**fmi·igf**
Capital Chapter
Section de la Capitale

*Technical Update – Grants and Contributions (Transfer Payments) – What's new in Transfer Payments -*

October 24, 2019

# Opening Remarks

**Sherry Sharpe**
*President, FMI – Capital Chapter*

**Keynote Speaker**
**Roger Ermuth,** *ACG, FMS, Office of the Comptroller General*

Introduction on the Policy and Directive on Transfer Payments and Science Collaboration
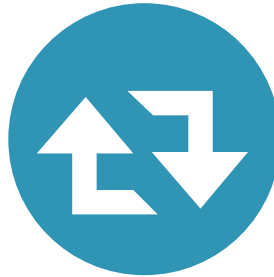
# The Policy on Results

Results Division
Expenditure Management Sector
Treasury Board of Canada Secretariat
October 24th, 2019

# Who are we?

## Treasury Board Secretariat (TBS)

- A **central agency** and the **administrative arm** of the Treasury Board
- Provides **advice** and **makes recommendations** to Treasury Board committee of ministers on how government spends money
- Provides **direction**, **leadership** and **capacity building** for functional communities
- Is the **employer** for the federal government

## Expenditure Management Sector

- Responsible for the **Expenditure Management System**, including expenditure oversight and management for results

**This is us!**

## Results Division

- Policy Center for the **Policy on Results**
- Provide **leadership** and **direction** for performance measurement and evaluation across Government of Canada

5

# A New Policy

The Policy on Results (2016) is an important step in instilling a **strengthened culture of measurement**, **evaluation**, and **innovation** in program and policy design and delivery.

It supports a strong **focus on results**, enabling Cabinet committees and individual ministers to: …

*Track and report on the progress of commitments*

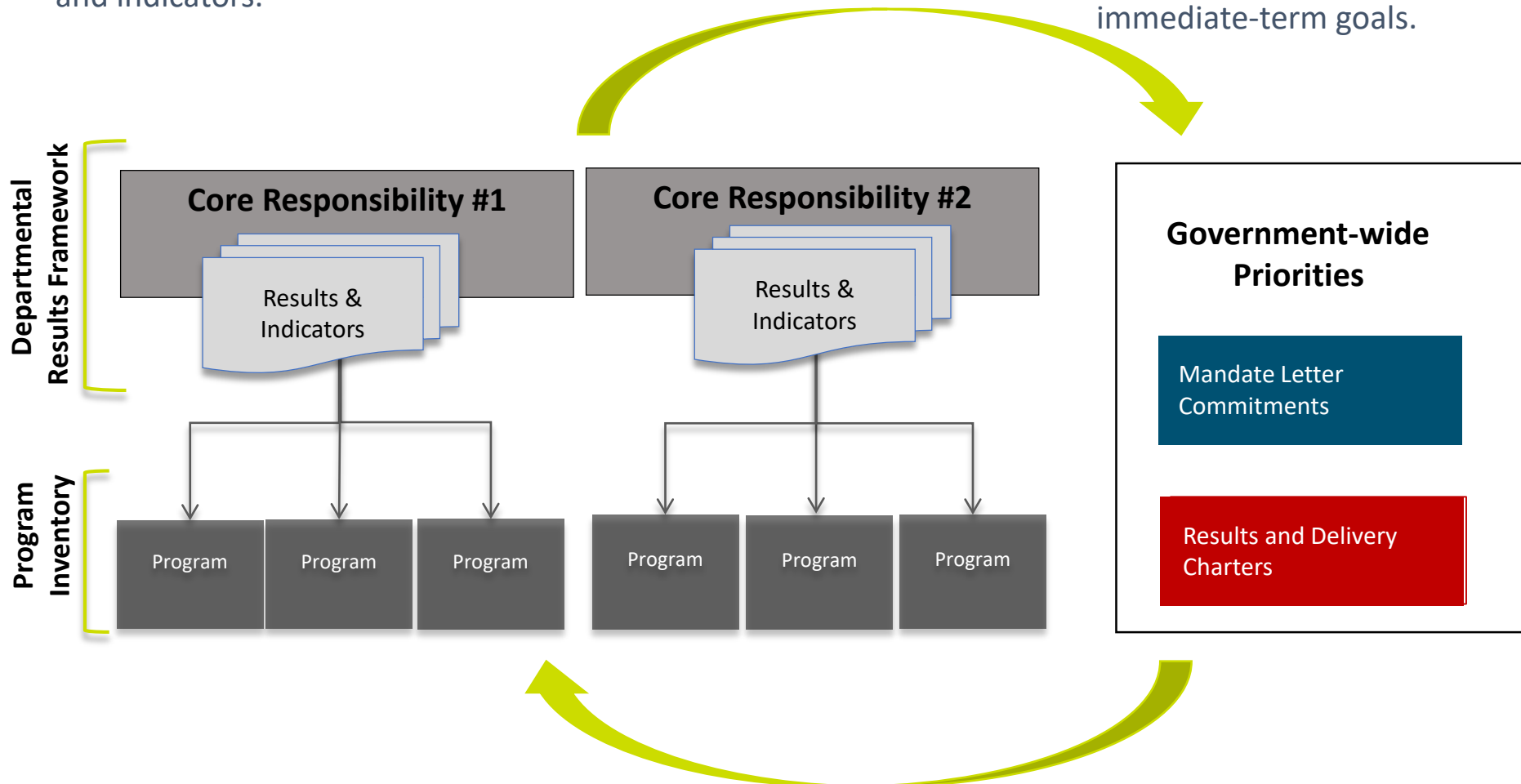*Assess the effectiveness of our work*
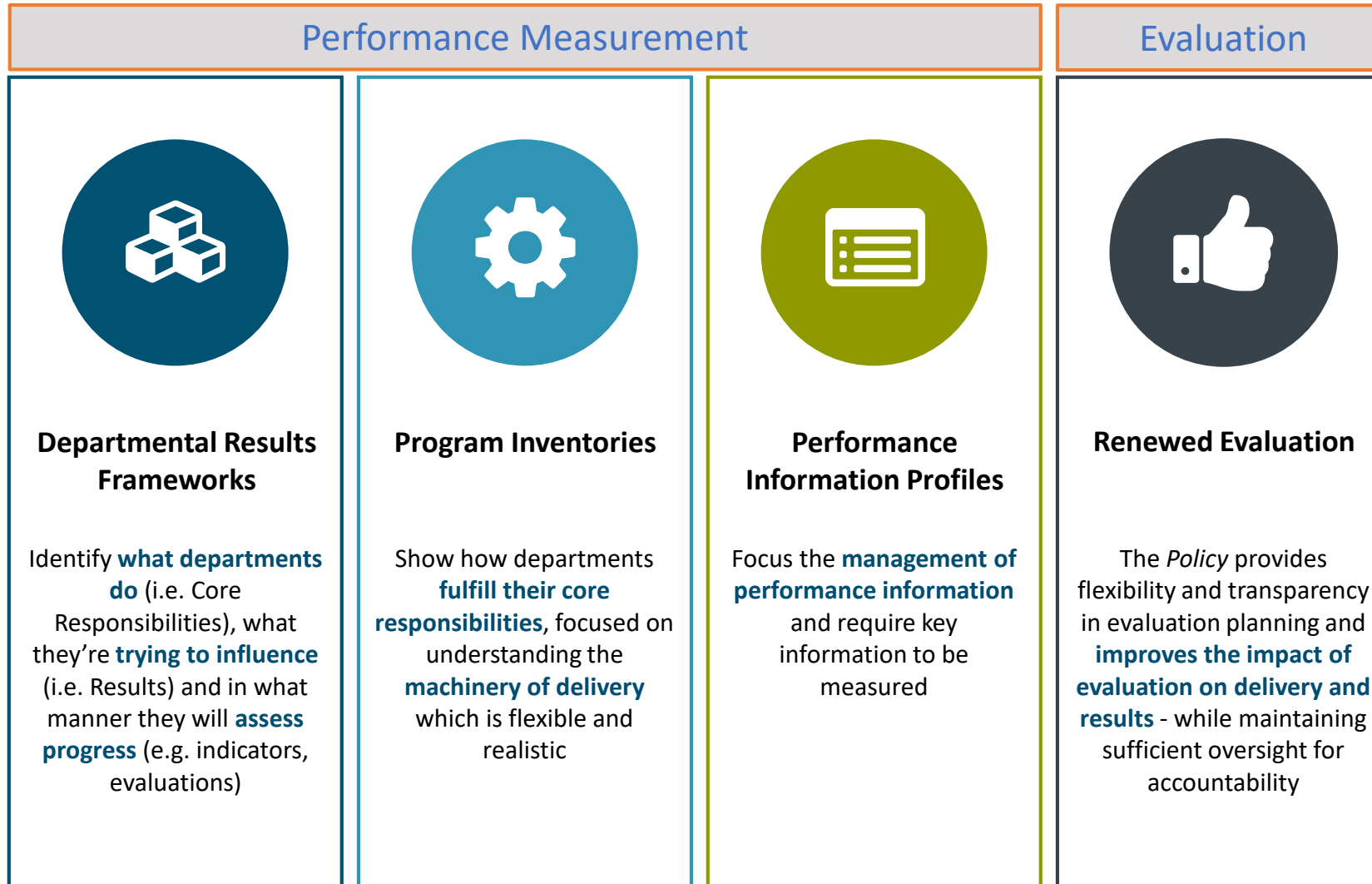
*Align resources with priorities*

# Relationship between PCO and TBS

DRFs and PIs are enduring results reporting structures that may include components of government-wide priorities as well as other results and indicators.

Government-wide priorities represent a segment of DRF and PI results, with a stronger focus on immediate-term goals.



**Departmental Results Framework**

| Core Responsibility #1 | Core Responsibility #2 |
|---|---|
| Results & Indicators | Results & Indicators |

**Program Inventory**

| Program | Program | Program | Program | Program | Program |
|---|---|---|---|---|---|

**Government-wide Priorities**

Mandate Letter Commitments

Results and Delivery Charters

# What the Policy Brings

| Performance Measurement | | | Evaluation |
|---|---|---|---|

### Departmental Results Frameworks

Identify **what departments do** (i.e. Core Responsibilities), what they're **trying to influence** (i.e. Results) and in what manner they will **assess progress** (e.g. indicators, evaluations)

### Program Inventories

Show how departments **fulfill their core responsibilities**, focused on understanding the **machinery of delivery** which is flexible and realistic

### Performance Information Profiles

Focus the **management of performance information** and require key information to be measured

### Renewed Evaluation

The *Policy* provides flexibility and transparency in evaluation planning and **improves the impact of evaluation on delivery and results** - while maintaining sufficient oversight for accountability

# Requirements and Exemptions Specific to Large and Small Departments and Agencies*

| Governance and Roles under the Policy on Results | Required of Large Departments? | Required of Small Departments? |
|---|---|---|
| Performance Measurement and Evaluation Committee | ✓ | ✓ |
| Maintain a performance measurement function | ✓ | No |
| Maintain an evaluation function | ✓ | No |
| Head of Performance Measurement | ✓ | ✓ |
| Head of Evaluation | ✓ | ✓ |
| That the Head of Performance Measurement and the Head of Evaluation demonstrate competencies set by TBS | ✓ | No |

*SDA's are organizations that have reference levels including revenues credited to the vote of less than $300 million per year.

# Requirements and Exemptions Specific to Large and Small Departments and Agencies*

| Other Requirements under the Policy on Results | Required of Large Departments? | Required of Small Departments? |
|---|---|---|
| Develop a five-year evaluation plan | ✓ | No |
| Conduct an annual evaluation exercise | ✓ | ✓ |
| Annual release of planned five-year evaluation coverage | ✓ | ✓ |
| Rationale for spending and programs not scheduled for evaluation | ✓ | No |
| Flexibility of coverage, frequency and core issues for evaluation | ✓ | ✓ |
| Neutral assessment of evaluation function every five years | ✓ | No |
| Departmental Results Framework | ✓ | ✓ |
| Program Inventory | ✓ | ✓ |
| Performance Information Profile | ✓ | ✓ |

*SDA's are organizations that have reference levels including revenues credited to the vote of less than $300 million per year.

