

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> APPROVAL DATE: 22/09/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Regional Director General of the BC 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>The Region should also develop and implement a process for Region-specific client surveys that incorporates participation from all regional directors that deliver external services and includes formal action plans and follow-up procedures to enable a comparison of results and establish the resulting impact/improvement of client service.</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 guidelines. 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>Initial discussions have taken place at DGIOC (April 11, 2011).</p> <p>Actions Programs with existing service standards:</p> <p>Formalize existing service standards in a document.</p> <p>Programs without services</p>	<p>Consistent with work plan for the Operations Committee approved National Service Standards Initiative. See dates below.</p> <p>September 2011</p>	<p>Status: Underway</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>BC Region is represented on the Regional Operations National Service Excellence Steering Committee to establish service standards across AANDC with regards to Programs, Grants and Contributions, Direct Services and Internal Services. The Region continues to work closely with HQ and other Regions to assist with the development of national approaches. Once finalized BC Region will measure against those established service standards and refine processes as necessary in compliance with national direction.</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region APPROVAL DATE: 22/09/2011</i>			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
	<p>standards:</p> <p>Direct services</p> <p>Grants and Contributions</p> <p>Internal Services</p> <p><u>Regional Client Survey:</u> To respond to the Regional Client Survey, the Region will endeavour to report back on the outcomes to all BC First Nations at the end of this fiscal year.</p> <p>As part of client engagement activities, the Region will review our current approach to client service engagement to identify the types of feedback the Region requires and how this feedback will be obtained. This will link to the National Service Management Initiative to ensure national consistency.</p>	<p>March 2012</p> <p>March 2012</p> <p>June 2012</p> <p>March 2012</p>	<p>Further to the Joint Gathering held in February 2012 where over 140 representatives from First Nations and Organizations in BC participated, the Region prepared a Summary Report which was shared with all participants. The Report included a section on building AANDC BC Region Service Standards from First Nations' Perspectives. The Region has developed a draft Action Plan that identifies actions and next steps based on what was heard during the Joint Gathering's panel and dialogue sessions. The Region will be reporting out on the draft Action Plan to First Nations.</p> <p>AES: Implementation ongoing.</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> APPROVAL DATE: 22/09/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
2. The Regional Director General of the BC 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 their impact on financial resources. Headquarters should communicate the approach to all regions and sectors to ensure a consistent, national approach to regional planning.	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)	March 2012	<p>Status: Underway</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>BC Region has been working collaboratively with NHQ on the Corporate Business Planning cycle and establishing principles and processes for integrated planning. In consideration of the impacts on HR with the HUB transition, the Region is faced with diminishing capacity to enhance integrated planning for this fiscal year. However, the Region will endeavor to integrate HR plans with the business plan in the next planning cycle.</p> <p>AES: Implementation ongoing.</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region APPROVAL DATE: 22/09/2011</i>			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>3. The Regional Director General of the BC Region should clarify staffing file documentation requirements and ensure that supporting control documentation is retained on staffing files to demonstrate how staffing actions are linked to identified staffing needs or in response to staff departures and for audit and file-continuity purposes.</p>	<p>The Regional Director General of the BC Region will delegate this responsibility to the Director of Human Resources to ensure that staffing file documentation requirements are clearly understood and that all required documentation is retained on files.</p> <p><u>Actions:</u> The Human Resources Directorate (HRD), BC Region will review the current HR checklists to ensure that they capture all of the required documentation for the various staffing processes conducted by the Region, including the linkage to the regional HR staffing plan. The updated checklists will be communicated to HRD staff.</p> <p>The Region is also working with DGHRWSB on the development of national tools and checklists to support the standard practices across the Department.</p>	<p>December 2012</p>	<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 31/03/2012:</p> <p>National Staffing Checklist in use in BC Region since November 2011. All staffing files contain new checklist.</p> <p>AES: Implemented. Closed.</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> APPROVAL DATE: 22/09/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
4. The Regional Director General of the BC Region should ensure that analysis of staffing actions, trends, and the hiring process occurs on a regular basis.	<p>HRD will develop a process for conducting analysis and reporting to Executive Leadership Team (ELT) on staffing actions both at the transaction and strategic levels in order to inform the annual business planning cycle.</p> <p>HRD will continue to work with Human Resources and Workplace Services Branch (HRWSB) to obtain information and reports to support the analysis.</p>	July 2011	<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 31/03/2012:</p> <p>Monthly staffing reports sent to ELT.</p> <p>Strategic analysis conducted through ELT to manage staffing actions under Staffing Control Measures.</p> <p>AES: Implemented. Closed.</p>
5. The Regional Director General of the BC Region should develop and implement a formal, documented approach to risk management, including an ongoing process and governance structure for identifying, assessing, and monitoring risks and their associated mitigation actions which will support the future creation of a Regional Risk Profile. Headquarters should communicate guidance to all regions and sectors to ensure a consistent, national	<p><u>Short-term:</u> Continue on-going risk assessments (FSR, compliance, etc) and continue to report on activities on the quarterly business plans.</p> <p>In November 2010 the Region initiated a Regional Program Risk Assessment Project with a focus on compliance. Subsequent to the MPA the programs have identified high risk program activities and developed action plans. Monitoring and</p>	October 2011	<p>Status: Request to Close</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>The last component of the Regional Program Risk Assessment Project which was to document roles and responsibilities was completed by the Programs in response to DRAP and the Region's desire through its key priorities to focus on business transformation that would strengthen Regional Operations. Roles and responsibilities were reviewed</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> APPROVAL DATE: 22/09/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>approach to risk management. (In this case, 'Headquarters' includes Policy and Strategic Direction, the AANDC Risk Champion, and the Risk Management Centre in Audit and Evaluation Sector).</p>	<p>oversight rests with ELT.</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 management tools in their regions that support and are consistent with the national approaches. The Region will coordinate, liaise and work with NHQ in moving forward on Program specific risk management frameworks.</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.</p> <p>Regional Corporate Risk Profiles to be integrated into regional business planning process and documents for</p>	<p>2012-2013</p>	<p>to identify gaps, overlaps and synergies. This information was used to support a proposed approach with respect to alignment of resources. The Regional Program Risk Assessment Project is complete and with Programs for their use in the delivery of their programs. The results of this project will also help to inform and support the development of the Regional Risk Profile which will capture the nine corporate risks. Going forward, the Regional Risk Profile results will be used to inform business planning.</p> <p>Status: Underway</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> APPROVAL DATE: 22/09/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
	2012/2013		<p>Update/Rationale: As of 30/09/2012:</p> <p>With the support of the Risk Management Branch of the Audit & Evaluation Sector, the Region initiated the process to create the Regional Risk Profile in October 2012. The goal of the Region is to have this work completed by early December so that this information can be used to inform the business planning for 2013-2014. In the creation of the Regional Risk Profile, we have the support of the Regional Planner who will have a key role in fostering the integration of the Regional Risk Profile results with business planning.</p> <p>AES: Implementation ongoing</p>
6. The Regional Director General of the BC Region should clarify the roles, responsibilities and purpose of the BC Management Team (BCMT) committee. Once clarified, the Regional Director General of the BC	The Regional Director General of BC Region will clarify the roles, responsibilities and purpose of BCMT and ELT committee given the new structure in the Region and ensure it is reflected in the updated Terms of	December 2011	<p>Status: Request to Close (Completed)</p> <p>Update/Rationale: As of 31/03/2012:</p> <p>The Regional Director General has clarified the roles, responsibilities and purpose of BCMT</p>

