

**Social Sciences and Humanities Research Council (SSHRC)**

**Departmental Evaluation Plan**

**2011-12 to 2015-16**

July 2011

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## Key Highlights

- Evaluation plan provides for 100 per cent coverage of grants and scholarships expenditures over five years.
- Evaluation plan bridges two program activities architectures (PAA).
- SSHRC's 7.25 FTEs and \$ 0.9 million O&M evaluation costs (total annual salary, professional services and operations and maintenance) is in line with expenditures of other small Federal agencies with fewer than 500 FTE and less than \$300 million direct program spending.
- Total estimated SSHRC evaluation expenditures over next five years, including salary and non-salary, represent approximately \$2.3 million; covering total grants and scholarships spending over the same period of approximately \$3.2 billion.
- The SSHRC portion of non-salary tri-agency evaluation costs over next five years represents 26 per cent (\$550,000), covering approximately \$2.4 billion (50 per cent) of tri-agency grants and scholarships spendings.
- SSHRC evaluation expenditures represent less than one per cent (.17 ) of grant spending and compares favorably to the average for comparable small agencies ( .13 per cent).
- Majority of program risk is situated in the low to medium range.

## **I. BACKGROUND AND CONTEXT**

## 1. Background

The purpose of this evaluation plan is to ensure that credible, timely and neutral information on the ongoing relevance and performance of all SSHRC direct program spending is available to the president of SSHRC and is used to support evidence-based decision-making on policy, expenditure management and program improvement. As such, the goal of this evaluation plan is to:

- provide schedules of SSHRC and tri-agency horizontal evaluations projects to be conducted over the next five years;
- describe the approaches used to identify, prioritize and calibrate SSHRC evaluation projects;
- identify program risks for a risk-based approach to prioritizing evaluation projects; and
- describe resource requirements within the evaluation unit to deliver scheduled evaluations.

This Departmental Evaluation Plan (DEP) covers the period 2011-12 to 2015-16. As SSHRC is currently developing a new Program Activity Architecture (PAA) to be implemented in 2012-13, this evaluation plan incorporates reference to the new PAA structure for all evaluation projects starting in 2012-13. Next iterations of the evaluation plan will confirm the final PAA structure. The fiscal year 2011-12 refers to the approved PAA structure and is not intended to change.

### 1.1 Approval of the Departmental Evaluation Plan

The Policy on Evaluation requires that the president ensures the development of a five-year rolling evaluation plan and confirms that this plan:

- aligns with and supports SSHRC's Management, Resources and Results Structure (MRRS);
- supports the requirement of the Expenditure Management System, including strategic reviews;
- includes all ongoing programs of grants as required by section 42.1 of the *Financial Administration Act*; and
- meets the requirements outlined in section 6.1.7 and 6.1.8 of the *Policy on Evaluation 2009*.

As required by the Policy on Evaluation (section 6.1.7), this evaluation plan has been reviewed by SSHRC's Performance and Evaluation Committee (PEC) and approved by SSHRC's president.

The Confirmation Note is included in Appendix A of this document.

### 1.2 Development of the Departmental Evaluation Plan

#### Approach

This evaluation plan has been developed using the following approach:

- scoping the evaluation universe using the Program Activity Architecture and MRRS;
- identifying the risk areas including materiality, program readiness, complexity of the program, and political sensitivity to prioritize evaluation projects (findings from SSHRC risk-based assessment exercise conducted in 2010-11 and audit priority are also included);
- consulting with program managers at SSHRC;

- consulting with heads of evaluation at the Natural Sciences and Engineering Research Council (NSERC) and the Canadian Institutes of Health Research (CIHR) on the scheduling of tri-agency horizontal evaluation projects.

### *Defined Evaluation Timelines*

SSHRC's identified program universe of direct program spending is based on both its 2011-12 and 2012-13 PAA and MRRS, with activities identified up to the sub-activity level. This program universe includes activities that require Treasury Board submissions specifying program lifecycles and evaluation timelines. Tri-agency horizontal evaluation projects, in collaboration with NSERC and CIHR, have pre-determined evaluation schedules based on specific terms and conditions. Other activities at the sub-activity level do not have a defined lifecycle or evaluation timeline aside from overall Treasury Board policy requirements to evaluate all program spending within a five-year period.

The sub-activity level constitutes the basic unit of evaluation for all SSHRC programs. In some cases, an evaluation project may be comprised of a single sub-activity in the PAA or a cluster evaluation of sub-sub-activities grouped at the sub-activity level.

Other considerations in defining evaluation timelines are as follows:

- some evaluations at the beginning of the period have been scheduled to maximize the opportunity to inform program redesign given SSHRC's PAA renewal process; and
- clustering funding opportunities with connected objectives maximizes efficiencies of the evaluation function and increases coverage.

## **2. Context**

SSHRC is a federal granting agency that promotes and supports post-secondary based research and training in the humanities and social sciences. Through its policies and programs, SSHRC enables the highest levels of research excellence in Canada and facilitates knowledge sharing and collaboration across research disciplines, universities and all sectors of society. Key priorities are set out in *Framing our Direction 2010-12 with an emphasis on developing talent, building knowledge and understanding, mobilizing knowledge and strengthening SSHRC's business practices*.

SSHRC is subject to the Treasury Board's [Policy on Transfer Payments](#). It is also subject to the federal government's accountability requirements—as set out in Treasury Board's [Policy on Internal Audit](#) and Treasury Board's [Evaluation Policy](#)—as well as its expectations for the implementation of [Results-based Performance Frameworks](#) to monitor and report on the performance of programs.

In addition to policy development, program improvement, knowledge sharing, and reporting requirements, SSHRC keeps stakeholders and Canadians informed about the research results and outcomes of its funding opportunities and, more generally, about the results of federal investments in research. As such, SSHRC is required to submit an annual performance report to Parliament.

## 2.1 Evaluation at SSHRC

### *SSHRC Departmental Evaluation Committee*

SSHRC's departmental evaluation committee, the Performance and Evaluation Committee (PEC), has been established to meet the requirement of the Policy on Evaluation (April 2009). As part of a learning organization, SSHRC's PEC ensures the integration of evidence-based decision-making and continuous improvement to the management structure and practices through guidance and oversight of the organization's performance and evaluation function. From this perspective, PEC encourages not only evaluation capacity building, but also promotes a culture of evaluation within SSHRC that is focused on results-based management, accountability and learning. In doing so, PEC endorses the use of evaluation findings in corporate priority-setting, planning and decision-making.

PEC provides advice and counsel to the president in the discharge of his or her evaluation and corporate performance responsibilities including those of a tri-agency nature. As well, PEC advocates the timely dissemination of performance and evaluation results to various stakeholders (Council, minister, the academic and non-academic community) through the inclusion of evaluation findings in speeches, presentations and other communication initiatives. By doing so, it enables SSHRC to demonstrate how innovative social sciences and humanities scholarship and research is having real value and making a difference in the lives of people, communities and society as a whole. PEC is chaired by the president. Membership comprises executive vice-president; vice-president, research; vice-president, research capacity; and vice-president, Common Administrative Services Directorate. The committee meets at least four times a year, and governance is supported by roles and operational parameters outlined in mandate and SSHRC's Evaluation Policy (2007). SSHRC is also governed by a council that reports to Parliament through the minister of Industry. SSHRC's president reports to Council in his/her capacity as chair of PEC providing: an annual report for oversight of SSHRC's performance and evaluation functions; and evidence and information that evaluation and performance data are informing management in setting strategic direction, establishing priorities, and considered in the efficient and effective use of resources. As well, the President also reports in his/her capacity as chair of PEC to Programs and Quality Committee, a standing committee of Council, providing a range of reports that includes: five-year evaluation plans; summaries of SSHRC evaluations; summaries of SSHRC management responses to evaluation recommendations; summaries of special performance studies commissioned by SSHRC; and the minutes of PEC's meetings.

## 2.2 Implementation of Evaluation Plans

Any significant amendments to the 2010-11 evaluation schedule submitted to the Treasury Board Secretariat (TBS) are provided in Table 1 below, with a rationale provided for each change. The table also indicates changes in PAA starting in 2012-13.

**Table 1. Significant Changes between 2010-11 and 2011-12 Evaluation Plans**

Proposed Evaluation	PAA 2010/11	PAA 2012/13	Change	Rationale
Major Collaborative Research Initiatives	2.1.2	1.2.1	Evaluation cancelled	Funding opportunity phasing out. New funding opportunity implemented in 2011-12. New evaluation scheduled in 2015-16.
Community-University Research Alliances	2.3.2	1.2.1	Evaluation cancelled	Funding opportunity phasing out. New funding opportunity implemented in 2011-12. New evaluation scheduled in 2015-16.
Other Strategic Research Developments	2.3.5	1.2.1	Evaluation cancelled	Funding opportunity phasing out. New funding opportunity implemented in 2011-12. New evaluation scheduled in 2015-16.
Research Publishing	3.1.1	1.3.1	Evaluation delayed to 2012-13	Evaluability assessment will be performed in 2011-12 prior to a cluster summative evaluation at the program activity level in 2012-13.
Knowledge Translation	3.1.2	1.3.1	Evaluation delayed to 2012-13	Evaluability assessment will be performed in 2011-12 prior to a cluster summative evaluation at the program activity level in 2012-13
Research Events	3.2.1	1.3.1	Evaluation delayed to 2012-13	Evaluability assessment will be performed in 2011-12 prior to a cluster summative evaluation at the program activity level in 2012-13
Strategic Knowledge Clusters	3.2.3	1.3.1	Evaluation delayed to 2012-13	Evaluability assessment will be performed in 2011-12 prior to a cluster summative evaluation at the program activity level in 2012-13
Business-Led Networks of Centres of Excellence	3.2.2	1.3.3	Review of relevance and effectiveness scheduled for 2010-11	New tri-agency horizontal evaluation not specified on SSHRC 2009-10 schedule

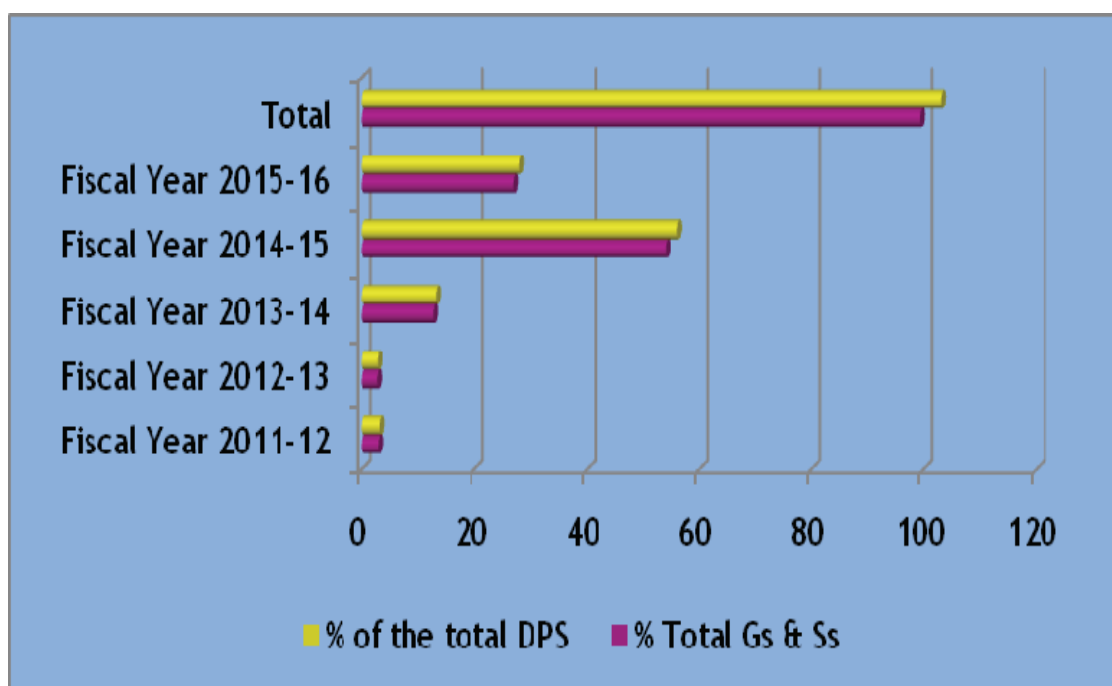


### 2.3 Coverage of Grants & Contributions

Evaluation coverage by 2016-17 will be 100 per cent of total direct program spendings (DPS), including grants expenditures. The total DPS amounts are estimated by adding 4 per cent to the total amounts of grants and scholarships for each program activity. This operation accounts for the slight overcoverage observed (103 per cent). Figure 1 below displays the detailed information by fiscal year for the next five years.