# How Results Are Being Used

**Public Reporting**

**Monitoring and Management**

| **Canadians & Parliament** | Helps provide an understanding of how money is spent and helps hold the government to account |
| --- | --- |

| **Deputy Heads** | Provides information on what is working and what needs to be improved |
| --- | --- |

| **Program Managers** | Helps monitor and manage programs |
| --- | --- |

| **CFOs & Financial Managers** | Helps monitor and validate departmental expenditure and costing by programs |
| --- | --- |

| **Central Agencies** | Helps to make decisions on allocating resources to departments |
| --- | --- |

# GC InfoBase: Interactive Information Platform

# GC InfoBase: Financial Information Trend

| Organization ▲▽ | Program ▲▽ | 2015-16 - Expenditures △▽ | 2016-17 - Expenditures △▽ | 2017-18 - Expenditures △▽ | 2019-20 - Planned Spending △▽ | 2020-21 - Planned Spending △▽ | 2021-22 - Planned Spending △▽ |
|---|---|---|---|---|---|---|---|
| Department of Canadian Heritage | Sport | 219,677 | 210,651 | 219,442 | 0 | 0 | 0 |
| Department of Canadian Heritage | Arts | 110,935 | 194,522 | 202,745 | 0 | 0 | 0 |
| Department of Canadian Heritage | Cultural Industries | 298,962 | 303,728 | 309,422 | 0 | 0 | 0 |
| Department of Canadian Heritage | Heritage | 28,745 | 30,313 | 38,215 | 0 | 0 | 0 |
| Department of Canadian Heritage | Attachment to Canada | 96,963 | 149,879 | 196,598 | 0 | 0 | 0 |
| Department of Canadian Heritage | Engagement and Community Participation | 45,728 | 50,727 | 83,470 | 0 | 0 | 0 |
| Department of Canadian Heritage | Official Languages | 358,867 | 365,929 | 364,305 | 0 | 0 | 0 |
| Department of Canadian Heritage | Multiculturalism | 3,685 | 10,067 | 0 | 0 | 0 | 0 |
| Department of Canadian Heritage | Arts | 0 | 0 | 0 | 152,870 | 151,722 | 146,970 |
| Department of Canadian Heritage | Cultural Marketplace Framework | 0 | 0 | 0 | 26,026 | 25,697 | 24,596 |
| Department of Canadian Heritage | Cultural Industries Support and Development | 0 | 0 | 0 | 296,000 | 294,066 | 294,153 |
| Department of Canadian Heritage | National Celebrations, Commemorations and Symbols | 0 | 0 | 0 | 36,079 | 36,013 | 36,013 |
| Department of Canadian Heritage | Community Engagement and Heritage | 0 | 0 | 0 | 22,077 | 22,056 | 22,056 |

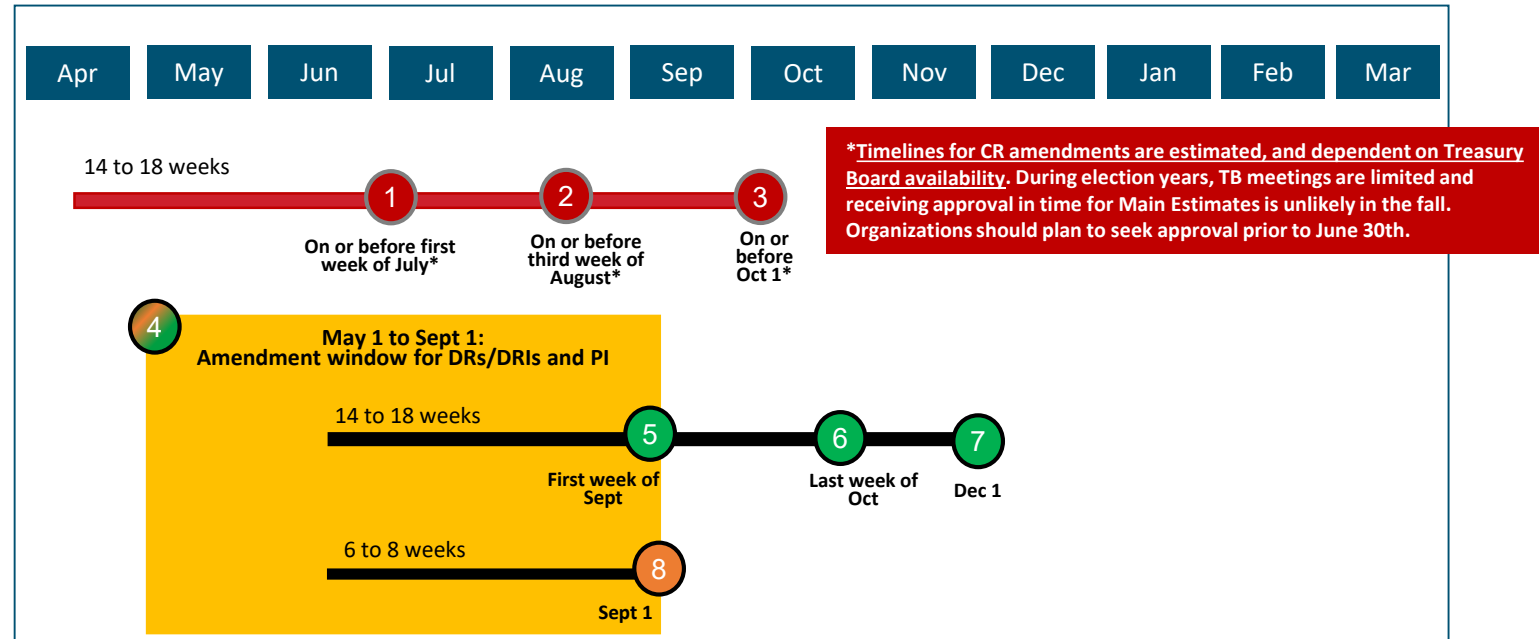# GC InfoBase: FTEs Information Trend

| Organization ▲▽ | Program ▲▽ | 2013-14 Actual FTEs ▲▽ | 2014-15 Actual FTEs ▲▽ | 2015-16 Actual FTEs ▲▽ | 2016-17 Actual FTEs ▲▽ | 2017-18 Actual FTEs ▲▽ | 2019-20 Planned FTEs ▲▽ | 2020-21 Planned FTEs ▲▽ | 2021-22 Planned FTEs ▲▽ |
|---|---|---|---|---|---|---|---|---|---|
| Department of Canadian Heritage | Sport | 128 | 121 | 109 | 95 | 93 | 0 | 0 | 0 |
| Department of Canadian Heritage | Arts | 115 | 124 | 128 | 136 | 140 | 0 | 0 | 0 |
| Department of Canadian Heritage | Cultural Industries | 248 | 237 | 233 | 238 | 247 | 0 | 0 | 0 |
| Department of Canadian Heritage | Heritage | 176 | 144 | 127 | 121 | 125 | 0 | 0 | 0 |
| Department of Canadian Heritage | Attachment to Canada | 141 | 183 | 207 | 208 | 210 | 0 | 0 | 0 |
| Department of Canadian Heritage | Engagement and Community Participation | 103 | 104 | 126 | 128 | 203 | 0 | 0 | 0 |
| Department of Canadian Heritage | Official Languages | 149 | 144 | 151 | 146 | 143 | 0 | 0 | 0 |
| Department of Canadian Heritage | Multiculturalism | 0 | 0 | 10 | 22 | 0 | 0 | 0 | 0 |
| Department of Canadian Heritage | Arts | 0 | 0 | 0 | 0 | 0 | 140 | 140 | 140 |
| Department of Canadian Heritage | Cultural Marketplace Framework | 0 | 0 | 0 | 0 | 0 | 129 | 130 | 130 |
| Department of Canadian Heritage | Cultural Industries Support and Development | 0 | 0 | 0 | 0 | 0 | 145 | 145 | 145 |
| Department of Canadian Heritage | National Celebrations, Commemorations and Symbols | 0 | 0 | 0 | 0 | 0 | 148 | 147 | 147 |
| Department of Canadian Heritage | Community Engagement and Heritage | 0 | 0 | 0 | 0 | 0 | 53 | 52 | 52 |
| Department of Canadian Heritage | Preservation of and Access to Heritage | 0 | 0 | 0 | 0 | 0 | 125 | 125 | 125 |

# Departmental Results Framework and Program Inventory Amendment (Updated for 2020-2021)

- **What?** – Two overarching amendment processes:
  - Departmental Results (DRs) and Departmental Results Indicators (DRIs)
  - Program Inventories (PIs); structural and non-structural
- **When?** – Window for organizations to submit changes – May 1$^{st}$ to Sept. 1$^{st}$
- **Why?** – In order for changes to be reflected in the Main Estimates, Part III Estimates and GC InfoBase, specific key timelines must be met
- **Who?** – Submit proposed changes to Program Sector (and Results Division)
- **How?** – A few notes:
  - TBS will provide organizations with a Word document containing their authoritative DRF and PI structures (moving away from previous templates)
  - Streamlined amendments (no distinction between Major and Minor)
  - Organizations seeking multiple amendments to their DRF are encouraged to bundle these revisions into a single request for the year (same for PI changes)

Process for amending reporting structures for Crown Corporations, Parliamentary Entities and Agents of Parliament has been clarified

# Visual timeline

| Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar |
|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|

14 to 18 weeks

**1** On or before first week of July*

**2** On or before third week of August*

**3** On or before Oct 1*

*Timelines for CR amendments are estimated, and dependent on Treasury Board availability. During election years, TB meetings are limited and receiving approval in time for Main Estimates is unlikely in the fall. Organizations should plan to seek approval prior to June 30th.*

**4** **May 1 to Sept 1: Amendment window for DRs/DRIs and PI**

14 to 18 weeks

**5** First week of Sept

**6** Last week of Oct

**7** Dec 1

6 to 8 weeks

**8** Sept 1

## Legend

| Amendments to CRs* and accompanying DRs and DRIs | Amendments to DRs / DRIs (only) | Amendments to the PI |
|---|---|---|
| 1 – Draft documents to TBS<br>2 – Final signed Ministerial package to TBS<br>3 – Treasury Board approval | 4 – TBS opens amendment window<br>5 – Draft documents to TBS<br>6 – Final package to TBS<br>7 – Secretary approval | 4 – TBS opens amendment window<br>8 – Revised PI information to TBS |

Organizations seeking to make multiple amendments to their DRF are encouraged to bundle these revisions into a single request for the year. Similar bundling should occur for PI amendments.

# Important Reminders

To ensure that amendments to the DRF and PI are effectively coordinated and reflect the view of all relevant partners, organizations are strongly encouraged to engage and consult both internally and with TBS

- ⚙️ Head of Performance Measurement
- ⚙️ Head of Evaluation
- ⚙️ Performance Measurement and Evaluation Committee (PMEC)
- ⚙️ Chief Results and Delivery Officer (CRDO)
- ⚙️ TBS Program Sector

- ⚙️ Corporate Planning and Reporting Group
- ⚙️ Finance Reporting Group
- ⚙️ Portfolio lead department
- ⚙️ Human Resources
- ⚙️ TBS Results Division

The CFO is responsible **for verifying**, in writing, the accuracy of the **planned and actual financial expenditures** reported to the Treasury Board of Canada Secretariat for **each Program in the Program Inventory**, as well as the financial data associated **with departmental performance information** when it is provided to the Treasury Board of Canada Secretariat.

# Contacts and Resources

**Results Mailbox**
(results-resultats@tbs-sct.gc.ca)

**http://www.tbs-sct.gc.ca**
See **Policy on Results**

**GC InfoBase**
(https://www.tbs-sct.gc.ca/ems-sgd/edb-bdd/index-eng.html)

**The Results Portal**
(http://www.gcpedia.gc.ca/wiki/The_Results_Portal)

# *Policy on Transfer Payments* reset

Policy reset vision and impacts

fmi Capital Chapter

October 24, 2019

Michelle Kealey, Director, Transfer Payment Policy
Financial Management Sector
Office of the Comptroller General

# Purpose and outline

> **PURPOSE**
> To provide an overview of the *Policy on Transfer Payments* reset (Policy reset)

**PART 1: WHY CHANGE?**

**PART 2: WHAT IS OUR VISION?**

**PART 3: WHAT ARE WE CHANGING?**

**PART 4: WHAT ARE THE IMPACTS?**

# The environment of transfer payments

Transfer payments (TP) represent a **large part of the Government of Canada's spending** and are **one of the government's key instruments** in furthering its policy objectives and priorities

## Transfer payments defined

- Grants, contributions, other transfer payments
- No acquisition of goods, services or assets by the Government of Canada
- Transfer payments promote Canada's economic and social development and enrich the quality of every day life

## Key data (2017-18)

| $211.4 billion (annually) | $42.5 billion (discretionary) | 42 Departments | 800 Programs (estimated) |
|---|---|---|---|

## Key messages

| RECIPIENT DIVERSITY | TP SPENDING IS INCREASING | VARIOUS PROGRAM OBJECTIVES |
|---|---|---|

# Principles of the current *Policy on Transfer Payments*

The 2008 *Policy on Transfer Payments* introduced **principles** to promote a **balance between controls and flexibility**

Transfer payment programs are to be managed with **sound stewardship** and the **highest levels of integrity**, **transparency**, and **accountability**

Transfer payments are designed, delivered, and managed in a manner that is **fair**, **accessible**, and **effective** for **departments**, **applicants**, and **recipients**

There is a **learned culture** within TBS and departments that **emphasizes controls** over **flexibility** and leads to **lesser focus on recipient** experience and **results for Canadians**

Why

# Overview of the current environment

While progress has been made to adopt these principles, **more must be done to support consistent application** across government and an **improved recipient experience**

