



National Archives of Canada

For the
period ending
March 31, 1997



Improved Reporting to Parliament —
Pilot Document

Canada

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Foreword

On April 24, 1997, the House of Commons passed a motion dividing what was known as the *Part III of the Estimates* document for each department or agency into two documents, a *Report on Plans and Priorities* and a *Departmental Performance Report*. It also required 78 departments and agencies to table these reports on a pilot basis.

This decision grew out of work by Treasury Board Secretariat and 16 pilot departments to fulfil the government's commitments to improve the expenditure management information provided to Parliament and to modernize the preparation of this information. These undertakings, aimed at sharpening the focus on results and increasing the transparency of information provided to Parliament, are part of a broader initiative known as "Getting Government Right".

This *Departmental Performance Report* responds to the government's commitments and reflects the goals set by Parliament to improve accountability for results. It covers the period ending March 31, 1997 and reports performance against the plans presented in the department's *Part III of the Main Estimates* for 1996-97.

Accounting and managing for results will involve sustained work across government. Fulfilling the various requirements of results-based management – specifying expected program outcomes, developing meaningful indicators to demonstrate performance, perfecting the capacity to generate information and report on achievements – is a building block process. Government programs operate in continually changing environments. With the increase in partnering, third party delivery of services and other alliances, challenges of attribution in reporting results will have to be addressed. The performance reports and their preparation must be monitored to make sure that they remain credible and useful.

This report represents one more step in this continuing process. The government intends to refine and develop both managing for results and the reporting of the results. The refinement will come from the experience acquired over the next few years and as users make their information needs more precisely known. For example, the capacity to report results against costs is limited at this time; but doing this remains a goal.

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National Archives of Canada

Performance Report

**For the
period ending
March 31, 1997**

Minister of Canadian Heritage

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Section I: The Messages

Message from the Minister of Canadian Heritage

The Canadian Heritage Portfolio *Strengthening and Celebrating Canada*

The National Archives of Canada is a key component of the Canadian Heritage Portfolio. The National Archives' main objective is to preserve the collective memory of the nation and of the Government and to contribute to the protection of rights and the enhancement of a sense of national identity.

The Canadian Heritage Portfolio was created in June 1993 to consolidate national policies and programs that maintain Canada's cultural sovereignty and promote Canadian identity.

All Canadians are affected, directly or indirectly, by the efforts of the Canadian Heritage Portfolio. The Department, agencies and Crown corporations contribute to the growth and development of Canadian cultural life, the promotion of a fairer, more equitable society, the nation's linguistic duality and multicultural character, and the preservation of Canada's national parks, national historic sites and heritage.

With its wide range of activities and responsibilities, the Canadian Heritage Portfolio contributes significantly to Canada's economic growth and prosperity, as well as to the enhancement of the values that bind us together as a unique society. Indeed, the United Nations Development Program has recognized Canada, for the third consecutive year, as the best country in which to live.

As Minister responsible for this important Portfolio, my work is to foster a strengthened sense of what it means to be part of the Canadian community. This includes enhancing pride in our country; encouraging participation in, and contribution to, our society; ensuring access to Canadian voices and spaces; and protecting our heritage. I am very proud and honoured to have been entrusted with a mission so important for Canada's vitality, now and in the future. I trust that this report will help you appreciate the National Archives of Canada and the Portfolio's contribution to these goals.

Sheila Copps
Minister of Canadian Heritage

The Components of the Canadian Heritage Portfolio

The Canadian Heritage Portfolio includes:

- the **Department of Canadian Heritage**, responsible for broadcasting policy, cultural industries, arts policy, heritage, Canadian identity, multiculturalism, official languages, sport and national parks and national historic sites; as well as the Canadian Conservation Institute, the Canadian Heritage Information Network, the Cultural Property Export Review Board and the Historic Sites and Monuments Board of Canada.
- **six departmental agencies**: the Canada Information Office, the National Archives of Canada, the National Battlefields Commission, the National Film Board of Canada, the National Library of Canada and Status of Women Canada.
- **one independent regulatory agency**: the Canadian Radio-television and Telecommunications Commission.
- **ten Crown corporations**: the Canada Council, the Canadian Broadcasting Corporation, the Canadian Film Development Corporation (Telefilm Canada), the Canadian Museum of Civilization, the Canadian Museum of Nature, the Canadian Race Relations Foundation, the National Gallery of Canada, the National Arts Centre, the National Capital Commission and the National Museum of Science and Technology.
- As well, the Public Service Commission reports to Parliament through the Minister of Canadian Heritage.

Message from the National Archivist

In many ways, 1996-97 was an outstanding year for the National Archives of Canada. While ensuring continuity, the Department brought to the fore a number of initiatives to further the accomplishment of its mission, which consists of preserving the collective memory of the nation and of the Canadian government, cooperating in the protection of rights, and contributing to the growth of a feeling of national identity. All of these initiatives have had major implications for the Program of the National Archives, but some of them merit special attention here.

In keeping with its strategic priorities for 1996-99, the National Archives made clear progress in its efforts to obtain appropriate facilities. The completion and opening of the Gatineau Preservation Centre is easily the most noteworthy accomplishment in this area. Thanks to this technologically advanced building, the National Archives is now very well equipped to preserve the documentary wealth of the nation. In the period covered by this report, the National Archives also obtained preliminary approval to proceed with renovation of the West Memorial Building, where many departmental operations including client services will be consolidated. The realization of these two important projects is a critical milestone in the evolution of the institution.

Numerous factors such as the scarcity of resources, restructuring of the Canadian government and the proliferation of new technologies have motivated the National Archives to devise new methods of work. The harmonization of practices in the area of intellectual control, the rationalization of the work processes related to the disposition of government records, and the increasing use of information technology to serve the Canadian public, are examples of the efforts made in 1996-97 to adapt to the many changes currently facing Canadian society in general, and the public service in particular.