In fiscal year 2014-15, SSHRC will cover more than half of its DPS, in which the Indirect Costs Program accounts for approximately 53 per cent.

**Figure 1. Percentage of Grants and Scholarships, and Direct Program Spendings Coverage for the Next Five Years**



### 2.4 Challenges Encountered

Tri-agency horizontal evaluation projects present important challenges for the participating agencies. These projects are complex and politically sensitive, requiring a high degree of planning. These projects take approximately eighteen months from the planning phase to the conduct of the study and approval of the final evaluation report, and generally involve important resources for the leading agency. In addition, each participating agency provides about 0.2 Full-Time Equivalent (FTE) positions for the duration of interagency projects.

Tri-agency horizontal evaluations represent a large part of SSHRC’s evaluation plan. Half of evaluation projects scheduled in 2011-12 are tri-agency. SSHRC has recently completed the horizontal evaluation of the Canada Research Chairs program and will be leading a major evaluation project every year starting in 2012-13.

## II. EVALUATION SCHEDULE AND SUMMARIES



## 1. Evaluation Schedule

The following schedule, illustrated in Table 2 below, outlines the timing of evaluation projects for the fiscal year 2011-12. Resource planning assumptions to deliver the 2011-12 schedule are based on 1.2 senior evaluator FTEs, including 0.3 evaluation manager FTE, and 0.6 data analyst FTE.

It is estimated that evaluation projects require between three to six months for planning, and between nine to twelve months for the conduct of the study. These are estimates based on the conduct of similar projects in the past and the current resources available to the evaluation unit.

Grey cells relate to the planning of evaluations (light grey) and the conduct of the study (dark grey) at the end of which an evaluation report is issued (presented as X).

**Table 2. Timing of Evaluation Projects for Fiscal Year 2011-12**

Current Program Activity	Link to PAA 2011-12	Lead Agency (if tri- agency evaluation project)	2011-12 quarter			
			1	2	3	4
<b>1.0 People</b>						
Vanier Canada Graduate Scholarships	1.1.2	CIHR				
Postdoctoral Fellowships	1.1.4				X	
Prizes and Special Fellowships	1.1.5				X	
<b>3.0 Knowledge Mobilization</b>						
Evaluability Assessment of Knowledge Mobilization cluster	3.1 and 3.2					
Business-led NCE, Review of Relevance and Effectiveness	3.2.2	NSERC			X	
Centres of Excellence for Commercialization and Research	3.2.2	NSERC			X	

### 1.1 Schedule of Evaluation by Year

Appendix B presents a detailed schedule of the five-year evaluation plan by year. Starting in 2012-13, the schedule is based on a new Program Activity Architecture (PAA). This new PAA has yet to be approved by the TBS and implemented.

## 1.2 Evaluation Summary Sheets

Appendix C presents details on three evaluations planned for the first year covered by the evaluation plan. These evaluation summary sheets provide a short synopsis of the planned evaluation including the context of the program to be evaluated, the evaluation questions and methods, and the estimated budget. These summary sheets have been discussed with program managers.

New iterations of the evaluation plan will provide detailed evaluation planning for the first two years covered by the document.

## 1.3 Schedule of Horizontal Evaluation by Year

In addition to the information above, Table 3 below provides a breakdown of scheduled tri-agency horizontal evaluation projects. This schedule identifies the lead agency and all other participating agencies.

**Table 3. Schedule of Tri-Agency Horizontal Evaluations**

Title of Proposed Evaluation	Link to PAA	Planned Approval Date	Lead Agency	Other Agencies Involved
<b>2011-12*</b>				
Business-led NCE, Review of Relevance and Effectiveness	3.2.2*	September 2011	NSERC	CIHR, SSHRC
Centre of Excellence for Commercialization and Research (CECR)	3.2.2*	December 2011	NSERC	CIHR, SSHRC
<b>2012-13**</b>				
Canada Excellence Research Chairs (CERC)	1.1.1**	January 2013	SSHRC	CIHR, NSERC, CFI
Vanier Canada Graduate Scholarships	1.1.3**	December 2012	CIHR	NSERC, SSHRC
College and Community Innovation Program	1.3.3**	March 2013	NSERC	CIHR, SSHRC
<b>2013-14**</b>				
Canada Graduate Scholarships (CGS)	1.1.2**	December 2013	CIHR	NSERC, SSHRC
Summative Evaluation of Networks of Centres of Excellence (NCE)	1.3.3**	March 2014	NSERC	CIHR, SSHRC
Summative Evaluation of Business-led NCE	1.3.3**	March 2014	NSERC	CIHR, SSHRC

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Title of Proposed Evaluation	Link to PAA	Planned Approval Date	Lead Agency	Other Agencies Involved
<b>2014-15**</b>				
Indirect Costs Program (ICP)	2.1**	March 2014	SSHRC	CIHR, NSERC
<b>2015-16**</b>				
Canada Research Chairs (CRC)	1.1.1**	March 2016	SSHRC	CIHR, NSERC, CFI

\*Current PAA

\*\*New PAA to be implemented in 2012-13

### III. PLANNING FOR OTHER ACTIVITIES



## **1. Other Activities**

The Corporate Performance and Evaluation division collaborates and participates in several corporate projects as part of its regular activities in relation to the evaluation function.

### **1.1 Renewal of Program Activities**

As part of its program architecture renewal, SSHRC is reviewing its suite of programs, its peer review processes and its mechanisms of program delivery to improve their ability to adapt to the evolving context for research, and to further contribute to Canada's people, knowledge and entrepreneurial advantages. Plans for meeting these priorities include the renewal of its suite of funding opportunities, the development of a logic model and a performance measurement framework for renewed grants and scholarships program activities—Talent, Insight and Connection—and strategic outcome.

SSHRC completed its new Management, Resources and Results Structure (MRRS) in Spring 2011. This includes changes to the Program Activity Architecture (PAA), presented in Appendix G, and the Performance Measurement Framework (PMF). The TBS is expected to approve these changes in 2011-12. The new MRRS will be effective in 2012-13.

### **1.2 Evaluability Assessments**

Evaluability assessments are not a regular step in the planning of an evaluation study. However, in some cases, evaluation studies that are particularly complex or cannot build on past experience benefit from a thorough evaluability assessment. The evaluation division has planned such an assessment in preparation for a cluster evaluation of three program activities. This evaluability assessment is described in Appendix D Evaluation Summary Sheet for Knowledge Mobilization—Summative Cluster Evaluation.

### **1.3 Research Projects**

In the last three years, the evaluation division has commissioned a series of special studies on the impact of research in social sciences and humanities on the Canadian society and economy. Results of some of these studies are available at [http://www.sshrc-crsh.gc.ca/about-au\\_sujet/publications/consultation-eng.aspx](http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/consultation-eng.aspx).

### **1.4 Communication Plan**

The evaluation division has also undertaken some activities to ensure the diffusion of evaluation products internally and externally.

A repository of all available performance and evaluation products has been made accessible to all staff to provide reference documents for data and information. Through this repository, evaluation reports and their supporting technical reports provide supplementary information for internal studies, communications and Treasury Board submissions.

All evaluation reports and their accompanying management responses are made available to the public

within the required three months after approval by the Department Evaluation Committee.

In order to improve organizational learning and share knowledge with the social sciences and humanities research community, increased communications and diffusion of evaluation products is also encouraged but not fully realized. The challenge here is to maximize the benefits of evaluation function to support not only accountability requirements, but to achieve learning and engagement benefits. Consideration is being given to a more active communication through SSHRC Bulletin, for example, to help increase community use and engagement, as well as a means of extending appreciation to evaluation participants for their valuable input into the evaluation studies.



## **IV. Capacity, Resource Planning and Structure**



## 1.1 Time Equivalent Positions

Full Time Equivalent (FTE) positions under the direction of the head of evaluation is provided in Table 4 below. In addition, the director also manages 2.75 FTE (not shown below), dedicated to corporate performance (e.g. program support, measurement and analysis, departmental performance reporting, special reviews and studies). The factor of equivalence used to estimate full time evaluation positions in 2011-12 was 30 per cent. A factor of equivalence of 75 per cent was used for the following four years. This allocation of resource reflects a temporary shift toward performance measurement function in 2011-12. In accordance to the renewal of SSHRC's program activities, the organization had to review its program logic models and performance measurement framework. With new data elements to be gathered, a redesign of all corporate data collection tools was necessary. For this reason, senior management authorized the performance and evaluation division to devote up to 70 per cent of its resources toward the development of an online web-based reporting system named *Talent, Insight, Connection Research Achievement System*. The system is a tool consisting of different modules for the various funding opportunities to be completed throughout the lifecycle of a grant/fellowship. Implementation of the new achievement reporting system is planned for beginning of 2012-13.

The division of performance and evaluation has no vacant position in 2011-12. The only vacant position in the previous year has been successfully filled in the first quarter of 2011-12. No retirements are expected in the short-term.

**Table 4. Capacity and Resource Planning (\$ thousands)**

Type of resource	Current FY 2011-12	2012-13 (projected)	2013-14 (projected)	2014-15 (projected)	2015-16 (projected)
A-Base FTEs	3.2	7.25	7.25	7.25	7.25
Non A-Base FTEs	0	0	0	0	0
<b>Total FTEs</b>	<b>3.2</b>	<b>7.25</b>	<b>7.25</b>	<b>7.25</b>	<b>7.25</b>
<b>A-Base Funds (\$ thousands)</b>					
Salaries	\$247.4	\$522.0	\$522.0	\$522.0	\$522.0
Professional services	\$221.0	\$300.0	\$75.0	\$375.0	\$150.0
O&M (excluding Professional services)	\$20.0	\$20.0	\$20.0	\$20.0	\$20.0
<b>Sub total</b>	<b>\$488.4</b>	<b>\$842.0</b>	<b>\$617.0</b>	<b>\$917.0</b>	<b>\$692.0</b>
Other departmental resources for evaluation managed by Evaluation Unit	\$0	\$0	\$0	\$0	\$0
<b>Sub total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Other departmental resources for evaluation not managed by Evaluation Unit	\$0	\$0	\$0	\$0	\$0

Sub total	0	0	0	0	0
Total	\$488.4	\$842.0	\$617.0	\$917.0	\$692.0

FTE=Full Time Equivalents

Note: FTE for fiscal year 2011-12 based on 30 per cent time allocation to evaluation function. FTE for fiscal year 2012-13 and beyond based on 75 per cent time allocation to evaluation function.

