

Response of Library and Archives Canada to Round IX Management Accountability Framework



Action Plan 2012–2013



Library and Archives
Canada

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Message from the Deputy Head and Librarian and Archivist of Canada

The responsibility of Library and Archives Canada (LAC) is to acquire, preserve and make available the documentary heritage that accurately reflects the evolution of Canadian society, by applying selection criteria based on public policies, while presenting the most representative image possible of Canadian life, using known and transparent processes.

LAC has made significant progress during a period marked by a profound transformation in the networks that disseminate information. To adapt to this new environment and meet the challenge of better serving Canadians in the 21st century, LAC began, in 2010, an examination of its activities and processes in order to meet Canadians' changing needs in a world focused on digital information.

This examination led to an in-depth review of the defining concepts and principles of action underlying LAC's business practices, and they were transformed by the adoption of new work processes particularly with core activities of human resources, information management, appraisal, resource discovery, holdings management, digital preservation, and stakeholder engagement.

In fiscal 2012–2013, LAC will be assessed only on the following six fundamental areas of management (AoM): Values and Ethics (AoM 1), Internal Audit (AoM 5), Evaluation (AoM 6), Financial Management and Control (AoM 7), Integrated Risk Management (AoM 9) and finally, People Management (AoM 10).

After the final assessment of Round IX (2011–2012) LAC will concentrate on the following elements of the Management Accountability Framework (MAF):

- AoM 1 (Values and Ethics)—Develop a values and ethics action plan to solve the gaps identified in the 2011 Public Service Employee Survey (PSES);
- AoM 8 (Security)—Develop and have approved the departmental security plan;
- AoM 12 (Information Management)—LAC received an acceptable score (green) and wishes to continue to improve its recordkeeping practices and to complete the implementation of its retention and disposition plans, given its status as a leader in information management.

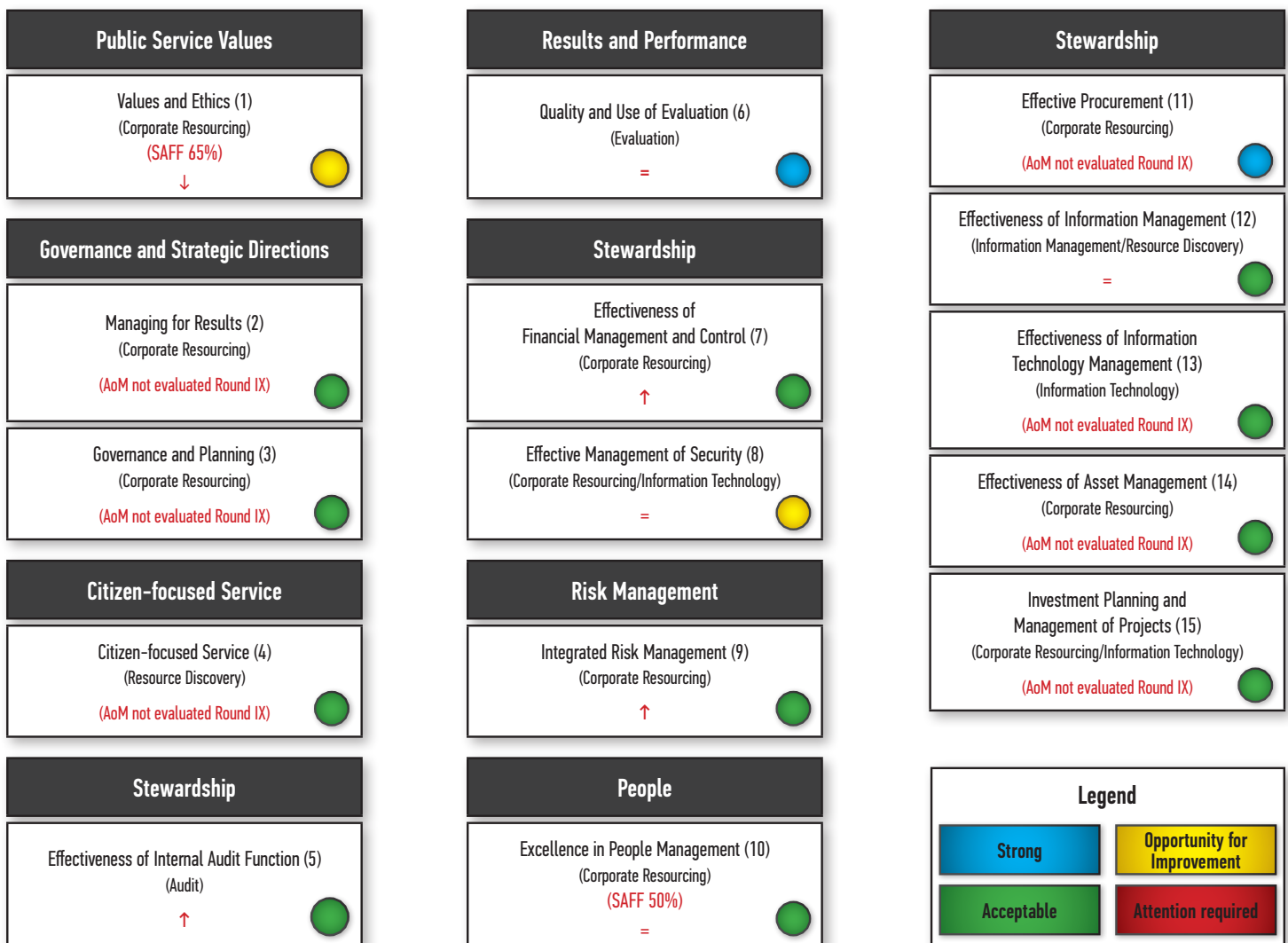
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Deputy Head and Librarian and Archivist of Canada

