1 Legislative and Regulatory Framework

The *Official Languages Act* and Regulations require that:

1. the public be served in its preferred official language at federal departmental offices, whether in Canada or abroad;
2. employees occupying positions requiring the use of both official languages in areas of Canada designated as bilingual for language of work reasons be able to work and be supervised in the official language of their choice;
3. members of both linguistic groups have equal opportunities for employment and advancement, leading to a workforce that reflects the presence of both official languages communities.

##### 4.3.2.1.2 Proposed Strategy

Increasing the opportunities for employees to exercise their language of work rights depends on senior management's commitment to bilingualism. Despite our continued investment in the training of all EX members to the CBC level, a 1997 employee survey showed little improvement over the situation reported in the 1994 survey. While the proportion of EXs proficient in both languages is steadily increasing, we must put a greater emphasis on immediate post-training use in the work environment of the official language acquired. Therefore, in keeping with the recent announcement of a new policy on language requirements for EX members, and the decision of the Treasury Board to strengthen organizational measures for implementing the Official Languages Act, the department will:

1. identify a senior official, accountable to the Deputy Minister, who will become the champion of official languages within the department;



2. continue to develop with each EX individual language training plans to meet the CBC level; and
3. examine the integration into the performance review of EXs the assessment of their managerial obligations towards official languages.

Some missions have long been unable to offer services in both official languages, particularly from LES. While our stringent official language requirements on entry to the Foreign Service and Management/Consular streams will ensure a strong official languages capacity abroad in the longer term, it is not always the case in the shorter term. Specific action will be undertaken in 1998 to resolve this situation by addressing not only the immediate problem of unilingual staff but also by developing strategies for the longer term as follows:

1. examine with each mission options (including language training where required) to correct existing deficiencies;
2. conduct a comprehensive review of the hiring practices for LES positions requiring contact with the public (e.g. identification of language requirements, statement of qualification, selection standards etc.) and develop recommendations for the future recruitment of LES, according to the varying circumstances of local markets;
3. implement a formal system requiring HOMs to report annually to the centre, prior to the assignments exercise taking place, on the needs of their mission in bilingual staff for the coming year to ensure that it can adequately fulfil its official languages obligation to the Canadian public; and
4. review the department's official languages training policy to ensure best value for money in trying to meet our operational needs and official languages obligations, in light of diminishing resources.

#### **4.3.2.2 Employment Equity**

Our objective is a working environment supportive of the delivery of employment equity policies and programs through a more structured organisational (i.e. outside of HR) and policy framework. Our ultimate objective is to embed in our culture an integrated approach to employment equity in our day-to-day business.

##### **4.3.2.2.1 Legislative and Regulatory Framework**

The new *Employment Equity Act* and Regulations came into force on October 24, 1996. As of October 1, 1997, organisations must have suitable processes in place to ensure compliance.

The *Employment Equity Act* and Regulations require that we:

1. conduct a workforce survey;

2. conduct an analysis of the workforce against external workforce data to determine under-representation in each occupational group;
3. conduct a review of employment systems, policies and practices to identify employment barriers;
4. prepare an employment equity plan, driven by the results of the workforce analysis and employment systems review, and incorporating three-year numerical goals;
5. consult with employees' representatives and bargaining agents who shall collaborate in the planning and implementation of employment equity plan;
6. implement the plan, monitor its implementation and revise as needed; and
7. provide information to employees about employment equity.

These obligations are now enforceable through the Canadian Human Rights Commission (CHRC) which has an audit and enforcement role. The CHRC is empowered to audit us every five years.

#### **4.3.2.2.2 Proposed Strategy**

In 1998, we will develop and implement an Organisational Framework that includes:

- a senior Employment Equity Champion (ADM level) for direct access to the Executive Committee and for the promotion of diversity principles throughout the Department;
- a formal departmental Advisory Committee made up of designated group members to advise on employment equity matters;
- a managerial accountability regime to encourage the systematic reporting of all departmental initiatives related to employment equity for the purposes of sharing best practices internally and providing more comprehensive and accurate reports to central agencies and other organisations such as the Assembly of Manitoba Chiefs; and
- our expectations of individuals for promoting employment equity and a description of the benefits of self-identification both for themselves and the organisation.

In 1998 we will also develop and implement a new Policy Framework that includes:

- a departmental employment equity policy to assist managers and employees in meeting their employment equity responsibility (accommodation of differences, flexible work arrangements, exit interviews, etc.);
- delivery of training to acquire the skills needed for effective management of diversity as part of our management development program; and
- implementation of special measures or programs to expedite achievement of employment equity goals



Progress in the recruitment of designated group members and changes in attitude and culture are slow to come. As an example, while the department's agreement with the Assembly of Manitoba Chiefs to increase the representation of Aboriginal peoples can be implemented within existing policy, we have made only marginal progress from year to year. In 1998, we will increase recruitment beyond the level dictated by business needs, if necessary, to ensure that we improve on past performance.

#### **4.3.2.3 Youth Employment**

Our objective is to help Canadian youth gain internationally-focused work experience in Canada and abroad, to facilitate their entry into the emerging global market place.

##### **4.3.2.3.1 Existing Framework**

The department has participated in student/youth employment programs for many years, including:

- *the Federal Student Work Experience Program (FSWEP), and the Post-secondary Co-op/Internship Program*, which provide learning assignments to secondary and post-secondary students;
- *the Federal Public Sector Youth Internship Program (FPSYIP)*, intended to help unemployed or under-employed youth develop the employability skills required to secure employment or be self-employed (funded by the Treasury Board Secretariat); and
- *the Youth International Internship Program (YIIP)*, which provides internationally-focussed work experience for unemployed or under-employed youth. YIIP is delivered in partnership with sponsoring private sector and non-governmental organisations. Interns are matched with Canadian businesses and organisations. The program is funded by Human Resources Development Canada.

These programs give us easy access to Canadian youth. While their value in the workplace is widely acknowledged throughout the department, the cost of assignments abroad can be high. Given the competing pressures for our scarce funds, in some sectors such costs may be unaffordable, or may be borne only at the expense of other important investments. Perhaps because of the fiscal situation, our current approach to the recruitment and management of youth focuses on short term benefits, to the exclusion of potentially greater long-term benefits. For example, youth employment can be an effective way to attract members of designated employment equity groups to Public Service careers.

##### **4.3.2.3.2 Proposed Strategy**

In 1998, we will develop and implement a corporate approach to youth employment that deals with:

- funding of assignments abroad and related issues such as medical examinations, passports, security clearance, etc.;
- criteria for the distribution of candidates to the various geographic sectors such as business needs, quality of assignments, etc.; and
- recruitment strategies to attract members of designated employment equity groups.

#### **4.3.3 IMPROVED INFORMATION MANAGEMENT (IM)**

Information Management (IM) is not an end in itself, but rather a function to support program delivery and service to clients. Like HR planning, IM planning must be rooted in DFAIT's business objectives. Information Management and Technology provides an infrastructure for electronic dialogue, but it is only part of the story.

A balance between electronic information access, electronic discussion/dialogue and face-to-face interaction is required. Human interaction is particularly challenging for an organisation that is distributed across 159 sites around the globe, when travel is expensive, budgets are shrinking and the enterprise-wide technological platform to support electronic communications is not yet fully-established.

DFAIT's most recent Information Management Plan, published in June 1997, documents 32 strategies and 92 individual initiatives, grouped into seven broad investment strategies. It provides an excellent overview of how our information management investments will help us build the "smart" information-based foreign affairs and international trade ministry that can achieve our foreign policy objectives despite limited resources. It envisions "an unprecedented capacity for planning, analysis, co-ordination, focused action and both rapid deployment and optimum placement of resources, all of which require excellent information management support."<sup>6</sup>

##### ***4.3.3.1 Integration of IMT and Other Corporate Resource Planning***

The Information Management/Information Technology strategy calls for the ongoing integration of information management requirements into departmental business planning as part of the redevelopment of SIGNET, and for the education of program staff in the creative use of Information Management Technology. As noted in section 4.2.1.1 above, we will ensure that integrated planning this fall also encompasses HR and finance planning as well.

##### ***4.3.3.2 IM Support for HR Activities***

###### **4.3.3.2.1 Core HR Systems**

DFAIT's global reach means that technologies must be used to facilitate HR management. HR uses IM/IT systems as tools for capturing, managing, using and

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<sup>6</sup> DFAIT's Information Management Plan: FYs 1996/97 and 1997/98, Executive Summary, Version 1.3, June 6, 1997.

disseminating information in the conduct of HR activities. For example, the refinement and extension of the competencies-based HR management regime depends upon the development and implementation of an easy-to-use, accessible, automated information system integrated with other departmental core systems. Similarly, Peoplesoft was being introduced in the spring of 1998 to improve the operational efficiencies of many standard HR transactions.

#### **4.3.3.2 Integration of Post and Headquarters HR Management Information**

The need for detail at the posts and the level of integration with headquarters HR systems may need to be further explored. That is, is it necessary that a post establish transactions with the headquarters system to manage LES - or is a local system (using the same business rules, categories, competencies, etc.) adequate? What level of reporting and information aggregation is needed? Must the post be tied to the HR information apron strings of headquarters?

For example, what level of information does headquarters require about LES? A local management and information system could manage all LES HR activities while providing summary information to headquarters. Standardised electronic reports, containing all the required data, could be generated by each Post's local system which could in turn be received by an headquarters system capable of providing a department-wide report on HR resources, allocations, use, budgets, competencies, etc.

#### **4.3.3.3 Learning Strategy**

The DFAIT learning strategy includes information packages for self-directed study now being prepared with IM/IT tools.

### **4.3.4 REDUCING THE PERSONAL COST OF ROTATION**

Since rotationality is fundamental to our HR framework, we need to ensure that our rotational employees and their families are well supported through programs and policies that minimise the difficulty of life abroad and periodic relocations. In this section we examine two such areas: the Foreign Service Directives, which provide posting incentives and reimbursement of post-related living expenses, and our policy on support for spousal employment.

#### **4.3.4.1 Foreign Service Directives (FSDs)**

##### **4.3.4.1.1 Overview**

The FSDs are central to every dimension of human resource management of the career foreign service. They were established in their present form in 1969, and are laid out in a codified form filling in excess of 450 pages, every word negotiated and agreed to by both bargaining agents and management. Canada is the only country that negotiates its FSDs within a collective bargaining environment. This helps ensure their broad acceptance within the foreign service population, but we must recognise that negotiations take time.



DFAIT is responsible for administering the FSDs for all public service employees abroad, while Treasury Board is responsible for policy and negotiations with the unions.

The following principles underlie the FSDs:

- they should be in harmony with Canadian social norms and expectations;
- they must make it possible for employees to serve abroad feeling that they are being reasonably and fairly treated; and
- they must be cost-effective and simple to deliver.

The basic principle determining the level and type of benefits of the FSDs is comparability with conditions in Canada's capital.

#### **4.3.4.1.2 Triennial Review**

The current FSDs are too complex and costly to administer and are not a flexible management tool. They promote an entitlement and dependence relationship between management and employees, and force management to intrude in the private lives of employees.

DFAIT's chief objective for the triennial review this spring is to simplify the FSDs to reduce the administrative burden, ease interpretation, and reduce the incidence of disputes and grievances. As much as possible, the new FSDs should enable employees to care for themselves. They need to be re-balanced for greater equity and updated to reflect the increasing need for elder care, older children in the family pursuing education later in life, and other characteristics of the family in the nineties such as spousal employment and the two-income family.

These are our views, but as the FSDs are negotiated between Treasury Board as the employer and Public Service bargaining agents, through the National Joint Council, the Triennial Review may produce results quite different from what we would see if the shape and substance of the FSDs were ours alone.

#### **4.3.4.2 Spousal Employment Issue**

The issue of spousal employment is not unique to DFAIT rotational employees. It is one that also exists for other "rotational" services such as the Canadian Forces and the RCMP. For a spouse of a rotational employee, the constant movement, and in many cases the lack of a reciprocal employment agreement with the country of posting make it difficult to forge a career. The problem in developing a career often affects employment opportunities for the spouse when the employee is assigned to a position in Canada as well. From an economic standpoint, most Canadian families rely on two incomes and, eventually, on two pensions (living standards must be adjusted where this is not the case).

The spousal employment issue has proven to be a particularly difficult one to resolve and, in fact, there is likely no totally satisfactory solution available. Extensive effort has been made over several decades by the department and the Foreign Service Community



Association (FSCA) in exploring options to create spousal pensions, to enable spouses returning from post abroad to collect Employment Insurance and to compensate spouses for representational work abroad. Despite sincere good will, repeated efforts have failed to resolve the many complicated issues surrounding these three initiatives. In this document, we concentrate on other initiatives that will help spouses find work. Progress on these other initiatives will be swifter than on the spousal compensation and spousal pension issues, which are extremely complicated, expensive and may require legislative change.

#### **4.3.4.2.1 Proposed Initiatives**

Accordingly, we will look at the following ways to help spouses find suitable employment, at headquarters and abroad:

##### ***At Headquarters***

- We will ensure that all headquarters managers are aware of the spousal employment data bank and encourage them to use it when staffing.
- We will explore, in consultation with CIDA, FSCA, and PAFSO, the possibility of establishing a standing offer with an employment agency to place qualified spouses in appropriate jobs.
- The spousal employment issue increasingly is cited in attrition surveys. We must address this issue as it is a strategic and long-term HR problem. For the first time we will flag the issue in our Business Plan so Treasury Board Ministers become aware of the dimensions of the problem and its financial and human resource implications.

##### ***Abroad***

- We will ensure that the pre-posting training for Heads of Mission and Mission Administrative Officers includes a full discussion of spousal employment issues.
- We will research multi-national/Canadian/EU etc. databanks and establish permanent links to these databases, entering into some kind of formal relationships on a reciprocal basis as required.
- We will monitor existing reciprocal agreements and look into extending the number of such agreements.

##### ***Review of Spousal Training Policy***

Departmental training is related to departmental work, is supportive of departmental business objectives and is available to DFAIT employees. At present, DFAIT operates under a special exemption from Treasury Board enabling it to provide non-employees, such as spouses of rotational employees, foreign language training to facilitate adaptation to the local linguistic environment abroad and to participate in representational functions. The current departmental Human Resources policy suggests that DFAIT may provide training related to DFAIT programs to spouses of rotational employees to increase their

employability at missions abroad, when there are no incremental costs and when the spouse conforms to the population for which the training is designed. However, this policy has been interpreted and applied without much consistency throughout DFAIT. The policy and the regulations that support it need to be clarified and their scope broadened to include considerations such as eligibility criteria, managerial sponsorship, assessment of the potential for employment in DFAIT, resource implications and eventual Treasury Board exemptions. To that end, SPD and CFSI will undertake a review of training policies and practices which may be necessary to support the Spousal Employment Policy more effectively.

#### *Other Initiatives*

We will explore options for covering training costs to enable spouses both in Ottawa and at posts abroad to upgrade skills by means of traditional and distance education. We will also explore the possibility of extending coverage of FSD 17 regarding spousal employment assistance. In particular, we would suggest extending eligibility to receive coverage under FSD17.02 (covering costs for a professionally-prepared curriculum vitae to assist in finding suitable employment) to include any spouse returning from a posting abroad, whether or not that spouse was employed until six months prior to departure from Canada. We would also recommend extending eligibility to cover costs incurred no later than one year following arrival at the new place of duty. With respect to FSD 17.01, we will explore the possibility of extending coverage to include professional job placement help and upgrading of skills.

Assignment officers will be instructed to continue to consider the impact of the assignment of employee couples on the career prospects of other employees. Where practicable, and where conflict of interest can be avoided, the assignment of employee couples will be encouraged.



In this section, we review for each community of DFAIT the key implications of the several change initiatives described in the preceding section. We note any critical issues that have not been identified previously in this document. Finally we record significant progress made to date on community issues of importance since the first HR strategy was released in April 1997. More detail can be found in the full community-specific HR strategies (expected to be available later this fiscal year).

### **5.1 THE LOCALLY-ENGAGED STAFF (LES) GROUP**

#### **5.1.1 PROFILE**

Numerically, the largest personnel system encompasses LES who work only at missions abroad. There are about 4,300 LES employees who support both program delivery, such as international business development, public affairs and cultural affairs, as well as mission administration. All LES are employees of DFAIT, although many support programs of our portfolio partners, especially the immigration program.

