RESULTS-BASED MANAGEMENT AND ACCOUNTABILITY FRAMEWORK

For HUMAN RESOURCES MANAGEMENT

Program architecture activity 1.4.2.1

**Approved by the Library and Archives Canada
Evaluation Committee on June 15, 2009**

Prepared by the Corporate Performance and information division of the Human Resources sector, in collaboration with:

Geneviève Allard
Nathalie DesRosiers
Colin Gascon
Martine Gravelle
Sylvie Houde
Antonio Lechasseur
Candace Loewen
Joe-Ann Madore
Mark Melanson

Table of Contents

1. Introduction

The viability and the evolution of organizations depend increasingly on their human resources. Library and Archives Canada (LAC) is no exception to the rule. The expertise, skills and dedication of its staff members make it possible to fulfill its mission: to preserve the documentary heritage of Canada and to be a source of enduring knowledge accessible to all. Its staff is the main resource for fulfilling its current responsibilities and for guaranteeing its future.

Just as it does with its financial and material resources, LAC must ensure the proper management of its human resources. It is this good management that enables it to maximize the value of its staff and develop its potential in order to achieve its strategic outcome. Responsibility for human resources management is shared by two groups of stakeholders who must work closely together to act wisely and effectively: functional specialists and line managers.

This Results-based Management and Accountability Framework (RMAF) outlines the roles and responsibilities of HR functional specialists and line managers. It presents a logic sequence of activities and the outputs for each, as well as a chain of expected outcomes for each organization. In also sets forth performance measures and a strategy for monitoring progress, measuring results and performing evaluations. The RMAF is therefore organized as follows:

- o Profile of LAC Human Resources Management
- o Logic Model
- o Continuous Performance Measurement Strategy
  - Performance indicators
  - Measurement strategy
- o Evaluation Strategy
  - Evaluation-related Issues
  - Methodologies

2. Profile

2.1 Context

To fulfill its mandate, LAC currently has 1,143 employees distributed throughout 19 occupational groups. The management of Canada's documentary heritage requires a staff with specialized and wide-ranging professional, technological and administrative skills with the proven ability to learn, to work as a team, to perform multidisciplinary work, research and analysis, communicate, network, and ensure client satisfaction. Moreover, to deal with numerous changes taking place within the federal public service and to tackle the many challenges related to its mission, LAC has a growing need for a pool of flexible, mobile employees who are open to new ideas and practices.

The management of LAC resources is a complex and highly important task. And the challenges are numerous, as demonstrated by the key objectives of LAC's *2008-2011 Business Plan*: managing careers and knowledge, developing and strengthening leadership and management skills, meeting the operational needs of a changing organization, solving a number of hiring and recruitment problems, and creating a motivating and empowering work environment. For this reason, LAC has adopted a governance structure designed to incorporate human resource issues into the institution's strategic management and to increase stakeholder cooperation.

2.2 Governance

Human resources management is governed by a vast legislative and regulatory framework. Many laws, policies and guidelines govern human resource activities under the aegis of various central agencies of the federal public service. (See Appendices A and B).

The recent *Public Service Modernization Act (PSMA)* increased the powers granted to general administrators in human resources management. Under this Act, the Librarian and Archivist of Canada, as Administrator General of LAC, has the power to determine the following:
- the skills required to perform work based on the organization's operational requirements and needs;
- the training and career development needs of LAC employees
- recognition awards and bonuses;
- the enforcement of disciplinary standards, when needed;
- ways of enhancing the workplace in cooperation with bargaining agents.

To assist him with his duties, the Librarian and Archivist of Canada has at his disposal an executive committee, the *Human Resources Committee (HRC),* to ensure the strategic management of human resources. This committee's vision and mandate are as follows:
- to ensure that LAC's human resources are developed to their greatest potential in order to contribute fully to the institution's performance;
- to examine and recommend measures to be taken by the Board of Directors in support of LAC' strategic directions regarding human resources;
- to develop the institution's ability to fulfill its greatest potential and to create the conditions necessary / to this end.

