Partnership Strategy for Horizontal Initiatives

Partner Workbook

April 2003

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Project Leadership

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Foreword

The Government of Ontario, like governments around the world, is under continual pressure to deliver more and better service without an increase in costs.

Customers are demanding that government deliver more streamlined services, and they expect different levels of government to work together on overarching issues. Governments are now striving to provide services in a way that makes sense to their customers. This agenda is being pushed forward by the ability of first-class organizations to respond to customer needs and demands by providing higher value services at reduced costs. Often this requires working across the boundaries that traditionally separate ministries, jurisdictions and sectors.

The pressure to work within existing budgets is also forcing governments to work in a more integrated way to achieve their customer service objectives. Partnering across ministries, across jurisdictions and across sectors will become more and more important in achieving these objectives.

This workbook is designed to provide the Ontario Public Service with a solid approach to partnering. It is intended to provide a practical approach to identifying, engaging and managing service delivery partnerships. It is also intended to be only a starting point. It is our expectation that as your experience in partnering evolves, the tools and approaches included in this workbook will become richer and more tailored to the OPS environment.

Introduction

This workbook is a guide for leaders and relationship managers within the Ontario Public Service who initiate and manage cross-organizational partnerships. The goal is to build strong and healthy partnerships that lead to customer service excellence while at the same time streamlining the resources needed for initiatives across ministries, jurisdictions and sectors.

The workbook was created as part of the Partnering Strategy for Horizontal Initiatives and as a companion piece to the Partnering Strategy and Framework. The framework describes the policy implications, critical success factors and strategies required to create a partnering culture within the Ontario Public Service. This workbook provides an approach and a series of tools for identifying engaging and managing partnerships.

There are two parts to this workbook:

Part 1 – Concepts

- A definition of partnering and horizontal management
- An overview of the case for partnering
- An outline critical success factors.

Part 2 – Formal Partnering Process

- A step by step approach to developing and managing partnerships in an intentional way.

Part 1 – Concepts

Why Partner?

The Government of Ontario, like governments around the world, is under continual pressure to deliver more and better service by living up to citizen's expectations that are being set by private sector organizations. Furthermore, governments must fulfill this expectation within the current environment of fiscal pressures. This pressure is forcing governments to work in a more integrated way. Current attempts to form these working relationships across traditional boundaries have had varied levels of success, yet the need to be able to work across traditional boundaries is growing and likely to continue to grow over the coming years.

- Citizen's expectations of government are changing. Not only do they expect more streamlined services, they expect different levels of government to work together on overarching issues.
- Governments need to work more closely with other jurisdictions on issues such as privacy and security. They also need to work together to integrate programs such as health care and transportation as more and more citizens travel between jurisdictions.
- Aging infrastructure will require cooperation across jurisdictions if it is to be revitalized cost-effectively.
- The pace of change is increasing and governments will be expected to maintain this pace of change.
- The environment of fiscal restraint is unlikely to subside. By making sound business cases one of the foundations for partnering, and developing innovative solutions to service delivery goals, it will be possible to achieve the customer service objectives within this environment.

The purpose of this workbook is to provide you with a process and suite of tools to help make your partnering efforts more effective.

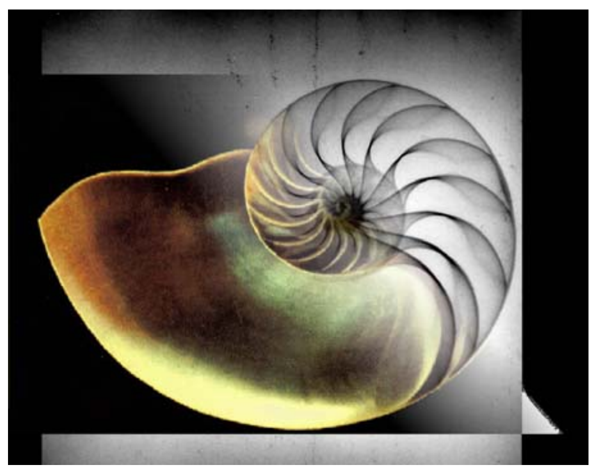
Partnering and Horizontal Management

For the purposes of this report partnering and horizontal management are used interchangeably to mean two or more organizations working together towards a joint interest. Intuitively, a partnership involves a common interest that is beneficial to both parties but in which the two parties play different roles. The

CCMD Roundtable on the Management of Horizontal Initiatives framed it this way:

Horizontal Management is about more than interdepartmental cooperation…. it is the challenge of “bringing diverse people together and lining up authorities in a complementary way to achieve a common purpose.[1]

The Argonauta readily abandons its shell when it no longer suits its purpose or feels the need for this defense. It then swims the seas freely, creating a new shell when the need arises. The success and flexibility of the Argonauta reflect the approach we are proposing to the development of partnerships. Both require moving beyond the familiarity of the known and working in a broader environment. Both involve creating something new which will have a useful life after which flexibility and foresight is required to adapt, reconfigure or dissolve the partnership.



[1] *Moving from the Heroic to Everyday, CCMD Roundtable on the Management of Horizontal Initiatives, Chaired by Jim Lahey, by Mark Hopkins, Chantal Couture, Elizabeth Moore*

Critical Success Factors

Results of a literature scan, input from private sector experts, interviews of individuals with experience in horizontal initiatives, and the Best Practice Workshop[2] all surfaced similar factors that are critical to making complex initiatives a success.

Effective Partnering Requires:

Committed Leadership
Shared Purpose and Culture
Clear Governance & Accountability
Integrated Planning
On-going Relationship Management

Committed Leadership

Horizontal initiatives require committed leadership at the highest level of the organization as well as at the working level. This includes demonstrated commitment to the delivery of results, not just to the concept of working together. Leaders at all levels must be prepared to champion true transformation and the evolution of a culture. Leadership at the political level is important in order to ensure alignment between the partners and to ensure issues that will affect the public are understood and supported. At the sponsor level, there are two factors that are important. First the sponsor(s) need to be senior enough to span the scope of the work being done. Second, the sponsors need to be actively engaged in the project helping to resolve issues, providing direction and support and most importantly fostering leadership and support for the partnership within their own organization. At the working level, leadership often works best when it is shared among the project team depending on the circumstances and the personal strengths of the members.

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[2] *More than 100 senior staff representing the full spectrum of the OPS – central agencies, front line program deliverers, policy makers, inter-ministerial regional leads, and the I & IT community- gathered to share their experiences on working across the ministry boundaries that traditionally separate them.*

Shared Purpose and Culture

It is critical that all partners engage in the relationship and spend the time getting a complete and consistent vision of where the partnership is going, how it is going to get there, and what the broad goals are. This requires sufficient time for joint planning and a willingness to understand and appreciate the needs of the partner and their operational and policy environment.

The most effective way to ensure this alignment is a two-stage process. First, the leaders of the partnership work together to define the purpose, overall vision, objectives, performance measures and any decisions or parameters that must be incorporated into the final results.

Then, they work in conjunction with the operational levels to begin the scoping and definition of the details of the partnership. This ensures the alignment of the vision and goals within the context set by leadership. As the vision evolves into details, the operational level takes on the responsibility for discussing the details, with leadership ensuring the overall results by testing the evolving product against the outcomes and framework developed early in the project.

Creating an integrated culture that co-exists with the two vertical cultures is extremely important for a project to be successful and is often the turning point in a partnering relationship. This does not mean that one partner imposes its culture on the other(s), but rather that an agreement is reached by all involved on the elements of the culture that need to be in common for the partnership to work. This can be things as simple as a shared language and terminology. Creating this shared culture takes time, but the investment of this time up-front on the project will create a momentum and trust that will make for more effective partnering and save time later in the project.

Clear Governance and Accountability

There are a number of factors that need to be negotiated early in a partnership. Based on the research, the interviews and the workshops, it is clear that governance and accountability are vital to any successful partnership. As such, they are addressed in detail in Step 4 - Negotiate the Partnership - which begins on page 24.

Integrated Planning

Partnership projects are necessarily more complex than single-ministry initiatives and the planning must reflect this. Care needs to be taken to ensure that the partners are moving forward in step through the whole life cycle of the project. Communications within the project must consist of regular, face-to-face meetings. Rules of engagement about such issues as what information will be shared need to be clarified to eliminate as much as possible the chance for surprises. Outside the project team, information must only be disseminated according to an agreed to plan, especially if the initiative has staffing implications. Effective and timely communications is critical, and ongoing operational processes associated with approval of communications packages cannot generally support these needs. Sponsors should negotiate up-front with Communications Branches to ensure processes and turnaround times will support the needs of the partnership. A second example of the need for integration is in the area of human resources. Staff competencies and classifications need to be aligned. It must be clear where the staff will be located and to whom they will report. Staff to support functions such as finance, HR, and contract management can be just as crucial to a partnership as the direct project resources. Another example is in the area of implementation. It must be clear to all partners what can be implemented and in what time frame. Integrated planning must not be underestimated – when neglected, it can lead to diverging views, and a major reset to reestablish an effective working relationship.

Ongoing Relationship Management

Trust is possibly the most critical success factor in any partnership, and it is built between individuals, not organizations. It is based on, among other less tangible things, transparency, knowledge and competence – in short, credibility. One of the ways to foster trust is to encourage a sustained relationship outside the context of a specific project. This requires time, skills, and a willingness to adjust the relationship as circumstances change. The most straightforward way to build this trust is to engage in regular face-to-face meetings with partners. It is clear that removing the ambiguity from a relationship early in its life cycle isn't enough. There needs to be an on-going effort to ensure the agreements made at the outset are still valid and that the individuals involved continue to share the same vision for the partnership and where it is headed.

What is a Partnering Process?

A partnering process is a proactive approach to finding, engaging, and working with another organization in order to achieve goals that either partner could not accomplish alone with the same resources or level of customer service. Using an intentional process helps to reduce the time and effort involved in working with stakeholders outside the organization by ensuring an alignment of goals and initiatives and ensuring commitment from the outset.

The process outlined in this workbook can be used at all levels of an organization. It can be used at a strategic level to identify and develop overarching relationships that span a number of different services or transactions, or at a tactical level in order to engage a specific stakeholder in a specific area. Many of the concepts can also be used to restart discussions in a relationship that is having difficulties.

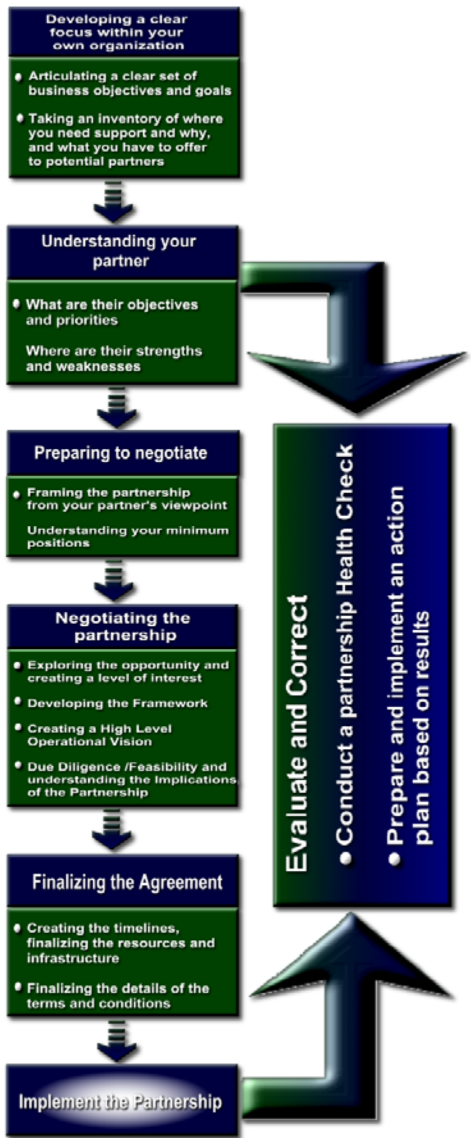
Use of an Objective Facilitator

This workbook is designed to enable partners to be effective in their relationships with other organizations.