Finally, the last quarter of 1996-97 coincided with the inauguration of a year of festivities to mark the 125th anniversary of the National Archives, one of the oldest federal cultural institutions. At the dawn of the new millennium, this anniversary will present an opportunity both to celebrate our past and to reflect upon the future.

Lee McDonald
Acting National Archivist

Section II: Departmental Overview

Our Mission

To preserve the collective memory of the nation and of the Government of Canada and to contribute to the protection of rights and the enhancement of a sense of national identity.

Since its beginnings in 1872, the National Archives of Canada (NA) has been preserving the collective memory of the Canadian people and the federal government. Underpinning this mission is the corporate vision "to make the documentary memory of the nation available to all Canadians for their use, well-being and enjoyment".

Roles and Responsibilities

The dual role of the National Archives as both a national heritage institution and an administrative arm of the federal government was confirmed in legislation in 1987. The *National Archives of Canada Act* accords the National Archives four key responsibilities:

- ▶ to conserve and facilitate access to private and public records of national significance
- ▶ to be the permanent repository of records of government institutions and ministerial records
- ▶ to facilitate the management of records of government institutions and ministerial records
- ▶ to encourage archival activities and the archival community

Two other legislated responsibilities of the National Archivist identified in the *Act* are:

- ▶ the authority over the disposition of the records of federal government institutions and ministerial records;
- ▶ the authority to request the required deposit (at cost) of a copy of any audio-visual record.

The *Act* also identifies certain discretionary powers of the National Archivist relating to records including:

- acquisition, custody and control
- identification, classification and preservation;
- provision of research access (subject to lawful restrictions);
- dissemination of information on archives through exhibitions and publications;
- provision of advice on standards and procedures;
- provision of reproduction and other services pertaining to management of government records to government institutions;
- central servicing of government personnel records;
- provision of government records storage facilities;
- training in archival techniques and management of records;
- participation in cooperative activities with the archival and information management communities, and
- provision of professional, technical and financial support in aid of archival activities and the archival community.

Organization

The National Archives of Canada operates under the direction of the National Archivist who is a Governor-in-Council appointee with the delegated authority of a deputy head. The institution reports to Parliament through the Minister of Canadian Heritage.

The National Archives is composed of the Office of the National Archivist, the Office of the Assistant National Archivist and four branches (see Organization Chart in Supplementary Information - Appendix 1). The Directors General of the Archives

Development and Preservation Branch, the Client Services and Communications Branch, the Management Services Branch and the Information Management Branch report to the National Archivist. Also reporting to the National Archivist is the Assistant National Archivist who is responsible for the Archives Headquarters Accommodation Project, Regional Operations (federal records centres) and such corporate functions as strategic planning, policy coordination, internal audit

and program evaluation.

Program

In order to fulfill its mission as the collective memory of the nation, the National Archives delivers a program consisting of four business lines: Holdings Development and Management; Management of Government Information; Services, Awareness, and Assistance; and Administration.

Strategic Priorities, 1996-99

During the period ended March 31, 1997, the National Archives' ongoing operations were guided by the four strategic priorities outlined below. In addition to paving the way for the Department to step into the next millennium, they reaffirmed its dual role as both a national heritage institution, documenting the Canadian experience through public and private records in all media, and an administrative arm of the federal government, supporting the management of government information.

<p>Implement Focus on People Initiatives The National Archives continued to encourage the development of an organizational culture characterized by teamwork, empowerment and accountability. Initiatives focused on assisting people affected by personnel attrition, more inclusive management, recognizing achievements and maintaining expertise.</p>	<p>Obtain Adequate Accommodation The National Archives continued its efforts to fulfill its long term accommodation strategy. An adequate infrastructure is necessary to preserve and make available our archival heritage and to provide support to government information management through the operation of cost-effective Federal Records Centres.</p>
<p>Facilitate the Management of Government Information The National Archives continued to facilitate the management of government information in order to protect records in context, thus preserving the government's short and long term corporate memory, protecting the rights of citizens and promoting the Canadian identity. This priority encompasses several key elements, including partnerships for the establishment of electronic records management standards and methods, and the planned disposition of records.</p>	<p>Deliver Archival Programs and Services The National Archives provides services of high quality to its users. In keeping with the government's Quality Service Initiative and within the context of resource constraints, the NA continued to be responsive to user needs and to make use of alternate delivery mechanisms, partnerships and sponsorships in order to broaden access to archival information.</p>

Section III: Departmental Performance

A. Performance Expectations

Table 1: Resource Requirements by Organization and Business Line

Comparison of Total Planned Spending to Actual Expenditures, 1996-97 by Organization and Business Line (\$ millions)

Organization	Business Lines				TOTALS
	Holdings Development and Management	Management of Government Information	Services, Awareness and Assistance	Administration	
Offices of the National Archivist and the Assistant National Archivist			1.9	1.0	2.9
			2.0	0.6	2.6
Planning and Policy				0.9	0.9
				0.8	0.8
Regional Operations		5.3			5.3
		4.7			4.7
Archives Headquarters Accommodation Project				2.0	2.0
				2.6	2.6
Archives Development and Preservation Branch	16.4	2.3	0.7		19.3
	17.6	2.7	1.6		21.8
Client Services and Communications Branch					
			7.2		7.2
			5.9		5.9
Management Services Branch				7.8	7.8
				7.8	7.8
Information Management Branch			0.0	4.4	4.4
			0.1	5.2	5.3
TOTALS	16.4	7.6	9.8	16.1	49.8
	17.6	7.3	9.6	17.0	51.5
% of TOTAL	34.2	14.2	18.5	33.1	100.0

Notes: Shaded numbers denote actual expenditures/revenues in 1996-97.
Totals have been rounded off.

