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Management Accountability Framework Assessment

Round V (2007–2008)

Response of Library and Archives Canada

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Response of Library and Archives Canada to the Round V (2007–2008) Management Accountability Framework Assessment

This document follows up on Round V of the Management Accountability Framework (MAF) assessment done by the Treasury Board of Canada Secretariat (TBS) for Library and Archives Canada (LAC). For more details or to consult the assessment, please go to: <http://publiservice.tbs-sct.gc.ca/maf-crg/assessments-evaluations/2007/bal/bal-eng.asp>

Based on the vision contained in *Results for Canadians: A Management Framework for the Government of Canada* (www.tbs-sct.gc.ca/report/res_can/rc-eng.asp), the MAF is structured around 10 key elements that set out Government of Canada expectations for good public service management. The MAF is intended to provide managers in the public service with a specific list of management expectations within an overall framework that is conducive to strong organizational performance. For more information on the MAF, please go to www.tbs-sct.gc.ca/maf-crg/index-eng.asp.

From its beginnings in 2003–2004, the MAF has proven to be an important tool for accountability that helps pinpoint management strengths and weaknesses within organizations. The vision of management and of the analytical framework has been defined, and the MAF has become an even more important tool for departments and agencies with respect to planning and assessing the progress made in management. Given that LAC is a small organization, the MAF assessment process occurs every two years.

In 2007–2008, TBS assessed LAC's MAF performance by analyzing 21 separate areas of management (indicators). For all of the indicators assessed, LAC earned 2 "strong" ratings (blue), 13 "acceptable" ratings (green), 5 "opportunity for improvement" ratings (yellow) and no "attention required" ratings.

TBS congratulated LAC on its efforts to improve management relating to the following indicators:

- Values-based leadership and organizational culture (indicator 1)
- Utility of the corporate performance framework (indicator 2)
- Risk management (indicator 9)

TBS also highlighted the efforts of LAC to maintain strong ratings for the following indicators:

- Effective procurement (indicator 16)
- Extent to which the workplace is fair, enabling, healthy and safe (indicator 10)

TBS also identified several indicators for which there is room for improvement, including:

- Quality and use of evaluation (indicator 6)
- Effectiveness of information management (indicator 12)
- Quality of analysis in TBS submissions (indicator 5)
- Effectiveness of internal audit function (indicator 18)
- Quality reporting to Parliament (indicator 7)

In response to the TBS 2007–2008 assessment, LAC is submitting this blueprint of its short- to long-term commitments. According to the MAF, LAC is implementing a specific action plan for each indicator that is intended to maintain or improve management across the organization.

Public Service Values

The Government of Canada expectations for public service values focus on the actions of leaders, who must consistently emphasize “the importance of public service values and ethics in the delivery of results to Canadians (e.g., democratic, professional, ethical and people values).”

In 2004, the establishment of LAC resulted in a unique organizational culture founded on two professional institutions, the National Archives of Canada and the National Library of Canada, each of which had their own set of values and code of conduct. Since it was created, LAC has been working to harmonize the different values of the former institutions, and to publicize the values that govern and guide it as a new knowledge institution. Here, LAC promotes public service values to employees, fostering sound and exemplary management practices, and encouraging respectful interpersonal relationships characterized by integrity.

In terms of “public service values,” TBS congratulates LAC for its performance and encourages continued good work in achieving tangible results. TBS also encourages LAC to distribute more information on the Public Servants Disclosure Protection Act and institute internal disclosure processes.

Indicator	TBS evaluation
1. Values-based leadership and organizational culture	

TBS recommendations:

- Formally incorporate values and ethics into executive leaders’ evaluation on performance management, and assess the effectiveness of doing so.
- Train managers to apply values and ethics risk management.
- Distribute more information on the Public Servants Disclosure Protection Act (PSDPA); establish internal disclosure processes.
- Use employee feedback from across the organization on an ongoing basis to measure values and ethics culture and employee engagement.

