

National Archives of Canada

Performance Report

For the period ending March 31, 1999

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Improved Reporting to Parliament Pilot Document

The Estimates of the Government of Canada are structured in several parts. Beginning with an overview of total government spending in Part I, the documents become increasingly more specific. Part II outlines spending according to departments, agencies and programs and contains the proposed wording of the conditions governing spending which Parliament will be asked to approve.

The *Report on Plans and Priorities* provides additional detail on each department and its programs primarily in terms of more strategically oriented planning and results information with a focus on outcomes.

The *Departmental Performance Report* provides a focus on results-based accountability by reporting on accomplishments achieved against the performance expectations and results commitments as set out in the spring *Report on Plans and Priorities*.

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Foreword

On April 24, 1997, the House of Commons passed a motion dividing on a pilot basis what was known as the annual *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*.

This initiative is intended to fulfil the government's commitments to improve the expenditure management information provided to Parliament. This involves sharpening the focus on results, increasing the transparency of information and modernizing its preparation.

This year, the Fall Performance Package is comprised of 82 Departmental Performance Reports and the government's report *Managing for Result* - Volume 1 et 2.

This *Departmental Performance Report*, covering the period ending March 31, 1999, provides a focus on results-based accountability by reporting on accomplishments achieved against the performance expectations and results commitments as set out in the department's pilot *Report on Plans and Priorities* for 1998-99. The key result commitments for all departments and agencies are also included in Volume 2 of *Managing for Results*.

Results-based management emphasizes specifying expected program results, developing meaningful indicators to demonstrate performance, perfecting the capacity to generate information and reporting on achievements in a balanced manner. Accounting and managing for results involve sustained work across government.

The government continues to refine and develop both managing for and reporting of results. The refinement comes from acquired experience as users make their information needs more precisely known. The performance reports and their use will continue to be monitored to make sure that they respond to Parliament's ongoing and evolving needs.

This report is accessible electronically from the Treasury Board Secretariat Internet site: http://www.tbs-sct.gc.ca/tb/key.html

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National Archives of Canada

Performance Report

For the period ending March 31, 1999

The Honourable Sheila Copps Minister of Canadian Heritage

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Executive Summary

The National Archives exists to preserve the collective memory of the nation so as to protect individual rights and enhance national identity. Its corporate priority is to provide quality service to Canadians: directly, to the clients who call, write, email, visit in person or surf the National Archives Web site; and indirectly, through its support to federal government departments and the Canadian archival community.

The National Archives operates in a context where its clientele is diverse, discerning, and growing; where its record holdings exist in a wide variety of media requiring distinct preservation measures; and where the nature of the document is changing rapidly, as new forms of electronic records emerge.

The National Archives *Performance Report* for the year ending March 31, 1999 outlines the progress made towards the three-year targets identified in the National Archives *Report on Plans and Priorities* for 1998-99. It details the measures the National Archives has taken to meet its fundamental goal of providing quality service to its clients; and preliminary efforts to introduce performance indicators to gauge its progress better.

National Archives performance highlights in 1998-99 of particular benefit to Canadians include the development of *ArchiviaNet*, a considerable expansion of its Web site giving researchers anywhere in Canada or the world ready access to hundreds of thousands of descriptions of National Archives holdings, to select databases, and to digitized images of National Archives records. In addition, a four-year project was initiated to create standardized automated descriptions of archival records across all media. This will considerably improve the ability of National Archives staff to locate archival documents for researchers and will form the basis for future public access to the National Archives' holdings.

Finally, in conformity with the move towards modern comptrollership within the federal bureaucracy, the National Archives implemented new financial and program management information systems in 1998-99 aimed at improving its ability to cost activities.

NATIONAL ARCHIVES OF CANADA CHART OF KEY RESULTS COMMITMENTS

To provide Canadians with:*	To be demonstrated by:	Achievements reported in:
Access to their archival heritage	 effective services to Canadians through the use of information technology and quality service initiatives awareness by Canadians of their archival heritage through dissemination of information about the National Archives and its holdings development of national and international archival networks** 	DPR, pages 19-22 DPR, pages 20-21 DPR, pages 22-23
An archival resource documenting the Canadian experience and protecting citizens' rights	 acquisition of archival records in core collecting areas standardized descriptions of archival records preventive conservation of archival records 	DPR, pages 24-26 DPR, pages 25-26 DPR, pages 25-26
Preservation of the corporate memory of the Government of Canada	 effective disposition of government records** standards for the management of government records optimal space utilization for federal records centre operations 	DPR, pages 27-29 DPR, pages 28-29 DPR, page 29
Efficient administration of the National Archives program	 staff motivated and qualified to deliver quality services** increased use of information resources and information technology implementation of long-term accommodation strategy 	DPR, page 30 DPR, page 31 DPR, page 31

^{*} These commitments have been reworded to clarify their meaning.

^{**} This target has been changed to reflect program focus.

Message from the Minister of Canadian Heritage

This report highlights the achievements of the National Archives of Canada (Archives) over the past year.

The Archives preserves the collective memory of the nation and of the Government of Canada and contributes to the enhancement of a sense of national identity. It accomplishes this by acquiring, conserving and providing access to private and public records of national significance and serving as the permanent repository of ministerial records as well as those of federal government institutions. Furthermore, it facilitates the management of these records and exercises leadership in supporting and developing the Canadian and international archival community.

My thanks go to the dedicated women and men who serve Canadians through the Public Archives of Canada at this time of enormous and exciting change.