The number of LES has grown as Canada-based staff (CBS) has been downsized, and the group now comprises almost 55% of the department. LES represent 80% of DFAIT staff abroad, and play an increasingly important role in the delivery of our programs. They are now expected to advocate Canadian interests, to provide client service and to manage resources in accordance with Canadian standards and expectations.

#### **5.1.2 CLARIFYING THE ROLE OF LES**

As we noted last year, we need to align the role of LES with our business purposes. At the moment, there is no clear departmental policy on how resources should be allocated to each mission. In consequence, the role of LES has shifted considerably in recent years, for financial rather than strategic reasons. As expensive CBS positions are reduced in missions, more affordable LES are asked to take on work traditionally done by Canadians. As a result, some mission administrative officers (MAOs) are now LES, and some LES are now doing political analysis. When we shift the balance of our trade resources from Headquarters to the field, cost considerations may cause us to consider LES for new trade positions in missions.

This trend has caused some problems. In some missions, cost-driven conversion of administrative support positions from CBS to LES has left only one Canadian administrative support person in place. In consequence, the work of that person has broadened to encompass all of the duties that must be discharged by a Canadian, at the same time that it has expanded because of other factors such as evolving technology. In some cases, existing security requirements, which were designed on the assumption that two or more CBS administrative support people would be available, have had to be redesigned to accommodate the new reality.

Over the next few months, we will complete our study of these issues assisted by representatives drawn from geographic and functional bureaux. We will recommend a departmental policy on LES staff, which will articulate the role of LES and the conditions attached to the creation of LES positions.

### **5.1.3 PROGRESS TO DATE**

#### **5.1.3.1 Classification Conversion**

A new ten-level standard for LES was introduced in the early '90s, for the consistent evaluation of all missions against a common standard, thereby ensuring internal equity both within a mission and among missions. It is the key compensation tool that allows us to attract the labour we require in each of our local labour markets abroad. For LES this universal standard is their UCS, applying to all office LES positions in all 159 missions abroad.

Since last year's HR strategy, the outstanding missions (all US missions and three others) have either been converted or are now being converted to the standard, as promised. It is important to finish this conversion, both to ensure that all missions are using the same standard and because movement to the new compensation system depends upon conversion.

#### **5.1.3.2 Compensation Policy**

We needed to reduce the current burden placed on missions to do salary surveys on an annual basis and to improve the quantity and quality of data captured to reflect the local market. Accordingly, in 1997 we evaluated three separate sources of information (UNDP, Hay Management Consultants, and benchmarking against the US) as options to support the 1998 round of compensation adjustments.

We have selected both Hay Management Consultants and UNDP for all our operations around the world. While each source has its strengths and weaknesses, together they cover most of the required ground. We are now using data from these sources to support compensation setting in our missions.

To minimise the expense of data collection and analysis, we may move to a cyclical benefits review in missions, with exceptional interim reporting as required. In many parts of the world, we still have difficulty getting benefits information, as do other countries such as the US. We are exploring the possibility of partnering with such countries in the purchase of benefits data from consulting firms, or in the conduct of our own surveys with jointly-designed questionnaires.

We also continue to have difficulty in finding reliable market data for non-office staff, such as cooks, gardeners and drivers. Again we are exploring alternatives for obtaining the information we require. In the meantime, missions will have to continue doing such surveys using the existing methodology.



### 5.1.3.3 Training for LES

We must ensure that LES receive the training they need, just as CBS do. As we noted last year, without this investment, we cannot expect LES to advocate Canadian interests, to provide client service, and to manage resources in a way that meets Canadian standards and expectations.

A 1996 study conducted by CFSI and SPD confirmed the need to develop further the knowledge and skills of LES in several areas as follows: mission programs, operations, work practices and expectations; knowledge of Canada, its culture and its values; client relations; information management and technology; communications; and official languages. Drawing from the recommendations of the 1996 study, an integrated LES training strategy will be implemented over the next four years. Training programs will be designed to provide LES with the specific knowledge, skills and abilities necessary to do their jobs and to meet DFAIT performance expectations.

DFAIT will invest in training when employees need it most: either at the time of recruitment or when the employee is re-deployed to new positions within a mission. Programs will be developed to meet the core and job-specific competencies of the 17 main groups of LES. These groups are: Trade Officers and Assistants; Political/Public Affairs Officers and Assistants; Small and Micro Missions Corporate Services and Consular staff; Consular Officers and Assistants; Financial, Physical and Human Resources Administrators; SIGNET Administrators; Administration and Information Assistants; Immigration Officers and Assistants; CIDA Officers and Assistants.

The proposed LES training strategy will rely on a variety of complementary delivery mechanisms. Self-study modules supporting classroom-based programs will be delivered through the CFSI Virtual Campus as a pre-requisite to classroom training. Classroom training will take place in Canada to maximise exposure to Canada and to DFAIT subject matter experts. Tools will be developed to help supervisors ensure that the knowledge and skills acquired during formal training are applied on-the-job and to help them transfer their own knowledge and skills to employees. Missions will be asked to appoint a training co-ordinator who, under the direct authority of the Head of Mission, will act as a contact point for training, and oversee the management of official languages training (OLT) and information management and technology training (IMT). Finally, a tailored training program will help meet specialised training needs of individual employees.

In FY97/98, a pilot project involving 15 LES property and materiel managers was conducted. It involved a 40-hour self-directed study course which participants completed at the mission before coming to Canada for three weeks of intensive training tailored to their responsibilities at the mission. The in-Canada program included an "Orientation to DFAIT", "Property and Material Management", "Contract Management" and "Contract Negotiation". They also received training in "Leadership and Supervision", "Working in Teams", "Communicating Effectively", and "Leading Your Team for Quality Service". The evaluation of the pilot project revealed a high degree of participant satisfaction and



most posts indicated that the impact of the training was immediately visible upon return to post. Most commented favourably on the value-added aspect of providing this training in Canada.

In FY 1998-99, there will be an unprecedented level of training available to LES coinciding with major projects which will unfold during that year. In effect, the introduction of the Integrated Management System, the renewal of the Signet platform, and the implementation of the Performance Measurement Initiative will require major training blitzes involving most LES to varying degrees. The Consular training program and the individual professional training program will continue to be available to LES. During this important transition year, the foundation will be laid at headquarters and abroad for the progressive implementation of the proposed integrated LES training strategy over the next three years. This will include the Virtual Campus, which should make modest beginnings in FY 98/99, offering LES the possibility of accessing some form of training using self-paced learning technologies and methodologies within the SIGNET environment.

#### ***5.1.3.4 HR Function***

In 1997, we confirmed our co-ownership with the Treasury Board Secretariat of the pension/social security/insurance policy and programs for LES and our policy and administrative responsibilities therefor. These programs must, by longstanding policy, comply with local laws and be comparable to those provided by other good local employers.

We also formed the LES pensions and insurance division (SPSL) with six dedicated resources, to improve both our management of LES pension and insurance plans and the quality of our service to LES around the world.



DFAIT will progressively exercise the Treasury Board's authority under a three-phased delegation as follows:

**Figure 3: Delegation of Authority to DFAIT for LES pension and insurance plans**

<b>PHASE OF DELEGATION</b>	<b>POWERS DELEGATED TO DFAIT</b>
Phase 1, effective February 1, 1997	<ul style="list-style-type: none"><li>• Establish, maintain and administer pension plans in accordance with broad TB policy principles</li><li>• Participate in local social security schemes as employer</li><li>• Pay the employer costs of pension and social security schemes</li></ul>
Phase 2, effective some time in 1998/1999	<ul style="list-style-type: none"><li>• Approve the establishment of insurance plans or amendment to these existing plans</li><li>• Manage the insurance plans, with the vote transferred from Treasury Board</li><li>• Establish, maintain and administer specialised, separate pension plan in accordance with broad Treasury Board policy principles</li><li>• Authorise participation in social security schemes</li></ul>
Phase 3, effective some time in 1999/2000	<ul style="list-style-type: none"><li>• Vote (pensions and social security) transferred from Treasury Board</li></ul>



### 5.1.4 OVERVIEW OF HR INITIATIVES IN PROGRESS

The following table shows progress to date and the timeline ahead for several of the HR initiatives of importance to the LES community.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE		
			FY 98-99	FY 99-00	FY 00-01
Clarifying the role of LES		Study launched, report submitted			
Classification conversion		Completed in 05/98.			
Compensation policy reform		Completed-UNDP/Hay data for '98			
Training		Strategy done- phased implement.			
HR function reform		Pension/insurance group created			

Design    Implement    Maintain

## 5.2 EX GROUP

### 5.2.1 PROFILE

With the advent of the Executive programs of La Relève during the last year, all EX-4s and EX-5s, including those employed by DFAIT, are now treated as a corporate resource and managed as a single pool across the full Public Service. Accordingly, this community perspective treats EX-1s to EX-3s separately from EX-4s and EX-5s.

Level	Rotational		Non-rotational
	Headquarters	Abroad	
EX5	6	5	1
EX4	1	20	
EX3	26	75	4
EX2	8	63	4
EX1*	128	59	14
<b>Total</b>	<b>169</b>	<b>222</b>	<b>22</b>

\* Does not include approx. 21 unclassified EX positions in the Political/Economic stream & 32 unclassified EX positions in the Trade stream.

### 5.2.2 EX-1S TO 3S

#### 5.2.2.1 Stream Ownership of EX Positions

The current channels of entry into the EX Group via positions owned by the rotational FS, rotational M/C and non-rotational streams will be preserved for the EX-1 level. These channels are critical to the career management of these streams. All EX-1s will remain as they are, either rotational or non-rotational. Once in the pool, however, all EX-1s will be



eligible to compete for EX-2 positions on a promotion-to-level basis from within the pool.

#### **5.2.2.2 Rotational Pool**

We propose to convert all EX-2s and EX-3s - rotational and non-rotational - into a single rotational pool, subject to the individual agreement of each non-rotational EX. This will provide DFAIT with greater flexibility in the deployment at home and abroad of this valuable departmental resource. Those non-rotational EXs who do not wish to become rotational will be exempted from rotationality on a present-incumbent-only basis. (see Appendix C)

#### **5.2.2.3 Accelerated Executive Development Program (AEXDP)**

We encourage our Executives to participate in the AEXDP, and many already have. As a condition of entry into the AEXDP, successful candidates become corporate resources. In practical terms, this means that they cease to be employed by specific departments and are instead appointed to a pool of positions in the Public Service Commission and remain in that pool until they graduate from the Program, usually within three years. The program has both learning and assignment components framed around Public-Service wide core competencies, and is tailored to those who are interested in particular in accelerating their development as senior managers in the Canadian Public Service. While on the program, participants are not assigned to their former home Departments. Upon completion of the program however, they would be eligible for consideration for positions in DFAIT as vacancies occur. We recognize that experience with assignments in other departments and central agencies may sometimes be the quickest route to the acquisition of competencies that are critical to the business purposes of both SFAIT and the Public Service at large. For DFAIT Executives who find the AEXDP program less aligned with their personal interests, it is important to underline that all Deputies continue to have open to them a variety of means for the promotion and selection of their management teams. In the case of DFAIT, this includes competitive processes, assignments from the rotational foreign service pool, and annual rotational promotion exercises for EX levels where vacancies permit.

#### **5.2.3 EX-4s & EX-5s, THE ADM POOL AND THE ADM-PQP**

Since early 1997, all existing EX-4s and EX-5s have been invited to opt-in to the ADM Pool, through which the career management of all Assistant Deputy Ministers in the Public Service is undertaken in consultation with the DM-level Committee of Senior Officials (COSO), which is chaired by the Clerk of the Privy Council. Although ADMs are considered to be and are managed as a Public-Service-wide corporate resource, ADMs are and remain employees of the Departments and Agencies in which they are assigned. Since April 1997 all newly appointed ADMs are automatically included in the ADM Pool as a condition of their employment. The same holds true for all candidates who qualify in the annual ADM-PQP process administered by the Public Service

Commission, although the promotion of the latter to the EX-4 level occurs only when they are actually assigned to an ADM vacancy. The coordination of the "Corporate" management of ADMs, the services to DMs in staffing ADM vacancies as well as professional career advice and counselling to individual ADMs is provided through The Leadership Network, a newly established Agency which reports through the Clerk of the Privy Council to the Prime Minister.

With DFAIT's full commitment to La Relève, the annual ADM-PQP process is the principal path of entry to the EX-4 level within the Department. By exception, in the case where it is either impractical or impossible to fill a given ADM-level vacancy from the ADM Pool or the promotion of a candidate from the ADM-PQP, our DM's continue to have the option, as do all Deputies, of filling the vacancy through a one-off competitive process, however the latter are expected to be rare occurrences. Notwithstanding the classified level of the ADM position, ADM appointments from inside the Public Service are made at the EX-4 level. The only avenue now available for promotion to the EX-5 level is through the annual Public-Service-wide EX-4/5 Promotion exercise, which is coordinated through COSO and The Leadership Network.

#### **5.2.2.4 Progress to Date**

##### **5.2.2.4.1 Accelerated Promotion of Rotationals to the EX Group**

Last year we projected that very few of our current rotational EXs would voluntarily retire before the year 2002. This trickle of departures would rapidly swell to an unmanageable flood in the years between 2003 and 2009, peaking with 80 departures in 2008. To address this serious demographic challenge, we accelerated promotion from the FS stream, beyond the few rotational EX vacancies created by retirement. In 1997, 14 FSs were promoted to EX-1. We will continue to promote at least 12 per year regardless of vacancies until 2002, when we anticipate that departures (and promotions to vacancies) will increase significantly.

As well, the classification review of Management/Consular stream positions resulted in the conversion of three senior rotational AS positions to new EX positions for that stream. Although promotions to non-rotational EX positions will not be accelerated, ASs will continue to be promoted into EX positions as they become vacant.

##### **5.2.2.4.2 Participation in Public Service Executive Programs**

DFAIT has committed to the full participation of the department in the Public Service Executive programs of La Relève. In 1997, 17 of our EX-1s, 2s and 3s participated in the AEXDP. Three were accepted into the program, but two of these declined because of the timing in relation to their posting situations. Two AEXDP participants from the corporate pool are currently working on assignments within DFAIT. As well, 30 of our EX-1s, 2s and 3s participated in the competition for the Pre-qualified Pool (PQP) for



ADM appointments. Three were accepted, two of whom were promoted to EX-4 within DFAIT. Overall, our success rate was 16%, roughly the same as the Public Service average.

### **5.2.3 EX-4s & 5s AND THE PQP**

With DFAIT's full commitment to the PQP in January 1998, this program is now the only path of entry to the EX-4 and EX-5 levels within the department. The process is managed corporately by the Committee of Senior Officials (COSO), using the competency profiles developed by the PSC. Our EX-4s and 5s are now part of the Public Service corporate pool. This provides individuals with greater scope to acquire diversified experience and thus strengthen their chances of eventually becoming a deputy minister. It also enriches the pool of senior executives available to DFAIT and enriches the corporate pool with DFAIT talent.

### **5.2.4 EXECUTIVE COMPENSATION – THE STRONG REPORT**

On February 20, 1998, the Treasury Board approved the recommendations on compensation for public sector executives contained in the first Report of the Advisory Committee on Senior Level Retention and Compensation (January 1998). Over the next four years the total executive compensation envelope will increase by nearly 8%. Implementation will begin on April 1, 1998, while the Treasury Board Secretariat begins the development of a new "at risk" compensation program, to be paid on the basis of performance, measured against agreed-upon targets and the achievement of business plans. The "at risk" compensation program will be phased in over four years.

The "at risk" compensation program will provide us with another opportunity to strengthen our managerial commitment to business plans and human resource planning. The new performance contracts will include amongst their agreed-upon targets the achievement of specific HR goals tied to the business plan.

### 5.2.5 OVERVIEW OF HR INITIATIVES IN PROGRESS

The following table shows progress to date and the timeline ahead for several of the HR initiatives of importance to the EX community.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE		
			FY 98-99	FY 99-00	FY 00-01
Managing rotationality		Study launched, report done 05/98			
Demographic modeling		Done			
Competencies-based HRM pilot		RFP 05/98, pilot began 07/98			
Participation in PS EX programs		Fully in AEXDP and PQP.			
Compensation reform		Done for 98, pay-at-risk to come			
Accelerated promotion to EX/FS		Begun '97, will continue to '02			

Design Implement Maintain

### 5.2.6 FURTHER DETAILS

More information on these issues and other matters of importance to the EX community will be found in the full EX Community HR strategy which will be produced in the course of the integrated planning exercise.

