

Canada Research Chairs

**Integrated Results-based Management and Accountability Framework
and Risk-Based Audit Framework**

March 2006

Introduction

Background and Origin

As Canada enters the new millennium, it faces what is both a challenge and an opportunity: to become a world-leading, knowledge-based economy, capable of creating next-generation ideas and putting them to work to generate jobs, growth, wealth and improved quality of life. Part of this challenge is to attract the best researchers in the world to Canadian universities, and to do so at a time when U.S. and other G-7 universities are combing the world for the best researchers.

In response, the Government of Canada has established the Canada Research Chairs Program. In its 2000 budget, the Government provided \$900 million to support the establishment of 2,000 Canada Research Chairs (Chairs) in universities across the country. The Canada Research Chairs Program is permanent.

In addition, The Canada Foundation for Innovation has partnered with the program to provide a total of \$250 million infrastructure support to the first 2000 Chairholders.

Following the summative evaluative of the program, the CFI Board decided to continue funding Canada Research Chairs beyond its initial contribution. The CFI created the New Leaders Opportunity Fund (LOF). The LOF enables eligible universities to acquire infrastructure for their leading research faculty to undertake cutting-edge research and research training in areas identified as priorities in their Institutional Strategic Research Plans. It is designed to foster inter-agency collaboration and create competitive packages of research support—infrastructure, direct research costs and operating funds—so that universities can attract and retain the very best of today’s and tomorrow’s researchers. Started in October 2005, the LOF builds on the New Opportunities Fund and Canada Research Chairs Infrastructure Fund. Proposals previously submitted to these funds are now accepted under the LOF. The budget available for 2006-2010 under the New Leaders Fund is \$338 million. In addition, a Reserve Fund of \$5M has been set aside for smaller universities for the 2006-2010 period.

Purpose of RMAF/RBAF and Level of Integration

The Canada Research Chairs program has developed a fully integrated Results-based Management and Accountability Framework (RMAF) and Results-Based Audit Framework (RBAF) in order to ensure that the program is managed in a manner sensitive to risks, complexity, accountability for results and efficient use of resources. The integrated RMAF/RBAF is in line with the Treasury Board Policy on Transfer Payments, the evaluation policy and internal audit policy.

The RMAF and RBAF are complementary documents. While the RMAF outlines performance measurement and evaluation strategies, the RBAF describes risks that can affect the performance of the program and outlines mitigation strategies.

Overall Risk Assessment

A recent summative evaluation of the program confirmed that the program is on the right track and demonstrated early results. It also indicated that the program responds to a clearly identified need and is strongly welcomed by universities. In addition, the program has Management and Steering Committees with representatives from the three granting agencies, Industry Canada and the CFI, who oversee the overall management of the program. The program has a rigorous peer-review process for the selection of successful candidates.

Furthermore, the program has implemented various strategies to mitigate its risks. These strategies include for example developing and implementing a rigorous monitoring strategy in order to measure performance on an on-going basis and to track important issues such as gender distribution and the competitiveness of the program, as well as consulting with key stakeholders on an on-going basis (refer to Risk Assessment and Management Strategy for details on mitigation strategies).

On the other hand, the amount of money invested in this program is high, and the program is highly visible, thus increasing the stakes of the program. In addition, the program is co-delivered by various organizations, which adds to its complexity. Therefore, the program is rated as **moderate risk**.

Program Profile

Context

The Canada Research Chairs Program stands at the centre of a national strategy to make Canada one of the world's top five countries for research and development and to build an innovative and competitive economy. The Chairs' program is a permanent program that is designed to strengthen Canada's research capacity and offset "brain-drain" pressures by helping Canadian universities and their research affiliates retain and attract the best researchers to Canada.

The competition for top researchers is fierce. A recent summative evaluation of the program (details are provided in the evaluation section) demonstrated that there exists a number of international research funding programs targeting the same pool of top researchers as the Chairs Program. Evaluation results also indicated that Canada has differentiated itself by creating such a large-scale program. However, there is evidence that other countries may be using the Chairs Program as a model for developing their own programs. This indicates that the competition for top talent might become even more difficult in the future. Therefore, the government's investment in the Chairs Program continues to be necessary in order to ensure that Canadian universities and their research affiliates remain competitive.

The Chairs Program has already demonstrated success in retaining, repatriating, and attracting top researchers to Canada. As of February 2006, 1576 top researchers from within Canada and elsewhere around the world were active Chairholders. Approximately 17.1% were foreign (270 researchers) and 14.7% (232 researchers) were Canadian expatriates.

Program Description

Canada Research Chairs are allocated by tier level (approximately split equally between tier 1 and tier 2 Chairs) and by discipline group (NSERC – 45%; CIHR – 35%; and SSHRC -20%).

Only Canadian universities can nominate Canadian researchers (whether living in Canada or abroad) or foreign researchers¹ for the two types of Canada Research Chairs:

1. Tier 1 Chairs

- are outstanding and innovative researchers whose accomplishments have made a major impact in their fields;
- are recognized internationally as leaders in their fields;
- have superior records of attracting and supervising graduate students and postdoctoral fellows (taking into account practices in the relevant field or

¹ Procedures, which allow non-Canadian Chair nominees to work in Canada have been established by Human Resources Development Canada and Citizenship and Immigration Canada (CIC).

discipline) and, as Chairholders, be expected to attract excellent trainees, students and future researchers;

- are proposing an original, innovative research program of the highest quality.

2. Tier 2 Chairs

- are excellent emerging researchers who have demonstrated particular research creativity;
- have demonstrated the potential to achieve international recognition in their fields in the next five to ten years;
- are proposing an original, innovative research program of high quality;
- as a Chairholder, have the potential to attract excellent trainees, students future researchers.

Allocations of Chairs

Universities receive \$200,000/year for a tier 1 Chair and \$100,000/year for a tier 2 Chair. In addition, for the first 2000 Chairholders, universities were allocated CFI envelopes valued at \$125,000 per Chair, without consideration for the type of Chair. Not all Chairholders request infrastructure. In addition, a specific infrastructure request would include an amount that is in line with the need of infrastructure of the Chairholder (not limited to the pre-determined fixed amount of \$125,000).

Universities can tap into the new LOF money to fund infrastructure requests of renewed or new Canada Research Chairs. However, universities must use their existing Canada Research Chairs Infrastructure Fund allocation prior to accessing their LOF allocation.

Generally, research Chairs have been made available to universities through two types of allocations:

- **Regular allocation** –this allocation is based on the federal granting agency funding received by the universities (including funds received by affiliated research institutes and hospitals). The amount used to calculate the eligible number of Chairs is the sum of eligible grant income to a university from the three federal granting agencies over a defined 3-year period. Approximately 1,880 Chairs (or 94 percent of 2,000) will be allocated in this manner
- **Special allocation** - A special allocation (six percent of 2000) has been set aside for smaller universities, i.e., those that have received one percent or less of the total of federal research granting agency funds over the period. To provide maximum flexibility, the Chairs from the special allocation are not allocated by discipline. Otherwise, they are subject to the same criteria and conditions as all other Chairs.