The Honourable Sheila Copps Minister of Canadian Heritage

Canadian Heritage Portfolio Components

The Canadian Heritage Portfolio includes:

- the Department of Canadian Heritage, responsible for policies and programs relating to arts and heritage, cultural development, Canadian identity, multiculturalism, official languages, and sport; as well as policies governing national parks and national historic sites; 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 National Archives of Canada, the National Battlefields Commission, the National Film Board of Canada, the National Library of Canada, the Parks Canada Agency and Status of Women Canada.
- ❖ one independent regulatory agency: the Canadian Radio-Television and Telecommunications Commission.
- ten Crown corporations: the Canada Council for the Arts, 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 Arts Centre, the National Capital Commission, the National Gallery of Canada, 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

"Of all national assets, archives are the most precious; they are the gift of one generation to another and the extent of our care of them marks the extent of our civilization."

Sir Arthur G. Doughty Dominion Archivist, 1904 to 1935

Recent international events have given Canadians new appreciation of the value of documents. In Kosovo, recorded memory was systematically obliterated this past spring: archives and records offices were deliberately destroyed, and individuals fleeing the region were compelled to surrender documents before being permitted to cross the border. These events tragically bear witness to the fundamental role of records as means of protecting individual and collective rights, and as expressions of collective identity.

In Canada, our archival heritage protects individual and collective rights by documenting events, decisions and transactions; it also serves to hold governments and individuals accountable for their actions. Our archives are also a basic tool for research and study concerning our past. Historians and other academic researchers, journalists and public servants depend on the documentary record to do their work. Records are also preserved for the enjoyment of individual Canadians. A rapidly growing number of Canadians use the holdings of the National Archives to learn more about their family roots and their communities.

Canadians called for renewed investment in knowledge and creativity. A cornerstone of this thrust is the aim to make Canada "the most connected nation in the world" by the year 2000. The National Archives, by the continuing development of its Web site, its digitization program, and its support for the information highway through the CAIN (Canadian Archival Information Network) project, is dedicated to participating fully in this initiative. The National Archives brings the original record of our past to Canadians, simplifying access to the voices and images of generations which have gone before. It provides the authoritative basis for our knowledge, understanding, and appreciation of Canada's complex past.

lan E. Wilson National Archivist

DEPARTMENTAL OVERVIEW

Mandate, Mission and Vision

The National Archives of Canada is one of the oldest of the institutions which constitute the Canadian Heritage Portfolio. Since 1872, when "three empty rooms" were assigned to a new Dominion Archives Branch, the National Archives of Canada and its predecessors have been preserving the records documenting Canada's past.

The objective of the National Archives is 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:

- by acquiring, conserving and providing access to private and public records of national significance, and serving as the permanent repository of records of government institutions and of ministerial records:
- by facilitating the management of records of government institutions and of ministerial records; and
- by exercising shared leadership in supporting and developing the Canadian and international archival communities.

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

The National Archives delivers its program through four business lines: Services, Awareness and Assistance; Acquisition and Holdings Management; Management of Government Information; and Corporate Services.

Operating Environment

The National Archives of Canada performs its mission in association with other federal government institutions with related responsibilities. It also functions within the Canadian and international archival communities.

"Archives, by providing evidence of human actions and transactions, underlie the rights of individuals and of states, and are fundamental to democracy and good governance. Archives safeguard the memory of mankind by preserving records of its past."

International Council on Archives, "Welcome To ICA," July 1997, 4.

Position in Government

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

Co-delivery Partners

The National Archives shares a building and administrative support services with the National Library. The two institutions also share certain reference functions, to guide researchers effectively to the information they seek; and they cooperate in acquisition policies to ensure that they do not duplicate efforts in ensuring a comprehensive national documentary heritage. The National Archives cooperates with the Treasury Board Secretariat in implementing the Management of Government Information Holdings Policy by providing advice and assistance to government institutions on the management of their active records and by providing secure cost-effective storage for semi-active and dormant records.

Archival Community

In fulfilling its mandated responsibility to support and develop the Canadian archival community, the National Archives provides annual grants and contributions to the Canadian Council of Archives. The National Archives also maintains a commitment to supporting archival initiatives world-wide through its active role in the International Council of Archives.

Challenges

Public Expectations

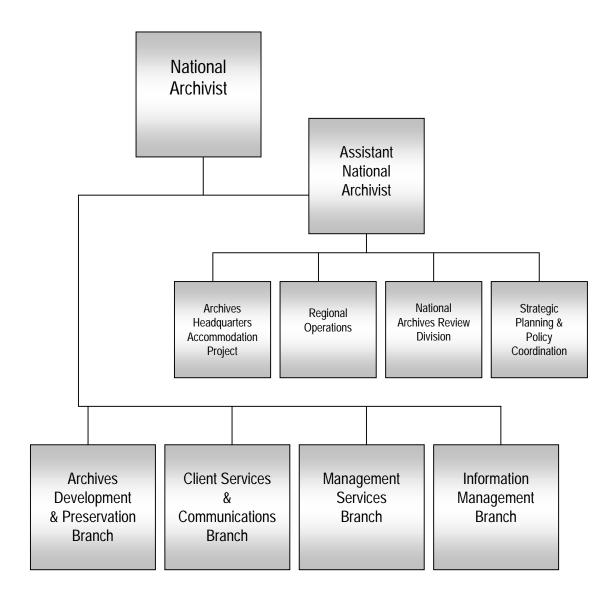
On the eve of the new millennium, renewed interest in history and commemoration is evident, even in the mainstream media. This is reflected in an increased demand for archival material from a wide range of discerning users, who expect immediate, easy and comprehensive access to archival information, as technology improves and the government reaffirms its commitment to provide affordable, equitable and effective services to Canadians.

Archival records are heavily used by a diverse clientele, for the preparation of scholarly and popular publications, and for radio and television broadcasts reaching large audiences. Increasingly, the National Archives must facilitate the use of archival information with digital technology.

