

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

<b>Atlantic Region</b>			
<i>Management Practices Audit of the Atlantic Region APPROVAL DATE: 20/06/2011</i>			
<b>PROJECT RECOMMENDATIONS</b>	<b>ACTION PLAN</b>	<b>EXPECTED COMPLETION DATE</b>	<b>PROGRAM RESPONSE</b>
<p>1. The Regional Director General of the Atlantic Region should collaborate with Headquarters to define external client services offered by AANDC and develop performance targets for the delivery of these services as part of ongoing management and monitoring of these standards. To ensure a consistent, national approach is adopted, standards, performance expectations and monitoring requirements should be formally communicated by Headquarters to all regions.</p>	<p>RO Headquarters will work with other sectors and regions to develop departmental approaches to service management that are consistent with Treasury Board Secretariat guidance. These approaches include appropriate governance and management oversight, identifying services that the department offers, setting appropriate service standards and monitoring regimes, and clarifying roles and responsibilities. The Regional Directors General will work closely with HQ and other Regions to assist with the development of national approaches.</p> <p>Work is underway. Initial discussions have taken place at DGIOC (April 11, 2011).</p> <p><b>Actions:</b> Programs with existing service standards:</p> <p>Formalize existing service standards in a document</p> <p>Programs without service standards:</p>	<p>September 2011</p>	<p><b>Atlantic Update</b> <b>Status:</b> <i>Underway</i></p> <p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b> <i>Service Management Strategy – Standards Governance Framework presented to Operation Committee in May 2011.</i></p> <p><i>Service Standards for Grants and Contributions were approved by Operations Committee.</i></p> <p>Regional Operations Update: <b>Status:</b> <i>Underway</i></p> <p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b></p> <p><b>The Regional Operations Sector, Operations and Planning Supports Directorate has taken the lead in Service Standard Management within AANDC.</b></p> <p><b>Over the past year the following activities have occurred in response to the MPR / MAF Action Items:</b></p> <ul style="list-style-type: none"> <li>• <b>The Service Management Strategy has been developed and presented to OPS in the Fall of 2011. The</b></li> </ul>

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	Direct services	March 2012	<p><b>2012-2013 Strategy</b> has been drafted and is anticipated to be presented to OPS Ctte in the Spring of 2012.</p> <ul style="list-style-type: none"> <li>• <b>The Service Inventory List for External Clients</b> was developed and presented to OPS Ctte and Treasury Board in the Fall of 2011.</li> <li>• <b>The Service Standard Governance Framework</b> was drafted and presented to OPS in June 2011.</li> <li>• <b>The Service Excellence Working Group</b> was established with focus to provide departmental service management oversight and support to DGIOC and OPS Ctte on Service Standard activities.</li> <li>• <b>The working group</b> has initiated discussion and consultation with sectors to identify new services which will be reviewed /assessed by risk and importance.</li> <li>• <b>Service Standards for Grants and Contributions</b> were developed and presented to OPS Ctte and approval is anticipated in Q1 2012-2013.</li> <li>• <b>RO Sector, OPS Directorate focus on internal services</b> have been on internal services which directly</li> </ul>
	Grants and Contributions	March 2011	
	Internal Services	June 2012	

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			<p>impact the delivery of external services. RO will be working with the Working Group and Sr. Management to further confirm workplan activities for internal services outside of current plan.</p> <p><b>AES:</b> Closed.</p>
<p>2. The Regional Director General of the Atlantic Region should collaborate with Headquarters to ensure the Human Resource Plan and the region's Integrated Business Plan are integrated and provide details on anticipated human resource requirements and its impact on financial resources. Headquarters should communicate the approach to all regions and Sectors to ensure a consistent, national approach to regional planning.</p>	<p>As articulated in the 2011-14 Corporate Business Plan, the department will work at improving integrated planning and resource alignment by establishing principles and processes (including schedule and calendar) for integrated planning and consult with internal partners (HR, CFO, AES).</p>	<p>March 2012</p>	<p><b>Status: Complete</b></p> <p><b>Update/Rationale:</b> <b>As of 31/12/2012:</b> HR action plan that incorporates the Integrated Business Plan is complete and will be submitted to HQ.</p> <p><b>AES:</b> Implemented. Closed.</p>