Introduction

As part of this government-wide process, Library and Archives Canada (LAC) was assessed during Round IX 2011–2012 of the Management Accountability Framework (MAF) on eight areas of management (AoM). However, actions were implemented for all the areas of management in order to pursue improvements. LAC considers the MAF to be an important tool allowing managers to identify the strengths and weaknesses of the organization’s management. Since the process began in 2003–2004, LAC has used its analytical framework to improve planning and assess progress made with management accountabilities. The results of the MAF assessments over the past years allowed the institution to identify management priorities for the coming year to improve its performance. Further to the assessment of the response to Round IX 2011–2012 and in accordance with MAF standards, LAC will implement a series of specific actions concerning each AoM in order to maintain or improve, as the case may be, its management throughout the organization. For more details on this subject or to consult the assessment, visit the Treasury Board Secretariat’s (TBS) page on the Management Accountability Framework: <http://www.tbs-sct.gc.ca/maf-crg/index-eng.asp>.

Management Accountability Framework Round IX 2011–2012 (Final TBS Assessment)



Public Service Values

One of the main objectives of the Values and Ethics Code for the Public Service is to strengthen values-based leadership and to improve the quality of the working environment within the public service. Under the Code, Deputy Heads and their management teams are responsible for to actively encouraging and authenticating the public service's values and ethics in their departments' culture, decision making, and management practices.

The evolution of LAC's Values and Ethics Initiative was shaped by a number of considerations, such as the nature of the organization and its relatively small size. The creation of a formal Values and Ethics Program was not considered necessary; instead the organization chose a more flexible approach based on leadership and dialogue.

Ethical issues are dealt with as needed, so they can be addressed promptly and adequately. In addition, LAC has a unique organizational culture based on the strong ethics of its professional communities, each of which has its own code of conduct. This factor further strengthens the cultural integrity of the public service created by TBS policies and procedures.

Area of Management (AoM)	TBS Evaluation
Values-based Leadership and Organizational Culture (AoM 1)	

TBS Recommendations

- LAC could use various tools (surveys, statistics, etc.) to further examine results obtained since the first efforts were made in the area of values and ethics and the impact of this infrastructure on employees.
- It would be to LAC's advantage to provide more evidence that managers and employees are applying values and ethical principles in their daily work.
- LAC should examine in more detail the parts of the 2011 Public Service Employee Survey on which it received lower ratings and undertake activities to solve these problems.