Action plan:

- LAC already ensures its executives have strong values and ethics:
 - LAC will continue to include formal values and ethics assessment tools for the recruitment of executives.
 - Values and ethics are a part of all executive performance evaluations.
- LAC will continue to ensure that managers and employees have training in and apply risk-management concepts, techniques and tools by engaging in the following activities:
 - Employees are actively encouraged to contact the values and ethics senior officer, not only with specific cases but also for general issues and general guidance. LAC assures confidentiality of contacts with the values and ethics senior officer.
 - LAC makes presentations on values and ethics to all new employees as part of their orientation.
 - Managers communicate decisions and policies related to values and ethics to employees.
- LAC will distribute more information on the PSDPA:
 - Detailed information on the PSDPA will be posted on the Intranet (Fall 2008).
 - A presentation on the PSDPA will be presented at the Management Forum (i.e., the forum in which all managers receive and exchange information to support sound management practices at LAC) (TBD).
 - LAC will use employee feedback obtained through a Public Service Employee Survey to measure its values and ethics culture (TBD).
 - Internal disclosure processes are being established.

Governance and Strategic Directions

The Government of Canada would like to see that “the essential conditions—internal coherence, corporate discipline and alignment to outcomes—are in place for providing effective strategic direction, support to the minister and Parliament, and the delivery of results.”

When it comes to meeting TBS expectations for governance and strategic directions, some factors, in particular LAC’s mandate and size make the institution’s situation very different from that of large government departments. As a result, LAC faces specific challenges. Among other things, a number of LAC programs are based on activities that do not correspond to the TBS definition of a program. This creates a major challenge for LAC when it is time to define its activities and associate them with strategic outcomes. It is in this context that the institution has harmonized its activities and structure in the way most likely to achieve the outcomes desired by the Government of Canada for the policies, programs and services it finances. The institution has developed a Program Activity Architecture (PAA) that reflects its activities and forms the structure around which management is articulated.

LAC thus has a Management, Resources and Results Structure (MRRS) that gives it an effective strategic direction. In its assessment, moreover, TBS acknowledges that, at LAC, “organizational programs are well aligned with the strategic outcomes targeted” due to the value of the framework the institution has adopted.

Indicators	TBS evaluation
2. Utility of the corporate performance framework	
3. Effectiveness of the corporate management structure	
4. Effectiveness of extra-organizational contribution	

TBS recommendations:

- The strategic outcome gives a good indication of what the organization is trying to achieve for Canadians. The strategic outcome is perceived to be measurable. The development of performance indicators will confirm the measurability of the strategic outcome.
- A number of the programs identified in LAC’s PAA, particularly the lowest levels, are activity based. LAC should ensure that all programs identified in its PAA meet the definition of a program as stated in the MRRS instructions.
- Many program titles are not self-evident. In some cases, the program titles are very generic.
- A reasonable alignment with the strategic outcomes has been developed.
- Finalizing the Programs and Services Sector business plan and aligning it with the business plan and the new PAA represents an opportunity for improvement.
- Strengthen demonstration of interdepartmental perspective in planning, integration efforts, and governance structures.

Action plan:

- LAC continues to contribute to developing an institutional culture for performance measurement through the information passed on to employees.
- LAC aligns its resources and responsibilities with its institutional and sector priorities by implementing the policy on MRRS.
- LAC constantly works to create ties with other departments and agencies in key areas such as planning, performance measurement, etc.
- LAC will institute a committee of champions, made up of senior managers, to set up a mechanism for collecting and analyzing data.
- LAC will ensure the usefulness of the performance measurement framework:

- A preliminary analysis and meeting will be organized with TBS to clarify the PAA (Fall 2008).
- Titles will be overhauled when the PAA is reviewed. A meeting will be set up with TBS to clarify its requirements and improve LAC's titles and definitions (Fall 2008).
- To improve the effectiveness of the organizational management structure, LAC:
 - Will ensure consistency between the PAA and revised LAC activities (Winter 2009).
 - Will develop performance indicators for the strategic outcomes (2009–2010).
- To improve the effectiveness of the extra-organizational contribution:
 - The Finance and Accommodation Branch will take part in developing sector plans to ensure they are aligned with LAC's business plan (March 2009).

Policy and Programs

According to the MAF, organizations must see to it that “Departmental research and analytic capacity is developed and sustained to assure high quality policy options, program design and advice to ministers.”

With respect to this component, LAC will show leadership during the development, monitoring, evaluation and revision of strategic and operational policies and programs. In this way, the institution develops and establishes strategies, procedures and initiatives on the strategic positioning of LAC’s relations with the portfolio of Heritage Canada, other government departments and agencies, and the communities and organizations of librarians and archivists.