Table 2: Comparison of Total Planned Spending to Actual Expenditures, 1996-1997 by Business Line

(\$ millions)

Business Lines	FTE	Operating*	Capital	Voted Grants and Contributions	Sub-total: Gross Voted Expenditures	Total Gross Expenditures	Total Net Expenditures
Holdings Development and Management	222.0	16.4			16.4	16.4	16.4
	211.4	17.6			17.6	17.6	17.6
Management of Government Information	151.0	7.6			7.6	7.6	7.6
	157.3	7.3			7.3	7.3	7.3
Services, Awareness and Assistance	135.0	7.9		1.9	9.8	9.8	9.8
	144.1	7.6		2.0	9.6	9.6	9.6
Administration	158.0	14.1	2.0		16.1	16.1	16.1
	153.0	14.7	2.3		17.0	17.0	17.0
Totals	666.0	45.9	2.0	1.9	49.8	49.8	49.8
	665.8	47.2	2.3	2.0	51.5	51.5	51.5
Other revenues and expenditures							
Revenue credited to the Consolidated Revenue Fund							0.1
							0.1
Cost of services provided by other departments							18.0
							18.0
Net cost of the Program							67.9
							69.6

Notes: 1) Shaded numbers denote actual expenditures/revenues in 1996-97.

2) Totals have been rounded off.

* Operating includes contributions to employee benefit plans and ministers' allowances.

Tableau 3: Departmental Planned versus Actual Spending by Business Line

(\$ millions)					
Business Lines	Actual 1993-94	Actual 1994-95	Actual 1995-96	Total Planned 1996-97	Actual 1996-97
Holdings Development and Management	20.6	18.2	17.7	16.4	17.6
Management of Government Information	11.4	10.1	9.9	7.6	7.3
Services, Awareness and Assistance	10.2	11.5	10.4	9.8	9.6
Administration	17.5	17.7	21.7	16.1	17.0
Total	59.7	57.5	59.7	49.8	51.5

Note : Totals have been rounded off.

B. Performance Accomplishments

Departmental Performance

In 1996-97, the National Archives worked on the development of performance indicators. Despite the progress achieved in this area, however, it should be noted that the Department does not yet have sufficient data to represent graphically long-term trends in the delivery of its program. Since the present

document deals with a timeframe during which the method of reporting was not yet results-oriented, it is frequently difficult to describe performance in the context of the new emphasis on outcomes.

Summary of Departmental Performance, 1996-97

Business Line	Results Achieved
Holdings Development and Management	<ul style="list-style-type: none">• Redefinition of the policy regarding the acquisition of private and government records.• Development and implementation of intellectual control standards.• Preparation of holdings and laboratories for the move to the Gatineau Preservation Centre.
Management of Government Information	<ul style="list-style-type: none">• Response to the increasing demand by departments and agencies regarding records disposition.• Advice to federal departments and agencies regarding the management of government information.• Implementation of the Strategic Action Plan for Federal Records Centres.
Services, Awareness and Assistance	<ul style="list-style-type: none">• Enhanced reference services.• Electronic communications products developed through partnerships.• Support to the national and international archival community.
Administration	<ul style="list-style-type: none">• Improved management of human, financial and materiel resources.• Adequate accommodation secured.• More extensive use of technology to implement the National Archives Program.

Business Line Performance

Holdings Development and Management

Objective: To develop and manage the National Archives' holdings of records of national importance.

The development and management of holdings and records encompasses the following **roles and responsibilities**:

- ▶ appraise and acquire private and public records of national significance;
 - ▶ serve as the permanent repository of records of federal government institutions and of ministerial records
- (**acquisition**);
 - ▶ arrange and describe archival records to permit intellectual and physical control for reference and access (**control**);
 - ▶ ensure long-term survival of archival records (**conservation**).

Expected Results: The *1996-97 Estimates* highlighted the National Archives' plans to

- ▶ focus private and public sector records acquisition;
- ▶ develop and implement standards for intellectual control of archival records in a computerized environment;
- ▶ prepare holdings and laboratories for their move to the Gatineau Preservation Centre.

Redefinition of the archival records

acquisition policy: While the acquisition of records from the private and public sectors remains a fundamental objective of the National Archives, funding restraints in recent years have prompted the Department to target more precisely its acquisitions while continuing to document the many facets of Canadian society.

To this end, the NA developed the *Acquisition Orientation for the National Archives 1995-2000* in cooperation with the Canadian archival community. In 1996-97, the NA continued to implement this strategy which calls, more specifically, for reductions in the acquisition of architectural, business, religious and multicultural records and the papers of MPs and Senators. This strategy provides the NA with an indispensable tool for the rational acquisition of records from the private sector.

Acquisition Highlights

In 1996-97, the National Archives acquired nearly 6,000 metres of textual documents from federal departments and agencies. Public sector acquisitions also included some 70,000 photographs dating from the First World War to the present. The NA also acquired important private sector records, including the multi-media fonds of Québec playwright and actor, Gratien Gélinas, and the Peter Krawchuk papers which contain a mine of information on the Ukrainian Left in Canada.

Similar efforts were made in order to focus more clearly acquisitions from the public sector. During the reporting period, the NA had expected to proceed with a study intended to reduce the total number of government databases acquired; however, this initiative will be held in abeyance until the Department can develop an integrated

electronic records program in 1997-98. It should be noted that the implementation of this program is of such importance that the NA has made it a strategic priority for the period 1997-2000.

Valuable Records

In 1996-97, the NA conducted 177 monetary appraisals of private records for tax credit purposes; these documents which were then acquired were valued at \$2,467,364.