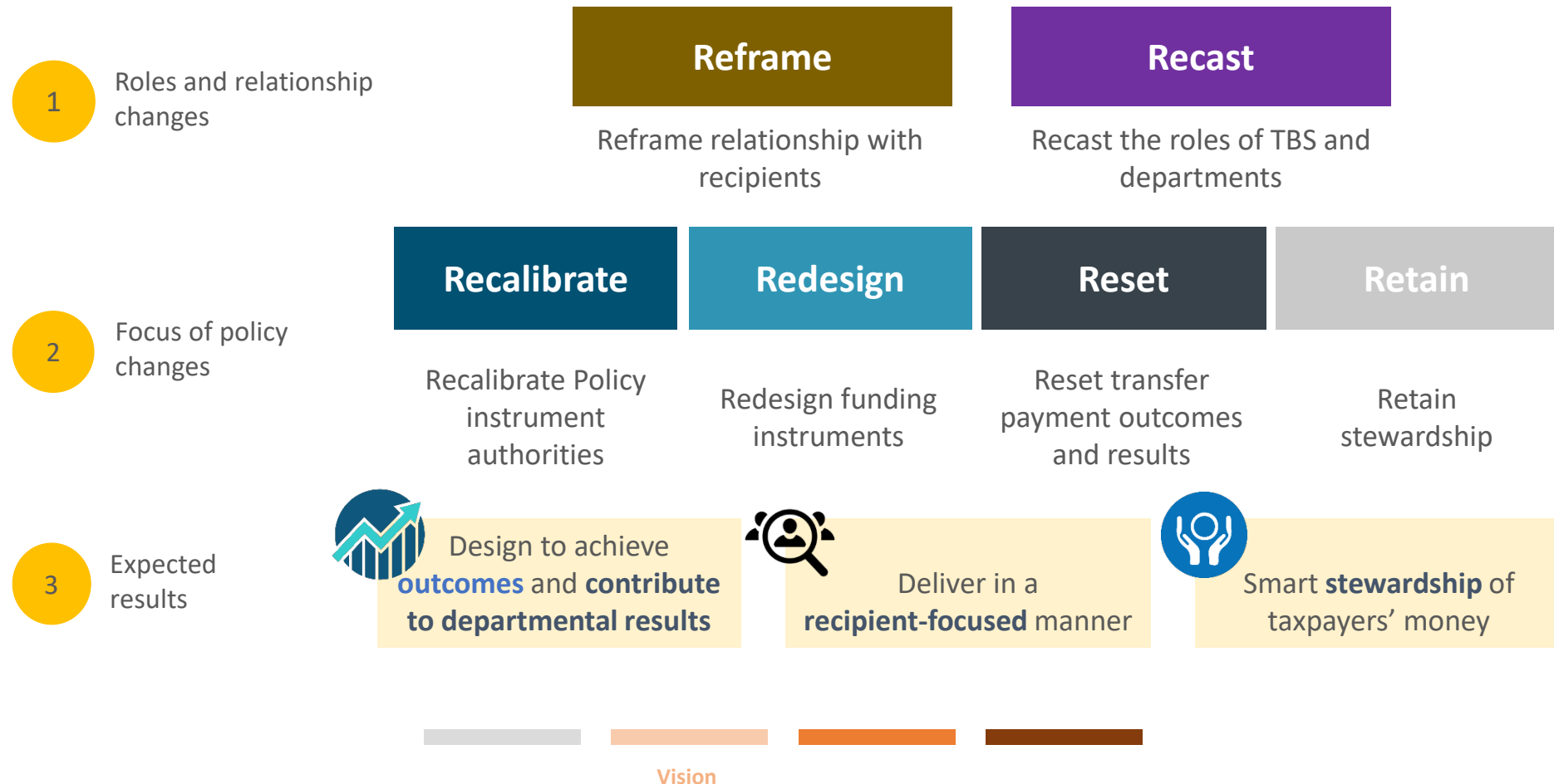| Progress has been made…. | …but challenges continue |
|---|---|
| **Standardization** of business processes and departmental templates with a limited ability to adapt to meet emerging or changing priorities | A **burdensome approval process** is an obstacle for departments to address emerging priorities<br>➢ Broad Policy exceptions are frequently requested, with few built-in controls |
| Improvements made for recipients through a **reduction in reporting requirements** based on an assessment of risks | There is a **culture of risk avoidance** across central agencies and departments<br>➢ Programs not making full use of flexibilities available<br>➢ Recipients impacted through inconsistent experiences |
| **Departmental Results Report** include outputs at the G&C program level | **Limited ability to demonstrate the impact of funding** on achieving transfer payment program objectives |
| **Implementation of Treasury Board policies** related to results and service | **Greater alignment** with *Policy on Results* (2016) the *Policy on Service and Digital* (2020) |

Why

# Vision of Policy reset

The vision of PTP reset is to **empower departments to deliver** transfer payments, while **ensuring they are accountable** to recipients and taxpayers

**1** Roles and relationship changes

| Reframe | Recast |
|---------|--------|
| Reframe relationship with recipients | Recast the roles of TBS and departments |

**2** Focus of policy changes

| Recalibrate | Redesign | Reset | Retain |
|-------------|----------|-------|--------|
| Recalibrate Policy instrument authorities | Redesign funding instruments | Reset transfer payment outcomes and results | Retain stewardship |

**3** Expected results

Design to achieve **outcomes** and **contribute to departmental results**

Deliver in a **recipient-focused** manner

Smart **stewardship** of taxpayers' money

Vision

# Recalibrating Policy authorities

Policy instruments **advance departmental flexibility** to make delivery and operational decisions and ensure consistent approaches

| Current Instrument | Replaced by | Goal | Approved by |
|---|---|---|---|
| Existing departmental policies, directives, procedures, commitments | Departmental Management Framework (DMF) | Ensure Department-wide commitments to administration of programs | Deputy head |
| Transfer payment program **terms and conditions** | Program Design | Programs are properly scoped with appropriate rationale | Treasury Board |
| Applicant guides | Program Delivery | Departments have flexibility to deliver and administer programs | Deputy head |

Change

# Redesigning funding instruments

Funding instruments are part of a **risk-based continuum** that establishes **how recipients report** and **what information is used to tell the TP story**

| | Eligibility grant | Merit grant | Activity contribution | Project contribution |
|---|---|---|---|---|
| **Criteria** | ■ Recipient is eligible for the grant and funding amount is pre-determined | ■ Low risk, low value grants where merit determines funding amount | ■ Low risk contributions for eligible recurring activities | ■ Contributions of all risk levels with eligible project start/end dates |
| **Recipient reporting** | ■ No direct reporting to government | ■ No direct reporting to government | ■ Reporting to stakeholders | ■ Direct reporting to government |
| **TP impact story** | ■ Use transfer payment funding data & public information | ■ Use transfer payment funding data & public information | ■ Leverage stakeholder financial and results reporting | ■ Use recipient financial and performance reporting |
| **Monitor** | ■ Monitoring for continuing eligibility | ■ Monitoring for continuing eligibility | ■ Based on risk mgmt practices in DMF | ■ Based on risk mgmt practices in DMF |

Successful implementation requires a **behaviour change** on how funding instruments are chosen

Change

# Resetting transfer payment outcomes and results

Departments design transfer payment programs to achieve **outcomes** and **contribute to departmental results**

| Establishing targets | Setting expectations | Monitoring and reporting |
|---|---|---|
| **Deputy heads** ensure transfer payment program is represented in one or more **Performance Information Profiles** | **Program Design** includes targets, date of achievement, and data sources to be used and **holds Ministers accountable for results**<br><br>**Program Delivery** establishes the **expectations of recipients in measuring and reporting** on outputs of funded projects and activities | Annual reporting through the **Departmental Results Report,** (supplementary tables) to **monitor progress** in achieving transfer payment program objective<br><br>Departments **report on achievement of targets** through **Program Impact Report** |

Change

# Retaining stewardship

Departments maintain **smart stewardship** of taxpayers' money

| FROM | TO |
|---|---|
| ▪ Focus on accounting for use of public funds | ▪ **DMF** maintains key financial controls, with a transfer payment lens |
| ▪ Recipient monitoring and reporting outweigh the benefits of funding | ▪ **DMF** sets risk management practices which balance performance, financial, and compliance reporting |
| ▪ Narrow focus on outcomes | ▪ Results management practices ensure operational oversight of achieving targets |
| ▪ Transparency requirements are limited to exceptions and 3 design elements | ▪ Full transparency of transfer payment program decisions |

Policy reset promotes **integrity, accountability** and **measured risk taking**

Change

# Reframing relationships with recipients

Departments become **accountable to recipients** for the design and delivery of transfer payment programs

**Continuous improvement**

- **DMF** sets out the departmental commitments to stakeholder engagement and recipient feedback
- **Program Design** requires departments to detail how these activities and results of evaluations have informed design choices
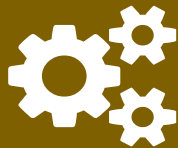
**Harmonization and horizontal opportunities**

- **Program Design** requires departments to review existing transfer payment programs within and between departments, which improves alignment and integration where there are similar objectives, activities, and recipients
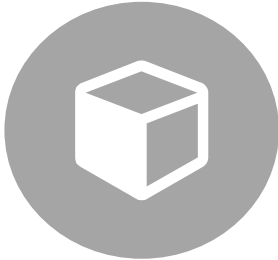
**Recipient-focused delivery**

- **DMF** establishes the risk-based principles and departmental commitments to consistency in transfer payment delivery
- **Program Delivery** sets out the responsibilities of the department and the recipient and the conditions of funding

Change

# Recasting the role of departments and TBS

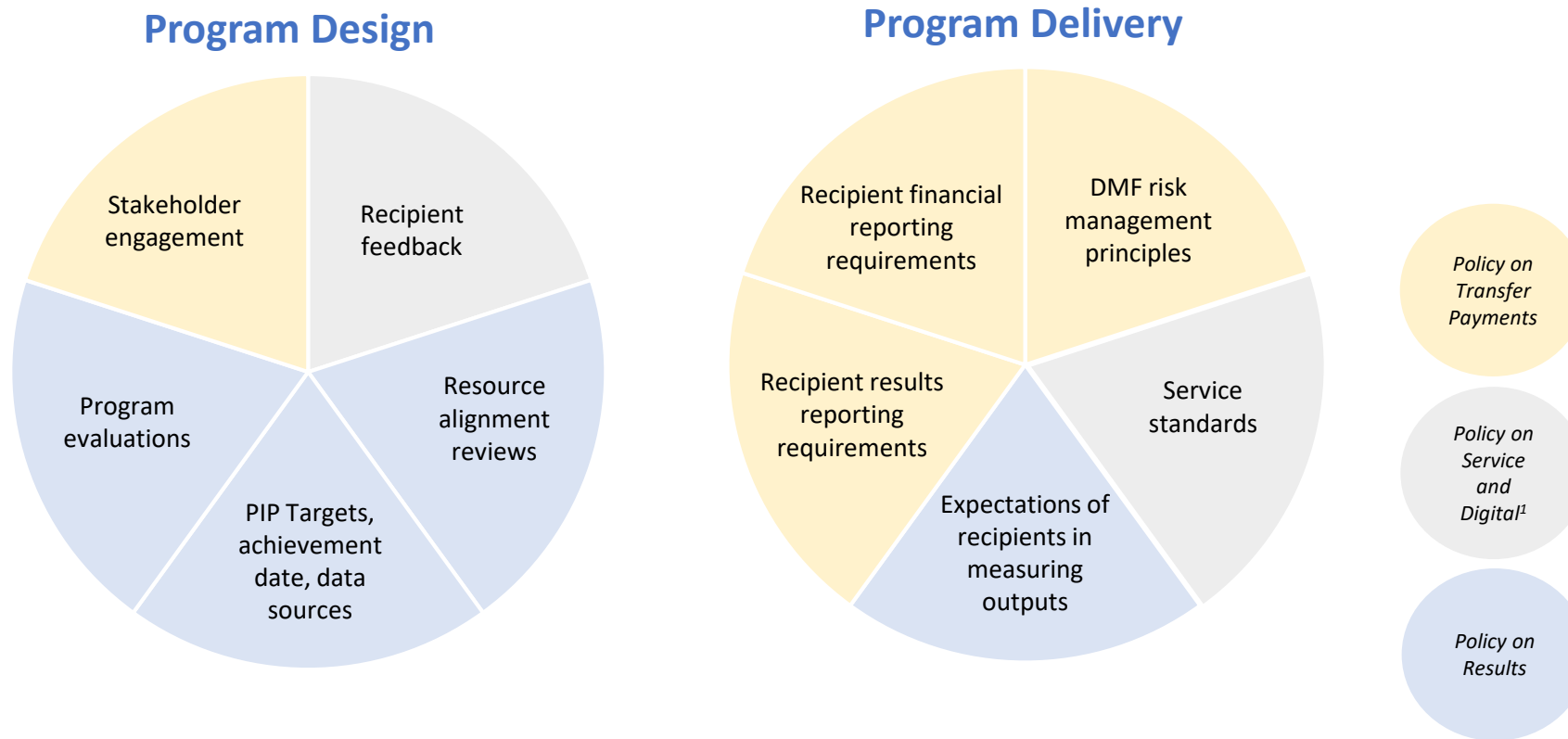Without a **change in culture** within departments and TBS, policy changes are only cosmetic

| Departments | | TBS | |
|---|---|---|---|
| **Enterprise-wide approach** | **Recipient feedback loop** | **Horizontality, harmonization** | **Community development** |
| • **Stewardship** is **redefined** as oversight and management activities to ensure **the achievement of outcomes** and the **accountability for the use of public funds** | • Departments **engage with recipients throughout the program lifecycle** to ensure **continuous improvement** of programs | • New responsibility for **Comptroller General** to facilitate collaboration and alignment of transfer payment programs and to share best practices | • Enhanced responsibility for **TBS** to provide leadership through ongoing collaboration, training, community development, and rotational assignments |

Change

# Policy suite integration

The PTP framework leverages **key principles that align to other Treasury Board policies**

## Program Design

- Stakeholder engagement
- Recipient feedback
- Resource alignment reviews
- PIP Targets, achievement date, data sources
- Program evaluations

## Program Delivery

- Recipient financial reporting requirements
- DMF risk management principles
- Service standards
- Expectations of recipients in measuring outputs
- Recipient results reporting requirements

*Policy on Transfer Payments*

*Policy on Service and Digital[1]*

*Policy on Results*

[1] Effective April 1, 2020

Change

# Anticipated impacts

Departments design transfer payment programs to achieve **outcomes** and **contribute to departmental results**