New Technologies

The use of new technologies has had — and will continue to have — a large impact on all sectors of the National Archives, creating new challenges for identifying, preserving, and making available to the Canadian public the archival record. Increasingly, information is exchanged electronically, through networks. An ever greater proportion of records exist only in electronic form. New kinds of record are appearing, driven in part by the convergence of technologies. Unprecedented masses of information are created in transitory, non-standard formats, dependent on proliferating, rapidly obsolete electronic supports. The archival community is very concerned about the preservation and long-term accessibility of electronic records of archival value. Because electronic records are so readily alterable, a fundamental challenge faced by archives today is to maintain the electronic record as authentic and reliable in the face of changing software and hardware technologies.

Organization Structure



DEPARTMENTAL PERFORMANCE

Performance Expectations

The National Archives' strategic priorities reflect the shared vision of the institution at the dawn of the 21st century, both as a national heritage institution, documenting the Canadian experience through public and private records in all media, and as an administrative arm of government, supporting the management of federal government information.

The National Archives is dedicated to the continuous improvement of our service delivery to Canadians, notably by the use of partnerships and sponsorships, and the exploitation of information technology. In our commitment to quality service, we will remain responsive to client demands.

The National Archives recognizes the challenge in maintaining the integrity of the official record presented by the fundamental shift in government and society towards electronic records creation and record-keeping. In response, it has begun to develop and maintain an integrated electronic records program consisting of a system of policies, processes and activities directed to the identification, preservation and provision of access to archival electronic records. The National Archives' Policy on Electronic Records was approved in August 1998 – a first step in the preservation of a documentary heritage currently in jeopardy. Two recently completed studies, one, a case study reviewing the appraisal and acquisition of large databases, and a second, involving the development of an evaluation framework for the National Archives' Electronic Records Project, should assist managers in determining how well we are meeting the challenges that electronic records pose for the National Archives.

The National Archives also recognizes the fundamental role of staff in the successful delivery of its program. A learning organization, the National Archives values and listens to its employees.

Performance Measures

Getting our performance measures right is a priority for the National Archives. In 1998-99, as we gained greater experience with and understanding of the challenges of performance indicators, efforts were renewed to refine and modify our performance framework and measures. This work will be assisted by institutional reviews such as that associated with the implementation of sections 5 and 6 of the *National Archives of Canada Act*. Better performance indicators will produce better work plans and an accountability regime more transparent to staff. More importantly, they will enable us to serve our varied clients better.

Performance Accomplishments by Business Line

Performance accomplishments are reviewed in turn for each of the four National Archives lines of business. For each, its objectives, the associated costs as well as the clients served are identified. Then performance results are reviewed in light of the targets identified in the National Archives *Report on Plans and Priorities* for 1998-99. Finally, work towards measuring the National Archives' performance is discussed.

Services, Awareness and Assistance

Under this business line, the National Archives aims to ensure that Canadians have knowledge of and ready access to its vast holdings. The National Archives also offers support for the development of archives in Canada.

A wide variety of clients are served under this business line: the Canadian public, veterans and genealogists; Canadian and international researchers, including academics, journalists, and native claims investigators; and the Canadian archival community.

Planned Spending \$9,042,000

Total Authorities \$8,923,799

1998-99 Actual \$11,062,489

Quality Services to Clients

The National Archives is dedicated to providing researcher services responsive to client needs. Over the past few years, the National Archives has moved to providing better integrated service to clients through a 'single window', sparing researchers the need to seek services from different locations within the National Archives.

The archival record, by its nature, is unique and irreplaceable. It can only be circulated under strict controls – in contrast, for instance, to a contemporary library book printed in large numbers. A core challenge for the National Archives is to ensure that clients who are unable to visit our reference areas in Ottawa – where researchers may consult original archival records – have adequate access to our archival holdings. Traditionally, the National Archives has responded to the needs of these clients by telephone and written reference services, by photocopying documents for clients, and by microfilming (for the purpose of inter-institutional loans) those records most requested by the public, including, for example, the Canadian census and the war diaries maintained by military units.

New technologies permit considerable improvements in service to the public. Current initiatives aim to develop automated access to

Responding to the needs of our clients

"The service is friendly, rapid, and excellent." (Ottawa, ON)

"I was happy to see a counter of available height for someone on a wheelchair." (London, ON)

"Your National Archives of Canada really does provide a wonderful first-class service." (Wellington, New Zealand) In 1998-99 the National Archives, jointly with Industry Canada's Digital Collections Program and Veterans Affairs Canada (VAC), participated in a prototype project relating to Canadian First World War Victoria Cross recipients, currently mounted on the VAC web site.

descriptions of National Archives' holdings. A Web-based system called *ArchiviaNet* is a focal point of these efforts. In 1998-99, the system was expanded, after evaluation by external users, to include an index to over 1.5 million files created by the departments and agencies of the federal government; 560,000 descriptions of photographs, works of art and caricatures, including 5,000 digitized images; 570,000 descriptions of films, videos and sound recordings; 200,000 digitized pages of attestation papers of soldiers of the Canadian Expeditionary Force (First World War); and several specialized databases (of members of the Canadian Expeditionary Force, an index of the 1871 Ontario census, and an inventory of Canadian postmasters); and subject research guides (to aboriginal peoples, to genealogical sources).

National Archives clients are dependent on photocopies of archival records for research, administrative and legal purposes. To meet this need, the National Archives provides researchers (for a modest fee) with hundreds of thousands of photocopies annually. In response to client demands for improved service, a new on-the-spot (short order) photocopy desk was introduced in 1998-99.

Clients have also told us that they want improved access to government records closed pending the review required under Access to Information and Privacy legislation. In response, a project has been launched to review systematically restricted government records particularly likely to be requested by researchers. Specific focus in 1998-99 was placed on reviewing 800 boxes of Custodian of Enemy Property records, which may contain information relating to the Holocaust Assets controversy. Over 70% of these records have now been opened and can be consulted by the public.