In a highly complex partnership with multiple partners, especially when a high level of investment is being made, a neutral third party may be helpful. The person sought should have expertise and experience in facilitating complex partnership negotiations. This competency can be sourced internally or externally.

Part 2 – The Formal Partnering Process

The general approach for partnering effectively is outlined in the accompanying diagram. The purpose of this section is to go over each step in detail.



Step 1	**Develop Clear Focus**
Step 2	**Understand Your Partner**
Step 3	**Prepare to Negotiate**
Step 4	**Negotiate the Partnership**
Step 5	**Finalize the Agreement**
Step 6	**Implement the Partnership**
Step 7	**Evaluate and Correct**

Step 1 Develop Clear Focus

Purpose and Overview

In order for an organization to perform effectively in a partnership, it needs to have a clearly aligned focus itself. The purpose of this step is to:

- Develop and gain agreement on the 3-5 goals for your organization.
- Based on these goals, determine if and where you need to partner.
- Prioritize the possible partners.

Process

Develop Your Own Goals

Most organizations we interviewed had an awareness of the overarching goals and needs of their organization. This level of awareness, however, is often not enough to ensure a consistent focus and alignment within their organization. To be able to deal effectively within a partnership, they need to ensure that their entire organization is clear about the few performance priorities that are actionable and motivating. To this end, the organization needs to have in place 3-5 goals(with the associated measures) and clear accountabilities that can be tracked at both an individual and a team level.

The key is for every individual in the organization to understand the goals and measures that are linked to performance priorities. This will help to ensure a consistent focus in dealing within the partnership, and clear priorities with regards to the partners to target.

Identify Where Partnering Could Help

Partnering should never be done for the sake of partnering. It is done to accomplish a specific objective - an objective that cannot be accomplished internally, or can be accomplished more effectively by partnering.

In many cases, the required partners are obvious. If you need some information in order to move your program priorities forward, the obvious partner is the organization that has that information. In the case of financial restraint, the goal could be to find a partner whose goals align with yours in order to share resources or infrastructure.

For corporate mandates where common standards, processes and infrastructure are to be developed on behalf of the whole organization, the process can be more complex. However, developing a strategy that will create a critical mass of support for the goals you are trying to achieve will improve the chances of success. A critical mass does not necessarily include all the potential partners that need to be eventually involved. Instead, it is the partners who must be engaged in order for the change to begin to occur at a level that it will be endorsed by the broader organization.

Prioritize the Possible Partners

In the case where there is a broad variety of partners with whom you potentially could engage it is helpful to go through a systematic process to help prioritize your efforts. The **Opportunity Filter** described below can help you in that process.

The Opportunity Filter is a tool that allows you to determine where to focus your efforts when you have several potential partners. Just going through the exercise of determining which partners and opportunities are your top priority will help you to gain a focus within your team and organization. You will start communicating and working in a more strategic fashion. You will begin to reallocate resources to gain greater productivity. Over time, all of your best resources can be reallocated to the areas that will provide you with the most results.

The Opportunity Filter will help you to assess which opportunities are the best for you. We have provided you with a template, which ranks the opportunities, based on two criteria:

- What capability do you have for taking advantage of the opportunities available
- Do the opportunities available actually make use of your capabilities

Look for opportunities where the unique capabilities of your organization are best utilized and rewarded.

Tools

The Opportunity Filter

Purpose

To determine which partnering opportunities warrant further investment of resources, an opportunity filter can be applied.

Instructions

1. In the following chart, list in the first column the 10 or 15 relationships that correspond to your best opportunities.

2. Rank each opportunity against the 6 opportunity ranking criteria.

   Initially using your intuition and information from within your own organization you can complete this chart. Over time, concrete evidence such as customer surveys, actual referrals received, amount of business conducted, etc. can be used to rank each item.

3. Sum the totals for each row.

4. These totals will then give you a guideline as to which opportunities will be the most productive to pursue. This tool is not intended as a strictly analytical tool. Its helps to bring to awareness some each of the factors that should be taken into consideration in prioritizing opportunities, and can help to balance the tendency to focus on only one or two of the factors.

   Note: One of the most effective ways to use this tool is to complete the chart as an organization. This will not only give you a balanced result, it will help ensure commitment is developed to focus all efforts behind the priority partnerships.

Analyze the averages and the individual entries for each column. This information will help you to identify areas where you have a consistent problem that needs correction, or an opportunity that can be explored further. For example, if your Appreciation score is always quite low, this will tell you that what you have to offer is not perceived as being needed by your potential partners, or is not being described in an effective way. Alternatively, if your Enhance score is

very high, there may be an opportunity to build on what you already have, rather than trying to create something new with each opportunity.
By using this tool you will not only have a mechanism to determine how to prioritize your efforts in terms of partners to work with. By paying attention to the averages, you will also have an indication of how effective you are at developing and maintaining partnerships.

	Opportunity Ranking Criteria
Utilization	Utilization of a unique capability you have to offer.
Appreciation	Appreciation of the value you bring to the table.
Reward	Willingness and/or capability to contribute their fair share of the resources required. Fairness and equitability of the division of the benefits.
Readiness	Environmental factors in place to enable the realization of the benefits within reasonable timeframes. (Note: The due diligence/ feasibility tool found in Step 4 will assist in making this assessment)
Enhance	Enables expansion of your capabilities in a strategic area
Leverage	Judges the extent to which you can lever this opportunity into other areas

	Rank Description
-1	Takes away from your needs or moves you backwards (e.g. Leverage - working with this partner will hurt your credibility or reputation)
1	Weak support for your needs (e.g. Enhance – uses existing infrastructure in ways for which it was originally designed)
2	Some support for your needs (e.g.Utilization - Uses product offering that is provided by you but by others as well)
3	Fair support for your needs (e.g. Appreciation - Comes with a positive but open mind on the value you have to offer)
4	Strong support for your needs (e.g. Readiness - Meets all readiness criteria)
5	Outstanding support for your needs in this area (e.g. Reward - will cover all costs and you will get a profit from the opportunity)

Relationship	Utilization	Appreciation	Rewards	Readiness	Enhance	Leverage	Total
Total							
Average							

Step 2 Understand Your Partner

Purpose and Overview

Before any partnering discussion begins it is essential to research your partner to understand their needs and priorities. Understanding their challenges will help you to describe your proposition in a compelling way. Performing this step will involve:

- Understanding the needs and priorities of your potential partner
- Be prepared to deal with any objections your partner will raise
- Articulating those needs in a way that will resonate with the partner

Process

Learn About Your Partner

Your attempt in doing this step should be to "get inside your potential partner's mind" in order to understand the challenges and opportunities they are facing on a daily basis - to be able to anticipate their requirements in order that you can have effective discussions with them. The questionnaire in the Tools section of this step lists some questions that will help you to distill the necessary information.

This information is not as difficult to find as it may seem. Much of this information is available on government web sites, in the throne speeches and budget statements, and in official documents published by the organization. This public information can be augmented with informal information collected from people within the organization. Colleagues can often provide helpful insights into the potential partner's working priorities. You can confirm and fill in the final details by asking the potential partners themselves. Most people will share the information with you if asked outright. Usually this information can be collected as part of some normal part of doing business with the target partner. The key is to work as a team within your own organization. Personal contacts and trust play a large role in getting comprehensive and accurate information. Work with peers who may have contacts within your partner's organization to collect the necessary data.

Prepare for Objections

The second step in the research and preparation is to be prepared for any of your potential partner's objections. The strategy here is to brainstorm any objection that your partner candidate may raise and then put yourself in your partner's mindset and for each of these objections work to develop a solution that both you and the partner would see as acceptable. This will be difficult as you will tend to be willing to accept a solution that your partner may not see as acceptable. Defining a solution that is acceptable to your partner may cost you time and effort. You will need to balance the need for the partnership with the cost to your organization. (i.e. In many cases, initial partners can be considered in the same vein as loss-leaders in a retail situation. You need to create a critical mass of support, and may be willing to give more away at the beginning to get an initial key partner on board).

Put Yourself in Your Partner's Shoes

Articulating your value proposition in a way that has meaning to the partner involves describing your value proposition in a way that addresses one of the following:

- Helps your partner deal with a high profile problem (e.g. Ice Storm)
- Allows your partner to focus on their core business
- Describes what actions you can take that will remedy your potential partner's service problem. (Either your service to your partner, or their service to their customer)
- Describes what you can do to solve your partner's product problems.
- Helps the partner head off a problem that is on the horizon (e.g. Dealing with the upcoming impact of the aging infrastructure in Ontario)
- Helps the partner increase their revenue, increase their productivity, or reduce their costs
- Helps the partner untangle an internal problem they are experiencing
- Helps the partner improve their bottom line

This value proposition will not necessarily be positioned in a formal presentation, although it could be. Doing the necessary research and preparing the value proposition is done to help you conduct conversations and negotiate with the potential partner more effectively.

Tools

Understand Your Partner – Questionnaire

Finding the answers to the following questions will ensure you have the necessary information to begin preparing for discussions with your potential partner.

The list of questions will be added to over time as more information about best practices in partnering is developed. The key is knowing the organization with which you are considering a partnership and focusing on where you can add value to their organization.

Understand Your Partner - Questionnaire

- **Who are your partner's customers and what are these customers' needs?**
- **What are the top priorities of your partner (and their boss).**
  - This year
  - Over the next three years
  - Can any of your services help to address these key priority areas?
- **What do they see as their major challenges in achieving these priorities?**
  - How can your offerings help them overcome the challenges?
- **What are their major opportunities? Where can you help realize them?**
- **Are there any issues they are facing that are mission-critical to the government? Would their resolution contribute to any key corporate drivers such as improved customer service?**
- **What is their organization structure?**
  - Where are the most resources allocated? Does that give an indication of their priorities?
  - Where has there been a shift in resources? Can you help them do more with fewer resources?
- **What are the major product or services they deliver?**
  - What are the volumes?
  - What is their cost profile?
  - Are there any areas of synergy where their products and services would have increased value due to partnering with you?
- **What are their current delivery channels?**
  - What is their cost profile?
- **Where are they currently spending most of their budget?**
  - What makes this area a priority? Is there any way your service could address this area effectively?
- **How has there budget changed over the last several years?**
  - Which areas are getting more resources? What does this indicate about their priorities?
  - Where are budget shrinking? Does this indicate a need to do more with less?