Departments deliver transfer payment programs in a **recipient-focused** manner

Departments maintain **smart stewardship** of transfer payment programs

**Integrated principles**

Design decisions are appropriately scoped and rationalized, ensuring TP outcomes can be achieved

Consistency across TP programs within a department

Transparent governance and oversight of TP programs

**Behaviour change**

Results management principles promote monitoring in the short- and medium-terms

Ministers are accountable to Parliament and Canadians for TP program impacts

Departments are accountable to recipients

Recipients are engaged throughout TP program life-cycle and better understand their role in measuring and reporting on outcomes

Departmental flexibility to deliver and administer programs based on risk management

**Impact**

# Questions

# Annexes

# Departmental Management Framework

## What is it?

Department's commitments and considerations for design, delivery and evaluation

## Objective

To promote department-wide consistency in design and delivery

## Result

Departments manage transfer payments more consistently, according to program risk and recipient trust levels

## Impact

More consistent experiences for recipients

## Requirements



Risk mgmt

Governance and oversight

Results mgmt

Department Capacity

Information mgmt

Recipient engagement

Program delivery review

Program design

# From Ts&Cs to Design & Delivery: Contents

Between Design and Delivery, all components of Ts&Cs are replicated but they are not identical, and new information is included

| Terms and Conditions<br>Structural design and delivery parameters of a program, with a focus on stewardship | Program Design<br>Structural design of a program with rationale for design choices, a focus on results and, funding instruments that set minimum stewardship requirements | Program Delivery<br>Guide for recipients detailing the how the program will be implemented, with a focus on the user |
|---|---|---|
| Immediate, intermediate, long-term results, indicators & measurement | Ultimate outcomes, targets, target date of achievement | Recipient expectations in measuring and reporting on results of funded projects |
| Eligible recipients<br>Eligible projects or activities | Strategic level eligibility:<br>Recipients, activities/projects | Detailed eligibility criteria:<br>Recipients, activities/projects |
| Stacking limit<br>Maximum amount payable | Stacking limit approved<br>Maximum amount payable approved | Stacking limit disclosed to recipients<br>Maximum amount payable disclosed to recipients |
| Funding approaches: repayable, further distribution, etc. | Principles of and rationale for use of funding approaches | Detailed criteria for consideration |
| Eligible expenditures | | Detailed eligibility criteria |
| Application requirements | | Application requirements |
| Assessment criteria to determine funding level | | Assessment criteria to determine funding level (minimum requirements in standards) |
| How payments are made | | Payments are made based on departmental risk management practices * |
| Recipient reporting requirements | | Recipient reporting requirements; frequency and type of assurance based on departmental risk management practices * |

* Departmental risk management practices are defined in the DMF and supported by minimum requirements in the Policy standards

# Program Impact Report

## What is it?

A report on the impact of transfer payment program funding in relation to the policy objective

## Objective

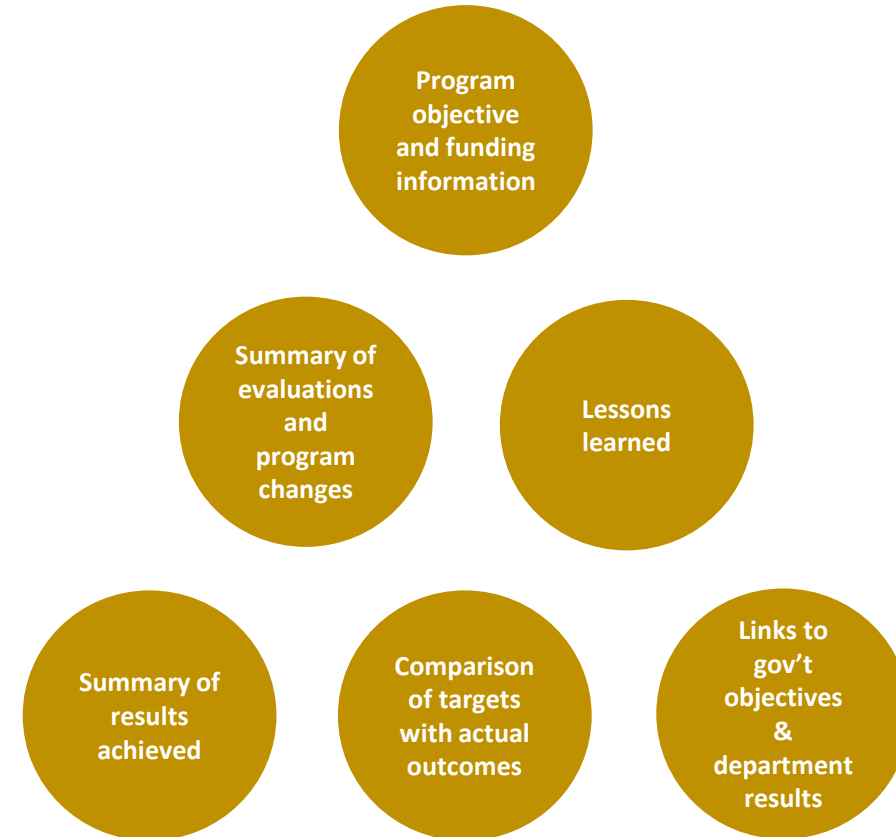Ensure that outcomes and targets of transfer payment programs are effectively measured and reported

## Result

Impacts of transfer payment programs are publicly available

## Impact

Tell the transfer payment program story

## Core elements

- Program objective and funding information
- Summary of evaluations and program changes
- Lessons learned
- Summary of results achieved
- Comparison of targets with actual outcomes
- Links to gov't objectives & department results

**Break / Networking**

# Policy on Transfer Payments reset

A collaborative approach to policy development

fmi Capital Chapter

October 24, 2019

Todd Scarfone, Manager, Transfer Payment Policy
Financial Management Sector
Office of the Comptroller General

# Purpose

**A discussion of collaboration and co-development**

| 1 | Completed activities |
|---|----------------------|

| 2 | Upcoming engagement |
|---|---------------------|

# The approach to Policy reset

## col·lab·o·ra·tion

/kəˌlabəˈrāSH(ə)n/

*Noun*

The action of working with someone to produce or create something.

"*he wrote on art and architecture **in collaboration with** John Betjeman*"

"*his recent opera was **a collaboration with** Lessing*"

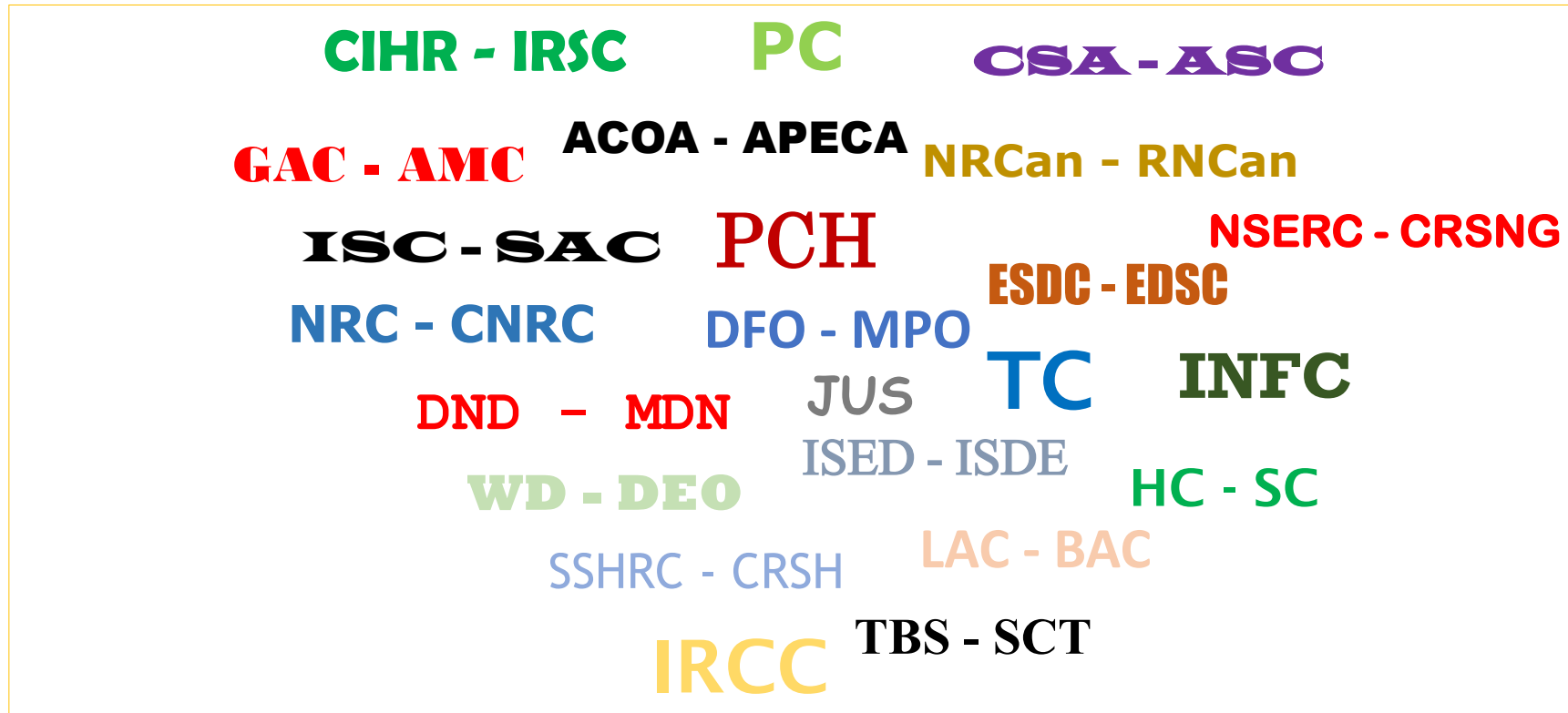**Similar:** ● **cooperation** ● **teamwork** ● **working together**


## co·de·vel·op

co·de·vel·op | \ ˌkō-di-ˈvel-əp

*Verb*

To develop (something) by working with one or more others: to develop (something) jointly
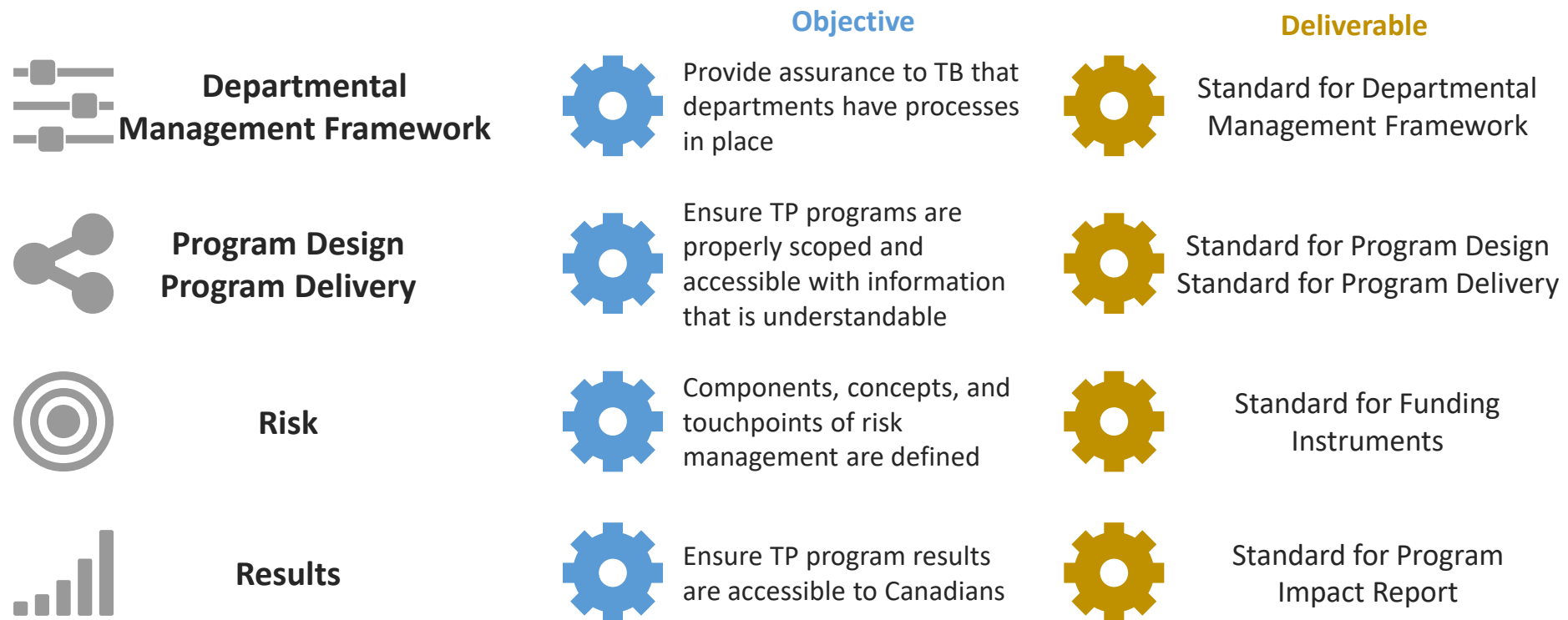
"*A team of engineers has co-developed a device that can translate sign language*"

# The approach: Policy reset working groups

# Working groups: key objectives and deliverables

Four working groups co-developed **five key standards** for Policy reset

| | | Objective | Deliverable |
|---|---|---|---|
|  | **Departmental Management Framework** | Provide assurance to TB that departments have processes in place | Standard for Departmental Management Framework |
|  | **Program Design Program Delivery** | Ensure TP programs are properly scoped and accessible with information that is understandable | Standard for Program Design Standard for Program Delivery |
|  | **Risk** | Components, concepts, and touchpoints of risk management are defined | Standard for Funding Instruments |
|  | **Results** | Ensure TP program results are accessible to Canadians | Standard for Program Impact Report |

