

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

Ontario Region, Human Resources & Workplace Services			
Management Practices Audit of the Ontario Region APPROVAL DATE: 20/06/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Regional Director General of the Ontario 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>Actions: Programs with existing service standards: Formalize existing service standards in a document</p>	<p>September 2011</p>	<p>Ontario Update:</p> <p>Update/Rationale: As of 31/03/2012: On going</p> <p>Status: Regional Funding Services have established a service standards document for internal and external timelines.</p> <p>Ontario has shared this action pan with NCR-RO. RO has been working on a related service standards finding in the MPR MAP.</p> <p>A National process is required to standardize the departmental approaches.</p> <p>RO Update:</p> <p>Update/Rationale: Underway 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>

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	<p>Programs without service standards:</p> <p>Direct services</p> <p>Grants and Contributions</p> <p>Internal Services</p>	<p>March 2012</p> <p>March 2012</p> <p>June 2012</p>	<p>Over the past year the following activities have occurred in response to the MPR/MAF Action Items:</p> <ul style="list-style-type: none"> • The Service Management Strategy has been developed and presented to OPS in the Fall of 2011 • 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

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			<p>presented to OPS Ctte and approval is anticipated in Q1 2012-2013.</p> <ul style="list-style-type: none"> • RO Sector, OPS Directorate focus on internal services which directly 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>AES: The recommendation will be closed.</p>
2. The Regional Director General of the Ontario Region should implement a revised, and comprehensive, approach to the development of its annual HR plan for 2011-12 and onward. The	The Regional Director General of the Ontario Region will implement a revised approach to HR planning and reporting. A planning session was held with the Regional Management Committee in early 2011 and follow-		<p>As of 31/03/2012: Accomplished with follow up monitoring on going</p> <p>Status: In Q1 and Q2 there were 22 long-term acting situations (over 12 months and up to three years) at various groups and levels</p>

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<p>revised approach should help ensure that the HR Plan aligns with the strategic and operational objectives of the Region, and should include planned actions to reduce the number of key, senior management, acting positions going forward.</p>	<p>up work from that session continues as well as ongoing work with the Regional Operations Sector to ensure a consistent national approach. An enhanced HR planning function will also be linked to business planning.</p> <p>Acting assignments have been eliminated at the EX3 and EX2 levels; work is currently under way to reduce and regularize the number of acting appointments at the EX1 level, balanced with efforts to enhance succession planning for that classification level.</p> <p><u>Actions:</u> Finalization of HR plan</p> <p>Link with business planning enhanced over the course of the year</p> <p>Acting assignments already reduced and continue in Q1 with staffing efforts targeted for completion in Q3</p>	<p>Q1 – 2011-2012</p> <p>Q4 – 2011-2012</p> <p>Q3 – 2011-2012</p>	<p>(other than EX). Through strategic planning and implementing actions such as, making indeterminate appointments from pre-qualified staffing pools, stabilizing position vacancies, and ending acting situations through meeting operational requirements by other means, the 22 situations were ended by March 31/12. Therefore, the Region met the DM's expectation that all acting appointments over 12 months cease.</p> <p>Furthermore, all EX acting situations are subject to RDG and ADM approval and any situation over 4 weeks is subject to WMB approval. Notably, all Ontario Region short-term and long-term EX acting requests and appointments were eliminated in 2011-12.</p> <p><u>Update/Rationale:</u> The Corporate HR Plan 2011-2014 was developed and coordinated with NCR-HR. The region continues to monitor and report to NCR-HR on various HR initiatives. e.g. PS renewal, FSWEF and student bridging.</p> <p>The Region continues to strengthen the linkages between business and HR planning.</p>

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			<p>Not yet fully accomplished due to operational pressures; - ongoing</p> <p>AES: Implemented. The recommendation will be closed.</p>
<p>3. The Regional Director General of the Ontario Region should establish and implement a strategy and related process to review and assess the compliance of individual appointment processes, including the documentation of business rationale, candidate assessments, right fit, and priority appointments.</p>	<p>The Regional Director General of the Ontario Region will establish and implement a strategy and process on compliance for individual appointment processes. This strategy involves elements such as the rejuvenation of a regional human-resources committee and attention at the Regional Management Committee to coordinate processes and share information better. HR Action requests are being more fulsomely reviewed to ensure compliance with documentation and process requirements, with directors and managers being held accountable.</p>		<p>Status: HR processes in the region have been strengthened in 2011-2012 and are subject to approval of NCR WFMB.</p> <p>All Human Resources Action Requests (HRAR) appointments were reviewed and deliberated at the weekly RMC and proposed for approval to the RDG.</p> <p>Before any offer letters are issued, the HR Advisor and the HR Director conduct a strategic document review of the files to ensure the file complies with the Public Service Commission (PSC) standards. All the staffing files include a national documentation checklist. Gaps are identified and followed up with the hiring Manager. Complete files are signed off by the HR Director and only then,</p>