Development of standards for the

intellectual control of archival records: As planned, the National Archives allocated significant resources to the development and implementation of intellectual control standards. The Department prepared a *Corporate Control Manual*, an exhaustive work which brings together all of the new departmental procedures used in the standardization of descriptions. These procedures, which are based on the *Rules for Archival Description (RAD)*, will make it possible to standardize institutional practices for the registration, accessioning, arrangement and description of archival records in all media, thus greatly improving reference services and facilitating Canadians' access to records, both on-site and at a distance. These procedures which existed in draft form at the end of March 1997, will be implemented by September 1997 after extensive staff training. When the standards are being applied operationally, the NA will be able to collect the data necessary for an evaluation of its performance in the field of intellectual control.

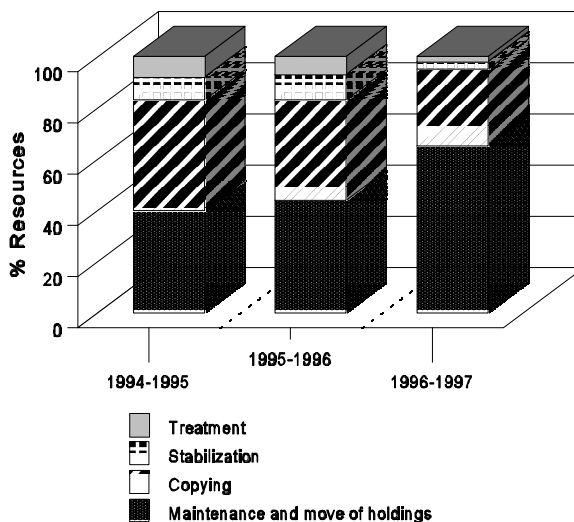
Move to the Gatineau Preservation

Centre: As indicated in the *1996-97 Estimates*, the move to the Gatineau Preservation Centre was the highlight of NA preservation activities. The Centre with its customized vaults and highly sophisticated laboratories constitutes a significant

milestone in the preservation of Canada's archival heritage. Staff members worked hard to prepare holdings and laboratories for the move. Beginning in January 1997, this vast project has proceeded on schedule. At the end of fiscal 1996-97, staff, equipment and some 80,000 archival containers had already been transferred to the new Centre. Given the magnitude of the task, the move will continue, as planned, until March 1998, at which time 700,000 archival containers will have been relocated in the new building.

Because of the transfer to the new facilities, the NA had to reduce the level of its regular restoration and reproduction activities. For

Figure 1: Distribution of Preservation Resources



example, only limited treatments were carried out on its holdings. Similarly, custodial activities were restricted mainly to circulation of records for clients and to preventive preservation which concentrated on appropriate handling, containerization and storage. These measures reflect the NA's recent approach to preservation which focuses on preventing deterioration from happening rather than on restoration and on mass stabilization rather than on the treatment of individual records. (See Figure 1.)

Management of Government Information

Objective : To preserve the corporate memory of the Government of Canada.

The management of government information encompasses the following **roles and responsibilities**:

- ▶ control the records destruction process throughout the federal government (**control of records destruction**);
- ▶ encourage, support and evaluate the implementation of standards and procedures concerning the management of recorded information in government institutions (**management of recorded information**);
- ▶ advise government institutions in the management of their recorded information (**management of recorded information**);
- ▶ manage a network of records centres across the country (**records centres operations**).

Expected Results: The 1996-97 *Estimates* highlighted the National Archives' plans to

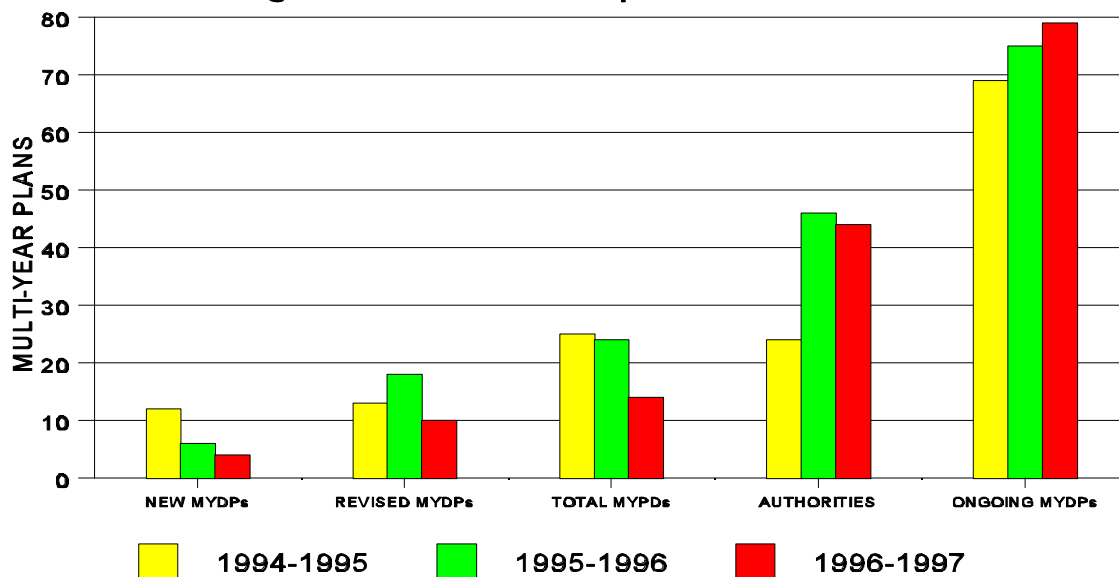
- ▶ respond to the increasing number of demands for records disposition as a result of the restructuring of the government;
- ▶ respond to the increasing number of requests for advice regarding the management of information as a result of the restructuring of the federal government;
- ▶ modify significantly the operations of the Federal Records Centres in the wake of budgetary reductions.