Step 3 – Prepare to Negotiate

Purpose and Overview

The purpose of this step is to ensure you have synthesized all of the collected information, and understand it well enough to describe your proposition in a compelling way either formally or informally. It also ensures you have thought through your needs so you don't give up something important in the desire to develop the partnership. The steps involved are:

- Articulating your minimum position
- Articulating the proposed partnership in a way that is compelling to your partner

Process

Articulate Your Minimum Position

Before entering into negotiations it is critical to understand your bottom line position. Identify for yourself the "minimum win" that you would need in order to make the partnership worthwhile from your perspective. Identify the showstoppers from your perspective. What do you absolutely need to get out of the partnership for it to be successful and what are you willing to put into it.

Be Compelling

Now you need to document, ***from your partner's point of view***, what value you are bringing to the partnership. Doing this effectively now plays a key role in engaging the interest of your partner in creating an agreement. Your goal is to perceive your "contribution" as your partner will perceive it; that is the only way you will know it *is* a contribution. To determine whether you have articulated it effectively ask:

- Does the actual phrasing put emphasis on the partner's perspective? (e.g. We will save you money by delivering …, rather than We will deliver … and save you money)
- Does the contribution deliver fiscal benefits? If not, it may not be perceived as big a benefit as you think it is. If fiscal benefits aren't accrued, take care to ensure it is addressing an issue or key priority that they are grappling with on an ongoing basis.

Before actually entering into the negotiations you should be able to articulate the following:

- These are your issues
- These are my issues
- I propose….
- I need ‘x’ from you and I commit ‘y’ to you
- This is the value that we can create together

Tools

The Minimum Position

Purpose

To ensure clarity on what can and cannot be compromised in negotiating with potential partners. This is **not** a wish list. The answers become a list of items, which, if not incorporated into the agreement will cause you to walk away from the partnership.

Key Area	Questions to be answered
Financial	How much benefit needs to be realized?
	How much investment are you prepared to make?
	What does the benefit/investment ratio need to be?
Legislative	Are there any legislative or regulatory constraints that you must incorporate into the agreement?
Human Resources	Is there a maximum or minimum number of human resources that you are willing or you expect your partner to commit to this arrangement?
Mandatory Components	Are there any systems, processes or products that must be included as part of the partnership?
Timing	Is there a timeframe within which this partnership must begin delivering benefits?

Step 4 – Negotiate the Partnership

Purpose and Overview

The purpose of this step is to move through a series of processes that will take you from agreement in principle, through to a high level operating vision that is understood by each of the potential partners and their organizations.

Creating an effective partnership requires both the commitment of leadership with the authority to assign the resources of the organization and the enthusiasm of the stakeholders who will be affected or be involved in implementing the changes. Creating an environment that will create this commitment is a two-stage process. First, leaders define an overall framework that outlines the key decision and describes the opportunity begin explored in a compelling way. Next, individuals from within the partner organizations begin to explore the details of the opportunity together. The end result is an operating vision that all parties understand and commit to.

The following are the steps to developing an agreement with commitment behind it:

- Explore the opportunity – developing a level of interest
- Develop the framework- making the key decisions
- Create a high-level operating vision
- Due-Diligence/Feasibility – understand the implications of the partnership

Process

Explore and Generate Interest

The purpose of this step is to gain an agreement in principle to move forward with the partnership. The actual process for gaining this agreement can vary. Negotiation is more an art than a science. It is at this point that partnering expertise is crucial. Drawing on the experiences of colleagues in your organization or external experts can be extremely useful in negotiating both this and the next stage of the partnership. Having an impartial party who is experienced in successfully putting together partnership agreements can save substantial time and money – not only in the negotiation stages, but during the execution. Issues that overlooked at this stage will invariable surface later in the relationship and will have become more difficult to address.

Creating an effective framework that enables highly productive and self-organizing activities is the most effective and efficient way to develop an alignment within the involved vertical organizations for the partnership. The government already creates these kinds of efficient frameworks. Consider the challenge of creating an effective transportation system. Clearly, directing individual routes by analyzing and managing each vehicle would be far too complex. Instead the government developed a framework within which the citizen's could self-organize and operate in a highly efficient manner. The government did this by providing a framework that made clear four components:

Purpose: Maximum Safety, Maximum Mobility

Boundaries: Traffic Laws, Road- Building Laws

Boundary Enforcement Mechanisms: Driver Exams, Police, Building Plans and Inspections, Traffic Lights and Signage

Information Accessibility: News Reports, Highway Signage

By creating a framework and self-organizing system, the government has created a highly efficient system that self-corrects and continually strives towards the objectives. Creating a similar system in a project team will help projects and partnerships realize the same levels of efficiency and effectiveness.

Develop a Framework for the Partnership

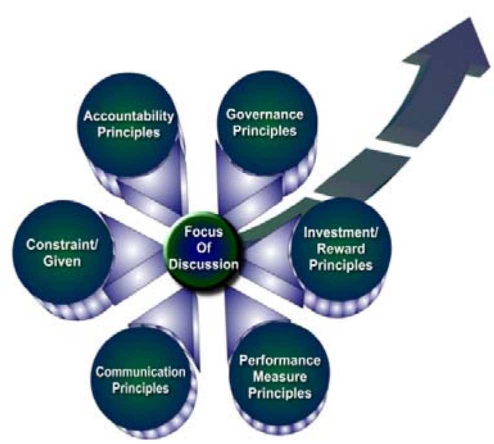
Partnering is primarily about **developing** a shared interest and a relationship between two or more organizations. In creating a partnership the primary need is to eliminate ambiguity and create an environment where individuals throughout the partner organizations can listen and create an energy that will enable learning and create momentum for achieving a joint objective.

Working with other ministries or outside organizations requires understanding what the partners require. At the same time, the needs and interests of your own organization must be clarified and met if the partnership is to be successful. The first set of discussions is geared towards finding this common ground and creating the synergies within the leadership team. Then using these synergies, the leadership team builds a framework that will enable the vertical organizations to engage and ensure alignments among the stakeholder population.

Creating this initial framework is some of the most critical work to making a partnership operate effectively. The principles developed at this stage will form the guideposts for how the relationship will evolve, as details on specific opportunities are understood.

The need to achieve clarity both horizontally between partners, and vertically between the senior partners and their corresponding operational organizations was a key theme that emerged during the research and workshops. This step requires some significant and focused time. Though it can be challenging to schedule the blocks of time required for discussions, the time savings afforded by clarity on these complex issues more than makes up for the front end effort. The discussion should include such issues as:

1. Outcomes
2. Investments/Rewards
3. Governance
4. Accountability
5. Maintaining Commitments
6. Performance Measures
7. Communications
8. Constraints/Givens



Create a Vision for the Project

To ensure that all partners have the same understanding of the relationship and what it might deliver, there needs to be discussion and agreement about a high level operational vision for how any specific service, transaction or other activity within the partnership would be implemented. This high level operating vision is not the detailed requirements for the service, but rather an outline that is developed quickly in order to:

- Create a base of information that will enable the specific service concept on which you are planning to partner to be tested and realistic cost estimates and timelines to be developed.
- Ensure that the underlying mental models of the partner organizations are aligned. It helps to align expectations and surface critical issues that will need to be addressed if the outcomes of the partnership are to be realized.
- Ensure a vertical alignment within the partner organizations. Front-line through to senior executives will begin to share the same fundamental image of why and how the partnership will unfold.

This operational vision is created by a broader group of individuals. This group should contain a critical mass of people who will:

- Will be affected by the outcomes of the partnership
- Will have information that will help in framing the initial operating vision
- Can heavily influence the overall success of the partnership

Practice Due-Diligence

There are many factors that if not in place at the beginning of a partnership can cause delays that are both substantial and difficult to quantify. This step involves exploring the environment and conditions of each of the partner organizations to determine the time and effort that will be required to deliver on the benefits of the partnership.

Tools

Partnering Decisions

This tool is designed to help jump-start discussions in the early meetings by providing a list of the many of the decisions required in order to support the creation of a partnership. The answers will not all be clear from the outset, but should be agreed to by all parties prior to formalizing the agreement. It is expected that this list will be added to as experience working horizontally increases. It should also be noted that some of these areas have more detailed tools associated with them.

Partnership Purpose
• Do all individuals have a clear and common understanding of the rationale that initiated the project or partnership? Partners will develop direction, momentum and commitment by working together to shape a common meaningful purpose. The need for partners to shape the purpose does not imply that management cannot impose the initial high-level outcomes, but it does imply that the more involved all levels are, the better the commitment from the whole group. • Can the purpose be articulated in a way that resonates with the different levels (e.g. leaders, funders, front-line staff, customers) within each partner organization? • Is the case for change described in a way that is meaningful to all audiences? This may be a different approach and level of detail to describe the thing. Communications must be tailored to the audience.

Minimum Value Proposition for Each Partner

- Have all partners declared their needs? What will it take to make the partnership a success for each partner?
- Do the partners understand the needs of the others?
- What is the benefit of participating in the partnership? (Note: It is helpful to continually ask yourself why the response is important in answering this question. This will help to surface the true underlying reason.
- When does this partnership need to produce results? (This will give a sense of the urgency of the partnership and the commitment to achieving results)
- What is the impact on each partner if this partnership doesn't happen?

Givens

- Has each partner put their 'givens' on the table? These are the non-negotiable items that must be in place in order for the relationship to proceed – the showstoppers.
- Does every partner have a clear understanding of the boundaries in which the partnership must operate? This will surface any major barriers before significant investments have been made.

Real Nature of the Partnership

- What assumptions are being brought to the relationship by each partner?
- Do the partners agree on the purpose?
- The power relationship?
- How the partnership might unfold?
- Is the relationship being formed to accomplish a specific transaction or is there a broader overarching purpose?
- Are the various partners coming to the relationship as equals or are their different distributions of power and authority intended?
- How does each party project the relationship might evolve over time?

These critical discussions foster trust and helps prevent misunderstandings. It can be useful to brainstorm different scenarios for the partnership and discuss how they might play out.

Performance Measures
• Are the outcomes of the partnership specific, and measurable and described at a number of different levels? • Are there measures for financial performance? • Effectiveness? • The relationship? • What tangible barometers are needed to measure the outcomes? • What outcome milestones should be tracked? • What are the timeframes associated with each milestone? • How will we track and report on these outcomes on an ongoing basis?

Membership Criteria
• Is this partnership restricted to current members or is it open to other stakeholders in the community? • What are the criteria for membership? • Is there a minimum or maximum population?

Maintaining Commitments
• How will we ensure that each partner honours its commitments to the relationship? • How will we monitor each partner's performance in terms of maintaining their commitments? • What criteria will we use to determine that they are not keeping agreements? • What will happen if the commitments are broken? • How do we ensure that the principles and purpose of the partnership are integrated and disseminated throughout the whole partner community and its associated processes and structures? • What are each partners commitments in terms of ensuring their home organizations are supportive of the partnership?

Governance/Decision-Making
• Is there an effective governance structure in place? This will help maintain the confidence of all partners. • Does it enable timely decisions? • What information will be shared? • Which partners will have a seat at the decision-making table? • What is the decision-making process (consensus, majority rules, other?) • How often will the decision-making body meet? For how long? What happens if this isn't often enough to support the decision-making and direction-setting needs of the project? • What decisions are made at what level? For decisions that are made at the lower-levels, what are the 'givens' within which those decisions must be made? • To what extent can a partner make decisions and act on behalf of the partnership?

