

**Results-based Management and Accountability
Framework**

**for Disposition of the Government Information
of Continuing Value**

Program Activity Architecture 1.1

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

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1.0 Introduction

This document presents a Results-Based Management and Accountability Framework (RMAF) for the Disposition of the Government Information of Continuing Value activity of Library and Archives Canada (LAC). These activities refer to the Activity 1.1 in the LAC Program Activity Architecture (PAA).

The purpose of an RMAF is to provide management with a “blueprint” for measuring and reporting on outputs and outcomes of programs. These are three sections incorporated in an RMAF:

- The first section provides the context and description of the program, its objectives, resource allocation, and the recipients and beneficiaries.
- The second section describes what is expected from the program, including its expected results and the logic model, which illustrates the expected activities, outputs and outcomes.
- The last section describes the performance measurement strategy and the evaluation plan. The performance measurement strategy outlines the appropriate performance measures and allows managers to track progress, outputs and outcomes for decision-making purposes and meeting accountability requirements. The evaluation plan identifies the data and methodologies required to address evaluation issues in future evaluations.

The RMAF was based on a document review, meeting sessions with LAC evaluation staff, and two workshops with program representatives held in June and July 2008. One workshop was used to finalize the logic model, and the other workshop was used to discuss potential performance indicators and evaluation issues.

2.0 Profile

This section describes the context, objectives, stakeholders and beneficiaries and resources associated with the Disposition of the Government Information of Continuing Value activity.

2.1 Context

The mandate of Library and Archives Canada is:

- To preserve the documentary heritage of Canada for the benefit of present and future generations;
- To serve as a source of enduring knowledge accessible to all, contributing to the cultural, social and economic advancement of Canada as a free and democratic society;
- To facilitate in Canada cooperation among the communities involved in the acquisition, preservation and diffusion of knowledge; and
- To serve as the continuing memory of the Government of Canada and its institutions.

To achieve this, LAC is constantly building a collection of materials, including various documents and records from the Government of Canada (GC). One of LAC's roles is to be the permanent repository of Government of Canada records of long term or archival value for reference by the public. LAC ensures that records are available in response to public requests and to support departmental and government-wide decision-making.

Federal departments and agencies are expected to preserve the records for a certain amount of time, and eventually transfer the records of archival value to LAC. LAC works in partnership with the Departments/Agencies to transfer the key Department/Agency records. LAC provides assistance, advice and recordkeeping tools to Departments/Agencies to help them meet their responsibilities. A number of mechanisms and tools are used or will be developed to manage records disposition, including the following:

MOUs and RDAs. Memorandum of Understandings (MOUs) are signed between LAC and Departments/Agencies to carry out the departmental/agency responsibilities under the *Library and Archives of Canada Act*. An MOU indicates the responsibilities of the Department/Agency, including the provision of information, and providing access to records to LAC. The MOU also indicates the intent to negotiate the "Terms and

Conditions Of The Transfer of Archival Records”, and prepare the “Records Disposition Authorities” (RDAs). RDAs provide the Department/Agency with the written consent of the Librarian and Archivist of Canada to dispose of its records having no operational or archival value at the end of their retention period¹, and identify archival records to be transferred to the LAC. They ensure that LAC will acquire the best documentary heritage from the Department/Agency. The RDAs also assist the Department/Agency in processing legacy documentation. Departments/Agencies can have many RDAs.

Recordkeeping Delegation Instrument. The Recordkeeping Delegation Instrument will ensure that the appropriate controls are applied to the decision process related to the management of Government information.

Recordkeeping Regime : The recordkeeping regime is about establishing methods for Government of Canada departments to effectively manage the information they create to aid decision-making, demonstrate what they do for Canadians and satisfy accountability requirements.

New Storage Model. LAC has developed a new storage model to provide secure, accessible, and cost-effective storage for Government of Canada records of long-term business and archival value in all media. The model will ensure that the recordkeeping process of dormant records is better controlled.

The project is continuing to develop the model further and continuing to study and present additional options for presentation to the ADM Level Taskforce on Recordkeeping. The project will begin to articulate specifications for the storage and management of GC records, this taking the form of a Request for Proposals from the private sector records storage industry.

Other tools have been developed by LAC to help Departments/Agencies manage their records. These include, but not limited to :

- The Models for Common Administrative Functions and Business Activity Structure Classification System (BASCS) methodology.
- The Regional Services Center, which assists clients with requirements for accessing and storing records.
- A draft Records Management Metadata Set and Application Profile has been completed and is being functionally tested in departments.
- A draft Executive Correspondence Metadata Set and Application Profile has also been completed and is being functionally tested in departments.