TBS has used presentations to Treasury Board as a performance indicator for assessing the quality of the institutional analysis associated with this component of the MAF. Here, it has said that “LAC must strengthen its process for developing and analyzing its presentation before the Treasury Board and, in particular, must enhance its quality control process.”

Indicator	TBS evaluation
5. Quality of analysis in Treasury Board submissions	

TBS recommendation:

- Opportunities for improvement include: adding more detailed information in Treasury Board submissions, implementing a more robust quality control process and responding better to comments by the TBS analyst.

Action plan:

- LAC is currently restructuring its research and analysis functions. Creating the research, strategic planning and liaison division will bolster the institution’s capacities in this regard.
- LAC will create a full-time position that will be responsible for quality assurance and revising treasury board submissions (Fall 2008).
- LAC will review the roles and responsibilities of all sections submitting information to treasury board so as to improve the quality of its presentations (Fall 2008).
- LAC will follow up on TBS comments more rigorously by developing full, detailed responses within the time frames specified.
- LAC will have a forward business agenda that will be discussed by Management Board and shared with TBS.

Results and Performance

The Government of Canada wants to ensure that “relevant information on results (internal, service and program) is gathered and used to make departmental decisions, and public reporting is balanced, transparent, and easy to understand.”

Based on this component of the MAF, LAC undertakes to maintain the evaluation capacities it needs to obtain the data that are essential to LAC’s decisions and contribution, and to carry out professional assessments of institutional policies and programs. LAC places a high value on the thoroughness of its organizational reports. Relying on a PAA ensures that the content of the reports is in line with the institution’s activities and is easily understood.

TBS used two performance indicators in assessing this MAF component. The first deals with the quality and use of evaluation, with TBS stating “assessment of the evaluation function remains problematic, owing to the lack of evaluation reports.” The second deals with the quality of reporting to Parliament, where TBS recommends setting out LAC’s institutional expectations more clearly in the *Report on Plans and Priorities* (RPP) and the *Departmental Performance Report* (DPR).

Indicators	TBS evaluation
6. Quality and use of evaluation	
7. Quality reporting to Parliament	

TBS recommendations:

- Assessment of the evaluation function remains problematic, owing to the lack of evaluation reports.
- The greatest importance should be given to the quality of the evaluation now under way, so that the quality of the function may be validated.
- LAC could improve by clearly reporting program activity expected results in the RPP along with how performance will be judged.
- LAC could increase the results-focus of the RPP and DPR and ensure that planning and performance information is presented on the basis of the MRRS.
- By further discussing performance at the program activity level and the progress made towards strategic outcomes, LAC could augment the rigour of its reporting.
- LAC could further enhance the credibility and balance of the DPR by integrating objective, evidence-based performance information.
- Finally, LAC could improve by increasing its reporting on lessons learned and corrective actions.

Action plan:

- LAC has now instituted measures to provide for the quality and use of evaluation:
 - LAC will continue to update its governance structure for the evaluation function.
 - LAC will continue to share a risk-based evaluation plan with TBS.
 - A senior management committee is in place to support, oversee and monitor the evaluation function and management accountabilities arising from evaluations and results-based management accountability frameworks (RMAF).
- LAC will take the following actions to ensure quality reporting to Parliament:
 - The 2008–2009 RPP and the 2007–2008 DPR were presented on the basis of the MRRS.
 - Linkages between program activity and strategic outcomes level performance were made in the 2008–2009 RPP and the 2007–2008 DPR.
 - LAC will continue to revise and implement its performance measurement framework to include a complete set of performance measures with respect to the MRRS and PAA.

- Verifiable evidence-based performance information (when available) will be included in LAC's reports.
- The 2007–2008 DPR template provided to sectors included a lessons learned field; When pertinent, key lessons learned were integrated into the DPR, with more sufficient explanation provided. This good practice will continue.
- LAC will ensure the quality and efficient use of evaluation:
 - LAC will develop an RMAF for each PAA activity and for two enabling functions (Human Resources and Policy) (March 2009).
 - Based on the RMAFs, LAC will make a list of potential evaluation projects (between three and five) for the next three years (April 2009).
 - From the list of potential evaluation projects, LAC will establish an evaluation plan for next year and have it approved by a LAC Evaluation Committee (May 2009).
- LAC will ensure that quality reports are provided to Parliament:
 - The 2009–2010 RPP template will make it possible to better reflect expected outcomes through a preliminary analysis of the desired results (Fall 2008).
 - Upcoming DPRs will feature more effective comparisons by drawing more connections between program activities and strategic outcomes.
 - LAC will revise its PAA and adjust the related performance measures to support a fully developed performance reporting framework (2009–2010).