The HRC is co-chaired by an assistant deputy minister responsible for a sector of activities and appointed on a rotational basis and the principal ADM, Corporate Management and Horizontal Integration Sector. The co-chairmanship ensures both the accountability of the operational branches and their incorporation into a management continuum. In addition to the co-chairs, this committee is comprised of the Director General of the Strategy Bureau, the Director of Human Resources, the Director of Communications, and three managers from different corporate areas and functions.

At the institutional level, LAC also has an advisory committee, the *National Labour-Management Consultation Committee.* This committee's role is:

- to enable LAC management and employees to discuss matters of mutual interest such as policies, programs, working conditions and changes affecting staff;
- to promote greater understanding between the two groups and to create a climate that allows members to express themselves freely without the fear of compromising personal relationships by statements made in good faith as Committee representatives.

As mentioned above, two groups of stakeholders share human resources management responsibilities at the operational level: line managers and functional specialists. Since the implementation of the *Public Service Modernization Act,* direct responsibility for staffing positions has been delegated to line managers. They must make all of the necessary human resource decisions in regards to planning, recruitment, staff retention, learning, job descriptions, establishing bilingualism levels, performance evaluations and work planning, and dispute resolution. They are assisted in their duties by functional specialists in human resources management. These specialists are first and foremost advisors. Their advice may focus on:

- laws, policies and matters concerning human resources;
- the development of human resource policies, strategies, plans and programs that support strategic priorities and operational plans;
- the development of appropriate mechanisms that ensure effective human resources management; and
- labour relations

As specialists, they are also responsible for compiling, analyzing and interpreting data used to advise management or to report to central agencies.

In addition, functional specialists are responsible for directly providing managers with job classification services and employees with guidance, compensation and professional appointment services.
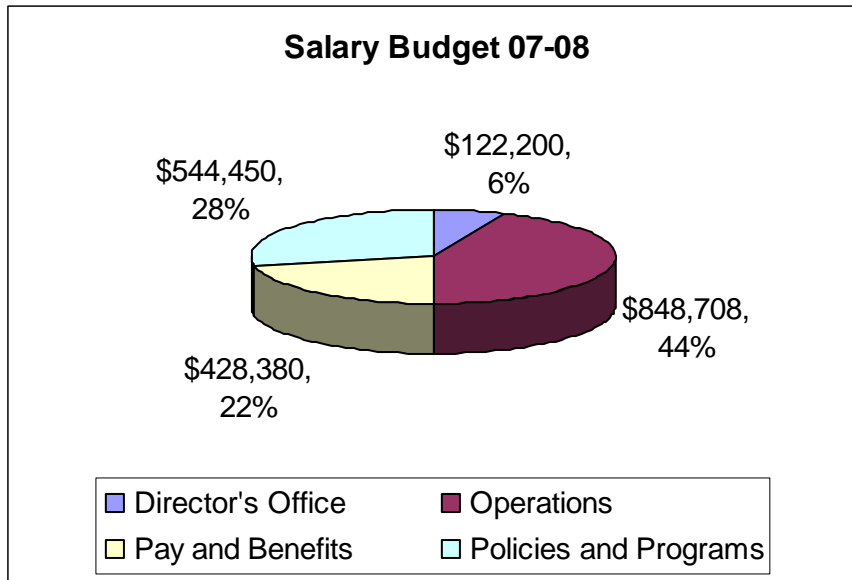
Lastly, it is the functional specialists in human resources who are officially responsible for ensuring good labour/management relations.

2.3 Resources

LAC commits 70 percent of its budget to salaries., There is no better example of the importance of its human resources, not only in carrying out its strategic objectives, but also as an investment. For this reason, LAC's managers must devote considerable time and effort to earning a return on this investment, which has a direct effect on the institution's performance.