Accountability
• Who is accountable for each deliverable during the project? • Who is accountable for each of the products or services that will be produced as an end result? • Who is responsible for any deliverables and activities in the on-going operation? How will these accountabilities be measured? • If any deliverables are being wholly or partly produced by someone other than the accountable party, what are the accountability levers that will be put in place that will ensure the accountable party can ensure the necessary efficiency and effectiveness of the product or service?

Financial Investments and Rewards
• What financial investments will each member of the partnership make? How will these investments be calculated? • What are the criteria for changing the level of investment required? • What is the reward associated with the investment? • How will the reward be calculated? • How will the reward be reaped? When will it be paid? • If the reward is based on efficiencies within the system, who is accountable for ensuring the efficiency is realized? What happens if it doesn't get realized? (i.e. if it involves layoffs, what happens if there is no political appetite for layoffs when the implementation occurs) • How will losses be allocated if they are accrued? • If the rewards are tangible assets (i.e. information system), who will own the asset?

Infrastructure Resources
• Is there adequate infrastructure in place to support the partnership? The project? • Who will contribute such resources as facilities? • Technology? • Furniture?

Risks
• Has risk management been incorporated in the partnership from the outset? • Does it include the potential risks that would diminish or eliminate the partnership outcomes? • Does it include contingency plans and the actions/circumstances that would trigger these plans?

Human Resources (Project Related)
• Do the partners understand how critical it is to the success of the project to have committed resources through its life cycle? • What human resources are needed for this project? Are there any staff resources required?(Contract management, HR, Finance, etc.) • What human resources will each partner contribute to the partnership? • Is there an effective resource retention strategy in place for contract staff and seconded staff? • Will positions be full-time or part-time? • How will changes in resource requirements be managed? • What happens if the resource is unsuitable or the requirements of the project change? What happens if additional resources are required? • What is the strategy for ensuring critical resources remain with the project throughout its life? • What reward mechanisms (not necessarily monetary) can be put in place to ensure resources are committed to the outcomes of the project?

Record-keeping and Reporting
• What records will be kept? • How will reporting be handled? • In what form? • By whom? • What information will be kept to support the partnership agreement?

Dispute Resolution
• What will happen if/when unforeseen circumstances and contentious issues arise? • What will the process be to resolve disputes? • In what timeframe? • What is the escalation process?

Exit Strategy

- Is it clear at the outset how the partnership will terminate and under what circumstances?
- What is the term of the partnership? When the term is over, how will the partnership be dissolved and assets distributed?
- What is the process for a partner to disengage after a partnership is underway? Are there different processes for different stages of the partnership?
- In a multi-partner partnership, are there any situations where a partner can be expelled? What are they? What are the conditions for when they can be invoked?

Communication

Definition of the communication processes needs to occur at two levels – to external stakeholders and within the project team.

- Is there a synchronized plan to disseminate information about the project or organization?
- Does it include agreement on process?
- On timing?
- What communication needs to occur within the project?
- How will it happen?

Accountability Framework

As governments move toward a more seamless approach to their activities – whether it be policy, service delivery, regulation, enforcement or others – and working horizontally becomes mainstream, understanding the nature of partnerships and who is "on the hook" for what becomes crucial. Within the traditional "vertical" axis, that is to say traditional ministry silos, accountability remains fairly clear. Within the horizontal axis, however, the lines between the partners become blurred, there may or may not be service level agreements or contracts in place, and there is often a lack of common definitions. The need to define horizontal accountabilities requires a clear demarcation of individual roles, responsibilities and accountabilities in support of negotiating and defining clear Service Level Agreements.

Indicators of effective accountability

Clear roles and responsibilities
Clear performance expectations
Balanced expectations and capacities
Reporting on and monitoring performance
Reasonable review and adjustment

Developing and documenting accountability is an iterative process that will become more refined and detailed at each step of the partnering process. In the early stages, discussions focus on high-level accountabilities around policy and service delivery ownership. Later steps drill down deeper into accountability roles and relationships, and create a full view of inter-organizational transactional relationships. The following checklist forms the basis for an accountability framework.

Define a clear problem statement
• From whose perspective are you looking at accountability? The user of the output (e.g. the customer booking the campsite), or the owner of the program (e.g. Ministry of Natural Resources)? • Are you trying to achieve a framework for external accountability (i.e. from the point of view of the public, who is accountable?) or internal accountability (i.e. from the point of view of the partners, who is accountable for which components of the project?)? • Are you looking at accountability with a view to developing a model for an existing system or with a view to organizational change? • What business problem are you trying to solve?

Understand yourself
• What is your program? • Your core business? • Your mandate? • Your business requirements? • Your organizational/business model? • Your business and service delivery drivers? • What role could you play in the relationship? Are there constraints (e.g. legislative/statutory) that prevent this? • What role will you actually be playing?

Study the context
Have you identified and studied the key background documents that set the context, including: directives, mandates, business plans, Service Definition Handbook, organizational charts?

Identify key business components
Have you identified and defined, according to standard definitions, the key components of your business? This includes programs, services, processes and roles.

Assemble framework
Have you used standard methodology to build the components of your framework? (see MBS Accountability Directive and Service Definition Handbook)

Identify gaps
Are there any gaps in the business components and relationships you have identified? Have these been introduced and incorporated?

Develop models
Develop and test models of either the "as is" operation or the "to be" state or a combination of the two. Appendix A contains sample models.

Map roles and responsibilities
Choose the appropriate level of detail for the phase of the relationship.

Create agreements
The risk of compromising the project because of blurred accountability is mitigated by ensuring that accountability is covered in formalized agreements. This includes memoranda of understanding, service level agreements, project charters, and contracts.

Ontario has a number of directives and guidelines that recognize, at a high level, the change in the nature of accountability in the public sector and the importance of developing common standards and alternative service delivery options.[3] The Ministry of Consumer and Business Services has extended this by developing an **Accountability Framework.** While it focuses on integrated service delivery, it can also be applied to a wide range of horizontal initiatives. It provides a common platform for evaluating and assigning responsibilities and accountabilities in a partnership. An overview and sample models are provided in Appendix A.

Due Diligence Checklist

The following checklist will assist in identifying areas where there might be additional effort required on the project that is not initially anticipated. This list will become more robust as experience in partnering across organizations grows. The due diligence checklist should complement, not replace, a thorough risk assessment.

Instructions

1. As a small group, or in a cross-section of interviews, collect the answers to the questions in the following tables.
2. Based on the answers to these questions, work with the IT experts, HR experts, and/or business experts from each partner to anticipate who would need to be involved and for how long to address any of the areas identified as needing attention.
3. These estimates will feed into the high level timelines and resource estimates that are used as the basis for finalizing the agreement.

TECHNOLOGY
What, if any, technology changes are required to implement the outcomes? Do any common components exist to do the function? If so, do they need tailoring? If not, can a common component be built? Is a stand-alone application necessary? Will the legacy systems work in the context of the partnership outcomes required? Can something be built to make it work? Are the data elements in legacy systems clearly defined and compatible? If not, can an interface be built? What are the implications? Are the skills required to integrate the technology readily available? Will the available technology support the required performance? Does the technology have the necessary level of security?

[3] *These documents include the MBS Accountability Directive and the Service Definition Handbook. The MBS Accountability Directive sets out the basic structure of an accountability framework – that is the definitions, principles and elements that should be addressed in any accountability discussion.*

LEGISLATION

Is there new or changed legislation or regulations that are a prerequisite to achieving the outcomes of this partnership?
Is there a political commitment to making these changes?
Where do these changes fit in terms of
Each partner ministries agenda?
Overall government agenda?

PROJECT

Have the assumptions in the business case been adequately tested?
Will vendors be necessary for the project to proceed? Are vendors available that have the necessary skills and experience? Are the vendors willing to participate?

PRIVACY

Does this project have any privacy protection implications?
Will client profiling occur?
Does it create a single agent for multiple transactions
Does it involve private sector delivery of highly confidential information?
If so, how will the process be adjusted to ensure privacy rights are protected?

SECURITY

Could this initiative put the government at risk for:
Unauthorized access to government programs or services?
Unauthorized access to premises?
Unauthorized access to data?
Unauthorized access to equipment/supplies/documentation?
Cash or financial transactions?
Client or government documents?
Blank stock?
Equipment?
Unauthorized access to information?
If so, what needs to be put in place to limit the risk?

HUMAN RESOURCES

Will layoffs be required as a result of this partnership?
Are there any classification discrepancies that must be dealt with?
What training will be required for the outcomes to be achieved?
Is a knowledge-base required? How will it be created and maintained?
Are there any labour relations issues that are involved with the planned changes?
Are there any changes to the basic job requirements that will negatively impact the staff? (i.e. new security check requirements, accreditation requirements?)

Risk Assessment

Transforming the way government delivers services to its customers demands innovation and a willingness to make changes to the existing ways of doing business. This requires taking risks and challenging the status quo.

A critical element of any initiative is a thorough and systematic examination of the risks associated with the objectives, and this assessment should address both the threats and the opportunities. The Government of Ontario has stated repeatedly that risk management is central to public sector management.[4]

Modern Controllership
MINISTRY OF FINANCE

http://intra.mc.fin.gov.on.ca/

The *Risk Management Framework for the Government of Ontario* is an implementation guide that includes:

- A common language to communicate about risk
- A systematic approach to managing risk
- A set of risk management practices
- A how-to guide

The website for the Modern Controllership office provides the most up-to-date information about the Government of Ontario's approach to risk management.

[4] *See Ontario Financial Review Commission Recommendations (1995, 2000), Vision for a New OPS (1995), Framework for Action (1997), Quality Service Directives (1998), Learning Organization (1999), and Working Together (2000).*

Step 5 - Finalize the Agreement

Purpose and Overview

The purpose of this step is to explore the operating environments within each of the partner organizations in order to accurately project the timelines and resource investments involved and finalize the partnering agreement. The following are the steps involved in this process:

- Creating the timelines, finalizing the resources and infrastructure
- Finalizing the details of the terms and conditions

Process

Create a Detailed Plan

During this step, key individuals from the combination of partner organizations come together to develop a detailed project plan. This plan will form the foundation for the final negotiation of the terms and conditions by the leadership team. Finalizing timelines, resources and infrastructure are all included in this step.

Finalize Terms and Conditions

Finally, the leadership teams needs to complete the negotiation by addressing all of the applicable items discussed during the negotiation step. This will ensure an alignment of the expectations of both partners and put in place mechanisms to ensure that the expectations don't diverge over time. By the time the negotiation process is complete, the partners will each have a common understanding and mental image of how the partnership will operate.

Tools

Memoranda of Understanding and Service Level Agreements

There are many examples of successful Memoranda of Understanding and Service Level Agreements currently being used in the OPS. The primary issues that need to be considered in an MOU and SLA are:

Key Components of the MOU and SLA
Legislative and Policy Requirements
Financial Control
Issue Management
Customer Support Technical Services
Performance measures
Governance and decision-making
Accountability
Investments/rewards
Human resources requirements
Infrastructure resources
Record keeping and recording
Dispute resolution
Exit strategy
Communications

A sample MOU is included as Appendix B, and a sample SLA as Appendix C. While both focus on integrated service delivery and agreements between the Ministry of Consumer and Business Services and potential partners, the components are common to many partnership agreements and they can be modified to suit a wide range of horizontal initiatives.

Step 6 Implement the Partnership

Purpose and Overview

The purpose of this step is to perform the project and/or create the ongoing operational environment that will be required to realize the benefits of the partnership.