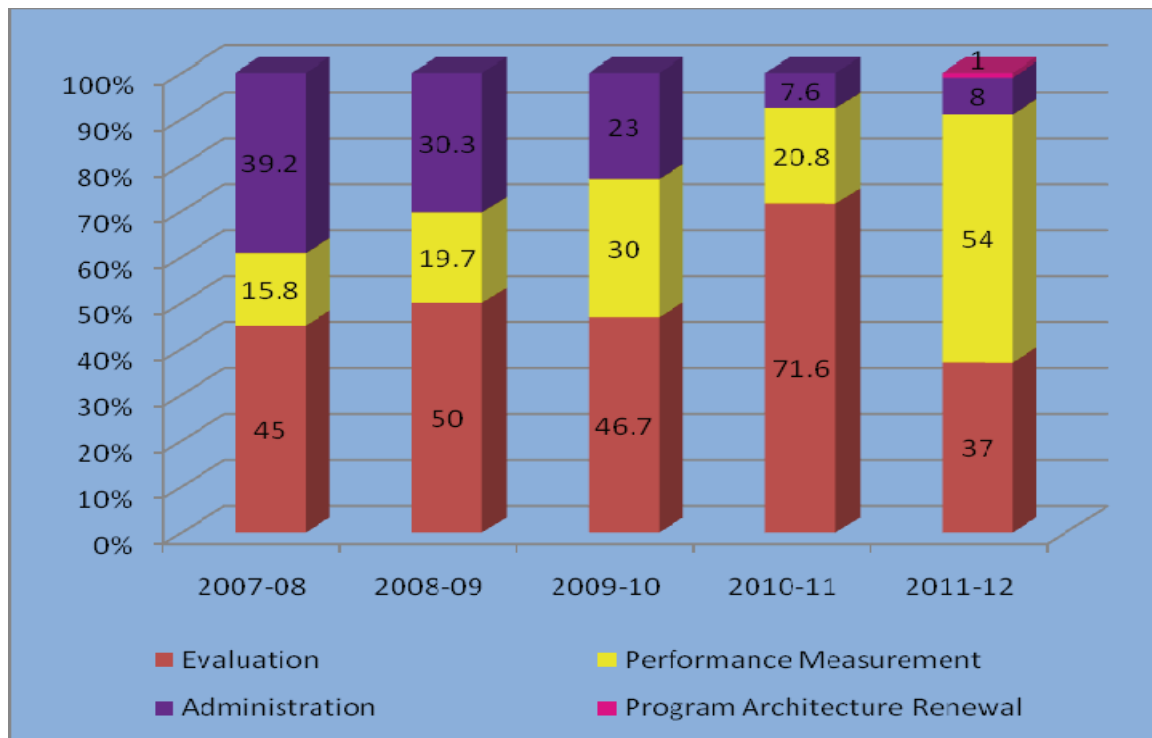
## 1.2 Staffing Strategies

For all of its staffing needs, the performance and evaluation division first considers hiring highly qualified senior evaluators on an indeterminate basis. For specific short-term projects, a capacity-building staffing strategy is employed, with the division considering the hiring of qualified junior evaluators. Succession planning and capacity skill development is an effective way to provide interesting opportunities to recruit and retain promising young evaluators.

## 1.3 Financial Resources

Table 4 above describes the A-Base funds allocated to evaluation function for the next five years while Figure 2 below illustrates the allocation of non-salary funds by main functions. The evaluation function has increased over time from 45.0 per cent to 71.6 per cent. The decrease of evaluation function in 2011-12 to the benefit of performance measure is the result of a temporary reallocation of resources due to temporary emphasis on the measure for corporate performance as indicated above.

Figure 2. Percent Allocation of Non-Salary by Function for the Last Five Years



## 1.4 Governance Structure

### The Corporate Performance and Evaluation Division

The Corporate Performance and Evaluation (CPE) Division's overarching goals are connected to the three drivers identified in *Framing our Direction 2010-12 with an emphasis on developing talent, building knowledge and understanding, mobilizing knowledge and strengthening SSHRC's business practices*. As such, the division plays an integral role in helping SSHRC move forward on three of its key ambitions:

#### **Quality**

CPE will help ensure managers at SSHRC receive credible, timely and neutral information on the quality of the programs they administer with particular attention to performance, return on investment, and value for money and impact. This information will help senior executives better align their policies, the programs they offer and the way those programs are delivered.

#### **Connections**

CPE will foster stronger connections between SSHRC, the research community and the larger community through a greater involvement in performance measurement, program evaluation and impact analysis, and by sharing (directly or in concert with our colleagues and partners) the results with Parliament and with all Canadians.

#### **Impact**

CPE will help SSHRC and Canada's social sciences and humanities research community demonstrate the outcomes and impacts of their work by effectively gathering, analyzing and sharing data (directly or in concert with our colleagues and partners) that measure and evaluate those outcomes and impacts, and that demonstrate how SSHRC-funded research effectively contributes to the government's current priorities.

#### **Operational Objectives**

In addition to these broader goals, SSHRC's Evaluation Policy (2007) also suggests a number of important operational goals for CPE:

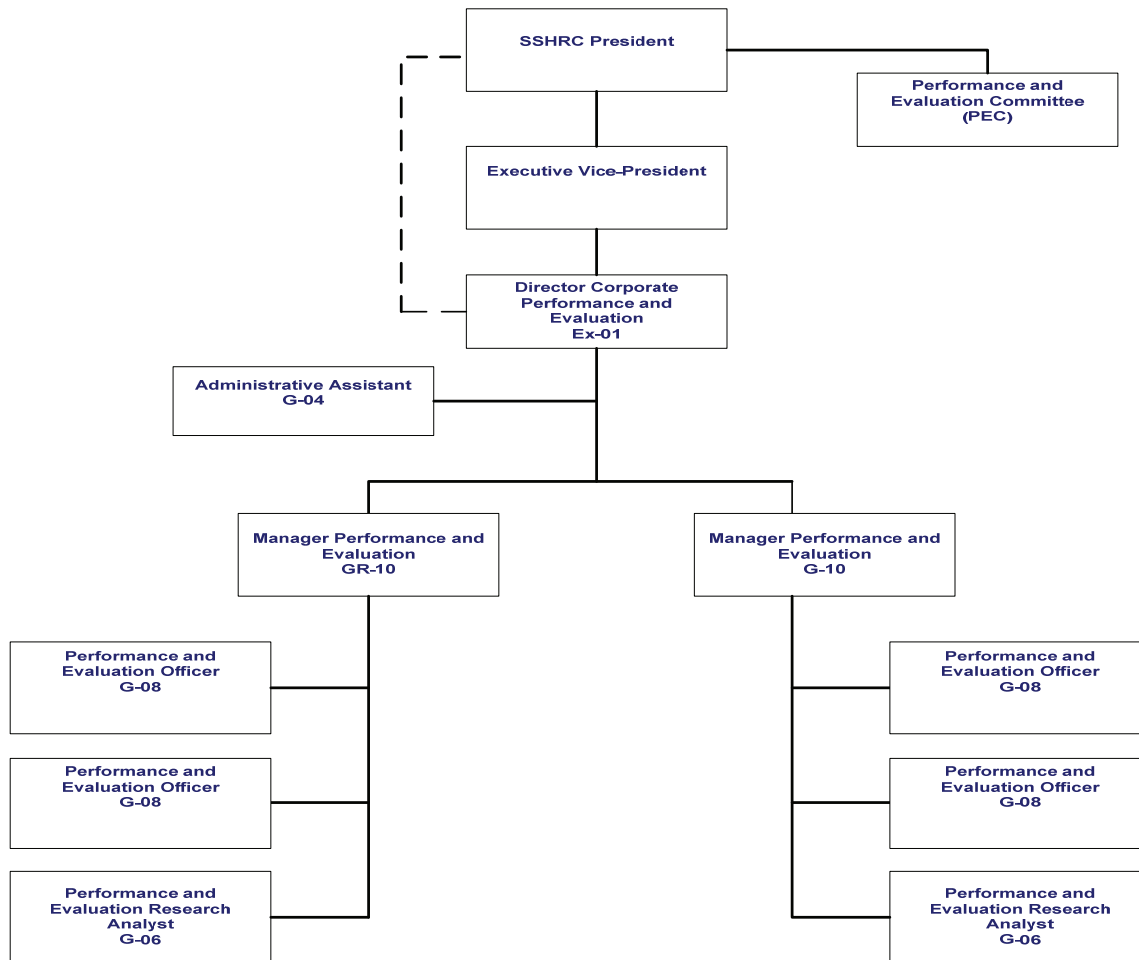
- contribute to a robust evaluation and performance measurement function at SSHRC that is focused on value for money and accountability;
- provide performance measurement (PM) and program evaluation (PE) reports to the president to help senior management inform policy, resource allocation and reallocation decisions;
- help ensure senior management, Parliament and Canadians receive credible, timely and neutral information on the ongoing relevance, effectiveness and impact of SSHRC's expenditures including cross-cutting government-wide issues associated with SSHRC's priorities;
- develop a five-year evaluation plan to meet all central agency requirements, that is submitted, together with an annual progress update and work plan, to the Performance and Evaluation Committee (PEC) for review;
- develop an overall performance measurement framework for SSHRC;
- capture and report on the outcomes and impacts of publicly funded social sciences and humanities research;

- manage SSHRC’s strategic, high-priority evaluation studies;
- act as a focal point for all evaluation and performance measurement work at SSHRC;
- maintain close liaison with SSHRC’s chief audit executive on issues pertaining to audit and holistic assurance; and
- provide input into the individual performance measurement strategies and evaluations for existing programs and for all new and proposed program spending.

*Enhanced Capacity*

The team of performance and evaluation professionals in the CPE Division has grown in the last three years from three employees to ten (including the director). Two teams have been formed, split between the programs, to focus each on evaluation and performance measurement issues. This has allowed greater attention to longer-term performance measurement activities while continuing to meet program evaluation requirements. The current organizational chart is presented below.

**Figure 3. Organigram of Evaluation Unit**



## 1.5 Monitoring Evaluation Utilization

### *Context*

SSHRC's departmental evaluation committee has, as part of its mandate, the responsibility to review management responses to evaluations and related action plans, recommend approval of these documents by the president, and ensure follow-up. In order to facilitate the committee's role in this regard, and to support the work of program management in responding to evaluation recommendations, the evaluation unit provides a suggested process for the development, approval and tracking of management responses to evaluation recommendations. It should be noted that the guidance offered in this document does not apply to horizontal evaluations conducted in partnership with other departments and agencies. It should also be noted that SSHRC is building its evaluation capacity, including its ability to implement the processes outlined in this document, over the long-term.

### *Purpose of Evaluation Recommendations*

The implementation of evaluation recommendations and related actions is one of the ways in which evaluation supports SSHRC's corporate priority of ensuring value-for-money of public investments in social sciences and humanities through evidence-based decision-making. In addition, the TBS relies on information on the implementation of evaluation recommendations as evidence of evaluation use and impact and of strong management practices.

### *Monitor Implementation of Management Responses/Actions Process*

SSHRC's head of evaluation (director, evaluation unit) is responsible for providing the departmental evaluation committee with the information needed to fulfill its mandate of ensuring follow-up on actions resulting from evaluation recommendations.

Evaluation managers review the management response database in order to monitor the implementation status of actions in accordance with approved management responses, timelines and the like. This monitoring is performed annually, through follow-up with the responsibility centre (program directors, senior staff, etc.) identified in the management response database.

Directors are encouraged to keep track of progress through this extended matrix (and database) to not only ensure implementation of actions but also to facilitate evaluation unit monitoring and reporting. SSHRC's head of evaluation reports annually to the Departmental Evaluation Committee on implementation of actions.

The following table (Table 5) provides an overview of the suggested process for monitoring implementation of action plans identified in management responses in addition to ensuring follow-up with the responsibility centre. It should be noted that this table includes the steps that lead up to the development of this process (in *italics*).

