LAC Policy Management Framework

February 2013
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1. Effective date
This framework has been approved by Management Board and takes effect on February 4, 2013.

2. Application
This framework and related policy instruments apply to all Library and Archives Canada (LAC) staff, unless otherwise specified.

3. Definitions
See Appendix A.

4. Context
4.1 LAC is mandated by the Library and Archives of Canada Act and other federal regulations and policies to ensure the evaluation, acquisition, stewardship of, and access to Canadian documentary heritage. Therefore, LAC works within existing Government of Canada legislation, regulations, and policies, and applies a risk-informed approach.

4.2 LAC is a policy-informed institution: The organization’s broad policy intent, aligned within the larger Government of Canada context, is reflected in all of its activities. The Policy Management Framework and Suite constitute the backbone of LAC’s policy architecture, development and implementation.

4.3 LAC develops its policies based on the Foundation Framework for Treasury Board Policies, rigorous analysis and high-quality advice, and creative solutions. LAC also simplifies and rationalizes its policy instruments wherever possible, in keeping with the intent of the Treasury Board Secretariat of Canada’s government-wide policy initiatives, such as the Policy Renewal Initiative (2005) and Web of Rules Initiative (2008).

5. Purpose
5.1 The purpose of this framework is to support LAC as a policy-driven institution by:
- establishing overarching principles and requirements that support policy development and implementation at LAC;
- establishing consistent, coherent and efficient policy governance across LAC to ensure clear and concise policy decisions and instruments.
6. **Principles**

The following principles guide the development and management of LAC policy decisions and instruments:

6.1 *Evidence-based*

LAC policy decisions and instruments are founded on and supportive of broader federal government policies and based on sound research and analysis.

6.2 *Strategic*

LAC policy decisions and instruments are rigorously planned, managed, implemented, monitored and evaluated, and reflect an institution-wide vision of LAC’s mandate and strategic priorities.

6.3 *Sustainable*

LAC policy decisions and instruments are viable, risk-managed and sustainable. They respond to operational needs and account for LAC’s obligations and commitments as a federal institution, including the potential implications for stakeholders.

6.4 *Effective*

LAC policy decisions and instruments are based on deliberative, logical and transparent governance. LAC policy decisions and instruments frame the institution’s strategic orientation and operations and are reflected in activities and outputs. They are responsive and easily adaptable in a changing environment.

6.5 *Coherent*

LAC policy decisions and instruments are coordinated, integrated, rationalized, structured and formatted into a common architecture and hierarchy, using accepted formats, templates, and best practices.

6.6 *Transparent*

LAC policy decisions and instruments are informed by consultation with staff and stakeholders, as appropriate. They are written in plain language, and made available to staff, affected stakeholders, and the broader Canadian public, as appropriate, in a timely manner.

7. **Roles, responsibilities and accountabilities**

Roles, responsibilities and accountabilities are outlined below.
7.1 Librarian and Archivist of Canada
The Librarian and Archivist of Canada has the primary responsibility for the effective management of policy decisions and instruments within LAC and is responsible for fostering a policy-driven culture.

7.2 Management Board
The Management Board is responsible for the overall direction, and prioritization of policy development and implementation activities. Specifically, it is in charge of:
- setting strategic orientation;
- approving LAC’s strategic orientation and policy-related priorities;
- approving strategic policy instruments;
- delegating authority for policy decisions to lower levels of management, where appropriate.

7.3 Chief Operating Officer and Assistant Deputy Ministers
In addition to their roles on the Management Board, the Chief Operating Officer and the Assistant Deputy Ministers are accountable for:
- implementing and monitoring policy decisions and instruments;
- approving sector-specific operational policy tools, as appropriate;
- supporting the communication of LAC policy priorities.

The Assistant Deputy Minister responsible for Policy is accountable for the development of policy related to LAC’s legislated mandate, in consultation with the Chief Operating Officer, and supports and guides the development of corporate and internal services policies as required.

7.4 Business Operations Committee
The Business Operations Committee is responsible for:
- ensuring horizontal integration of LAC’s operations;
- supporting LAC-wide decision making by making recommendations to the Management Board on strategies, policies and planning;
- creating committees or working groups, as needed, to review policy and develop policy instruments.

7.5 Directors General
In addition to their role on the Business Operations Committee, Directors General are responsible for:
- identifying strategic policy issues and agendas;
- implementing strategic orientation as defined by the Management Board;
- providing input to policy discussions and decision making;
- approving policy tools, as appropriate;
• working with the Policy Division to ensure conformity of policy instruments, including tools, with LAC policy requirements and architecture.

Directors General are also responsible for their respective Internal and Corporate Services-related policies derived from external requirements.