Learning, Innovation and Change Management

The Government of Canada wishes to ensure that “the department manages through continuous innovation and transformation, promotes organizational learning, values corporate knowledge, and learns from its performance.”

LAC is an institution undergoing organizational change. As the outcome of the recent merger of the former National Archives of Canada and the National Library of Canada, LAC has flourished. Many LAC employees have gone through a stimulating, exciting period of redefining old structures and approaches. The institution’s leaders and employees are now more aware of the need for organizational change to put the institution in the right position to carry out its mission within government, Canadian society and various professional communities.

TBS used only one indicator in assessing this component of the MAF, reaching the following conclusion: LAC manages organizational change in an acceptable manner; the institution has the capacities it needs to evaluate whether change is necessary.

Indicator	TBS evaluation
8. Managing organizational change	

TBS recommendation:

- An opportunity for LAC would be to be more proactive in engaging its employees with regard to change management.

Action plan:

- LAC has a plan for monitoring progress on organizational change.
- LAC has a learning plan for initiatives supporting change management.
- In the event of substantial organizational change, managers provide employees with change-management training.
- LAC will develop tools and mechanisms to encourage employee participation:
 - The Programs and Services Sector will post a new Services Strategy on the Intranet, with an email address where employees can send comments (Summer 2008). Staff meetings will involve a brown-bag activity to solicit ideas from employees (twice yearly).
 - LAC will develop a pilot project for an electronic forum where employees can discuss innovative ideas on organizational change.
- LAC will make organizational changes by drawing on the policies promoted by the TB, such as:
 - LAC’s Information Technology Branch and Organizational Readiness Office have undertaken a partnership to assess the readiness of implementing Information Technology Generics within the Computer Services unit. Through different communication vehicles, all information technology staff will be solicited to be actively engaged in developing this project.
 - LAC will strengthen its financial management by having a chief financial officer, which will require the merging of financial and non-financial planning functions.
 - LAC will also have a chief auditor who reports directly to the deputy minister, requiring a function to be redeployed.
- An internal communications plan will be developed to identify the goals, strategies, messages and communications products that will foster proactive engagement by LAC employees with respect to managing organizational change (March 2009).

Risk Management

The Government of Canada expectations for stewardship are as follows: “the executive team clearly defines the corporate context and practices for managing organizational and strategic risks proactively.”

LAC acknowledges the need to build its risk-management capabilities within the government. For several years now, LAC has kept pace with integrated risk management within its institution so as to improve outcomes by managing risk dynamically and by instituting appropriate mitigation measures. The institution acknowledges the importance of developing an overview of its environment so as to set its priorities in an appropriate and reasonable manner.

In its evaluation, TBS acknowledged LAC’s progress in organizational risk management, as the institution had implemented a corporate risk profile. LAC must, however, continue with its ongoing effort by incorporating risk management into its planning cycle.

Indicator	TBS evaluation
9. Risk management	

TBS recommendations:

- LAC should take care to implement an integrated risk management (IRM) framework and approach that reflects its size and context so as not to overburden the organization.
- Situate key risk and risk-related activity in a more coherent IRM approach so that staff and managers can see themselves in an entity-wide context.
- It would also be useful for the organization to set measures alongside key risks in an effort to track and demonstrate progress made year after year in addressing risks.
- Use IRM as a tool to help further by ensuring that a neutral definition of risk is used in all corporate risk activity.