Table 5. Monitor implementation of management responses and action plans

Phase	Responsibility	Process	Timing
Development of draft process for monitoring of implementation of actions	Director of CPE	<ul style="list-style-type: none"> <li>– Development of draft process for monitoring of implementation of actions and ensuring follow-up on actions, in consultation with CPE management and staff, Continuous Improvement Team, and PPIA.</li> </ul>	Under-development
Announcement of draft process for monitoring of implementation of actions	Operations Management Committee	<ul style="list-style-type: none"> <li>– Head of evaluation tables a draft process to generate discussion and comments, noting that CPE has also developed a management response database.</li> <li>– CPE circulates draft document to Program Directors (and senior staff) for review and feedback.</li> <li>– CPE drafts process - version 2.</li> </ul>	<p>Feedback from Program Directors (2 weeks)</p> <p>Draft process, CPE (2 weeks)</p>
Endorsement of final draft process for monitoring of implementation of actions	Operations Management Committee	<ul style="list-style-type: none"> <li>– Head of evaluation tables final draft process in addition to providing a snapshot of the management response tracking tool</li> <li>– CPE drafts process - version 3.</li> </ul>	Next Operations Management Committee meeting
Approval of final draft process for monitoring of implementation of actions	Departmental Evaluation Committee	<ul style="list-style-type: none"> <li>– Head of evaluation tables final draft process for review and approval by PEC members.</li> </ul>	Next Departmental Evaluation Committee meeting
Update status of implementation of actions	Director of program evaluated	<ul style="list-style-type: none"> <li>– CPE Analyst circulates the management response database tracking sheet to Program Director (or senior staff) for updates on status of implementation of action items.</li> <li>– CPE Analyst can provide additional guidance and support (e.g. collaborate with senior staff to provide a quick demo of the tracking sheet)</li> </ul>	2-3 weeks
Review status updates and follow-up on actions	CPE	<ul style="list-style-type: none"> <li>– CPE Analyst reviews (and validates) status updates of implementation of action items.</li> <li>– Evaluation Manager contacts Director of program evaluated (or senior staff) to schedule a follow-up meeting for additional information and data.</li> <li>– CPE Analyst updates the management response database tool with current information to produce a summary report.</li> </ul>	3 weeks
Development of final draft report	Director of CPE	<ul style="list-style-type: none"> <li>– Head of evaluation tables an annual summary report at PEC.</li> </ul>	Departmental Evaluation Committee meeting

## 1.6 Reviewing Cycle of the Evaluation Function

SSHRC's evaluation function was subject to Management Accountability Framework (MAF) Assessment Round 7 in 2009-10. At this occasion, SSHRC's overall rating improved from "acceptable" in 2006-07 to "strong" in 2009-10 in core Area of Management 6. While the TBS identified a few specific areas for improvement, no major opportunities were identified in Area of Management 6 for SSHRC. The table below summarizes the results of MAF Round 7.

**Table 7. Results of MAF Round 7 2009-10**

<b>Area of Management 6—Quality and Use of Evaluation</b>	
<b>Criterion</b>	<b>Rating</b>
Quality of evaluations	Strong
Neutrality of evaluation function (governance and resources)	Acceptable
Evaluation coverage of the organizations's direct program spending	Acceptable
Use of evaluation in support to decision-making in the organization.	Strong



## V. Appendices of Supporting Materials



## **Appendix A—Confirmation Note**

I submit to the Treasury Board of Canada Secretariat the departmental evaluation plan that I approved for the Social Science and Humanities Research Council for fiscal years 2011-12 to 2015-16, as required by the Policy on Evaluation (2009).

As per section 6.1.7 and 6.1.8 of the policy, I confirm that this five-year departmental evaluation plan:

- 1) aligns with and supports the departmental Management, Resources and Results Structure;
- 2) has been designed to help support the requirements of the Expenditure Management System, including strategic reviews; and
- 3) includes all ongoing programs of grants and contributions administered by the department, as required by section 41.1 of the Financial Administration Act.

I will ensure that this plan is updated annually and will provide information about implementation of the Departmental Evaluation Plan to the Treasury Board of Canada Secretariat, as required.



Chad Gaffield, PhD, FRSC  
President  
Social Sciences and Humanities Council

## Appendix B—Schedule of Evaluation by Year

Current PAA 2011-12

Link to PAA	Title of Proposed Evaluation	Risk Level: High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes /No)  Lead (if yes)	Planned (start date)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>1</sup>		Total Direct Program Spending (including Grants and Scholarships) (over five years)		Estimated SSHRC Cost of Evaluation	
									total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
<b>2011-2012*</b>														
1.1.4	Postdoctoral Fellowships program	Low	Summative Evaluation	No	Partially implemented	No	Oct. 2010	Dec. 2011	46.1	1.4	48	1.5	125	111.4
1.1.5	Prizes and Special Research Fellowships	Low	Summative Evaluation	No	Not implemented	No	Oct. 2010	Dec. 2011	1.7	0.1	1.8	0.1	96	111.4
3.2.2	Business-led NCE, Review of Relevance and Effectiveness	Low	Review of Relevance and Effectiveness	No	Implemented	Yes NSERC	Oct. 2010	Sept. 2011	2.9	0.1	3.1	0.1	-	12.3
3.2.2	Centres of Excellence for Commercialization and Research <sup>2</sup>	Low	Summative Evaluation	No	Implemented	Yes NSERC	Oct. 2010	Dec. 2011	43.2	1.3	44.9	1.4	-	12.3
<b>Sub Total Fiscal Year 2011-12</b>									<b>93.9</b>	<b>2.9</b>	<b>97.8</b>	<b>3.1</b>	<b>221</b>	<b>247.4</b>

\* Current PAA 2011-12

<sup>1</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

<sup>2</sup> The total grants and scholarships comprise expenditures over four years. The program was created in 2007.

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16  
New PAA 2012-13 to 2016-17

Link to PAA	Title of Proposed Evaluation	Risk Level High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes /No)  Lead (if yes)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>3</sup>		Total Direct Program Spending (including Grants and Scholarships ) (over five years)		Estimated SSHRC Cost of Evaluation	
								total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
<b>2012-2013**</b>													
3.1	Knowledge Mobilization-Summative Cluster Evaluation	Moderate	Summative Evaluation	No	Not implemented	No	Apr. 2012	79.1	2.4	82.3	2.5	75	208.8
1.1.1	Canada Excellence Research Chairs (CERC) <sup>4</sup>	Low	Summative Evaluation	No	Implemented	SSHRC	July 2012	0	0	0	0	150	208.8
1.1.3	Vanier Canada Graduate Scholarships <sup>5</sup>	Moderate	Summative Evaluation (Possibly cluster evaluation)	No	Implemented	CIHR	Oct. 2011	8.1	0.3	8.4	0.3	75	78.3
1.3.3	College and Community-Innovation Program <sup>6</sup>	Low	Summative Evaluation	No	Implemented	NSERC	Apr. 2012	0	0	0	0	-	26.1
<b>Sub Total Fiscal Year 2012-13</b>								<b>87.2</b>	<b>2.7</b>	<b>90.7</b>	<b>2.8</b>	<b>300</b>	<b>522</b>

\*\*New PAA to be implemented in 2012-13

<sup>3</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

<sup>4</sup> This tri-agency program was created in 2008. The annual budget is \$12 million. SSHRC has not awarded chairs from social sciences and humanities domain.

<sup>5</sup> The total grants and scholarships comprise expenditures over two years. The program was created in 2008.

<sup>6</sup> This tri-agency program was created in 2007. The allocated budget was raised up to \$15 million per year since 2009-10. SSHRC has not participated in the funding of this program.

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

Link to PAA	Title of Proposed Evaluation	Risk Level High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes /No)  Lead (if yes)	Planned (start date)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>7</sup>		Total Direct Program Spending (including Grants and Scholarships) (over five years)		Estimated SSHRC Cost of Evaluation	
									total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
<b>2013-2014**</b>														
1.1.2	Canada Graduate Scholarships Program (CGS)	Moderate	Summative Evaluation (Possibly cluster evaluation)	No	Implemented	CIHR	Apr. 2012	Dec. 2013	345.4	10.7	359.2	11.1	75	261.0
1.3.3	Networks of Centres of Excellence (NCE)	Low	Cluster Summative Evaluation	No	Implemented	NSERC	Oct. 2012	Mar. 2014	61.6	1.9	64	2	-	130.5
1.3.3	Business-led NCE <sup>8</sup>	Low	Cluster Summative Evaluation	No	Implemented	NSERC			2.9	0.1	3.1	0.1	-	130.5
<b>Sub Total Fiscal Year 2013-14</b>									<b>409.9</b>	<b>12.7</b>	<b>426.3</b>	<b>13.2</b>	<b>75</b>	<b>522</b>

\*\* New PAA to be implemented in 2012-13

<sup>7</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

<sup>8</sup> The total grants and scholarships comprise expenditures over three years. The program was implemented in 2007.

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

Link to PAA	Title of Proposed Evaluation	Risk Level High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes/No)	Planned (start date)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>9</sup>		Total Direct Program Spending (including Grants and Scholarships) (over five years)		Estimated SSHRC Cost of Evaluation	
									total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
1.1.6	Doctoral Fellowships	Low	Summative Evaluation	No	Under development	No	Oct. 2013	Dec. 2014	130.5	4.0	135.7	4.2	100	156.6
1.2.2	Institutional Research Capacity Grants	Low	Summative Evaluation	No	N/A	No	Apr. 2014	Mar. 2015	29.2	0.9	30.4	0.9	125	156.6
2.1	Indirect Costs Program (ICP)	Moderate	Summative Evaluation	No	Implemented	SSHRC	Jan. 2014	Mar. 2015	1,593.3	49.3	1,657	51	150	208.8
<b>2014-2015**</b>									<b>1,753</b>	<b>54.2</b>	<b>1,823</b>	<b>56.1</b>	<b>375</b>	<b>522</b>
<b>Sub Total Fiscal Year 2014-15</b>									<b>1,753</b>	<b>54.2</b>	<b>1,823</b>	<b>56.1</b>	<b>375</b>	<b>522</b>

\*\* New PAA to be implemented in 2012-13

<sup>9</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

Link to PAA	Title of Proposed Evaluation	Risk Level High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes /No)  Lead (if yes)	Planned (start date)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>10</sup>		Total Direct Program Spending (including Grants and Scholarships) (over five years)		Estimated SSHRC Cost of Evaluation	
									total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
1.1.1	Canada Research Chairs Program (CRC)	Moderate	Summative Evaluation	No	Implemented	Yes SSHRC	Jan. 2015	Mar. 2016	273.2	8.4	284.1	8.7	150	261
1.2.1	Individual, Team, and Partnership Grants	High	Summative Evaluation	Yes	N/A	No	Oct. 2014	Dec. 2015	597.8	18.5	621.7	19.2	250	261
<b>2015-2016**</b>									871	26.9	905.8	27.9	400	522
Sub Total Fiscal Year 2015-16									3,215.0	99	3,344	103	1,371	2,335.4
Grand Total Fiscal Years 2011-12 to 2015-16												***		

\*\* New PAA to be implemented in 2012-13

\*\*\* Total coverage is superior to 100 per cent due to important changes in the PAA between the beginning and the end of the five-year period; some double counting occurs besides the operation of adding 4 per cent to the total amounts of grants and scholarships for each program activity.

<sup>10</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

Link to PAA	Title of Proposed Evaluation	Risk Level High/ Moderate/ Low	Description of the Evaluation Approach and Design	Potential POR (yes or no)	PMS Status	Tri-agency/ Horizontal Evaluation (Yes /No)  Lead (if yes)	Planned (start date)	Planned Approval Date	Total Grants and Scholarships (over five years) <sup>11</sup>		Total Direct Program Spending (including Grants and Scholarships) (over five years)		Estimated SSHRC Cost of Evaluation	
									total G&S \$'000	total G&S %	total DPS \$'000	total DPS %	External costs \$'000	Internal costs \$'000
<b>2016-2017** and beyond (supplement to the 5-year plan)</b>														
1.3.1	Individual, team, and partnership KM grants	Moderate	Summative Evaluation	No	N/A	No	Jan. 2016	Mar. 2017	79.1	2.4	82.3	2.5	125	N/A <sup>12</sup>
1.3.2	Activities in Support of Research -based Knowledge Culture	Low	Summative Evaluation	No	N/A	No	July 2016	Sept. 2017	1.7	0.1	1.8	0.1	75	N/A
1.1	Banting	N/A	N/A	N/A	Implemented	CIHR	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

\*\* New PAA to be implemented in 2012-13

<sup>11</sup> The total amounts of grants and scholarships, and direct program spending are estimated based on program expenditures over the past five years.

<sup>12</sup> N/A: Not Available



## Appendix C—SSHRC Five-Year Evaluation Planning

Grey cells relate to the planning of evaluations (light grey) and the conduct of the study (dark grey) at the end of which an evaluation report is issued (presented as X).