Following the third year review, the Chairs Program implemented the following changes to the allocation:

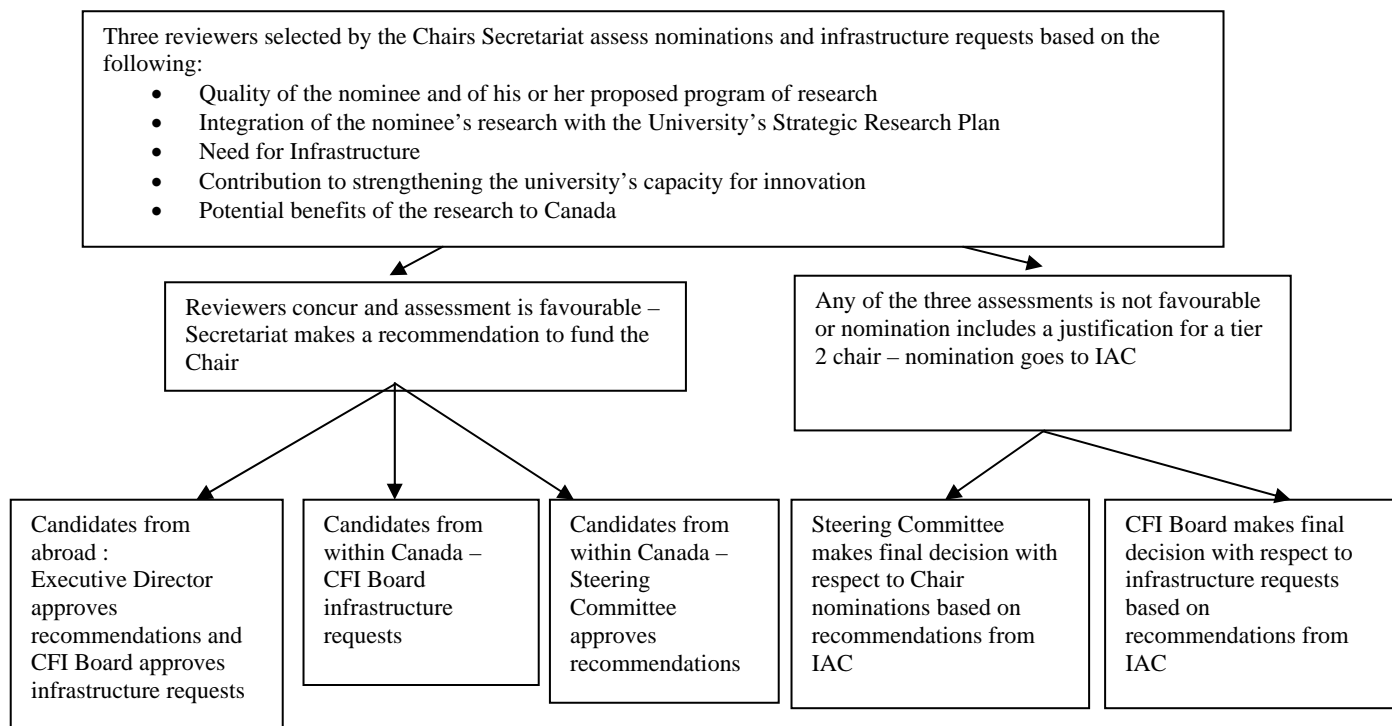
- introduced a small "corridor of flexibility," which allows universities to use a specified number of unused Chairs for any combination by tier that respects the budget, and in any discipline group
- held an open competition in the fourth year of the Program. The competition was only open to those universities that have not received any Chair allocation by the competition deadline (December 15, 2003).

Peer-review process and approval of Chair nominations

Research excellence is at the heart of the Chairs Program. Peer-review process is governed by:

- A College of Reviewers composed of experts (including current Chairholders) from various fields of research – experts from the college of reviewers review nominations and select successful candidates based on pre-determined criteria.
- An Interdisciplinary Adjudication Committee (IAC) composed of up to 15 experts from the College, which reviews “contentious” files. The Committee also acts as a quality assurance body and provides the program with advice on policy issues.

The following chart summarizes the process of peer-review and approval of Chair nominations and infrastructure requests.



Key Stakeholders and Beneficiaries

Deliverers and Co-deliverers

The Canada Research Chairs program is delivered by the Social Sciences and Humanities Research Council (SSHRC), Sciences and Engineering Research Canada (NSERC), the Canadian Institutes for Health Research (CIHR), Industry Canada and the Canada Foundation for Innovation (for more details please refer to the section on governance) through a Secretariat housed at SSHRC.

Canadian universities along with research affiliates are also a key co-deliverer of the program. They are responsible for nominating candidates as well as supporting Chairholders.

Direct Beneficiaries

- **Canadian universities and their research affiliates** - the program will help Canadian universities and their research affiliates to enhance their roles as world-class centres of research excellence by adopting a strategic approach to research and by retaining and attracting the best researchers.
- **Chairholders** - the Canada Research Chairs Program allows Chairholders to work in an attractive research environment that will allow them to be productive and innovative. Chairholders receive research funding (through Chairs funds, university support and granting agency funding²), infrastructure support and teaching relief. They also have access to the best trainees (graduate students, post-doctoral fellows, other HQP). In addition, Chairholders benefit from the prestige that comes with the Canada Research Chair award.
- **Trainees (graduate students, post-doctoral fellows, other HQP)** - the program provides trainees with an opportunity to learn from the best in the world. In addition, it allows trainees to meet and collaborate with other top Canadian and international researchers.

Other Beneficiaries

- **Other Faculty** - other researchers working closely with Chairholders will benefit by being part of dynamic research teams.
- **Industry, government and not-for profit organizations** are possible receptors for the research results of the Chairholders. Potential research impacts include new processes and products, new treatments, and knowledge that will inform public policy, thus, leading to dissemination, transfer and use of knowledge by industry, government and other organizations.

² Need to compete for these funds.

- **Canadian Public** – the Chairs Program is a key component of the government’s strategy to build a strong, knowledge-based economy and to improve the quality of life of Canadians.

2.2 Resources

Chairs Secretariat to provide amounts

	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010
Total budget (\$millions)	\$254,000,000	\$295,000,000	\$300,000,000	\$300,000,000	\$300,000,000
Operational budget (\$millions)	\$3,976,000	\$3,976,000	\$3,976,000	\$3,976,000	\$3,976,000
Estimated Performance Measurement and Evaluation budget	\$100,000	\$120,000	\$130,000	\$140,000	\$260,000 (includes the cost of summative evaluation)

Expected Results

Expected Results

The key objective of the Canada Research Chairs Program is to enable Canadian universities, together with their affiliated research institutes and hospitals, to foster research excellence and to enhance their role as centres of research excellence in the global, knowledge-based economy. More specifically, the program intends to:

- **Increase Canada’s Research Capacity** - the program will increase Canada’s research capacity by attracting and retaining 2000 top researchers from within Canada and abroad. It is expected that by 2007/08, the 2000 Chair positions will be filled.
- **Improve Training of Highly Qualified Personnel** - the program will increase the number of highly qualified personnel trained through research in Canadian universities. It is also expected that the quality of training will be improved.
- **Improve Universities’ Capacity to Generate and Apply New Knowledge** - by attracting and retaining top researchers, Canadian universities will be able to increase research outputs as well as dissemination, transfer and use of knowledge.
- **Best Possible Use of Research Resources through strategic planning** - strategic planning will help universities to focus their efforts on their research strengths as well as new areas in which they want to develop strengths.