¹ Federal Departments/Agencies may keep their records for 5 to 30 years or more.

- Risk-based disposition approach (RBA) tool to dispose of legacy information.
- Readiness Assessment tool.
- The Multi-Institutional Disposition Authorities (MIDAs)

LAC also provides advice and sessions, such as sessions on LAC's Guidelines on business administrative records.

Disposition of Federal Government Records: Position in PAA

LAC's responsibility for managing the disposition of the government of Canada records of continuing value is reflected in one of the three activity areas of the PAA.

Among its various records management responsibilities, LAC is responsible for managing the collection of federal records of continuing value. This refers to the first activity area of the PAA. According to the Report on Plans and priorities (2007-2008), the Program Activity Architecture of LAC includes three activity areas, including:

1. Managing the disposition of the government of Canada records of continuing value;
2. Managing the documentary heritage of interest to Canada; and,
3. Making the documentary heritage known and accessible for use.

The activity area is related to LAC's Corporate priority 2, which is to "increase the relevance and accessibility of LAC collections and expertise to Canadians outside Canada's Capital Region". The activity area is also related to LAC's Corporate Priority #3, which states that "LAC will focus its role in Government of Canada information management on the development of effective recordkeeping".

LAC's leadership role in the records management field is reflected in the Treasury Board Secretariat's Policy on Information management. The objective of this policy is "to achieve efficient and effective information management to support program and service delivery; foster informed decision making; facilitate accountability, transparency, and collaboration; and preserve and ensure access to information and records for the benefit of present and future generations." The policy lays out the roles and responsibilities of the federal organizations, as well as of LAC in this area.

Issues and Challenges

The long-term challenge for federal organizations and LAC is to determine which of the government records are of business value, and therefore require ongoing management to preserve them for later use when needed by government Departments/Agencies, as well as by Canadians. Information resources of business value are “those formally captured in an institution’s recordkeeping repository because they are of sufficient documentary evidence and utility (or usefulness) to satisfy, enable, and support the institution’s business performance requirements and legislated mandate”². According to the same source, a declaratory process is in place within institutions that identifies and determines the point at which information resources of business value for government institution are captured, and managed within an institution’s recordkeeping repository.

One of the immediate challenges is to manage and process the records for this purpose, including the process of legacy information, that is, dated records and information stored by Departments/Agencies that need to be sorted, processed and transferred to LAC, or destroyed in the case of records that have no value.³ As well, According to the OAG November 2003 report, “Many departments hesitate to transfer their records; they claim that they need immediate access to meet their needs. When the federal Departments/Agencies finally transfer records to the National Archives, it is often storage needs that motivate them to do so.”

The November 2003 OAG Report also indicated at the time that the RDAs had limited coverage (the Report quotes a study conducted in 2000 indicating “that records disposition authorities of 21 main federal Departments/Agencies covered a maximum of 67 percent of operational records created for non-administrative purposes”). Many RDAs were obsolete, mainly due to structural changes in government. According to the OAG, “the use of inaccurate or inappropriate authorities is a serious threat to fulfilling the National Archives' mandate. The resulting risks are incorrect identification of records of historic value, the destruction of valuable records, and the use of too many resources (time and space).” LAC is also challenged with the reception of massive amounts of information that have little historical value. Many RDAs were also not implemented properly in the sense that the terms and conditions were not met. Finally, LAC did not have specific information on the nature or condition of archival records kept on departmental premises or in the federal records centres, according to the OAG Report.

The OAG recommendations and LAC’s responses are appended to this RMAF.

² LAC, Business Value Guidance – Concepts, September 2008

³ OAG report, November 2003

2.2 Objectives of the Records Disposition Management Activity Area

The objective of the Records Disposition Management Activity Area is to enable and facilitate the management of information within federal Departments/Agencies, to ensure that government's archival and historical records are identified and appropriately preserved.

2.3 Key Stakeholders and Beneficiaries

The protection of the federal documents of heritage value involves three main stakeholders: the Treasury Board Secretariat, which is responsible for establishing the federal government's information management policy; federal Departments/Agencies, which are responsible for applying the information management policy and managing their own records in particular; and the Library and Archives of Canada, which is responsible for identifying federal government documents of historic value, preserving them, and facilitating access to them after the home organizations have transferred them.⁴

Ultimately, the beneficiaries of the activity could be any entity that would need access to government records, from federal Departments/Agencies to Canadian citizens and Canadian civil society in general.

2.4 Resources

The following resources have been allocated to this activity area.