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3. The Regional Director General of the Atlantic Region should ensure that documentation is retained to demonstrate how staffing actions are linked to identified staffing needs or in response to staff departures.	Hiring managers, in conjunction with staffing specialists in Human Resources, will ensure documentation includes a reference to the 3 year staffing strategy (if applicable) or an explanation of the requirement for the staffing action if not planned. This will be included as part of the SARF (Staffing Action Request Form), specifically a box will be added to the form to indicate whether the staffing action requested exists on the three year staffing strategy and that the action requested is in accordance with the strategy. This addition will be communicated to all staff involved in the completion of the form to ensure compliance.	June 1, 2011	<p><b>Status:</b> <i>Completed</i></p> <p><b>Update/Rationale: As of 31/03/2012:</b></p> <p>New SCARF from HQ has been implemented. HR ensures that explanation is placed on file in instances where the staffing action cannot be linked to the strategic staffing plan.</p> <p><b>AES:</b> Closed.</p>
4. The Regional Director General of the Atlantic Region should ensure	Prior to staffing file closure, a file summary will be affixed to each	June 1, 2011	<b>Status:</b> <i>Completed</i>

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that supporting control documentation and a summary of staffing decisions taken is retained for audit and file continuity purposes.	staffing file, signed by the HR Advisor, Staffing noting the process and audit information – i.e., cross reference pool process number. This summary will be created by staffing specialists and HR staff instructed to ensure its' completion prior to file closure.		<p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b></p> <p>File document checklist is used on all files.</p> <p><b>AES:</b> Closed.</p>
5. The Regional Director General of the Atlantic Region should ensure that analysis of staffing actions, trends, and the hiring process occurs on a regular basis.	<p>The current monthly HR reports related to acting, term, casual as well as staffing actions in progress will continue to be tabled at the monthly HRPC meeting. These reports have been created regionally. HQ's dashboards provided on a quarterly basis.</p> <p>Region will develop new reports which will include formal analysis and trend reporting as part of the HRPC go-forward-agenda. Senior management to determine the frequency of these reports.</p>	June 1, 2011	<p><b>Status: No longer relevant.</b></p> <p><b>Update/Rationale:</b> <b>As of 30/09/2012: No new reports were created due to DRAP implementation and the creation of Workforce Management Board process. The focus has been on placing affected employees, not recruitment. With the creation of the HR Hubs, it would not make sense, at this time to create region specific reports.</b></p> <p><b>AES: Closed-</b>Given the shift in responsibilities and the changes to HR processes arising from the transition to HR Hubs, the recommendation is no longer relevant and has been closed.</p>
6. The Regional Director General of	EPM goals and objectives will be	April 1, 2011	<b>Status: Completed</b>

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the Atlantic Region should ensure that approval of EPM goals and objectives occurs at the start of performance evaluation cycle (i.e. by May 31 <sup>st</sup> for continuing employees or within a month of the employee starting in the position for new employees).	approved at the start of the performance evaluation cycle and for individuals hired after the beginning of the fiscal year, Human Resource staff will forward reminders to Directors and Managers to ensure Goals and Objectives are developed as quickly as possible after the employee has commenced the duties of the new position.		<p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b></p> <p>Annual process is in place to ensure timely completion of EPM goals and objectives. For new employees, this is incorporated into the regional orientation process.</p> <p><b>AES:</b> Closed.</p>
7. The Regional Director General of the Atlantic Region develop and implement a formal, documented approach to risk management, including an ongoing process and governance structure for identifying, assessing, and monitoring risk mitigation actions. Headquarters should communicate guidance to all Regions and Sectors to ensure a consistent, national approach to risk management. (“Headquarters includes Policy and Strategic Direction, the AANDC Risk Champion, and the Risk	<p><u>Short-term:</u> Continue on-going risk assessments (FSR, Compliance, Gas, etc.) and continue to report on activities in the quarterly business plans.</p> <p><u>Medium-term:</u> The Risk Champion for the department, with support from the Chief Risk Officer will develop department-wide risk management tools.</p> <p>Regional Directors General will support these and implement risk</p>	September 2011	<p><b>Status:</b> <i>Underway</i></p> <p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b> Region established a risk management working group to develop a risk driver profile for the region that will facilitate planning and specific risk management.</p> <p>Meetings were held with several units/programs to establish key risk drivers. Liaison with HQ (AASB) is being maintained.</p>

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Management Centre in Audit and Evaluation Sector.	management tools in their regions that support and are consistent with the national approaches. HQ Risk leads visited regions in October 2010 to review risk practices and provide training. Regions to continue ongoing liaison with risk leads re: support for regional risk management practices. Regional Corporate Risk Profiles to be integrated into regional business planning process and documents for 2012/2013.	March 2013	<b>AES:</b> Closed.