Process

Project Management

Implementing the partnership will generally involve executing a project. This should be done using OPS accepted project management best practices. In many cases it will also involve creating an operational entity to manage the ongoing operations within the partnership.

OPS
Excellence & Innovation
OFFICE
Centre for Leadership
Cabinet Office

An OPS Project Management Excellence Initiative (PMEI) has been established to strengthen project culture by sharing expertise, methods and good practices. Recognizing projects are a key enabler of change in the OPS; the objectives of this Initiative are to:

- Provide corporate support in project management (methodology, tools, techniques, advice and guidance)

- Improve the environment for project work with supportive human resources policies and practices
- Strengthen networking, learning and sharing "right practices" among OPS project leaders and staff

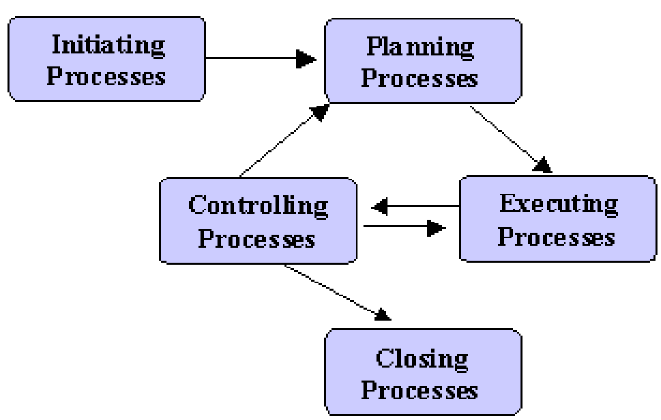
A project is an undertaking with a definite beginning and end that will create a unique product or service. Project management is the application of knowledge, skills, tools and techniques to project activities to meet project requirements. It is a methodology that:

- Clarifies expectations
- Ensures accountability
- Manages resources effectively
- Builds effective teams
- Managers change and risk successfully
- Results in projects that are on time and on budget and meet quality requirements
- Improves project success

Tools

Sample Project Management Templates

Project management is accomplished through the use of processes in the following cycle:



Documents and templates available at http://intra.ontariodelivers.gov.on.ca include:

Project Planning Phase

- Charter/Scoping Document (Word)
- Charter/Scoping Document Definitions (Word)
- Sample Charter/Scoping Document (Word)
- Sample Business Process Reengineering Project Outline (MS Proj. '00)
- Sample Business Process Reengineering Project Outline (MS Proj. '98)
- Sample Change Project Overview (MS Proj. '00)
- Sample Change Project Overview (MS Proj. '98)
- Sample Technology Project Outline (MS Proj. '00)
- Sample Technology Project Outline (MS Proj. '98)
- Project Resource Request Form (Word)
- Resource Management (Word)
- Project Kickoff Workshop (PP Presentation)
- Milestone Chart (Word)
- Team Member Roles and Competencies (Word)
- Project Team Member Competency Evaluation (Word)
- Team Protocol Definitions (Word)
- Team Protocol Template (Word)
- Sample Team Protocol (Word)
- Project Audit Checklist (Word)
- Quality Assurance Guidelines (Word)
- Quality Assurance Plan (Word)
- Project Charter Quality Assurance Review (Word)

Project Execution Phase

- Weekly Project Status Report (Word)
- Sample Weekly Project Status Report (Word)
- Monthly Project Status Report (Word)
- Sample Monthly Project Status Report (Word)
- Meeting Agenda (Word)
- Meeting Minutes (Word)
- Communications Matrix (Word)
- Contact List (Word)
- Generic Project Governance Chart (Word)

Project Control Phase

- General Change Request Template (Word)
- Change Management Protocol (Word)
- Joint Project Change Request Form
- Joint Project Change Request Log
- Risk Management (Word)
- Issue Management Log (Word)
- Issue Tracking Template (Word)

Project Close

- Project Close-Out Checklist (Word)
- Project Close-Out Report (Word)
- Project Review Checklist (Word)

A sample project charter is also attached as Appendix D.

Step 7 Evaluate and Correct

Purpose and Overview

The purpose of this step is to ensure there is an established process that will identify situations where there is a divergence of expectations that need to be addressed by the leadership within the partnership. The following are the steps involved:

- Conduct a Partnering Health Check
- Prepare and implement an action plan based on the results

Process

Conduct a Partnering Health Check

Determining how effectively a partnership is proceeding is partly related to the ongoing alignment of the expectations of the key partners, partly related to how well those agreements reflect the ongoing practices of the organization, and partly related to how well the vertical organizations understand the intent.

Performing a Health Check involves interviewing a diagonal slice of participants in the partnership and using the results of these interviews to assess the partnership. The Partnering Health Check Tool contains a set of statements that will help to assess the Health of the Partnership in each of the critical areas. The nature and number of areas needing work will assist making the decision as to when to resolve situations by raising awareness of them to the leadership of the partner initiative, and when to involve formal processes to resolve diverging expectations or misalignment of understanding between levels of the organization.

Assessing the impact of the current environment is a fairly qualitative process. As a partnership evaluator you will use experience, judgment and sometimes intuition to assess the implications of the interview results. Determining how effectively a partnership is proceeding is partly related to the ongoing alignment of the expectations of the key partners, partly related to how well those agreements reflect the ongoing practices of the organization, and partly related to how well the vertical organizations understand the intent.

Take Action

The Partnership Health Check attempts to quantify the soundness of the relationship and assist in identifying when action needs to be taken to solidify the relationship. The scores should be used as guidelines, rather than a rigid diagnostic tool. If the partnership scores 75 or above, the partnership is on solid footing and can proceed without major interventions. Leadership within the partnership may want to review the results of the evaluation to identify areas that would help the partnership excel even further.

If the partnership scores between 50 and 75 there are a number of areas where the partnership is faltering and intervention is required to correct those areas. Identify any areas with a score of 3 or less and put in place strategies to realign expectations and implement the appropriate structures and processes in these areas.

If the score is less than 50 then the partnership is faltering in a number of areas and formal intervention should be implemented immediately. Consideration should be given to using a neutral partnering facilitator to help realign expectations and support the co-development of the necessary processes and structures.

Tools

Partnering Health Check

Purpose

The success of a partnership is based on both the tangible components that are in place as well as how well the components are being used and understood by the partner organizations. This tool will assist you in assessing both components.

Instructions

1. Identify a cross-section of individuals that represent a diagonal slice of the partner organizations. The individuals selected should include:
    - Core team members are those who are assigned on a regular basis to the team. They are usually part of the primary partner's organizations.
    - Indirect team members are team members who have an impact on the success of the partnership but may not be assigned on a regular basis, or may not be part of the partner organizations. (e.g. HR, IT)

2. Conduct a set of interviews with each of the identified team members based on the categories identified in the Health Check Template. (i.e. Vision, Purpose and Objectives, Project Timelines, etc.)
3. Based on the interview results, select the statement in each category that most accurately the current status of the partnership as described by the interviewees.
4. Score the number of points associated with that statement into the Health Check Summary Chart for the appropriate category.
5. When all categories have been assessed, calculate the total.
6. Assess the status of the partnership based on the following charts.

Measuring the Health of the Partnership

Vision, Purpose and Key Outcomes	Score
Vision, Purpose and key outcomes (including the minimum win for each partner) of the partnership are articulated, **documented** and signed off by all key partners	1
Sponsors and **key individuals** articulate vision, purpose and goals in the same way	5
Cross-section of individuals from each involved organization can **articulate** the vision, purpose and key objectives **in the same way**	10

Leadership	Score
Clearly defined sponsors who have **authority over the scope of the partnership**	1
Clearly defined sponsors with **clearly defined and agreed to roles and responsibilities**	5
Actively engaged sponsors who are available to provide direction and resolve issues. (As a rule of thumb participation should be measured in hours per week rather than hours per month)	10

Project Process / Timelines	Score
A timeline has been **developed and updated at least once/month** which incorporates all elements of the project. **Progress reports are based on the milestones** described in the baseline timeline	1
A timeline has been **developed and is updated with input from all key team members. Team members and sponsors together drive towards this timeline**	5
A timeline with key milestones and accomplishments are published to all stakeholders so that progress and issues are **transparent** in the process.	10

Performance Measures	Score
Outcomes have been defined from a **financial, an effectiveness, and a relationship perspective** but there are not tangible barometers to measure these outcomes	1
Outcomes and **tangible measures** have been defined from a financial, effectiveness and relationship point of view	5
The outcomes and measures are defined from all three points of view **and used on an ongoing basis** as barometers for the team and sponsors to understand how the partnership is progressing	10

Critical Issues / Givens	Score
“Givens” for each partner are **documented** and part of a formal agreement	1
“Givens” are clearly **understood by all project team members**	7
“Givens” are used to set the context for all working group discussions	10

Nature of Partnership Scenario Testing	Score
There is an agreement as to the nature of the partnership and **how it is likely to evolve over time**.	1
There is an agreement as to the nature of the partnership that has been **tested** with the following key elements • For discrete transactions or ongoing partnership? • Power structures – merger of equals or alternative distribution of influence? • Is the intent autonomy or conformity to predefined processes and standards? • Operational and financial norms – centralized vs. distributed, bureaucratic or entrepreneurial, tolerance for risk, etc.	3
There is an agreement as to the nature of the partnership, with key elements tested that has also been **tested against a variety of scenarios that may unfold.** (i.e. What happens if …..)	5

Governance / Decision-Making	Score
A governance process has been established that **includes at the top senior sponsors who span the scope** of the partnership	1
Governance process in place and project manager has sufficient authority and frequent enough access to the governance body to ensure that **processes can be completed within the timelines specified**	5
Governance process established, project manager has sufficient authority and **issues are being dealt with quickly** enough for project momentum to be maintained	10

Accountability Framework	Score
Accountabilities **for both the project deliverables and products** and services that are the subject of the partnership have been defined	1
Roles, responsibilities and products and services that are the subject of the partnership have been defined **and are being implemented and documented as the partnership unfolds**	5
Roles, responsibilities and products and services that are the subject of the partnership **and the accountability levers** that will be used to manage indirect accountabilities have been defined and are being implemented as documented as the partnership unfolds	10

Risks	Score
Project risks **have been identified** with appropriate risk management strategies put in place	4
Project risks and management strategies have been identified, with management strategies and triggers **incorporated into the integrated project plan**	10

Record-keeping and Reporting	Score
Record-keeping and Reporting **are sufficient to keep project sponsors informed but are diverting significant attention of project team**	2
Record-keeping and Reporting are sufficient to keep project sponsors informed and are **integrated into the norms of the project team**	5

Maintaining Commitments	Score
Commitments have **been formally established** and a **process for maintaining commitments** has been established but is not being followed	1
Process for maintaining commitments has been established is somewhat **understood and commitments are basically being followed**	5
All partners understand the commitments, and the process for maintaining them **is integrated into the norms** of the partnership.	10

Financial Investments / Rewards	Score
There are clear formulas for defining: What **investments** will be made by which partner What **rewards** will be reaped and **how they will be calculated** **How** the reward will be reaped and **when it will be paid**? How **liabilities**, if incurred will be distributed between the partners?	1
The formulas defined above are in place and the **mechanisms for measuring** these rewards are in place and the **repercussions** if the expected financial outcomes are not achieved. (i.e. what happens if rewards aren't as anticipated?)	5
The formulas, mechanisms and repercussions are defined as well as a **process for amending** the financial investments and rewards and the **criteria** for when this mechanism would come into play	10