## 5.3 ROTATIONAL GROUPS

### 5.3.1 THE FS GROUP

#### 5.3.1.1 Profile

Within DFAIT, the FS group is divided into the political/economic and trade streams, and officers are stationed at home and abroad as shown in the following table:

Level	Political/Economic		Trade	
	HQ	Abroad	HQ	Abroad
FS2	175	113	165	110
FS1	98	30	51	33
FS Unclassified	48	30	37	48
FSDP	25		25	
<b>Total</b>	<b>346</b>	<b>173</b>	<b>278</b>	<b>191</b>

#### 5.3.1.2 Rotationality Review

We expect that the rotationality review will result in the conversion to the FS group of some non-rotational CO and ES positions. This influx could increase internal competition for EX/FS positions and for assignment to posts abroad. Given existing



concerns that there are too few posts abroad to allow FSs to see as much foreign service as they would like, and may need, to develop the competencies required for promotion, this could pose a management problem for the pool. We thus propose that conversions will be managed over a number of years to ensure a balance of HQ and overseas assignments is maintained. We also propose to monitor proportional access to all EX-1 positions to ensure no significant variations develop.

The COs and ESs who agree to be converted will have the same promotional opportunities, and the same career management services, as all other FSs do. Incumbents of positions to be converted who do not wish to become part of the FS group will be left as they are on a present-incumbent-only basis, and their positions will be converted to FS when they become vacant.

To avoid the problem of cumulative misclassification and subsequent conversions in the future, we will strictly apply the rotationality policy to all positions new and changed from now on.

In addition, the Foreign Service Development Program (the FSDP, which replaced the FS-1 level – see below) provides for an assignment in a central agency to give our FSs some insight into the legislative framework and machinery of government for the broader Public Service. As this program matures, we will be looking to place a good number of FSDPers annually, of which only a few are likely to find central agency assignments. We will identify positions within the Corporate Services Sector where the balance of FSDPers can obtain comparable experience in planning; in finance, property, information and human resource management; and in communications. Since such positions will provide training value to FSDPers that is directly related to the functions performed by rotational employees, those which are now non-rotational will likely be found to be rotational under the departmental policy and folded into the FS stream in consequence.

#### *5.3.1.3 UCS*

The FSDP was introduced with the 1998 recruits (see Progress to Date below). With the introduction of this program, FS1s will be promoted to the next level of FS upon completion of five years service and satisfaction of standards. The balance of the FS Group - the FS-2 level - will be fundamentally restructured through the implementation of the UCS. There are two significant issues here.

First, the application of the UCS to the FS Group will almost certainly divide the FS-2 level into two or three levels, because the FS-2 level encompasses a much broader range of work than is normally found in the Public Service within a single level. In fact, the FS group may be the only group in the Public Service whose level structure will be expanded because of the UCS. Restructuring of the FS-2 level into more levels will better reflect the diversity of senior FS roles and provide more regular opportunities for promotional salary increases during an FS career.

We will have to create a process for converting employees to the new level structure. In the mid-1980s, when FS-3s were converted to the EX group, we converted everyone to the EX-1 level and then ran promotion boards to fill the EX-2 positions available. If the FS level is split into three levels, then conversion will become much more challenging and labour-intensive.

Second, as for all other groups affected by the UCS, new rates of pay are to be negotiated between the Treasury Board as employer and the responsible bargaining agents, in this case PAFSO. It is impossible to predict how this process will resolve the pay inequities between groups who do work of equal value. Consequently, we do not know at this time to what degree the UCS will resolve our own internal equity concerns about different rates of pay for work of equal value performed by a CO and a FS, for example.

#### **5.3.1.4 Progress to Date**

##### **5.3.1.4.1 Foreign Service Development Program (FSDP)**

The compensation elements of the FSDP, a version of the Management Trainee Program tailored to departmental requirements described in the first HR strategy, were negotiated with PAFSO and now form part of the FS collective agreement. The agreement was signed on April 24, 1998. The remaining details of the program are currently being developed in consultation with central agencies, CIC and PAFSO. The first FSDP recruits were hired in June, 1998. The FSDP brings higher recruitment salaries and faster progression through the range. The ab initio language training component ensures that all new officers will be fully bilingual on entry to the pool. The partnership between CFSI and CCMD as well as central agency assignments will provide improved training and development. In addition, the automatic promotion provisions of the FSDP will apply to existing FS-1s. (Key components of this program are outlined in annex E).

##### **5.3.1.4.2 UCS**

The UCS team is creating generic job descriptions for the FS, targeting to cut in half the number of positions that need to be individually documented in the conversion process. Nonetheless, all aspects of FS work will be described.

##### **5.3.1.4.3 FS Attrition Study**

In 1997, we completed the FS attrition study promised in the first HR strategy. As this study revealed a serious attrition problem attached to a select group of FSs, those who receive expensive/extensive training in certain difficult foreign languages, we did a further study of this group. Solutions to the business problems identified may involve a series of short and long-term measures. These include recruiting people who bring the required languages with them, rewarding those who use and maintain the special language skills developed at such great expense, and reviewing whether junior FSs should even be trained in these languages. The attrition study is attached as Appendix D.



**5.3.1.4.4 FS Exit Interview**

In 1997 we began to compile statistical information on reasons for FS attrition by means of exit interviews. The intelligence gathered from these interviews feeds directly into our community management policies.

**5.3.1.5 Overview of HR Initiatives in Progress**

The following table shows progress to date and the timeline ahead for several of the HR initiatives of importance to the FS community.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE		
			FY 98-99	FY 99-00	FY 00-01
Managing rotationality	■ ■ ■ ■ ■	Study launched, report done 05/98	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Demographic modeling	■ ■ ■ ■ ■	'97 analysis to be updated	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Competencies-based HRM pilot	■ ■ ■ ■ ■	RFP 05/98, pilot began 07/98	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
UCS	■ ■ ■ ■ ■	JDs & evaluation coms underway	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Accelerated promotion to EX/FS	■ ■ ■ ■ ■	Begun '97, will continue to '02	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
FS Development Program	■ ■ ■ ■ ■	Compensation agreed w PAFSO	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
FS attrition study	■ ■ ■ ■ ■	Annual monitoring	N/A		
FS exit interview program	■ ■ ■ ■ ■	In place	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■

■ Design ■ Implement ■ Maintain

**5.3.1.6 Further Details**

More information on these issues and other matters of importance to the FS community can be found in the full FS Community HR Strategy (to be developed by the end of FY 98/99).

**5.3.2 THE MANAGEMENT/CONSULAR STREAM (ROTATIONAL AS GROUP)**

**5.3.2.1 Profile**

The past 15 years have seen a dramatic change in the role of the rotational AS officer within DFAIT. The most significant event was the integration of consular duties with the group's previous management responsibilities. Increased delegation of authority to missions enriched and reinforced the portfolio of the Mission Administrative Officer (MAO), who has become the key resource advisor to the Head of Mission. Other pivotal issues include rapid changes in technology in the workplace, increased delegation of authority in resource management (human, financial, property and materiel), improved accountability, introduction of the hub-and-spoke concept - all of which had to be managed from a diminishing resource base.

Recent headquarters and mission audits have shown that overall management of resources in the department has improved and have directly linked this improvement to the Management/Consular stream. Despite this progress, some real problems remain. The breadth of their expanded role, their previous on-the-job experience and the training



programs provided to them have been more successful in developing strong generalist capabilities in rotational ASs than the deep specialist skills in corporate services areas they now require to support the management of missions. These specialist skills are essential to the effective use of the authorities delegated to missions in recent years. On the expectation that these delegated authorities would remove work from Headquarters, Ottawa staff in the Corporate Services Sector was reduced. In practice, some rotational ASs have not yet acquired sufficient expertise in key corporate services areas to exercise their delegated authorities without assistance from Ottawa, thereby continuing the former pressure for advice on fewer Ottawa resources. The hub-and-spoke concept cannot be fully leveraged until there are fully-trained rotational ASs in each hub who can manage their new advisory roles without regular support from Ottawa. We will address this challenge through the rotationality review (see below).

The stream is heterogeneous, the result of inconsistent management of the group in the 1970s and 1980s. People in the stream have varied education and work experience backgrounds. The disparate short- and long-term career expectations of stream members cannot be reconciled in a single view. On the one hand, there is a group of young and well-educated officers with high expectations of their own career prospects and their future contributions toward the good management of the Department. On the other hand, a quarter of MCS officers are now approaching retirement age and can reasonably be expected to view the balance of their careers somewhat differently.



The Management/Consular group is split between home and abroad as follows:

Level	Headquarters	Abroad
FS2	4	2
FS1	1	1
AS8	3	0
AS7	1	3
AS6	10	13
AS5	7	22
AS4	4	52
AS3	32	39
AS2	12	2
AS1	3	0
<b>Total</b>	<b>77</b>	<b>134</b>

#### **5.3.2.2 Demographics and Recruitment**

As we mentioned last year, the next application of the analytical model (described in section 4.2.1.3 above) will be to the Management/Consular stream. Once we have analysed the stream's demographics, we will work with the Stream Advisory Committee to develop career and succession planning strategies as we continue to recruit well-qualified, entry-level officers.

As we improve the professionalism of the Management/Consular stream through selective recruitment and competency development through formal training and job rotation, we will continue to reserve a number of stream openings each year for qualified personnel, including CRs and SCYs. The Management/Consular stream is a natural continuation for the departmental careers of excellent administrative support personnel. To the extent that we can, we will always favour investment in our people, and we also recognise that the female-dominated support groups must have promotional opportunities they can aspire to on merit. Last year we promoted 20 senior rotational and non-rotational administrative support into the stream through a rigorous competitive process, which tests for competencies and equivalencies for university education. This program will be preserved for the foreseeable future.

#### **5.3.2.3 UCS and Group Structure**

In the course of a classification review in 1995, the department took the position, with which Treasury Board agreed, that the addition of consular duties to the Administrative Services group justified its inclusion as a fourth stream within the FS group. Although the recommendation was never implemented for reasons unconnected with group allocation, our position remains the same and enjoys the support of the Stream Advisory



Committee. The UCS affords us the opportunity to put this recommendation into effect when the Treasury Board makes its decision on group structure for UCS implementation.

#### ***5.3.2.4 Rotationality Review***

As a major rotational community, employees and positions belonging to the Management/Consular stream will be included in the review. At this time, one thing is clear. Unlike every other rotational category, there are at any one time more rotational ASs abroad than there are at Headquarters. This means that ASs spend proportionately greater parts of their career outside of Canada than their rotational colleagues, losing some of the benefits of return such as regular re-orientation to our evolving culture. More importantly, because they are abroad for so long, some rotational ASs do not have sufficient time in Headquarters to develop and consolidate the skills and knowledge base they require abroad to manage the new responsibilities delegated to missions. For the most part, these skills and knowledge are best acquired through on-the-job training in the Corporate Service bureaux or Area Management Advisor (AMA) offices.

Accordingly, we will identify non-rotational positions in Headquarters where rotational ASs can acquire the in-depth expertise in various corporate service disciplines that they now require. Such positions will provide training value to rotational ASs that is directly related to their functions abroad. Some of these non-rotational positions will likely be converted to rotational positions under the departmental policy and folded into the Management/Consular stream in consequence.

Having converted a sufficient number of positions, we will expand the stream through conversion of qualified and interested non-rotationals or recruitment, to provide rotational ASs with the same balance for postings and home service as the other rotational categories. We will define the key competencies for management/consular service during our competencies pilot later this year. We will then create a developmental plan for rotational ASs to ensure that their on-the-job training is well sequenced and that the supplementary training they require is available when they need it.

The benefits of this initiative are several:

- Mission Administrative Officers will be better able to exercise the authorities delegated to missions, thereby improving post management;
- the platform abroad for the implementation of modern comptrollership will be strengthened; and
- the hub-and-spoke system will begin to operate as originally planned, with consequent relief for Ottawa resources who will be able to concentrate on their proper roles

#### ***5.3.2.5 Progress to Date***

##### **5.3.2.5.1 Management and Consular Classification**



In the first draft of the HR strategy, we undertook to review rotational AS classifications, taking into account the addition of consular affairs duties to the rotational AS stream and other changes in the AS workload. We are now completing a three-phase comprehensive review of all Management/Consular positions.

Phase I reviewed 128 positions, including all those with responsibilities for consular activities abroad. Having consulted a wide variety of sources including JPD, SPV, SMR, the AMAs, SPSA and SIV, we also interviewed employees and used the most recent work descriptions available. Of the 128 positions reviewed, 48 were classified upwards, six were classified downwards and 74 were confirmed at their current levels. This increased promotional opportunities for the rotational AS group.

Phase II involved converting the remaining 29 FS positions in the stream to AS positions. To date some 23 positions have been converted. When the decision to convert these FS positions was taken, the date for UCS implementation was unknown. This step was taken to improve promotional opportunities within the Management/Consular group during the interim period. When the Management/Consular group becomes the fourth FS stream, these converted FS positions will be properly allocated with rotational AS positions to that stream.

Phase III, which is a review of all remaining positions for the creation of generic lead files, is now complete.

**5.3.2.6 Overview of HR Initiatives in Progress**

The following table shows progress to date and the timeline ahead for several of the HR initiatives of importance to the Management/Consular community.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE								
			FY 98-99			FY 99-00			FY 00-01		
Managing rotationality	██████	Study launched, report done 05/98	██████	██████	██████	██████	██████	██████	██████	██████	██████
Demographic modeling	██████	To be completed in FY 98	██████	██████	██████	██████	██████	██████	██████	██████	██████
Competencies-based HRM pilot	██████	RFP 05/98, pilot began 07/98	██████	██████	██████	██████	██████	██████	██████	██████	██████
Classification review	██████	Done	██████	██████	██████	██████	██████	██████	██████	██████	██████
UCS	██████	JDs & evaluation cottes underway	██████	██████	██████	██████	██████	██████	██████	██████	██████
Group structure reform	██████	Begun '97, will continue to '02	██████	██████	██████	██████	██████	██████	██████	██████	██████

Design
  Implement
  Maintain



### 5.3.2.7 Further Details

More information on these issues and other matters of importance to the rotational AS community will be found in the full Rotational AS Community HR Strategy (to be developed by the end of FY 98/99).

### 5.3.3 THE ADMINISTRATIVE AND TECHNICAL SUPPORT GROUP (ROTATIONAL)

#### 5.3.3.1 Profile

The rotational administrative and technical support group has two components: the rotational administrative support component (primarily CR and SCY), and the rotational technical support component (primarily CS, EL and FI). In both cases, these components are the rotational arms of occupational groups that span the Public Service and have large non-rotational populations within DFAIT. What distinguishes them from their colleagues is their commitment to rotationality and service abroad.

Like their domestic counterparts, the rotational administrative support component has borne the brunt both of new technology and of workforce adjustment. The nature of the work they do, and the competencies required, have changed significantly. Because of continual downsizing, we have not been able to recruit new rotational CRs and SCYs and the population is ageing. For these reasons, the future provision to our missions of effective Canadian administrative support services is a matter of concern.

Rotational administrative support personnel are divided between home and abroad as follows:

Level	Headquarters	Abroad
SCY4	40	85
SCY3	49	44
SCY2	29	8
<b>Total</b>	<b>118</b>	<b>137</b>
CR6	0	7
CR5	17	12
CR4	49	16
CR3	12	1
<b>Total</b>	<b>78</b>	<b>36</b>

The technical support component is quite small. Its issues are largely those of how best to manage them as a community while preserving their connection with their non-rotational departmental counterparts.

Rotational technical support personnel are divided between home and abroad as follows:

<b>Level</b>	<b>Headquarters</b>	<b>Abroad</b>
EL9	1	
EL8	1	
EL7	6	1
EL6	13	9
EL5	40	27
EL4	15	
<b>Total</b>	<b>76</b>	<b>37</b>
FI4	4	
FI3	10	7
FI2	15	
FI1	15	
<b>Total</b>	<b>44</b>	<b>*7</b>
CS5	6	0
CS4	6	0
CS3	28	4
CS2	34	19
CS1	12	58
<b>Total</b>	<b>86</b>	<b>81</b>
<b>* Non-Rot Employees on Single Assignment</b>		

### **5.3.3.2 Rotational Administrative Support**

In March 1997, a focus group of rotational SCYs and CRs and their managers was convened to examine what rotational administrative support do, what they can do, and what they should do, to serve the department's business needs.