### Current PAA 2011-12

Current Program Activity	Link to PAA 2011-12	Lead Agency (if tri-agency)	2011-12			
			1	2	3	4
<b>1.0 People</b>						
Vanier Canada Graduate Scholarships (CIHR led)	1.1.2	CIHR				
Postdoctoral Fellowships	1.1.4				X	
Prizes and Special Fellowships	1.1.5				X	
Evaluability Assessment of Knowledge Mobilization-Summative Cluster	3.1 3.2					X
<b>3.0 Knowledge Mobilization</b>						
Business-led NCE, Review of Relevance and Effectiveness (NSERC led review)	3.2.2	NSERC				X
Centres of Excellence for Commercialization and Research (NSERC led)	3.2.2	NSERC				X

## New PAA in 2012-13

New Program Activity	Link to PAA	2012-13				2013-14				2014-15				2015-16			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
		2012-13															
<b>1.1 Talent</b>																	
Vanier Canada Graduate Scholarships (CIHR led)	1.1.3			X													
Canada Graduate Scholarships (CIHR led)	1.1.2							X									
Canada Research Chairs (SSHRC led)	1.1.1																X
Canada Excellence Research Chairs (SSHRC led)	1.1.1				X												
Doctoral Fellowships	1.1.6											X					
<b>1.2 Insight</b>																	
Individual, Team and Partnership Research Grants	1.2.1																X
Institutional Research Capacity Grants	1.2.2											X					
<b>1.3 Connection</b>																	
Summative Evaluation of Knowledge Mobilization funding opportunities	1.3.1				X												
Activities in Support of a Research-based Knowledge Culture	1.3.2																
Networks of Centers of Excellence (NSERC led)	1.3.3								X								
Business-led NCEs (NSERC led summative)	1.3.3								X								
College and Community Innovation Program (NSERC led)	1.3.3				X												
<b>2.1 Indirect Costs of Research</b>																	
Indirect Costs Program (SSHRC led)	2.1												X				

## Appendix D—Evaluation Summary Sheets

Evaluation Summary Sheet:							
Knowledge Mobilization—Summative Cluster Evaluation							
<b>Risk Level of Program</b>	Medium	<b>PAA Link</b>	3.1 3.2.1 3.2.3	<b>Start Date</b>	April 2011	<b>Approval Date</b>	March 2012
Program Background							
<p><b>Context of the Program</b></p> <p>This evaluation initiative will focus on a set of funding opportunities that contribute to achieving SSHRC’s strategic outcome of “Knowledge Mobilization—Facilitating the Use of Social Sciences and Humanities Knowledge Within and Beyond Academia”. These funding opportunities are grouped in various sub-activities including research publishing, knowledge translation, research events, and strategic knowledge clusters. These sub-activities are situated within two broader program activities—research dissemination and knowledge translation, and research networking.</p> <p>In 2009-10, SSHRC awarded 211 grants through the Knowledge Mobilization strategic outcome. Funding through this strategic outcome represented \$35.9 million, which constituted overall five per cent of SSHRC grants expenditures in 2009-10<sup>13</sup>.</p> <p><b>Objectives of the Program</b></p> <p>The importance of this strategic outcome is emphasized in SSHRC’s 2009-10 DPR by attesting that “Moving new knowledge from academia into areas where it can be applied more directly to the benefit of Canadians has been a dominant theme in SSHRC’s strategic planning for several years. SSHRC understands this challenge in the broadest sense: that it is not merely about transferring knowledge after it has been produced, but also about allowing opportunities for practitioners and other research users to participate and influence the knowledge-production process from the beginning. Knowledge mobilization is a key strategy for realizing Canada’s Entrepreneurial Advantage.”</p>							

<sup>13</sup> Social Sciences and Humanities Research Council of Canada—Performance Report For the Period Ending March 2010.

## Goals of the Evaluation/Period Covered/Key Evaluation Questions

### Context of the Evaluation

Since 2008, Knowledge Mobilization was identified for evaluation in 2011-12. Evaluation timing was an important consideration, given the maturity of the various activities, as well as an anticipated program activity renewal.

Following consultation with the director of the Knowledge Mobilization and Program Integration division, it was concluded that a high level evaluation at the strategic outcome level would be an alternative way of fulfilling our statutory requirements and supporting the information and decision-making needs of senior management.

While various program activity elements are at different stages of implementation, an overall assessment of relevance, effectiveness and efficiency has not been undertaken. Only a few activity elements have ever been evaluated, and these studies are now dated (2004). As such, this evaluation is proposed and aims at fulfilling the gap in information necessary to support decision-making.

This evaluation project comprises two phases: an evaluability assessment/pre-evaluation study and a cluster summative evaluation. While it appears to be crucial to evaluate this part of SSHRC'S PAA, the agreement about the best approach for evaluating such a program portfolio at a high level should be clarified before the implementation of the cluster evaluation.

The proposed evaluation will cover a period starting from 2000 to 2010, since targeting this time span should allow for a significant coverage of and digging into funded knowledge mobilization activities.

The section below sets forth the constituents of the Knowledge Mobilization Cluster Summative Evaluation.

### A. Evaluability assessment / Pre-evaluation Study

The purpose is to carry out a descriptive assessment of the current state of knowledge mobilization funding opportunities from a high-level perspective. Specifically, the study will include the following:

1. exploration of a shared vision of common understanding of the program objectives by different program stakeholders;
2. understanding of the program theory and potential outcomes;
3. resources and statistics;
4. potential issues to be addressed in the cluster evaluation;
5. assessment of the quality of:
  - administrative data; and
  - performance data;
6. assessment of the feasibility of:
  - primary data collection (e.g., interviews, a survey)
  - data collection for network analysis;

<p>7. description and discussion of the methodologies for the cluster evaluation; and</p> <p>8. timeframe and budget.</p> <p><b>B. Knowledge Mobilization Cluster Evaluation</b></p> <ul style="list-style-type: none"> <li>- This part of the study will be developed following the pre-evaluation study.</li> </ul> <p><b>C. Evaluation Question for the cluster knowledge mobilization evaluation</b></p> <ul style="list-style-type: none"> <li>- This part will be developed upon the termination of the pre-evaluation study.</li> </ul>	
<b>Evaluation Approach</b>	This evaluation will be based on an objectives-oriented approach. The program theory constitutes the epistemological driver upon which the evaluation reasoning will rely.
<b>Evaluation Design</b>	<p>Pending the conclusion of the pre-evaluation study, it is anticipated to assess the flow and exchange of knowledge between scholars and the community of practice, a key component in the universe of knowledge mobilization.</p> <p>The network analysis method will be considered in the design given that one important funding opportunity has supported networking activities.</p>
<b>Overview of Data Collection in Support of Evaluation</b>	
<b>Ongoing Data Collection (including Methods)</b>	<b>Evaluation-Specific Data Collection (including Methods)</b>
<p>Secondary data collection methods comprise:</p> <ul style="list-style-type: none"> <li>- program documents review</li> <li>- program performance data review</li> <li>- administrative database (e.g., AMIS) review</li> <li>- statistics review</li> </ul>	<p>Primary data collection methods include:</p> <ul style="list-style-type: none"> <li>- interviews</li> <li>- a survey</li> <li>- a questionnaire for network analysis</li> </ul> <p><b>Other sources of data:</b></p> <ul style="list-style-type: none"> <li>- review of previous studies</li> </ul>
<b>Budget<sup>14</sup></b>	<b>Staff Time Required (days)</b>
<b>Internal Budget (excluding staff)</b>	<b>Evaluation Unit</b>
N/A	120 days (including pre-evaluation phase: 88

<sup>14</sup> These are preliminary highlights on the budget, which will be refined following the pre-evaluation study.

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		days)	
<b>External Budget (e.g., consultants)</b>		<b>Consultants: 96 days</b>	
Design report (including work plan; instruments)	\$25,000		
Data collection/analysis	\$30,000		
Reporting	\$10,000		
Translation	\$3,000		
Travel	\$7,000		
Total budget	\$75,000	Program: 15 days	
		Total: 231 days	
<b>Key Contact Persons</b>			
<b>Evaluation Unit</b>	Hélène Gauthier Manager, Performance and Evaluation SSHRC-CRSH 613-992-5911	<b>Program</b>	Craig McNaughton Director Knowledge Mobilization and Program Integration 613-995-6898

Evaluation Summary Sheet:							
Postdoctoral Fellowships Grants Program							
Risk Level of Program	Medium	PAA Link	PA 1.1	Start Date	Apr. 2010	Approval Date	Dec. 2011
Program Background							
Context of the Program							
<p>SSHRC implemented the Postdoctoral Fellowships program in 1980-81 in order to provide stipendiary support to recently graduated scholars who did not hold a permanent university appointment and who wished to undertake a specified program of research. When the SSHRC Postdoctoral Fellowships program was first being considered in 1979, its stated objectives were to support “the intensifying and broadening of the research skills in the humanities and social sciences of recent doctoral graduates” and “the retention of highly qualified people who otherwise might be lost to research in the social sciences and humanities”.<sup>15</sup> Thus, the rationale for the SSHRC Postdoctoral Fellowships program has emphasized the need for support to new and particularly outstanding PhD graduates to assist in the provision of highly trained researchers in the social sciences and humanities to meet Canada’s current and future research needs.</p> <p>In the first SSHRC Postdoctoral Fellowships competition, the program budget was \$800,000, representing two per cent of SSHRC’s total program expenditures. A total of 197 eligible applications were received of which 60 were funded with a success rate of 29 per cent. (Note: The value of the award was \$15,000 plus a travel and research allowance of \$3,300). In 2009-10, SSHRC’s investment in supporting research training through the Postdoctoral Fellowships program surpassed \$10 million representing three per cent of the total SSHRC expenditures or six per cent of total expenditures for “People”).<sup>16</sup></p>							
Objectives of the Program							
<p>The broad purpose of the SSHRC Postdoctoral Fellowships program is to support the most promising new Canadian scholars in the social sciences and humanities and to assist them in establishing a research base at an important time in their research careers.</p>							

<sup>15</sup> SSHRC Postdoctoral Fellowships Evaluation Study, page 9 in reference to SSHRC, Minutes of the Meeting of the Research Support Committee, November 1979, Section 8A (f).

<sup>16</sup> Excluding Indirect Costs program expenditures

The specific objectives of the program are to provide stipendiary support to recent PhD graduates who are:

- undertaking original research;
- publishing research findings;
- developing and expanding personal research networks;
- broadening their teaching experience; and
- preparing to become competitive in national research grants competitions.

### Goals of the Evaluation/Period Covered/Key Evaluation Questions

#### Context of the Evaluation

The SSHRC Postdoctoral Fellowships program has been subject to a number of studies and one evaluation dating back to 1994. At the time of the evaluation, SSHRC expressed the need to assess the impact that the Postdoctoral Fellowships program was having in times of “significantly reduced employment opportunities” at Canadian universities.

In 2009, it was estimated that there were 6,000 postdoctoral scholars in Canadian universities and, of these, 39 per cent were international researchers.<sup>17</sup> Based on a recent survey of Canadian postdoctoral fellows, the majority of respondents were conducting research in the areas of life sciences, where a postdoctoral fellowship has become an essential requirement for a faculty position. As well, the number of postdoctoral fellowships in the social sciences and humanities has been increasing steadily, and is expected to continue to grow in the coming years due to increased competition for academic positions in these fields.<sup>18</sup>

The current evaluation study will take into consideration the changing context, and build on these previous studies. It will provide a unique opportunity to address the program’s longer term outcomes and impacts, based on data from 1994-2010.

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<sup>17</sup> Canadian Association for Graduate Studies, Notes for Presentation to the Senate Standing Committee on Social Affairs, Science and Technology, May 2010.

<sup>18</sup> Canadian Association of Postdoctoral Scholars, A postdoctoral crisis in Canada: From the “Ivory Tower” to the Academic “Parking Lot”, 2009, page 5.



## **Evaluation Issues and Question**

### **1. Relevance**

#### **Issue 1: Need for the Programs**

Q1: Is there a continued need for the SSHRC Postdoctoral Fellowships program? To what extent has the context in which the SSHRC Postdoctoral Fellowships program is delivered changed since 1994? Do the objectives of the program continue to be relevant given the changes in the program's context?