Table 1: Expenditures for Activity 1.1 Disposition of the Government Information of Continuing Value

Type of expenditures	2007-2008 Total Expenditures	2008-2009 Total Expenditures (est.)
Expenses	\$11.8M	\$12.5M
FTE's	167	185

Source: LAC

Table 2: Budget for Activity 1.1 Disposition of the Government Information Of Continuing Value

⁴ Ibidem.

Type of expenditures	2009-10 Total planned expenditures and FTE's	2010-11 Total planned expenditures and FTE's	2011-12 Total planned expenditures and FTE's
Expenses	\$12.9M	\$12.7M	\$12.7M
FTE's	181	178	178

Source: RPP 2009-10; Corporate Services distribution

NOTE:

Examination of program expenditures for 2006-2007, 2007-2008 and 2008-2009 were used to calculate the average Total direct expenses for the program activities.

This average represents our best estimate for each program activity.

The program activity 1.1 – Government Records Branch, average at \$11.25M which represent 10, 5% of the total direct expenses for LAC.

Total direct expenses average to \$107.12M which represents 100% of all direct expenses for LAC.

3.0 Expected Results

This section describes the results expected from the Activity and the governance structure.

3.1 Planned Results

Based on the PAA statements, the Disposition of the government information of continuing value activity contributes to LAC's overall strategic outcome, which is "Current and future generations of Canadians have access to their documentary heritage".

Based on the MRRS, details concerning Activity 1.1 and its sub-activities are more accurately defined and are now associated with the following results:

PAA- sub-activity and sub-sub-activities	Activity Area	Expected Outcomes/Results
1.1	Managing the disposition of the Government of Canada records of continuing value	Relevant information is managed by GOC institutions in a manner that is coherent and demonstrates accountability to support the rights, obligations and privileges of Canadians
1.1.1	Issuance of authorities to government institutions	Recordkeeping and Library services are part of business culture of GOC

1.1.1.1	Creating, Developing Authorities and Mechanisms (including MIDA, ISDA)	Regulatory Regime is established across GOC in which all government information is managed and disposed of appropriately
1.1.1.2	Monitoring, reviewing and updating authorities and RK Requirements	Increased capacity and readiness to manage GOC information effectively
1.1.2	Facilitate the management of GOC Records and Publications	Canadian can access and use information of GOC
1.1.2.1	Developing tools and providing support/advice to federal organizations (includes pre-analysis of federal organizations)	Increased/ capacity and readiness to manage GOC information effectively
1.1.2.2	Regional Service Centres – Storage solutions for records of business value	GOC manages its legacy information effectively
1.1.2.3 New	Legacy documents On going work with GOC	GOC manages its legacy information effectively

Source: GRB Working Group.