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2012**

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region APPROVAL DATE: 22/09/2011</i>			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
Region should ensure that a comprehensive Terms of Reference for both of the Region's monitoring and oversight bodies (ELT and BCMT) is developed and implemented.	Reference. Both will be implemented once complete.		and ELT. Terms of Reference for both BMT and ELT have been developed. BC CIDM #2057914, 1915967 respectively. AES: Implemented. Closed.
7. The Regional Director General of the BC Region should ensure that the IT support contractor is compliant with the terms and conditions of its contractual obligations with respect to the timely provision of performance management reports prior to invoice approval.	The Regional Director General of BC Region will delegate this responsibility to the Director, Corporate Services to ensure that the requirement for timely receipt of performance monitoring reports is communicated to the IT support services contractor and ensure adherence to the terms and conditions of the contract. The performance reports will be maintained with the invoice to demonstrate adherence to the terms and conditions of the contract and to support compliance with S34 of the <i>Financial Administration Act</i> .	September 2011	Status: Request to Close (Completed) Update/Rationale: As of 31/03/2012: The requirement for timely receipt of performance monitoring reports was communicated to the IT support services contractor (Donna Conna) in a letter dated November 29, 2011 (BC CIDM #1971374). The performance reports are maintained with the invoice to demonstrate adherence to the terms and conditions of the contract and S34 of the Financial Administration Act. AES: Implemented. Closed.