Higher Public Profile

A key element in providing quality services to Canadians is to make them aware of the National Archives' extensive holdings and the ways in which they are relevant to them. To this end, information is widely disseminated about the National Archives, its products and services. Goals identified for this service line in the 1998-99 *Report on Plans and Priorities* were to create attractive opportunities for potential sponsors to assist the National Archives in raising its public profile and to make increasing use of the new information technologies. Accordingly, a European tour of the National Archives exhibition on photographer Roloff Beny, completed in July 1998,

was organized with the support of the Ford Motor Company. And *Karsh in London*, sponsored by the Department of Foreign Affairs and International Trade, was the premiere exhibition for the reopening of Canada House in London, England, in May 1998. Officially inaugurated by Queen Elizabeth, it attracted 39,000 visitors. The contents of National Archives exhibitions are also digitized and mounted on its Web site to reach a far wider audience.

Assessing our Performance: Client Services and Awareness

The National Archives is dedicated to the regular assessment of its performance for continuous improvement initiatives. For the moment, most indicators, based on output, enable the National Archives to identify service areas of growing public demand. But its goal over the next few years is to shift its indicators to focus on higher level outcomes.

Other exhibitions produced by the National Archives in 1998-99 marked the centenary of the birth of Lester Pearson; and the eightieth anniversary of the Armistice ending the First World War: *The Battlefield Paintings of Mary Riter Hamilton, 1919-1922* was opened in November 1998. In addition, the permanent National Archives exhibition, *Treasured Memories*, was regularly updated.

Canadians Discovering Their Heritage - Output Indicators

	1998-99	1997-98
Responses to enquiries	120,256	109,750
Photocopies to clients	822,537	558,695
Official Requests under Access to Information and Privacy legislation	6,108	4,983
Hits on Web site	14,123,660	9,845,232

These figures reflect an increasing demand on the part of the public for National Archives' holdings. General inquiries rose by nearly 10% from 1997-98 to 1998-99. More significantly, the number of formal Access to Information and Privacy requests received on an annual basis has been growing steadily over the last five years, reflecting increasing interest in the historical records held at the National Archives. To meet this demand, over 800,000 pages of restricted documents were reviewed in 1998-99, of which over 700,000 pages were released to researchers.

Formal requests under the *Access to Information Act* increased 26% from fiscal year 1997-98 to 1998-99. Formal requests under the *Privacy Act* increased 21% over the same period.

The National Archives ranked second among all federal government institutions in the number of formal access requests and fourth in the number of formal privacy requests received over the period April 1998 to March 1999.

The current service standards have been a feature of the National Archives for the past four years. They outline the timely manner in which National Archives management and staff strive to provide to our clients the quality of service they have come to expect. Key

performance targets relate to our legislative requirements under the *Access to Information* and *Privacy Acts*. In 1998-99, 88.6% of formal

requests received by the National Archives for access to restricted government records under the *Access to Information Act*, and 85% of requests under the *Privacy Act*, were completed within the time frames allowable under the legislation.

During 1998-99, the Offices of the Information and Privacy Commissioners investigated 23 complaints against the National Archives, of which only 5 were either deemed well-founded or required remedial action to be taken. These figures are down from 36 complaints, of which 9 were upheld, in 1997-98. Our aim is to have no complaints upheld by the Offices of the Information and Privacy Commissioners.

The development of our Web site has had a strong impact in stimulating public demand. For example, requests for photocopies of Canadian Expeditionary Force records increased from 63,420 in the last 7 months of 1997-98, when the attestation papers were first mounted, to 220,799 in 1998-99. The addition of heavily consulted documents on the Web will sharply increase demand for related records. The National Archives is identifying future strategies that will allow high interest records to be mounted which will not generate researcher demand beyond its capacity to meet.

To ensure responsiveness to their needs, the National Archives consults with its clients continuously through the use of comment cards. Complaint letters are monitored and adjustments made when necessary. A new client survey was distributed to National Archives researchers in the summer of 1999. The data gathered will provide information about client expectations and the need for improvements to services.

Assistance to the Archival Community

As one of its mandated responsibilities, the National Archives supports a network of archival institutions across Canada through grants and contributions to the Canadian Council of Archives. This funding, amounting to nearly \$1,765,000 in 1998-99, is used to assist

in the description and preservation of historical documents at archival institutions across Canada. It is also used to develop a Canadian Archival Information Network (CAIN) to locate Canadian archives on

the information highway through an Internet-based virtual catalogue of holdings. This project, designed to reach new clientele more

effectively, is the keystone of the millennium program developed by the Canadian archival community with the participation of the National Archives.

Because archives world-wide face common challenges, particularly in the realm of electronic records, the National Archives takes a leading role in the international archival community. It chairs the International Council of Archives' Committee on Electronic and Other Current Records; it is also involved in the Committee on Descriptive Standards and the Committee on Information Technologies.

Acquisition and Holdings Management

Under this business line, the National Archives aims to acquire, control and preserve federal government records of long-term historical value and records from the private sector which document the development of Canada and are of national significance.

Clients served under this business line include government institutions, records donors, and the National Archives staff and research public who use our descriptive tools and preservation expertise.

Planned Spending \$15,933,000

Total Authorities \$16,549,693

Important private sector acquisitions included papers of Henri Bourassa, Edgar Benson and Michael Wilson; a globe, among the first manufactured in Canada, made in the 1850s by the printing and publishing firm of William C. Chewett; and a daguerreotype copy of a miniature of Lady Mary Louisa Lambton, and a daguerreotype of Lord Elgin, his wife, his sister-inlaw and his aide-de-camp, dated 1847, taken by Thomas Coffin Doane, a pioneer photographer in Canada.

The National Archives acquired 6,159 metres of government textual records in 1998-99; up from 4,723 metres the previous year. It acquired 1,058,063 megabytes of government electronic records, a sharp increase from 94,168 in 1997-98.

Acquisition

In acquiring records, the National Archives aims to develop comprehensive archival holdings in all media from the private and public sectors that reflect Canadian society. With private sector records, it has focussed in recent years on promoting partnerships involving the National Archives, the Canadian archival community and other cultural and heritage institutions to rationalize acquisition strategies.