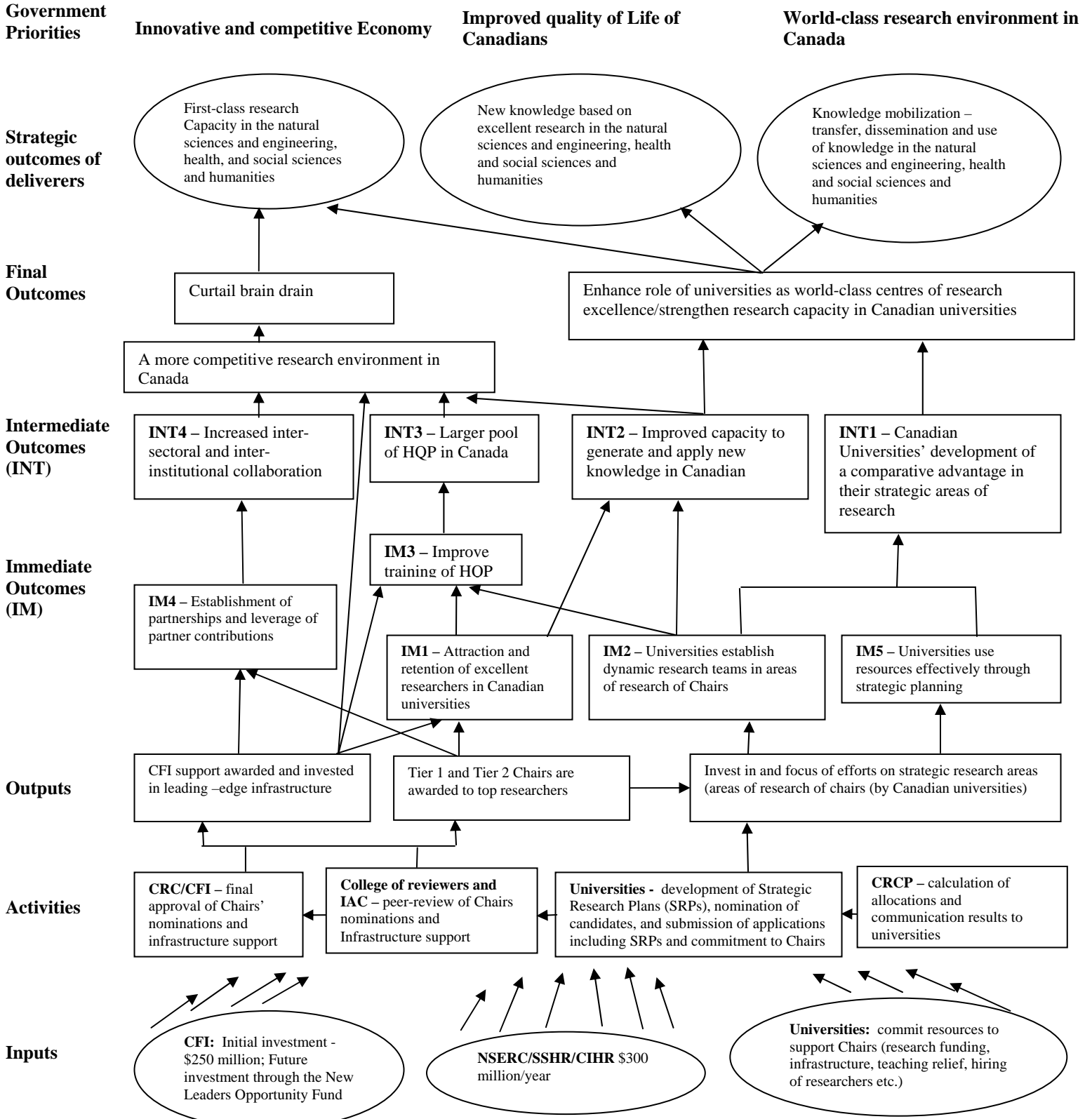
Key Risks affecting results

Following is a list of the key risks that may influence the program’s ability to achieve its objectives (refer to the risk assessment section for more details):

- Risk 1 (R1) – inability to sustain the program once it reaches maturity (first 2000 Chairholders are in place)
- Risk 3 (R3) - inability of the program to remain competitive in the international context.
- Risk 4 (R4) – lack of infrastructure funding
- Risk 5 (R5) – difficulty of small universities in filling Chair positions.

2.3 Logic Model

The following logic model outlines how the activities of the Canada Research Chairs program lead to the achievement of final outcomes.



Details on the activities and outputs are provided in the program profile section above. The following section will focus on describing outcomes.

Immediate Outcomes

- ***IM 1 - Attraction and retention of excellent researchers:*** the program will enable Canadian universities, together with their affiliated research institutes and hospitals, to create research opportunities that will retain the best Canadian researchers and attract some of the world's best minds from other countries.
- ***IM 2 - Universities establish dynamic research teams in areas of research of Chairs:*** the program will lead to the creation of new research teams and the reinforcement of existing teams in areas of strategic importance to the universities.
- ***IM 3 Improve the training of highly qualified personnel:*** the program will enable students, post-doctoral fellows and other trainees to work in a world-class research environment and learn from leading researchers in their fields;
- ***IM 4 - Build infrastructure partnerships and leverage partner contributions:*** the program will enable universities to forge partnerships with the private sector, provincial government, and other organizations and leverage additional support.
- ***IM 5 -Universities use resources effectively through strategic planning:*** the program will help universities to focus their research efforts and use research resources more effectively through strategic planning.

Intermediate Outcomes

- ***INT 1 – Improve capacity to generate and apply new knowledge :*** attraction and retention of the best researchers in the world, the improved infrastructure, along with the establishment of new research teams and expansion of existing teams will help universities improve their capacity to generate and apply new knowledge.
- ***INT 2 - Universities develop a comparative advantage in strategic areas of research*** through the effective use of resources, focus on strategic research areas and the establishment of dynamic research teams in strategic areas of research.
- ***INT3 -Larger pool of Highly Qualified Personnel:*** the improved training of HQP will lead to the production of more and better graduates and researchers and will therefore contribute to the increase in the pool of highly qualified personnel in Canada.
- ***INT 4 – Increased inter-sectoral and inter-institutional collaboration:*** The infrastructure component of the program will lead into increased collaboration across sectors and institutions.

Final Outcomes

Ultimately, the program will lead to a more competitive research environment, help offset pressures that contribute to the "brain-drain" of Canada's outstanding researchers, foster research excellence in Canada and help universities enhance their role as world-class centres of research excellence.

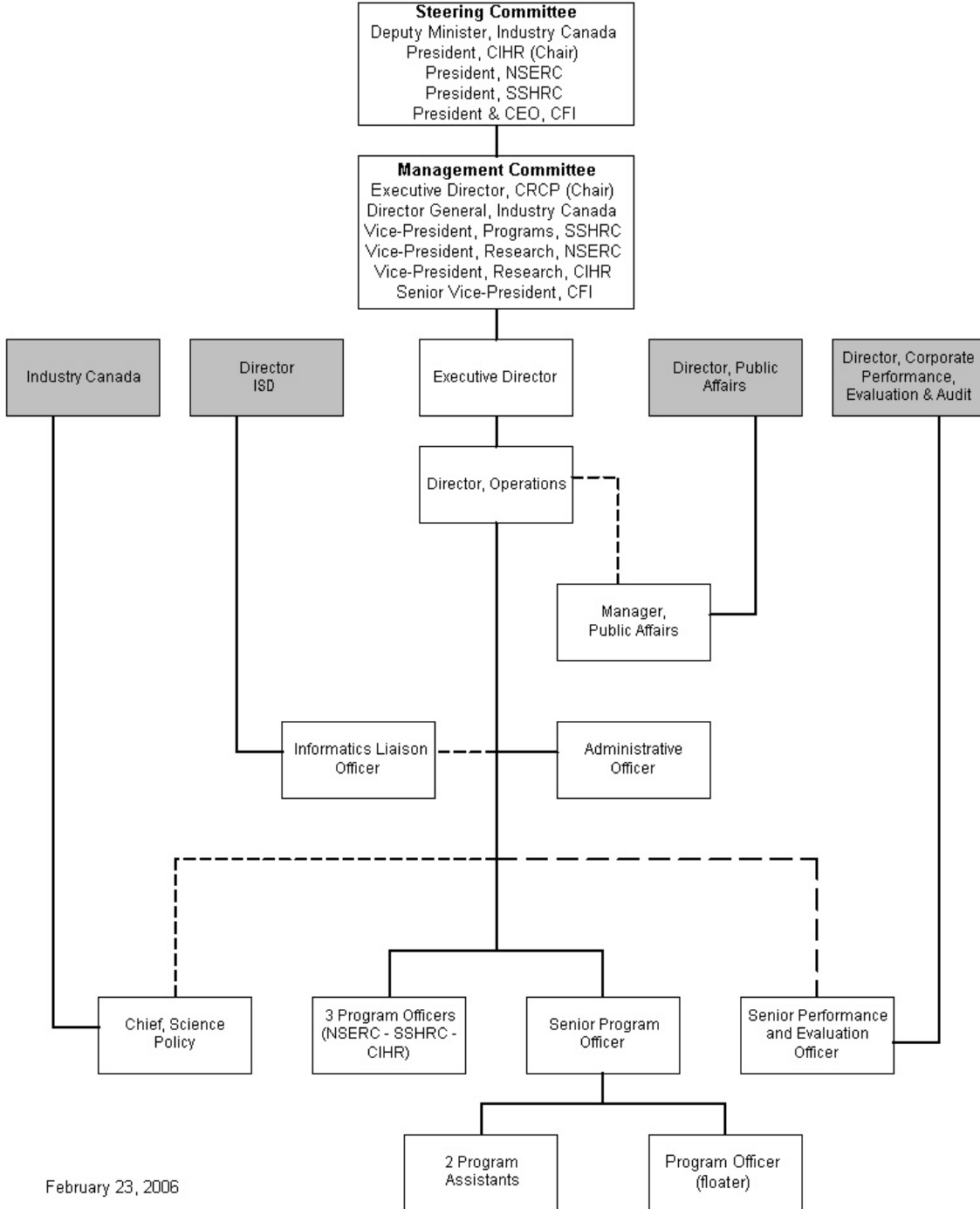
Link to the strategic outcomes of deliverers

The Chairs Program is a key component of Industry Canada's innovation strategy and is in line with the strategic outcomes of the granting agencies and the CFI. More specifically, the program will contribute to:

- Building Canada's research capacity through the attraction and retention of excellent researchers and the production and retention of HQP;
- Advancing new knowledge in the three discipline groups by focusing on research excellence; and
- Mobilizing knowledge to user groups.