Response to the increasing demand for disposition: As anticipated, the number of demands for the disposition of records from departments and government agencies downsized as a result of the Program Review increased dramatically during 1996-97. After a comprehensive review, the NA identified 171 institutions, agencies, commissions or programs which had been terminated, merged, rationalized or privatized, an increase of 44 % over last year. Of the 171 entities identified, 106 were dealt with during the year. In addition to its emergency records disposition activities, the NA distributed across government policies and procedures entitled *Downsizing the Federal Government and the Disposition of Records*. Adopted in 1990 and revised in 1994, the *Government-Wide Plan for the Disposition of Records* was completely

revised and updated in order to take into account the many changes resulting from the Program Review.

Despite the additional workload brought about by the restructuring of the government, the National Archives continued to pursue its regular activities regarding multi-year planning for the disposition of records. Thus, forty-four records disposition authorities were issued in 1996-97, only two less than in 1995-96. (See Figure 2.) To maintain this level of productivity in a context of diminishing resources, the NA streamlined its operational procedures, reduced the scope of certain projects and slowed down the pace of

Figure 2: Multi-Year Disposition Results



negotiations regarding new multi-year disposition plans. As part of a continuing effort to facilitate the disposition of government records, the National Archives undertook an in-depth review of the *General Records Disposal Schedules (GRDS)* which had last been revised in 1986. The *GRDS* was replaced by the *Common Administrative Records Disposition*

Authorities

(*CARDA*). Like the *GRDS*, the *CARDA* is an indispensable tool for the sound management of government information, as it allows departments

and agencies to dispose of a significant number of routine records of no archival value. The *CARDA* has an undeniable advantage over the old *GRDS* in that it is organized according to the main government-wide functions and, in this way, is better suited to the context of constant change in which the federal government is currently operating.

Assistance in the management of recorded information: As projected, the National

Archives responded to requests for advice from over 800 federal programs. Advice was given at every level of the government, including ministers' offices, on a wide range of issues relating to records and information management. A sign of the times, significant effort was devoted to electronic records. For instance, the NA published and distributed

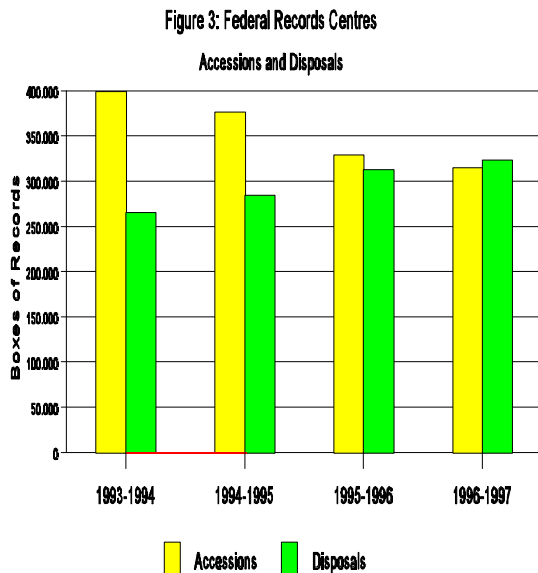
the final version of *Managing Electronic Records in an Electronic Work Environment* and provided exhaustive advice on the implementation of these new guidelines. The Department also participated in Treasury Board Secretariat's Shared

Systems Initiative, one of whose objectives was the adoption of a single information management system for senior managers. As part of this initiative, two software packages were developed to demonstrate how to manage electronic records in a shared space. In addition to electronic records, the National Archives focused on other modern media, which led to the drafting of a policy for the disposition of records in imaging systems. Moreover, a new tool, *Managing Audio-Visual Records in the Government of*

Leaders in the management of government information

Under the leadership of the National Archives, the new Information Management Forum provides a central focus for identifying issues and solutions regarding the management of federal government records.

Canada, was added to the series of guides prepared for records managers in federal departments and agencies.



Strategic Action Plan for Federal Records Centres: The Federal Records Centres provide central storage and protection for dormant records, retrieval and disposal services for government departments and agencies both in Ottawa and the regions; the

same functions are performed for personnel-related records of former civilian and military federal employees. Located in Halifax, Quebec City, Montreal, the National Capital region, Toronto, Winnipeg, Edmonton and Vancouver, the Centres serve to provide substantial savings to government.

In 1996-97, the Federal Records Centres implemented certain measures outlined in their Strategic Action Plan which had been developed as part of the Program Review. The Centres entered into an agreement with Revenue Canada, their main client, for the reimbursement of marginal costs for special services. In order to optimize the use of space, the Centres applied records disposition authorities rigorously and worked to reduce the retention periods for certain types of records. As a result of these efforts, the quantity of records disposed was slightly higher than accessions during 1996-97. (See Figure 3.) With the aim of rationalizing space, the Centres also studied the possibility of transferring certain types of records currently stored in the National Capital Region to the Manitoba Region Records Centre located in Winnipeg. Finally, they continued their efforts to consolidate facilities in the other regions.

Services, Awareness and Assistance

Objective : To support the use and development of the Canadian archival heritage.

The services, awareness and assistance functions encompasses the following **roles and responsibilities**:

- ▶ facilitate access to the holdings of the National Archives (**reference services**) ;
- ▶ provide Canadians with information

about the National Archives, its holdings and services (**awareness**);

- ▶ encourage and assist archives, archival activities and the Canadian archival community (**community assistance**).

Expected Results: The 1996-97 *Estimates* highlighted the National Archives' plans to

- ▶ enhance reference services by adopting service standards and exploring alternative means of providing services;
- ▶ develop electronic communications products in cooperation with other public or private sector organizations;
- ▶ provide ongoing assistance to the international archival community through the NA's participation in the Beijing Conference;
- ▶ reduce grants and contributions to the Canadian archival community.

