

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE
AS OF JUNE 30, 2014**

Policy and Strategic Direction

Management Practices Audit: Policy and Strategic Direction Sector

APPROVAL DATE: 11/21/2013

PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Senior Assistant Deputy Minister of the Policy and Strategic Direction Sector should ensure that the accountabilities and responsibilities of the Sector and its Branches are clearly communicated, explained and understood by Sector management and staff. Once clarified, as well as prioritized, these accountabilities should be leveraged as a foundation in support of effective HR planning, risk management and performance measurement (see Recommendations 2, 3 and 4).</p>	<p>Actions:</p> <ul style="list-style-type: none">▪ DGs are holding all-staff meetings to discuss the PSD Business Plan for 2014-15. As part of these discussions, DGs are giving particular attention to roles, accountabilities and responsibilities and clarifying priorities for staff. ▪ The new employee performance management regime, which will begin in April 2014, will provide an opportunity to communicate, at the individual level, cascading accountabilities, responsibilities and priorities as reflected in the PSD Business Plan 2014-15. This will be done through Branch meetings and one-on-one	<p>December 2013</p> <p>April 2014</p>	<p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none">▪ PSD Branches and the BMU held all-staff meetings to review and discuss the PSD Business Plan, the Branch priorities and commitments for the upcoming fiscal year 2014-2015.▪ In addition, PSD management participated in a two-day planning retreat (January 2014), <i>Reshaping our Future</i>, which focused on Sector priorities, key planning commitments and performance management agreements for 2014-2015.▪ PSD developed a change management plan to define the roles and responsibilities of the Métis and Non-Status Indian Relations Directorate (MNSIRD) within PSD. <p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none">▪ In accordance with TBS direction, PSD implemented the new Employee Performance Management regime, including one-on-one discussions, ensuring that key PSD priorities, responsibilities and planning commitments were cascaded and reflected in all employee agreements.▪ As of June 30, 2014, the PSD completion

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	<p>discussions.</p> <ul style="list-style-type: none"> ▪ An all-staff meeting will be held to communicate, explain and clarify PSD's roles and responsibilities. ▪ Managers will continue to meet formally with employees twice annually to jointly develop performance objectives for the period ahead and to communicate areas of progress and opportunities for improvement from the previous period in order to ensure a regular cycle of feedback and performance planning is maintained. These discussions will provide additional opportunities to review accountabilities and responsibilities in alignment with PSD Business Plan and the new Directive on Performance Management. 	<p style="text-align: center;">April 2014</p> <p style="text-align: center;">October - November 2013 & March 2014</p>	<p>rates of the new Employee Performance Management Agreement and Learning Plan for fiscal year 2014-2015 was 95% and 98% respectively.</p> <ul style="list-style-type: none"> ▪ In compliance with the new TBS Directive, managers and supervisors met individually with employees to discuss and finalize 2014-2015 Performance Management Agreements and Learning Plans, which included key PSD objectives and priorities as well as the relevant Branch and Directorate, which aligned to and cascaded from the 2014-2015 PSD Business Plan. <p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none"> ▪ PSD held two All Staff Meetings to bring sector staff together to review key roles and responsibilities: (i) <u>April 15</u> which recognized key accomplishments in 2013-2014 and focused on key challenges for 2014-2015; and (ii) <u>June 9</u> which highlighted how AANDC is transforming the way we work (e.g. Web 2.0, GCPedia, Email Transformation, Workplace 2.0, electronic signatures, online performance management) including a number of notable PSD examples.

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			<p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none"> ▪ As part of ongoing performance planning and management, PSD managers met individually with PSD staff at three intervals over the 2013-2014 fiscal year (April to May 2013; October to November 2013; and March 2014. Through these meetings, all (100%) PSD employees were provided feedback on performance expectations as well as suggestions / opportunities for improvement. ▪ Employee performance reviews for fiscal year 2013-2014 were documented and signed-off by the appropriate parties; 100% completion was achieved for the Sector. <p>AES: Implementation complete. Recommendation to be closed. Closed.</p>
<p>2. The Senior Assistant Deputy Minister of the Policy and Strategic Direction Sector should, as part of the existing initiative to develop an updated Strategic HR Plan for the Sector, ensure that HR strategies and activities are developed to support proactive</p>	<p>Actions:</p> <ul style="list-style-type: none"> ▪ PSD will update its Integrated Strategic HR Plan for 2014-15 – 2016-17. 	<p>Feb 2014</p>	<p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none"> ▪ PSD updated its Integrated Strategic HR Plan for 2014-2015 – 2016-2017, including strategies to address HR challenges within the context of budget constraint.