In accordance with the *Management, Resources and Results Structure Policy,* human resources operations, being autonomous, are part of the activity of program 1.4, Internal Services, within LAC's *Architecture of Program Activities* (See Appendix C).
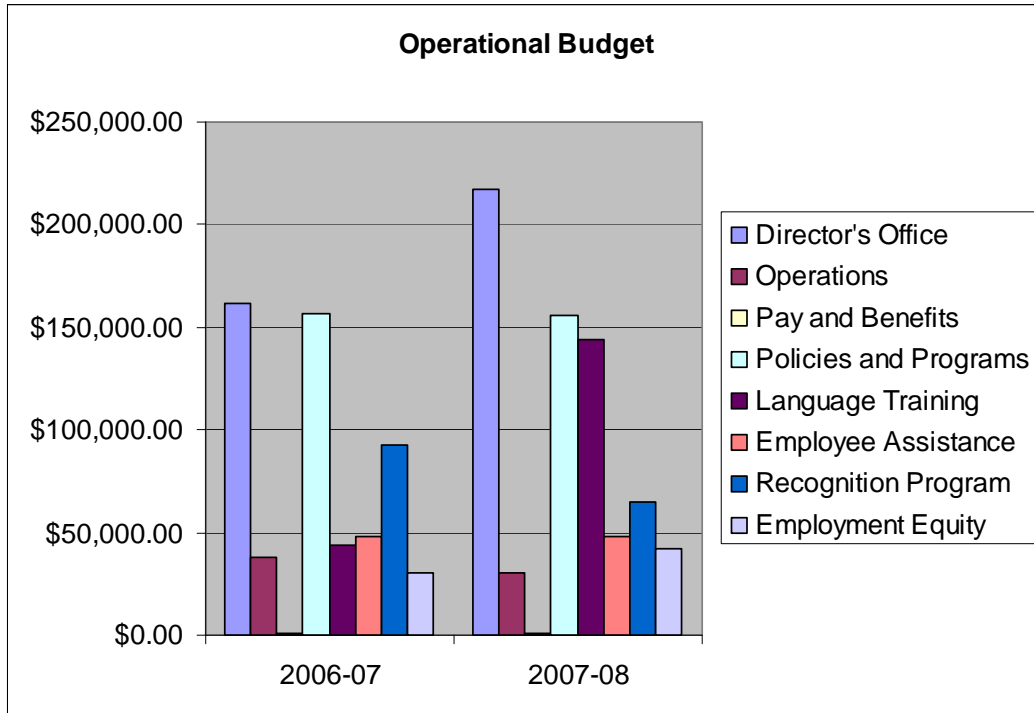
The salary budget of the Human Resources Division, composed of functional specialists totalling 33 FTEs, is distributed as follows:

Salary Budget 07-08

$544,450, 28%

$122,200, 6%

$848,708, 44%

$428,380, 22%

- ◻ Director's Office
- ◼ Operations
- ◻ Pay and Benefits
- ◻ Policies and Programs

The operational budget of this division increased noticeably over the last two years, from $572, 823 in 2006-07 to $703,623 in 2007-08.
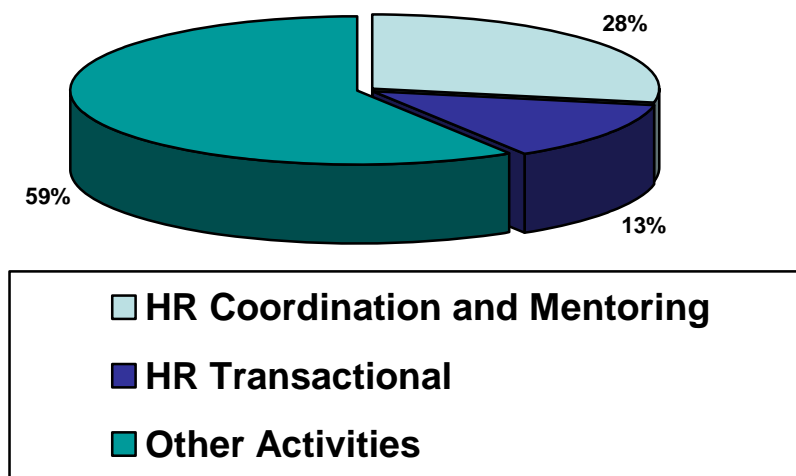
Note:
A program spending review for 2006-07, 2007-08 and 2008-09 was used to calculate the average total direct spending for each program activity. On average, direct spending for programs is $107.120 M, or 100 percent of LAC's direct expenditures.