With federal institutions, efforts focussed on the acquisition of the records of privatized Crown Corporations, notably Canadian National, and on the acquisition of electronic records. Large data files were transferred to the National Archives from the Atmospheric Environment Service relating to Ice Analysis Charts for the Western Arctic, and from the Canada Land Inventory at Environment Canada concerning historical land use patterns throughout Canada.

The automation of government business has yet to be reflected in falling levels of acquisitions of textual records (typically created 10 to 20 years before their acquisition by the National Archives). At the same time, the acquisition of government electronic records has increased very sharply. Electronic records have to be acquired at a far earlier point in their life, while the system in which they were created remains functional.

Control over Holdings

Key to providing quality service is to ensure that our holdings are well described by National Archives staff, so that they can be readily identified and made available to the public. In 1998-99, for the first time, these functions were performed using department-wide standards and procedures within a common automated system, MIKAN.

A plan to convert the National Archives' descriptive records to the current Canadian standard, the Rules for Archival Description, was formulated, for implementation over the next four years. Once converted to the new standard, descriptions of archival records will be added to the Web-based public research tool, *ArchiviaNet*.

Major acquisitions of records from the Government of Canada included records from the Office of the President of the Canadian International Development Agency (1968-89); from the registry of the (then) Department of External Affairs (1963-95); and Royal Canadian Air Force and Canadian Army Courts Martial Records (1939-45) from the Department of National Defence.

Preservation of Holdings

To make archival records available to Canadians, for use now and in the future, they must be preserved. The objective of the National Archives is to employ a preservation strategy based on global care of all holdings through optimum storage, preventative conservation and selective treatments.

The National Archives participated in the AV Preservation Trust.ca, a pan-Canadian organization dedicated to the preservation of the national audio-visual heritage, through representation on their executive committee and by contributing expertise to activities such as their `Masterworks' film project.

Reflecting the National Archives' significant leadership role in electronic records, the Electronic Archives Preservation System was initiated as a three-year project to create an infrastructure that will support the integrated electronic records program as it relates to

long-term preservation. On completion, it will facilitate retrieval for access, copying and migration, and surveys of electronic records within a secure system.

A reel of microfilm is expected to remain readable for several centuries. The NA microfilmed 642,661 pages of information in 1998-99, up from 507,160 the previous year.

Assessing our Performance: Acquisition and Holdings Management

Traditionally, output measures such as the quantity of records acquired, described or treated have been used to measure performance. While these have been useful to measure steadily increasing workload trends, the National Archives aims to develop more meaningful measures.

The Canadian Cultural Property Export Review Board, an agency of the Department of Canadian Heritage, certifies for income tax purposes cultural property of "outstanding significance and national importance" donated to Canadian museums, art galleries, archives and libraries. The Board also makes grants to purchase significant cultural property threatened by export. In 1998-99, the Board approved a total of 63 applications for certification from the National Archives, as well as 3 grant applications.

Management of Government Information

Under this business line, the National Archives prepares records disposition authorities for federal institutions; assists them in managing their information; and provides secure and economical storage, retrieval and disposal of records that remain under the control of government institutions.

Our immediate clients served under this business line are government departments. Ultimately, however, the National Archives protects the rights of all Canadians by ensuring the corporate memory and ongoing accountability of the Government of Canada.

Planned Spending \$6,200,000

Total Authorities \$6,766,954

1998-99 Actual \$6,996,562

Disposition

Records disposition involves both the identification, for future transfer to the control of the National Archives, of government records that have archival and historical value; and the authorization to government institutions, by means of what are called 'records disposition authorities,' to dispose of records with no enduring value once their operational use ceases. Under section 5 of the *National Archives of Canada Act*, government departments must seek the consent of the National Archivist before disposing of records under their control.

The National Archives works with the departments and agencies of the Government of Canada on an ongoing basis to identify archival records and to develop disposition authorities. The National Archives issues two kinds of authorities: those which may be applied within all government institutions, and those which only apply to a single department or agency. In 1998-99, the number of disposition authorities issued was 29, 8 more than in 1997-98.

The current objective of the National Archives under this service line is to move towards heavier reliance on authorities for the disposition of the large mass of records created in the course of functions common to all institutions, such as personnel, finance, materiel management, and procurement. The National Archives is currently developing new *Multi-Institutional Disposition Authorities*

for these common administrative records. During fiscal year 1998-99, new authorities for records relating to Administration and Personnel were approved by the National Archivist. These multi-institutional authorities, because they can be used by all government departments and agencies, permit more efficient records disposition.

Year 2000 concerns were also reflected in disposition activity during 1998-99. The National Archives earmarked staff to ensure that valid records disposition authorities were prepared for all federal departments subject to the *National Archives of Canada Act* for systems that would not be migrated or made Y2K compliant.

Management of Recorded Information

Under this service line, the National Archives acts to ensure a consistent approach to information management within the government. It investigates the impact of emerging technologies and offers quidance for record-keeping.

In 1998-99, the National Archives conducted a major project to define characteristics of the existing records management community and to identify the training and recruitment strategies that should be employed to close the gap between existing competencies and those required to ensure that government institutions are supported by relevant and effective record-keeping infrastructures in the electronic environment. This project was a component of the government-wide La Relève initiative.

Much activity under this service line occurs in cooperation with the Information Management Forum — www.imforumgi.gc.ca — an inter-departmental group of director-level information managers, whose mandate is to identify information management issues common across government and to develop pragmatic solutions. In 1998-99, reports were issued offering guidance on the devolution of records to non-federal jurisdictions; on record-keeping systems; on the description of government records; on Y2K challenges; on essential records; and on managing information on the Web to ensure long-term access and accountability.