As detailed competency profiles were developed and analysed, the group found that the breadth and depth of SCY and CR skills have increased considerably in recent years; the groups have much in common; and job descriptions have not kept pace with the evolution of new administrative support competencies.

Managers described their need for a "program assistant," "office manager" or "administrative assistant". They saw staff in the new role acting as an integrated part of the team, the "information hub" of the division, bureau or mission. Managers identified two business requirements as critical: records management and security, primarily in the areas of documents and communications. They also required administrative support with basic budget management and accounting control skills; knowledge of governance,



procedures and policy; a high level of computer literacy; and research, writing and communication skills. As important were the attributes of flexibility and adaptability, teamwork, initiative, and good judgement.

In short, the managers were looking for a “hybrid” combination of SCY/CR/AS capabilities in their administrative staff. They identified three elements required to build the administrators they need: a new classification system, improved training programs and institutional and personal recognition of the value administrators bring to the organisation.

The focus group felt that the full range of available skills was not being engaged effectively for two reasons:

1. although individual SCYs and CRs are often required to go beyond the traditional limits of their positions to develop and use new skills, these expanded duties and demonstrated new competencies have not yet altered the general perception of the groups’ capabilities as a whole – the shift is largely unrecognised;
2. as long as job descriptions continue to lag reality, the true broadened capabilities of SCYs and CRs will continue to be unacknowledged, untapped and unrewarded.

The participants developed 18 recommendations for reshaping the roles of SCYs and CRs to meet new departmental needs for administration.

The results of our internal consultations mirrored what we learned from our participation in the interdepartmental task force on the Workforce of the Future. We will pursue the development of an integrated training and assignment program for rotational administrative support based on acquired and accredited competencies. The UCS will allow us to collapse our administrative support groups into a single group whose role within missions we can better align with our business purposes.

#### **5.3.3.2.1 Progress to Date**

##### *5.3.3.2.1.1 Resolution of the CR Surplus*

As promised in the first HR strategy, in 1998 we fully resolved the CR surplus through a combination of measures. We reviewed all non-rotational CR positions with term incumbents, and, where appropriate, we changed the position to rotational and staffed it from the surplus pool. In some cases, surplus employees availed themselves of the Early Retirement Incentive (ERI) program or benefits under the Work Force Adjustment Directive (WFAD). Finally, some senior CRs were promoted to the rotational AS community. Once our HR strategy is firmly in place, we will manage our workforce proactively so that these kinds of management issues do not arise again.

##### *5.3.3.2.1.2 Provision of Career Opportunities*

In 1997, we promoted 20 administrative and technical employees into the rotational Management/Consular stream, through a rigorous competitive process. Given the natural fit of the work of the stream with the experience and competencies developed within the



rotational administrative support group, we will preserve this periodic promotional opportunity for its members.

### **5.3.3.3 Rotational Technical Support**

#### **5.3.3.3.1 Rotationality Review**

Virtually all DFAIT's ELs are rotational (109). The number of rotational FIs is very small compared with the non-rotational FI population (seven vs. 44 See p.74 and p. 78 ). DFAIT's CSs are split equally between rotational (75) and non-rotational (82). During the rotationality review, all rotational technical support positions will be examined to confirm their rotational nature, to clarify the departmental purposes they serve abroad, and to assess the adequacy of current management arrangements (the balance of rotational positions at home and abroad, the balance of employees and positions, etc.). (As CSs and ELs are employed within SXD and have a well-developed HR strategy available to them for review, detailed plans for these groups are not covered here.)

#### **5.3.3.3.2 Progress to Date**

##### *5.3.3.3.2.1 Recruitment of Technical Support*

Faced with an aging rotational CS population and the possibility that the wave of CS departures from the Public Service may soon hit DFAIT, the Information and Technology Bureau has the key challenge of recruiting and retaining new, younger CSs and EL professionals, in an intensely over-heated labour market. Furthermore, the market supply of good candidates for senior EL positions is very limited. We have decided to recruit at the EL2 level and, through a new rigorous multi-year training program now under development, grow our own EL5s for assignments abroad.

### 5.3.3.4 Overview of HR Initiatives in Progress

The following table shows progress to date and the timeline ahead for several of the HR initiatives of importance to the rotational Administrative and Technical Support community.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE		
			FY 98-99	FY 99-00	FY 00-01
Managing rotationality	■ ■ ■ ■ ■	Study launched, report done 05/98	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Demographic modeling	■ ■ ■ ■ ■	To be completed in FY 98	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Competencies-based HRM pilot	■ ■ ■ ■ ■	RFP 05/98, pilot began 07/98	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Resolution of CR surplus	■ ■ ■ ■ ■	Done	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
UCS	■ ■ ■ ■ ■	Staffing, lead positions underway	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Work redesign	■ ■ ■ ■ ■	Focus groups complete	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Provision of admin career ops.	■ ■ ■ ■ ■	'97 promos. complete, recurring	■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■
Recruitment of Els	■ ■ ■ ■ ■		■ ■ ■ ■ ■	■ ■ ■ ■ ■	■ ■ ■ ■ ■

■ Design   ■ Implement   ■ Maintain

### 5.3.3.5 Further Details

A full Rotational Administrative and Technical Support Community HR Strategy will be developed by the end of FY 98/99.

## 5.4 THE NON-ROTATIONAL GROUPS

### 5.4.1 PROFILE

Driven by its business purposes, DFAIT has built a core organisational capability through its career rotational service. Long-standing departmental policy establishes that DFAIT is a rotational organisation, with non-rotationality being justified only on an exception basis. As the first HR strategy emphasised, however, exceptions to the rotational rule make up a good part of the department and are fundamentally important to its success. Non-rotational employees are key contributors to our organisational capability, and we need to ensure that we can attract, develop and offer these employees career development opportunities comparable to those offered to rotational employees.

Non-rotational employees fulfil two roles within DFAIT. First they provide specialist skills in program areas which cannot be supplied by the rotational groups. These employees are attached to economic (ES), trade (CO) and information services (IS) positions scattered across headquarters bureaux. Second, they provide corporate services, which include such functional specialties as personnel administration (PE) and financial administration (FI). These two roles have some issues in common, but otherwise pose

quite different HR management challenges. Consequently, we examine first some common issues and then look at each component separately.

#### **5.4.2 CAREER MANAGEMENT FOR NON-ROTATIONALS**

Until recently, career opportunities for non-rotational groups have been seen as lying outside of the department, in the broader Public Service where many more jobs at every classification level can be found. Recent analysis conducted in support of the rotationality review has revealed important findings that may alter this perception somewhat. First, for program groups such as CO and ES, there may be sufficient positions distributed across the program bureaux at each level to form a viable career ladder for internal promotion if we manage these groups on a pool basis. Second, non-rotational groups have proportionately as many EX positions available to them as do rotational groups. In fact, in some cases there is proportionately more headroom for non-rotational employees. Consequently, managing career paths and career management within DFAIT is more of a real possibility than we had realised. We need to assess these findings carefully, map the career paths available, and then communicate them effectively throughout the department.

The second role of non-rotational staff is the provision of corporate services, where non-rotational employees have had both a more significant presence and, a more clearly identifiable path through the ranks up to the EX1 level. Sometimes the internal career path is not always available or involves two-level jumps that may not be in the best interests of the department or the employee. Such gaps in the continuum are an unavoidable function of size. In such cases, we expect our employees to look for advancement and growth opportunities through promotions and assignments outside of the Department. For our part, we will look to the Public Service pool for the blend of new competencies and previous DFAIT experience that we require inside. In short, a DFAIT career for non-rotationals will involve stints outside the department when our ladder is missing a rung.

#### **5.4.3 REPRESENTATION FOR A COMPLEX COMMUNITY**

As we mentioned earlier, DFAIT is primarily a rotational organisation because of its mandate. One of the biggest challenges to sound HR management and fair internal treatment of non-rotational employees is that they are split amongst so many functional specialties, and in some cases (CS, CR, etc.) are just part of a larger community the other part of which is rotational. Many of the groups are quite small – there are 35 PEs, 41 ISs, and 51 FIs within DFAIT. Consequently, although non-rotationals make up 50% of personnel based in Ottawa, they are fragmented and do not have a single voice to speak for them. While we can prepare a detailed HR plan for FSs and cover over 900 indeterminate employees with one document, it is an unfortunate truth that we cannot develop the same kind of community plan for each of the smaller groups that comprise the non-rotational community. A discussion of career development issues for non-



rotational officers is included in the memorandum to the Executive Committee in Appendix C.

#### **5.4.4 ROTATIONALITY REVIEW**

##### **5.4.4.1 Program**

The rotationality review is reassessing all non-rotational positions against the rotationality policy. As a result, some positions within both program and corporate bureaux will likely be reclassified as rotational.

##### **5.4.4.2 Corporate Services**

There are at least two likely consequences of the review that will affect non-rotational positions in the Corporate Services Sector. First, the Foreign Service Development Program (the FSDP, which has replaced the FS 1 level) provides for an assignment in a central agency to give our FSs some insight into the legislative framework and machinery of government for the broader Public Service. As this program matures, we will be looking to place a good number of FSDPers annually, of which only a few are likely to find central agency assignments. We will identify positions within the Corporate Services sector in which the balance of FSDPers can obtain comparable experience in planning; in finance, property, information and human resource management; and in the Communications Bureau where they can obtain comparable communications experience. Most of these positions are likely to be non-rotational at the moment and will be folded into the FS stream for this purpose. In some cases, we may have to use supernumerary status.

Second, as noted above in the community perspective for the Management/Consular stream, we will identify some non-rotational positions in Headquarters where rotational ASs can acquire the in-depth expertise in various corporate service disciplines that they now require. We will do so in sufficient numbers that rotational ASs will have a better balance for postings and home service, as in the other rotational categories.

##### **5.4.4.3 Incumbents of Converted Positions**

There will be a controlled conversion to rotationality of non-rotational employees (encumbering newly rotational positions) who meet the rotational pool competency profiles and wish to become rotational.

Non-rotational incumbents of rotational positions who do not wish to become rotational will be grandfathered on an appointment-to-position basis.

##### **5.4.4.4 Effect of Conversion on Career Ladders**

Before converting non-rotational positions to rotational FS and AS positions, we will assess carefully the probable effects upon the non-rotational career ladders that do exist within DFAIT. We will identify alternative routes for advancement where conversion will reduce or eliminate an important rung or a longer-term career path.

#### **5.4.5 HR PLANNING**

Largely in response to La Relève, long-term HR planning with a Public Service perspective is now underway for four non-rotational groups within the Corporate Services sector. The Personnel Renewal Council is preparing a corporate (service-wide) plan for PEs, the Office of the Comptroller General is planning for FIs (who are also directly implicated in the Modern Comptrollership initiative), the Privy Council Office is planning for ISSs, and the Chief Information Officer (CIO) is planning for CSs. Each of these communities has a deputy minister as champion and a Subcommittee of COSO to further their strategic development. We will develop departmental plans for these functional groups in consultation with their Public Service communities, to ensure their and DFAIT's full participation in Public Service initiatives.

##### ***5.4.5.1 Economic and Trade Non-rotationals (ESs and COs)***

###### **5.4.5.1.1 Profile**

There are 72 CO positions and 28 ES positions primarily in the Trade and Economic Policy Bureaux. Many of the CO positions were brought to DFAIT on the amalgamation of Trade and External Affairs in the 1980's. However, new CO and ES positions have been established since then to respond to the increasingly complex trade and economic policy issues of the '90s.

###### **5.4.5.1.2 DFAIT Plan**

We expect that the rotationality review will result in the conversion to the FS group of some non-rotational CO and ES positions. Nevertheless, we believe a significant number of these specialist positions will still be required. Given their importance to the department it is clear that we should be managing our non-rotational employee communities such as our COs and ESs, as carefully as we manage our rotational groups to take full advantage of their talent and experience. We need to ensure that we can attract, develop and offer these employee groups career development opportunities comparable to those offered to rotational employees.

There may be a significant enough number and distribution of positions in some non-rotational groups such as the COs to provide the critical mass necessary to allow "pool" or appointment-to-level-type management, if this is an option employees are interested in. The pool concept allows management and employees more flexibility in terms of assignments. It would in fact formalize an existing and significant internal secondment system that is in place to facilitate single assignments. Moreover, an appointment-to-level system provides management with a promotion mechanism to actively develop and promote exceptional employees on a regular basis. Promotion boards rather than individual competitions could determine promotion in the CO group as is now the case for the FS group. The competency project which includes the CO and ES groups in the pilot will develop group competencies as well as the tools to allow this kind of pool management if we want to move in this direction. The rotational pools operate with sub-

groups of specialists (e.g. lawyers) and so a pool of COs with varying expertise and disparate career expectations is possible.

As this would be a major departure from current HR practices, we propose holding discussions with employee groups such as the COs to see if there is interest in, and potential to, introduce an appointment-to-level system. (See appendix C for a discussion of other career development options for CO and ES such as single assignment, lateral entry, secondments, and access to the EX pool.)

#### **5.4.5.2 Communications Community (IS)**

##### **5.4.5.2.1 Profile**

There are 41 positions which are classified as IS (Information Services). 22 IS employees work in the Communications Bureau, as well as one AS, one SI and one CO employee working in IS positions. There are also three COs, three FSs, six ASs, and three EXs (two rotational, one non-rotational) working in the Bureau.

A single IS employee works in each of the following divisions: TBR, PGR, LSR, REO, and URR. Of the 41 IS positions, all are non-rotational and 20 employees have been appointed on a term basis.

##### **5.4.5.2.2 The Public Service plan**

The Communications Bureau has been working with the Privy Council Office and other departments to produce a long-term HR plan for the communications community.

The communications community has identified the following initiatives as key to its renewal:

- the review and update of the community's foundation document: the Federal Communication Policy;
- a new emphasis on the development of internal communications capability within the community;
- a Communications Management Development Program to improve community leadership;
- an accelerated communications training program for new recruits;
- an online Jobs Bank set up on the Communications La Relève intranet;
- a communications career enrichment program, to improve mobility and developmental opportunities; and
- the definition of core community competencies.

These initiatives are already launched or are under development.

##### **5.4.5.2.3 The DFAIT Plan**

The departmental IS community has been directly involved in the initiatives described above, especially since ten DFAIT communications officers helped design the communications renewal program. As more than half of the IS positions are at the IS 5 and IS6 level, there is ample headroom for promotion. Several employees were given stretch assignments during the past year to help them develop new competencies, and several others saw their positions upgraded to recognise the growth of their responsibilities.

Nearly half of the Bureau's ISs (20 of 41) have been hired on term. Very few positions are occupied by rotational employees. Since the benefits of experience within the Communications Bureau for rotational officers are evident, efforts should be made to ensure that more rotational employees are assigned to the Communications Bureau in the future. This policy could have an impact on the opportunities for advancement within this department for members of the IS community. The rotationality review will determine the appropriate balance between rotational and non-rotational positions.

Over the past year, the DG of the Communications Bureau (BCD) personally met with most of the DFAIT candidates who applied for the Communications Career Enrichment Program. DFAIT communications officers have also taken full advantage of the course developed by the Public Service Commission, Treasury Board and PCO Communications and Consultation on using the Internet strategically.

Within DFAIT, parallel initiatives to provide training opportunities, enhance career opportunities and improve competencies are taking place. The recent IS-5 competition resulted in two promotions and generated considerable horizontal movement, which is providing new opportunities for members of the DFAIT IS community.

The Communications Bureau is enriching career experience by amalgamating job packages (e.g. combining responsibility for trade and political issues), streamlining work, and helping the IS community to develop the skills needed to provide more strategic, client-driven communications advice.

#### **5.4.5.3 Financial Community (FI)**

The Financial Community within the department is concentrated in several areas of the department: At headquarters in SBC, SRD, SMD, and JWF, and abroad in London, Tokyo, Washington, Paris, and Cairo.