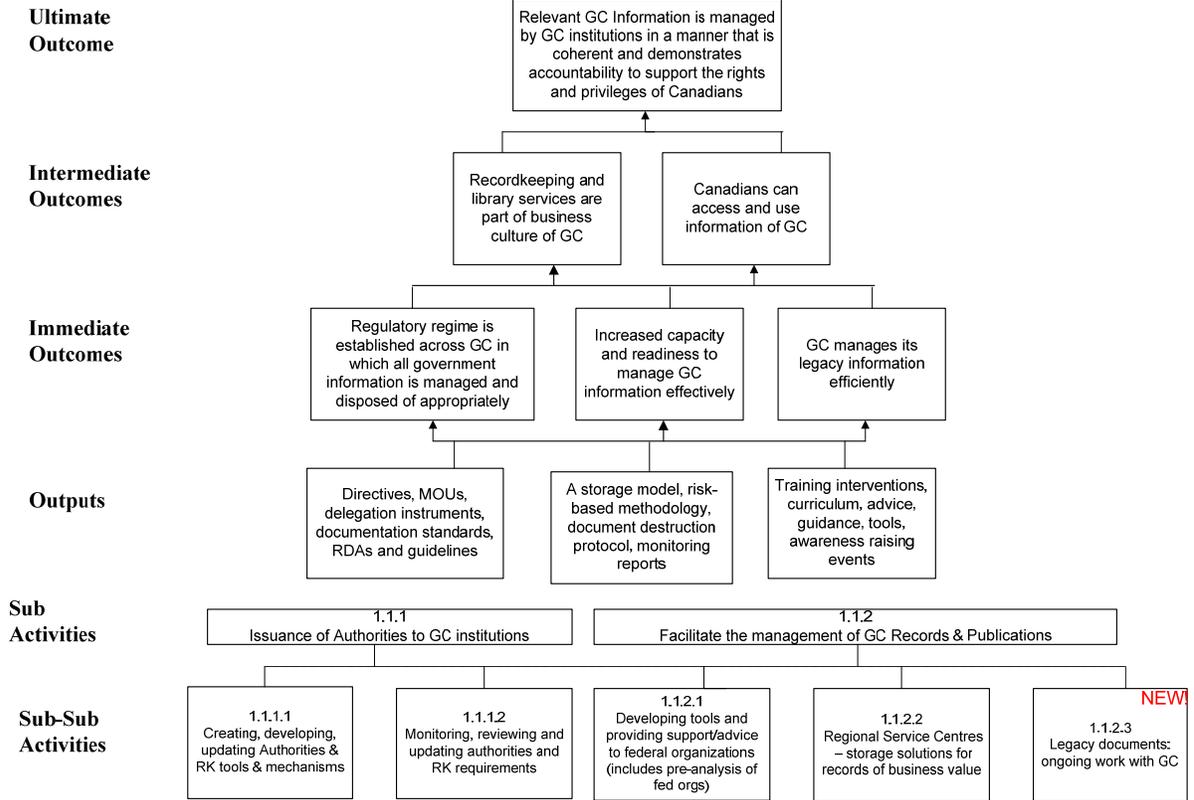
3.2 Logic Model

Logic models are used in performance measurement and evaluation to illustrate the key activities and results of programs. They illustrate the programs for a variety of purposes, including the identification of the key outcomes to eventually assess the effectiveness of programs. Logic models typically include the following components:

- Activities: these include the key actions that lead directly to the expected outputs.
- Outputs: these include tangible products and services directly produced as a result of the activities. They are concrete in nature and are means to achieve the expected results.
- Immediate, intermediate and ultimate results: These components include the key expected results, outcomes and impacts of the programs. It is assumed that they result from the outputs, as well as other external factors not identified in the logic model.

The logic model developed for the Disposition of the government information of continuing value is the following.

Logic Model for Managing the Disposition of the GC Information of Continuing Value (Program Activity 1.1) – rev- 6Nov08 - SG



3.3 Accountabilities

As indicated in the MRRS, the Disposition of the Government Information of Continuing Value Activity is under the responsibility of the Assistant Deputy Minister, Corporate Management and Government Records Branch.

The Activity 1.1.1 (Issuance of authorities to government institutions) is under the responsibility of the Director General, Government Records Branch. Creating, Developing Authorities and Mechanisms (including MIDA and ISDA) (1.1.1.1) are under the responsibility of the Director, Government Operations Division. The Monitoring, reviewing and updating authorities and RK Requirements activities (1.1.1.2) are under the responsibility of the Director, Government Operations Division.

The Activity 1.1.2 (Facilitate the management of Government of Canada records and publications) is also under the responsibility of Director General, Government Records Branch. The activities related to Developing tools and providing support/advice to federal organizations (1.1.2.1) are under the responsibility of the Director, Economic, Social and Federal Libraries Division. The Regional Service Centres – Storage solutions for records of business value (1.1.2.2) are under the responsibility of the Director, Regional Service Centres. A new sub-sub activity, Legacy documents, on going work with GoC (1.1.2.3) is created and activities are under the responsibility of Director, Economic, Social and Federal Libraries Division.

As indicated earlier, the collaborative relationship between LAC and the federal organizations is governed by MOUs and RDAs.

4.0 Monitoring and Evaluation

As part of good management, LAC is required to monitor the results of the activities related to the Disposition of the government information of continuing value. This monitoring will ensure that performance information is available in a timely fashion for decision-making and accountability requirements. To better demonstrate the success of the activity and obtain a more in-depth assessment of the strengths and weaknesses of the activities in this area, an evaluation is usually conducted. This subsection describes the parameters of the ongoing monitoring mechanism (performance measurement), and of the evaluation strategy.

4.1 Performance Measurement Plan

This subsection describes the mechanisms (including new mechanisms) that will yield the necessary performance information to monitor the results of the Disposition Management Activities. Four mechanisms are described:

- Program File and Document Review: on site examination;
- Continuous Training Feedback Surveys;
- Annual Survey of Department/Agency Representatives; and
- Case Studies of Selected Departments/Agencies.

The following subsection will identify the indicators associated with each of these mechanisms.

4.1.1 Program File, Database and Document Review

Extensive information is documented in LAC files, including budget information, documents from departments and agencies, minutes, memos and various reports. LAC also manages databases containing statistics from the Regional Service Centers. These sources will provide extensive information for quarterly and annual reporting purposes, especially with regards to the progress of LAC and the federal Departments/Agencies in establishing RDAs, storage model, recordkeeping tools, etc.