# Working groups: what we heard

Overall, working groups were **supportive of the fundamental concepts**, but identified **some areas for further development**

**Transparency** for design and delivery decisions

Recognition that this is transformational change and must be supported by **sustained leadership**

Positive feedback on **Policy framework documents**

Departmental **flexibility**

Including time-sensitive information (background, rationale, budget announcements) in program design

Program delivery approved by minister

Recipient feedback questionnaire

Potential for duplication of effort

# Addressing what we heard

| Program design | Program delivery approval | Recipient feedback | Duplication of effort |
|---|---|---|---|
| <ul><li>Segment and present information versus key program design elements</li><li>Manage change from current Ts&Cs requirements to ensure better program design</li></ul> | <ul><li>Approved by Deputy head</li><li>Departmental flexibility to manage programs to achieve results</li></ul> | <ul><li>Departments determine how recipient feedback will be addressed in the DMF</li><li>Promote stakeholder engagement throughout the program life-cycle</li></ul> | <ul><li>Complement other Treasury Board policies, rather than establish a specific transfer payment standard</li></ul> |

**Feedback from working group members has been incorporated into Policy standards**

# Planning for implementation

**Thinking
things through**

**Leveraging
knowledge**

**Anticipating
challenges**
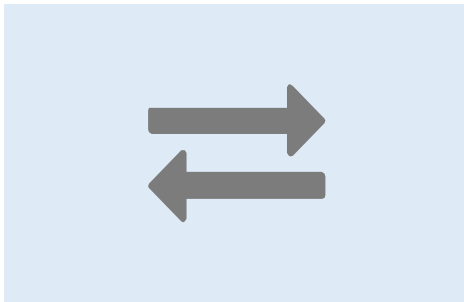
Testing Policy
standards

Engaging subject
matter experts

Bookmarking items
for guidance

# Policy pilot: A measured approach to implementation

A **Pilot of up to 3 years** will be undertaken to ensure lessons learned inform **government-wide Policy renewal** and the **supporting tools needed** for implementation

## Pilot components

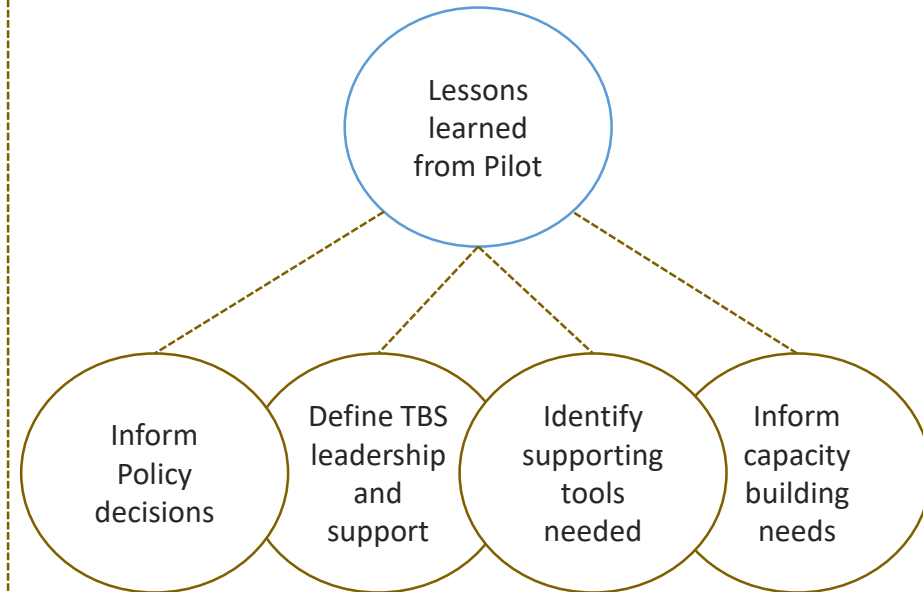**Collaborating with departments:** Collaborate with a small group of early adopter departments

**Representing TP program diversity:** Select diverse transfer payment programs

**Testing policy concepts:** Measure and report results to make sure we got it right

## Pilot benefits

Lessons learned from Pilot

Inform Policy decisions

Define TBS leadership and support

Identify supporting tools needed

Inform capacity building needs

# Pilot: Collaborating with departments

The 3 early adopter departments have **established expertise with grants and contribution** design and delivery with a **range of transfer payment expenditures**

## DFO

- 5% of total departmental expenditures are transfer payments[1]

- 1 program proposed
- Opportunity to monitor changes outside of Pilot

## ISED

- 75% of total departmental expenditures are transfer payments[1]

- 3 programs selected
- Opportunity for transfer payment programs to be added during the Pilot

## ESDC

- 96% of total departmental expenditures are transfer payments[1]

- 3 programs proposed
- Opportunity to monitor changes outside of Pilot

[1] 2017-18 Departmental Financial Statements

# Pilot: Representing TP program diversity

The programs identified by early adopter departments are **representative of the types of programs delivered by the community** and **provide sufficient data** to systematically test the proposed concepts

**Funding instruments**

All four funding instruments will be tested

**Funding approaches**

Inclusion of different funding approaches, including further distribution

**Recipient type**

Variety of recipient types, as well as new and repeat recipients

**Funding agreements**

Ranges from single to high-volume recipient programs

**Multiple components**

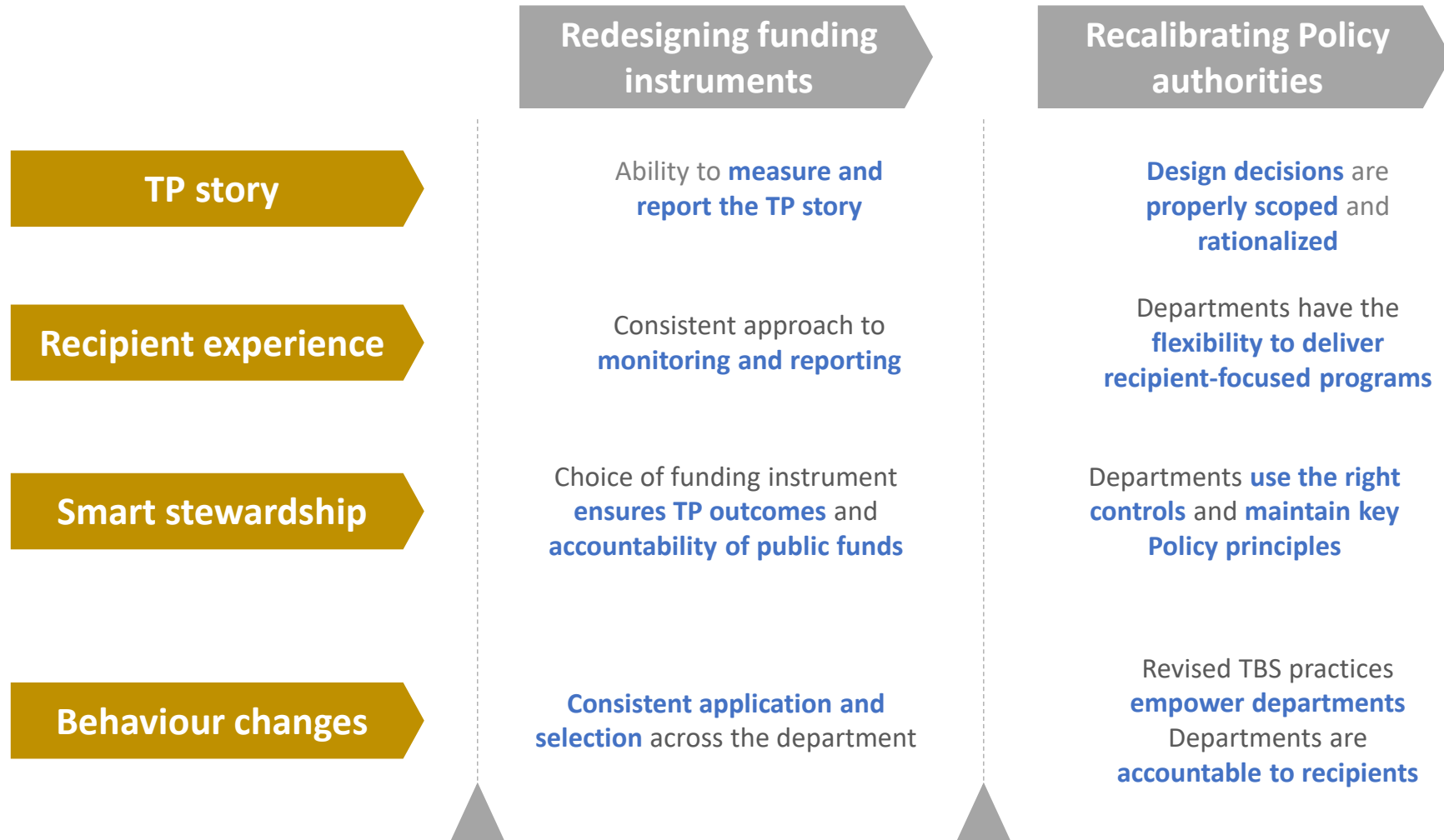One Program Design-multiple Program Delivery model

**Maturity of programs**

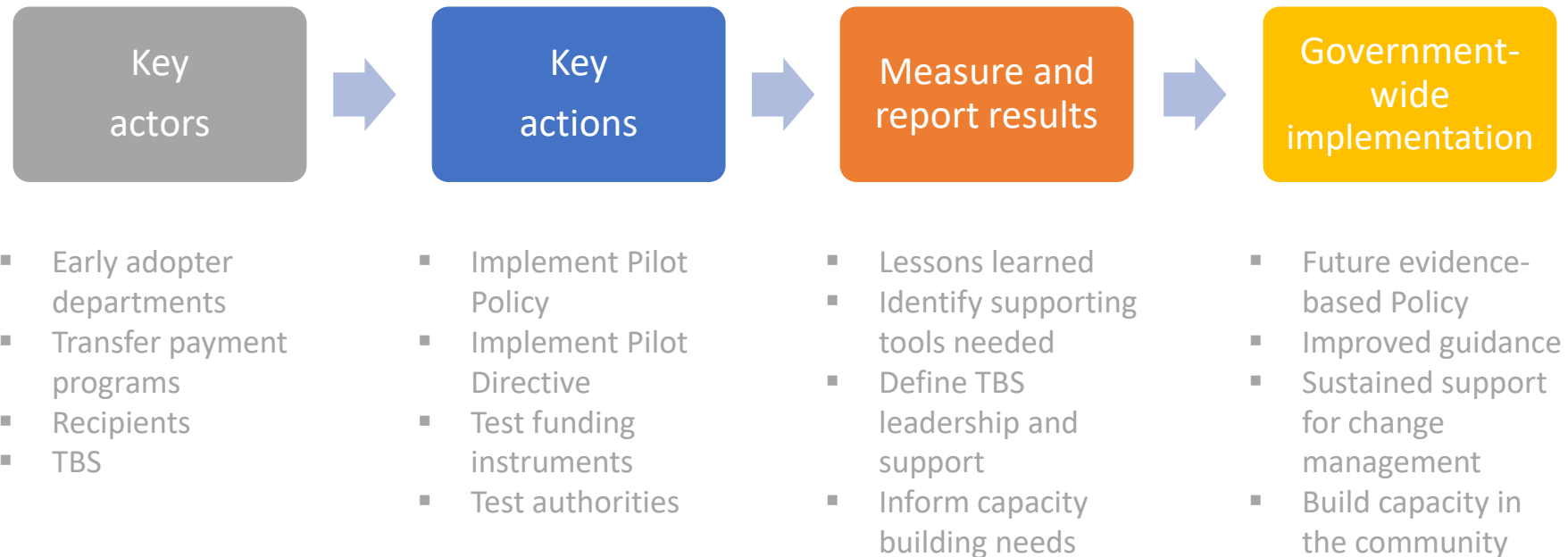Range from new to well established transfer payment programs

# Pilot: Testing Policy concepts

The Pilot will test **two key elements**: the impacts of **redesigning the funding instrument continuum** and **recalibrating Policy authorities**

| | **Redesigning funding instruments** | **Recalibrating Policy authorities** |
|---|---|---|
| **TP story** | Ability to **measure and report the TP story** | **Design decisions** are **properly scoped** and **rationalized** |
| **Recipient experience** | Consistent approach to **monitoring and reporting** | Departments have the **flexibility to deliver recipient-focused programs** |
| **Smart stewardship** | Choice of funding instrument **ensures TP outcomes** and **accountability of public funds** | Departments **use the right controls** and **maintain key Policy principles** |
| **Behaviour changes** | **Consistent application and selection** across the department | Revised TBS practices **empower departments** Departments are **accountable to recipients** |

# Implementation plan

Results of the pilot will **inform future evidence-based policy decisions** and contribute to **broader implementation plans**

| Key actors | | Key actions | | Measure and report results | | Government-wide implementation |
|---|---|---|---|---|---|---|

- Early adopter departments
- Transfer payment programs
- Recipients
- TBS

- Implement Pilot Policy
- Implement Pilot Directive
- Test funding instruments
- Test authorities

- Lessons learned
- Identify supporting tools needed
- Define TBS leadership and support
- Inform capacity building needs

- Future evidence-based Policy
- Improved guidance
- Sustained support for change management
- Build capacity in the community