LAC Action Plan

1. LAC will examine the possibility of building an online tool to consult employees on different values and ethics issues.
2. LAC will adopt the format of the TBS *Public Sector Code of Conduct* and will supplement it if needed with an implementation guide and/or directives relevant to the operational context of the institution.
3. LAC will implement the TBS *Conflict of Interest Policy*, adopt the format established by TBS and develop its own conflict of interest cases.

Governance and Strategic Directions

The Government of Canada's strategic direction is to provide Members of Parliament and the public with relevant, accurate, consolidated and timely information on how taxpayers' money is spent on achieving results for Canadians.

In 2011–2012, LAC revised its Program Activity Architecture (PAA) and Performance Measurement Framework (PMF) in order to achieve the results of the Government of Canada's policies, programs and services. Last December, LAC also simplified its governance structure to support effective and informed decision making.

This year, LAC will modify its PMF again to comply with modifications made to the *Policy on Management, Resources and Results Structures*, revise its PAA to integrate the decisions in the last federal budget and the effects of implementing the Deficit Reduction Action Plan and also ensure that the governance terms of reference are aligned with its new organizational model implemented in 2011–2012. Finally, LAC will communicate its broad strategic directions and key activities in its 2012–2015 business plan.

Areas of Management	TBS Evaluation
Managing for Results (AoM 2)	
Governance and Planning (AoM 3)	

TBS Recommendations

Managing for Results

LAC was not assessed on this AoM this year. Therefore, the rating is carried over from the last year that LAC was assessed on this AoM.

Governance and Planning

AoM 3 was not assessed in the current Round as it is assessed on a rotational basis. Therefore, the rating is carried over from the last Round that LAC was assessed on this AoM. However, LAC will continue to make progress in this area in 2012–2013.

LAC Action Plan

Managing for Results

4. LAC will modify its PMF in compliance with the requirements of the *Policy on Management, Resources and Results Structures*.
5. LAC will undertake a review of its PAA and the associated descriptions.
6. LAC will integrate audit and assessment reports into its 2011–2012 *Departmental Performance Report*.

Governance and Planning

7. LAC will review the terms of reference of its governance to ensure compliance with its new organizational model.
8. LAC will finalize and communicate its business plan.

Citizen-focused Service

Every day, the Government of Canada delivers a broad range of services that affect the well-being of individuals and organizations across Canada and abroad. Excellence in service delivery contributes to achieving public policy goals, offers a return on investment, increases the level of client satisfaction and promotes confidence in the government. Services represent a major investment for the Government of Canada.

Information technologies have significantly changed how Canadians access and use information. LAC must adapt to this new reality to stay relevant. From that perspective, LAC has to ensure sound service management practices, be client-service oriented and consider the views and needs of the public or its clients when developing new policies, programs, services and initiatives. LAC’s service model is being implemented to ensure that the emerging needs of Canadian society in a rapidly changing digital environment are fully met.

In today’s online environment, Canadians expect to find information easily, immediately and autonomously. In order to stay relevant in an increasingly interconnected society, LAC is committed to reorienting how it connects with Canadians. Given current budget realities, LAC must function with limited resources while seeking to expand its reach to Canadians. This means shifting its emphasis from traditional labour-intensive in-person approaches to approaches that leverage digital technologies and collaboration with users and other communities of interest, enabling much wider connections among citizens.

The goal of this new approach is to:

- ensure all Canadians can discover, contribute to and share LAC content when, where and how they wish;
- offer LAC content for the walls and screens of others;
- ensure immediate access to LAC content so that clients can use and repurpose that content to create new knowledge; and
- emphasize digital service delivery.

Area of Management	TBS Evaluation
Citizen-focused Service (AoM 4)	

TBS Recommendations

- AoM 4 was not assessed in the current Round as it is assessed on a rotational basis. Therefore, the rating is carried over from the last Round that LAC was assessed on this AoM. All recommendations have been taken into consideration and measures have been taken to implement them. However, LAC will continue to modernize its services to meet the challenges of the 21st century.