4.1.2 On-Site Examinations and Evaluations

LAC monitoring mechanisms are in place to ensure that the Departments and agencies are complying to the various agreements and directives to protect and store documents. These include on-site examinations and evaluations conducted by LAC staff. Reports stemming from these describe the extent of compliance of the departments to the requirements described in the agreements signed with LAC.

4.1.3 Training Feedback Surveys

LAC staff are actively engaged with Departments/Agencies to develop agreements, implement tools and provide support. After each significant training event, LAC will forward a Training Feedback form to obtain comments on the service. The form should include key satisfaction indicators with 5-point scales (overall satisfaction, satisfaction with timeliness of service, professionalism of staff, usefulness of documents, etc.), as well as one or two open-ended questions for other comments. Once a year, statistics from all forms should be compiled (means of scores) to assess and improve the service⁵.

4.1.4 Survey or sampling of Department/Agency Representatives (If Feasible)

While the Training Feedback form will be useful for providing feedback on specific interventions, an annual survey or sampling of department and agency representatives would be useful to assess the overall progress of the activities in the federal organizations. This survey or sample could be conducted every second year, if feasible. Another option would be to conduct a survey when the evaluation study is completed (See Section 4.2).

4.1.5 Case Studies of Selected Departments/Agencies

To gather more in-depth information on the progress of the activities within specific Departments/Agencies, especially among key organizations representing a higher risk, specific case studies should be conducted of these Departments/Agencies. Case studies would provide context of the Department/Agency (mission, key documents to be archived, etc.), and describe the extent to which agreements and recordkeeping tools are implemented. The cases would rely on various sources of information, including interviews with LAC staff, departmental/agency staff, a file review, and a review of

⁵ It is highly recommended that the process be entirely anonymous, both from the recipient and the provider perspective. Otherwise, the response rate and the actual distribution of the form may be affected.

Department/Agency records. The case studies could also describe specific challenges and best practices when these are useful lessons learned for other Departments/Agencies. They should be in narrative form, with some statistical tables if applicable.

4.1.6 Monitoring Matrix

Each of mechanisms following the monitoring above should be based on forms, questionnaires and reporting templates. These instruments should be designed using the indicators indicated in the matrix above. The matrix also describes targets and frequency of reporting.

It should be mentioned that LAC is actively in the process of improving its measurement mechanisms for all of its activities and programs, including for the activities covered by this RMAF. It is expected that as experience is gained, the targets and reporting mechanisms will evolve and improve.

In some cases, baseline information will be required to set actual targets.

Key Performance Indicators for GRB activities (Summary)				Source/ Methodology	Frequency	Target (initial targets proposed by directors: Feb 25/09) - to be reviewed and completed	OPI
PAA	Proposed Activities Name (PAA)	Outcomes/ Outputs Proposed in the RMAF	Final indicators approved by working group				
1.1 Activity	Managing the disposition of the GC records of continuing value	ULTIMATE OUTCOME: Relevant GOC information is managed by GOC institutions in a manner that is coherent and demonstrates accountability to support the rights, obligations and privileges of Canadians	Proportion of institutions that receive an acceptable or strong or maintain in IM report card	MAF	Annual	Year 1 - Analysis to determine baseline - Year 2 - set targets for following years (i.e. % of depts whose report card improves to "acceptable" or "strong" or is maintained)	Planning & Liaison
1.1.1 sub- activity	Issuance of Authorities to GC Institutions	INTERMEDIATE OUTCOMES: Recordkeeping and library services are part of business culture of GOC	Extent to which Recordkeeping and Library Services are integrated into the business culture of GC	Survey	Every 2 - 3 yrs	75% of respondents find that RK and libraries services are-integrated into the business culture of their institution. i.e. After RK Directive is implemented: Year 1 - determine baseline Year 3 - 30 % over 2 years Year 5 - 50 % over 5 years	Planning & Liaison