##### **5.4.5.3.1 Profile**

The financial community is represented mainly in four bureaux: three FIs are in SRD, eight in SMD, 30 in SBD, one in CFSI and seven are stationed abroad. Of these, 14 are classified as FI-1, 14 as FI-2, nine as FI-3, and four as FI-4. The balance are classified in other groups.

##### **5.4.5.3.2 The Public Service plan**

The following existing and renewal initiatives will affect the FI community:

- an Independent Review Panel to make recommendations for the modernisation of the comptrollership functions in the federal government, including a Modernisation Office to facilitate the implementation of their recommendations;
- the Financial Information Strategy (FIS) which incorporates the move to accrual accounting and depreciation of capital assets;
- the Financial Officer Recruitment and Development (FORD) program, to ensure recruitment of FIs with the required skills;
- competency and demographic profiles for the FI community to support strategic human resources planning;
- the "Point of Contact" program which provides secondment opportunities to the financial community, to employees who are looking to broaden their skill-set;
- specialised training courses including the new "Orientation to Comptrollership"; and
- an Internet site *Comptrollership Search Index*, listing all central agency policies, regulations and guidelines.

#### 5.4.5.3.3 The DFAIT Plan

The financial community is represented mainly in four bureaux in the department, SRD, SMD, SBD and JWF with the highest representation being in SBR. Over the next year, SBR will develop, in consultation with the other divisions, an HR plan for the community.

Within the financial community, there is a commitment to employment equity principles and to recognising exceptional employee effort and achievement. Career development is promoted by arranging stretch assignments on an acting basis and being open to secondments within and outside of the department. Within SBR, there has been a focus on improving communications and on trying to implement career planning for the whole community. A demographic survey will be conducted to establish an inventory of employees. It is hoped this information can be used to increase the use of stretch assignments for employees and to help develop a longer-term strategy to staffing.

Career development and training is encouraged through attendance at professional development activities sponsored by organisations such as the Financial Management Institute (FMI). Within SBR, SBRP has specific responsibility for the development and implementation of financial training activities for the whole department. From a training perspective, members of the DFAIT FI community will benefit from the knowledge of and training on SAP, given that 15 departments will be using this product.

Within DFAIT, a Comptrollership Council was created in July, 1997. Chaired by Michael Conway, the Senior Full-time Financial Officer (SFFO), it is comprised of members of the AMA community and other areas of the department that have an interest in



comptrollership issues (e.g. SMD, SRD, SIX, CFSM, and JWF). One of the Council's goals is to implement the recommendations of the Report on Modernisation of Comptrollership in the Government of Canada.

#### **5.4.5.4 Information Community**

The Information Management and Technology Bureau (SXD) has drafted its own HR strategy, which serves as the departmental Information Community HR strategy as well. This is the first community and bureau HR strategy to be drafted. It links with the information community's service-wide HR planning, and will be aligned with this version of the DFAIT corporate HR strategy later this fall. The Strategy can be found on the Intranet at: ???????

The IM/IT HR strategy also fully supports the departmental IM/IT strategy, which in turn fully supports the DFAIT's business objectives. It is an excellent model for bureaux and communities to work from.

With mutually supportive corporate IM/IT and HR strategies directed to the department's business objectives, we have two of the three pillars required to support the beginnings of modern comptrollership in DFAIT. The third, an aligned financial strategy, will complete the platform we require.



The Bureau has the following composition:

Group	Rotational		Non-rotational
	Headquarters	Abroad	
AS		2	32
CM		5	1
CR		11	69
CS	50	38	83
DA-PRO		2	13
EL	50	55	6
EN-ENG			1
GS-ST			4
IS			1
LS			16
OM			3
PG			7
PR-COM			1
SI			48
ST-SCY			8
<b>Total</b>	<b>50</b>	<b>113</b>	<b>293</b>

#### 5.4.5.4.1 The Public Service plan

The Functional Plan for the Information Community published by the Chief Information Officer in May 1997 identified four urgent areas for action: compensation; outsourcing; recruitment and training; and the Year 2000 problem.

Since then:

- a collective agreement has been negotiated with the CS group that increased the pay envelope for CSs by 17.13%;
- while a three-year corporate HR strategy, and a recruitment, retention and training action plan are being developed, special recruitment offices have been established by the PSC to recruit Information Management Technology (IT) specialists into government and pilot programs are underway to explore alternative resourcing arrangements, such as selective outsourcing;
- a common competencies profile is being developed for the IT community in partnership with the Software Human Resource Council, for use inside and outside government;
- significant investments are being made in employee development to replenish the pool of qualified resources; and
- a Y2K action plan has been developed to help the Public Service recruit, allocate and retain qualified professionals throughout the critical conversion period.



#### **5.4.5.4.2 The DFAIT Plan**

The SXD HR strategy addresses the following aspects of HR development:

1. strategy for staff development and education;
2. definition of roles and responsibilities;
3. refinement and implementation of a performance management program;
4. definition of potential career paths;
5. provision of individual coaching;
6. implementation of personal planning mechanisms; and
7. review of rewards and recognition approach.

Specific goals are to:

- establish a consolidated HR support and internal training mechanism;
- bring in a senior HR practitioner to accommodate the volume of personnel transactions and to facilitate organisational restructuring; and
- focus on HR policy development, career planning and research into new, alternative HR practices.

Four aspects of HR management are targeted: competencies, staffing processes, multi-sourcing options and performance management.

Most recently, the "*Evaluation of Support for Information Management & Technology at Missions*" was tabled by SIXE in January, 1998. It cites issues including Canada-based versus LES staffing, senior systems administrators' salary concerns, etc.

#### **5.4.5.5 Administrative Support Community**

##### **5.4.5.5.1 Profile**

There are 113 SCY and 264 CR positions distributed throughout the department, although CR positions are concentrated in the Client Services Sector.

##### **5.4.5.5.2 The DFAIT Plan**

The competency profiles developed for rotational Headquarters-based SCY and CR positions apply equally to non-rotational positions. The focus group working on this issue found that the breadth and depth of SCY and CR skills have increased considerably in recent years; the groups have much in common; and job descriptions have not kept pace with the evolution of new administrative support competencies.

Managers described their need for a "program assistant," "office manager" or "administrative assistant". They saw staff in the new role acting as an integrated part of the team, the "information hub" of the division, bureau or mission. Managers identified two business requirements as critical: records management and security, primarily in the



areas of documents and communications. They also required administrative support with basic budget management and accounting control skills; knowledge of governance, procedures and policy; a high level of computer literacy; and research, writing and communication skills. As important were the attributes of flexibility and adaptability, teamwork, initiative, and good judgement.

In short, the managers were looking for a “hybrid” combination of SCY/CR/AS capabilities in their administrative staff. They identified three elements required to build the administrators they need: a new classification system, improved training programs and institutional and personal recognition of the value administrators bring to the organisation.

The focus group felt that the full range of available skills was not being engaged effectively for two reasons:

1. Although individual SCYs and CRs are often required to go beyond the traditional limits of their positions to develop and use new skills, these expanded duties and demonstrated new competencies have not yet altered the general perception of the groups' capabilities as a whole – the shift is largely unrecognised.
2. As long as job descriptions continue to lag reality, the true broadened capabilities of SCYs and CRs will continue to be unacknowledged, untapped and unrewarded.

The participants developed 18 recommendations for reshaping the roles of SCYs and CRs to meet new departmental needs for administration.

The results of our internal consultations mirrored what we learned from our participation in the interdepartmental task force on the Workforce of the Future. We will pursue the development of an integrated training and assignment program for rotational administrative support based on acquired and accredited competencies. The UCS will allow us to collapse our administrative support groups into a single group whose role within missions we can better align with our business purposes.

#### **5.4.5.6 PMs**

##### **5.4.5.6.1 Profile**

There are 29 PM positions in the department, scattered across 15 bureaux. This distribution of PMs shares neither a common purpose nor a common home within the department. Consequently, it is hard to treat them as a distinct community.

##### **5.4.5.6.2 The Initiatives**



UCS implementation will shrink the group structure and may resolve most if not all of these positions into core DFAIT communities which have their own HR strategies. Furthermore, the rotationality review may also determine group allocation.

#### **5.4.5.7 ASs**

The majority of ASs work in the Bureau of Physical Resources (SRD) (see next section), with the remainder scattered, like PMs, across many other bureaux. The comments made in the preceding section likely apply to these scattered ASs as well.

#### **5.4.5.8 Real Property Management Community (AS and EG)**

##### **5.4.5.8.1. Profile**

The Bureau of Physical Resources has a number of professionals dedicated to the management of real property abroad (portfolio managers, realty managers, policy advisors, project managers, interior designers, rotational maintenance officers and engineering technicians). In addition, at missions abroad the Canada-based or locally engaged mission administrative officer or property officer is responsible for overseeing day-to-day management of physical resources.

##### **5.4.5.8.2. The Public Service Plan**

Treasury Board's sub-committee, the Real Property Community Development and Conference Committee, acts as a central entity for co-ordinating training and communications for the federal real property community, with the following objectives:

- organising an annual real property conference;
- dissemination of training, education and information;
- preparing a quarterly newsletter; and
- managing an awards and recognition program.

The Committee consists of 15 to 20 members from a representative group of property custodian departments, Crown corporations, and federal public agencies. DFAIT is a permanent member.

##### **5.4.5.8.3 The DFAIT Plan**

DFAIT's focus for human resource development centres around the following:

- Physical Resources Bureau: Courses offered by the Project Management Institute and professional accreditation and training related to construction, negotiation, ethics, real estate law, accrual accounting, and SAP/IMS;
- Mission Administration Officers: New Mission Administration Officers (MAOs) are offered extensive instruction on property maintenance and sound management practices;



- **Locally Engaged Staff:** a pilot project organised by the Canadian Foreign Service Institute (CFSI) brought locally engaged property managers to Ottawa for property and materiel training. We plan to expand this activity in the future.

#### **5.4.5.9 Purchasing and Supply Community (PG)**

##### **5.4.5.9.1. Profile**

There are 33 PG positions in the Department: 22 in SRD; five in SXM; five in SBA and one in ISD. Of these, 19 are classified as PG1, seven are PG2, and seven are PG3.

##### **5.4.5.9.2 The Public Service Plan**

DFAIT is participating in an inter-departmental working group initiated by the Materiel Management Institute to establish a professional development program for materiel and supply management within the Government of Canada.

The objective of this committee is to ensure the delivery of the comprehensive and standardised Materiel and Supply Management Training and Certification Program, which will provide skills training and professional development opportunities.

##### **5.4.5.9.3 The DFAIT Plan**

The Departmental Materiel Management Committee, chaired by the Director General of Physical Resources Bureau and comprised of representatives of all functional units with a significant materiel management component, has developed competency profiles for the largest community of PG employees and is adapting these competencies for smaller similar groups. Competency profiles will be used to establish the training requirements for this group and to facilitate transfers between organisations.

#### **5.4.5.10 The Training Community**

##### **5.4.5.10.1 Profile**

The training community is composed of both ED-EDSs (18) and staff in several other categories (FS, AS, SCY, CR, CS, PM, PE, FI) who are involved in training as education specialists, training managers and advisors, training assistants and trainers. Although the training community resides primarily within CFSI, several members of the community work in other areas of the department.

##### **5.4.5.10.2 The DFAIT Plan**

The training community, a relatively new cadre of expertise for DFAIT, has emerged as the number of DFAIT employees dedicated partially or entirely to training has grown, particularly since the creation of CFSI. A structured professional development program and the introduction of greater consistency in job descriptions and designations in conjunction with UCS implementation are the first measures in an effort to develop a HR strategy for this community in the coming years.



#### **5.4.5.11 Human Resources Management Community**

##### **5.4.5.11.1 Profile**

The human resources management community is composed of 129 employees of which 104 are non-rotational, classified in the PE (Personnel Administration) group (35) as well as employees classified in the AS (24), CR (50), SCY (7), FS (10), and EX (3) groups. Generally they are employed in SPD and SBD.

##### **5.4.5.11.2 The Public Service plan**

In May 1997, the Subcommittee responsible for the human resources management community presented to COSO a report prepared by the Personnel Renewal Council highlighting the four key challenges facing the HR community: readiness capacity, making a new role operational, business management and community health. The strategy for renewal supports current initiatives with a view to engaging the community, aligning energies and taking action.

The primary goal is to help the community become a more strategic business partner. The subcommittee will help the community develop the capacity to participate as a full player, understand the collective dynamics of an organisation and the impact of management decisions, and understand and contribute to departmental business lines.

In support of this goal, the following initiatives have been undertaken:

- a Learning Advisory Panel has been formed to develop a corporate learning strategy for the community;
- a program has been launched to educate DMs on how the HR community can support departmental business objectives;
- five working groups are now establishing a community profile, identifying core competencies, reviewing selection standards, developing performance measures for the HR function, and developing a set of guiding principles and a code of ethics;
- a communications program is being developed including the creation of vehicles for dialogue amongst all levels of the community and its clients and WEB sites to share information regularly; and
- a recognition program has been launched by the Personnel Renewal Council.

#### **5.4.5.11.3 The DFAIT Plan**

The human resource management community in DFAIT is diverse and is composed of employees in the PE, AS and CR groups. Generally they are employed in SPD and SBD. As over three-quarters of DFAIT employees are either rotational or locally-engaged employees, the human resource responsibilities of the Department are unique in the public service and present special challenges to the human resource management community.

Of interest to some human resource employees is the interface with the rotational community and the career development opportunities available through single assignments. There is scope for more rotational officers moving through SPD balanced by more human resource personnel taking on single assignments abroad. This would broaden the base of knowledge of human resource issues among rotational managers and provide non-rotational human resource employees with a more complete understanding of rotationality and the issues involved in managing personnel abroad.

As the human resource community in DFAIT is small, career development opportunities in the wider public service, including through secondments, is being encouraged. Moreover, as the human resource function becomes less transactional and more strategic, human resource staff will need more training and experience in a variety of human resource activities in order to play an effective advisory role to line managers. This will require a more "rotational" approach to assignments within the human resource specialties including staffing, classification and staff relations.

These and other issues will be the subjects of discussion with the human resources community over the next few months. These discussions will lead to a departmental plan that will enable our human resource community to build on public service wide initiatives and provide strategic advice to DFAIT managers on the challenges and opportunities of implementing the new Human Resource Strategy.



#### 5.4.6 OVERVIEW OF HR INITIATIVES IN PROGRESS

The following table shows progress to date and the timeline ahead for the corporate HR initiatives of importance to the non-rotational communities.

SELECTED HR INITIATIVES	PROGRESS	COMMENT	TIMELINE		
			FY 98-99	FY 99-00	FY 00-01
Managing rotationality		Study launched, report done 05/98			
Demographic modeling		To be completed in FY 98			
Competencies-based HRM pilot		RFP 05/98, pilot began 07/98			
UCS		JDs & evaluation coms underway			

Design Implement Maintain

#### 5.4.7 FURTHER DETAILS

More information on these issues and other matters of importance to the non-rotational community can be found in their group-specific HR Strategies (to be developed by bureaux – the Information Community strategy is now available).

#### 5.5 TERM EMPLOYEES

There are currently close to 300 Term employees in the Department in 19 different classification groups. Over 80% of the Term employees are in the CR, STCY, CS, PM, AS and IS groups. While Term employment should not be considered a default choice, it has been extensively used for a variety of circumstances, from compensation for insufficient recruitment in some rotational groups to the temporary nature of some programs. It is, however, an important element in staffing both LES and non-rotational positions. Public Service Commission regulations require the hiring Department to provide an indeterminate status to an employee reaching 5 years of continuous service. On June 1, 1995, Treasury Board suspended this policy in order to accommodate the extraordinary circumstances surrounding the Program Review downsizing. Pending agreement with all public service unions, the freeze on this policy was lifted, allowing Term employees to re-start accumulating seniority.

About one third of Term positions have been created against temporarily frozen rotational positions. We hope that the rotationality review and efforts to marry recruitment with expected vacancies will go a long way towards regularizing staffing. However, a requirement for short-term expertise not available within the pool of rotational employees will continue. Managing exceptional visits or summits will continue to require personnel hired on secondment or term. Accommodating Term CRs (25 % of all DFAIT term employees) who become eligible for indeterminate status during the current public

service-wide CR surplus may require creativity. However, the CR surplus may well disappear within the next two years.