# Questions

| Departmental Management Framework | Design & Delivery | Risk | Results |
|---|---|---|---|
| - DFO<br>- DND<br>- ESDC<br>- HC<br>- ISC<br>- ISED<br>- NRC<br>- NRCan<br>- PC<br>- PCH<br>- TC | - ACOA<br>- CSA<br>- ESDC<br>- GAC<br>- HC<br>- INFC<br>- IRCC<br>- ISC<br>- ISED<br>- LAC<br>- NRC<br>- PCH | - DND<br>- ESDC<br>- IRCC<br>- JUS<br>- NRCan<br>- NSERC<br>- PC<br>- TC<br>- WD | - CIHR<br>- GAC<br>- ISC<br>- NRCan<br>- NSERC<br>- PCH<br>- SSHRC<br>- TC |

5 departments participated on 3 working groups

Following co-development of Policy standards for the revised Policy with 22 departments, **consultation and collaboration continues**

| Expressions of interest from early adopter departments | Identification of proposed transfer payment programs | Developing a methodology |
|---|---|---|
| ➢ A call from the Comptroller General to departments, resulted in the following early adopters self-identifying interest:<br><br> ▪ Department of Fisheries and Oceans (DFO)<br><br> ▪ Innovation, Science and Economic Development (ISED)<br><br> ▪ Employment and Social Development Canada (ESDC) | ➢ Programs were proposed by departments to participate in the Pilot<br><br>➢ TBS/Transfer payment policy centre (TPP) identified risks, gaps, and opportunities with the proposed programs<br><br>➢ TPP met with departments to addresses observations and negotiate other possible programs<br><br>➢ Departments and TBS finalized their proposed list of participating programs | **Internal:**<br>➢ Engagement with TBS innovation and experimentation experts<br><br>**External:**<br>➢ Engagement with an external expert to develop a methodology for the Pilot |

**Panel Discussion – Transfer Payments in Action**

**Moderator: Todd Scarfone,** *Manager, Policy Payments on Transfer, Office of the Comptroller General*

**Adam Schjott,** *Director, Industry, Science and Economic Development*

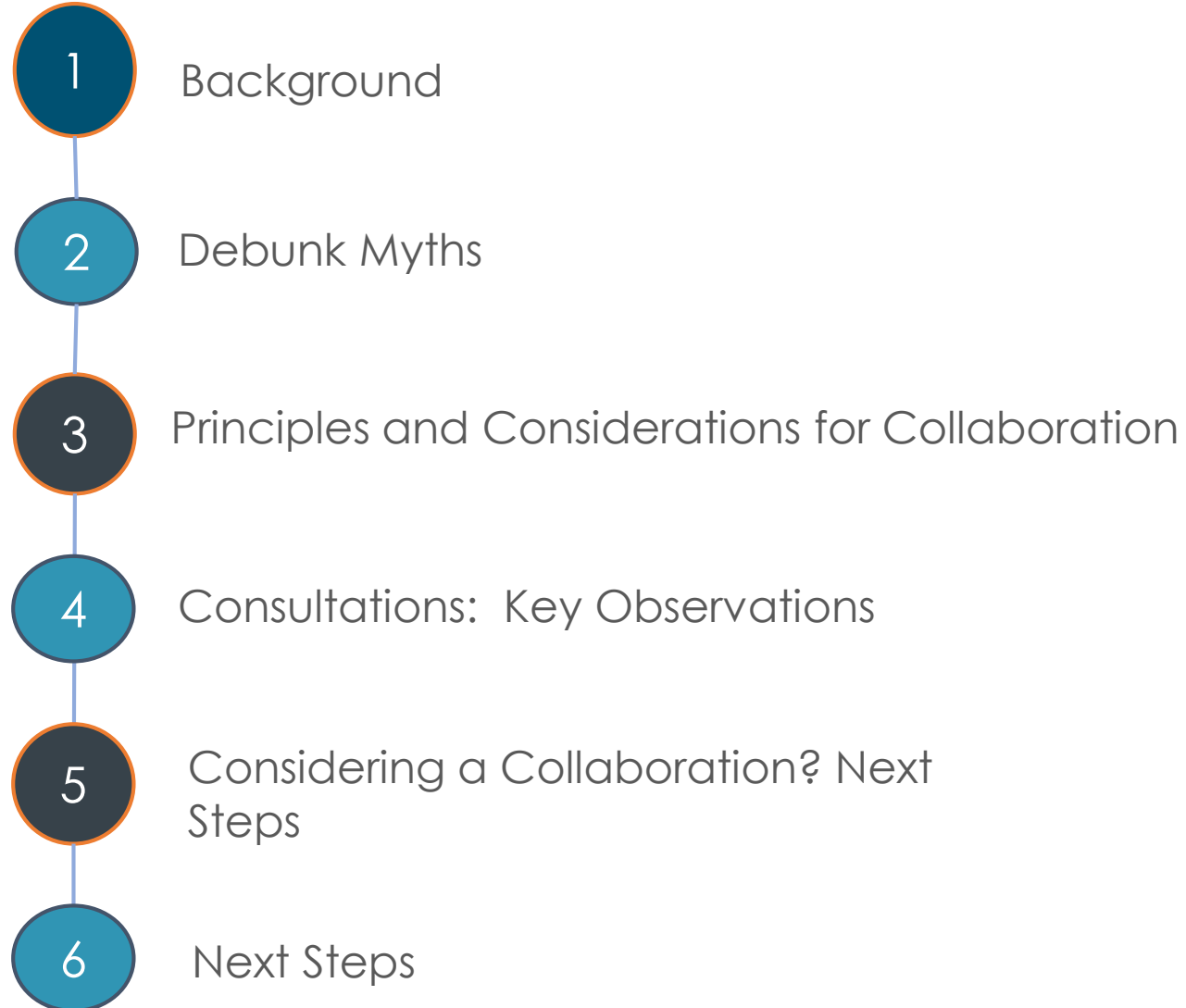**Melani Bejder,** *Director, Strategic Coordination and Oversight, Department of Fisheries and Oceans*

Lunch / Networking

# Update on Science Collaboration: New Guide on Departmental Collaboration with Recipients of Grants and Contributions

**Presentation to FMI**

Office of the Comptroller General

October 2019

GC doc:

# Overview

1 Background

2 Debunk Myths

3 Principles and Considerations for Collaboration

4 Consultations:  Key Observations

5 Considering a Collaboration? Next Steps

6 Next Steps

# Background

## Science Collaboration:

### Definition

- Refers to collaboration between scientists and federal government where there is a shared interest in their government funded project.
- May be supported through financial and/or non-financial support.
- Non-financial contribution provides access to goods and services (G&S) to recipient.

### Goals of Science Collaboration

| | | |
|---|---|---|
| Consultative or advisory arrangements. | Increase or leverage federal resources to promote excellence. | Access to Gs & Cs that would not be accessible otherwise. |

### Current Status

| | | |
|---|---|---|
| Science collaboration projects have been processed by TBS on case by case basis. | Collaboration funding has been addressed through one option only: Vote 1 funding. | Transfer payment (TP) recipients were not allowed to buy services from Government departments with charging authority. |

### Principle

Not leveraging researchers and services would be a detriment to the success of the project.

# Background

**Perceived Barriers to Science Collaboration**

➢ **Section 26 of the Financial Administration Act**

    ➢ Subject to the *Constitution Acts, 1867 to 1982*, no payments shall be made out of the Consolidated Revenue Fund without the authority of Parliament.

➢ **Provision 6.5.13 of the Policy on Transfer Payments**

    ➢ Deputy Heads are responsible for ensuring that transfer payments are not made to a department as defined in section 2 of the *Financial Administration Act*, nor made to finance the ongoing operating or capital requirements of a federal Crown corporation.

# Background: Departmental Roles & Responsibilities in a Collaborative Environment

**Funding Department**

A Funding Department is when the department:

- Provides monetary payments or transfers goods, services to third parties (recipients) in the form of a G&C.
- The recipient is directly benefiting from the project.

**Supplier Department**

A Supplier Department is when a department:

- Provides access to goods and services for a fee.
- Has a charging authority.

**Collaborator Department**

A Collaborator department is when a department:

- Participates in a project I in support of the department's mandate.
- Has an interest in the project success, beyond financial aid.
- It receives a direct benefit from the project equally proportional to the type of the collaboration.

**Recipient**

Is an applicant that was deemed eligible to receive a transfer payment from a Funding Department.
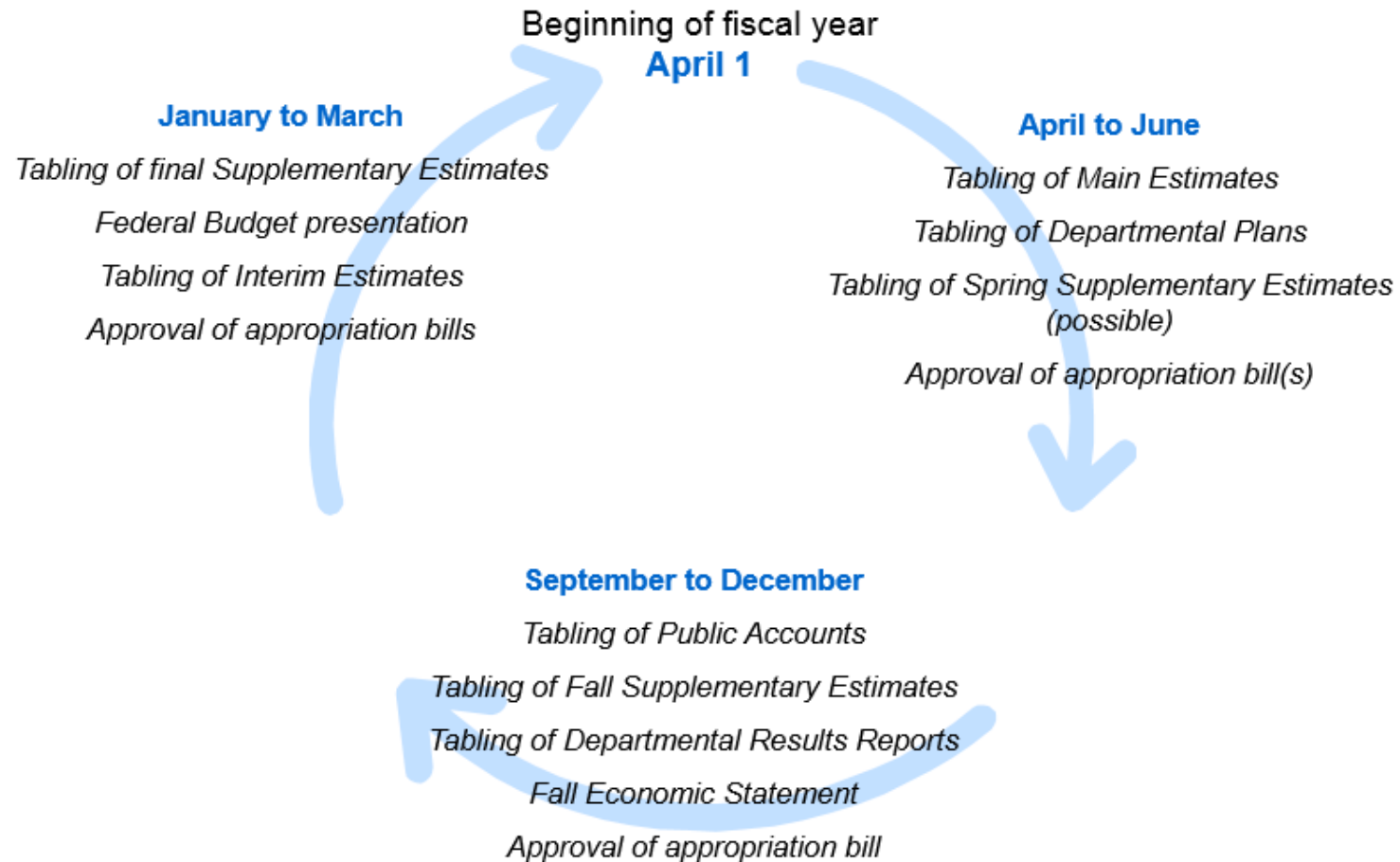
# Debunk Myths

|  | Recipients may not use G&C budget to procure departmental Goods & services | Departments may provide in-kind and recipient may make direct payment to collaborative department |
|---|---|---|
| **Myth** | X Department with charging authority may use their authority to support science collaboration.<br>X G&C recipients may not procure with funding department using G&C funds. | X A department could "gift its goods/services" to a recipient as in-kind.<br>X A recipient may use G&C funding to cover for operating expenditures of a collaborating department. |
| **Fact** | ✓ G&C recipients may procure from the funding department who have charging authority.<br>✓ A procurement is not a collaboration.<br>✓ The procurement process and the G&C processes are independent.<br>✓ The good/service to be procured are equally available to other stakeholders.<br>✓ The procured good/service are part of the cost estimate of the G&C project. | ⚠ Goods/services may not be gifted to a recipient. They are to be used for what they were appropriated for.<br>⚠ "In-kind funding" is provided by the recipient in support of the project.<br>⚠ G&C funding may not be used to cover for operating cost unless converted to O&M. |