Key Performance Indicators for GRB activities (Summary)				Source/ Methodology	Frequency	Target (initial targets proposed by directors: Feb 25/09) - to be reviewed and completed	OPI
PAA	Proposed Activities Name (PAA)	Outcomes/ Outputs Proposed in the RMAF	Final indicators approved by working group				
1.1.1.1 - sub-sub activity	Creating, developing Authorities and Mechanisms (including MIDA, ISDA)	IMMEDIATE OUTCOMES Regulatory Regime is established across GC in which all government information is managed appropriately	Number and percentage of requests from departments for disposition related advice or activities based on compliance to the RK Directive	GABC & admin data	Annual	20 % increase in activities using valid RK requirements Year 1 - Recordkeeping implementation Year 2 - Baseline Year 3 - Target TBD	Disp officer
		OUTPUT : Risk-based methodology,	Number of "single- application" RDAs for disposition of legacy records	GABC admin data Metho - Risk Based Approach	Annual	Year 1: 2 single- application RDAs Year 2 - To be determined	Disp officer
		OUTPUT : Directives, MOUs, RDAs and Guidelines	Number of RDAs signed - by size/scope (to be defined)	GABC admin data	annual	TBD Year 1 - Determined Criteria and Baseline Year 2 - Determined targets	Disp officer
1.1.1.2 Sub-sub activity	Monitoring, reviewing and updating authorities	IMMEDIATE OUTCOMES Regulatory Regime is established across GC in which all government information is disposed of appropriately	% of departments have declared their records of business value	Survey	Annual	Phased targets: Year 1 - establish benchmark/baseline Year 2 - TBD Year 5 - 30% departments declare their records of B.V	

Key Performance Indicators for GRB activities (Summary)				Source/ Methodology	Frequency	Target (initial targets proposed by directors: Feb 25/09) - to be reviewed and completed	OPI
PAA	Proposed Activities Name (PAA)	Outcomes/ Outputs Proposed in the RMAF	Final indicators approved by working group				
		OUTPUT: Monitoring	Number of RDAs reviewed for compliance (comprehensive review)	Portfolio archivists select an RDA per year and prepare a comprehensive report to evaluate compliance	Annual	Year 1 - 20 per year Year 2 - TBD, based on Year 1	Portfolio archivists select an RDA per year
1.1.2 - Sub activity	Facilitate the management of GOC Records and Publications	INTERMEDIATE OUTCOMES : Canadians can access and use information of GOC	% of GOC records transferred to LAC that are accessibility- ready (i.e. requiring no intervention to ensure access -- create a checklist)	Sampling - checklist	Annual	75% of incoming records are accessibility ready	Accessibili ty officer
1.1.2.1 - sub sub activity	Developing tools and providing support/advi ce to federal organization s (includes pre-analysis of fed orgs)	IMMEDIATE OUTCOMES : Increased \capacity and readiness to manage GC information effectively	% of departments/agencies that find training/advice\ useful	Survey Method: survey of all public servants who have taken training + 6months	Continuou s evaluation	75% of respondents find training useful	Planning & Liaison

Key Performance Indicators for GRB activities (Summary)				Source/ Methodology	Frequency	Target (initial targets proposed by directors: Feb 25/09) - to be reviewed and completed	OPI
PAA	Proposed Activities Name (PAA)	Outcomes/ Outputs Proposed in the RMAF	Final indicators approved by working group				
		OUTPUT : Advices, training interventions, tools, awareness raising events	Number of training activities offered during fiscal year (by type - i.e. training, awareness, implementation tools)	Admin data	Annual	10 per year	Planning & Liaison
		OUTPUT : Advices, training interventions, tools, awareness raising events	Number of responses provided to GoC client enquiries per year	Admin data	Annual	100% (ALL) enquiries responded to: Estimate based on past inquiries: 150 per year (not including training inquiries):	Planning & Liaison
1.1.2.2 sub-sub activity	Regional Service Centres - Storage solutions for records of business value	IMMEDIATE OUTCOMES : GOC manages its legacy information efficiently	Number of Legacy/dormant records (i.e. previously unmanaged) brought under control:	Sample survey	Annual	Sample: diminish LAC GC legacy holdings by XX # records Year 1 - analyse data: set Baseline Year 2 - establish targets	Legacy mgt lead
		OUTPUT : Storage model,	Volume* of archival records stored	admin data	Annual	Year 1 - set baseline Year 2 - establish targets	Regional manager
			Volume* of records of business value boxes that meet entrance criteria	admin data	Annual	Year 1 - set baseline Year 2 - establish targets	Regional manager
1.1.2.3 NEW	legacy documents On going work with	OUTPUT : Destruction memos	Volume of records disposed from LAC holdings	GABC admin data	annual	Year 1: 2 km Year 2 : To be determined	Accessibili ty officer

Key Performance Indicators for GRB activities (Summary)				Source/ Methodology	Frequency	Target (initial targets proposed by directors: Feb 25/09) - to be reviewed and completed	OPI
PAA	Proposed Activities Name (PAA)	Outcomes/ Outputs Proposed in the RMAF	Final indicators approved by working group				
	GC						
1.4.2 - Sub activity level							
1.4.2.3 ss activity level	Information Management (internal)						

4.2 Evaluation Plan

4.2.1 Overall Strategy and Evaluation Issues

This last section describes the evaluation strategy for the Disposition of the Government Information of Continuing Value. An evaluation is a special study conducted to assess the relevance, success and cost-effectiveness of a program, policy or activity area. Recent federal government orientations call for evaluations of all programs, including the Program Activity Architecture areas, every five years, at a minimum.