Accountabilities
Roles, Responsibilities and Relationships
Governance Structure and Program Administration

CANADA RESEARCH CHAIRS PROGRAM - Organizational Chart



The Canada Research Chairs Program is governed by a Steering Committee and a Management Committee (see organizational chart above). The Steering Committee is

made up of the Presidents of the Natural Sciences and Engineering Research Council (NSERC), the Canadian Institutes of Health Research (CIHR), the Social Sciences and Humanities Research Council (SSHRC) and the Canada Foundation for Innovation (CFI), as well as the Deputy Minister of Industry Canada.

The Steering Committee's mandate is to oversee the administration process for the Canada Research Chairs Program and to provide guidance on the general direction of the Program. More specifically, the Steering Committee:

- in the start-up phase of the Program, monitored the organizational structure of the tri-council Secretariat;
- appoints the Executive Director of the tri-council Secretariat;
- oversees the review of Chair nominations submitted by universities;
- receives the recommendations of the interdisciplinary selection committees and approves their announcement to the public and the corresponding communications plan;
- receives annual budget reports for the Program and recommends to the Ministers of Industry and Health how to deal with any surpluses or deficits;
- oversees the annual report to the Minister of Industry;
- oversees evaluation activities of the Program; and
- reports annually on its activities and performance as part of the RMAF and conveys this to the Minister of Industry.

The Management Committee is a coordinating mechanism composed of a representative at the Director General level from each of the three granting agencies, the Canada Foundation for Innovation and Industry Canada, as well as the Director of Operations of the Chairs Program. It is chaired by the Executive Director of the Chairs' Program. The Management Committee oversees the operation and coordination of the program administration and communications. The Committee, through its chair, reports to the Steering Committee.

The Secretariat of the Canada Research Chairs program, housed at SSHRC, is responsible for the day to day administration of the program including:

- the calculation of allocations of Chairs;
- the review of nominations and organization of the peer-review process;
- provision of advice and guidance to institutions and Chairholders;

- ongoing financial and operational monitoring of compliance of recipients with the terms and conditions of the program; and
- the collection of performance and financial data.

The Secretariat reports to the management Committee, which in turn reports to the Steering Committee. An organisational chart of program is shown above.

Each granting agency will maintain and provide data on their annual funding to eligible post-secondary institutions and their affiliated hospitals and institutes and assist the Secretariat in responding to information requests about the data.

Program Monitoring

Performance Measurement, Evaluation and Internal Audit

SSHRC's Corporate Performance, Evaluation and Audit Division (CPEA) along with the Canada Research Chairs Secretariat is responsible for developing and implementing the performance measurement strategy of the program in order to provide management with timely evidence that will feed into decision-making. SSHRC, through CPEA, is the lead agency on all evaluation and performance measurement work of the Canada Research Chairs. An Inter-agency Evaluation Steering Committee composed of members from SSHRC, NSERC, CIHR, CFI, and Industry Canada provides guidance on evaluation work of the Chairs Program. The ESC also includes observers from the Chairs Secretariat, Treasury Board Secretariat and department of Finance.

In addition, CPEA conducts internal audits for all of SSHRC's operations and processes to ensure that the risk management practices, management control frameworks and information used for decision-making and reporting are adequate.

Financial Monitoring

A tri-agency financial monitoring team, composed of representatives from SSHRC, NSERC and CIHR, is responsible for financial controls on the granting processes.

This team conducts periodic visits to Canadian institutions receiving funding from the granting agencies including the Canada Research Chairs. The main objective of these visits is to ensure that funded institutions follow the agencies' guidelines and that they have implemented appropriate and sound financial practices.

Financial Accountability - Canadian Institutions

Institutions are responsible for the financial accountability and for the management of the grant, in line with the guidelines outlined in the Memorandum of Understanding between the Agencies and recipient institutions.

RISK ASSESSMENT AND MANAGEMENT STRATEGY

Methodology

As defined in the Risk-Based Audit Framework Guide, risk refers to the uncertainty that surrounds future events and outcomes. It is the expression of the likelihood and impact of an event with the potential to influence the achievement of the program’s objectives.

The steps of the risk assessment included: (A) risk identification, (B) risk assessment and (C) Development of risk response and summary.

Risk Identification

Representatives from the three Agencies, Industry Canada, and the Secretariat were consulted in the identification of possible significant risks of this program. For each risk identified, a preliminary analysis of the risk level (high/medium/low) was conducted to determine the main risks that might require further analysis. These risks will be re-evaluated annually in order to reflect any new developments/changes in the program’s environment.

Risk Assessment

The impact and likelihood of each identified risk were then assessed based on the following definitions.

Definition of Impact

Level	Impact	Damage & Liability	Operational Effects	Reputational Loss
3	Severe	<ul style="list-style-type: none"> Loss or disclosure of highly sensitive client or Agency information Loss of major asset(s) >\$250K Serious injury 	<ul style="list-style-type: none"> Disruption of all essential programs >7days for large number of clients Significant underachievement of objectives Cancellation of major projects without products Loss of key corporate knowledge 	<ul style="list-style-type: none"> Significant loss of client group trust Public outcry for removal of Minister and/or departmental official Media outcry for removal of Minister and/or departmental official Strong criticism by review agencies
2	Moderate	<ul style="list-style-type: none"> Loss or disclosure of sensitive client or Agency information Loss of asset(s) \$50K - \$250K 	<ul style="list-style-type: none"> Disruption of some essential program services < 7 days Schedule delays to major projects Some loss of corporate knowledge Some underachievement of objectives 	<ul style="list-style-type: none"> Some loss of client group trust Negative media attention Criticism by review groups

1	Minor	<ul style="list-style-type: none"> Loss of asset(s) < \$50K 	<ul style="list-style-type: none"> Schedule delays to minor projects 	<ul style="list-style-type: none"> Setback in building of client group trust Some unfavourable media attention Some unfavourable observations by review groups
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Definition of likelihood

Level	Likelihood	Description
3	High	The event is expected to occur in most circumstances
2	Medium	The event should occur at sometime
1	Low	The event occurring is unlikely

Risk response and summary

The most significant risks were identified. Then, mitigating strategies were developed in response to these risks. Following is a summary of the results.

Key risks, Existing Mitigating strategies and Incremental Strategies

Operational risks

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies ³	Likelihood	Impact	Overall
<p>R1 - inability to sustain the program once it reaches maturity (first 2000 Chairholders are in place)</p> <p>Once the program reaches maturity (the first 2000 Chairholders are in place), there will be hardly any flexibility for re-allocating Chairs when the tri-agency funding received by universities changes. Universities will not be able to plan.</p>		<ul style="list-style-type: none"> ➤ Chair allocations are calculated on a bi-annual basis rather than an annual basis. ➤ Reclaim expired Chairs automatically after September 2005. ➤ When a university loses a Chair as a result of recalculation, unoccupied Chairs will be withdrawn. If all Chairs are already filled (with incumbents in place), the Secretariat will negotiate with the university a procedure for reclaiming the lost Chair. 	Low	Medium to High	Medium

³ Incremental strategies were only identified for newly identified risks or for areas with an overall risk rated as medium or higher.

