Treaties and Aboriginal Government			
Audit of AANDC Support to the Specific Claims Process *APPROVAL DATE: 11/22/2012*			
PROJECT RECOMMENDATIONS	**ACTION PLAN**	**EXPECTED COMPLETION DATE**	**PROGRAM RESPONSE**
1. The Senior Assistant Deputy Minister of the Treaties and Aboriginal Government Sector should ensure that an appropriate Oversight Committee, with a defined governance framework and Terms of Reference (ToR) is implemented, and ensure that the Terms of Reference of the Claims Advisory Committee (CAC) is reviewed and updated. Specifically, CAC membership within the ToR should be reviewed to include a representative from the Litigation Management and Resolution Branch.	The Claims Advisory Committee (CAC) membership already includes representatives from the Litigation Management and Resolution Branch (LMRB) at the Director level. The CAC Terms of Reference are currently being revised and updated. The DG, LMRB, the Chief Financial Officer, and the Director General, Lands and Environmental Management will be invited to become members of the CAC. The Senior ADM, TAG will examine using the Joint Steering Committee on Litigation Issues for quarterly, strategic oversight to the specific claims process. In the past, this committee has played a role in discussing issues impacting the Specific Claims Process and the Specific Claims Tribunal.	March 2013	**Update/Rationale:** **As of 30/06/2013:** Work is underway to review and update the Terms of Reference for the Claims Advisory Committee to address management of claims at the Specific Claims Tribunal. Preliminary discussions have begun with other sectors (CFO, LED) with regard to their ongoing participation in the CAC. Renewed Terms of Reference will be presented to Policy Committee in the new year. Discussions will continue with PSD to provide quarterly updates on specific claims to the Senior Oversight Committee. **AES: Implementation Ongoing**
2. The Senior Assistant Deputy Minister of the Treaties and	A Specific Claims risk assessment framework will be undertaken and integrated into the corporate risk	September 30th, 2013	

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Aboriginal Government Sector should ensure that a comprehensive risk management framework related to specific claims (including strategic and operational level risks) and a risk management process, are established to appropriately identify, assess, mitigate and monitor the identified risks related to specific claims on a regular basis.	assessment framework. The Specific Claims risk assessment framework will address elements unique to the Specific Claims Process including: the impact of the Specific Claims Tribunal, funding pressures, and human resource pressures. As well, the risk assessment would take into account the positive impact that settling a claim has on other departmental activities including, but not limited to, self-government and treaty negotiations.		
3. The Senior Assistant Deputy Minister of the Treaties and Aboriginal Government Sector should review current systems and assess system requirements/functionality against current available systems and evaluate the cost vs. benefit of centralizing the claim management systems and databases.	The Specific Claims Branch Database (SCBDB) is a national on-line system which has been designed to track the progress of specific claims from receipt to settlement and produces various pre-established reports. The SCBDB is primarily focused on reporting, but is also a critical tool used for the calculation of the contingent liability (CL) of claims. However, there are a number of other management systems and databases that continue to fulfill different functions in the management of the Specific Claims Process.	March 2013	**Status: Completed** **Update / Rationale:** **As of 31/03/2013:** A review of the information systems has been done. The Negotiations Directorate is no longer using its project management tool. Negotiations Managers use the Specific Claim Settlement Fund Budget Tracker Tool and their own lists to forecast, monitor and track the progress of claims in negotiation, and they also rely on the Specific Claims Database for other basic information related to their claims. The Research and Policy

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	The S/ADM, TAG will undertake to review and assess all of these tools and examine opportunities to centralize the information systems in a cost and resource effective manner, while recognizing the required differences in purpose and function.		Directorate, on the other hand, continues to use its own work management tracking tool extensively to monitor work demands. This is necessary as the SCBDB does not have the fields, or functionality for work management. While it may be possible to accommodate some functionality in the SCBDB to meet Research and Policy needs, it would be difficult, costly, time consuming, resource intensive, and also inefficient given that the MS project based tool is currently meeting work tracking/management needs, including reporting. **AES: Recommend to close, as IM/IT system review was conducted. Closed.**
4. The Senior Assistant Deputy Minister of the Treaties and Aboriginal Government Sector should implement a centralized filing system, and/or documentation protocol, where an authoritative record (complete set of key documents) is identified, applied consistently, and easily accessible, to help ensure that key documentation is available and complete.	A review of the information management practices in Specific Claims Branch (SCB) is underway. Preliminary findings indicate that files in SCB exist in segregated points: Research, Negotiations; in various locations in HQ, and BC; and in various formats electronic (CIDM) and hard copy, thereby affecting the capacity to retrieve the complete record of a claim in a timely manner. In addition, it has been determined that the current File Numbering Systems in use by both SCB NCR and Vancouver do not meet Record Management standards for the federal government.	March 2014	

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	SCB is working with Enterprise Information Record Management (EIRM) to address these issues. As a result a number of measures are being implemented: . Approval of draft business rules will provide a safe, secure structure for the creation, maintenance, retrieval and disposition of information. The business rules include the use of naming conventions, application of consistent access control and address document security issues. . Implementation of a New File Numbering System in both NCR and Vancouver. Substantial changes in the way CIDM is integrated in the work flow via: emails, file numbering systems documents and saving will be implemented. Training for staff will be required.		