Operational Budget

The LAC's Managers' Forum consists of 140 members who are directly responsible for managing their staff. The tables below indicate that managers devote 50 percent of their time to human resources management, regardless of their operational level. Approximately 10 to 15 percent is devoted to so-called transactional administrative tasks, and 35 to 40 percent is devoted to coordinating/distributing daily work and to mentoring.

Distribution of Time EX-2 and above

- HR Coordination and Mentoring
- HR Transactional
- Other Activities

Distribution of Time EX-1
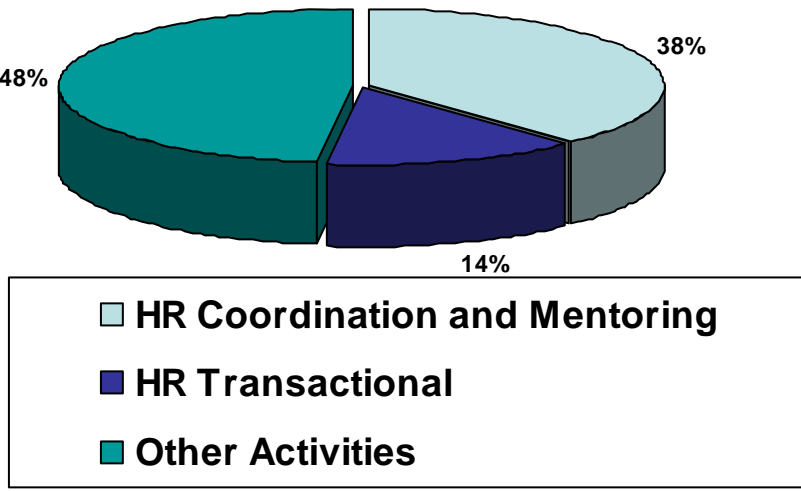

32%

53%

15%

- ☐ HR Coordination and Mentoring
- ☐ HR Transactional
- ☐ Other Activities

Distribution of Time - Other Managers

48%

38%

14%

- ☐ HR Coordination and Mentoring
- ☐ HR Transactional
- ☐ Other Activities

In 2007, LAC committed to investing $900,000 annually – or two percent of its operating budget – to training and upgrading its employees. This investment was approved to increase employee job satisfaction by facilitating professional development and promotions. But it also makes it possible for LAC to ensure that the expertise of the most experienced employees is passed on and that its human resources possess all of the skills required to fulfill its mandate.

Lastly, it is of primary importance to LAC that its collections represent the Canadian population. To this end, the makeup of its human resources should also be representative. LAC is therefore equally committed to reflecting Canada's diversity in its

employees and managerial staff and has developed an *Action Plan 2007-2010* addressing employment equity and diversity.

3. Logic Model

The model below illustrates the activities mentioned above, in which functional specialists in human resources and line managers share responsibility.

These activities are very general and may be broken down into sub-activities. Each one represents a series of coordinated actions designed to produce the outputs and to arrive at the listed short-, medium-, and long-term results.

The horizontal arrows indicate the direction in which cooperation takes place between HR management partners.

The vertical arrows indicate the activities and outputs that ultimately produce the outcomes targeted by the institution. In terms of evaluation, it is important to note from the outset that the respective actions of partners are interdependent and jointly affect the anticipated outcomes. In fact, these outcomes are seen as the product of a number of combined stakeholder efforts and actions, which implies that the quality of this partnership must necessarily be taken into account during the evaluation.