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	<p><u>Actions:</u> HRC renewed</p> <p>Directors and managers to have a relevant performance indicator included in EPMs</p> <p>HRARs and documentation being reviewed attentively on an ongoing basis</p>	<p>Q1 – 2011-2012</p> <p>Q1 – 2011-2012</p> <p>On-going – 2011-2012</p>	<p>are offer letters issued by the Region.</p> <p>The transition to Staffing Classification Action Request Forms (SCARFs) and the Work Force Management Board (WFMB) approval process was implemented in 2011-2012. 100% of Ontario Region's submitted SCARFs to HQ have been approved by NCR-WFMB.</p> <p>Ontario Region developed a MOU with the Canadian School of Public Service (CSPS) and offered a 2 day mandatory training course on staffing for managers to all managers in November 2011.</p> <p>Update/Rationale: Completed</p> <p>Directors and managers will have a relevant performance indicator regarding staffing appointments included in their EPMs in 2012-2013, in the context of WFA appointments.</p> <p>As of 31/03/2012:</p> <p>AES: Implemented. The recommendation will be closed.</p>

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<p>4. The Regional Director General of the Ontario Region should ensure that training is provided to regional managers responsible for hiring and promotion activities. The training should identify the appropriate staffing process to follow and identify the required documentation to be retained to demonstrate compliance with policies and procedures.</p>	<p>The Regional Director General of the Ontario Region will ensure that regional managers are trained in staffing. Options for conducting the training are being explored on a priority basis and the training will be mandatory for all managers, with a particular emphasis on early training for those with high staffing activity.</p> <p>Actions: Options identified</p> <p>Delivery</p>	<p>Q1 – 2011-2012</p> <p>Q2/Q3 – 2011-2012</p>	<p>Status: Ontario Region developed a MOU with the CSPS and offered a 2 day mandatory training course on staffing to all managers in November 2011.</p> <p>Completed in November 2011</p> <p>AES: Implemented. The recommendation will be closed.</p>
<p>5. 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</p>	<p>The Regional Director General of the Ontario Region will work with the DG of HRWSB to revise HR reports as described.</p> <p>In cooperation with IT Services, HRWSB released the staffing</p>	<p>Implemented Q4 - 2010-11</p>	<p>Status: Ontario Region responded to the DM's direction that all long-term acting must cease.</p> <p>There are no EX long-term acting assignments in the Region.</p> <p>Any long-term acting situations are approved by the WFMB based on the rational provided</p>

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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>component of “the Human resources Reporting & Analysis (HRRA) project”. This will enable regions to produce their own reports and make their own analysis.</p> <p>In addition, monitoring of the acting appointments department-wide is conducted on a regular basis, with follow-ups on remedial actions when required. Monitoring reports are presented to HRWSMC.</p>		<p>by the Director/Manager.</p> <p>AES: The recommendation will be closed based on the revisions to the staffing approval process as a result of the WFMB.</p>
6. The Regional Director General of the Ontario Region should collaborate with HRWSB to adjust EPM requirements. Changes should include the alignment of developmental goals with employee needs, and position and regional competencies requirements. Any developmental goals identified should be used to inform learning plans for the year and there should be a clear link between the two	The Regional Director General of the Ontario Region will collaborate with the DG of HRWSB to adjust EPM requirements. Managers will be trained to improve the development of aligned EPMS and learning plans in Q1 of 2011-12, and plans will be implemented for regional employees. A sample review will take place in Q3 of 2011-12 and adjustments will be made as necessary.		<p>Status: The Region implemented the new forms, policy and guidelines per the national time-frames. Call letters were issued in follow up to DGHR announcements. In the fall 2011, the Region undertook mid-year discussions with employees to make required adjustments to LPs. The Region's LP completion rate is 90% (excluding Federal School employees). Regional HR continues to track and report to ensure we meet the 90% goal.</p> <p>EPM and LP training has been implemented in</p>