Enhanced reference services:

During the period ending March 31, 1997, the National Archives brought to the fore various initiatives designed to facilitate access to the archival heritage and improve the delivery of services to the Canadian public. For example, the Department conducted a systematic review of certain blocks of restricted government records in order to make them

available for research purposes. As part of this exercise, the National Archives reviewed 3,800,000 pages, 3,000,000 of which can now be made available to the public without restrictions. In consultation with users, the National Archives developed and published service standards for various key services, including on-site reference, written inquiries and consultation of archival records. In order

to measure user satisfaction with respect to

the standards and client services in general, the Department sought feed back via comment cards placed at principal services points. Responses are analysed and services improved accordingly. In the future, these results will permit the National Archives

Serving Canadians

In 1996-97, the National Archives responded to 43,446 written inquiries, 71,822 telephone inquiries and 34,891 research visits. Clients consulted 45,349 microfilms, 34,996 containers of textual documents, 19,323 audiovisual tapes, 5,898 containers of photographic and art records, as well as 11,669 maps and plans. Furthermore, staff responded to 5,187 official requests filed under the *Access to Information Act* and the *Privacy Act*.

to measure more precisely its performance related to the delivery of client services.

With a view to the long-term, the National Archives also developed a *Quality Service Plan* which sets out various means of improving service delivery. During the first year of this Plan, the NA explored new methods for expediting record copying

services for clients. To improve the delivery of researcher services outside the National Capital Region, the NA added a fourth distant access site with the opening of a Montreal location in April 1996. Because researchers are served in their own communities, these four sites (Winnipeg, Vancouver, Halifax and Montreal) have become very popular with the Canadian public. For example, consultation of microfilmed holdings at these sites rivalled the total number of loans made through the departmental inter-institutional loan program.

Access to Government Records

In 1996-97, the National Archives received more formal requests for information under the *Access to Information Act* than any other department or government agency. Furthermore, it received the fourth highest number of formal requests submitted under the *Privacy Act*. Moreover, the NA responded to nearly 73% of the access requests within the 30-day deadline compared with 48% for the rest of the federal government, and to 79% of the requests submitted under the *Privacy Act* compared with 49% for the government as a whole.

Information technology and the enhancement of our archival heritage: The National Archives continued to use new information technologies to increase the

Canadian public's awareness of the vast wealth of its holdings. During the period covered by this report, the NA focused on the development of its Internet site which is becoming increasingly popular among researchers. (See Figure 4.) Thanks to Industry Canada's support and the Canadian Schoolnet program to digitize collections, more than 50,000 pages of attestation papers from the Canadian Expeditionary Force (First World War) were digitized and are now available on the Internet. This important project afforded the NA the opportunity to hire 34 young Canadians from the Renfrew area near Ottawa in the summer of 1996. This experience helped these students to develop their knowledge and technical skills while becoming more aware of the richness of their documentary heritage.

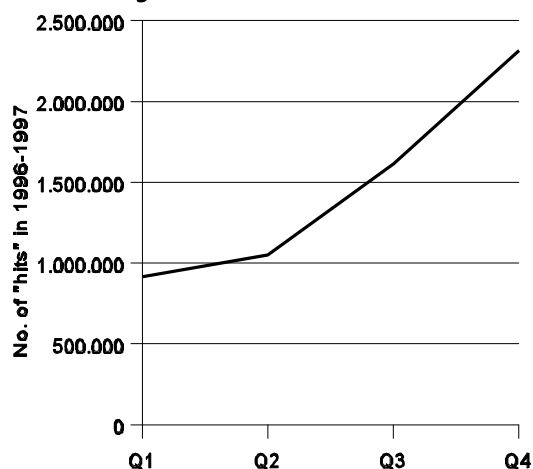
An agreement between the Friends of the National Archives and the Corel Corporation proved to be just as beneficial. Eight compact disks (CD-ROM), each containing 100 reproductions of items from the NA holdings, were produced under this agreement. Designed to promote the value of the Canadian heritage, these CDs present subjects as varied as railroads, rural traditions, sports of yesteryear and the settlement of the Western Provinces.

Enhanced Access to Our Archival Heritage

Two exhibitions in Ottawa, entitled *Pride and Dignity: Aboriginal Portraits* and *Legends in Life and Art: the Portrait Photography of Roloff Beny*, attracted more than 15,000 visitors from all across the country. National Archives publications were distributed to more than 182,000 persons across Canada and 14,000 others subscribed to the magazine, *The Archivist*.

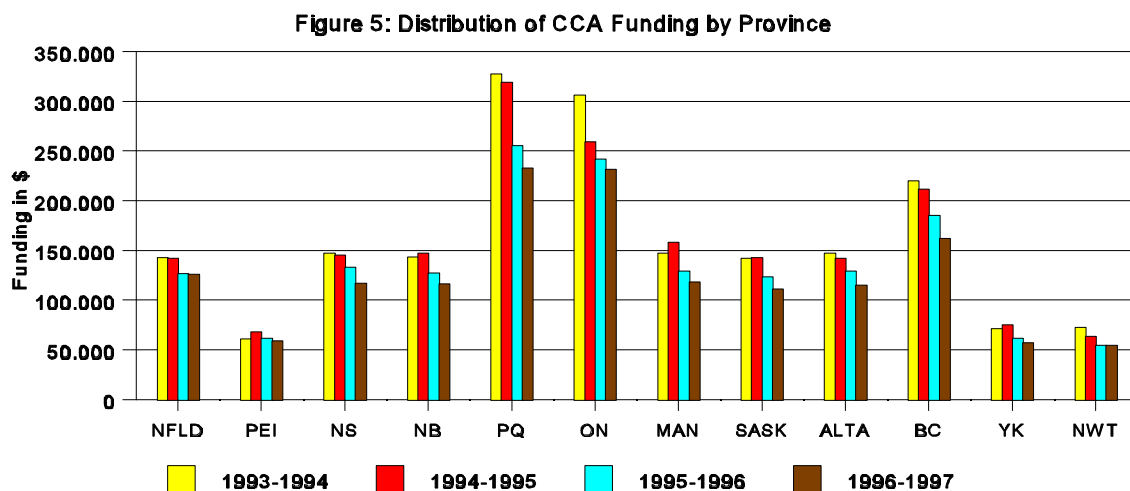
Assistance to the archival community: Because of the budget reductions stemming from the National Archives Program Review,

Figure 4: The NA Internet Site



grants and contributions provided to the Canadian archival community through the Canadian Council of Archives (CCA) were reduced by 9.5 percent during 1996-97. (See Figure 5.) Despite this reduction, the number of projects completed with the financial support of the CCA increased slightly to 241 from the 226 of the previous fiscal year. This increase reflects the CCA's approach to extend support right across the community rather than concentrating on specific projects.