Action plan:

- Senior management is actively involved in the development of its risk profile and regularly reviews it.
- LAC provides clear links between planned audit/evaluation activities, key corporate risks and strategic outcomes.
- LAC’s corporate risk profile (CRP) is aligned to operational and internal risks.
- Corporate planning is guided by risk management.
- LAC will assess the effectiveness of its risk-management practices (Fall 2008 and Winter 2009).
- Further to this assessment, LAC will:
 - Determine and implement required actions and measures for managing risks in a more integrated organization-wide fashion and to establish an internal audit function based on risk (Winter–Spring 2009).
 - Develop required performance measurement indicators (Summer–Fall 2009).
 - Ensure that a neutral definition of risk is used for all risks associated with organizational operations and activities.
- LAC will continue to develop its business continuity plan and clearly explain how it aligns with IRM and the CRP.
- A risk communication strategy will be developed and promoted.
- LAC will encourage all employees to use the project risk assessment tool the organization has developed.
- LAC will develop a risk management culture by:
 - Training members of LAC’s Management Forum on IRM (Fall 2008).
 - Providing tools and information on risk management on the Intranet to help managers adopt a risk-management approach to their project planning.

People

According to the MAF, the Government of Canada wishes to ensure that each “department has the people, work environment and focus on building capacity and leadership to assure its success and a confident future for the Public Service of Canada.”

In the framework of workforce mobility caused by retirements and the renewal of the public service, LAC plans to recruit and retain a qualified workforce that can help it carry out its mission. The institution is resolving issues related to official languages, meeting employment equity targets and developing a learning culture. LAC is also committed to providing an environment that supports employees where there is potential for growth and development, thus enhancing flexibility, productivity, job satisfaction and employability, while respecting each employee’s career goals.

TBS congratulated LAC for the measures instituted to provide a fair, enabling and safe work environment. The institution uses innovative practices that foster the development of a fair and diverse work environment that is both respectful of language rights and sensitive to the psychological health of employees.

Indicators	TBS evaluation
10. Extent to which the workplace is fair, enabling, healthy and safe	
11. Extent to which the workforce is productive, principled, sustainable and adaptable	

TBS recommendations:

- Establish measures to ensure appropriate management and control of the institution’s classification system through annual monitoring and corrective action and submit a departmental classification performance report to the deputy head for 2007–2008, and a copy of the report to the Canada Public Service Agency (CPSA).
- Ensure all employees have meaningful learning plans.
- The institution could improve its human resources planning by producing an approved integrated human resources and business plan and by communicating this plan to employees via its website.

Action plan:

- LAC has instituted measures to have better control over classification, such as:
 - The Human Resources division conducted an evaluation of the risks associated with administering the LAC classification and organizational program (May 2008).
 - A document that incorporates the conclusions of a risk analysis and presents an action plan for appropriate management and control of the LAC classification and organizational program was tabled before the LAC Human Resources Committee (July 2008).
- In terms of labour relations and equity, LAC will move ahead with its actions to provide employees with a fair, equitable work environment:
 - The Union Management Consultation Committee including the regional committee will continue to meet on a regular basis to foresee and address labour relation matters.
 - A 2007–2010 employment equity plan is in place with specific measures to reduce existing workforce representation gaps and maintain long-term balance.
 - LAC will continue to make available to its employees bilingual instruments and systems and will ensure linguistic competency.
- LAC will continue the following actions to cultivate a competent, productive and available workforce:
 - A performance measure has been added to all executive performance agreements to ensure that at least 90 percent of employees have learning plans in place and that a

corresponding discussion and assessment of these plans occurs between the employees and their supervisors.

- A performance measure has been added to all executive performance agreements to ensure that an integrated human resources plan is developed in co-operation with the Human Resources division and is communicated to staff. It outlines long-term strategic objectives and includes a staffing plan.
- LAC has developed Human Resources Planning Guidelines for managers.
- To move ahead with actions on classification control:
 - Various classifications and organizational guidelines will be established (March 2009).
 - A classification monitoring framework will be developed, leading towards monitoring activities and corrective actions (March 2009).
 - A 2007–2008 departmental classification performance report will be submitted to the deputy head and the CPSA (March 2009).
- LAC will continue actions designed to secure the workforce needed to carry out its mission:
 - An action plan will be presented to LAC's Human Resources Committee to produce integrated human resources and business plans, which will incorporate learning and be communicated to all employees (September 2008).
 - LAC will also communicate to all employees its policy on learning, training and development and will post this information on the Intranet site.

Stewardship

The Government of Canada expectations for stewardship are to ensure that every institution has a “departmental control regime (assets, money, people, services, etc.)” that is “integrated and effective,” and that its “underlying principles are clear to all staff.”

