

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF MARCH 31, 2013**

| Alberta Region, Human Resources & Workplace Services | | | |
|--|---|--------------------------|--|
| <i>Management Practices Audit of the Alberta Region</i> APPROVAL DATE: 20/06/2011 | | | |
| PROJECT RECOMMENDATIONS | ACTION PLAN | EXPECTED COMPLETION DATE | PROGRAM RESPONSE |
| <p>1. The Regional Director General of the Alberta Region should collaborate with Headquarters to define external client services offered by AANDC and to develop performance targets for the delivery of these services as part of on-going monitoring and management of the performance against established 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><u>Actions:</u> 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>Status: Request to Close (Completed)</p> <p>Alberta Region Response Update/Rationale: As of 31/12/2012:</p> <p><i>RO HQ developed service standards with consultation with RO regions. The standards define external client services and have been presented and approved by the National Operations Committee.</i></p> <p><i>RO HQ is now developing a standard report format to monitor the achievements of the service standards.</i></p> <p>Regional Operations Response Update/Rationale: As of 31/03/2012:</p> <p>The Regional Operations Sector, Operations and Planning Supports Directorate has taken the lead in Service Standard Management within AANDC.</p> <p>Over the past year the following activities have occurred in response to the MPR / MAF Action Items:</p> |

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

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| | | | 2012-2013. AES: Actions substantially implemented. Recommendation to be closed. Closed. |
| <p>2. The Director General of the Human Resources and Workplace Services Branch (HRWSB) should revise regional human resources reports to help ensure that sufficient information is provided to management in order to identify and monitor exceptional staffing actions, such as acting assignment extensions greater than one year, to ensure compliance with relevant policies. Where possible, these reports should be consistent nationally and should be incorporated into the existing departmental reporting structure.</p> | <p>In cooperation with IT Services, HRWSB released the staffing component of "the Human resources Reporting & Analysis (HRRR) project". This will enable regions to produce their own reports and make their own analysis.</p> <p>In addition, monitoring of the acting appointment department-wide is conducted on a regular basis, with follow-ups on remedial actions when required. Monitoring reports are presented to HRWSMC.</p> | <p>Implemented Q4 2010-11</p> | <p><u>HRWSB Update</u></p> <p>Status: Request to close</p> <p>Update/Rationale: As of 30/03/2012:</p> <ul style="list-style-type: none"> • National deployment of IHRRS has been released for: <ul style="list-style-type: none"> ○ Staffing ○ Retention and Mobility ○ Leave Management ○ Employment Equity • Business object reports are available to all the regions. (Leave without pay, End of Acting, End of Assignment / Secondment, End of Student Employment, End of Term , End of Casual employment) • HRWSB – Process Improvement launched an automated PeopleSoft report request to increase efficiency and availability for all regions. |

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| | | | AES: Fully Implemented. Closed. |
| <p>3. The Regional Director General of the Alberta Region should ensure that the Alberta Region Human Resources (HR) Directorate revises the requirement to conduct monitoring of the completion of interim reviews. AES understands that monitoring completion of interim reviews is not required nationally, however good practices in employee management include monitoring.</p> | <p>The Alberta Region will continue to actively promote the importance of interim performance reviews through region-wide communiqués from the HR Directorate. The HR Directorate will deliver Employee Performance Management (EPM) and Learning Plan (LP) information sessions in April, May, September, and October for all regional supervisors and managers. The HR Directorate will provide tools, advice and guidance to supervisors and managers at all organizational levels to support them in holding regular EPM and LP meetings / discussions with their staff.</p> | <p>April 2011, ongoing</p> | <p>Alberta Update Status: <i>Request to Close (Completed)</i></p> <p>Update/Rationale: As of 31/03/2012:</p> <p><i>EPM and LP information sessions developed and delivered to regional supervisors and managers in Quarter 1 (April and May 2011). Session was also held in October 2011.</i></p> <p><i>EPM and LP Quality Assurance Checklists and Communiqué developed and distributed regionally and nationally in Quarter 1- 2011.</i></p> <p><i>Managers Handbook/Guide to EPMs and LPs developed and distributed to regional supervisors and managers in Quarter 1 - 2011.</i></p> <p>AES: Fully Implemented. Closed.</p> |
| <p>4. The Regional Director General of the Alberta Region should develop and conduct a quality review of a</p> | <p>Based on the preliminary MPR debrief in January, the HR Directorate developed an EPM and</p> | | <p>Alberta Update Status: <i>Request to Close (Completed)</i></p> |