In pursuing initiatives under this service line, the National Archives partnered with the Y2K Project Office and the Public Key Infrastructure Project Office of the Treasury Board Secretariat, Emergency Preparedness Canada, and the National Library of Canada.

Record Centres

Under this service line, the National Archives operates record centres in Halifax, Quebec City, Montreal, Ottawa, Toronto, Winnipeg, Edmonton and Vancouver. Centres take in records of continuing value to government institutions when it is no longer cost-effective to maintain them on departmental premises. Centres store records, economically and securely, retrieve them when required, segregate archival and historical records so designated by the National Archivist, and destroy other records in a timely and secure manner when they are no longer needed. Centres also hold back-up copies of computer records, and records essential to government operations and citizens' rights. The Centre in Ottawa also manages the records of former federal public servants and military personnel.

Under this service line, the National Archives ensured that it disposed of more records than it accessioned, permitting economies of space; it also successfully installed a new Y2K-compliant tape library system.

Assessing our Performance: Management of Government Information

Traditionally, output measures such as the quantity of new disposition authorities produced or of advice provided to government client departments, or the balance of record centres acquisitions against disposals have been used to measure performance. The National Archives aims to develop more meaningful measures which will help to assess performance at the level of outcomes. To this end, service standards have been established, tested and approved for the Record Centres.

And the National Archives has initiated an assessment of the results of the Government Records Disposition Program activities to determine, by ministry and program, the extent of government information holdings covered by the authorities that the National Archivist grants federal institutions to dispose of records. The assessment will provide baseline data to judge the effectiveness of the Disposition Program in implementing the *National Archives of Canada Act*.

Corporate Services

The objective of this business line is to support the operations of the National Archives of Canada and the National Library of Canada.

Planned Spending \$15,520,000

Total Authorities \$16,909,475

1998-99 Actual \$15,777,533

Effective Resource Management

As a strategic priority, the National Archives continued its organizational renewal and development by focus-on-people initiatives. These included an organizational learning and staff recognition program, and an intensive and on-going training initiative to familiarize staff with the new automated systems and standards for records control.

The development of position descriptions using the Universal Classification Standard (UCS), introduced by the Treasury Board Secretariat, consumed staff time throughout the National Archives. UCS information sessions and training were completed by early December 1998. The review, rewriting and evaluation of work descriptions will continue into 1999-2000.

In accordance with the new direction within the federal government, the National Archives has begun to develop a modern comptrollership framework, marked by the clearer commitment to results-based planning. During 1998-99, the implementation of the new departmental financial system, linked with the new system for tracking employee time data, allows more effective resource management. A plan for the implementation of the federal government Financial Information Strategy is under preparation. The National Archives has also begun to integrate human resources planning into the corporate planning process.

Effective Information Management

The National Archives Records Management Information System was implemented in its first phase of roll-out in 1998-99. This system, which provides a single corporate records management software to handle both electronic and paper documents, permits the electronic filing and retrieval of National Archives operational records.

Obtaining Adequate Accommodation

Following the opening of the Gatineau Preservation Centre in 1997, one of the remaining key elements of the National Archives' long-term accommodation strategy is the provision of adequate public, archival and administrative headquarters. A request for Effective Project Approval for the renovation of the West Memorial Building was developed in 1998-99 in cooperation with Public Works and Government Services Canada. In anticipation of approval, the National Archives has developed an audit framework to help assure that the project operates in a cost-effective and efficient manner.

A second element in the long-term National Archives accommodation strategy is the design and construction of a purpose-built storage facility for its cellulose-nitrate-based film and photography holdings, currently located in a National Defence site. The architectural program for the new facility was completed and approved in 1998-99.

CONSOLIDATED REPORTING

Year 2000 Readiness

The National Archives' Y2K readiness was 78% complete as of March 31, 1999 and 94% complete as of May 21, 1999. All mission-critical systems will be fully compliant by December 31, 1999. National Archives service line managers are obtaining statements of Y2K readiness from external service providers (not including Public Works and Government Services Canada and the services for which they are responsible) upon which they directly depend in delivering essential National Archives services; and they are putting in place agreements with external organizations with which they exchange data that may be Y2K sensitive. These steps are to ensure that there is no liability on the part of the National Archives with respect to any Y2K non-compliant data it may provide to external partners or clients under existing agreements. Contingency and risk-management strategies, under the name of Business Resumption Plans, are being developed under the direction of the National Archives Contingency Planning Group.

FINANCIAL PERFORMANCE

Financial Performance Overview

The National Archives' Main Estimates for 1998-99 were \$45,015,000 (see Table 1) including contributions to employee benefit plans. The National Archives carried forward approximately \$1.5 million from fiscal year 1997-98 to 1998-99. It also received approximately \$2.4 million to cover increased salary costs resulting from collective bargaining agreements. This and other smaller adjustments brought the total funds available for the year to \$49,149,900 (see Table 2).

The National Archives manages its program through four business lines. Two of the business lines, "Acquisition and Holdings Management" and "Services, Awareness and Assistance", account for 52.7% of total National Archives spending (see Tables 3 and 5). Actual Spending exceeded Planned Spending in two of the business lines, "Management of Government Information" and "Services, Awareness and Assistance". This is attributable to a change in the way salary expenditures were distributed among business lines. This change will allow for more effective management of salary resources in the future. The "Corporate Services" business line includes resources used to provide support to the National Library. In 1998-99, this amounted to approximately \$3 million.

Revenues in the amount of \$168,400 generated by the National Archives came mainly from the sale of photocopies of archival records (see Table 7). It also received \$137,700 from the sale of surplus Crown assets, which were used in its general operations.

The National Archives continued to provide funding in support of the Canadian Council of Archives: a sustaining grant of \$600,000; and contributions of \$1,139,900 that the Council distributes in support of archival projects leading to the development of a national network of Canadian archives and in support of projects relating to the description and conservation of archival records and archival professional development (see Table 9).

