

**IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT AND EVALUATION COMMITTEE (AEC) MARCH 31, 2009**

HUMAN RESOURCES AND WORKPLACE SERVICES - ABORIGINAL AND CORPORATE RESOURCING

AUDIT OF STAFFING TRANSACTIONS NWT (200715)
AEC APPROVAL DATE: 19/12/2007

| PROJECT RECOMMENDATIONS | ACTION PLAN | EXPECTED COMPLETION DATE | PROGRAM RESPONSE |
|--|--|--------------------------|--|
| <p>1. Managers with delegated signing authorities should understand the limitations of their authorities under the Treasury Board Secretariat and INAC's Delegation of Signing Authorities and should act within their delegated signing authority. Managers who clearly exceed their delegated authority, especially when in contravention of direction provided by HR management, should be reviewed and appropriate disciplinary action taken, which could include up to revocation of their authorities in cases of abuse.</p> | <p>HR will continue to provide staffing sub-delegation training to provide participants with the knowledge and skills necessary to undertake their roles, responsibilities and accountabilities related to staffing within the PSEA framework.</p> <p>A policy on sub delegation will be developed outlining clear sub-delegation terms and conditions.</p> <p>Directed and special reviews/investigations of particular staffing activities will be undertaken when abuse of authorities is brought to our attention or is identified through monitoring activities.</p> <p>Based on evidence of contravention of delegated authorities, timely action will be taken to address unauthorized transactions and to take appropriate corrective action, including removal of authority if warranted.</p> | <p>30/04/2008</p> | <p>Status: Implemented (and ongoing)</p> <p>Update/Rationale: As of 30/09/2008:</p> <p>Policy on sub delegation was approved by DM as of September 19, 2008 and is posted on HR-Online Intranet site</p> <p>AES: We will review and close if appropriate.</p> |
| <p>2. HR should require mandatory training on Ethics and Rules of Conduct in the workplace and on the Public Servants Disclosure Protection Act for every employee in the department. This</p> | <p>Training in the areas of values and ethics (V&E), the new Code of Conduct (presently under development at the federal level), and the Public Servants Disclosure Act should be developed and</p> | | <p>Status:</p> <p>Update/Rationale: As of 30/09/2008:</p> |

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| <p>should be refreshed at regular intervals.</p> | <p>made available to INAC employees.</p> <p>Short term plans include the delivery of a training/information session in the NWT region in the New Year focussed on the day-to-day application of values and ethics.</p> <p>Other departmental initiatives include the release of :</p> <ul style="list-style-type: none"> i) V&E web-site called Insite; ii) lunch and learn sessions in the NCR; iii) reviewing INAC's Orientation training to update information about V&E and disclosure of workplace wrongdoing. | <p>31/03/2008</p> <p>28/02/2008</p> <p>31/03/2008</p> <p>30/04/2008</p> | |
| <p>3. HR in HQ should establish the capacity to actively monitor, on an ongoing basis, HR management practices and controls. At a minimum, HR in HQ should verify all overfill positions to establish whether there are other occurrences of overpayment resulting from acting pay. Additionally, exception reports should be developed as needed to establish whether other anomalies exist and as such whether further work is required. If the ad hoc PeopleSoft report developed for the</p> | <p>HRB will monitor on an ongoing process of qualitative and quantitative information on current and past staffing results to assess staffing management and performance and identify early corrective action, if required, to manage and minimize risk and improve staffing performance. The monitoring of staffing activity will be a shared responsibility between management and Human Resources.</p> <p>HRB will also be monitoring Pay</p> | <p>01/04/2008</p> | <p>Status: Pending Implementation</p> <p>Update/Rationale: As of 30/09/2008:</p> <p>Staffing Management Accountability Framework (SMAF) to be presented at HRWSMC Nov 27</p> <p>Active monitoring exercise underway as of Oct 08 to be completed by end of fiscal year.</p> <p>Audit of the NWT compensation system was</p> |

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| <p>audit is to be used in the future, its reliability should be assessed. Audit and Assurance Services should be apprised of progress and results of this work.</p> <p>Although HR management indicate that the PeopleSoft system will be revamped, interim measures should be put in place to make the active monitoring of staffing transactions a priority. Lessons learned from active monitoring of staffing transactions will bring valuable input in developing the right system that will provide appropriate monitoring and control.</p> | <p>Transactions. Some regions have already been identified.</p> <p>HRB will carry out four (4) types of monitoring as per an approved Staffing Management Accountability and Monitoring Framework:</p> <ul style="list-style-type: none"> • regular on-going; • cyclical review of staffing activities including on-site reviews; • thematic reviews; • directed, special reviews of particular activities. | | <p>completed Oct 08 & results are being assessed.</p> <p>Pay monitoring for fiscal year 2008-2009 completed for the following regions: Yukon – September 2008 NWT – October 2008.</p> <p>HR Data Quality Strategy and Plan being developed for end of 2008-2009 fiscal year. Reports will be scheduled and not ad hoc – more to follow.</p> <p>AES: We will review and close if appropriate.</p> |
| <p>4. For effective decision making, the data quality in PeopleSoft must be complete and accurate throughout the year. Good data quality is critical for the accurate reporting of staffing transactions. It is recognized that HR place great reliance on the work performed by regional staff. Functional responsibilities related to the regional HR roles should be clarified and documented. The organizational model should be enhanced to develop a stronger working relation and provide for greater independence in regards to the responsibilities for this role.</p> | <p>HRB will monitor the integrity of PeopleSoft data using feedback from Public Service Commission, Auditor General and other pertinent audits in order to provide assurance as to data quality and to allow for exception reporting and corrective action on a timely basis.</p> <p>HRB will ensure that quarterly reports produced for central agencies will be completed as per reporting requirements and that recommended actions are completed on a timely basis.</p> | <p align="center">30/04/2008</p> | <p>Status: Implemented (and ongoing)</p> <p>Update/Rationale: As of 30/09/2008:</p> <p>Ongoing PeopleSoft data integrity work in NCR and Regions along with the quarterly reports is increasing the data integrity and accuracy for the Department.</p> <p>A further PeopleSoft Data Quality Strategy and Plan will also be developed for implementation of PeopleSoft nV8.9</p> |