### **6.1 THE NEW ROLE FOR HR**

The current business of the Human Resources Development Bureau (SPD) is primarily transactional. In a department with three distinct personnel systems, and a large number of annual assignments at headquarters and around the world, the work of SPD will always have a large operational component. The unique HR systems of DFAIT that provide strategically important organisational flexibility are very high-maintenance. As DFAIT's HR function is resourced to the same standard as other Public Service organisations which do not manage this complexity, the resources required to manage assignments, promotion to level, recruitment etc. are found at the expense of the sections that handle the traditional business of staffing and classification.

Nevertheless, the development, implementation and ongoing support for an effective HR strategy for DFAIT requires a strong SPD capable of providing the high-level strategic HR advice management requires for business success. This new emerging role must complement and support the transactional operations of SPD.

#### **6.1.1 STREAMLINING HR SERVICES**

Our clients will continue to expect first-class service from us in transactional operations. It is essential that our operational burden and the burden for our clients is reduced to the minimum so that SPD can serve DFAIT well at the policy level. We currently outsource some of our transactional work, such as the writing of job descriptions, and will seek to outsource other routine services where it makes good business sense to do so. We will seek full implementation in missions of the delegations of authority already made and extension of further authorities to them through delegation where this makes sense. We will also look to the modern comptrollership initiative to identify the HR decision managers should be empowered to make.

Seven initiatives are now underway which will address the current administrative burden. The first five are internal initiatives and the last two are Public Service initiatives from which we will benefit:

#### ***Internal***

1. We are reassessing DFAIT positions in light of our long-standing policy on rotationality of positions (see section 4.2.1.2 above). While some rotational positions will likely become non-rotational, we believe that a greater number of non-rotational positions will be recaptured into the rotational pool. We will then increase our recruitment volumes proportionately to ensure that we will in future have sufficient rotational staff to fill all rotational positions. This initiative will significantly reduce the transactional burden now occasioned by shortfalls in rotational staff, and the



consequent reclassification and temporary staffing activities managers are obliged to undertake to obtain non-rotational staff.

2. We are integrating business and HR planning so that we can accurately forecast future resourcing requirements and attend to them in advance in a measured, timely way. SPD together with Strategic Resourcing and Planning Bureau (SMD) will meet each year with each bureau to produce, and in subsequent years update, a three-year financial and human resourcing plan aligned with the bureau's business strategy.
3. An audit of the Personnel Services functions of SPD has been completed. Its mandate included the identification of opportunities to improve SPD's services to bureaux.
4. We are reviewing our internal staffing practices to determine the degree to which we are currently taking advantage of existing PSC procedural flexibilities, and how to begin to use those we have not exploited to date.
5. We will establish service standards for our clients and the conditions under which those service standards will apply.

#### ***Public Service***

1. The Universal Classification Standard (UCS) project will produce more generic jobs, greater mobility and staffing flexibility, and consequently less classification activity.
2. The Public Service Commission has launched a fundamental reform of the staffing Public Service function that should produce a much less cumbersome, more responsive and flexible staffing process.

#### **6.1.2 STRATEGIC PARTNER**

Fundamental to the HR Strategy is management's responsibility for leadership in its planning and implementation. SPD will be a strategic partner to the department's business lines, and can play an important role by providing processes, tools and advice that will support the achievement of the strategy. While real progress has been made to strengthen SPD's strategic capabilities (as described in the following section), much of the infrastructure and most of the culture change required for management ownership of, and accountability for, HR lies ahead.

The role of strategic partner will introduce a new element into familiar existing HR processes. For example, during some future assignment cycle the corporate pool manager may have to override managerial and individual preferences to insist on the assignment of someone to a particular position because it is in the best longer-term corporate interests of the pool as a whole. This shift from managing individual transactions to corporate management will require considerable tact, judgement and understanding on all sides.



### 6.1.3 PROGRESS TO DATE

#### 6.1.3.1 *The HR Strategy Implementation Secretariat*

The refinement and implementation of the DFAIT HR strategy is a huge undertaking, covering every aspect of HR management. As we move ahead, we will be involving thousands of people, employees and partners, in a suite of extremely complex, intensive change projects. An HR strategy implementation Secretariat was established in October 1997 to support this work. Existing resources involved with key elements, such as those supporting the UCS (three) and competencies projects (one), have been consolidated within the Secretariat. The Secretariat falls under Robert Desjardins, Deputy Director, HR Strategy and Implementation, and reports through Jim Crandlemire to Rod Irwin, Director General, Human Resources Development Bureau.

The Secretariat supports the work of the champions of HR change initiatives/studies, develops new policy elements, prepares project plans, co-ordinates consultations with employees, tracks the work on all components of the master plan, and engages consultants when outside expertise is required. In addition, the Secretariat prepares regular briefings for the HR Steering Committee (see below).

The Secretariat will continue to ensure that all members of the Department are kept informed about the many initiatives being undertaken during the implementation process. Regular Signet messages and articles in Panorama present updates, while the SPSH page of DFAIT's intranet provides access to all relevant Departmental documents as well as links to relevant documents from other government departments. In addition, the Secretariat invites you to contact them directly when you have comments or questions pertaining to the implementation of the strategy.

#### 6.1.3.2 *HR Steering Committee*

In November 1997, the Executive Committee created a Steering Committee comprised of 13 Directors General, to oversee and provide the line and corporate leadership needed to direct our efforts. Representing a cross section of the various communities within the Department, the Committee is chaired by Rod Irwin/SPD, and includes: Laurette Burch/DCD, Ian Dawson/SRD, Adriaan de Hoog/CFSI, Wally Dowswell/EPD, Margaret Huber/PND, Marc Perron/SIX, Patricia Lortie/IMD, Robert Rochon/JCD, David Ryan/SXD, Doreen Steidle/SMD, Peter Sutherland/TBD, Jim Versteegh/Citizenship and Immigration, and Jim Wright/RBD.

The Steering Committee makes recommendations about the direction of the HR strategy and seeks resources from Executive Committee as necessary for its implementation. The Committee is consulted on all major initiatives and will approve work plans and milestones for each of the projects. Each Committee member will ensure that information about the implementation process is passed on to DFAIT communities and that the interests of these communities are given full consideration.



World-wide briefings and consultations on implementation will begin in October. The Human Resources Development Bureau will arrange meetings with departmental and external stakeholders. Community and bureau leaders will consult with their employees and partners on what the HR strategy means for them. Leaders of the initiatives described in this paper will manage consultations on matters specific to their projects. The HR Steering Committee will oversee this activity to ensure that every one of you has the chance to get involved and make your contribution.

These opportunities to explain and discuss the implementation of the strategy will build on the many consultations that have already taken place during the past year. We have taken advantage of every occasion to brief Heads of Mission at their meetings, MAOs at their conferences, employees during preposting sessions, bureaux on specific issues as requested, missions when the opportunity has arisen, and unions individually and at a recent joint session.

The three key initiatives of the strategy are underway and we will be following the action plan outlined in Appendix B. The rotationality review has been approved and is now applied by UCS evaluation committees. The UCS team is in place and employees were provided with guides to begin work descriptions in July. In August the UCS evaluation committees began reviewing job descriptions and rotational classification. We have hired a consulting firm for the competency project which began the pilot in July. Extensive consultations with employees on the definition of competencies will start in October. The training program of the Foreign Service Development Program which includes sessions at the CCMD in addition to CFSI, is being finalized and our new recruits this year started on this program.

As we are not resourced to undertake all initiatives now, we have staggered their implementation. Consequently some projects, such as expanded LES training, will be phased in over several years, beginning this year.

This Autumn, SPD and SMD will develop the planning tools and infrastructure to support integrated planning. Building on the themes and structure of the corporate HR strategy, communities will work with their members, bureaux and partners over the next months to draft their own detailed HR strategies. The Treasury Board has asked to see our integrated plans each June. This is the perfect time for us to report to you on implementation progress. Accordingly, you can expect our first such report in June 1999.

Meanwhile activity will continue on all of the commitments made in this paper as described in the action plan.



## APPENDIX A: DFAIT PURPOSES & ORGANISATION

### APPENDIX A : DFAIT BUSINESS PURPOSES & ORGANISATION

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#### THE BUSINESS OF DFAIT

DFAIT's mission is to act for Canada and all Canadians to enhance prosperity, employment and security, and to work toward a peaceful world by the promotion of Canadian culture and values.

DFAIT's three strategic objectives are:

1. the promotion of prosperity and employment by advancing Canada's international trade and economic interests abroad, by maintaining market access for Canadian goods and services, by attracting foreign investment, and by promoting tourism to Canada;
2. the protection of our security within a stable global framework by using diplomacy to protect against military threats, international instability, environmental degradation, natural resource depletion, international crime, uncontrolled migration, and the spread of pandemic diseases; and
3. the projection of Canadian values and culture in the world by promoting universal respect for human rights, the development of participatory government and stable institutions, the rule of law, sustainable development, the celebration of Canadian culture, and the promotion of Canadian cultural and educational industries abroad.

In addition, there are priorities that reflect the Government's commitment to key regional and institutional relationships.

DFAIT is tasked with four roles in support of its strategic objectives:

1. the development and co-ordination of the Government's international policy,
2. provision of services to Canadians (trade and investment promotion, securing and improving market access, consular assistance, passports),
3. advocacy of Canadian interests and values overseas, and
4. support for other government departments and agencies abroad (including provincial governments).
5. To give effect to these objectives, the department has defined its business lines with their formal objectives as shown below:
  - **International Business Development:** Create jobs and prosperity in Canada by encouraging Canadian firms to take full advantage of international business opportunities and by facilitating investment and technology flows.
  - **Trade and Economic Policy:** Create jobs and prosperity in Canada by effectively managing Canada's trading relationships with the United States and liberalising trade and capital flows around the world, based on clear and equitable rules.



## APPENDIX A DFAIT PURPOSES & ORGANISATION

- ***International Security and Co-operation:*** Help create and sustain a peaceful, law-based international system reflecting Canadian values in which Canada is secure from threats from abroad.
- ***Assistance to Canadians Abroad:*** Satisfy the needs of individual Canadians travelling or living abroad for official assistance.
- ***Public Diplomacy:*** Create interest and confidence in Canada abroad and an international public environment favourable to Canada's political and economic interests and Canadian values. Within Canada, contribute to an informed domestic debate on international issues.
- ***Corporate Services:*** Enable the department to achieve its mission and objectives through the delivery of cost-effective support services.
- ***Services to Other Government Departments:*** Enable other government departments to deliver their programs abroad through the delivery of cost-effective support services.
- ***Passport Services:*** Provide internationally-respected travel documents to Canadian citizens and other eligible residents of Canada.

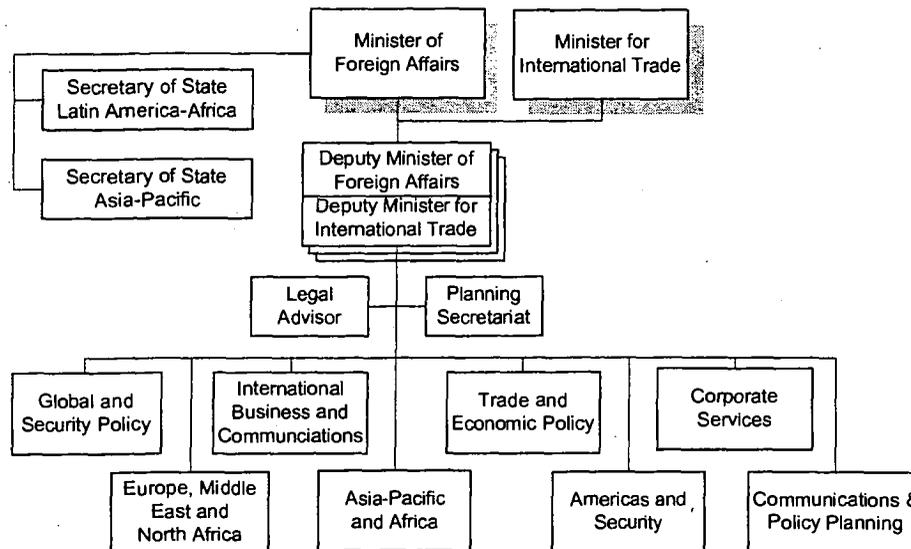
### DFAIT'S ORGANISATIONAL STRUCTURE

DFAIT is organised at headquarters to reflect the geographic and functional dimensions of Canada's international relations. Functional Assistant Deputy Ministers are accountable for developing coherent, effective global policies and initiatives to achieve world-wide the objectives of each business line. The geographic Assistant Deputy Ministers are accountable for ensuring that the global business line policies and initiatives are consistent with each other and with the development and maintenance of effective and coherent relationships between Canada and each country.



## APPENDIX A: DFAIT PURPOSES & ORGANISATION

Figure 1: DFAIT Organisation Chart - (ADM level and above)



At the operational level below the ADM structure (see Figure 1), bureaux headed by Directors-General manage Canada's relations with various regions of the world, while others manage issues, such as human rights or security, on a world-wide basis. The geographic and functional (or business line) dimensions of Canada's foreign and trade policy are ultimately integrated at headquarters by the Executive Committee chaired by the Deputy Ministers. Abroad, a similar integration occurs under the management of Heads of Missions who represent Canada's interests and deliver programs (DFAIT's and those of other government departments) in their countries of accreditation.

### DFAIT'S THREE PERSONNEL SYSTEMS

To deliver its business lines and staff headquarters and missions, the department operates three personnel systems which are distinguished by the different terms and conditions of service of their employees, which in turn reflect the characteristics of the work these employees perform.

Numerically, the largest personnel system encompasses locally-engaged staff (LES) who work only at missions abroad. There are about 4,300 LES employees who support both program delivery, such as international business development, public affairs and cultural affairs, as well as mission administration. All LES are employees of DFAIT, although many support programs of our portfolio partners, especially the immigration program.

The next largest system consists of rotational employees (about 2,000) who serve in Canada and abroad under the condition of "rotationality" within a mature appointment-to-level system. This group is divided administratively into five elements: senior executive pool, foreign service officers (trade commissioners and political/economic officers), management/consular officers, information technology specialists and administrative support personnel. Together these five elements constitute the "foreign service".



## **APPENDIX A: DFAIT PURPOSES & ORGANISATION**

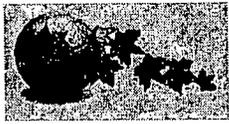
The third system is the "non-rotational" system which includes about 1,100 employees who work almost exclusively at headquarters and are identical in their terms of service with the public service at large.

The three personnel systems can be correlated with the business lines they support. International Business Development is delivered jointly by trade commissioners, LES and in certain instances by other government departments (e.g. Industry and Agriculture and Agri-Foods). International Security and Co-operation is delivered almost exclusively by political/economic officers while Public Diplomacy involves a combination of political/economic officers and non-rotational employees. Trade and Economic Policy is delivered by a combination of trade commissioners, political/economic officers and non-rotational trade policy specialists and economists. Outside of Canada, Assistance to Canadians Abroad, Corporate Services and Services to Other Government Departments are delivered almost exclusively by management/consular officers and LES. (The Passport Office has its own self-contained personnel system which is not included in this project.)

Non-rotational personnel are concentrated in Corporate Services and Services to Other Government Departments, although they are also to be found in other areas, including trade policy work, as noted above. As a general rule, non-rotational employees provide specialised expertise that requires time to develop or work in positions which have no direct overseas counterparts. The employees in the LES system are concentrated in Corporate Services and Services to Other Government Departments, but are also assigned to all of the other business lines as they are delivered abroad. They provide local expertise, language proficiency and continuity.

The senior executive pool provides executives to staff Head-of-Mission positions abroad and positions at the director general level and above at headquarters.

Missions are a key feature of the department's structure and are the primary mechanisms for delivery abroad of DFAIT's and other government services.

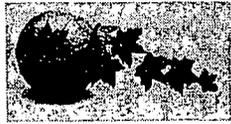


**APPENDIX B PRELIMINARY HIGHLEVEL ACTION PLAN FOR HR INITIATIVES**

**APPENDIX B: PRELIMINARY HIGH-LEVEL ACTION PLAN FOR CORPORATE HR INITIATIVES**

The table below describes the major blocks of activities during FY 98-99 for the key corporate HR initiatives. The community perspectives in Section 5 above provide some information on planned activities for community-specific HR initiatives. More detailed action plans are in place or under development for both corporate and community-specific HR initiatives.