Q2: Do the objectives, approach and reach of the SSHRC Postdoctoral Fellowships program respond to the current and future needs of social sciences and humanities graduate students, postdoctoral researchers, in light of the institutional context?

Q3: Are there any other (provincial, national, international) programs with similar or complementary rationale, objectives or activities?

#### **Issue 2: Alignment with SSHRC and Federal Government Priorities**

Q4: Are the mandate and objectives of the SSHRC Postdoctoral Fellowships program consistent with the priorities and strategic objectives of SSHRC and the federal government?

### **2. Design and Delivery**

#### **Issue 4: Design and delivery model**

Q5: To what extent is the SSHRC Postdoctoral Fellowships program effectively delivered, as planned? What are the impacts of program design elements on the program's effectiveness? To what extent are SSHRC stakeholders (applicants, selection committee members, universities) satisfied with the delivery of the SSHRC Postdoctoral Fellowships program?

Q6: To what extent are the Progress and Final Reports effective tools for capturing performance information on results and outcomes of postdoctoral fellowships? To what extent is this information being used to inform program decision-making to promote and support other organizational needs?

Q7: Is the SSHRC Postdoctoral Fellowships program delivered in an efficient manner? Is further support required in order to deliver the program more efficiently?

Q8: Does the SSHRC Postdoctoral Fellowships program fit in the evolving suite of SSHRC programs (i.e., fit within the Talent umbrella program and linkages with SSHRC's program architecture renewal initiative)?

### **3. Performance (Effectiveness, Efficiency and Economy)**

#### **Issue 5: Achievement of Expected Outcomes**

Q9: Did the SSHRC Postdoctoral Fellowships program attract the most promising postdoctoral researchers in the social sciences and humanities?

Q10: To what extent did the SSHRC Postdoctoral Fellowships program contribute to the development and expansion of postdoctoral fellows' research and professional skills (e.g., teaching, communications, project management, knowledge mobilization, etc.) in order to pursue various research-intensive careers?

Q11: Did the SSHRC Postdoctoral Fellowships program contribute in providing opportunities to gain international experiences and, if so, how and what types of international experiences?

Q12: To what extent did the SSHRC Postdoctoral Fellowships program contribute to research outputs demonstrating knowledge advancement in all disciplines and areas of the social sciences and humanities? To what extent were SSHRC Postdoctoral Fellowships-supported research results effectively disseminated throughout the academic community and beyond?

Q13: What has been the SSHRC Postdoctoral Fellowships program's contribution in the development of highly qualified research-trained personnel to pursue various research-intensive careers in Canada and internationally (e.g., academia, government, private and not-for-profit sectors)?

Q14: Did the SSHRC Postdoctoral Fellowships program support new and original research ideas as intended in its objectives? What has been the SSHRC Postdoctoral Fellowships program's contribution to producing and disseminating new knowledge?

Q15: To what extent did the SSHRC Postdoctoral Fellowships program support research results, directly and indirectly, that inform social, cultural and economic change?

Q16: Have there been any unintended (positive or negative) outcomes of the SSHRC Postdoctoral Fellowships program?

<b>Evaluation Approach</b>	This impact evaluation will be based on the program theory to assess some specific components of the program, including its relevance and continued need, process (design and delivery), and in particular, its achievement of longer term outcomes and impacts based on data from 1994-2010. The objectives of the program will be measured by the extent to which the program attained its expected outcomes.
<b>Evaluation Design</b>	The design will be based on a quasi-experimental model.
<b>Overview of Data Collection in Support of Evaluation</b>	
Ongoing Data Collection (including Methods)	Evaluation-Specific Data Collection (including Methods)
<ul style="list-style-type: none"> <li>- literature search</li> <li>- document review</li> <li>- program data</li> <li>- statistics</li> </ul>	<ul style="list-style-type: none"> <li>- surveys of stakeholders</li> <li>- case studies</li> <li>- focus groups</li> <li>- interviews (semi-structured)</li> <li>- job postings database</li> </ul>

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

		– expert opinion	
<b>Budget</b>		<b>Staff Time Required (days)</b>	
<b>Internal Budget (excluding staff)</b>		<b>Evaluation Unit</b>	
Translation	\$3,000	Data collection = 33 days Quality assurance = 12 days Communications/coordination = 10 days	
Other	\$1,000		
<b>External Budget (e.g., consultants)</b>		<b>Consultants</b>	
Design report (including work plan, instruments)	\$18,500	15.75 days	
Data collection	\$72,000	97.0 days	
Analysis and reporting	\$28,000	23.5 days	
Translation	\$2,500		
Travel	\$4,000		
Total budget	\$129,000	<b>Program</b> Data collection (including expert panel) = 5 days Quality assurance = 4 days Communications = 5 days	
		Total: 205.25 days	
<b>Key Contact Persons</b>			
<b>Evaluation Unit</b>	Hélène Gauthier Manager, Performance and Evaluation SSHRC-CRSH 613-992-5911	<b>Program</b>	Gordana Krcevinac Director Research Training Portfolio SSHRC-CRSH 613-992-4316

Evaluation Summary Sheet:							
Prizes and Special Research Fellowships Programs							
<b>Risk Level of Program</b>	Medium	<b>PAA Link</b>	PA 1.1	<b>Start Date</b>	April 2010	<b>Approval Date</b>	Dec. 2011
<b>Program Background</b>							
<b>Context of the Program</b>							
<p>In celebration of SSHRC's 25th anniversary in 2002, SSHRC created three prizes to be awarded annually to celebrate outstanding researchers in the social sciences and humanities and their contributions to Canadian society.</p> <p>Falling under the program activity "Fellowships, scholarships and prizes", the awards are divided into two broad categories: prizes and special research fellowships. Within these two categories, the awards are delivered either by SSHRC or in partnership with another agency (e.g., Canada Council for the Arts, Sport Canada, International Space Agency, Japan Society for the Promotion of Science, etc.).</p> <p>A list of the prizes and special research fellowships is presented below; the main distinction being that the former is granted via nominations, whereas the latter are awarded as a fellowship or supplement.</p> <p><b>1. Prizes</b></p> <ul style="list-style-type: none"> <li>- SSHRC Gold Medal for Achievement in Research</li> <li>- SSHRC Aurora Prize</li> <li>- SSHRC Postdoctoral Prize</li> <li>- SSHRC William E. Taylor Fellowship</li> <li>- Molson Prize</li> </ul> <p>These prizes provide SSHRC with an opportunity to raise its profile among the public, private and community sectors, and the public at large. The target population of these prizes is postdoctoral researchers, new researchers and established researchers, with the goal of recognizing the value of research in the social sciences and humanities and rewarding excellence at the various stages of a researcher's career.<sup>19</sup></p>							

<sup>19</sup> SSHRC (2002). Council Minutes. Internal Document: 2002-06-e, page 9.

## 2. Special Research Fellowships

The purpose of these special research fellowships, awarded as fellowships or supplements, is to address specific research needs or provide recipients with special research experiences.

- Bora Laskin National Fellowship in Human Rights Research
- Jules and Gabrielle Léger Fellowship
- Thérèse F. Casgrain Fellowship
- Aileen D. Ross Fellowship
- Postdoctoral Fellowship Supplement of the Sport Participation Research Initiative
- Alice Wilson Award for Postdoctoral Researchers
- Queen’s Fellowship
- Summer Program of the Japan Society for the Promotion of Science
- Parliamentary Internship Program
- International Space University Fellowship
- John G. Diefenbaker Award

### Objectives of the Program

Given that the SSHRC is the federal agency that promotes and supports university-based research and training in the humanities and social sciences, it is believed that the prizes and special research fellowships contribute to the promotion component by promoting the individual careers of academics, by promoting research in specific areas and by promoting SSHRC’s visibility.

### Goals of the Evaluation/Period Covered/Key Evaluation Questions

#### Context of the Evaluation

The proposed evaluation will, in following TBS guidelines for evaluation, contribute to SSHRC’s management goal to determine if this suite of activities is performing efficiently and effectively, and at the same time, determine if they fit and remain relevant within current SSHRC priorities.

The timing of the evaluation corresponds well with a recent moratorium endorsed in August 2010 by SSHRC’s Senior Management Committee on SSHRC’s contribution to a number of prizes and special research fellowships, many of which are delivered in partnership with other agencies (see Tables 1 and 2). Management is concerned that the suite of prizes and special research fellowships are not aligned with SSHRC’s present strategic or thematic priorities.

## **Evaluation Issues and Question**

### **1. Relevance**

#### **Issue 1: Need for the Programs**

Q1: Is there a continued need for the Prizes and Special Research Fellowships programs? To what extent has the context in which the Prizes and Special Research Fellowships programs are delivered changed since their inception? Do these activities and programs continue to be relevant given contextual changes?

Q2: Do the objectives, approach and reach of the Prizes and Special Research Fellowships programs respond to the current and future needs of graduate students, postdoctoral fellows and researchers in light of the broader social sciences and humanities research context? Are current partnerships for the Prizes and Special Research Fellowships programs the best fit for SSHRC in light of the current context?

Q3: Are there any other (provincial, national, international) programs with similar or complementary rationale, objectives or activities?

#### **Issue 2: Alignment with SSHRC and Federal Government Priorities**

Q4: Are the mandate and objectives of the Prizes and Special Research Fellowships programs consistent with the priorities and strategic outcomes of SSHRC and the federal government?

### **2. Design and Delivery**

#### **Issue 4: Design and delivery model**

Q5: To what extent have the Prizes and Special Research Fellowships programs been effectively delivered as planned? What are the impacts of the program design elements on the programs' activities and effectiveness? To what extent are SSHRC stakeholders (applicants, selection committee members, and partners) satisfied with the delivery of the Prizes and Special Research Fellowships programs?

Q6: To what extent are there effective tools in place for capturing performance information on results and outcomes for the Prizes and Special Research Fellowships programs? To what extent is this information being used to inform decision-making?

Q7: Are roles and responsibilities clearly defined and followed for all stakeholders of the Prizes and Special Research Fellowships programs? Do recipients know of, and adhere to, the application process and reporting requirements?

Q8: Do the Prizes and Special Research Fellowships programs fit the evolving suite of SSHRC programs (i.e., fit within the Talent umbrella program and linkages with SSHRC's program architecture renewal initiative)?

Q9: Are the Prizes and Special Research Fellowships programs being delivered efficiently? Could the expected outcomes for the Prizes and Special Research Fellowships programs be achieved at a lower

cost?

**3. Performance (Effectiveness, Efficiency and Economy)**

**Issue 5: Achievement of Expected Outcomes**

Q10: Do a clear set of outcomes for the Prizes and Special Research Fellowships programs exist? What impact has the Prizes and Special Research Fellowships programs made in the social sciences and humanities field?

Q10.1: What benefits is SSHRC gaining by delivering the Prizes and Special Research Fellowships programs?

Q10.2: Have there been any impacts or changes in the specific areas of social sciences and humanities research as a result of being awarded prizes / special research fellowships?

Q10.3: Have the Prizes and Special Research Fellowships programs contributed to increased career development/opportunities/recognition by recipients?

Q10.4: What is the impact of the Prizes and Special Research Fellowships programs on the visibility and/or profile of recipients, SSHRC and partner organizations?

Q10.5: Have there been any unintended (positive or negative) outcomes of the Prizes and Special Research Fellowships programs?