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| sample of completed Employee Performance Management (EPM) forms to verify that forms are being consistently completed in line with expectations. This action would help to supplement the EPM training already planned by the Region with the aim of improving the performance management process. | <p>Learning Plan (LP) Quality Assurance Checklist. The checklist was distributed to all supervisors and managers in the Alberta Region, the DG HRWSB, the Associate DG HRWSB, the Director of Learning as well as all Regional Directors, Human Resources Services. The Regional Director of HR recommended to the Regional HR Committee (RHRC) that 1 in 4 EPMs and LPs be reviewed by the HR Directorate against the checklist – the recommendation was accepted by RHRC in March and will be implemented in 2011-2012.</p> <p><u>Actions:</u> HR Directorate developed and distributed EPM and Learning Plan (LP) Quality Assurance Checklist.</p> <p>The Regional Director of HR recommended to the Regional HR Committee (RHRC) that 1 in 4 EPMs and LPs be reviewed.</p> <p>Recommendation to be implemented in 2011-2012.</p> | <p>February 2011, completed</p> <p>March 2011, completed</p> <p>April 2011, ongoing</p> | <p>Update/Rationale: As of 31/03/2012:</p> <p><i>100% EPMs and LPs (210) were reviewed by HR against the Quality Assurance Checklist in Quarter 1 – 2011, returning documents to Directorates that did not meet established standards. This is an Ongoing management practice in the Alberta Region.</i></p> <p>AES: Fully Implemented. Closed.</p> |

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| <p>5. The Director General of the Human Resources and Workplace Services Branch (HRWSB) should review and modify the EPM Completion Rate report generated through the Human Resource Management System (HRMS) to help ensure that the manual adjustments, currently required to eliminate duplicate counting of acting employees, are no longer necessary.</p> | <p>In cooperation with IT Services, the reports were updated to eliminate duplicated entries of acting employees.</p> <p>For this year, the report will be generated for more accurate data</p> <p><u>Actions:</u> Corrections to report parameters (complete)</p> <p>Upgraded report available as of beginning of Q1.</p> | <p>End of Q3 (2010-11)</p> <p>Q1 2011-12</p> | <p><u>HRWSB Update</u></p> <p>Status: Request to close</p> <p>Update/Rationale: As of 30/03/2012:</p> <p>Corrections to report parameters completed by end of Q3 (2010).</p> <p>Report available as of beginning of Q1.</p> <p>AES: Fully Implemented. Closed.</p> |
| <p>6. The Regional Director General of the Alberta Region should 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"</p> | <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>Initiate tool discussion in September 2011</p> | <p>Status: Request to close (completed)</p> <p>Update / Rationale: As of 31/03/2013:</p> <p><i>In partnership with the Audit & Evaluation Sector, developed a regional risk profile with participation from the management team of the region. Regional Senior Management reviewed and approved the regional risk profile in February 2013.</i></p> <p><i>Key regional planning commitments are linked</i></p> |

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| includes Policy and Strategic Direction, the AANDC Risk Champion, and the Risk Management Centre in Audit and Evaluation Sector). | <p>Regional Directors General will support these and implement risk management tools in their regions that support and are consistent with the national approaches.</p> <p>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.</p> | Implement tools by March 2013 | <p><i>with the Corporate Risk Profile. Regional participation on the national Risk Management Community of Practice Conference calls. Regional Planners are engaged with Regional Operations in reviewing and identifying standard indicators for the Business Plans.</i></p> <p>AES: Implemented. Closed.</p> |
| 7. The Regional Director General of the Alberta Region should collaborate with Headquarters to establish service standards for all corporate services, including Accounting, IM/IT, Administration and Resource Management. The standards established should be applied consistently across the Department and be reported and monitored in the Regional Quarterly Report, as is currently the case for | <p>Alberta Region, Director Corporate & Funding Services to engage with RO Regions to gather current performance measures for functional areas, propose recommendations to standardize and address potential gaps.</p> <p>Provide consolidated Regional RO Sector recommendations for Review and endorsement from the CFO Sector (functional lead).</p> | | <p>Status: Request to Close (Completed)</p> <p>Update/Rationale: As of 31/12/2012:</p> <p><i>The Alberta Region has incorporated applicable standards for reporting on relevant regional measures – compliance, Interventions, & resource pressures on the quarterly report.</i></p> |

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| Human Resources. | Actions: Regional review and consolidation of functional performance indicators Review and endorsement by CFO Sector Implementation of recommendations | Completed by end of Q1 2011-12 Q2, 2011-12 End of Q2 2011-12 | AES: Implemented. Recommendation to be closed. Closed. |
| 8. The Regional Director General of the Alberta Region should collaborate with Headquarters to expand the financial information captured in the regional planning documents that support the Regional Quarterly Report, such that the cost of planned activities are documented and monitored. | As articulated in the 2011-14 Corporate Business Plan, the department will work at improving integrated planning and resource alignment by establishing principles and process (including schedule and calendar) for integrated planning and consult with internal partners (HR, CFO, AES) | March 2012 | <u>Alberta Update</u> Status: <i>Request to Close (Completed)</i> Update/Rationale: As of 31/03/2012: <i>Financial status information has been integrated in the regional Quarterly Report</i> AES: Fully Implemented. Closed. |
| 9. The Director General of the Human Resources and Workplace Services Branch (HRWSB) should | The reorganisation, including the revision of the titles for Alberta region, has been completed in | April 1, 2011 | <u>HRWSB Update</u> Status: Request to close |

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| coordinate the updating of the revised directorate titles for the Alberta Region in PeopleSoft. This will help to ensure that the system appropriately reflects the true structure of the Alberta Region. | PeopleSoft as of April 1, 2011. Because PeopleSoft has a limit in the amount of characters in the description, acronyms must be used to represent the Divisions specific needs. | | Update/Rationale: As of 30/03/2012: Completed in PeopleSoft as of April 1, 2011 AES: Fully Implemented. Closed. |