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies ³	Likelihood	Impact	Overall
<p>R2 - Errors in data provided by the three granting agencies and Networks of Centres of Excellence for the calculation of allocations</p> <p>The allocation of Chairs for each university is based on funding data provided by the three granting agencies and NCEs. Errors in data would lead to errors in the number of Chairs allocated to each university.</p>	<p>Working group composed of representatives from the three granting agencies and led by the program was created to monitor the quality of data and the rigor of methodologies to collect the data.</p>		Medium	Medium	Medium

Risks associated with the success of the program

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
<p>R3 - Inability of the program to remain competitive in the international context</p> <p>Competition for top researchers has increased internationally. The amounts offered to universities for Chairs might fall behind those offered by other G7 countries. In addition, these amounts are not indexed.</p>	<p>Monitor the success rate, refusal rate, turnover rate and any difficulties encountered by universities in filling Chairs</p> <p>This was a key evaluation issue for the fifth-year evaluation of the program. It might be considered in future evaluations.</p>	<p>Monitor on an on-going basis similar programs in other countries (funding packages etc.)</p> <p>Monitor on an on-going basis (through the annual reports) the use of funds, university support to Chairholders, and teaching release. The Secretariat will make this data publicly available in aggregate form, by tier and discipline, on an annual basis. This information will give potential nominees a better idea of the kind of teaching relief and financial/in-kind support current Chairholders receive.</p>	Low to medium	High	Medium

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
		The Chairs' Steering Committee will renew discussions with the granting agencies to develop recruitment packages for the very best candidates that include financial support from the agencies, the Chairs Program as well as CFI.			
R4 -CFI funding is no longer available	Funds are secured until 2010		Low	High	Low
R4 a) - CFI decides to no longer fund Chairs Funding for research infrastructure associated with the Chairs has been provided by CFI through its Chairs Program Infrastructure Fund (IF). This funding program will be folded into a new program, along with the New Opportunities Fund. CFI continuing support for the IF portion of the Chairs Program has been communicated to the Chairs secretariat.	In the initial phase, the CFI provided \$250 million for the first 2000 Chairholders.	CFI is preparing to launch a new "Leaders Opportunity Fund" that will provide infrastructure funding to Chairs and new or retained faculty to which institutions assign priority. All candidates eligible under the previous Funds will continue to be eligible for support. In addition, the new Fund will enable universities to retain their very best researchers.	Low	High	Low
R4b) - CFI no longer exists (beyond 2010) The CFI is currently scheduled to complete its mandate by 2010.	Like the overall provision of research funding in Canada, the provision of research infrastructure to institutions to enable research will continue to be critical to Canada, whether this funding is provided by CFI or another source.		Low	High	Low
R4 c) - Provinces decide to no longer match the CFI	For the CFI and the Chairs Program, it is the responsibility of		Low to Medium	High	Medium

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
<p>funding</p> <p>CFI funds infrastructure on the basis of a 40:60 ratio, with 40% of the funding invested by CFI, and remainder the responsibility of the institution to locate. To date, co-funding has been provided by the provinces, the institutions themselves, the private commercial sector and the private, non-profit sector.</p>	<p>the institutions to develop strategic research plans and decide on priority research areas for which funding can be obtained from different sources.</p>				
<p>R5 - Difficulty faced by small universities in filling Chairs</p>	<p>Through the special allocation, small universities have increased flexibility to recruit Chairs in any discipline and any tier</p> <p>Secretariat provides on-going advice to small universities</p> <p>Secretariat sensitized the college of reviewers and IAC to the challenges faced by small universities. It emphasized that quality was more important than quantity of research outputs.</p>		Low	Medium	Low

Political and Legal Risks

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
<p>R6 - Under-representation of women</p> <p>The gender balance issue has been a challenge for the program since its creation. Even though universities have made some progress in filling Chairs with female candidates, the proportion of Chairs filled by women is still low.</p>	<p>The Secretariat conducts a gender-analysis on an annual basis to monitor the uptake of women and posts the report on its website.</p> <p>Liaison with AUCC. A workshop was organized by AUCC in collaboration with the program to share best practices with respect to gender balance.</p> <p>The three Presidents of the granting agencies send out letters to universities emphasize the importance of nominating women. Executive Director visits universities on an on-going basis to emphasize the importance of nominating women.</p> <p>This was a key evaluation issue for the fifth-year evaluation of the program. It might be considered in future evaluations.</p>	<p>1) The monitoring of gender-balance will be increased. Revise the university Annual Reports will include targets by tier and discipline. Targets in the annual report and SRP will be compared to actual female nominations.</p> <p>Special studies will be conducted including:</p> <ul style="list-style-type: none"> ➤ Update and expansion of gender analysis to include international data ➤ Analysis of reasons why some successful female candidates turn down Chair offers ➤ Review tier 2 justifications; examine data on gender of mid-range scholars who are not normally targeted for Chair nominations <p>2) If a university has unused, expired Chairs, these allocations will be lost unless a university nominates a successful female candidate.</p> <p>3) Universities be made accountable for targets for female nominations stated in the SRP and university annual report. If an institution does not achieve its targets, the Secretariat will impose sanctions.</p>	Medium	High	Medium ⁴ to high

⁴ This residual risk is rated at medium to high because of the program’s low control over this risk. While the program is making every effort possible to encourage universities to improve female nominations, universities have the ultimate responsibility for the nomination process.

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
<p>R7 - Inability to build functional relationships with the provinces</p> <p>As an institutional program, the Chairs' program has to build and maintain functional relationships with the provinces on an on-going basis. These relationships can a great source of risk if not managed properly.</p>	<p>A Senior Officer is responsible for liaising and consulting with the provinces.</p>		Low	Medium to High	Low
<p>R8 - Liability associated with the access to information/privacy issues</p> <p>The Chairs program collects personal information such as age and gender. In addition, the program shares information on Chairholders with the Canada Foundation for Innovation.</p>	<p>Rules and procedures in place that comply with ATIP</p> <p>Negotiated an agreement with the CFI on the sharing of information. Legal advice was sought during this process.</p>		Low	High	Low

Risks associated with reporting

Risks	Risks Mitigation		Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
<p>R9 - Difficulty in measuring and attributing results/impacts to the Canada Research Chairs Program</p> <p>The Canada Research Chairs program is only one component of the government-wide innovation strategy. It is challenging to make a clear attribution of research results and impacts to the Chairs program.</p>	<p>A summative evaluation is conducted every five years to determine and analyse the impacts and achievements of the Canada Research Chairs program. Multiple lines of evidence including quantitative and qualitative measures are utilized to assess the success of program.</p>		Low	Medium to High	Low

Financial Risks

Risks	Existing mitigation strategies	Risks Mitigation Incremental mitigation strategies	Level of Risk		
			Likelihood	Impact	Overall
<p>R10 - Lack of funding for the on-going operation of the program</p> <p>The program’s budget (\$300 million/year) was based on funding 2000 Chairholders. This budget does not account for the operational budget - needed to administer the program. Rather, it was assumed that there would always be lapses (there will never be 2000 Chairholders in place at the same time) to cover the operational budget.</p> <p>Annual operating costs for the program are \$3.976 million. There is no separate vote for these funds and to date they have been covered within the total program budget.</p>	<p>It is highly improbable that there will ever be 2000 fully occupied chairs for the following reasons.</p> <p>1 Universities have an allocation of Chairs for which they make application on a regular basis. There are often delays in some of these nominations, usually occasioned by recruitment delays leading to a delay in funding to the Universities for several months and hence unspent funds..</p> <p>2. About 1.5% of Chairholders leave their position in mid tenure --sickness, death, retirement, other opportunities etc. Although the parent university maintains the Chair allocation, normally a reapplication and approval of a new Chair takes one year, These positions and associated funding will be free for that period. Therefore, there should always be a 'free balance, of about 1.5% of the program budget (estimated at \$4.5 million)</p>		Low	High	Low
<p>R11 - Risk in the inappropriate use of funds</p>	<p>A tri-agency team composed of representatives from SSHRC, NSERC and CIHR conducts periodic visits to institutions to</p>		Low	High	Low

Risks		Risks Mitigation	Level of Risk		
	Existing mitigation strategies	Incremental mitigation strategies	Likelihood	Impact	Overall
	<p>ensure that the Grants are administered according to the rules and policies of the three granting agencies and according to regulations and administrative policies specific to the Canada Research Chairs program.</p> <p>The financial statements (which include the Chairs Program) of the three granting agencies are audited by the Office of Auditor General annually.</p>				

Performance Measurement, Evaluation, and Internal Audit

Performance Measurement Strategy

The objectives of the performance measurement strategy of the Chairs Program are as follows:

- To monitor performance on an on-going basis and ensure that the program is progressing toward meeting its expected results;
- To provide management with timely and evidence-based information to help them make adjustments to the program in order to ensure optimal performance and attainment of program objectives.