LAC Action Plan

9. LAC will increase its digital content by:
 - establishing a digital content strategy to support the growth of digital content;
 - launching a Portrait Portal for its national portrait collection; and
 - posting research tools online.
10. LAC will modernize its reference services by:
 - redesigning its interlibrary loan services; and
 - creating a unit of reference experts.
11. LAC will develop and launch digital kits with thematic content on documentary resources related to:
 - immigration;
 - Aboriginal peoples;
 - transportation; and
 - the prime ministers of Canada.
12. LAC will make it easier to find content by:
 - conducting a block review project to open government records; and
 - outsourcing the National Union Catalogue.

Results and Performance

Within the Government of Canada, assessment consists of systematically collecting and analyzing relevant data on the results of programs in order to assess their relevance and performance and to find, if necessary, better delivery methods to obtain the same results.

LAC gives great importance to management based on measurable results meeting previously defined objectives and targets based on the organization’s mandate, activities and services.

In order to optimize the use of resources for its programs in a context of transparency, accountability and flexibility, LAC ensures that it has the means to attain the desired results. The selected orientations and multi-year objectives are consistent with the directions and financial framework.

Area of Management	TBS Evaluation
Quality and Use of Evaluation (AoM 6)	

TBS Recommendations

- LAC is encouraged to continue its efforts to meet the requirement of presenting efficiency and economy measures in its assessments.

LAC Action Plan

To comply with TBS’s assessment policy:

13. The Audit and Evaluation Branch will recommend to the Evaluation Committee and the Deputy Head that they support immediate implementation of the appropriate methodology to identify performance measures for each PAA program in order to be able to measure and ultimately demonstrate the savings and efficiency of programs based on outputs and resource costs. Once approval is received, the Audit and Evaluation Branch will work in collaboration with the Finance Division and the Strategic Planning and Infrastructure Management Branch to develop and implement this methodology.

Risk Management

In a dynamic, complex environment, LAC must be able to recognize and understand new challenges and opportunities, adapt to them, and benefit from them. The pursuit of efficient risk management is one way in which LAC will improve decision making and resource allocation.

In 2011–2012, LAC drafted and communicated its corporate risk profile and developed an internal project management application with a risk management component. Also, after the reorganization that occurred during the year, LAC now has a solid in-house capacity for strategic research and policy development. These changes gave LAC concrete means to adapt to change and uncertainty by counting on information that will allow it to make effective decisions on planning, project management, policy making, finances and even audit and evaluation.

Over the next three years, LAC wants to continue gradually implementing integrated risk management by adopting a thorough but light approach so as not to add an administrative burden to the organization. The action plan will be revised yearly as part of the integrated planning process and the results will allow us to review the risks and to update the main risk management instruments, that is, the corporate risk profile and the register of operational risks.

Area of Management	TBS Evaluation
Integrated Risk Management (AoM 9)	

TBS Recommendations

- LAC is encouraged to implement mechanisms to monitor, adjust and proactively communicate responsibilities and measures of response to risk.
- LAC is encouraged to finalize, approve, implement and communicate the 2011–2014 three-year action plan (including the communication plan and the vision and direction document).

LAC Action Plan

14. LAC will implement mechanisms to monitor project management risks (dashboard).
15. LAC will implement mechanisms to monitor operational risks (dashboard).
16. LAC will finalize, approve, communicate and implement a three-year action plan.

People

Effective human resources (HR) planning forms the basis of aligning human resources and is used to understand the organization's current and future business needs.

LAC depends to a great extent on the skills, energy and commitment of its people. Consequently, in order to attract and retain highly qualified personnel, LAC must be able to provide a working environment that not only fosters employee development but also maximizes their opportunities to achieve the organization's goals. LAC recognizes the importance of individual contributions and the resulting obligation to provide all employees with a safe, stimulating, and constructive work environment.

