

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2011**

Regional Operations			
<i>Horizontal Audit of Grants and Contributions- CEAP</i>			
APPROVAL DATE: 02/22/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Senior Assistant Deputy Minister (ADM) of RO should develop and communicate a consistent approach to ensure compliance across all regions with the terms and conditions of CEAP-related housing CAs for 2010/11 specifically related to ensuring sufficient and appropriate substantiation for milestone payments has been received from the recipient.</p>	<ul style="list-style-type: none"> • Community Infrastructure Branch provided direction to Regions in March 2010 following the uploading to FNITP of the CEAP Single Capital Contribution Arrangement for Major Capital Projects. • Regional and HQ Staff use the bi-weekly capital teleconference calls as a forum to discuss and resolve CEAP implementation issues. • Active monitoring of the CEAP program by senior executives is achieved through regular updates at Operations Committee as well as the development of Monthly CEAP reports. • RO is working closely with CFO to clarify “appropriate substantiation” prior to approval and release of milestone payments. 	<p>December 31, 2010</p>	<p>Status: Completed. Request to close.</p> <p>Update/Rationale: As of 30/09/2011:</p> <ul style="list-style-type: none"> • CEAP was completed in March, 2011. This program has sunsetted. • Bi-weekly Capital teleconferences to discuss and resolve CEAP implementation issues, no longer required • Monthly CEAP reporting completed. • All CEAP funds were spent • All results have been posted on the AANDC website • A concluding Lessons Learned report was presented to Operations Committee on November 1, 2011. <p>AES: Fully implemented. The recommendation will be closed.</p>
<p>2. The Senior ADM of RO should ensure that housing proposal assessment templates and guidance provided to regional housing officers</p>	<ul style="list-style-type: none"> • In response to the Policy on Transfer Payments (PTP), a general assessment (GA) tool has been developed for the purpose of assessing recipient 	<p>April 1st 2011</p>	<p>Status: Completed. Request to close.</p> <p>Update/Rationale: As of 30/09/2011:</p>

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enable a full assessment and documentation of the risks associated with the recipient's capacity to complete the proposed project on-time and within budget and a determination of an appropriate level of monitoring for each approved project.	<p>risk and determining appropriate controls to minimize funding risk. The GA tool allows for assessment of risk related to ongoing programs as well as specific services and project oriented activities. The intent of the GA is to ensure risk appropriate controls are in place to support successful funding agreements. The GA will be applied to all recipients as of April 1, 2011.</p> <ul style="list-style-type: none"> INAC will apply any additional monitoring and oversight based on the combined results of the GA tool and the assessment criteria template developed to support future proposal-based programs 		<ul style="list-style-type: none"> The CFMP, GA tool is complete and was sent to the regions for implementation of Round 2 of the GA early November, 2011. <p>AES: Fully implemented. The recommendation will be closed.</p>
3. The Senior ADM of RO should work with the Regional Directors General (RDG) to ensure that regional housing officers proactively monitor CEAP funded housing projects to ensure all reporting requirements as	<ul style="list-style-type: none"> Senior Management within the Regions provide oversight on the implementation of CEAP funded housing projects to ensure that all reporting requirements as outlined in the CAs are being received and reviewed on a timely basis. HQ staff continue to liaise with 	Completed	<p>Status: Completed. Request to close.</p> <p>Update/Rationale: As of 30/09/2011:</p> <ul style="list-style-type: none"> CEAP monthly housing reporting, completed CEAP oversight visits, completed

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outlined in CAs are being received and reviewed on a timely basis.	regional colleagues to provide necessary guidance and direction on reallocation of housing funds. <ul style="list-style-type: none"> • Monthly CEAP housing progress reports (financial and project based) are developed and communicated to senior executives using data obtained from ICMS, FNITP as well as occasional oversight visits to regional offices. 		AES: Fully implemented. The recommendation will be closed.