The ongoing measurement strategy uses a two-pronged approach:

- On-going monitoring through a set of reporting tools; and
- Periodic special studies.

On-going Monitoring

The main monitoring tools include the University Annual Reports as well as the Annual Financial Reports. In addition, other data sources include for example: Strategic Research Plans, nomination files, performance reports, and exit forms. In order to improve the quality of the data collected on an on-going basis, CPEA and the Chairs' Secretariat will revamp the University Annual Report. Indicators to be tracked through the University Annual Report have been identified and are presented in the table below. Following the approval of the RMAF, CPEA and the Chairs Secretariat will launch the process of revising the University Annual Report.

A brief description of these data sources/monitoring tools is provided below.

- ***Institutional Strategic Research Plans*** – outline the key research areas, research objectives, and how the Chair will contribute to the achievement of these objectives.
- ***Nomination Files*** – provide background information on nominees, their proposed research plan, university commitment to the Chairs, past research achievements, and the assessments of the reviewers.
- ***Performance Reports*** – are submitted with renewal application of Chairs, provide information on progress in achieving the objectives outlined in the nomination proposal in the previous term of the Chair, in particular with respect to the training of Highly Qualified Personnel and in the dissemination of research results.
- ***University Annual Reports*** – provide information on progress made toward meeting the research objectives as stated in the strategic research plan, university commitment to Chairs, funds leveraged from other sources, future deployment of Chairs (by

gender, external vs internal), training of Highly Qualified Personnel, research outputs, and research impacts.

- **Exit Forms** – outline reasons why candidates turn down Chair positions and why Chairholders resign their Chair positions.

The qualitative and quantitative data from these reports will be entered into a database maintained by the Secretariat, with appropriate data entry and quality control protocols. This database is designed to permit easy, ongoing extraction of information for performance reports and as well as more complex cross-tabular and statistical analyses for the evaluation.

Periodic Special Studies

In addition to the on-going monitoring, the program will periodically conduct special studies that will inform decision-making related to important management issues such as for example the gender balance, competitiveness of the program, and use of program funds etc.

Examples of possible special studies to be conducted over the next few years:

- Expanded gender analysis study, which would include international data on the representation of women in order to provide a more accurate estimate of the pool of women candidates - it should be noted that while this issue is not directly related to the performance of the program, it is a high-risk issue and should be monitored closely.
- International review of programs similar to the Chairs Program
- Impact of the allocation formula

The following section outlines indicators, data sources, the lead on and the frequency of data collection.

Immediate Outcomes

Performance area	Performance Indicators	Data Source/ Collection method	Responsibility for data collection	Timing/frequency
IM1 – Attraction and retention of excellent researchers	Number and Proportion of Chairs awarded to candidates from within Canada/proportion of Chairs awarded to foreign researchers/proportion of Chairs awarded to expatriates (by discipline group)	Administrative data	Chairs' Secretariat	On-going (three times a year)
	Number and proportion of rejected applicants who left the country	Survey of rejected applicants	SSHR's Corporate Performance, Evaluation and Audit (CPEA)	Summative evaluation
	Number and proportion of Chairholders who resigned their positions or who turned-down Chair positions	Administrative data	Chairs' Secretariat	On-going
	Reasons why Chairs resign their positions or turn-down Chair positions	Exit form	Chairs' Secretariat/CPEA	On-going
	Importance of Chair award in researchers' decisions to remain in or to move to Canada	Survey of Chairholders	CPEA	Summative evaluation
	Importance of CFI support in accepting Chair positions	Survey of Chairholders	CPEA	Summative evaluation
	Competitiveness of Chair awards compared to similar research funding programs	International review/document review	CPEA /Chairs' Secretariat	Annual
	Continued university support to Chairholders (teaching relief, financial, administrative support, infrastructure support etc.)	University Annual Report/Nomination files	Chairs' Secretariat/CPEA	Annual
	Achievements prior to Chair award (publications, technical and presentation papers, conferences, training of HQP, national and international awards and prizes etc.)	Nomination Files/Survey of Chairholders	Chairs' Secretariat/CPEA	On-going/ Summative evaluation
	Achievements at the time of renewal (publications, technical and presentation	Performance Report/Survey of Chairholders	Chairs' Secretariat/CPEA	On-going/summative evaluation

	papers, conferences , training of HQP, national and international awards and prizes)			
	Achievements at end of tenure for tier 2 Chairs (publications, technical and presentation papers, conferences , training of HQP, national and international awards and prizes)	Survey of Chairholders	CPEA	Summative evaluation
	Ability to attract top-notch students	Nomination Files/Renewal Files	Chairs secretariat	On-going
	Amount of research funding received by Chairholders from the granting agencies	Databases of Granting Agencies	Granting agencies	On-going
	Amount of research funding leveraged from other sources	University annual reports	Chairs secretariat/CPEA	Annual
	Rate at which Chairholders have been renewed	Administrative data	Chairs secretariat	On-going
	Research productivity of Chairholders compared to other researchers (by discipline group)	Survey of Chairholders and other faculty	CPEA	Summative evaluation
IM2 – Universities establish dynamic research teams in areas of Chairs	Proportion of Chairholders with research centres in areas of strategic importance	University Annual Report	Chairs’ Secretariat/CPEA	Annual
	Number of researchers working in research centres	University Annual Report	Chairs’ Secretariat/CPEA	Annual
	Level of collaboration between Chairholders and other researchers	Survey of Chairholders and other faculty	CPEA	Summative evaluation
	Proportion of joint grant applications to the granting agencies	Databases of Granting Agencies	Granting agencies	On-going
	Number of joint publications	Survey of Chairholders	CPEA	Summative evaluation
	Satisfaction of researchers with regards to collaboration with the Chairholders	Survey of researchers collaborating with Chairs	CPEA	Summative evaluation
	Description and quality of infrastructure provided to teams	CFI Progress Reports/Survey of Chairholders and other researchers	CFI/CPEA	Annual/summative evaluation

		collaborating with Chairs/Case Studies		
IM3 - Improve training of Highly Qualified Personnel (HQP)	Number of undergraduate and graduate students under the direct supervision of the Chairholders	University Annual Report	Chairs Secretariat /CPEA	Annual
	Number of post-doctoral fellows under the direct supervision of the Chairholder	University Annual Report	Chairs Secretariat /CPEA	Annual
	Proportion of Chairholder award invested in the training of HQP	Financial reports	SSHRC Finance Division	Annual
	Quality of training provided including for example opportunity to collaborate with other researchers, involvement in the writing of research proposals, presentations, and publications.	University Annual Report/Survey of Chairholders/Survey of students and post-docs/Case Studies	CPEA	Annual /summative evaluation
Impact of access to leading – edge infrastructure on quality of training	CFI Progress Report/ Survey of Chairholders/Case Studies	CFI/CPEA	Annual/summative evaluation	
IM4 - Build partnerships and leverage partner contributions	Number and type of partners	University Annual Report /Nomination Files/CFI Progress Report	CFI/Chairs Secretariat	Annual
	Contribution of partners (in-kind and monetary)	University Annual Report/Nomination Files/CFI Progress Report	CFI/Chairs Secretariat	Annual
IM5 - Universities use resources effectively through strategic planning	Proportion of research funding (from all sources) invested in areas of strategic importance (based on the SRP)	University Strategic Research Plan (SRP)	Chairs' Secretariat	On-going
	Number of researchers conducting research in areas of strategic importance	University Annual Reports	Chairs' Secretariat/CPEA	Annual
	Evidence of clusters of Chairs in areas of strategic importance, for example CFI clusters of Chairs	SRP/University Annual Report/Infrastructure Request/CFI Progress Report	Chairs' Secretariat/CPEA	Annual

	Qualitative assessment of progress towards meeting research objectives outlined in the SRP	University Annual Report	Chairs' Secretariat/CPEA	Annual
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Intermediate Outcomes