There are two key types of evaluation studies. Summative evaluations cover all traditional evaluation issues (rationale, delivery, results, cost-effectiveness), but focus on the assessment of the results and impacts of the program under study. Summative evaluations are usually conducted near the end of a program cycle, i.e., near its renewal or sunset date. Formative evaluations are the second key types of evaluation studies and are conducted earlier in the program cycle, usually a year or two after a program is implemented or renewed. Formative evaluations assess program implementation as well as processes. They also assess results to date.

For this activity area, a formative evaluation of the Disposition of the Government Information of Continuing Value activity is suggested for 2011.

At this stage, it is assumed that the Activity 1.1 would be evaluated as a stand-alone (this could change as the RMAFs of the other activity areas are finalized). The evaluation would be governed by an evaluation committee and would be guided by the following evaluation issues listed below. The methodologies used to address the issues are also outlined below.

Evaluation Matrix

Evaluation Issues <input type="checkbox"/>	Methodologies
Relevance	
1. To what extent do the Records Disposition Management Activities support LAC's mission and priorities? Are they consistent with federal government priorities?	Document review Key informant interviews
Governance and Delivery	
2. To what extent is the content of the MOUs, RDAs and other agreements appropriate? To what extent are they up to date?	Key informant interviews
3. Is the governance structure clear and effective? Are roles and responsibilities clear and understood by LAC and the rest of GOC?	Key informant interviews Focus groups with LAC staff
4. Are departmental and agency staff aware of the regime and LACs role in records management?	Document review Key informant interviews
5. Are LACs tools being implemented as planned? Are Departments/Agencies using the Risk-based Disposition Assessment tool?	Document review Key informant interviews Focus groups with LAC staff Survey of federal institutions
6. Does LAC have the capacity (funds and HR with appropriate skills) to meet the objectives of Activity 1.1?	Key informant interviews Focus groups with LAC staff
7. Are the proper mechanisms/measures available to monitor the success of Activity 1.1? Are mechanisms/measures available to take corrective actions?	Document reviews Key informant interviews Focus groups with LAC staff
Success	
8. To what extent have the Records Disposition Management Activities achieved the immediate outcomes indicated in the logic model? What are the	Document reviews Key informant interviews

Evaluation Issues □	Methodologies
results to date?	Focus groups with LAC staff Survey of federal institutions
9. To what extent is the new storage model in place in federal institutions?	Document reviews Key informant interviews Focus groups with LAC staff Survey of federal institutions
10. What are the barriers and challenges to the Records Disposition Management Activities? How have these been overcome or can be overcome?	Key informant interviews Focus groups with LAC staff Survey of federal institutions
<i>Cost-effectiveness and alternatives</i>	
11. To what extent are LAC resources for Records Disposition Management Activities used cost-efficiently and cost-effectively? How could these resources be used with an increased impact?	Document reviews Key informant interviews Focus groups with LAC staff

The methodologies are further explained below.

Methodologies

The methodologies are basically the research mechanisms and sources of information that the evaluation team will use to gather the necessary evidence to address the evaluation issues above. They are briefly described below. This type of evaluation would cost in the range of \$ 80,000 and require 3 to 6 months to complete.

Document Reviews

Many documents and previous studies would provide useful information for evaluation purposes. These include:

- Report on plans and priorities;
- Program and policy documents;
- Departmental Performance Reports;
- Quarterly and Annual Reports;
- OAG reports;
- Previous studies, audits and evaluations;
- Other documents required.

In particular, the reports derived from the monitoring mechanisms described in Section 4.1 would provide crucial output and outcome information, as well as information related to program delivery. In particular, the evaluation would incorporate findings from the Training Feedback forms. In fact, if the evaluation team is satisfied with the quality of the survey data, it might be unnecessary to conduct another survey as indicated below. The quality would be based on the response rates (a 50% response rate would be a minimum) and the outcome and feedback information obtained.

Key Informant Interviews

Key informant interviews are in-depth, one-on-one interviews based on open-ended questions. Such interviews are ideally conducted in person and can last up to one hour. The evaluation would rely on key informant interviews to obtain factual information, examples and explanations to address every evaluation issue. About 45 interviews would be conducted with senior LAC staff and departmental/agency representatives from 30 organizations or more.