Dispute Resolution	Score
Processes have been **identified** to resolve disputes and escalate issues.	3
There is evidence that dispute resolutions are being used when necessary (i.e. there **are no major disputes identified as by project team as being sidestepped**)	7

Exit Strategy	Score
There is a **clear understanding** among partners as to the **intended term** of the agreement	1
There is an agreement to the term as well as a **defined process for a partner to exit** the partnership – including how assets and liabilities will be distributed	3
There is a defined term and agreement, strategies for how a partner can choose to exit and **criteria and process for expelling a partner** if necessary	5

Human Resources	Score
Human resource needs both for the project and ongoing operations have been **defined and agreements put into place** as to who will supply what resources (including what percentage of time)	1
Human resources are defined with strategies for **changing volume of resources or replacing unsuitable resources** defined	5
HR resources and change strategies are defined and mechanisms put in place to **ensure job security** (for seconded employees) and **outcome based reward and recognition mechanisms** (to ensure commitment through difficult periods)	10

Infrastructure	Score
If partnership requires a project, the infrastructure required to support that project has been defined (including facilities and staff support – contract mgmt, HR, finance, …)	2
Infrastructure has been defined and **who is going to contribute the infrastructure both at the outset and as changes occur**	5

Communication Framework	Score
Integrated processes have **been developed and documented** to ensure all partners within project and stakeholders affected by project are **informed at appropriate times with appropriate processes**	1
Planned communication processes both within and outside the project with the **proper sequence** and process	5
Communication happens within and outside the project with proper sequence and process and in a **timely** fashion to ensure project momentum is maintained	10

Engagement of Affected Stakeholders	Score
Stakeholders are aware of the basic **project objectives and case for change**	1
Stakeholders are aware of the project objectives, the impact it will have on them, the **basic project timelines**	5
Stakeholders have been **involved on an ongoing basis** in the project. Understand why the project is happening, how it will impact them. They have responsibility for taking steps to prepare and are taking those steps.	10

Health Check Summary Category	Score
Vision, Purpose and Outcomes	
Leadership	
Critical Issues/Givens	
Nature of Partnership / Scenario Testing	
Project Process / Timeline	
Performance Measures	
Governance / Decision-Making	
Accountability Framework	
Maintaining Commitments	
Financial Investments / Rewards	
Human Resources	
Infrastructure	
Risks	
Record Keeping and Reporting	
Dispute Resolution	
Exit Strategy	
Communication Framework	
Engagement of Affected Stakeholders	
TOTAL	

Total Score	Assessment
0-49	Partnership needs realignment in a number of areas. Formal support may be required.
50-74	Partnership has many elements that are functioning well. Intervention is needed in some areas.
75+	Partnership is proceeding well. Adjustments in some areas may help to further augment progress.

Partnership Strategy for Horizontal Initiatives

Partner Workbook

Appendices

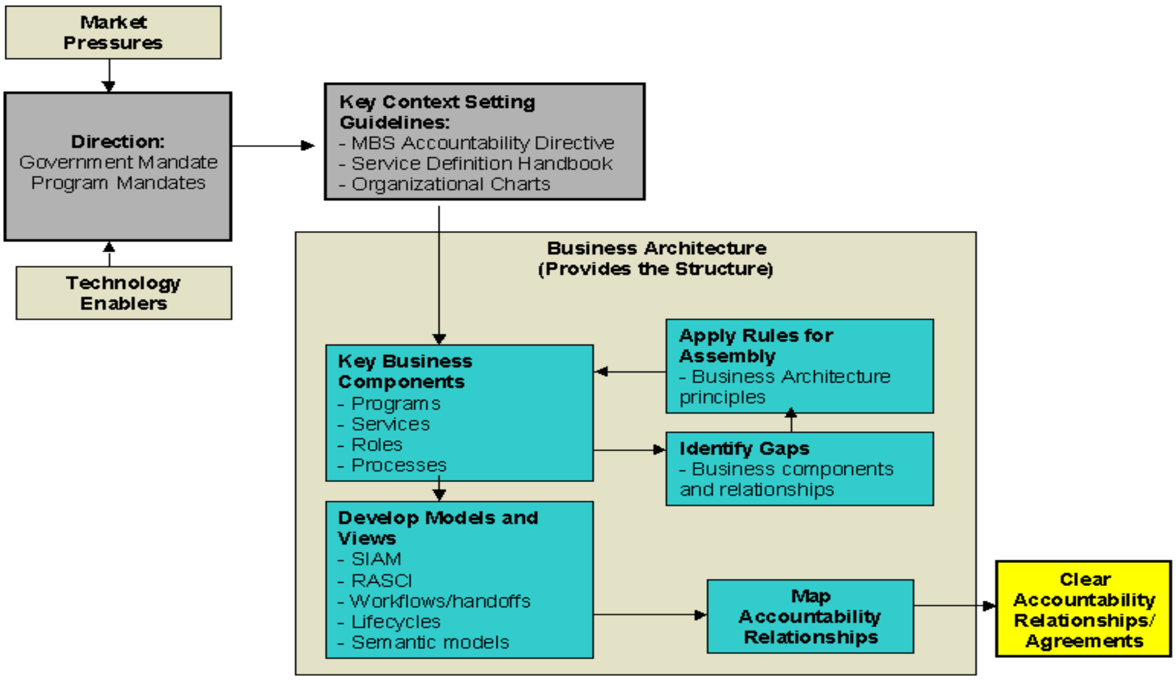
Appendix A – Accountability Framework

An example of how accountability can be defined in a horizontal context while respecting vertical lines of authority is integrated service delivery (ISD). An Accountability Framework for ISD provides a disciplined approach to clarifying roles, and provides a basis for assigning responsibilities and accountabilities in partnerships that cross traditional boundaries of ministry, jurisdiction or sector. It helps to:

- Clarify accountability, responsibility and authority within both vertical and horizontal contexts;
- Clarify relationships between ministries, and delivery partners, across channels and jurisdictions;
- Address roles and responsibilities;
- Address functions/activities in an horizontal accountability/responsibility context; and
- Identify hand-off points across the value chain and throughout the lifecycle of the service delivery system.

The following graphical representation shows the steps involved in using the framework to understand the context around, approach to, and processes involved in developing and documenting accountability for an integrated service delivery initiative. While integrated service delivery specific, approaches are applicable in other horizontal contexts.

Accountability Framework



Accountability Models

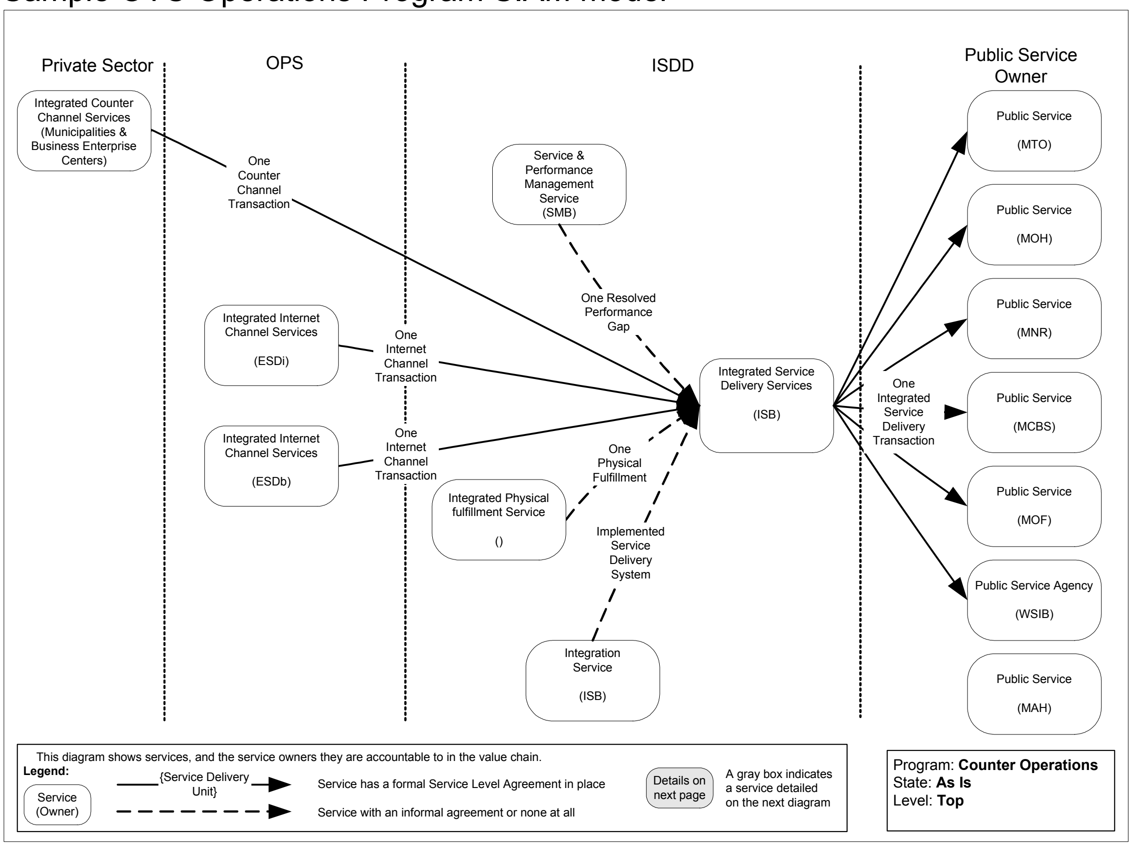
Following are descriptions and examples of models, or "view," types that may be used to describe, map and build accountability relationships at various stages throughout the partnering process. The models noted are not exhaustive but will provide a solid foundation for defining accountabilities. For more information on how to apply these models, contact Service Delivery Strategy Branch, Integrated Service Delivery Division, Ministry of Consumer and Business Services.

Service Integration Accountability Models

Service Integration Accountability (SIAM) models help set the context for developing service agreements and clarifying the service provision and client roles, by depicting:

- The service value chain showing the accountability and dependencies between services
- Who does what at the service level—shows the nature of the accountability (i.e. formal or informal)
- Horizontal accountability relationships between inter-related services and service providers.

Sample OTC Operations Program SIAM model



Process Models

Process models map roles and responsibilities and processes, and are used to gather requirements and validate accountability relationships. Processes are strung together into workflows, which cross role and organizational boundaries. Workflows are key to work design and to understanding process handoffs across organizational and program boundaries, and show what processes will be executed in what order, by what roles, in a particular business situation. These models include RASCI maps (defined below), and Workflows/Business Scenarios.

RASCI Mapping

A RASCI map is a tabular view of a role-responsibility relationship that shows the types of responsibility relationships between roles and processes. Identifying the involvement of a particular role in a particular process completes the RASCI chart.

RASCI mapping provides a finer detail of individual process role responsibilities. RASCI maps help gain consensus on defining multiple roles, and identifying responsibility gaps/overlaps.