<b>Evaluation Approach</b>	This evaluation will be based on the program objectives to assess some specific components, including the relevance and alignment, the process (design and delivery), and the expected outcomes for the suite of Prizes and Special Research Fellowships programs. The objectives will be measured upon the extent to which this suite of activities fulfilled its expected outcomes.
<b>Evaluation Design</b>	The design will be based on a goal-based non-experimental model.
<b>Overview of Data Collection in Support of Evaluation</b>	
<b>Ongoing Data Collection (including Methods)</b>	<b>Evaluation-Specific Data Collection (including Methods)</b>
<ul style="list-style-type: none"> <li>- program administrative data</li> <li>- statistics</li> </ul>	<ul style="list-style-type: none"> <li>- key informant interviews</li> <li>- web survey of stakeholders</li> <li>- literature search (environmental scan)</li> <li>- document review (including media coverage analysis)</li> <li>- program data analysis</li> </ul>
<b>Budget</b>	<b>Staff Time Required (days)</b>

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

<b>Internal Budget (excluding staff)</b>		<b>Evaluation Unit</b>	
Design report (including work plan; instruments):	N/A	In-house—CPE staff: Data collection: 20 days Quality assurance: 15 days Communications/coordination: 10 days	
Translation	\$4,500		
<b>External Budget (e.g., consultants)</b>		<b>Consultants</b>	
Data collection	\$52,895	48.5 days	
Analysis and reporting	\$25,200	21.0 days	
Project management	\$4,800	4.0 days	
Total budget	\$87,395	<b>Program</b>	
		7 days	
		Total: 125.5 days	
<b>Key Contact Persons</b>			
<b>Evaluation Unit</b>	Hélène Gauthier Manager, Performance and Evaluation SSHRC-CRSH 613-992-5911	<b>Program</b>	Gordana Krcevinac Director Research Training Portfolio SSHRC-CRSH 613-992-4316



## Appendix E—Risk Assessment and Framework for Prioritization and Calibration of Evaluations Needs and Risk Ranking of Evaluations

Current PAA 2011-12

Title of Proposed Evaluation	Link to PAA 2011-12	Requirement For Evaluation	Deadline for Evaluation as per Requirement	Previous Evaluation Findings (10%)	Materiality of Program (20%)	Complexity of Program (15%)	Evaluation readiness (15%)	Options available to prevent risk (5%)	Findings from Risk Assessment (5%)	Political Sensitivity (15%)	Size of Target Population (10%)	Audit priority (5%)	Average Risk Ranking
<b>1.0 People</b>													
Postdoctoral Fellowships Program	1.1.4	FAA required	October 2011	0.1	0.4	0.15	0.15	0.1	0.1	0.15	0.1	0.1	0.15 L
Prizes and Special Fellowships	1.1.5	FAA required	October 2011	0.3	0.2	0.3	0.3	0.1	0.1	0.3	0.1	0.05	0.19 L
<b>3.0 Knowledge Mobilization</b>													
Knowledge Mobilization—Summative Cluster Evaluation	3.0	FAA required	March 2012	0.3	0.4	0.45	0.3	0.1	0.1	0.15	0.1	0.1	0.22 M

SSHRC Departmental Evaluation Plan 2011-12 to 2015-16

Business-led NCE, Review of Relevance and Effectiveness (NSERC led)	3.2.2	TB Sub required	September 2011	0.3	0.2**	0.3	0.15	0.05	0.05	0.15	0.05	0.1	0.1	0.16	L
Centres of Excellence for Commercialization and Research Program (NSERC led)	3.2.2	TB Sub required	December 2011	0.1	0.4**	0.3	0.15	0.05	0.05	0.15	0.05	0.1	0.1	0.16	L
Scoring															
L=Low M= Medium H=High															

FAA = Financial Administration Act

TB = Treasury Board

**New PAA 2012-13 to 2015-16**

Title of Proposed Evaluation	Link to PAA 2011-12	Requirement For Evaluation	Deadline for Evaluation as per Requirement	Previous Evaluation Findings (10%)	Materiality of Program (20%)	Complexity of Program (15%)	Evaluation readiness (15%)	Options available to prevent risk (5%)	Findings from Risk Assessment (5%)	Political Sensitivity (15%)	Size of Target Population (10%)	Audit priority (5%)	Average Risk Ranking *10
<b>1.1 Talent</b>													
Canada Research Chairs (SSHRC led)	1.1.1	Policy on Evaluation	N/A	0.2	0.6**	0.3	0.15	0.1	0.1	0.3	0.1	0.15	0.22 M
Canada Excellence Research Chairs (SSHRC led)	1.1.1	TB Sub required	July 2013	0.3	0.2**	0.15	0.15	0.1	0.1	0.3	0.1	0.1	0.17 L
Canada Graduate Scholarships (CIHR led)	1.1.2	Policy on Evaluation	N/A	0.2	0.6**	0.3	0.15	0.1	0.1	0.3	0.2	0.15	0.23 M
Vanier Canada Graduate Scholarships (CIHR led)	1.1.3	TB Sub required	July 2013	0.3	0.2**	0.3	0.3	0.1	0.1	0.3	0.1	0.15	0.21 M
Doctoral Fellowships	1.1.6	Policy on Evaluation	N/A	0.1	0.4	0.15	0.15	0.1	0.1	0.15	0.3	0.1	0.17



Title of Proposed Evaluation	Link to PAA	Requirement For Evaluation	Deadline for Evaluation as per Requirement	Previous Evaluation Findings (10%)	Materiality of Program (20%)	Complexity of Program (15%)	Evaluation readiness (15%)	Options available to prevent risk (5%)	Findings from Risk Assessment (5%)	Political Sensitivity (15%)	Size of Target Population (10%)	Audit priority (5%)	Final Risk Ranking
<b>1.3 Connection</b>													
Individual, Team and Partnership Knowledge Mobilization Grants	1.3.1	FAA required	N/A	0.3	0.4	0.45	0.45	0.1	0.1	0.15	0.1	0.1	0.24 M
Activities in Support of Research-based Knowledge Culture	1.3.2	FAA required	N/A	0.3	0.2	0.15	0.15	0.1	0.1	0.15	0.1	0.05	0.14 L
Networks of Centers of Excellence (NSERC led)	1.3.3	TB Sub required	September 2013	0.1	0.2**	0.3	0.15	0.1	0.1	0.3	0.1	0.05	0.16 L
Business-led NCEs (NSERC led)	1.3.3	TB Sub required	September 2013	0.1	0.2**	0.3	0.15	0.1	0.1	0.15	0.1	0.1	0.17 L
College and Community Innovation Program	1.3.3	TB Sub required	November 2012	0.2	0.2	0.3	0.15	0.1	0.05	0.15	0.1	0.05	0.14

2.1 Indirect Costs of Research													L		
Indirect Costs Program	2.1	Policy on Evaluation	Ongoing program status	0.2	0.6	0.15	0.15	0.1	0.1	0.1	0.45	0.1	0.15	0.22	M
Scoring													L=Low M= Medium H=High		

\* Never evaluated

\*\* SSHRC's expenditures for a tri-agency program

FAA = Financial Administration Act

TB = Treasury Board

## DEP-Calibration Issues

### Current PAA 2011-12

Title of Proposed Evaluation	Link to PAA 2011-12	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
<b>1.0 People</b>										
Postdoctoral Fellowships Program	1.1.4	FAA required	Low	No	1994	Program theory articulated	Relative stability	Over 30 years (created in 1980-1981)		Impact evaluation
Prizes and Special Fellowships	1.1.5	FAA required	Low	No	No previous evaluation	Program theory not clearly articulated	Relative stability	Includes funding opportunities with various longevities. Some of them were created in 1978.		Summative evaluation
<b>3.0 Knowledge Mobilization</b>										
Knowledge Mobilization—Summative Cluster Evaluation	3.0	FAA required	Moderate	No	There has been a sub-activity evaluation	Logic model reasonably articulated	Creation of innovative strategic outcome	Includes funding opportunities with various longevities.	This strategic outcome will be redefined	Impact evaluation at a strategic level

Title of Proposed Evaluation	Link to PAA 2011-12	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
Business-led NCE, Review of Relevance and Effectiveness (NSERC led)	3.2.2	TB Sub required	Low	Yes	in 2004. No previous evaluation	Program theory clearly articulated	Relative stability	Created in 2007	in 2011-12.	Requires a review of relevance including assessment of earlier outcomes
Centres of Excellence for Commercialization and Research Program (NSERC led)	3.2.2	TB Sub required	Low	Yes	Previous evaluation in 2009 demonstrated some issues related to implementation.	Program theory clearly articulated	Relative stability	Created in 2007		Requires a summative evaluation



Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
<b>1.1 Talent</b>										
Canada Research Chairs (SSHRC led)	1.1.1	TB Sub required	Moderate	Yes	Third-year review in 2003; fifth-year evaluation in 2005; tenth-year evaluation in 2010 marked by issue related to the delivery.	Program theory clearly articulated	Relative stability	Created in 2000		Impact evaluation
Canada Excellence Research Chairs (SSHRC led)	1.1.1	TB Sub required	Low	Yes	No previous evaluation	Program theory clearly articulated	Relative stability	Created in 2008		Requires a summative evaluation including formative assessment
Canada Graduate Scholarships (CIHR led)	1.1.2	FAA required	Moderate	Yes	Summative evaluation in 2008, marked by some issues related to the delivery and	Program theory reasonably articulated	Effective stability	Created in 2003		Requires a summative evaluation

Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
Vanier Canada Graduate Scholarships (CIHR Led)	1.1.3	TB Sub required	Moderate	No	monitoring of the program. No previous evaluation	Program theory reasonably clearly articulated	Relative stability	Created in 2008		Requires a summative evaluation
Doctoral Fellowships	1.1.6	FAA required	Low	Yes	Summative evaluation in 1991 and in 2009. The 2009 evaluation pointed out the need to develop a performance measurement strategy and to guarantee students' mobility.	Program theory modified following the 2009 evaluation	Relative stability	Created in 1957; transferred to SSHRC in 1978		Requires a summative evaluation

Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
<b>1.2 Insight</b>										
Individual, Team and Partnership Research Grants	1.2.1	FAA required	High	No	No previous evaluation	Program theory reasonably clear; innovative model not tested yet.	Recently implemented program	Created in 2010-11	Former programs evaluated in 2010-11	Requires a summative evaluation
Institutional Research Capacity Grants	1.2.2	FAA required	Low	No	1984, 1989, 1995, 2010 The 2010 evaluation was marked by a debate on eliminating one or the two ongoing programs.	Program theory reasonably clear	Recently implemented program Recent changes in the PAA	Over 30 years (SIG created in 1974 and ASU created in 1981)		Requires a summative evaluation