Logic Model – Human Resources Operations

Functional Specialists		Line Managers	
Activities	**Outputs**	**Activities**	**Outputs**
Provide advisory services Deliver services to staff	Advice and directives Classification and compensation services	Make HR decisions Hirie, traine, upgrade and retain staff	HR decisions Staff is hired, trained, updated and retained
Coordinate HR planning	Corporate managers for HR planning	Plan for HR needs	HR plans
Develop strategies, policies and guidelines	Strategies, politicies, and guidelines	Direct staff and working groups in accordance with strategies, policies and guidelines	Staff support and directives
Coordinate perormance program	Advice and tools	Manage performance	Objectives and outcomes are defined
Gather and analyze data	Studies and reports	Provide data on staff	HR Data
Anticipate and manage disputes	Taking action	Mitigate staff-related risks	Disputes avoided or resolved

Immediate Outcomes

➢HR decison-making is facilitated through programs, relevant systems and tools and is based on convincing data
➢Staff whose objectives are compatible and aligned with those of the organization
➢Harmonious labour/management relations

Intermediate Outcomes

➢Effective, sustainable, leadership focused on the organization's desired outcomes
➢Work climate that inspires confidence, learning and constant improvement

Final Outcome

A skilled and representative staff dedicated to preserving Canada's documentary heritage and to being a source of enduring knowledge

4. Measurement Strategy

4.1 Performance Indicators

The table below lists the performance indicators for each of the Immediate, Interim and Final Outcomes. Also included for each indicator are the data source, frequency of collection, responsibility for data collection and the degree of effort required for collection (L: low; M: moderate; H: high).

Aspect of the Logic Model	Indicator	Data Source	Frequency	Responsibility	Effort L-M-H
Final Outcome					
A skilled and representative staff, dedicated to preserving Canada's documentary heritage and to being an accessible source of enduring knowledge	Staff make-up based on job requirements (including OLs), designated groups and labour force availability Effectiveness of strategies implemented to correct the under-representation of designated groups => gaps reduced by %	• Annual report on EE (for CPSA) • Annual report on OLs (for CPSA)) • Annual report on EE (for CPSA)	Annual Annual Annual	HR HR HR	L L L
Intermediate Outcomes					
Effective, sustainable, leadership	Leadership's actions aligned with *Key Leadership Competency Profile* =>	• 360 Degree Exercise	2012-2013 Once every five years	ADM/HR	H

focused on the organization's desired outcomes	conformity % **Effectiveness of strategies for meeting leadership needs => gaps reduced by %** **Senior management's performance agreements and managers' work plans, including HR management objectives => % of objectives achieved** **Employee objectives aligned with the institution's operational and strategic objectives => % of objectives aligned**	• Comparison of 360 Degree Exercises • Annual report and PMP score sheet (for CPSA) • Performance agreements • Work plans	**2012-2013 Once every five years** **Annual** **Annual** **Annual** *(by sampling)*	**ADM/HR** **HR** **HR** **HR**	**H** **M** **M** **M**
Work climate that inspires confidence, learning and constant improvement in an empowering and stable work environment	**Staff turnover rate and causes** *versus* **Retention rate** **Learning costs per employee => $/FTE**	• HRIS • Analyze entry and exit interviews and suggest corrective measures • Free Balance	**Annual** **Annual** *(by sampling)* **Annual**	**HR** **HR** **FIN**	**L** **M** **L**

	Material resources conducive to employee productivity and well-being	• **PSES**	**Once every three years**	**RH**	**L**
	Effectiveness of policies, programs and benefits that offer a balance between personal and professional responsibilities	• **PSES**	**Once every three years**	**RH**	**L**
Aspect of the Logic Model	**Indicator**	**Data Source**	**Frequency**	**Responsibility**	**Effort L-M-H**
Immediate Outcome					
HR-related decision-making facilitated by relevant policies, strategies, systems and programs	**Advice and guidance based on a good understanding of LAC's strategic and operational objectives => % of managers are satisfied**	• **Questionnaires/interviews with specialists and managers**	**2009-2010 Once every five years** (*by sampling*)	**ED**	**I**
Staff performance contributes to	**Degree of alignment between staff and organizational objectives**	• **Individual work plans** (*if box 2 of PPMP is reintroduced*)	**Once every five years** (*by sampling*)	**ED**	**I**