LAC is committed to providing a corporate approach to managing its people by:

- Providing a clear strategic approach to workforce management;
- Supporting processes and practices that recognize and reward excellence in its people and value their contributions;
- Promoting leadership and mentorship among managers in order to support them in effectively managing their employees; and
- Ensuring constant application of human resources policies and practices that promote transparency, honesty and fairness in personnel management.

Area of Management	TBS Evaluation
Excellence in People Management (AoM 10)	

TBS Recommendations

- LAC is encouraged to improve performance management and talent management.
- LAC is encouraged to continue its efforts to strengthen its leadership.
- As for employment equity, LAC could also benefit from improved representation of Aboriginal persons and visible minorities and an improved promotion rate for persons with disabilities.

LAC Action Plan

17. LAC will develop and begin implementing the 2011 Public Service Employee Survey Action Plan, which will be part of the 2012–2014 HR Plan.
18. LAC will increase employment equity awareness in order to dispel some myths and improve representation within the organization.
19. LAC will continue its efforts to settle cases of long-term acting appointments.
20. LAC will extend the Talent Management Program to the EX-01 to EX-03 community.
21. LAC will create an Employee Engagement Working Group to draft recommendations to increase employees' confidence in senior management and their engagement toward LAC's priorities.
22. LAC will begin implementing the Common Human Resources Business Process Action Plan, which will be part of the 2012–2014 HR Plan.

Stewardship

A balanced approach to effective, efficient and economical management of administrative, control and institutional planning functions contributes to the implementation of worthwhile programs and the achievement of government objectives.

LAC has set up effective management practices, as shown by its planning cycles, activities and reports.

LAC will continue its work to draft policies, strengthen capacities for information management, information technology, security management, audit, access to information and privacy in order to manage information and technology assets.

Areas of Management	TBS Evaluation
Effectiveness of Internal Audit Function (AoM 5)	
Effectiveness of Financial Management and Control (AoM 7)	
Effective Management of Security (AoM 8)	
Effective Procurement (AoM 11)	
Effectiveness of Information Management (AoM 12)	
Effectiveness of Information Technology Management (AoM 13)	
Effectiveness of Asset Management (AoM 14)	
Investment Planning and Management of Projects (AoM 15)	

TBS Recommendations

Effectiveness of Internal Audit Function

- LAC is encouraged to continue its progress on carrying out its retention strategies.
- TBS suggests that LAC continue to make progress in monitoring management action plans.
- LAC is encouraged to continue its progress on strengthening the quality assurance improvement program.

Effectiveness of Financial Management and Control

- LAC adequately manages the effectiveness of its internal control over financial reports, but progress is possible in the areas of documentation, design and tests of operational effectiveness.
- It is recommended that LAC continue consultations with users of financial systems.
- LAC is encouraged to improve its payroll administration model.
- LAC is encouraged to continue its commitment to the learning, training and development of its financial officers.

Effective Management of Security

- LAC should finish preparing the departmental security plan and have it approved by the Deputy Head.
- LAC should highlight activities related to its security program.

Effective Procurement

LAC was not assessed on this AoM this year. Therefore, the rating is carried over from the last year that LAC was assessed on this AoM.

Effectiveness of Information Management

- LAC should monitor implementation of the information management strategy through regular reporting and adjust the strategy if needed.
- LAC should create a comprehensive directory of electronic information repositories.
- LAC should undertake to identify information resources of business value.
- LAC should ensure that retention and disposition schedules are established and that disposition takes place.
- LAC should ensure that record categories and personal information files related to the organization are examined and updated as needed.

Effectiveness of Information Technology Management

AoM 13 was not assessed in the current Round as it is assessed on a rotational basis. Therefore, the rating is carried over from the last Round that LAC was assessed on this AoM.

Effectiveness of Asset Management

AoM 14 was not assessed in the current Round as it is assessed on a rotational basis. Therefore, the rating is carried over from the last Round that LAC was assessed on this AoM.

Investment Planning and Management of Projects

AoM 15 was not assessed in the current Round as it is assessed on a rotational basis. Therefore, the rating is carried over from the last Round that LAC was assessed on this AoM.