Instructions for Using a RASCI Chart

1. Identify all of the processes involved and list them down the left hand side of the chart.
2. Identify all of the roles and list them along the top of the chart.
3. Complete the cells of the chart by identifying the following
   - R - Indicates role that has responsibility for seeing that task through to conclusion (owner)
   - A - Indicates role that has the authority to approve the final process output
   - S – Indicates role that provides support to the process owner
   - C – Indicates role that requires consultation during the process
   - I - Indicates role that is informed at the conclusion of the process.
4. Every process should have one and only one “R” as a general principle. A gap occurs when a process exists with no “R” (no role is responsible), an overlap occurs when multiple roles exist that have an “R” for a given process.
5. Resolve Overlaps - Every process in a role responsibility map should contain one and only one “R” to indicate a unique process owner. In the case of multiple “R”s, there is a need to “zoom in” and further detail the sub-processes associated with “obtain resource commitment” to separate the individual responsibilities.
6. Resolve Gaps - The simpler case to address is the resolution of a gap. Where no role is identified that is “responsible” for a process, the individual with the authority for role definition must determine which existing role is responsible or new role that is required, update the RASCI map and clarify with the individual(s) that assume that role.

Sample RASCI Map of a Change Request Process

	Role							
Process	ISD Change Coordinator	Change Governance Body	ISD Program Owner	ISD Service Manager	Public Service Owner	Channel Service Provider	Legal Adviser	ISD Integration Service Owner
Submit Change Request					R			
Log Change Request	R							
Validate Change Request	R							
Clarify Change Request	R	C	I	C	C	C	C	C
Obtain Resources Commitment	S		IC	R	R	R		C
Prepare Approval Package	R							
Approve Change Request	R	A						
Negotiate Contract			A	R	S	S,A	S	
Issue Change Order	I		A	R	I	I		I
Implement Change Order	I			S	I	I		R

Business Scenarios

Processes tend to get strung together into workflows, where an initial event triggers a sequence of processes that are executed in a series, crossing role and organizational boundaries. Defining formal workflows is key aspect of work design and is essential to understand process handoffs across organizational and program boundaries. They define what processes will be executed in what order, and by what roles, in response to a business event. An example of this would be a “customer request” to achieve an end state (e.g. “customer request fulfilled”).

Business Scenarios help to:

- Clarify processes, roles and responsibilities
- Clarify key hand-off points
- Test accountability relationships to determine if the correct components have been identified
- Test the model from multiple stakeholder perspectives
- Test the capacity of the framework.

Sample Business Scenario: Policy or Business Rule Change

The “***Addition /integration of a new service***” scenario describes the business processes and activities that are initiated to support the plan, and acquire phases of the service life cycle.

The scope of the business scenario is as follows:

- Adding a new service to an existing integrated customer-facing service
    - the scenario includes the business processes and activities for adding an entirely new integrated customer facing service
- Negotiating the delivery of the new service with an existing service provider
    - the scenario does not include the processes and activities for creating a relationship with a new service provider
- The planning process is triggered by the Business Development Branch through the marketing of ISD services to “Public Service Owners”
- For the new service, the example used to develop the general pattern was a new reporting capability for integrated tax reporting. There is no such service currently existing.
- The “Public Customer” will use an existing Internet channel to initiate the transaction.
- The scenario is a “could be” scenario.
- A single integrated workflow models was created for all four phases, “plan”, “acquire”, “use” and “manage / monitor” that highlights the key processes related to service accountability.

Business Scenario Description

The following is a narrative description of the workflow associated with the scenario.

Role	Process / Activity	Description / Comments
Sales & Marketing Service Owner	Draft MOU	The “courtship” phase of the process is not represented in this scenario, and the drafting of an MOU is used as the starting point.
Public Service Owner	Agree to MOU	The MOU is agreed to. Note that in practice, this may be “an understanding” but may take months or longer to actually get signed.
ISales & Marketing Service Owner	Develop Business Case	The business case is developed with input from the Public Service Owner and a number of other parties. The Sales & Marketing Service Owner is responsible for producing the Business Case.
Public Service Owner	Obtain Funding	An MB20 maybe required for funding. The Public Service Owner must arrange for funding.

Role	Process / Activity	Description / Comments
Integration Service Owner	Develop Detailed Estimates	Detailed estimates are prepared. Input may be required from all affected Service Providers.
Integration Service Owner	Develop Project Plan & Project Charter	The project plan and Project Charter are developed. Consultation with HR, Legal, Finance, and Communications may be required.
Service Manager	Develop & revise all impacted SLAs	Each SLA must be reviewed to see if there may be a change required due to the change.
Service Provider	Negotiate SLA	The Service Manager and the Service Provider(s) must negotiate any changes to SLAs that are required.
Public Service Owner	Provide Requirements	The Public service owner must provide requirements to the Integration Service Owner.
Integration Service Owner	Develop Service	This process is used to represent the actual development of the new transaction.
Public Service Owner	Approve Development	Both the Public service owner and Service Provider must approve of the completed transaction
Integration Service Owner	Implement Transaction	The Implementation of the transaction is the responsibility of the Integration Service Owner.

Appendix B – Sample MOU

MEMORANDUM OF UNDERSTANDING

BETWEEN

MINISTRY OF CONSUMER AND BUSINESS SERVICES
AND

MINISTRY OF ______________________________________

_______________________________ ___________________
Deputy Minister, **Date**
Ministry of ____________________

_______________________________ ________________
Deputy Minister, **Date**
Ministry of Consumer and Business Services

1. AGREEMENT BETWEEN MINISTRY OF CONSUMER AND BUSINESS SERVICES (MCBS) AND MINISTRY OF __________________, PARTNER MINISTRY.

This Memorandum of Understanding (MOU) is designed to set out the relationship between MCBS and partner ministries .The MOU reflects terms and conditions that are common to MCBS Integrated Service Delivery Division (ISDD) and the partner ministries. Each requirement of the partner ministries will be provided and described in each individual service level agreement. (SLA)

In addition, the SLA with the partner ministries will set up the structures and processes for day to day operation including decision making, joint problem solving, in consultation and planning, customer care, audit, implementing and managing based on roles and responsibilities and accountabilities.

As the relationship set out in the MOU evolves, MCBS, in conjunction with the partner ministries, will re-assess the MOU. The MOU may be amended at this time with the approval of both parties. The MOU may be cancelled or terminated. Amendments will be added as a schedule to the MOU.

2. BACKGROUND

The Government of Ontario has made commitments to "change the way government deals with its customers by ensuring the customer satisfaction and service are at the top of the priority list." To assist in meeting these important commitments to the public, the Government of Ontario has developed a strategy for integrated service delivery and practical plan of action to meet customer needs effectively, now and in the future, through electronic technology and over-the-counter services.

The Memorandum of Understanding (MOU) expresses and supports the Ontario government's commitment to "change the way government deals with its customers by ensuring the customer satisfaction and service are at the top of the priority list." The Ontario government is committed to developing a single window approach to government services.

In August 2000, Management Board of Cabinet approved the Integrated Service Delivery Strategy and associated funding. The Deputy Minister of MCBS and the Assistant Deputy Minister of the Integrated Service Delivery Division (ISDD) have overall responsibility for the management and administration of integrated service delivery for the provision of services through third party contracts that support program management responsibilities.

The Integrated Service Delivery Division of the Ministry of Consumer and Business Services will develop and implement an adaptive, cost effective, customer focused, multi-channel service delivery system to provide individuals and businesses and other organizations with seamless, speedy access to government information, services and products and offer choice in how, when and where they access these services.

All parties to this MOU are responsible for establishing roles, responsibilities and processes within their respective organizations needed to manage the delivery of business support services to meet the needs of Ministry clients.

3. EXECUTIVE SPONSORSHIP

4. MANDATE

5. SERVICES PROVIDED

Where not prohibited by legislation, ISDD will manage and deliver via detailed SLA's, select partner ministries' products and services and ensure public access to information through electronic and over the counter channels. Specific ministries products and services will be outlined in the SLA.

ISDD will perform the following service management activities:

Establish governance and funding models to support ISD. In this regard, funding issues will be addressed jointly by ISDD/MCBS and the partner ministry
Develop and co-ordinate the marketing and communications strategy in partnership with other ministries.
Strategically align Electronic Service Delivery (ESD) and other channels of service delivery.
Establish reporting protocols to report on ISD progress to governance bodies or to a Deputy Minister for bilateral matters.
Maintain service delivery integrity.
Develop and report on performance levels and financial and transactional business information for all channels.
Ensure that financial processes and controls meet Provincial requirements.
Provide the ministry with timely information for planning and budgeting purposes.
Develop and manage channels that provide customers with convenience and choice in accessing the ministry's products and services.
Design and manage service delivery to maintain and achieve high levels of customer satisfaction and meet partner ministries requirements for customer care.
Work co-operatively with the ministry to ensure program requirements regarding security, privacy and compliance with other legislation and standards are met.

6. FUNDAMENTALS OF THE AGREEMENT

This MOU is intended to serve as a high level management guide for resolving issues, determining processes to be initiated and followed when required and defining the evolving relationships between partner ministries.

Partner ministries are responsible for managing human and other resources within its organization and the division of roles and responsibilities within their respective organizations.
Partner ministries will designate key contacts for ongoing operations and for each development, initiative and/or project as required. This MOU does not alter any provision of any legislation dealing with the delivery of ministry services and/or products.

MCBS and the partner ministries recognise the commonality of organizational goals; customer care, shared risks, efficiency, effectiveness and achievements in customer care delivery. Effective communication and evaluation tools will ascertain customer's needs, and expectations and deliver optimum service.

7. ISSUE MANAGEMENT

MCBS and partner ministries are committed to collectively managing issues with a focus on performance management and customer care.

MCBS and partner ministries shall participate in the problem solving protocol and process to resolve issues arising from the delivery of services and/or products or from issues and concerns arising under the terms of the MOU and SLA's. Generally, the process will be based on an escalation model where both parties agree to make every effort to solve problems at the lowest level, progressing to the next level only in exceptional circumstances.

It is contemplated that the majority of issues will be bi-lateral. ISDD and the ministry are committed to resolve all issues relating to the products and services listed in this MOU and subsequently specified in SLA's.

8. LEGISLATIVE AND POLICY REQUIREMENTS

ISDD'S processes and practices will comply with legislation, MBC directives, and other relevant corporate policies and directives. ISDD and the ministry will, where allowed, notify the other of legislative changes, applicable to service delivery.

9. FINANCIAL CONTROL

The terms of this Memorandum of Understanding do not modify the financial control responsibilities of the Deputy Minister and the Chief Administrative Officer (CAO) who remain accountable under:

The Financial Administration Act;
The Treasury and Economics Act;
The Treasury Board Act;
The Public Service Act;
The Audit Act;
The Management Board of Cabinet Act; and
The Ministry of _____________ Act.
Ministry Delegation of Authority

Nothing in this Agreement alters any provision of any legislation dealing with the management and administration of the Government of Ontario, including MBC Directives or related policies and guidelines; nor the controllership responsibilities exercised through the Office of the Controller, the Ministry of Finance and Management Board Secretariat (MBS).

The ISDD's processes and practices will comply with legislation, MBC directives, in particular, the Financial Management Directive of the Office of the Controller, Ministry of Finance and other relevant corporate policies and directives.

10. PERFORMANCE

ISDD and the partner ministry will collectively monitor performance measures of integration, access, cost-effectiveness and customer satisfaction and on key project deliverables.

ISDD will report on the standards of services achieved against the terms and conditions set out in the SLA.