# Principles and Considerations

| | Department led Collaboration | Department G&C |
|---|---|---|
| **Principles** | ✓ Project is aligned with the departments mandate.<br>✓ Department to ensure they have a program to enable such<br>✓ Department to ensure Legal liability is addressed and other consideration e.g. Security, IP etc… | ✓ Recipient leads project independently.<br>✓ Independence by the recipient to chose who they deal with.<br>✓ Transparency and fairness in selecting recipient<br>✓ Separation in the event dual roles (collaborator and G&C funder) |
| **Funding mechanism** | ✓ Collaboration is done with departmental O&M vote as appropriated. | ✓ Funded by the department using G&C vote<br>✓ Potential Transfer between votes through ARLU or Supps to another department |
| **Considerations** | ✓ Cannot provide service / good free of charge<br>✓ Department must have charging authority | ✓ Transferred funds to be used only for incremental costs.<br>✓ Department of Finance and the Treasury Board of Canada Secretariat may question the transfer between departments.<br>✓ Only cash can be provide to recipient to be considered as G&C |

# Parliamentary Reporting and the Supply Cycle
(Two-year pilot)

**Beginning of fiscal year**
**April 1**

**January to March**

Tabling of final Supplementary Estimates

Federal Budget presentation

Tabling of Interim Estimates

Approval of appropriation bills

**April to June**

Tabling of Main Estimates

Tabling of Departmental Plans

Tabling of Spring Supplementary Estimates (possible)

Approval of appropriation bill(s)

**September to December**

Tabling of Public Accounts

Tabling of Fall Supplementary Estimates

Tabling of Departmental Results Reports
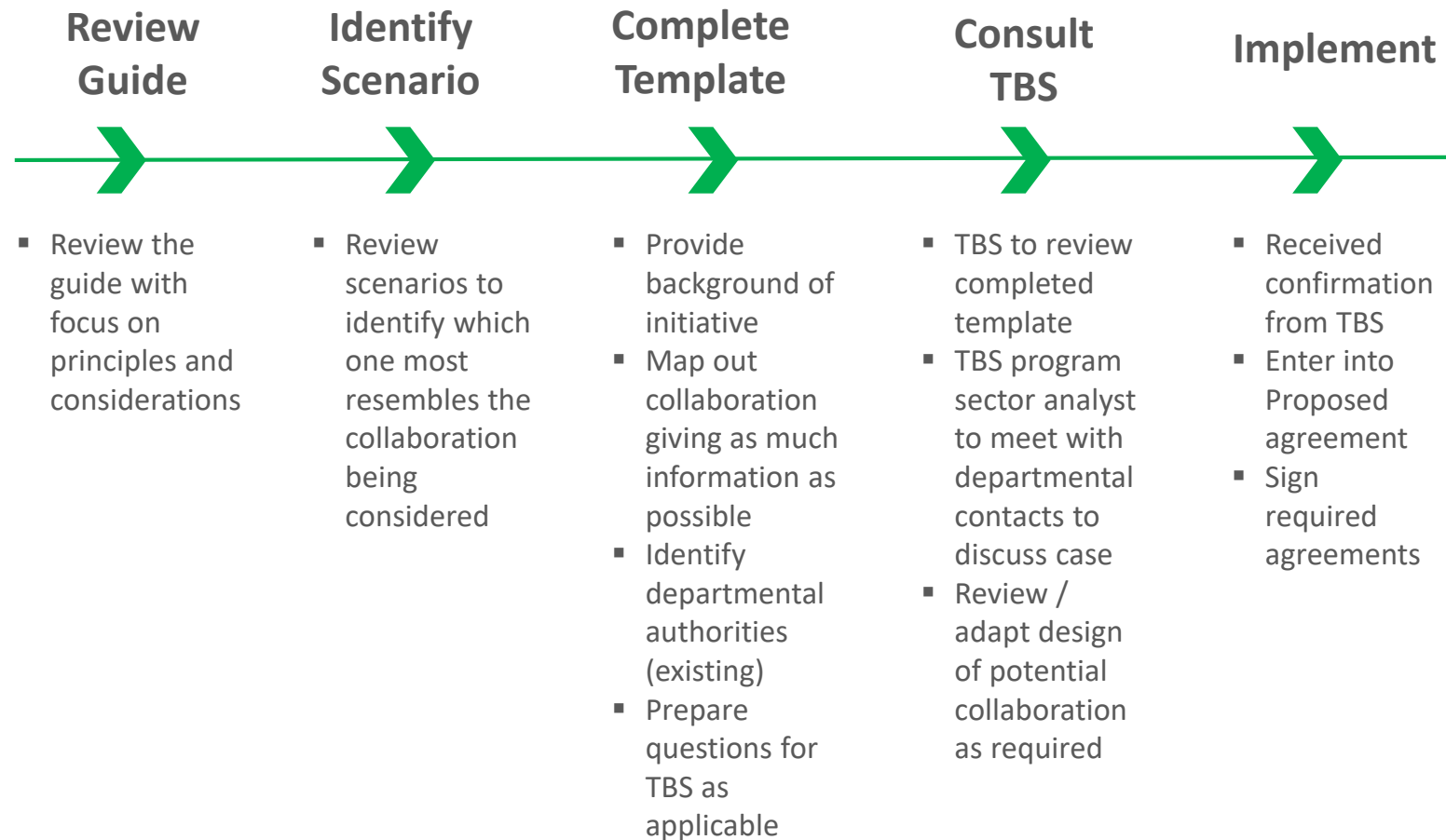
Fall Economic Statement

Approval of appropriation bill

**Reminder:** *When planning for science collaboration requiring transfers between departments/votes, take into account the Parliamentary Supply Cycle.*

# Consultations: Key Observations and Results

- Development of a Guide that will <u>ensure a broader application</u> across departments, title of guide changed from *Science Collaboration* to *Guide to Departmental Collaboration with Recipients of Grants and Contributions*

- Collaboration with G&C recipients is allowed under PTP, as long as principles and considerations are applied and funds are not redirected to support departmental operations

- Department-led collaboration with a large O&M component was not captured under the common scenarios e.g. NRC

- Guide is to be treated as such. Any departments uncertain about compliance with PTP are to consult with their TBS Analyst

- Targeted communications to functional community to address risk tolerance is required to ensure collaborative projects can be put in place

# Considering Collaboration with a G&C Recipient?

We recommend departments follow these steps:

| Review Guide | Identify Scenario | Complete Template | Consult TBS | Implement |
|---|---|---|---|---|
| ▪ Review the guide with focus on principles and considerations | ▪ Review scenarios to identify which one most resembles the collaboration being considered | ▪ Provide background of initiative<br>▪ Map out collaboration giving as much information as possible<br>▪ Identify departmental authorities (existing)<br>▪ Prepare questions for TBS as applicable | ▪ TBS to review completed template<br>▪ TBS program sector analyst to meet with departmental contacts to discuss case<br>▪ Review / adapt design of potential collaboration as required | ▪ Received confirmation from TBS<br>▪ Enter into Proposed agreement<br>▪ Sign required agreements |

# Next Steps

## Implementation plan for 2019-20

| | Jan | Feb | Mar | Apr | May | June | Jul | Aug | Sept | Oct | Nov | Dec |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Consultation** | 5 months | | | | | | | | | | | |
| **Internal Approval & Briefing up the chain** | | | | | | 2 months | | | | | | |
| **Communication to departments** | | | | | | | | 1 month | | | | |
| **Implementation** | | | | | | | | Ongoing | | | | |

## Moving forward to 2020-21

| | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | June | Jul | Aug | Sept |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Info sessions** | As needed | | | | | | | | | | | |
| **Evergreen updates** | | As needed | | | | | | | | | | |

**Scenario 1: a G&C recipient uses a federal department's services and/or facilities**

Under certain circumstances, a recipient of G&C funding may procure services or facilities from a non-funding department (supplier department) that has the authority to provide services and charge for them.

- A university researcher receives a $1-million grant from Sport Canada (Canadian Heritage) to undertake research on athletic uniforms in order to improve their aerodynamic properties. The researcher uses the some of the grant funding to purchase time in National Research Council Canada's (NRC's) wind tunnel to perform tests on various materials.

- In this case, NRC is not participating in the recipient's project; it is strictly providing a service to a paying customer. There is no relationship between Canadian Heritage and the NRC. Expenses related to testing materials are an eligible expense under the funding agreement between Canadian Heritage and the recipient under the category of "professional services."

- See Figure next page

**Scenario 1: a G&C recipient uses a federal department's services and/or facilities**
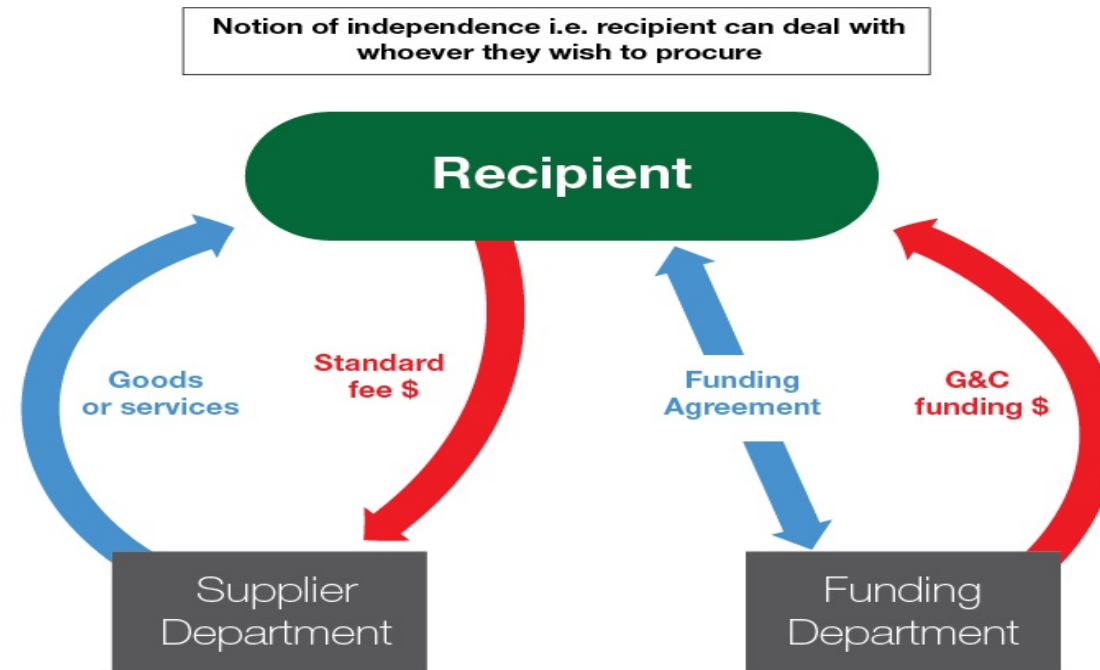


Considerations for Supplier Department (NRC in this example):
- Cannot provide service/good free of charge
- Must have charging authority

Considerations for Funding Department (Canadian Heritage in this example):
- G&C authority needed
- No in-kind
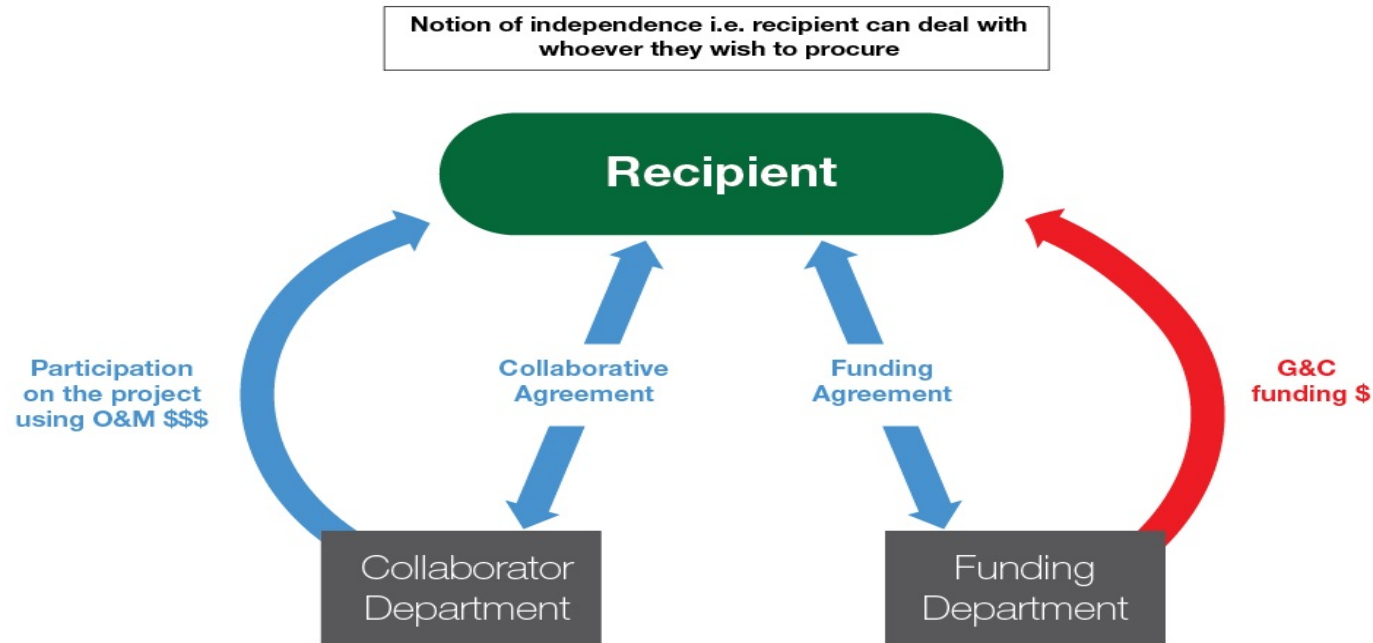- Cannot provide service/good it must be $,$$$ dollars

**Scenario 2: a non-funding department collaborates on a G&C project using its own resources**

In this scenario, a department enters into a collaboration with a G&C recipient using its own O&M funds, appropriated for this purpose. Considering the shared interest in the project, the collaborator department will receive a direct benefit (that is, fulfillment of part of its mandate). In addition, the recipient may receive G&C funding from a funding department. The value of the collaborator department's participation should form part of the stacking calculations for the recipient of the G&C.