LAC Action Plan

Effectiveness of Internal Audit Function

23. LAC will perform a self-assessment of the internal audit function (using the self-diagnostic tool available on the Office of the Comptroller General website) by the end of 2012–2013.

Effectiveness of Financial Management and Control

24. LAC will establish processes to comply with the following guidelines:

- post payment verification assurance audit
- payroll administration

25. LAC will modify the quarterly financial statements to meet Standard 1.3.

26. LAC will ensure availability and financial resources to promote mandatory training for financial officers.

27. LAC will review the Departmental Financial and Materiel Management System Plan to make sure that it meets the needs of the organization and clients alike.

28. LAC will ensure implementation of the *Policy on Internal Control* action plan.

Effective Management of Security

29. LAC will finalize and approve its departmental security plan in compliance with the *Policy on Government Security* requirements.

30. LAC will finalize a review of its emergency response plans and will have them approved by Human Resources and Skills Development Canada (HRSDC) before the end of the fiscal year. An implementation plan will be developed for each of its facilities once approved by HRSDC.

31. To improve its Management of Information Technology Security (MITS) rating, LAC will implement an incident management tool by the end of 2012–2013, along with procedures on how to track and report incidents.

32. For MITS purposes, LAC will define a procedure to ensure these are tracked and documented internally.

33. In collaboration with Shared Services Canada, LAC will manage and track its interactions with the Canadian Cyber Incident Response Centre.

34. LAC will conduct a threat and risk assessment of the SharePoint platform (internally and externally).

35. LAC will conduct certification and accreditation on the external collaboration platform.

Effective Procurement

36. LAC will offer mandatory integrated training to managers.

37. LAC will develop a SharePoint tool to facilitate producing compliance reports.

38. LAC will develop a workload distribution database to ensure better management of follow-ups and of the procurement team's files.

Effectiveness of Information Management

39. LAC will develop a process, automated if possible, to ensure consistent application of current document retention and disposition recommendations (digital).
40. LAC will develop an internal procedure to enable staff to consistently apply sound information management (IM) practices when transferring information resources of business value to the Records Office (this applies mostly to legal information).
41. LAC will develop a disposition plan for the Records Office that is consistent with current recommendations for retention and disposition (this applies mostly to legacy, paper information).
42. LAC will develop and implement an IM awareness plan for 2012–2013 that is consistent with current IM practices and informs staff of their roles and responsibilities in this area (including their role in developing LAC's Digital Office).

Effectiveness of Information Technology Management

43. As part of the Digital Office, LAC will develop six business applications in SharePoint.
44. Modernize all LAC workstations with Windows 7, IE8, Office 2010 and modern, innovative tools.
45. Modernize the Service Centre and develop a service management tool to replace the existing incident/problem/service request tool.
46. Provide collaboration portals with external entities.

Effectiveness of Asset Management

47. Develop a Treasury Board submission for Transfer of Custody:
 - Including the long-term real property plan and completed real property management framework;
 - Include Governance for Real Property.
48. LAC will develop a real property management framework.
49. LAC will develop and implement a capacity and organization model for custody transfer.

Investment Planning and Management of Projects

50. LAC will review its investment plan.
51. LAC will proceed with project management training for LAC employees.
52. LAC is committed to developing useful and simple project management tools.
53. LAC will help to develop the Corporate Project Management Office.
54. LAC will integrate IT planning into the corporate planning process.

Conclusion

In this fiscal year, LAC carefully pointed out all the measures in this plan designed to bring its capacities for internal management up to an appropriate level in order to support carrying out its mandate. This will continue to be monitored closely via a SharePoint application (<http://sharepoint.lac-bac.int/SiteDirectory/MAF/SitePages/Home.aspx>) and reported quarterly to the Management Board using the corporate dashboard. These actions also reflect LAC's current resource availabilities. Close attention will be paid to three areas of management: values and ethics, information management, and security. LAC is confident that the progress made in implementing the MAF assessment recommendations will enhance sound management within the organization, making it more relevant to Canadians.