Capital spending by the National Archives is used to support the planning and implementation of adequate accommodation for archival records and archival work. Having received approval to plan the renovation of the West Memorial Building as its headquarters, the National Archives spent \$332,400 in 1998-99 to assist in the planning and development of the project (see Tables 10 and 11).

The following Tables apply to the National Archives: Table 1, Summary of Voted Appropriations; Table 2, Comparison of Total Planned Spending to Actual Spending by Business Line; Table 3, Historical Comparison of Total Planned Spending to Actual Spending; Table 5, Resource Requirements by Organization and Business Line; Table 7, Non-Respendable Revenues by Business Line; Table 9, Transfer Payments by Business Line; Table 10, Capital Spending by Business Line; Table 11, Capital Projects by Business Line; and Table 15, Contingent Liabilities.

	Summary of Voted Appropriations (thousands of dollars)						
Vote		1998-99 Planned Spending	1998-99 Total Authorities	1998-99 Actual			
	National Archives						
75	Program expenditures	39,719.0	43,444.6	42,592.2			
(S)	Contribution to employee benefit plans	5,296.0	5,563.0	5,563.0			
	Total Agency	45,015.0	49,007.6	48,155.2			

Total Authorities are Main Estimates plus Supplementary Estimates. They do not include the Proceeds from the Disposal of Crown Assets (\$142,367). Actual Expenditures include spending from the Proceeds from the Disposal of Crown Assets (\$118,811).

Business Lines	FTEs	Operating	Capital	Voted Grants & Contri- butions	Subtotal: Gross Voted Expenditure s		Total Gross Expend- itures	Less: Respendabl e Revenues	Total Net Expenditures
Services, Awareness and Assistance									
Planned Spending	133	7,277.0	_	1.765.0	9,042.0	_	9,042.0	_	9,042.0
(Total Authorities)	149	7,158.8	_	1,765.0			8,923.8		8,923.8
(Actual)	149	9,297.6	_	1,764.9	11,062.5	_	11,062.5	_	11,062.5
Acquisition and Holdings					•		-		
Management									
Planned Spending	200	15,933.0	_	_	15,933.0	_	15,933.0	_	15,933.0
(Total Authorities)	183		_	_	16,549.7		16,549.7	_	16,549.7
(Actual)		14,318.6	_	_	14,318.6	_	14,318.6	_	14,318.6
Management of Government Information		11,010.0			1 1/0 10.0		11,010.0		1 1/0 10.0
Planned Spending	120	6,200.0	_	_	6,200.0	_	6,200.0	_	6,200.0
(Total Authorities)	144	6,766.9	_	_	6,766.9	_	6,766.9	_	6,766.9
(Actual)	144	6,996.6	_	_	6,996.6	_	6,996.6	_	6,996.6
Corporate Services									
Planned Spending	140	13,460.0	2.060.0	_	15,520.0	_	15,520.0	_	15,520.0
(Total Authorities)	148	16,529.5	380.0	_	16,909.5	_	16,909.5	_	16,909.5
(Actual)	148	15,445.1	332.4	_	15,777.5		15,777.5	_	15,777.5
Total									
Planned Spending	593	42,870.0	2,060.0	1,765.0	46,695.0	_	46,695.0	_	46,695.0
(Total Authorities)	624	47,004.9	380.0	1,765.0	49,149.9	_	49,149.9	_	49,149.9
(Actual)	624	46,057.9	332.4	1,764.9	48,155.2	_	48,155.2	_	48,155.2
Other Revenues and Expenditures									
Non-Respendable Revenues									(125.0)
(Total Authorities)									(306.1)
(Actual)									(306.1)
Cost of services provided by other departments									18,747.0
(Total Authorities)									23,336.3
(Actual)									23,336.3
Net Cost of the Program									65,317.0
(Total Authorities)									72,180.1
(Actual)									71,185.4
Note: Numbers in italics de the Disposal of Crow Bolded numbers d Due to rounding, fi	n Asse enot e	ets). : actual e	expend	itures/rev	venues in 1		ry Estima	es and Prod	ceeds from

Historical Comparison of Total Planned Spending to Actual Spending by Business Line (thousands of dollars)								
Business Lines	1996-97 Actual	1997-98 Actual	1998-99 Planned Spending	1998-99 Total Authorities	1998-99 Actual			
Services, Awareness and Assistance	9,549.9	9,073.9	9,042.0	8,923.8	11,062.5			
Acquisition and Holdings Management	17,639.2	17,789.6	15,933.0	16,549.7	14,318.6			
Management of Government Information	7,324.5	6,347.1	6,200.0	6,766.9	6,996.6			
Corporate Services	16,996.8	15,534.6	15,520.0	16,909.5	15,777.5			
Total	51,510.4	48,745.2	46,695.0	49,149.9	48,155.2			
Fotal Authorities are Main Estimates plus Supplementary Estimates plus Proceeds from the Disposal of Crown Assets								

Comparison of 1998-99 Planned Spending and Total Authorities to Actual Expenditures by Organization and Business Line (thousands of dollars)