Initiative	FY 98-99				By Whom
	Q1	Q2	Q3	Q4	
Rotationality Review	EC approval				EC
			Determine optimal size of rotational pools Review positions in areas requiring adjustment	Review results for systemic balance and adjust map as necessary	SPD, UCS team, managers and employees
				Prepare multi-year implementation plan	SPD
UCS	Train trainers, prepare work description guide, employees begin work descriptions	Work description writing continues, evaluation committees begin	Evaluation committees complete review, sore-thumbing	Process classification grievances	UCS team
	Discuss group		TBS defines		SPS, SPV and TBS



**APPENDIX B PRELIMINARY HIGHLEVEL ACTION PLAN FOR HR INITIATIVES**

FY 98-99					
Initiative	Q1	Q2	Q3	Q4	By Whom
	structure with TBS		group structures		
		Design conversion systems for rotational groups	Continue design of conversion systems	Conversion using new systems	SPS, SPF and SPV
Competencies	Let RFP, manage competition	Engage consultants, begin pilot	Pilot continues		SPS
Integration of business, IM and HR planning		Publish HR strategy,	Bureaux and Communities prepare integrated plans	Departmental business and HR plans synthesised from bureaux and community plans	SMD, CPP, SPD, SXD, and all bureaux
Modern Comptrollership and Performance Measurement	Scope challenge with TBS	Design conceptual framework	Define key performance criteria in balanced scorecard format and root in departmental plans		SMD, SPD, TBS



**APPENDIX B PRELIMINARY HIGHLEVEL ACTION PLAN FOR HR INITIATIVES**

FY 98-99					
Initiative	Q1	Q2	Q3	Q4	By Whom
				Build measuring systems where required (employee surveys, client surveys etc.), prepare baseline	SMD, SPD
Communications	Put HR strategy and related docs on the Net	Consult with employees on HR strategy			HR Steering Committee et al
Learning strategy		Create committee chaired by an ADM	Committee manages learning investments		Learning Committee, CFSI
Official languages	Continue emphasis on EX training				SPS
		Review current OL training policy	Revise policy as required	SPS	
Employment Equity	Create advisory committee chaired by an ADM	Develop managerial accountability regime, departmental policy, training and special measures			SPS
Youth programs	Implement the Federal Public Service Youth Internship Program				SPS

**APPENDIX B PRELIMINARY HIGHLEVEL ACTION PLAN FOR HR INITIATIVES**

FY 98-99					
Initiative	Q1	Q2	Q3	Q4	By Whom
FSDs	Simplify FSDs in context of Triennial Review				SBD
Spousal employment and training		Identify Champion for issues flagged in business plan Review policies Consult with FSCA, unions & OGDs		Revise spousal employment & Training policies as required.	SPS



**APPENDIX C: ROTATIONALITY PAPERS**

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**Action Memorandum for:**

**EXECUTIVE COMMITTEE**

**ISSUE:** Career development opportunities for non-rotational DFAIT employees.

**RECOMMENDATIONS:**

That the following multi-faceted approach to the question of rotationality and career development be incorporated into the revised Human Resource Strategy Consultation paper to be issued this spring:

1. Review the rotational classification of all positions during the UCS exercise.
2. Create a regular and transparent lateral entry mechanism.
3. Pool the EX group above the EX-1 level.
4. Create regular, managed single assignment opportunities for non-rotational employees.
5. Monitor proportional access to EX-1 positions.
6. Facilitate development moves into the broader public service.
7. Investigate the possibility of introducing a pool management system for some non-rotational groups.

Rod Irwin  
Director-General  
Human Resources  
Development Bureau



## APPENDIX C: ROTATIONALITY PAPERS

### CAREER DEVELOPMENT FOR NON-ROTATIONAL EMPLOYEES

#### Considerations

8. We have a significant number of non-rotational employees (1100 of which 722 are officers) in the department both in program and corporate services bureaux and they now account for over one-half of all Canada-based positions. These employees are key contributors to the business of the department but for years our human resource management focus has been on rotational employees with little planning for, or career development opportunities offered to non-rotational groups.
9. Given their importance to the department it is clear that we should be managing our non-rotational employees as carefully as we manage our rotational groups to take full advantage of their talent and experience. We need to ensure that we can attract, develop, and offer these employees career development opportunities comparable to those offered to rotational employees.

#### *Role of Specialists*

10. Non-rotational staff are hired when specialist skills or continuity is required, or when the functions of the position vary significantly from the functions performed by rotational employees. The business and operation of the department has grown more complex in recent years. Thus the requirement for specialist skills has increased in some program areas traditionally staffed by generalist FS such as trade policy and communications, as well as in the corporate high technology sectors. The rotational classification of each HQ position will be reviewed during UCS and we expect this review will confirm the departments ongoing requirement for specialist head-quarters based employees.

#### *Demographics*

11. Non-rotational groups vary greatly in size and carry out a diversity of functions in both program and corporate bureaux, but they predominate in corporate services.

### DISTRIBUTION OF OFFICERS AT HQ

	CORPORATE	PROGRAM	TOTAL
ROTATIONAL (FS,AS)	56 (11%)	521 (62%)	577 (43%)
NON-ROTATIONAL	454 (89%)	318 (38%)	772 (57%)
	510 (100%)	839 (100%)	1349 (100%)

12. We currently have a pool of 318 non-rotational indeterminate positions (CO, ES, IS, PM, HR, AS) in the program branches and they represent 38% of officer strength in these branches.



## APPENDIX C: ROTATIONALITY PAPERS

13. The number of non-rotational officers in the corporate services sector is higher - 454 and covers a wider range of employee groups (PE, FI, PG, EG, OM, AS, AR, ED-EDS, SI, CS, EL etc.). They represent 89% of officer strength in corporate services sector.

### *Current Situation*

14. Guidelines for the HR management of non-rotational employees are the same as for employees in the wider public service and differ in terms of assignment and promotion from rotational employees who are managed on a pool basis. Non-rotational employees "own" the positions they occupy and must compete for other more senior positions if they want to be promoted. As a result, and with the HR Bureau focus on rotational stream management, career development has been largely employee driven with little strategic or corporate planning taking place. This ad hoc approach does not serve the interests of the department or its cadre of experienced and valuable non-rotational employees.

### *Career development options*

15. Given the diversity in the size and function of the non-rotational groups we need a multi-faceted approach that gives every employee options for career development.

#### **A) Access to the EX Pool.**

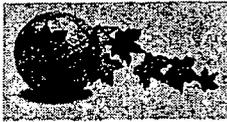
16. We have about the same ratio of non-rotational employees at the EX-minus one level to non-rotational EX positions as we do FS-2 to EXFS-1 positions (see table one). In fact the ratio of non-rotational officers to non-rotational EX positions is somewhat better than for any of the three rotational officer streams. There does not appear to be a problem here but these ratios should be monitored to ensure that no significant variations develop.

#### **B) Managing the EX pool.**

17. EX-1 level officers, both rotational and non-rotational, should continue to be managed on a stream basis. We propose, however, that access to the EX-2 level now should be through a common board. All executives at the EX-2 level and above can be managed on a pooled basis if we technically classify all positions rotational. The regulatory constraints in terms of access of non-rotational employees to the rotational pool would not apply to promotions and assignments within a pooled EX group (exclusion order would still be in place, all EX appraisals are the same and promotions cannot be grieved at the EX level.) . Non-rotational EX-1s interested in promotion would then be eligible to apply for EXFS-2 boards.

18. From a management perspective an EX pool provides greater flexibility for assignments (CIC has moved to a pooled assignment system for its rotational and non-rotational EXs but not to a pooled promotion system).

19. For employees, pooling the EX positions would remove the barrier between the two groups and send a signal that employees are considered equal. Non-rotational employees, particularly in the corporate services area, may never consider themselves rotational in terms of seeking an overseas assignment. They may also continue to look to other government



## APPENDIX C: ROTATIONALITY PAPERS

departments for career development. They would, however, not be labelled differently and they would have an equal opportunity to compete for more senior positions in the department. EX-1 to EX-2 and EX-2 to EX-3 Boards would be de-streamed and open equally to rotational and non-rotational officers. This open, de-streamed system will be more consistent with the new public service wide management of executives at the EX 4 and 5 levels.

20. After the implementation of UCS and the introduction of a department-wide competency-based system which will give us comparable competency requirements across different employee groups at similar levels, we can look at the possibility of pooling all EX-1 level positions as well.

### C) Lateral Entry

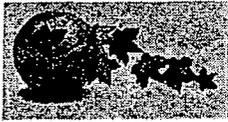
21. In a separate document we have proposed the introduction of a regular lateral entry mechanism that is designed to accommodate two kinds of lateral entry requirements. The first is for employees who want to become rotational, who are doing work similar to rotational groups and whose positions could be converted to a rotational pool. The positions for potential conversion will be identified in the UCS exercise. The second is for management when demographic or other operational shortfalls (eg skills) require rotational pool shortages to be staffed at levels higher than the entry level.

### D) Single Assignments

22. For non-rotational employees not interested in lateral entry there is still considerable merit in single assignments either at HQ or abroad as a career development opportunity to broaden experience. This may be of particular interest to officers who want to be considered for promotion to the more senior positions. Single assignments now are taking place but managed on an ad hoc basis. It would not be difficult to build a process of including single assignment opportunities into the current rotational assignment process. When assignment divisions go out asking for posting preferences non-rotational employees can be invited to submit applications as well. The current criteria for choosing successful single assignment candidates would be applied. Additionally, during Branch consultations on staffing managers could be consulted about non-rotational employees who would benefit from single assignments, either elsewhere at HQ or abroad. The non-rotational career assignment officer in the Human Resource Policy Division will be identified as the co-ordinator for non-rotational personnel interested in single assignments. This assignment officer also would be available to assist non-rotational employees integrate single assignments into a longer term career development plan.

### E) Link to La Relève and PS

23. Traditionally many DFAIT non-rotational officers, particularly in the corporate services sectors have looked to other government departments for onward career opportunities. Now through the AEXDP and PQP exercises executive level officers throughout government are being encouraged to look at the broader public service for career development opportunities. DFAIT EX officers, in both program and corporate services should be encouraged to take



## APPENDIX C: ROTATIONALITY PAPERS

advantage of these opportunities through La Relève, competencies for corporate groups below EX level also are being developed. DFAIT officers in all groups should be encouraged to seek career development opportunities in the wider civil service, including through secondment as a path to bring enriched skills back to the Department.

### F) "Pooling" Non-rotational Groups

24. There may be a significant enough number and distribution of positions in some non-rotational groups such as the COs to provide the critical mass necessary to allow "pool" or appointment to level type management, if this is an option employees are interested in. The pool concept allows management and employees more flexibility in terms of assignments. It would in fact formalise an existing and significant internal secondment system that is in place to facilitate single assignments. Moreover, an appointment to level system provides management with a promotion mechanism to actively develop and promote exceptional employees on a regular basis. Promotion boards rather than individual competitions could determine promotion in the CO group as is now the case for FS. The competency project which includes the CO and ES groups in the pilot will develop group competencies as well as the tools to allow this kind of pool management if we want to move in this direction. The rotational pools operate with sub-groups of specialist (e.g. lawyers) and so a pool of COs with varying expertise and disparate career expectations is possible.

25. As this would be a major departure from current HR practices we propose holding discussions with employee groups such as the COs to see if there is interest in and potential to introduce an appointment to level system.

### RESOURCE IMPLICATIONS:

26. None. The changes proposed can be managed within existing resources.

### COMMUNICATIONS IMPLICATIONS:

27. The key message underlying the recommendations is that we want to operate a flexible and transparent human resource system that is able to provide equitable opportunities for all employees.

28. We will consult with employees to discuss the issues described in this document.

29. Detailed criteria and ground rules for conversion of positions, single assignments, lateral entry and pooling the EX and possible some non-rotational groups will be established and published before these processes are implemented



## APPENDIX C: ROTATIONALITY PAPERS

.Ratio of EX-minus one positions to EX1 positions by Stream and Rotational Status									
	Pol/Ec			Trade			MC		Corporate
	R	NON		R	NON		R	NON	**R
EX1	75	4		73	7		EX1	8	5
AS8		1			1		AS8		3
ES7					3		CS5		6
							EL9		1
							FI4		4
							PE6		2
							AR6		2
							ED5		3
<b>TOTAL (EX1 + EX-E)</b>	<b>75</b>	<b>6</b>		<b>73</b>	<b>11</b>			<b>9</b>	<b>23</b>
<b>RATIOS</b>	<b>3.1</b>	<b>1.3</b>		<b>2.8</b>	<b>2.5</b>			<b>3.1</b>	<b>1.9</b>
<b>Total Eligible</b>	<b>236</b>	<b>8</b>		<b>207</b>	<b>28</b>			<b>28</b>	<b>43</b>
*FS2	236			207			*AS7	3	10
FS2	43			61			*AS6	23	(33)
FS1	193			124			AS5	25	18
*CO3					22		AS4	52	10
CO2					39		AS3	60	30
CO1					11		AS2	8	24
*ES6					6		AS1	0	13
ES5					12		*FS2	2	
ES4					3		FS1	2	
ES3					1		*FI4		4
ES2					0		FI3	***7	10
ES1					1		FI2		15
ES Unclas					2		FI1		15
*IS6		7					*PE5		4
IS5		19					PE4		8
IS4		8					PE3		21
IS3		4					PE2		3
IS2		3					*CS4		12
PM5		8			0		CS3		37
PM4		7			0		CS2		34
PM3		2			1		CS1		12
PM2		2			2		CS Unclas		6
PM1		9			9		EL8		1
*AS7		1			1		EL7		7
AS6		16			0		EL6		22
AS5		8			1		EL5		67
AS4		12			1		EL4		15
AS3		25			6		*PG3		6
AS2		18			3		PG2		6
AS1		7			4		PG1		19
							PG00		1
							*AR5		4
							*DD5		3
** excluding FS & EXFS positions							SI3		5
*Ex-minus=FS elig.for Promotion & NR Elig for Competition for EX positions							SI2		17
***Non-Rotational Employee Group. Single Assignment Postings							SI1		36



## APPENDIX C: ROTATIONALITY PAPERS

16 April 1998  
SPSH-0006

### Action Memorandum for:

### EXECUTIVE COMMITTEE

**Issue:** The establishment of a regular and transparent mechanism to allow non-rotational indeterminate employees access to the FS and other (AS,CR,SCY) rotational groups on a lateral entry basis.

### Recommendations:

1. That the lateral entry mechanism and criteria described in this document be approved.
2. That the rotational classification of all positions be reviewed and confirmed during the UCS exercise that will be completed in December 1998.
3. That SPD consult PAFSO and other bargaining agents of the proposed lateral entry mechanism.
4. That a discussion of lateral entry and the rotationality review be included in the Human Resource Strategy Consultation paper attaching this memorandum as an appendix.
5. That the eventual introduction of a lateral entry mechanism be timed to correspond with an announcement of the details of FS restructuring which we anticipate we will be able to do in late fall 1998. We should not move on lateral entry until we can move on FS restructuring.
6. That when MME announces the introduction of the lateral entry mechanism we publish detailed information on the criteria and process including the establishment of a Review Committee and a timetable for proposals for 1999.

Rod Irwin  
Director-General  
Human Resources  
Development Bureau

### Considerations and Consultations:



## APPENDIX C: ROTATIONALITY PAPERS

4. Every once in a while the Department has used lateral entry to convert some non-rotational officers to the FS group. This ad hoc approach causes morale problems as it is seen as unfair. There continue, however, to be valid operational reasons for lateral entry up to the level of senior FS-2 so we need to establish a simple, transparent and regular process to deal with it.

5. There have as well been occasional conversions of AS and other administrative positions from non-rotational to rotational. Given the similarities in the nature of the work of these groups, these conversions are relatively easy to accommodate. A regular process would make the practise transparent and defensible.