Stewardship includes a large number of administrative, control and institutional planning functions. LAC undertakes to institute the required tools and mechanisms that will help it engage in integrated resource management and achieve the best possible outcomes. The institution will also ensure that sound management is taken up by all employees.

TBS uses no fewer than eight indicators to assess LAC’s performance on stewardship. LAC’s evaluation highlights excellence in efficient procurement, which benefits from a governance structure and a wide array of proactive measures aimed at improving its operational efficiency. Yet TBS recommends that LAC create an internal strategy for progress in effective information management, with special attention to internal audit functions to improve their effectiveness.

Indicators	TBS evaluation
12. Effectiveness of information management	Yellow
13. Effectiveness of information technology management	Green
14. Effectiveness of asset management	Green
15. Effective project management	Green
16. Effective procurement	Blue
17. Effectiveness of financial management and control	Green
18. Effectiveness of internal audit function	Yellow
19. Effective management of security and business continuity	Green

TBS recommendations:

Effectiveness of Information Management

- LAC’s internal information management (IM) function is in a unique position to adopt the outputs of the ADM Task Force on Recordkeeping initiatives. LAC should:
 - Include mechanisms to continuously evaluate and modify IM accountability in the corporate governance structure.
 - Establish an internal IM strategy including timelines, resource estimates, risks and mechanisms to continuously evaluate and modify IM implementation.
 - Develop and register personal information banks and classes of personal information to ensure that all personal information under the institution’s control is appropriately described in accordance with the Privacy Act.
 - Ensure that all information relevant to the institution's functions, programs, activities and related information holdings is described in the *Info Source* publications.
 - Review LAC's corporate governance and business processes to ensure effective representation of internal IM.

Effectiveness of Information Technology Management

- The organization should strengthen the information technology plan to include: opportunity assessment methodology (including criteria, prioritization, partnerships, synergy with others); high-level cost analysis of savings, reallocation, trends; implementation planning details; and a portfolio management approach (reporting, monitoring, governance).
- The organization should establish a performance measurement framework for the management of information technology with developed key performance indicators based on industry and government best practices. The resulting performance metrics should be used to guide information technology investment decisions.

Effectiveness of Asset Management

- Special purpose properties should be administered by program departments so that progress under way to review and realign real property occupancies is supported.
- Resolve any issues related to the administration of special purpose real property with a view to appropriate custodianship.

Effective Project Management

- LAC could benefit from integrating project management practices at all levels (senior management to operational levels) to share best practices in project management horizontally between information technology project management, facility project management and other areas.

Effective Procurement

- The organization would benefit from conducting periodic audits, evaluations and reviews of its procurement management, and incorporating the results into continuous improvement.

Effectiveness of Financial Management and Control

- Strengthen financial management documentation and procedures in respect of interdepartmental settlements.

Effectiveness of Internal Audit Function

- The audit report reviewed should be improved by providing more context regarding the risks as well as a management action plan with the Office of Primary Interest.
- Attention is required regarding the chief audit executive independence and internal audit charters.

Effectiveness Management of Security and Business Continuity

- A work plan should be developed and approved by senior management to guide the continuous improvement of the organization's security program. It should include activities required to address deficiencies identified in the MAF assessment, with attention to the following priorities: (1) completion and formal ratification of the Departmental Security Policy (2) management of Information Technology Security – Risk Management and (3) completion of business continuity plans and arrangements.

Action plan:

Information Management

- LAC is taking action to enhance its performance in the areas of *Info Source* and IM:
 - LAC ensures that the information provided is coherent with its official publications, its website and communication products. Thus, the information in the *Info Source* will be up-to-date with the institution's programs, initiatives and activities.
 - A rigorous comparison between English and French has been processed to ensure congruency between the original and revised translation.
 - LAC has undertaken a complete inventory of its personal information banks so as to describe them in *Info Source* (the work will be completed in June 2009).
- Because of its functions and mandate, LAC is fully aware of the need to improve information management. To that end, the institution commits to undertaking the following activities:
 - LAC will set up a new internal committee on IM to continuously assess and modify IM accountability (September 2008).
 - LAC will implement an internal IM strategy that includes a new internal email management policy based on government standards (December 2008).
 - LAC will develop an information architecture that will align LAC's PAA, Business Activity Structure Classification System (BASCS) functions, business processes, content types, roles, projects and other facets pertaining to LAC business and management information (Fall 2008).
- To ensure ongoing improvement of the contents of *Info Source*, LAC will continue the following activities:
 - The sectors that create and use the databases will handle the description of the personal information data banks (September 2008 to March 2009).
 - LAC will develop a control mechanism to ensure that no database containing personal information will be created without first having been described correctly (September 2008 to March 2009).