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established.			be closed.
8. The Director General, 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>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>Actions: Corrections to report parameters completed</p> <p>Report available</p>	<p>Q3 – 2010-2011</p> <p>Q1 – 2011-12</p>	<p>Status: Ontario Region addressed the findings of the MPR and currently generates the EPM completion rate information using the Human Resources Management System (HRMS). The region no longer has any duplicate counting of employees. The Ontario Region EPM completion rate for 2011-2012 is 91% (excluding Federal School employees).</p> <p>Regional quality control of EPM completion rates is accurate.</p> <p>Update/Rationale: As of 31/03/2012: <i>On-going</i></p> <p>AES: The recommendation will be closed based on the progress made to date by the region.</p>
9. The Director General, HRWSB should collaborate with regions and	The learning plan is developed based on the knowledge gaps and		Status: The Region implemented the new learning plan forms, policy and guidelines per

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<p>sectors to review the national deadline for the completion of Learning Plans. Where possible, deadlines should be moved to earlier in the year to better align with the operational workloads of regions/sectors and permit completion of planned learning activities.</p>	<p>development areas identified by the manager and employee following the confirmation of the work objectives in the EMP form; both are part of an integrated process. Therefore, a change in dates influences both forms.</p> <p>The deadlines identified are the latest dates at which the forms have to be forwarded (May 31) and entered in PeopleSoft (June 30). Nothing prevents a region/sector from modifying the deadline – for an earlier date – to accommodate their workload realities. Also, nothing prevents an individual with the appropriate financial authority from approving training, on a case-by-case basis, prior to this deadline; this would entail some risk management on their part.</p> <p><u>Actions:</u> Learning and Development Directorate will consult regions/sectors via email to validate these options and explore potential</p>	<p>Q1 – 2011-2012</p>	<p>the national time-frames and call letters were issued in follow up to DGHR announcements. In the fall 2011, the Region undertook mid-year discussions with employees to make required adjustments to LPs. The Region's LP completion rate is 90% (excluding Federal School employees). Regional HR continues to track and report to ensure we meet the 90% goal.</p> <p>HQ consulted with the Region on the time-frames, but no change was made to the May 31 deadline for LP completion.</p> <p>AES: The recommendation will be closed based on the progress made by the region and the HQ decision to not adjust the LP completion date.</p>

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	changes by the end of Q1. Results/changes will be communicated in next year's EPM/LP call letter in Q4.	Q4 – 2011-12	
10. The Regional Director General of the Ontario Region should develop and implement a formal, documented approach to risk management, including an on-going process and governance structure for identifying, assessing, and monitoring risk mitigating 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 Management Centre in Audit and Evaluation Sector).	<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 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</p>	<p>September 2011</p> <p>March 2013</p>	<p>Status: Discussions were initiated in the region to begin the regional risk management plan to augment the corporate risk profile. Processes will be put in place in 2012-2013 to integrate this work into the regional business planning.</p> <p>Update/Rationale: As of 31/03/2012: On going</p> <p>AES: Implementation ongoing.</p>

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	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		
11. The Regional Director General of the Ontario 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 reported 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 processes (including schedule and calendar) for integrated planning and consult with internal partners (HR, CFO, AES)	March 2012	<p>Status: The Region is working with RO to determine the format and level of detail of financial information which should be captured in the regional planning documents, to increase the utility of the report's information.</p> <p>Update/Rationale: As of 31/03/2012: - On-going</p> <p>AES: Implementation ongoing.</p>
12. The Regional Director General of the Ontario 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	Ontario Region, Director Corporate Services & Director Funding Services to engage with RO Regions to gather current performance measures for functional areas, propose recommendations to standardize and address potential gaps.		<p>Status: Ontario Region provided input to the CFO Sector on workload for which service standards were available within the region. This exercise was initiated to determine existing standards and establish consistency and best practices throughout the Department.</p>

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<p>applied consistently across the Department and be reported and monitored in the Regional Quarterly Report, as is currently the case for Human Resources</p>	<p>Provide consolidated Regional RO Sector recommendations for Review and endorsement from the CFO Sector (functional lead).</p> <p><u>Actions:</u></p> <ul style="list-style-type: none"> • Regional review and consolidation of functional performance indicators. • With the CFO Sector, review for implementation. 	<p>End of Q1, 2011-12</p> <p>End of Q2, 2011-12</p>	<p>Update/Rationale: As of 31/03/2012: Completed for Regional Corporate Services.</p> <p>AES: Implemented. The recommendation will be closed.</p>