Given that the National Archivist was the President of the International Council of Archives (ICA), the NA was also heavily involved in the international archival community. Certain staff members were invited to share their expertise with their colleagues at the 13th International Congress on Archives held in Beijing in September 1996; this representation bears witness to the Department's leadership on the international scene. Participation in the international archival community has diminished, now that the National Archivist's term as ICA



president has ended.

Administration

Objective : To provide administrative support to the operational programs of the National Archives of Canada and the National Library of Canada.

Administration includes the following **roles and responsibilities**:

- ▶ guidance to National Archives and National Library managers in the effective and efficient use of human, financial, materiel and accommodation resources (**resource management**);
- ▶ management, administrative and technical support for the NA's internal records system, information plans and automated systems (**information management**);
- ▶ provision of corporate policy development, strategic program planning, program evaluation, internal audit and executive secretariat (**executive support**).

Expected Results: The *1996-97 Estimates* highlighted the National Archives' plans to

- ▶ allocate significant resources and efforts to completion of the Gatineau Preservation Centre;
- ▶ continue efforts to obtain approval for renovation of the West Memorial Building;
- ▶ evaluate alternate personnel and financial management systems and implementing new systems as the old central systems are eliminated;
- ▶ implement a continuous learning initiative.

Improved resource management: True to its strategic priorities for 1996-99, the National Archives emphasized important initiatives that focused on staff. The NA continued to implement the basic principles of continuous learning which involves the establishment of a participative management environment. To this end, the National Archives focused particularly on employee empowerment, participative planning meetings and increasing management awareness of this new organizational culture.

Together with the National Library of Canada, the NA implemented a new human resource management system to replace the old system which had become outdated and costly to maintain. The NA also concluded a study to select a replacement for the departmental financial management system.

These new systems, based on an integrated approach to resource management, will make it possible to achieve significant savings, particularly by eliminating repetition in data entry tasks.

Obtaining adequate accommodation:

Considerable progress was achieved in accommodation projects during 1996-97. While the construction and commissioning of the Gatineau Preservation Centre proceeded on schedule and on budget, progress was also made on the West Memorial Building renovation project. Treasury Board approved the preliminary project phase in May 1996. This refurbished building will become the new National Archives headquarters and will provide a central point for services to the public. With its permanent exhibition rooms, this building will make it

possible to provide Canadian with greater access to their incomparable archival heritage.

More extensive use of technology: The goal of the National Archives is to use the new intellectual control standards within a single automated system called MIKAN. Significant progress was achieved in this area during the period covered by this report and the system will be fully operational in September 1997.

Numerous studies and a successful test

confirmed the system's capacity to migrate databases from existing systems to the new system. As a result, these old databases will be available to users shortly, thereby facilitating Canadians' access to the NA's archival heritage. Moreover, the Inquiry

Tracking System was fully implemented in 1996-97. This system will facilitate the handling and monitoring of the thousands of inquiries received each year and contribute to improving the delivery of reference services.

The MIKAN System

The studies concluded in 1996-97 will allow the NA to migrate successfully the following legacy data to MIKAN:

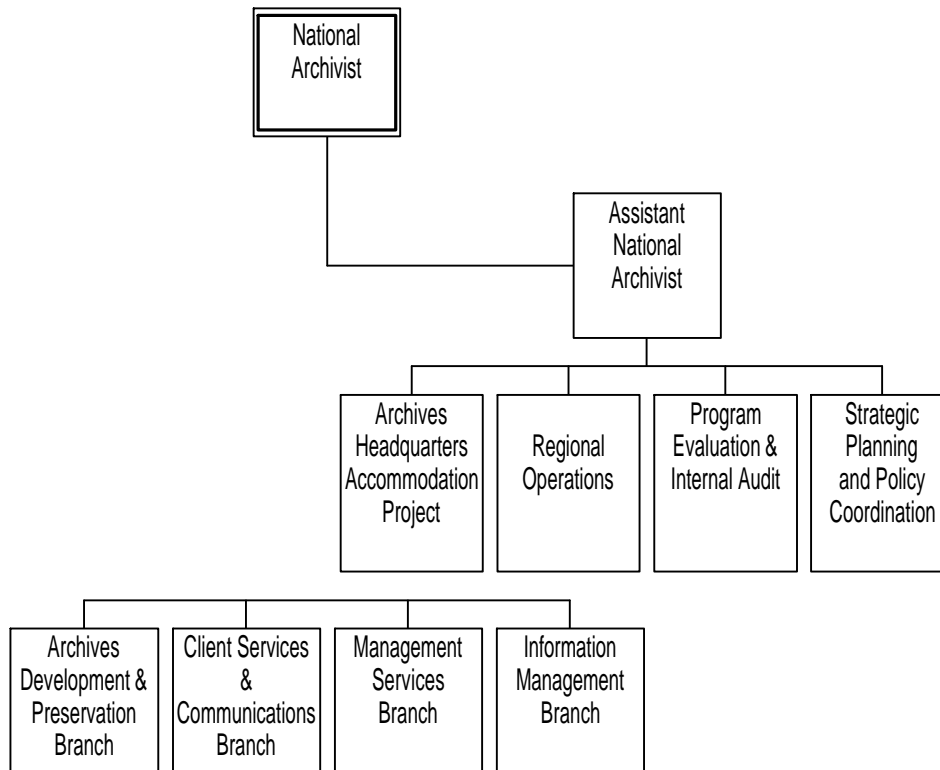
- 43,000 accession records;
- 25,500 holdings and series records;
- 20,000 authority records.