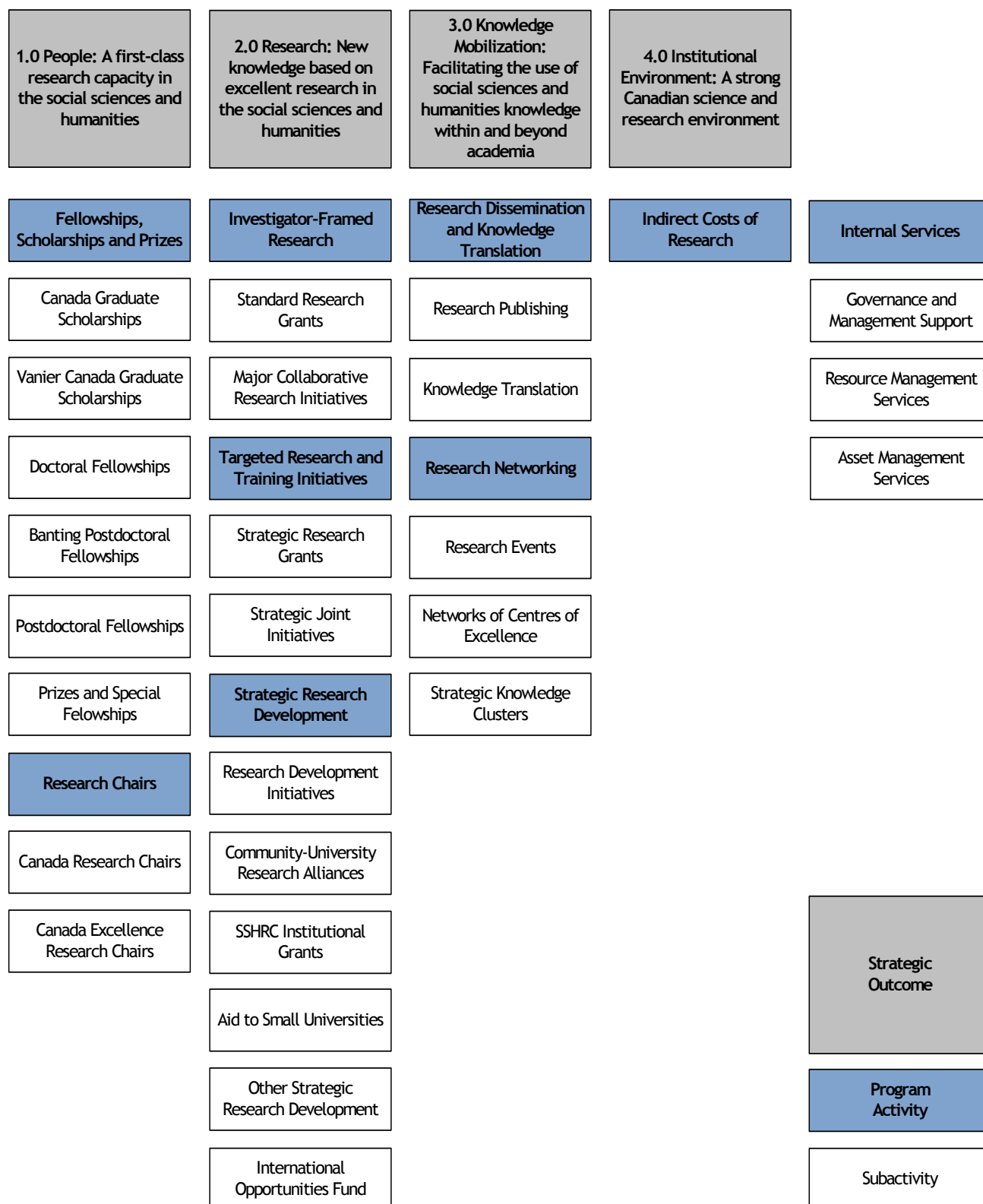
Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
<b>1.3 Connection</b>										
Individual, Team and Partnership Knowledge Mobilization Grants	1.3.1	FAA required	Moderate	No	No previous evaluation	Program theory reasonably clear; innovative model not tested yet.	Recently implemented program	Implanted in 2011-12		Requires a summative evaluation including formative assessment
Activities in Support of Research-based Knowledge Culture	1.3.2	FAA required	Low	No	No previous evaluation	Program theory reasonably clear; innovative model not tested yet.	Recently implemented program	Implanted in 2011-12		Requires a summative evaluation including formative assessment
Networks of Centres of	1.3.3	TB Sub required	Low	Yes	Formative evaluation in 1993.	Program theory clearly	Effective stability	Created in 1989		Requires a summative

Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
Excellence (NSERC led)					Summative evaluation in 1997, 2002, 2007. The 2007 evaluation highlighted some issues related to program design and delivery, as well as to performance measurement direction.	articulated				evaluation
Business-led NCEs (NSERC led)	1.3.3	TB Sub required	Low	Yes	Review of relevance and effectiveness in 2010-2011	Program theory clearly articulated	Relative stability	Created in 2007		Requires a summative evaluation
College and Community Innovation Program	1.3.3	TB Sub required	Low	Yes	Mi-term review in 2009 The review noted the achievement of some short-term benefits and outlined some facilitating factors.	Program theory clearly articulated	Relative stability	Created in 2007		Requires a summative evaluation

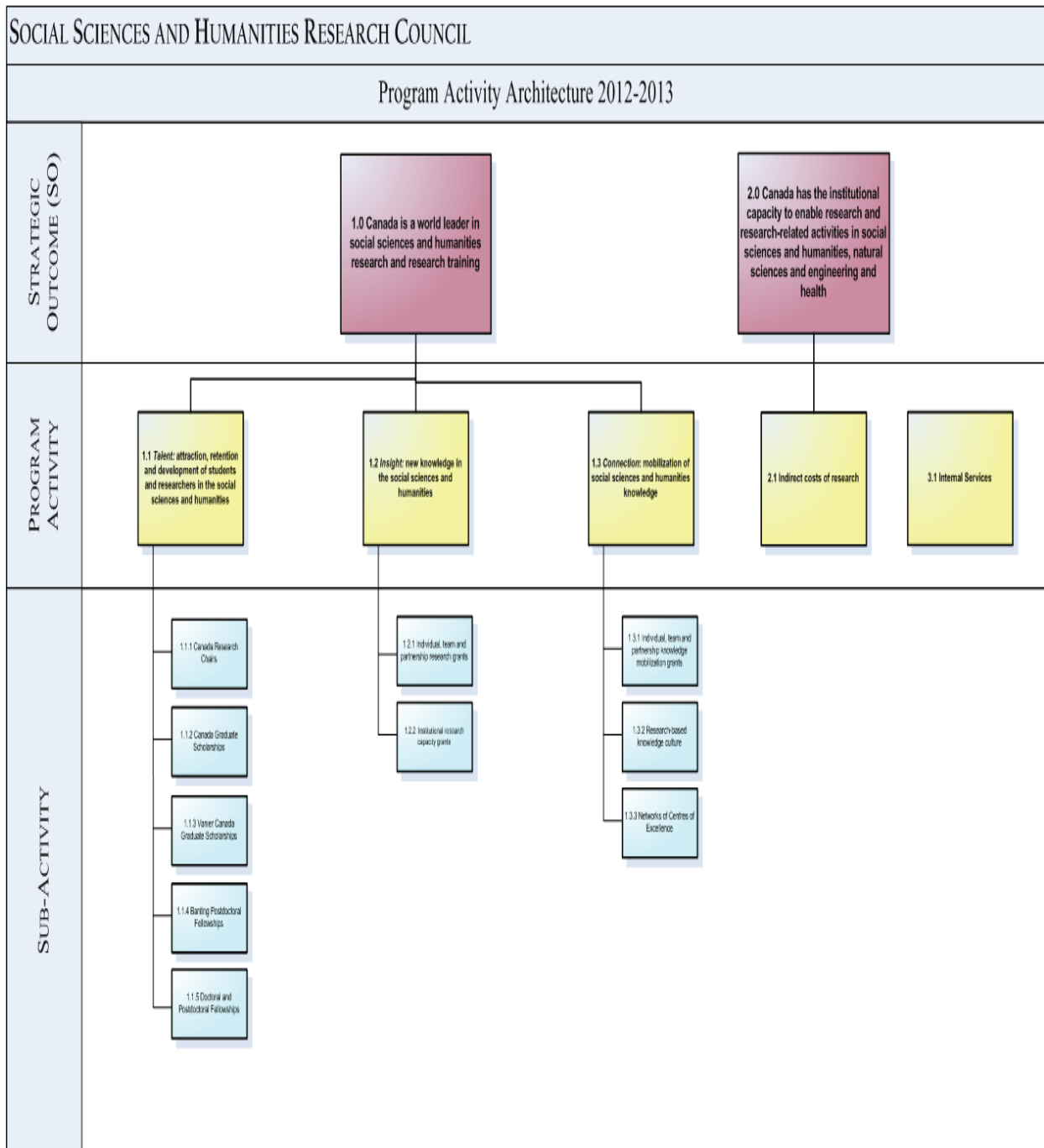
Title of Proposed Evaluation	Link to PAA	Information Needs of Users	Risk Ranking	Performance Measurement	Previous Evaluations	Soundness of Program Theory	Contextual Stability	Longevity of Program	Other Factors	Conclusion
<b>2.1 Indirect Costs of Research</b>										
Indirect Costs Program	2.1	FAA required	Moderate	Yes	Formative evaluation in 2006 and summative evaluation in 2009. The 2009 evaluation confirmed the need for this funding among postsecondary institutions, but did not show significant relationship between the funding and the outcomes of the program.	Program theory clearly articulated	Effective stability	Created in 2003		Requires a impact evaluation

FAA = Financial Administration Act  
 TB = Treasury Board

## Appendix F—Strategic Outcomes and Program Activity Architecture in 2011-12



## Appendix G—Strategic Outcomes and Program Activity Architecture in 2012-13





## **Appendix H—Terms of Reference for the Departmental Evaluation Committee**

### **Mandate**

SSHRC's Performance and Evaluation Committee (PEC) ensures the integration of evidence-based decision-making into SSHRC's management structure and practices through guidance and oversight of the organization's performance and evaluation functions.

### **Roles & Responsibilities**

SSHRC's president is responsible for ensuring an evaluation function that adheres to the 2009 Policy on Evaluation (TBS) and to its supporting directives and standards. He has the authority of guiding and overseeing the organization's evaluation function. He is also the primary client of evaluation products, and retains final approval of evaluation plans, products and subsequent actions. The head of evaluation retains the right to issue products directly to the president.

SSHRC's president is also responsible for ensuring a performance measurement function that supports evidence-based decision-making and ongoing program improvement, as well as the conduct of evaluation studies. As such, the Committee supports the organization's development and implementation of a strong performance measurement function in line with the requirements of the Management, Resources and Results Structure (MRRS) Policy (TBS) and the Policy on Transfer Payments (TBS).

In order to carry out its mandate SSHRC's PEC:

- 1) develops, on the advice of the head of evaluation, a rolling five-year evaluation plan, and recommends approval by the president;
- 2) reviews key elements of performance and evaluation product lifecycles (e.g., DPR, terms of reference for evaluations, etc.) and recommends approval by the president;
- 3) develops and ensures the implementation of SSHRC's overall strategy for measuring performance and impacts;
- 4) reviews management responses to evaluations and related action plans, recommends approval by the president, and ensures follow-up to the action plans;
- 5) reviews the adequacy and neutrality of resources allocated to the evaluation function and recommends to the president an adequate level of resources consistent with the five-year evaluation plan;
- 6) reviews the adequacy of resources allocated to performance measurement activities and recommends to the president an adequate level of resources for these activities; and
- 7) reviews the president's report to Council on SSHRC's performance and evaluation functions.

### **Membership**

The Committee is composed of the following senior SSHRC executives:

- president or senior level designate (chair);

- executive vice-president;
- vice-president, Common Administrative Services Directorate;
- vice-president, research capacity; and
- vice-president, research.

The Committee is supported in its role by the head of evaluation (director, Corporate Performance and Evaluation), who in turn is supported by expert advisors and project advisory committees.

SSHRC's director, Policy, Planning and International Affairs will observe PEC meetings to ensure coordination with corporate planning.

The Committee may, from time to time, invite Council members, resource persons or observers to the meetings.

### **Chair**

The Committee is chaired by the president or senior level designate.

### **Frequency of meetings**

The Committee will meet on a quarterly basis at minimum, in line with SSHRC's corporate planning and reporting cycle.

### **Reports to Programs and Quality Committee**

SSHRC's president reports to Programs and Quality Committee in his/her capacity as chair of PEC providing:

- five-year evaluation plans;
- summaries of SSHRC evaluations;
- summaries of SSHRC management responses to evaluation recommendations;
- summaries of special performance studies commissioned by SSHRC; and
- the minutes of PEC's meetings.

### **Reports to Council**

SSHRC's president reports to Council in his/her capacity as chair of PEC providing:

- an annual report for oversight of SSHRC's performance and evaluation functions; and
- evidence and information that evaluation and performance data are informing management in setting strategic direction, establishing priorities, and considered in the efficient, effective use of resources.

(Mandate endorsed by SSHRC Council - November 2009)

## **Appendix I—List of Consultations**

*Chad Gaffield, president, SSHRC*

*Carmen Charette, executive vice-president, SSHRC*

*Jaime Pitfield, vice-president, Common Administrative Services Directorate, SSHRC*

*Gisèle Yasmeen, vice-president, Research, SSHRC*

*Brent Herbert-Copley, vice-president, Research Capacity, SSHRC*

*Wayne MacDonald, director, Corporate Performance and Evaluation, head of evaluation, SSHRC*

*Hélène Gauthier, manager, Performance and Evaluation, SSHRC*

*Michele Boutin, director, Canada Research Chairs Secretariat, SSHRC*

*Jean-Francois Fortin, director, Research Portfolio, SSHRC*

*Murielle Gagnon, director, Partnerships Portfolio, SSHRC*

*Gordana Krcevinac, director, Research Training Portfolio, SSHRC*

*Therese de Groote, senior policy advisor, SSHRC*

*Susan Morris, head of evaluation, NSERC*

*Martin Rubenstein, head of evaluation, CIHR*