### *Criteria for lateral entry*

6. Such a mechanism, using the FS group as an example, could be based on the following criteria taking into account two scenarios; one when employees bring their positions and one where they do not:

A) Lateral entry criteria for employees who bring a position (positions will be identified during the UCS review process);

i) the officer would be an indeterminate employee, want to join the FS group and accept foreign assignments;

ii) his/her current job must be comparable to FS work (eg policy or program work. Most non-rotational specialists, in Corporate Services but some also in functional bureaux, are unlikely to fit this condition or want to convert.) There is an existing policy criteria for determining rotationality that will be used to assess positions for conversion.

iii) the officer must have a proven record of performance based on appraisals and/or reference checks.

iv) his/her manager must agree to convert the position from non-rotational to rotational. Non-rotational officers would thus bring their positions with them to the FS pool and not reduce promotion opportunities for FS at lower levels. With the introduction of the FS Development Program and the up or out promotion system to FS-2 this will no longer be as critical an issue at the FS-1 level but it will remain a concern with the restructured senior FS levels.

v) non-rotational employees in positions identified rotational during the UCS review process will be grandfathered if they do not want to convert.

B) Lateral entry criteria without a position

i) There will be occasions when management will want to offer lateral entry to an employee or groups of employees but where for operational reasons their positions should remain non-rotational.

ii) Demographic projections indicate that we will begin to lose employees in greater numbers in 2002. While we are increasing recruitment and developing



## APPENDIX C: ROTATIONALITY PAPERS

processes to fast track (competencies project) we may still need quick and flexible ways to staff mid to senior level vacancies in rotational groups. It makes operational sense to draw on our pool of experienced non-rotational employees with proven track records to fill rotational gaps on a lateral entry basis. Moreover, an enhanced single assignment program will enable non-rotational officers to develop the competencies (including overseas experience) required of rotational officers.

iii) We can continue to use standard PSC staffing mechanisms to fill non-rotational positions at any level with experienced candidates.

### *Process of lateral entry*

7.
  - i) The review of the rotational classification of all positions during the UCS exercise will provide us with an overview of potential numbers but annual conversions also must be controlled to take into account supply factors.
  - ii) Annual assessment of supply eg the Department's ability to absorb more HQ based rotational positions will be based on a requirement to balance HQ with overseas positions in each rotational group ( using roughly a fifty-fifty ratio). See Table I for current HQ/Mission distribution of Rotational positions.
  - iii) Demand for such conversion will vary but will likely be highest after the UCS rotationality review when the issue is publicized. SPF estimates that at present no more than 20 non-rotational officers are interested in lateral entry into the trade or political streams.
  - iv) Once an annual number of possible lateral entry numbers has been established for each rotational group a call letter can be issued for applicants. The process can be initiated in January or February with the objective of converting people in July/August to correspond to the assignment cycle.
  - iv) A Committee along the lines of the LWOP Committee will be established to review applicants using the above criteria.

### *Rotationality Policy*

8. In many cases we have staffed non-rotational officers in foreign service positions because of the shortage of FS at the senior FS-1 to mid FS-2 level. This shortage is as a result of years of under recruitment and recent higher attrition rates among junior officers. The rotational classification should be the "default" classification in program areas unless a manager can clearly demonstrate that a position requires specialization or continuity. A lateral entry mechanism thus would allow us to balance rotational groups and convert back a number of positions that had been made non-rotational solely in order to staff them quickly. We propose to review the rotational classification of all positions during the UCS exercise. Non-rotational employees in converted rotational positions will be able to apply for lateral entry using the above criteria of eligibility. Numbers accepted annually will be determined by the ability of



## APPENDIX C: ROTATIONALITY PAPERS

each rotational employee group to absorb more HQ-based positions. Any conversion exercise must be controlled to ensure a balance (roughly a fifty-fifty percentage split) between HQ and mission positions for all groups.

9. The HR Steering Committee was consulted and agreed to the recommendations of this memorandum.

### **Resource Implications:**

10. There are no resource implications on converting non-rotational to rotational positions.



## APPENDIX C: ROTATIONALITY PAPERS

ROTATIONAL POSITIONS						
		HEADQUARTERS		MISSION		TOTAL
		#	%	#	%	#
<b>SENIOR EXECUTIVE</b>	EX5	6	55	5	45	11
	EX4	1	5	20	95	21
	EX3	26	26	75	74	101
<b>POLITICAL/ECONOMIC</b>	*EX2	4	10	34	90	38
	*EX1	24	44	30	56	54
<b>Total</b>		<b>28</b>	<b>30</b>	<b>64</b>	<b>70</b>	<b>92</b>
	FS2	175	61	113	39	288
	FS1	98	77	30	23	128
	Unclas FS	48	62	30	38	78
<b>Total</b>		<b>321</b>	<b>65</b>	<b>173</b>	<b>35</b>	<b>494</b>
<b>TRADE</b>	*EX2	4	13	28	87	32
	*EX1	18	44	23	56	41
<b>Total</b>		<b>22</b>	<b>30</b>	<b>51</b>	<b>70</b>	<b>73</b>
	FS2	165	60	110	40	275
	FS1	51	60	33	40	84
	Unclas FS	37	44	48	56	85
<b>Total</b>		<b>253</b>	<b>57</b>	<b>191</b>	<b>43</b>	<b>444</b>
<b>MANAGEMENT CONSULAR</b>	EX1	4	40	6	60	10
	EX2	0	0	1	100	1
<b>Total</b>		<b>4</b>	<b>36</b>	<b>7</b>	<b>64</b>	<b>11</b>
	FS1	6	50	6	50	12
	FS2	12	70	5	30	17
	AS7	1	25	3	75	4
	AS6	10	43	13	57	23
	AS5	7	24	22	76	29
	AS4	3	46	52	93	56
	AS3	26	45	39	55	71
	AS2	15	86	2	14	14
<b>Total</b>		<b>84</b>	<b>38</b>	<b>142</b>	<b>62</b>	<b>226</b>
<b>SYSTEMS ADMINISTRATORS</b>	CS3	4	50	4	50	8
	CS2	10	48	11	52	21
	CS1	35	59	25	41	59
<b>Total</b>		<b>49</b>	<b>55</b>	<b>40</b>	<b>45</b>	<b>89</b>
<b>TECNICIANs</b>	EL8	1	100	0	0	1
	EL7	6	86	1	14	7
	EL6	13	59	9	41	22
	EL5	40	59	27	41	67
	EL4	15	100	0	0	15
	EL UNCLAS	1	25	3	75	4
	<b>Total</b>		<b>76</b>	<b>65</b>	<b>40</b>	<b>35</b>
<b>CLERKS</b>	CR6	0	0	7	100	7
	CR5	17	59	12	41	27
	CR4	49	75	16	25	63
	CR3	12	92	1	8	13
<b>Total</b>		<b>78</b>	<b>67</b>	<b>36</b>	<b>33</b>	<b>114</b>
<b>SECRETARIES</b>	SCY4	40	32	85	68	125
	SCY3	49	52	44	47	93
	SCY2	29	77	8	22	37
<b>Total</b>		<b>118</b>	<b>46</b>	<b>137</b>	<b>54</b>	<b>255</b>
<b>TOTAL</b>		<b>1033</b>	<b>54</b>	<b>904</b>	<b>46</b>	<b>1955</b>

\*Does not include approx. 21 Unclas EX pos. in P/E stream & 32 Unclas EX pos. in T stream



## APPENDIX D FS ATTRITION SINCE 1986

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DFAIT's annual attrition rates have varied between 1.6% and 5.3% of the total FS population since 1990, and are considered low by comparison with other public service professional groups. Clearly attrition is a fact of life for all organisations and should be factored into HR management planning. It is the demographics of attrition within DFAIT that are of concern—specifically the attrition rate for officers with between 5 and 10 years of experience. The number of officers leaving after their first posting has been rising steadily since 1986 with approximately 25% resigning within 7 or 8 years of joining DFAIT. If the upward trend observable in the figures below were to continue or even to be maintained at the 20 - 30% level, DFAIT would face a serious staffing problem. After five or more years of experience, the department's investment in an officer is considerable, especially if he or she has taken intensive language training. Equally or more important, these are the officers that should be at the heart of the department's planning for La Relève:

We have recently begun to track attrition by recruitment year. Using that measure, attrition is clearly on the rise among those who joined the department between 1986 and 1990. By the end of 1997, we had lost the following:

Recruitment Year	Percentage lost by 1997
1986	12%
1987	19%
1988	47%
1989	24.5%
1990	33%
1991	33%

Drawing conclusions after 1991 is difficult since most officers do not resign during their training or during the first posting but already over 20% of those hired in 1992 have left. For the 1986-1991 period, however, there is a clear upward trend.

### *Factors Leading to Attrition*

While they vary from individual to individual, there are some common themes among the reasons given by our departing officers. These include:

1. Low, non-competitive salaries;
2. Poor promotion prospects;
3. Spousal employment issues (single income, single pension);
4. Family related issues (ageing parents/children's education);
5. Devaluation of benefits (ex. FSDs);



## APPENDIX D FS ATTRITION SINCE 1986

6. Low morale (perception that the department's senior management simply doesn't care about the plight of overworked and underpaid officers); and
7. Decreasing job satisfaction

Over the past several years, the Department's recruitment criteria have been such that the majority of our new FS recruits are now older and more experienced. This combination, while it does provide some advantages to the Department, may also be contributing to our inability to retain these employees: individuals are less flexible and have shorter time horizons in terms of expected professional pay-offs (i.e. promotions/pay scales). At the same time, the combination of education, maturity and skills they possess make them attractive to the private sector which can offer compensation packages with which we cannot compete.

### **Conclusions/Recommendations:**

When all is said and done, salary, promotion prospects, the difficulty of accommodating a two-career family, and the existence of opportunities outside the department and the government are the key determinants influencing attrition among junior officers. The introduction of the Foreign Service Development Program (FSDP) should go some way in dealing with the compensation problem we face with respect to the FS1 group which views its salary and promotion prospects as non-competitive in comparison with other groups in the Public Service. Even with the FSDP in place, however, there will remain a perception among the FS group that career opportunities are severely limited as less than 3% of the eligible FS2 officer corps is promoted per year, which means that less than 25% of FSs can aspire to promotion. The introduction of the Universal Classification Standard is expected to address the problem of promotion prospects by allowing the introduction of 2 or more FS levels above the FSDP program.



## **APPENDIX E: FOREIGN SERVICE DEVELOPMENT PROGRAM**

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1. Following the ratification of the new Collective Agreement between Treasury Board and PAFSO, we will be going ahead with the new Foreign Service Development Program (FSDP). Now approved by both the Department of Foreign Affairs and International Trade and Citizenship and Immigration Canada, its general guidelines will apply to all new FS recruits. There will however be slight differences in the way the program will be implemented at CIC, particularly with respect to the training and assignment plan; therefore, CIC will send out a separate message on the FSDP.
2. The FSDP is a major component of the Department's Human Resources Strategy, itself aimed at ensuring the successful conduct of our mandated responsibilities well into the next century. Modelled on the Management Trainee Program (MTP) administered by the PSC, the FSDP is designed to integrate the best of the MTP while serving the unique training and assignment needs of the Department.
3. Through this program, we hope to achieve several key human resource objectives, including better pay at the FS-1-equivalent level, more rapid movement of officers through the FS-1-equivalent pay range, broader professional training, better professional links with other government departments, and more frequent assessments of performance during a longer probationary period.

### **Major Program Elements**

4. Recruitment: The process for joining the Foreign Service remains the same.
5. Official Language Training: The OLT requirement for entrants to the FSDP is 'CCC'. Successful candidates who do not have 'CCC' will receive official language training on "ab initio" status for a maximum of 12 months. On ab initio status, participants will not be employees of the Federal Government but will receive a stipend (80% of starting salary) for the training period. They are unavailable for assignment until they have reached 'CCC'. If they cannot reach this level in the 12 months allotted, they go no further in the program.
6. Probation period: FSDP participants remain on probation for the five years of the program, with up and out performance measurements at the 18, 36 and 60-month points. Competency profiles for each assessment stage are now being prepared. Participants who successfully meet all performance measures will move to the next stage and, at the 60-month assessment, will be promoted to the FS-2 level.
7. Professional Representation: Program participants, after leaving ab initio status, are PAFSO members and covered by the Collective Agreement.
8. Training/Assignments: The standard training/assignment plan for the FSDP for DFAIT is modelled on the MTP. It includes the following components:
  - (a) Training: 14.5 weeks of mandatory training over five years, 9 weeks through CFSI, the remainder through the Canadian Centre for Management Development (CCMD). CCMD



## APPENDIX E FSDP

training will be the core MTP training courses, so DFAIT participants will be in residential courses with participants from other departments.

(b) HQ Assignments: 2.5 years of assignment at DFAIT. While assignments will be tailored according to the background, strengths and interests of individual participants, as well as operational requirements, we aim to have each participant have one assignment in each of a functional, geographic and staff (BCD, CPD, SMD, SPD) division.

(c) First Posting: The first two years of a three-year first posting will be the final stage of the FSDP.

We would also like to include an assignment of 6 months to 1 year in any one of a central agency (e.g. PCO, TBS, Finance), other major OGD client, including, for Trade Commissioners, one of the Team Canada Inc. partners, or an ITC or equivalent.

Language training in difficult languages will be encompassed in the probationary period. Moreover, we will be initiating, concurrently with the FSDP, a requirement that anyone taking difficult language training sign an undertaking to continue their employment in DFAIT after their language training, for a period no less than two times the training period. This will apply equally to all DFAIT employees.

### 9. Harmonization:

(a) Promotions: To ensure that those now at the FS-1 level are not disadvantaged vis à vis FSDP participants, all eligible FS-1s who successfully attain the performance measures set out in the FS-2 Statement of Qualifications will be promoted to FS-2. This means that all eligible FS-1s who meet the required performance standard will be promoted on their own merits, replacing the current system of promoting officers based on their relative merits, and constrained by a limited number of openings at the FS-2 level. Eligibility will be defined as five years in grade, with a minimum of 1 year's service overseas. The new approach will take effect with the Fall 98 boards, using the current FS-2 Statement of Qualifications as the performance measure. This Statement of Qualifications may however be modified in the future as a result of the FS restructuring, to be based on the outcome of the Universal Classification Standard (UCS) and of competency profiles to be built for those new levels, as part of the pilot Competency Project to be launched this summer.

(b) Salary: The question of salary parity was resolved through negotiations on the new FS Collective Agreement. Under this agreement, those now at the FS-1 level are assured that their salaries will remain ahead of those entering the FSDP.

(c) Professional Development: Every effort will be made to offer approximately 12 days of CCMD training (Policy Service Client Centered, Renewal and Action Management) to pre-posting FS-1s, with priority to those who joined in 1997 and are now or have been this year on official language training. Since resources are restricted, we would ask that pre-posting FS-1s contact their assignment officers by 29 May 1998 if they are interested in this training.



## APPENDIX E FSDP

### 10. Implications for Managers:

(a) Availability of Recruits: The most immediate impact for managers is an increase in the number of absences of recruits for training purposes. We plan to increase recruitment to compensate for this and other sources of staff shortages, and hope to improve the balance between available positions and officers continually over the next five years. In the meantime, the increased time that recruits will remain in Ottawa before their first posting will mean more officers available for short-term assignments at HQ; by the same token, the additional training will further develop and refine the professional knowledge/skills that recruits now bring to their work in line divisions.

(b) Appraisals: We anticipate an enhanced role for line managers in the determination of a recruit's readiness for progression to the next stage. The more numerous assessment points at 18, 36 and 60 months, and the new approach of 'up and out' performance measurement will make the timely submission of fair and accurate appraisals crucial to program participants. SPD is now engaged in working out new procedures and competency profiles for these assessments and hopes to be in a position to make them available to discuss with managers at the next normally scheduled consultations with bureaus to discuss staffing.

11. SPD has created an electronic address ("FSDP") to answer any questions on the program and its implementation, and we encourage you to use it. Depending on the feedback received on FSDP to this message, SPD will organize a townhall type meeting to discuss the program in more detail.

12. The FSDP is an important step in our efforts to address FS concerns, as well to equip foreign service officers for the professional challenges of the future. The next step, FS restructuring, will be accomplished through UCS implementation (for more information, please see the 29 January broadcast message and the Qs&As published in Panorama, both available on the Intranet, in the SPD Home Page, in the Strategy section). While we are to some extent charting new territory, we are nevertheless confident that we are on the right track to achieving the aims of the Human Resource Strategy, and will maintain open communication channels with all of you as we move ahead implementing the program.

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