Appendix C – Sample SLA

SERVICE LEVEL AGREEMENT

BETWEEN
THE MINISTRY OF CONSUMER AND BUSINESS SERVICES
AND
ENTER MINISTRY NAME *****

1.0 INTRODUCTION AND BACKGROUND

The Integrated Services Delivery Division (ISDD) of the Ministry of Consumer and Business Services (MCBS) has been created with a mandate to improve service quality to Ontario's citizens and businesses by implementing customer-centered, integrated, accessible and cost-effective Service Delivery by the Ontario Public Service (OPS).

2.0 PURPOSE OF THE SLA

The purpose of this Service Level Agreement (SLA) and attached schedules and appendices is to set out the terms and conditions between ISDD and Participating Ministries.

For the purpose of this SLA, the definition of Participating Ministries' is:

A Partnership between the ISDD branch of MCBS and the Ministries of …

The Integrated Services Delivery Division of the Ministry of Consumer and Business Services is currently developing a Memorandum of Understanding (MOU)/Governance model which will establish the terms and conditions under which Partner Ministries will operate as part of an overall integrated service delivery system. The MOU will define the principles of governance and accountability, in relation to this SLA, which will provide the framework for the Partner Ministry relationship, the roles, responsibilities; and financial and administrative arrangements; deliverables; a mechanism for dispute resolution; and reporting and monitoring requirements which will serve as the basis for performance management and accountability.

3.0 PRINCIPLES OF THE AGREEMENT

All parties are mutually committed to fostering the spirit of partnership, open dialogue and information sharing and to foster a non-adversarial, joint-problem-solving approach among Partners.

This agreement sets out the terms and conditions between ISDD and its Partner Ministries. This agreement also serves as a reference for practical purposes for resolving and managing issues, determining processes to be initiated and followed when required and defining the relationships between parties in this agreement.

This SLA and appendices is common to all Partner Ministries.

4.0 TERMS AND CONDITIONS

This SLA is effective … and will expire … or until a Service Level Agreement is in place with participating ministries covering the [initiative].

Amendments or additions will be agreed to and signed by all parties, and will be documented in writing, including any resulting change in costs and liabilities, as a signed appendix, constituting an amendment to the original agreement.

5.0 BUSINESS MODEL

The nature of the relationship pertaining to this agreement is a partner relationship, between ISDD and ******* Insert Ministry Name**

The ISDD will provide … will support agreed-upon ministry business rules … ISDD responsibilities end… Please see Appendix 2, Architectural Diagram and Appendix 2 for the Scope of Responsibilities Summary for more detail.
Partner Ministries will be responsible for their own … and remain responsible and accountable for their own back-end systems, delivery of the service/product and operational support.
The ISDD will manage contracts with other service providers/ business partners contracted to develop, modify or maintain [the services].

6.0 ISDD Role

The ISDD, in partnership with participating ministries, will strive to deliver smooth, responsive, high quality, professional services to the public and will fulfill the following role/responsibilities:
Management of changes to …

  - Support and maintenance of
  - Management and monitoring of security infrastructure
- Risk Management
- Quality Assurance
- Coordination of transitioning
- Communication Planning services
- Coordinate the resolution of media/political issues
- Coordinate the resolution of program issues and escalate when required
- Manage performance and provide reports, including volume/traffic/trend and statistical reports
    - Provide customer support
    - Provide timely update and distribution of contact lists

7.0 Partner Ministry Role

The ministry will remain responsible and accountable for ministry programs in terms of legislation, policy, definition and delineation of service delivery requirements.

- Provide ministry information for strategic direction and business planning
- Provide advance notice of any changes to ministry legislation, policy or products/services delivered by ISDD
- Support, maintenance and monitoring
- Manage risks
- Provide feedback and/or make recommendations to quality assurance reviews
- Conduct unit testing and integrated testing
- Participate in communication planning
- Consultation with ISDD to transition to the new delivery infrastructure
- Appropriate ministry staff address or provide input into any ministry related media/political issues in accordance with Issues Management protocol
- Provide input into the resolution of business program issues and escalate when required
- Provide telephone/email customer support

- Compile inquiry statistics and share emerging inquiry trends/issues
- Provide timely update and distribution of contact lists

8.0 ISSUES RESOLUTION AND ESCALATION PROCESS

An Issue Resolution and Escalation Process is being developed and will be based on a model where parties agree to make every effort to solve problems at the lowest level, progressing to the next level only when necessary.

9.0 ONGOING CONSULTATION

The Ministry Service Managers, as identified in Appendix 4, shall meet as required during the specified duration of this agreement to consult on ongoing service delivery and issues resolution processes, at the request of at least one Ministry Service Manager.

10.0 INTEGRATION AND TRANSITION

ISDD will co-ordinate the transition

11.0 CHANGE CONTROL

ISDD will be responsible for the over-all co-ordination of any changes. All change requests must be in writing and reviewed by the Ministry Service Managers.

12.0 QUALITY ASSURANCE

ISDD will take a proactive approach by conducting a Quality Assurance (QA) review on a scheduled basis. ISDD will also monitor feedback received by the public about the service and be responsive/make changes where applicable and practical.

13.0 COMMUNICATION PLANNING

ISDD will coordinate all the communication. Ministries will be responsible for ministry-specific communications.

14.0 I.T. RISK MANAGEMENT

ISDD is responsible to provide a secure environment and structure and that we apply all the government security standards.

15.0 PROGRAM ISSUES MANAGEMENT

All Partners agree to keep each other informed of any issues or potential issues that have bearing on the party. Both parties will responsible for keeping ministers, minister's staff, and senior management aware of emerging issues getting any sign-off as may be required.

Accountability for program issues will reside with the Partner Ministries. Where a ministry becomes aware of an incident they will immediately notify ISDD.

Accountability for the [delivery system] will reside with ISDD.

16.0 CUSTOMER SUPPORT

Customer Support will be a joint role with Partner Ministries.

17.0 TECHNICAL SERVICES
ISDD will be responsible for… Partner Ministries will be responsible for…

18.0 FINANCIAL ARRANGEMENTS
ISDD will assume operational and ongoing maintenance costs... Individual ministries will provide funding for… Partner ministries will be responsible for…

19.0 INTERNAL AUDIT
All partners will determine the need for and agree to any special audit to be conducted and will be responsible for conducting the audit, and acting on any recommendations.

20.0 OWNERSHIP OF DATA AND SECURITY
ISDD will not have ownership of any personal information. ISDD is responsile for the secure transmission…

21.0 CONFIDENTIALITY AND PRIVACY
ISDD and Partner Ministries are bound by The Freedom of Information and Protection of Privacy Act (FIPPA) when it has custody or control of records in relation to this Agreement. Therefore, all parties will share information in accordance with FIPPA and will abide by the legislation in respect of both access and privacy matters.
Each Partner will be responsible for responding to any requests for Partner Ministry program data under the Freedom of Information and Protection of Privacy Act.
ISDD and Partner Ministries shall not disclose any personal information to third parties except to its employees, contractors, sub-contractors, vendors and assignees to the extent that such disclosure is required in order for ISDD and Partner Ministries to perform their obligations under this agreement.

ISDD and Partner Ministries agree that all data, documents, information and materials, including all formats and expressions thereof obtained by any contractor, sub-contractors, vendors or assignee of ISDD and Partner Ministries, for use in carrying out the terms and conditions of this agreement shall remain the sole property of the respective Ministries and must be treated as confidential and shall not be used for any other purpose.

22.0 PARTIES TO THIS AGREEMENT

This agreement is made between ISDD and Partner Ministries to provide the business support services described and defined in the attached schedule/s and appendices.

23.0 ENTIRE AGREEMENT

This Agreement, including the following Schedules and appendices constitutes the entire agreement between the parties,

Appendix 1	Technical Definitions
Appendix 2	Architectural Diagram
Appendix 3	Scope of Responsibilities Summary
Appendix 4	Contact List

Each party is signatory to this agreement, including any amendment, renewal or termination thereof.

24.0 EFFECTIVE DATE AND SIGNATURE

We the undersigned certify that we have reviewed this SLA and agree to the terms and conditions.

Director *Date*

Director *Date*

Appendix D – Sample Project Charter

PROJECT CHARTER/SCOPING DOCUMENT

Project Name:			
Version #:		Project Manager:	
Version Date:		Project Sponsor:	
Project Completion Date:		Project Manager's Director: (If different from Sponsor)	

This document is divided into two parts. It is recommended that all project managers complete Part A of the document and have it approved by the project sponsor. It is strongly recommended that project teams of medium and large projects (generally projects lasting longer than 3 months) should complete both PART A and PART B of the Charter.

For large and medium projects: It is recommended that Part "A" be reviewed and approved by Project Sponsor prior to finalizing Part "B."

PART A

Purpose & Background:

Deliverables	Target Completion Date

Scope:	
What's "IN" Scope	What's "OUT" of Scope

Critical Success Factors**:**	**Risks**

Critical Success Factors**:**	**Risks**

Project Budget			
Total budget:			
Funding source (select one):	Base	New	Comments

PART A SIGN OFF:

Project Manager					
Name:		Signature:		Date:	
Project Sponsor					
Name:		Signature:		Date:	

PART B

Project Team – Preliminary Resource Allocation			
Team Members (Branch, Ministry)	Key Roles in the Project	Estimated Level of Effort / month	
		Month(s)	Days/month

Partners – If a multi-partner initiative?	
Partner	Roles and Responsibilities

Stakeholder Analysis:		
Stakeholder	Their Interest in the Project	How will stakeholders' needs be met?

Project Communications – 'Keeping people in the loop'			
Who	What Information	How/Mode	Frequency

Interdependencies with other Initiatives/Projects:	
Initiative/Project	Interdependency

Total Project Budget: (if further breakdown necessary attach detail)				
	Fiscal Year 1 ($)	Fiscal Year 2 ($)	Fiscal Year 3 ($)	Total ($)
Total ($)				

Preliminary Risk Scan:			
Risk	Likelihood **H**igh/**M**ed./**L**ow	Impact **H** / **M** / **L**	Mitigation Strategy

Project Management Protocols	Location of template or resource	Will this Process or Plan be used (Yes, No, N/A)	If yes what is the target date for completion?
Change Process	Can be found in the Template section of the PMO intranet site (intra.cbs.gov.on.ca)		
Issues Management	Can be found in the Template section of the PMO intranet site (intra.cbs.gov.on.ca)		
Risk Management Plan	Can be found in the Template section of the PMO intranet site (intra.cbs.gov.on.ca)		
Quality Assurance Plan	Can be found in the Template section of the PMO intranet site (intra.cbs.gov.on.ca)		
Project (MS Project) Plan	Samples can be found in the Template section of the PMO intranet site		
Communications Plan	Please contact your account executive at the Communications Branch		
Privacy Impact Assessment	Can be found at: http://www.gov.on.ca/MBS/english/fip/pub/		
French Language Requirements			

List Additional Documents to Support Purpose and Background:

PART B Sign-off:

Project Sponsor:					
Name:		Signature:		Date:	
Partners:					
Name:		Signature:		Date:	

Name:		Signature:		Date:	
Project Manager's Director (if different from Sponsor):					
Name:		Signature:		Date:	
Project Manager:					
Name:		Signature:		Date:	
Team Members:					
Name:		Signature:		Date:	
Name:		Signature:		Date:	