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	workforce analysis.		action plan. AES: Implementation complete. Recommendation to be Closed. Closed.
3. The Senior Assistant Deputy Minister of the Policy and Strategic Direction Sector should develop a formal documented approach to risk management in the Sector, including an ongoing process, and governance structure for identifying, assessing, and monitoring risks and corresponding mitigation actions. This should include the development of a Sector-specific risk profile, that is continuously monitored and regularly updated, and which reflects Sector and Branch accountabilities.	Actions: <ul style="list-style-type: none"> ▪ PSD will identify, document and integrate risk, particularly in relation to legal, external relationships and government partnerships risks, into the 2014-15 Sector Business Plan. ▪ PSD will manage its own sector risks in all areas through its sector-specific risk profiles in the Quarterly Reporting Process. 	<p>December 2013</p> <p>Quarterly</p>	Status: Request to Close (Completed) Update: As of December 31, 2013 <ul style="list-style-type: none"> ▪ A specific section on Risk Assessment has been included in the 2014-2015 PSD Business Plan where PSD has identified and mitigated 7 risks, including legal, external relationship and government partnerships risks. Status: Underway Updates: As of December 31, 2013 <ul style="list-style-type: none"> ▪ The PSD Quarterly Reports embed the risk management in each sector commitment. AES: Substantially Implemented. Recommendation to be Closed. Closed.
4. The Senior Assistant Deputy Minister of the Policy and	Actions: <ul style="list-style-type: none"> ▪ PSD is ensuring that Sector outcomes and performance 	April 2014	Status: Request to Close (Completed) <ul style="list-style-type: none"> ▪ The 2014-2015 PSD Business Plan identifies key <i>outcomes</i> and performance

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<p>Strategic Direction Sector should take steps to establish outcome-based performance measures that align with the Sector's mandate, accountabilities, and service offerings. This would include:</p> <ul style="list-style-type: none"> • Identifying and validating the Sector's key outcome, client groups, and related service standards; • Developing standards that support efficiency and quality of service delivery; and • Establishing data collection, analysis, and reporting mechanisms. 	<p>measures, including those in relation to efficiency (for Métis and Non-Status Indian Relations and Métis Rights Management program, sub-program 1.2.4 on the AANDC 2014-15 PAA) are identified in the PSD Business Plan and monitored through Quarterly Reports, and are in alignment with the MRRS policy and the 2014-15 Departmental PMF of record.</p> <ul style="list-style-type: none"> ▪ DGs are presenting to PSD Management (all DGs, Directors and Direct Reports to Directors General) their strategies, actions and progress against performance objectives relevant to the PSD Business Plan priority in order to identify and initiate their Branch's key outcomes, client groups and service standards. ▪ PSD is identifying its key outcomes through the sector 	<p style="text-align: center;">& Quarterly</p> <p style="text-align: center;">October 2013 – January 2014</p>	<p>measures and targets, including in relation to the Métis Rights and Relations, and Non-Status Indian Relations as reflected in the 2014-2015 PAA and PMF. In addition, the PSD Business Plan identifies measures and targets to support service delivery, cost containment and efficiency (i.e., legal advisory services, Cabinet and Parliamentary Affairs, and data and research requests). The Business Plan is monitored and results against targets are reported through the Departmental Quarterly Reporting process.</p> <p>Status: Request to Close (Completed)</p> <ul style="list-style-type: none"> ▪ PSD Management Team meetings included presentations and discussions led by DGs on the four 2013-2014 PSD Business Plan priorities: <i>Priority #1</i> (Oct 2013), planning and managing AANDC's policy, legislative and research agendas; <i>Priority # 2</i> (Nov 2013), litigation and legal costs management; <i>Priority # 3</i> (Dec 2013), maintaining relationships with Métis, non-status and Inuit organizations; <i>Priority #4</i> (Jan 2014), lead and promote the strategic alignment and management of departmental frameworks and the timely development and delivery of all major

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	<p>Business Plan and service standards are in place for most deliverables (i.e., Cabinet Affairs, Legislative Affairs, Data Releases, Quarterly Reports, etc.)</p> <ul style="list-style-type: none"> ▪ Data collection, analysis and reporting mechanisms are established and communicated through the Quarterly Reporting Process. 		<p>results based plans and reports.</p> <p>AES: Implementation complete. Recommendation to be closed. Closed.</p>