

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF MARCH 31, 2012**

REGIONAL OPERATIONS, CHIEF FINANCIAL OFFICER			
AUDIT OF CAPACITY DEVELOPMENT (200721) AEC APPROVAL DATE: 03/06/2009			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
		2011, which ever comes first	<p>Update/Rationale: As of 31/03/2011:</p> <p>Program outcomes and performance measurement indicators have been completed for the proposed new authority.</p> <p>AES: Fully implemented. The recommendation has been closed.</p>
3. Develop performance measurement plans and supporting data collection regimes (e.g., adjust program guides, applications, and reporting templates to support data collection at the project level).	<p>Develop performance measurement plans and data collection regimes.</p> <p>Gather and document baseline measures and indicators at time of renewal.</p> <p>Develop and implement training on performance measurement and data collection.</p> <p>Adjust applications, recipient reporting as needed to gather data.</p>	At time of program renewal or by March 2011, which ever comes first	<p>RO Update: Status: Request to close (completed)</p> <p>Update/Rationale: As of 31/03/12: The Performance Measurement Strategy was presented to and approved by the Evaluation, Performance Measurement and Review Committee on November 24, 2011.</p> <p>CFO Update: Status: <i>Request to Close- completed</i></p> <p>Update/Rationale: As of 31/03/2012:</p> <p>A Data Collection Policy was updated by the Information Management Branch in September 2011. This policy will ensure that AANDC's investment in data collection is managed for results, assisting departmental decision-makers in exercising due</p>

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			<p>diligence, thereby promoting informed decision-making on data collection design choices. Social Policy and Programs have engaged Regions on the reduction of reports required from recipient, have developed additional risk tools, and are taking advantage of reporting functions in FNITP. The Education Program through its Education Information System project is improving the quality and data collection from recipients.</p> <p>AES: Implemented. The recommendation will be closed.</p>
<p>4. Undertake a risk assessment with the Region's to determine that each Region's implementation approach ensures the program is delivered as approved; is compliant with the <i>Policy on Transfer Payments</i> and Program Authorities; has effective program management; and mechanisms are in place to monitor and evaluate program performance.</p>	<p>Consistent approaches are required across regions for implementation of national programs. AANDC is currently working to ensure standardized approaches for new and renewed programs are implemented across regions in accordance with program design and that have performance measurement and risk management strategies as elements of these.</p>	<p>April 2010</p>	<p>Status: Completed</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- A risk assessment was completed for the proposed Capacity Development Partnerships Program in consultation with regions and participating capacity programs and validated at the corporate level.</p> <p>CFO- An initial risk assessment has been completed</p>

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			<p>for the proposed new authority and this work has been done in consultation with the Regional offices. Risk management strategies will be incorporated in the design of the program.</p> <p>AES: Fully implemented. The recommendation should be closed.</p>
<p>5. Establish a monitoring regime of Regional implementation of programs to confirm that key national elements of the program, including performance measurement, have in fact, been implemented as approved.</p>	<p>The Senior ADM, Regional Operations, in collaboration with the CFO and Program ADM's, will develop and operationalize a Department-wide Quality Management Program for Grants and Contributions. The QMP will be designed to address the specific issues regarding roles and responsibilities of key stakeholders and the promotion of a risk-based approach to compliance reviews. Guidance will be developed regarding acceptable staffing/organizational models for compliance reviews with a view to promoting consistency and appropriate segregation of duties. The QMP will be developed by December 31, 2009 and implemented by June 30, 2010.</p>	<p>June 30, 2010</p>	<p>Status: Request to Close, completed.</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- Transfer Payments Management Control framework for Grants and Contributions has been developed and approved.</p> <p>AANDC's Quality Management Framework (QMF) was presented to Operations Committee on March 29, 2011. The Quality Management team was asked to return to Operations Committee with examples of how the QMF and its principles have been applied in the department and the improvements that have resulted.</p> <p>CFO- A monitoring regime for Regional implementation of the program will be developed as the proposed new authority is developed and implemented. A Management Control Framework, General Assessment Tool, and Risk Assessment have been developed and are being used by the regions.</p>