Focus Groups with LAC staff

The success of the activities will rely on many staff members at LAC that work in cooperation with the Departments/Agencies to sign the agreements, implement the agreements, provide services and tools, and manage the disposition of the information. Focus groups with staff will be used to gather evidence from the perspective of LAC staff, including factual information, views, examples and suggestions for improvement. A focus group is a discussion moderated by a professional facilitator. Typically, focus groups involve 8 to 10 participants in a two hour discussion format.

Survey of Federal Institutions

As mentioned earlier, Training Feedback forms and surveys would be used as ongoing monitoring mechanisms. If these surveys are not conducted, or if the quality of the results of these surveys is deemed inappropriate, a survey of Department/Agency representatives would be conducted to obtain feedback on LAC supports as well as the success of the records disposition activities in their organizations.

Attempts would be made to contact as many of the 200 organizations as possible. As a minimum, a 70% response rate should be obtained. The survey should be conducted online, with some follow-up calls to ensure an appropriate response rate.

Appendix A: Recommendations from the Report of the Office of Auditor General of Canada dated November 23, 2003

Source: 2003 November Report of the Auditor General of Canada, Chapter 6—Protection of Cultural Heritage in the Federal Government

OAG Recommendation. LAC⁶ should implement mechanisms to obtain comprehensive information on the nature and condition of archival heritage, whether it is under their own control or that of Departments/Agencies.

LAC's response. LACs agrees with this recommendation and, in recognizing the importance of it, has recently undertaken a Collections Risk Assessment for the purpose of identifying renewed strategies for the protection and preservation of its collections. This initiative, along with the development of a more robust collections management function, will enable the organization to achieve the following: a more complete and accurate description of the state of the collection, in all the organization's facilities; a more strategic approach to preservation planning; the capacity to assess and mitigate risks to the collection under a risk management framework; effective, readily applicable survey methodologies; and a clearer identification of the information technology framework that is needed to support accurate, up-to-date reporting on the state of the collection and the progress made with preservation plans and strategies. LAC has completed a review of all existing records disposition authorities and communicated the results with departments. A complete life-cycle approach is being developed that will link departmental information management practices with the archival practices of the National Archives. This approach will foster the early identification of archival records and provide departments with the necessary information management tools and guidance in order to provide appropriate care of these records until transfer to LAC.

OAG Recommendation. LAC should implement, as soon as possible, its new method of selecting and acquiring records of historic value and report annually to Parliament on its progress. It should equip itself with appropriate management tools that allow it to measure how well it is protecting federal government records of archival value.

LAC's Response. LAC agrees with this recommendation and is in the process of

⁶ Then National Archives

developing and implementing its new approach to the selection and acquisition of records of historic and archival value. A review of all existing records disposition authorities has been completed. In addition, new internal procedures are being developed, as are new terms and conditions for the transfer of records to the National Archives and related guidelines and application tools. This work also responds to needs expressed by government departments at a recent Information Management Focus Day.

LAC will seek to develop indicators and enhance its existing reporting framework, namely the Departmental Performance Report and the Report on Plans and Priorities, to provide the ability to respond to this recommendation.

OAG Recommendation. The Treasury Board Secretariat, in collaboration with LAC, should develop a comprehensive plan to implement the new Management of Government Information Policy in order to provide the necessary support to federal Departments/Agencies that need to apply it. The Secretariat should develop a results-based management and accountability framework that Departments/Agencies can use in implementing the policy and in preparing reports to Parliament.

LAC Response. LAC agrees that improvements should be made in information management in government departments, including the organizing and scheduling of records to be transferred to the National Archives for permanent retention. In conjunction with government departments, it is currently developing new guidelines for the transfer of records.

It should be noted, however, that the physical transfer of records of government departments to LAC alone does not ensure the preservation of those records. The increasing number of electronic records created by government departments (for example, e-mail) will need new methods of management and ongoing maintenance to ensure the authenticity and reliability of these records over time, both in departments and after transfer to LAC. In addition, this growing challenge of managing electronic records is only part of the larger information management challenge faced by government for records in all media. Backlogs of undermanaged traditional paper records also exist in almost every department.

The National Archives agrees with this recommendation and is currently in the process of developing such an implementation plan with the Treasury Board Secretariat's Chief Information Officer Branch and LAC. The Treasury Board Secretariat and the National Archives have launched a joint project to assist government departments to scope the requirements necessary to implement the new Management of Government Information Policy. The National Archives has developed a self-assessment tool that departments can

use to gauge their own internal state of information management readiness. Results from departmental self-assessments, as they become available, will be used in the implementation project.

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