7.6 Strategic Research and Policy Branch
Strategic Research and Policy Branch, via the Policy Division, is responsible for ensuring effective management, development and communication of LAC policy decisions and instruments by:
• identifying policy issues in collaboration with operational areas and horizontal policy coordination working groups;
• providing policy advice and recommending policy priorities to senior management and operational areas, where appropriate.
• managing, overseeing, coordinating and monitoring policy development, including the initial determination of the type of policy to be developed (strategic or operational);
• providing tools and guidance, including an inventory, for policy development;
• ensuring alignment and validating conformity of policy instruments with LAC policy requirements and architecture;
• convening and coordinating the Policy Renewal Coordination Group;
• communicating policy culture and policy management to LAC staff.
• making editorial and/or administrative changes to policy instruments, as required;
• reporting progress to senior management.

7.7 Policy Renewal Coordination Group
The Policy Renewal Coordination Group is responsible for:
• providing advice and recommendations to the Strategic Research and Policy Branch and to Directors General and to Business Operations Committee, as required, on all policy development, policy instruments, and policy development tools;
• ensuring that input from all affected areas of LAC is provided, as required.

7.8 LAC staff
LAC staff is responsible for:
• raising and identifying policy issues with LAC management;
• commenting on draft policy instruments, as required;
• implementing policy instruments.
8. Monitoring, evaluation and review

8.1 Specific monitoring and reporting requirements will be described in the individual policy instruments associated with this framework.

8.2 Key performance indicators will be developed through consultations and will be tied to roles, responsibilities and accountabilities.

8.3 LAC’s Policy Unit will review this policy framework, including related policy instruments, and assess its effectiveness three years following the date it comes into effect, or as required.

8.4 The Evaluation and Audit Unit is responsible for evaluating this framework.

9. Consequences

Consequences may result from non-compliance with the Policy Management Framework, inadequate risk management, or poor results. Authorities and consequences will be outlined in related policy instruments associated with this framework.

10. Enquiries

Please address any questions about this policy framework to:

Director,
Policy Division
Library and Archives Canada
550 de la Cité Boulevard
Gatineau, Quebec
K1A 0N4
politiques-policy@bac-lac.gc.ca
Appendix A: Definitions

Architecture [policy architecture]  [FR: architecture]
Policy architecture is a comprehensive, structured mapping of policy instruments arranged in a hierarchical fashion.

Decision [policy decision]  [FR: décision de politique]: See Policy.

Directive  [FR: directive]
Formal and standardized instruction that requires or prohibits specific action by LAC staff members. It explains how policy objectives must be met by guiding decision making and governing activities.

Framework [policy framework]  [FR: cadre de politique]
The foundation that supports the effective and consistent implementation of all policy instruments that flow from it, functioning as the underlying structure within which policy instruments can be understood in strategic terms. A LAC policy framework provides context, rationale, principles, and broad direction for the organization.

Guideline  [FR: ligne directrice]
A document that explains or provides guidance and advice on how LAC staff members may satisfy the provisions of a high-level policy instrument, or accomplish some aspect of their work in relation to satisfying the provisions of a given policy instrument.

Hierarchy  [FR: hiérarchie]
A system that ranks policy instruments according to their importance and/or impact. At LAC, the policy hierarchy flows from framework, to policy, to directive, to standards or procedures, to guidelines and other tools.

Instruments [policy instruments]  [FR: instrument de politique]
Internal standardized documents intended to control and/or guide the actions of LAC staff members in the conduct of their activities. Instruments include, but are not limited to, frameworks, policies, directives, standards, guidelines, and/or tools.

Operational [operational policy instruments]  [FR: instruments de politique opérationnelle]
At LAC, operational policy instruments are limited to policies and directives. Policy instruments are considered operational when: a) they are a formal expression of specialized, localized and/or mandatory activity or responsibility; b) address processes, standards, and systems; c) have low or moderate impact on operations and/or d) have direct implications for human or financial resources.

Policy  [FR: politique]
At LAC, the term “Policy” covers two different dimensions:
1. Policy decision: A definite course or method of action selected from alternatives to guide and determine present and future decisions.
2. Policy instrument: Formal direction that imposes specific responsibilities with respect to the expected outcomes and types of measures taken to realize them.

**Procedures** [*FR: procédure*]
A policy instrument that sets out mandatory instructions, often detailed step-by-step, explaining the authorized way to do something.

**Standard** [*FR: norme*]
A set of operational or technical measures, procedures or practices that provide detailed information on how LAC staff members are expected to carry out specific activities.

**Strategic [strategic policy instruments]** [*FR: instruments de politique stratégique*]
At LAC, strategic policy instruments are frameworks, policies and policy suites. They are considered strategic when: a) they are a formal statement of position, broad objectives, extended agenda, or other high-level expression of LAC’s institutional mandate; b) they have implications for external stakeholders; c) they have a broad impact on operations across LAC; and/or d) they may have indirect implications for human or financial resources.

**Strategy** [*FR: stratégie*]
A carefully constructed high-level strategic plan that links LAC’s mandate and vision with implementation guided by policy decisions and instruments.

**Suite [policy suite]** [*FR: ensemble de la politique*]
Hierarchically related policy instruments associated to the same function or area.

**Tool [policy tool]** [*FR: outil de politique*]
Information in various formats needed to perform operational activities. At LAC, policy tools include guidelines, procedures and standards. They may also include mechanisms or examples, such as recognized best practices, handbooks, communications products and audit products.