achieving organizational results	=> % of objectives aligned				
Harmonious and open labour relations	Increased access to dispute resolution mechanisms and faster dispute resolution => % of satisfied and very satisfied employees	PSES	Once every three years	HR	L
	Effectiveness of the alternative dispute resolution program => number of successful informal mediations	• Senior officer's Annual report on informal dispute resolution (for the DM of LAC)	Annual	HR	L

The strategy adopted for measuring the degree to which resource management outcomes are achieved is to make optimal use of the data already gathered for reports submitted to the central agencies, from the Public Service Employee Survey, or inputted into computerized internal control systems. These data are regularly compiled on an annual or three-year basis and are considered reliable.

Another source of data that will make up a significant portion of the indicators will be retrieved from documents analyzed internally (performance agreements, work plans, training plans, etc.), or from questionnaires/interviews with functional specialists and line managers. To reduce the effort involved in performing these analyses and surveys, the former will be carried out using sampling and the latter will take place once every five years only. The analyses will be conducted by the sections of the Human Resources Division and the Finances Division responsible for the activity or the program in question (e.g., learning and related costs, performance evaluation), while the surveys will be conducted under the direction of the Evaluation Division.

Lastly, the leadership skill indicators will be measured using a 360 Degree Exercise, such as the one administered to LAC's Board of Directors in 2006. However, it will be necessary for a third party to analyze the data (a specialist/advisor or the Personnel Psychology Centre of the PSC) to ensure the confidentiality of the results and participant anonymity.

4.2   Evaluation Plan

The questions that the evaluation will attempt to answer will concern the relevance, the governance and the success and profitability of LAC's human resources management.

The questions regarding each of these subjects are as follows:

Relevance:
- Does the management of human resources as it is currently practised help LAC achieve its mandate?

Governance:
- Is the governance structure clear and effective?
- Do the stakeholders understand their roles and responsibilities?
- Does LAC use the systems and tools available to it, and are they effective?
- Is LAC capable (in terms of financial and human resources) of achieving its human resource objectives?

Success:
- To what degree does human resourcess management achieve the outcomes projected and outlined in the logic model?
- What obstacles or issues prevent it from achieving these outcomes?
- Does management produce outcomes other than those projected?

Profitability:
- Is LAC achieving the desired outcomes at the lowest possible cost?
- How could the efficiency of human resources management be improved?

The table below indicates the methodologies that will be used to obtain answers for each subject. Methodology, we mean the research mechanisms and information sources used by the evaluation team to gather testimony and evidence to support the answers to the evaluation questions.

Subjects	Methodology
Effectiveness	Documentation review
Governance	Documentation review
	Comparison groups
Success	Documentation review
	Comparison groups
Profitability	Documentation review

Documentation comprises all of the data and reports used to measure the performance indicators related to the projected results. It will also include relevant departmental documents, such as Reports on Plans and Priorities, Departmental Performance Reports

and LAC's Strategic Directions or Business Plans, departmental human resource policies and audit reports prepared by central agencies.

The comparison groups will consist of functional specialists in human resources and line managers. Data will be collected through questionnaires and/or personal interviews. The questions will be of a qualitative nature and will measure the expected outcomes as well as the quality of reports and communication between functional experts and line managers. If necessary, interviews will also be conducted with LAC staff members to complement the observations and conclusions drawn from the analysis of the Public Service Employee Survey.