- LAC will restructure the *Info Source* based on the institution PAA (September 2008 to March 2009).

Information Technology Management

- To enhance the effectiveness of information technology management, LAC commits to doing the following:
 - LAC will continue to develop its information technology strategic plan, its portfolio management approach through selection, prioritization methodology, monitoring and reporting, and will further develop partnerships with clients and its governance structure and process (2008–2010).
 - LAC will continue to develop its information technology key performance indicators based on industry best practices such as control objectives for information and related technology, and information technology infrastructure library; LAC will also further develop its information technology services program and support processes (2008–2010).

Asset Management

- LAC is currently developing a comprehensive custody transfer plan of its special purpose facilities in line with TBS directions. The custody transfer plan will address the proposed approach and set timelines for the transfer of custodianship. An implementation plan, which will address specific issues and requirements, will follow (Spring 2009).
- A long-term investment plan is being developed as part of the process to acquire custody of LAC facilities. This plan will identify the highest priorities and risks (Spring 2009).

Project Management

- LAC will continue to develop its project and portfolio management discipline and will implement the TBS policy on project management. LAC will develop tools, templates, guidelines, conduct information sessions and presentations, and communicate via its Intranet site (2008–2010).

Procurement

- Decentralized procurement activities awarded by responsibility centre managers are already subject to monitoring and control functions conducted by the procurement unit. Written procedures/policies within LAC, with clear definitions of roles and responsibilities as well as frequent interaction with senior and operating management promote sound procurement management within the institution.
- LAC will increase the number of post-contract evaluations (Fall 2008).

Financial Management and Control

- LAC will determine the documentation needs for managing interdepartmental settlement and develop necessary management documentation and procedures (March 2009).

Internal Audit Function

- LAC has undertaken concrete actions to improve its internal audit function:
 - A chief auditor was hired, and this new position reports directly to the deputy minister.
 - A draft governance structure was approved, in principle, by the evaluation and audit committee in April 2008 and will be tabled, for approval, at the first External Audit Committee meeting. This new governance structure ensures the independence of the internal audit function.
- To build the capabilities and effectiveness of its internal audit function, LAC will do the following:
 - An independent external committee will be created (2008–2009). The audit committee charter will be developed and submitted to TBS for approval.
 - The chief auditor will develop an audit charter for the internal audit function (Fall 2008).
 - The chief auditor will develop a human resources and learning plan to ensure that the audit plan is implemented (Spring 2009).

- The audit plan and assurance engagements will follow a risk-based approach (March 2009).

Security and Business Continuity

- An annual work plan will be submitted for approval, to guide the continuous improvement of the organization's security program. Security awareness and improving the security of the collection will be a priority for 2008–2009 (September 2008). To address specific deficiencies, the work plan will include the following actions:
 - A roll-out of the institution's security policy is planned (Fall 2008). A security awareness strategy will also accompany the policy (October 2008).
 - LAC will make threat and risk assessment part of its system development lifecycle (November 2008).
 - LAC will implement a certification and accreditation process to ensure the accountability of senior management for their systems (March 2009).
 - Branch business continuity plans will be revised and will be subjected to approval by LAC's Management Board (January 2009). The business continuity plan governance structure is in place and awaiting approval of Management Board (September–October 2008); the business continuity plan policy is drafted and is presently out for consultation (September–October 2008); information technology dependencies and recovery strategies will be developed in 2008–2009 following validation of dependencies; a crisis communication strategy will be developed (November 2008).

Citizen-focused Service

Since the *Results for Canadians* report was written, the Government of Canada has aimed for the following: “Services are citizen-centred, policies and programs are developed from the ‘outside in’ and partnerships are encouraged and effectively managed.”