Performance area	Indicators	Data Source/ Collection method	Responsibility for data collection	Timing/frequency
INT1 - Universities develop a comparative advantage in strategic areas of research	Expert opinion	Modified peer-review	CPEA	Summative evaluation
	Comparison of Canadian universities to other leading universities in the world with respect to research excellence	Benchmarking	CPEA	Summative evaluation
	Examples of universities developing a comparative advantage due to the Chairs Program	Case Studies	CPEA	Summative evaluation
INT2 - Improved capacity to generate and apply new knowledge	Expert opinion on the quality, importance, and innovativeness of research conducted by Chairholders	Assessment of Applications/Performance Report	Chairs' Secretariat	On-going
	Research productivity of Chairholders prior to and after the Chairs program	Nomination Files / Performance Report /Survey of Chairholders	Chairs' Secretariat/CPEA	Annual /summative evaluation
	Research impacts: consultations of Chairholders as experts by various agencies/organizations, impacts on industry, health impacts and public policy, social and environmental benefits	University annual Report/Survey of Chairholders/Interviews with Institutions/ Case Studies	CPEA	Summative evaluation
INT3 – larger pool of HQP	Number of students who graduated under the direct supervision of the Chairs	University Annual Report	Chairs' Secretariat	Annual
	Employment of graduates in skilled sectors	Survey of Chairholders	CPEA	Summative evaluation
	Proportion of graduates choosing a research career in Canada	Survey of Chairholders	CPEA	Summative evaluation

INT4 - Increased inter-sectoral and inter-institutional collaboration	Qualitative assessment of impact of infrastructure on collaboration across sectors and institutions	CFI Progress Report/University Annual Report/Survey of Chairholders/Interviews with Institutions/Case Studies	CFI/CPEA/Chairs' Secretariat	Annual /Summative evaluation
	Qualitative assessment of impact of infrastructure on the creation networks/clusters	CFI Progress Report/University Annual Report/Survey of Chairholders/Interviews with Institutions/Case Studies	CFI/CPEA/Chairs' Secretariat	Annual /Summative evaluation

Evaluation Strategy

Overview of Evaluation History

Since its inception (2000), the Canada Research Chairs Program conducted the following evaluation work:

- A review of the operations and structure of the program, which was completed in November 2002 (Third-year review)
- A comprehensive evaluation, which was completed in November 2004 (fifth-year evaluation).

Following is a brief summary of the conclusions and recommendations of the third-year review and fifth-year evaluation (copies of the final reports of the third-year review and fifth-year evaluation as well as the management response can be found on the website of the Chairs Program: http://www.chairs.gc.ca/web/about/publications_e.asp).

Third-year review

The main objective of the third-year review was to examine the structure and operations of the program and to identify potential adjustments that would improve the likelihood of obtaining desired outcomes.

Recommendations included the following:

1. Need for the Chairs Secretariat to closely monitor issues related filling Chair positions, including rate of recruitment, attraction and retention and take-up by women and by men.
2. Introduce an increased level of delegated authority to the universities in the allocations by tier, within an overall funding envelope, and that universities commit to filling their allocated Chairs within the envelope.
3. Require universities to establish and make readily available to their faculty institutional policies and practices relating to their internal nomination process.
4. Streamline the review and adjudication processes, where possible, with special consideration for processes involving nominees from other countries.
5. Re-examine the plan for an open competition for small universities.

These recommendations have been implemented to some extent. For more details refer to the management response to the third-year review on the Chairs' website:

http://www.chairs.gc.ca/web/about/publications_e.asp.

Fifth-year Evaluation

The main objective of the evaluation study is to determine and analyse the Chairs program (including its CFI component) major achievements and results to date in relation to its objectives.

Recommendations included the following:

1. Continue the CFI component of the Chairs Program
2. In order to sustain the success of the program over the long-term, universities and senior management should address strategic issues and risks associated with the on-going operation of, and participation in, the program, for example: how the program will be managed on an on-going basis; planning for when Tier 2 terms expire
3. Identify mechanisms to ensure the future recruitment of top researchers
4. Further add to the corridor of flexibility by allowing a greater number of “free” Chairs by tier and discipline group.
5. Revisit the allocation formula by discipline group in light of concerns reported by universities.
6. Increase the monitoring of university support including funding support and teaching relief) and of use of funds.
7. Increase the monitoring of the gender distribution among Chair awards.
8. Revisit the Chairs Program objective of “ensuing the effective use of research resources through...inter-institutional and inter-sectoral collaboration”.

All of these recommendations have been implemented, with the exception of the fifth recommendation. With respect to this recommendation, the program Steering Committee felt that the allocation by discipline was not intended to reflect the distribution of faculty or future staffing requirements at Canadian universities. It was rather based on each discipline’s ability to fund research and development. For more details, please refer to the Steering Committee response to the fifth-year evaluation on the Chairs’ website:

http://www.chairs.gc.ca/web/about/publications_e.asp

Future Evaluation Work

A summative evaluation of the program will be carried out every five years in order to assess whether the program continues to be relevant, the extent to which it has achieved its objectives and to examine the results and impacts of the program. The next evaluation will be completed by March 2010. The evaluation will be led by SSHRC and overseen by the Inter-agency Evaluation Steering Committee. It is estimated that the evaluation will cost between \$150K and \$200K. A preliminary summary of the evaluation issues and how they will be addressed is provided below.

Evaluation Issue	Indicator	Interviews										Survey		
		Administrative data including university annual reports on results, SRPs, financial reports, performance reports CFI progress reports	Granting council databases	TB submission	Special Studies	Review of similar Programs in Canada and elsewhere	Staff	Steering Committee	Associations (e.g., AUCC)	Universities and affiliates	Candidates who turned down Chair positions and Chairholders who resigned their Chair positions	Chairholders	Other Faculty	Nomineed not funded
Continued Need for and relevance of program														
Is there a legitimate and necessary role for government in this program? (ERC issue)	➤ the relevance of the Chairs Program given government priorities			✓	✓	✓	✓	✓	✓	✓				
	➤ Extent to which building research capacity in Canada remains a government priority				✓		✓	✓						
Is there a continued need for the program? Do the objectives of the program continue to be relevant given the changes in the program's context?	➤ Extent to which the program continues to offset brain drain pressures, strengthen research excellence and build research capacity in Canada	✓			✓	✓	✓	✓	✓	✓		✓		✓
	➤ effect of ending this program on Canadian universities and the Canadian research community	✓					✓	✓	✓	✓				
	➤ similarity of the program to other similar-caliber competitions worldwide					✓								
	➤ Continued relevance of objectives						✓	✓	✓	✓				

Evaluation Issue	Indicator	Data/Document Review				Interviews						Surveys			Case studies	Modified Peer-review
		Administrative data including university annual reports on results, SRPs, financial reports, performance reports CFI progress reports	Granting council databases	TB submission	Special studies	Review of similar Programs in Canada and elsewhere	Staff	Steering Committee	Associations (e.g., AUCC)	Universities and affiliates	Candidates who turned down Chair positions and Chairholders who resigned their Chair positions	Chairholders	Other Faculty	Nomineed not funded		
Success of the Program																
Have retention and attraction taken place? What are the barriers to attraction and retention? How can the program help alleviate them? How important is the CFI component to attraction and retention?	➤ Refer to Performance Measurement table: IM1; INT3	✓					✓			✓	✓	✓		✓	✓	✓
Has the program attracted and retained clearly leading /excellent researchers?	➤ Refer to Performance Measurement table: IM1	✓	✓										✓	✓	✓	✓
What has been the program's contribution to the capacity of universities to produce and apply new knowledge? What has been the CFI component contribution?	➤ Refer to Performance Measurement table: IM2; INT2	✓								✓			✓	✓	✓	✓
What has been the program's contribution to the training of HQP? what has been the contribution of the CFI component?	➤ Refer to Performance Measurement table: IM3; INT3	✓			✓					✓			✓	✓	✓	✓
Has the program helped universities use their resources effectively and has it helped them develop a comparative advantage ?	➤ Refer to Performance Measurement table: IM5; INT1	✓				✓				✓			✓		✓	✓