C. Key Reviews

Key Reviews	
Results of Internal Audits	
Audit of Workforce Adjustment, Including Departure Incentives:	This Treasury Board directed audit assessed the degree to which the National Archives will achieve human resource reductions in accordance with Program Review decisions. It also gauged compliance with Workforce Adjustment measures. The audit findings determined that the National Archives had planned well for human resource reductions and established a program to implement the required changes effectively. The department is achieving its workforce reduction targets with respect to FTE numbers, salary and employee benefits expenditures.
Environmental Audit:	This audit assessed the ability of the National Archives to prepare sustainable development strategies and examined the clarity of management direction on environmental issues. The audit determined that the department is performing environmental duties in an efficient and effective manner and identified opportunities to further strengthen management direction in this area.
Audit of Official Languages and Information Technology:	This Treasury Board audit examined the extent to which the National Archives complied with policies on information technology and official languages. In general, the audit confirmed that the department does comply with Treasury Board policy in this area.
Other Key Reviews	
Review of Gatineau Major Capital Project:	The review studied the extent to which the National Archives is prepared to occupy, manage and use the Gatineau Preservation Centre, its new building for the storage and preservation of archival holdings. The review concluded that the National Archives planned and executed its move to the building in a thorough and professional manner. The report suggested avenues, now being pursued, to improve the department's ability to manage and occupy the Gatineau Preservation Centre.

Section IV: Supplementary Information

A. Organization Chart



B. List of Statutory and Departmental Reports

- *Estimates, Part I*
- *Estimates Part II*
- *Performance Report*
- *Report on Plans and Priorities*
- Part VII of the *Official Languages Act*
- Employment Equity Action Plan and Annual Report
- Official Languages Action Plan and Annual Report
- Annual Report on Multiculturalism
- Reports on the *Access to Information Act* and the *Privacy Act*

C. Contact for Further Information

For more information about the contents of this document, please contact the Director, Strategic Planning and Policy Coordination at (613) 992-7545.

D. Financial Summary Tables

Table D.1: Summary of Voted Appropriations

Authorities for 1996-1997 - Part II of the Estimates
Financial Requirements by Authority
(\$ millions)

Vote		1996-97 Main Estimates	1996-97 Actual
Program			
National Archives of Canada			
75	Program Expenditure	45.7	47.2
(S)	Contributions to employee benefit plans	4.1	4.3
Total Department		49.8	51.5

Note : Totals have been rounded off.

Table D.2: Transfer Payments by Business Line

(\$ millions)					
Business Line - Services, Awareness and Assistance	Actual 1993-94	Actual 1994-95	Actual 1995-96	Total Planned 1996-97	Actual 1996-97
GRANTS					
Canadian Council of Archives	0.6	0.6	0.6	0.6	0.6
Alliance for Canada's Audio-Visual Heritage	0.0	0.0	0.0	0.1	0.1
Total Grants	0.6	0.6	0.6	0.7	0.7
CONTRIBUTIONS					
Canadian archival community in support of archival projects leading to the development of a national network of Canadian archives, holdings activities and services.	1.0	1.0	0.9	0.7	0.5
Canadian archival community in support of projects relating to the conservation of archival records, conservation training and information.	0.9	0.8	0.7	0.6	0.8
Total Contributions	1.9	1.8	1.5	1.3	1.3
Total Transfer Payments	2.5	2.4	2.1	2.0	2.0

Note: Totals have been rounded off.

Table D.3: Revenues to the Vote by Business Line

(\$ millions)				
Business Lines	Actual 1994-95	Actual 1995-96	Total Planned 1996-97	Actual 1996-97
National Archives of Canada	0.0	0.0	0.0	0.0
Total Revenues to the Vote	0.0	0.0	0.0	0.0

Table D. 4: Revenues to the Consolidated Revenue Fund (CRF) by Business Line

(\$ millions)				
Business Lines	Actual 1994-95	Actual 1995-96	Total Planned 1996-97	Actual 1996-97
National Archives of Canada				
Miscellaneous	0.1	0.1	0.1	0.1
Total Revenue to the CRF	0.1	0.1	0.1	0.1
Total Revenues	0.1	0.1	0.1	0.1

Table D. 5: Contingent Liabilities

Contingent Liabilities (thousands of dollars)	
List of Contingent Liabilities	Current Amount of Contingent Liability
Claims and Pending or Threatened Litigation	
Litigations	
Non-litigations	103
Total	103

Appendix E: Legislation Administered by the National Archives of Canada

The National Archivist has sole responsibility to Parliament for the following Act:

National Archives of Canada Act R.S.C., 1995, c.1 (3rd suppl., c. N-2.5)

The National Archivist shares responsibility to Parliament for the following Acts:

<i>Access to Information Act</i>	R.S.C., 1985, c. A-1
<i>Privacy Act</i>	R.S.C., 1985, c. P-21
<i>An Act to amend the Copyright Act</i>	Bill C-32, 1997
<i>Historic Sites and Monuments Act</i>	R.S.C., 1985, c. H-4
<i>Young Offenders Act</i>	R.S.C., 1985, c. Y-1
<i>Nunavut Land Claims Agreement Act</i>	R.S.C., 1993, c. N-28.7
<i>The Yukon First Nations Self-Government Act</i>	R.S.C., 1994, c. Y-2.3
<i>The Yukon First Nations Land Claims Settlement Act</i>	R.S.C., 1994, c. Y-26
<i>Excise Act</i>	R.S.C., 1985, c. E-15

Appendix F: References

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