With respect to this component, LAC has made clear commitments to Canadian citizens by including two major objectives in its strategic decisions, i.e., incorporating citizen and client research results and evaluations into institutional decision making, and systematically using collaborative agreements to support the institution in carrying out its mission. Insofar as LAC is no longer limited to providing well-established services to a traditional clientele, it will better pinpoint the needs of Canadians in the area of documentary heritage. In a changing and increasingly demanding environment, LAC will no longer carry out its mission independently, but will rely on collaborative agreements and create more partnerships to do so.

In terms of “Citizen-focused service,” TBS gives LAC an acceptable rating. TBS notes, however, that although LAC has established service norms that are communicated to clients, very little has been measured. TBS also notes that the institution is fully satisfying its obligations as far as official languages are concerned.

Indicator	TBS evaluation
20. Citizen-focused service	

TBS recommendations:

- LAC needs to measure performance relative to service standards for each service and communicate the results to clients.
- Measure client satisfaction for each service using the common measurements tool and communicate the results to clients.
- Make information on consultations available on the LAC website.
- Increase its capacity for accessible Web development (e.g., using CLF 2.0 template) and develop processes to ensure consistent common look and feel compliance across the Web presence.

Action plan:

- LAC has created a programs and services sector (PSS) performance measurement working group (PMWG).
- LAC has created the Services Advisory Board (SAB), a group of representatives drawn from a wide range of current and potential LAC clients from diverse backgrounds and regions of Canada. The SAB examines issues directly related to the services aspect of LAC’s mandate. The SAB provides advice on service-related issues to the assistant deputy minister of the PSS, who is the Chair of the SAB.
- The results of the current measurement tools such as client comment cards and Web pop-up surveys is being communicated to the SAB.
- The results of quantitative and qualitative analysis of client feedback is shared with the SAB and posted on LAC’s website.
- The Services branch held its first public consultation session in February 2008. The outcome of this client engagement was posted on LAC’s website. Service improvements have been and continue to be implemented based on the client feedback received.
- The quantitative and qualitative analysis of data obtained through such instruments as client comment cards and pop-up surveys are incorporated in monthly and quarterly reports. The Services branch integrates client feedback through continuous service improvements which it communicates directly to clients via the LAC website and through the SAB.

- Client feedback and resulting service improvements are made available on LAC's website and are also shared and discussed at SAB meetings held three times per year.
- The Access to Information and Privacy unit has established service standards that are reported on annually. The PSS-PMWG will examine how best to incorporate service standards for the various client services it oversees (April 2009).
- The PSS uses client satisfaction indicators as outlined in its performance measurement framework. Such measurement instruments as the client comment cards and Web pop-up surveys are based on the common measurements tool. The PSS-PMWG will examine the potential of further implementation of the common measurements tool within its performance measurement framework (April 2009).
- LAC is fully compliant with CLF 1 and has been for many years. LAC has already implemented CLF 2.0 in the top levels of its website, and has a comprehensive plan in place to implement it across the website by December 2008. LAC is in close communication with the CLF office at TBS. LAC is using a phased-in approach to implementation, converting websites and products both by category and according to complexity. To date, approximately 50 percent of CLF 1 sites have been converted to CLF 2.0 (April 2009).

Accountability

The aim of the MAF is to have each organization develop a chain of “Accountabilities for results [that] are clearly assigned and consistent with resources, and delegations [that] are appropriate to capabilities.”

With respect to this MAF component, LAC has a responsibility delegation structure that covers all management tiers. The delegation structure is based on LAC’s PAA, making it consistent with the institution’s mission and activities. At LAC, therefore, responsibility is shared and characterized by continuity, and ensures that results are achieved for all Canadian citizens.

Although TBS did not rate LAC on accountability, in its evaluation, it did stress the high degree of harmony between individual performance agreements and, among other things, the activity plans and the priorities of the Clerk of the Privy Council.

Indicator	TBS evaluation
21. Alignment of accountability instruments	N/A

TBS recommendation:

- The organization is encouraged to self-assess its performance management system against the evaluation checklist in the Gold Standard for the Performance Management Program and to establish priorities for improvement.

Action plan:

- LAC will assess its performance against the “Gold Standard” and evaluate the results. An analysis of the strengths and weaknesses identified will help draw up an action plan to bolster accountability at LAC.