Business Lines										
Organization	Services, Awareness and Assistance	Acquisition and Holdings Management	Management of Government Information	Corporate Services	Tota					
Office of the National Archivist										
Planned Spending	1,765.0	_		500.0	2,265.					
(Total Authorities)	1,765.0	_	_	196.0	1,961.					
(Actual)	1,767.8	_	_	183.2	1,951.					
Office of the Assistant National Archivist	·									
Planned Spending	_	_		949.0	949.					
(Total Authorities)	_	_	_	1,031.5	1,031.					
(Actual)	16.5	0.9	27.9	960.5	1,005.					
Regional Operations					.,					
Planned Spending	_	_	3,748.0	_	3,748.					
(Total Authorities)	_	_	4,634.8	_	4,634.					
(Actual)	5.1	6.7	4,377.0	_	4,388.					
Archives Headquarters Accommodation	U	U.	1,077.10		.,000.					
Project										
Planned Spending	_	_		2,060.0	2,060.					
(Total Authorities)	_	_	_	726.1	726.					
(Actual)	_	1.1	_	678.0	679.					
Archives Development and Preservation		***		070.0	017.					
Planned Spending	683.0	15,484.0	2,452.0	_	18,619.					
(Total Authorities)	195.4	16,549.7	2,132.1		18,877.					
(Actual)	2,349.9	13,930.6	2,559.1	168.8	19,008.					
Client Services and Communications	2,047.7	10,700.0	2,007.1	100.0	17,000.					
Planned Spending	6,594.0	_	_	_	6,594.					
(Total Authorities)	6.963.4				6,963.					
(Actual)	6,866.5	57.8	5.9	28.9	6,959.					
Management Services	0,000.0	07.0	0.7	20.7	0,707.					
Planned Spending	_	_	_	7,690.0	7,690.					
(Total Authorities)				8.768.0	8,768.					
(Actual)	8.6	9.1	24.1	7,867.8	7,909.					
Information Management	0.0	7.1	2	7,007.0	1,707.					
Planned Spending	_	449.0	_	4,321.0	4.770.					
(Total Authorities)				6.187.9	6.187					
(Actual)	48.1	312.4	2.6	5,890.3	6,253					
TOTAL	70.1	712.T	2.0	0,070.0	5,200					
Planned Spending	9.042.0	15.933.0	6.200.0	15.520.0	46,695					
(Total Authorities)	8,923.8	16,549.7	6,766.9	16,909.5	49,149					
(Actual)	11,062.5	14,318.6	6,996.6	15,777.5	48,155					
% of TOTAL	23.0	29.7	14.5	32.8	100					

Notes: Numbers in italics denote Total Authorities for 1998-99 (Main and Supplementary Estimates and Proceeds from the Disposal of Crown Assets).

Bold numbers denote actual expenditures/revenues in 1998-99.

Due to rounding figures may not add to totals shown.

Non-Respendable Revenues by Business Line (thousands of dollars)							
Business Lines	1996-1997 Actual	1997-1998 Actual	1998-1999 Planned Revenues	1998-1999 Total Authoritie S	1998-1999 Actual		
Services, Awareness and Assistance	121.7	153.0	125.0	168.4	168.4		
Acquisition and Holdings Management							
Management of Government Information							
Corporate Services							
Subtotal	121.7	153.0	125.0	168.4	168.4		
Unplanned	211.4	116.8	_	137.7	137.7		
Total Non-Respendable Revenues	333.1	269.8	125.0	306.1	306.1		

Total Authorities are Main Estimates plus Supplementary Estimates plus Proceeds from the Disposal of Crown Assets. **Notes:** The unplanned revenues represent the revenues from the Proceeds from the Disposal of Crown Assets.

The total available for 1998-1999 is composed of the amount generated during the current year, \$137,735, and the amount available from the previous year, \$4,632.

The amount spent during the current year was \$118,811. This expenditure is included in Operating Costs. Non-Respendable Revenues were formerly called "Revenues Credited to the (CRF)."

Transfer Payments by Business Line (thousands of dollars)							
Business Line – Services, Awareness and Assistance	1996-1997 Actual	1997-1998 Actual	1998-1999 Planned Spending	1998-1999 Total Authorities	1998-1999 Actual		
GRANTS							
Canadian Council of Archives Alliance for Canada's	600.0	600.0	600.0	600.0	600.0		
Audio-Visual Heritage	75.0	75.0	25.0	25.0	25.0		
Total Grants	675.0	675.0	625.0	625.0	625.0		
Canadian archival community in support of archival projects leading to the development of a national network of Canadian archives, holdings activities and services.	761.4	711.2	640.0	640.0	673.9		
Canadian archival community in support of projects relating to the conservation of archival records, conservation training and information.	547.6	491.8	500.0	500.0	466.0		
Total Contributions	1,309.0	1,203.0	1,140.0	1,140.0	1,139.9		
Total Transfer Payments	1,984.0	1,878.0	1,765.0	1,765.0	1,764.9		

1997-98 Actual —	1998-99 Planned Spending	1998-99 Total Authorities	1998-99 Actual —
_	_	_	_
_	_	_	_
_	_	_	_
972.5	2060.0	380.0	332.4
070 5	2060.0	380.0	332.4
	972.5 972.5	972.5 2060.0	

Financial Table 11

Capital Projects by Business Line (thousands of dollars)								
Business Line	Current Estimated Total Cost	Actual 1996-97	Actual 1997-98	1998-99 Planned Spending	1998-99 Total Authorities	1998-99 Actual		
Corporate Services								
Gatineau Project	18,200.0	2,000.0	300.0	_	_	_		
West Memorial Project	10,217.0	311.0	672.5	2,060.0	380.0	332.4		

Total Authorities are Main Estimates plus Supplementary Estimates plus other authorities.

Note:

The amounts included in this table represent the expenditures made by the National Archives. They do not take into account the amounts made by Public Works and Government Services of Canada.

The National Archives has an approval-in-principle for the West Memorial Building Project. An authority to spend \$1,423,000 (including GST) has been granted to proceed with the planning required to develop substantive estimates.

Contingent Liabilities (thousands of dollars)			
List of Contingent Liabilities	Amount of Contingent Liability		
	March 31, 1997	March 31, 1998	Current as of March 31, 1999
Claims and Pending and Threatened Litigation			
Litigation	103.0		
Total	103.0		

OTHER INFORMATION

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An electronic version of this report can be found at: http://www.archives.ca

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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:

Access to Information Act R.S.C., 1985, c. A-1 Privacy Act R.S.C., 1985, c. P-21

List of Statutory Annual Reports and Other Departmental Reports

- Estimates, Part I
- Estimates, Part II
- Report on Plans and Priorities
- Performance Report
- 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