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			<p>AES: Significantly implemented. The recommendation will be closed upon finalization of the regional monitoring regime for the new authority. Date not determined.</p> <p>CFO Update: Status: <i>Request to Close- completed</i></p> <p>Update/Rationale: As of 31/03/2012: A Management Control Framework, General Assessment Tool, and Risk Assessment have been developed and are being used by the Regions. A Recipient Audit Policy and Directive have been endorsed at Policy on Transfer Payment (PTP) ADM Steering Committee and approved by the Chief Financial Officer (CFO). Also, a three year recipient audit plan has been approved by the CFO. The TPCOE Compliance Unit has been re-staffed.</p> <p>Furthermore, TPCOE and the Social Policy and Programs presented decks, policies and guidelines to the Director Generals Implementation and Operations Committee on a risk-based approach to compliance reviews. AANDC will look to maximize the use of FNITP for compliance activities.</p> <p>AES: Based on the substantial implementation of the planned actions, the recommendation will be closed.</p>
6. Align agreement templates and associated source documents (e.g., proposals and work plan templates) with	Adjust/develop compliant templates including new funding approaches (fixed, flexible,	At time of program renewal or by March 2011, which ever	Status:

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requirements of the <i>Directive on Transfer Payments</i> and with Program T&Cs.	<p>block).</p> <p>Develop and implement training on use of new funding approaches</p> <p>Refer to TB approval documents in annual review of Program specific T&C</p> <p>Adjust proposal /workplan templates to require monthly cash flow forecast by applicants to determine advance requirements</p> <p>Implementation of Quality Assurance reviews (compliance of funding agreements)</p>	comes first	<p>Update/Rationale: As of 30/09/2011:</p> <p>CFO- A policy document is being prepared for the propped new authority and will address alignment of agreements, and the Terms and Conditions. New national funding agreement models are compliant with the TBS <i>Directives on Transfer Payments</i> 2008; and the AANDC <i>Directive on Funding Approaches</i>. The models include the new funding approaches and program delivery standards and requirements as determined by program sectors according to their program spending authorities. A Directive on Funding Agreement Management has been developed, approved by the CFO and promulgated. The Directive provides direction on the selection and management of national funding agreement models, text deviations, amendments, and notices.</p> <p>National models are reviewed each year to address any changes to laws, regulations, policies, directives and program spending authorities and loaded into FNITP as updated for use by all. A PTP Management 101 training material has been developed and is being offered. It includes information on use of the new funding approaches.</p> <p>AES: Implementation completed.</p>
7. Develop and implement a risk-based approach for monitoring recipients and/or projects for compliance with the funding agreement and the Program T&Cs.	The Senior ADM, Regional Operations, in collaboration with the CFO and Program ADM's, will develop and operationalize a Department-wide Quality Management	June 30, 2010	Status: Request to close, completed.

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	<p>Program for Grants and Contributions. The QMP will be designed to address the specific issues regarding roles and responsibilities of key stakeholders and the promotion of a risk-based approach to compliance reviews. Guidance will be developed regarding acceptable staffing/organizational models for compliance reviews with a view to promoting consistency and appropriate segregation of duties. The QMP will be developed by December 31, 2009 and implemented by June 30, 2010.</p>		<p>Update/Rationale: As of 30/09/2011:</p> <p>RO- G's & C's Quality Management Framework (QMF) was presented to Operations Committee on March 29, 2011. The Quality Management team was asked to return to Operations Committee with examples of how the QMF and its principles have been applied in the department and the improvements that have resulted.</p> <p>(Note: QMF demonstrated pieces/examples at Operations Committee November 1, 2011.)</p> <p>CFO- A risk based approach for monitoring recipients and compliance with funding agreements is being developed for the proposed new authority. A Management Control Framework, General Assessment Tool, and Risk Assessment have been developed and are being used. The new Recipient Audit Policy contains some information on compliance.</p> <p>AES: Implemented. The recommendation will be closed. Confirmation that the regional monitoring regime is complete as far as it can be before a program authority is in place.</p>