Evaluation Issue	Indicator	Data/Document Review				Interviews						Surveys				
		Administrative data including university annual reports on results, SRPs, financial reports, performance reports CFI progress	Granting council databases	TB submission	Special studies	Review of similar Programs in Canada and elsewhere	Staff	Steering Committee	Associations (e.g., AUCC)	Universities and affiliates	Candidates who turned down Chair positions and Chairholders who resigned their Chair positions	Chairholders	Other Faculty	Nomineed not funded	Case studies	Modified Peer-review
Success of the Program																
How did the program and the CFI component contribute to inter-institutional and inter-sectoral collaboration?	➤ Refer to Performance Measurement table – 5,10	✓			✓					✓		✓	✓		✓	✓
To what extent are universities committed to supporting Chairholders?	<ul style="list-style-type: none"> ➤ Financial, administrative and infrastructure support provided extended by universities to Chairholders ➤ Teaching load of Chairholders compared to average teaching loads ➤ Number of researchers hired parallel to setting –up Chairs ➤ Proportion of Chairs Program funding devoted to research/ salaries vs administration 	✓			✓					✓		✓	✓	✓	✓	
Has the Chairs Program led to any unintended effects (both positive and negative)?	➤ Informed opinions	✓			✓		✓	✓	✓	✓		✓	✓	✓	✓	

Evaluation Issue	Indicator	Data/Document Review				Interviews						Surveys			Case studies	Modified Peer-review
		Administrative data including university annual reports on results, SRPs, financial reports, performance reports CF1 progress	Granting council databases	TB submission	Special studies	Review of similar Programs in Canada and elsewhere	Staff	Steering Committee	Associations (e.g., AUCC)	Universities and affiliates	Candidates who turned down Chair positions and Chairholders who resigned their Chair positions	Chairholders	Other Faculty	Nomineed not funded		
Efficiency and effectiveness of the Program																
How could the program be made more effective and efficient?(ERC issue)	<ul style="list-style-type: none"> ➤ Refer to Performance Measurement table ➤ Improvements that could be made to the program and the implications of such changes 	✓			✓	✓	✓	✓	✓	✓		✓			✓	
Are there alternative models, which are more efficient and effective to achieve the objectives of the Chairs Program?	<ul style="list-style-type: none"> ➤ A list of alternative delivery models and the advantages and disadvantages of each ➤ Cost of alternative delivery models compared to the current model ➤ Effect of changing the delivery model 	✓			✓				✓		✓	✓		✓	✓	
Other design issues																
What are the effects of the Chair allocation formula? Is the balance of Chairs by discipline adequate, considering the program objectives? Is allocation by discipline appropriate? Has the allocation formula led universities to redirect their hiring and research priorities?	<ul style="list-style-type: none"> ➤ list of possible bases for allocating the Chairs ➤ arguments in favour and against each basis ➤ qualitative assessment of the effect of the allocation formula on innovation, hiring and research ➤ comparison of program objectives to balance of Chairs 	✓			✓	✓	✓	✓	✓		✓					
Does the make-up of the pool of Chair holders reflect an effort to distribute Chairs equitably between men and women?	<ul style="list-style-type: none"> ➤ proportion of women among Chair nominations and awards compared to the proportion of women among feeder groups(international pool) ➤ Extent to which universities have targets specified in SRP and annual reports ➤ Efforts of universities to nominate female candidates ➤ Success rate of female candidates 	✓			✓	✓	✓	✓	✓		✓					

Program Monitoring and Internal Auditing

Program Monitoring

The secretariat of the Canada Research Chairs program will monitor the use of funds on an ongoing basis in order to ensure achievement of the expected outcomes.

All monitoring and evaluation activities are aligned with program monitoring processes. The main tools include University Annual Reports and Financial Reports. SSHRC's Corporate Performance, Evaluation and Audit and the Chairs' secretariat will compile, revise and analyse data collected through these monitoring activities. They will also present these analyses to the program's Management and Steering Committees to highlight any trends and ensure that the program will meet its objectives.

The activities of the Canada Research Chairs program are subject to general overview and monitoring by the Steering Committee, through the Secretariat.

Financial Monitoring of Institutions

The Finance Division (Financial Monitoring), Common Administrative Directorate at NSERC/SSHRC and the Finance Division at CIHR will periodically monitor the control framework at recipient institutions. This monitoring is carried out on a rotational basis within a general risk assessment framework. This activity will also cover the management of the Canada Research Chairs awards.

The main objectives of these periodic visits include:

- Review the effectiveness of the policies, controls and systems in place at the institutions to ensure that CIHR, NSERC and SSHRC policies and regulations are followed and that research funds are well managed;
- Review the control framework in place at the institution to administer CIHR, NSERC and SSHRC funds and to ensure that these funds are administered according to the Agencies' guidelines;
- Assess whether the various departments supporting the research activities are well supported; and
- Share and disseminate information on guidelines and expectations for financial and scientific accountability and integrity.

Selection process for the visits

A risk-based framework is in place for the selection of recipients for the visits. A 5-year plan is established based on questionnaires completed by the recipient institutions and information gathered by the Financial Monitoring unit.

Approximately 10 organizations are visited annually by Financial Monitoring group. On a 5- year cycle, all organizations are visited. This costs SSHRC approximately \$40,000 per year.

The Canada Research Chairs is a Class Grants program, and as such recipients are not subject to account for their expenditures to CRC, or to audit by CRC. Recipients are responsible for maintaining their eligibility and expending funds in accordance with program guidelines.

Internal Auditing

SSHRC has created a separate division responsible for corporate performance, evaluation, and audit. The division has established an internal audit function, with the recruitment of a Senior Internal Auditor. SSHRC's internal audit function is responsible for the internal audit of all activities of SSHRC's programs including the Canada Research Chairs program.

Audit Plan

SSHRC conducted a modern management practices assessment and developed an Integrated Risk Management Framework in line with the directives of Treasury Board. This exercise was the basis for identifying the priorities of the internal audit plan.

The CPEA division developed a three-year internal audit plan, which was approved by the Audit Committee in 2003-2004. In 2004-05, CPEA conducted an audit of the Awards Monitoring Activities used by the Finance Division (Financial Monitoring), Common Administrative Directorate at NSERC/SSHRC and the Finance Division at CIHR to monitor the control framework at recipient institutions. The audit concluded that the activities "are satisfactory as they allow NSERC and SSHRC to adequately assess the soundness of control frameworks put in place by universities in their management of research grants as trustees of the Councils."

This audit plan will be revised annually to re-evaluate risks. It is anticipated that the activities and management of the Canada Research Chairs program will be included in development of the SSHRC 2006-09 risk-based internal audit plan since it is a moderate-risk program. An internal audit of the program is estimated to cost between \$30K and \$50K.

Audit Management

All audits will be conducted in accordance with generally accepted audit standards, and in accordance with the current Treasury Board guidance and policy. Audits will be performed by the Senior Internal Auditor, and might include an independent auditor or auditing firm.

Generally audits are conducted in three phases: Planning, Execution and Reporting:

The Planning phase includes an orientation with mandate, definition of the statement of work, gathering of information and documentation, and developing audit program.

The Execution phase consists mainly of undertaking the detailed audit program to gather evidence to support the audit opinion, findings and conclusions.

The Reporting phase involves an analysis of the findings, formulation of opinion, and provides relevant recommendations.

Reporting and implementation strategy

The Steering Committee will oversee the implementation of the RMAF-RBAF and all reporting requirements. This implies that the Steering Committee and the Secretariat staff are responsible for ensuring adequate data collection (particularly compliance with annual reporting from recipient institutions), and for launching the summative evaluation.

The table below summarizes the Implementation and Reporting Plan for the Performance Measurement and Evaluation Strategies.

Implementation and Reporting Plan Summary

Activity	Report	Dates completed
Ongoing performance measurement	Annual university reports on results	Annually
	Financial reports Special Studies	Periodically
Summative evaluation	Final evaluation report	March 2010 and every five years thereafter

SSHRC Internal Audit Reports

SSHRC's Audit Committee is responsible for the approval of conclusions and recommendations of internal audit reports and for ensuring follow-up by management. Once approved by SSHRC's Audit Committee, audit reports will be made public (in both official languages) in keeping with the spirit, intent, and restrictions of the Access to Information and Privacy Acts.