- Natural Resources Canada (NRCan) is involved in a collaborative research project with a large forestry company to investigate the effects of various forestry management techniques. Through this collaborative activity:
  - ➢ NRCan is fulfilling its mandate of promoting sustainable resource development
  - ➢ the forestry company is gaining knowledge that will help it increase efficiency and profitability

- NRCan's participation includes four weeks of a scientist's time and use of laboratory facilities. NRCan funds its participation through its own O&M budget. The forestry company contributes its forestry assets (land) and equipment to the project. In addition, the Atlantic Canada Opportunities Agency (ACOA) provides G&C funding to the forestry company because the project will generate jobs in the Atlantic provinces.

- See Figure next page

73

## Scenario 2: a non-funding department collaborates on a G&C project using its own resources



Considerations for Supplier Department (NRCan in this example):
- Collaboration must be in support of the department mandate for which the department is appropriated (O&M)
- Incremental costs are to be calculated
- Revenue re-spending authority is not a factor
- Must determine when the limit of collaboration is crossed to procurement side

Considerations for Funding Department (ACOA in this example):
- G&C authority needed
- No in-kind
- Cannot provide service/good it must be $,$$$ dollars

## Scenario 3: a non-funding federal department collaborates on a G&C project, and incremental costs are supported by the funding department via transfer of funds from Vote 10 to Vote 1:

In certain circumstances, a collaborator department may participate in a project that is receiving G&C funding to share and leverage expertise at the request of either a G&C recipient or a federal department. In this scenario, the funds to support the incremental collaboration cost are provided by the funding department through a G&C budget transfer (Vote 10) to the collaborator department's O&M budget (Vote 1).

This scenario that may be used primarily where the collaborator department does not have sufficient resources to undertake the collaboration. The funding department can decide to transfer funds to the other department to offset the collaboration cost if the participation is deemed necessary for the project's success.
The value of the collaborator department's participation is included in calculating the stacking limit under the funding agreement. In addition, the transfer of funds is:
- discussed with the Treasury Board of Canada Secretariat during the initial planning stage
- decided upon by Parliament

The National Sciences and Engineering Council of Canada (NSERC) funds a university researcher who is developing a new technology that requires expertise from National Research Council Canada (NRC).

NSERC provides contribution funding to the university researcher under a funding agreement. Under a separate agreement between the university researcher and NRC, a scientist at the NRC participates in the project for two weeks, using the NRC's laboratory facilities.

The university researcher does not pay the NRC directly for its services, and neither are the services considered an eligible expense under the contribution agreement. The value of the services ($10,000) is considered to be part of the overall cost of the project and is therefore included in the calculation of stacking limits.

Through the estimates process of the parliamentary financial cycle, NSERC transfers $10,000 from its Vote 10 (Grants and Contributions budget) to NRC's Vote 1(Operating budget). Note that Vote transfers are not done using an interdepartmental settlement. Such

settlements should be used only when purchasing goods and services from another department.

- See Figure next page

**Scenario 3: a non-funding federal department collaborates on a G&C project, and incremental costs are supported by the funding department via transfer of funds from Vote 10 to Vote 1:**

Difference from scenario 2: Collaborator department does not have $ to cover all collaboration cost. Funding department may only cover incremental cost related to the collaboration
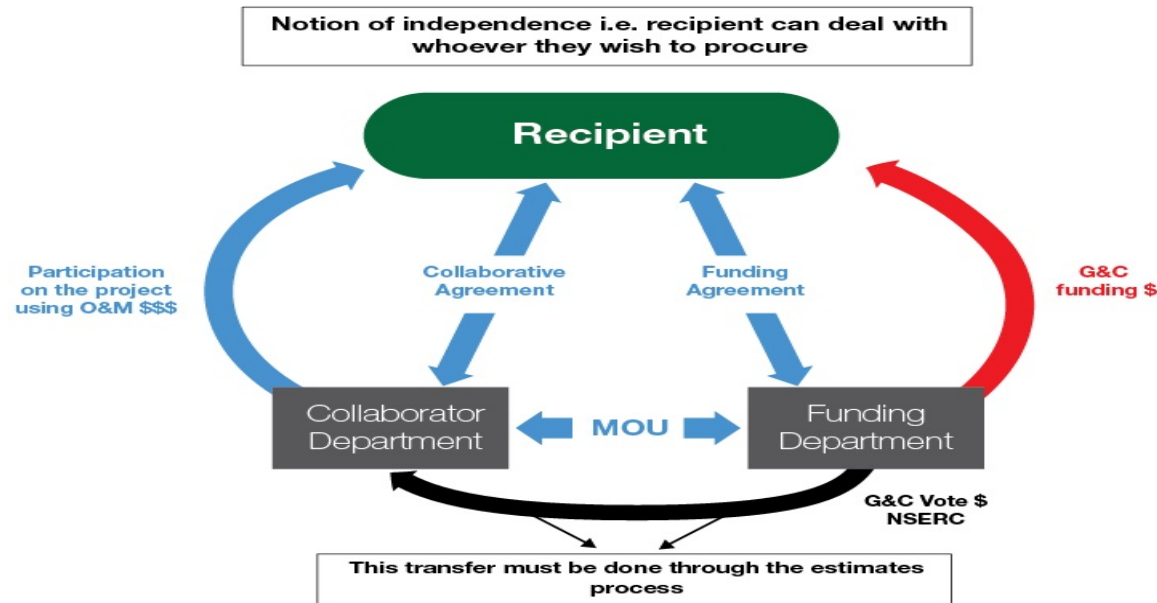


Considerations for Collaborator Department (O&M Vote $, NRC in this example):
- Collaboration must be in support of the department mandate for which the department is appropriated (O&M)
- Incremental costs are to be calculated
- Revenue re-spending authority is not a factor
- Must determine when the limit of collaboration is crossed to procurement side

Considerations for Funding Department (G&C Vote $ and NSERC in this example):
- G&C authority needed
- No in-kind
- Cannot provide service/good it must be $,$$$ dollars

# TBS team: contact info

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General enquiries can also be sent to ZZOCGTP@tbs-sct.gc.ca

![fmi·igf Capital Chapter / Section de la Capitale logo]

# Panel Discussion on Collaboration

**Moderator: Michelle Kealey,** *Director, Policy Payments on Transfer, Office of the Comptroller*

**Nathalie Deziel,** *Senior Counsel, Justice Canada Panel*

**Laura Little,** *Counsel, Justice Canada*

**Christopher Johnstone,** *Director General National Programs and Business Services, National Research Council Canada*

**Rachelle Bruton,** *Assistant Program Director, Innovation & Clean Growth Programs, Natural Resources Canada*

# TBS Program Sector Machinery: how to support change

Ben Copp presentation to FMI –IGF Capital Chapter
October 24, 2019

# What are Treasury Board Submissions? <span style="color:red">DRAFT</span>

- The Treasury Board (TB), established in 1867, is the **only statutory Cabinet Committee**. It is responsible for: making decisions on funds (Expenditure Manager); rules, and compliance (Management Board); and people (Employer). It is also responsible for making recommendations to the Governor General on regulations.

- TB Submissions are official Cabinet documents used by federal organizations to seek **specific authorities** from TB – such as access to funds or approval of terms and conditions in support of the implementation of a new or updated program.

- Without an approved TB submission, a sponsoring minister (or ministers) would not otherwise be able to undertake the proposed activities, as they would fall outside of their delegated authorities.
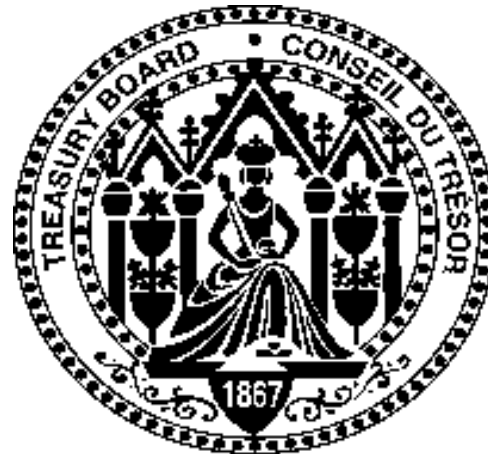
# What is the role of the Treasury Board Secretariat?

- The review and approval exercise for TB Submissions is **facilitated** by TBS Program Sectors, which act as the 'single window' between the Secretariat and federal organizations that are bringing a proposal forward to TB for consideration. Program Sectors analysts are supported by TBS Policy Centres such as the OCG, who provide advice on TB Policies such as the Transfer Payment Policy and its directives.

- The goal of this exercise is to ensure that:

  - Government proposals are designed in an effective and efficient manner and will bring value for money to Canadians; and

  - That requirements outlined in TB Policies and Directives are complied with (e.g. *Policy on Results*, *Transfer Payment Policy*, etc.).

- As part of this review exercise, Program Sector formulates advice and recommendations on the proposal, which is communicated in writing to TB Ministers through a formal written briefing document (i.e. Précis) that provides independent and objective advice on the proposal to enable decision making by the Board.

- The implicated Program Sector Assistant Secretary (ADM equivalent) then presents the organization's proposal along with the TBS recommendations to TB, interacting with TB Ministers as required (e.g. such as answering questions).

# Process Overview

Consultation with Program Sector

**Submission Review**

TBS program sector reviews for quality and shares with policy centers for substantive review

Organizational Approval

Signature of Minister(s) and delivery of Submission to TBS within deadlines

Review by Senior Committees

Submission and written briefing reviewed by senior TBS officials and President's office.

⬤ = Dept.

⬤ = TBS

**Consult Internally**

e.g. internal audit and evaluation, corporate services

Draft Submission

**Substantive comments**

Program sector provides advice based on advice received from policy centers.

**Briefing Drafted**

Program sector prepares written advice to TB on submission

Presentation to TB

Submission is presented to TB for approval

**NOTE:** Review of drafts repeats until TBS is satisfied with the Submission and comfortable with the department seeking its internal approvals

# What are some of the elements TBS looks for in an effective Submission during our Reviews?

After TBS has determined that a submission has the appropriate policy cover, source of funds and is complete, program sector analysts aim to ensure that the proposal describes **how** a Cabinet decision will be operationalized, **why** the proposal is the best way to do so, and **how** success will be measured.

**Context (Background and Rationale)**
- What the drivers are behind the proposal (e.g. *policy direction*, etc.).
- Who the target audience of the proposal is (i.e. stakeholders).
- What gap(s) in current programming the proposal addresses and how it/they were identified.
- Why this proposal is the best approach for addressing the identified gap(s).

**Past and Future Performance**
- What the government's past performance was (e.g. past performance results, audit and evaluation findings, etc.) and how the organization plans to maintain / improve on it (e.g., if there are relevant past evaluation recommendation, how have they been addressed).
- If there are any similar initiatives (in Canada or internationally) and how this initiative compares.

**Design, Delivery and Implementation**
- What activities will be delivered, the expected deliverables, risks and mitigation strategies, key implementation milestones.
- How many new and existing FTEs are required to deliver the proposal and where they will be located, and whether there are any contracting or project requirements needed.
- If there is a *Grant and Contribution (G&C) component*: the terms and conditions (TsCs) that will be used to deliver funding to recipients (new or existing), how effectively the TsCs support the program design and objectives, appropriate resources are dedicated towards the management and oversight of the G&C.

# Moving Forward: Program Sector Role in TPP Pilot

**Single Window**

Program analysts continue to be the "single window" to TBS and maintain the existing process for review.

**Collaboration**

A program sector analyst has been embedded within the Transfer Payment Policy Centre to help develop the pilots' initial parameters.

**Support & Learning**

Program sector analysts for early adopters will:

- work closely with their client department and the Transfer Payment Policy Centre during implementation; and,

- Build capacity and share lessons learned and their expertise with other analysts across the program sectors.

**Additional Resources**

**1)** TB Submission Process Overview:

https://www.canada.ca/en/treasury-board-secretariat/services/treasury-board-submissions.html

**2)** TB Submission Detailed Guidance for Writers:

https://www.canada.ca/en/treasury-board-secretariat/services/treasury-board-submissions/guidance.html

# Annex: How TBS works with other central agencies

**Cabinet *stage***

TBS works together with the other central agencies in supporting departments' development of proposals for Cabinet consideration – the TBS challenge function is focussed on implementation considerations and ensuring resource requirements are fairly stated.

**Budget stage**

As part of the Budget process, TBS works with the other central agencies to develop recommendations to Treasury Board on "sunsetting" programs (programs which are subject to government decisions to extend, reduce, or enhance funding); TB then makes recommendations for Budget planning.

**Treasury Board stage**

TBS is the lead central agency on the TB submission process – the TBS challenge function is focussed on detailed design, delivery and implementation issues (engagement with the other central agencies at this stage is largely limited to clarifying policy authority and the source of funds).

When working with central agencies and other departments, TBS focusses on the merits of proposals:
- ensures feasibility in **design,** conformity with Government policies and **value-for-money**;
- ensures that the funding sought is a fair representation of the **expected costs**; and
- works with the sponsoring department(s) to ensure that a **viable business case** is made.

**Break / Networking**

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Thank you!