Appendix A
Public Service Employment Act

- New legislation (came into effect on December 31, 2005)
  - *Public Service Employment Act* (2003, c. 22)
  - *Public Service Employment Regulations*
    (Web site of the Canada Gazette)
  - *Public Service Official Languages Exclusion Approval Order*
  - *Public Service Official Languages Appointment Regulations*
  - *Political Activities Regulations*
  - *Regulations Repealing Certain Regulations Made under the Public Service Employment Act*
    (Web site of the Canada Gazette)
  - *Order Repealing Certain Exclusion Approval Orders*
    (Web site of the Canada Gazette)
- Documents related to the 1985 *Public Service Employment Act* (in effect until December 31, 2005)

Other relevant legislation

- *Public Service Modernization Act*
- *Financial Administration Act*
- *Canadian Charter of Rights and Freedoms*
- *Canadian Human Rights Act*
- *Employment Equity Act*
- *Official Languages Act*

Appendix B
Central Agencies in the Public Service which play an important role in Human Resources Management
Canada Public Service Agency

The PS Agency was created to promote a more modern, results-based approach to human resources management across the public service. The PS Agency collaborates with central agencies, departments and organizations, and unions to promote a range of public service modernization initiatives.

The PS Agency's priorities are based on three strategic pillars:

- the modernization of human resources management and the strengthening of accountability;

- effective, honest leadership and a quality work environment;

- a representative and accessible public service.

The modernization of human resources management and the strengthening of accountability are the cornerstones of the PS Agency's strategic plan. This plan consists of implementing the PSMA, which is designed to bring about a modernized classification system that will establish cost-effective practices, processes and HR renewal systems across the public service. The PS Agency's Human Resources Management Modernization Branch plays a central role in the implementation of the PSMA. It is mandated with ensuring leadership and monitoring a wide variety of functional sectors. Its primary responsibility is to monitor the implementation of the PSMA, to oversee the ongoing reform of the classification system, to harmonize employment services and to develop the HR component of Corporate Administrative Shared Services.

Public Service Commission

The Public Service Commission (PSC) is an independent agency that reports to Parliament. It is responsible for protecting the integrity of the hiring process in the federal public service and the non-partisanship of public servants.

The PSC strives to build a public service that is dedicated to excellence. It protects the principles of merit, non-partisanship, representativeness and the use of both official languages.

It develops policy and guidance to public service managers and holds them responsible for their hiring decisions. It conducts audits and investigations to determine the effectiveness of the hiring system and makes improvements in this regard. Lastly, it reports the results to Parliament.

It recruits talented Canadians from all regions of the country to the public service. It constantly updates its recruitment services to meet the needs of a modern and innovative public service.

Treasury Board

The Treasury Board is a Cabinet committee of the Queen's Privy Council of Canada. It was established in 1867 and was given statutory powers in 1869.

The Treasury Board is responsible for accountability and ethics, financial, personnel and administrative management, comptrollership, approving regulations and most Orders-in-Council.

The formal role of the President is to chair the Treasury Board. He carries out his responsibility for the management of the government by translating the policies and programs approved by Cabinet into operational reality and by providing departments with the resources and the administrative environment they need to do their work. The Treasury Board has an administrative arm, the Secretariat, which was part of the Department of Finance until it was proclaimed a department in 1966.

Privy Council Office

The Privy Council Office (PCO) is the hub of public service support to the Prime Minister and Cabinet and its decision-making structures. Led by the Clerk of the Privy Council, PCO facilitates the smooth and effective operations of Cabinet and the Government of Canada through the work of the PCO secretariats

PCO helps to clearly articulate and implement the Government's policy agenda and to coordinate timely responses to issues facing the government and the country. It also works to maintain the highest professional and ethical standards in the federal Public Service.

PCO's main roles are:

- providing professional, non-partisan advice to the Prime Minister and Cabinet;
- managing the Cabinet's decision-making system (including coordinating departmental policy proposals and conducting policy analysis);
- arranging and supporting meetings of Cabinet and Cabinet committees;
- advancing the development of the Government's agenda across federal departments and agencies and with external stakeholders;
- providing advice on the government's structure and organization; managing the appointment process for senior positions in federal departments, Crown corporations and agencies;
- preparing Orders-in-Council and other statutory instruments to give effect to Government decisions;
- fostering a high-performing and accountable public service.