

**ACTION PLAN IMPLEMENTATION STATUS UPDATE
REPORT TO THE AUDIT COMMITTEE - AS OF SEPTEMBER 30, 2011**

REGIONAL OPERATIONS, CHIEF FINANCIAL OFFICER			
AUDIT OF CAPACITY DEVELOPMENT (200721) AEC APPROVAL DATE: 03/06/2009			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
		2011, which ever comes first	<p>Update/Rationale: As of 31/03/2011:</p> <p>Program outcomes and performance measurement indicators have been completed for the proposed new authority.</p> <p>AES: Fully implemented. The recommendation has been closed.</p>
3. Develop performance measurement plans and supporting data collection regimes (e.g., adjust program guides, applications, and reporting templates to support data collection at the project level).	<p>Develop performance measurement plans and data collection regimes.</p> <p>Gather and document baseline measures and indicators at time of renewal.</p> <p>Develop and implement training on performance measurement and data collection.</p> <p>Adjust applications, recipient reporting as needed to gather data.</p>	At time of program renewal or by March 2011, which ever comes first	<p>Status: Pending Implementation</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- Performance measurement strategy has been developed in consultation with regions and participating capacity programs and will be seeking Evaluation, Performance Measurement and Review committee approval on November 24, 2011.</p> <p>CFO- A performance measurement strategy has been developed. As one of the next steps of the program implementation a data collection strategy will be developed.</p> <p>AES: Implementation on-going.</p>

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<p>4. Undertake a risk assessment with the Region's to determine that each Region's implementation approach ensures the program is delivered as approved; is compliant with the <i>Policy on Transfer Payments</i> and Program Authorities; has effective program management; and mechanisms are in place to monitor and evaluate program performance.</p>	<p>Consistent approaches are required across regions for implementation of national programs. INAC is currently working to ensure standardized approaches for new and renewed programs are implemented across regions in accordance with program design and that have performance measurement and risk management strategies as elements of these.</p>	<p>April 2010</p>	<p>Status: Completed</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- A risk assessment was completed for the proposed Capacity Development Partnerships Program in consultation with regions and participating capacity programs and validated at the corporate level.</p> <p>CFO- An initial risk assessment has been completed for the proposed new authority and this work has been done in consultation with the Regional offices. Risk management strategies will be incorporated in the design of the program.</p> <p>AES: Fully implemented. The recommendation should be closed.</p>
<p>5. Establish a monitoring regime of Regional implementation of programs to confirm that key national elements of the program, including performance measurement, have in fact, been implemented as approved.</p>	<p>The Senior ADM, Regional Operations, in collaboration with the CFO and Program ADM's, will develop and operationalize a Department-wide Quality Management Program for Grants and Contributions. The QMP will be designed to address the specific issues regarding roles and responsibilities of key stakeholders and the promotion of a risk-based approach to compliance reviews.</p>	<p>June 30, 2010</p>	<p>Status: Request to Close, completed.</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- Transfer Payments Management Control framework for Grants and Contributions has been developed and approved.</p>

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	Guidance will be developed regarding acceptable staffing/organizational models for compliance reviews with a view to promoting consistency and appropriate segregation of duties. The QMP will be developed by December 31, 2009 and implemented by June 30, 2010.		<p>AANDC's Quality Management Framework (QMF) was presented to Operations Committee on March 29, 2011. The Quality Management team was asked to return to Operations Committee with examples of how the QMF and its principles have been applied in the department and the improvements that have resulted.</p> <p>CFO- A monitoring regime for Regional implementation of the program will be developed as the proposed new authority is developed and implemented. A Management Control Framework, General Assessment Tool, and Risk Assessment have been developed and are being used by the regions.</p> <p>AES: Significantly implemented. The recommendation will be closed upon finalization of the regional monitoring regime for the new authority. Date not determined.</p>
6. Align agreement templates and associated source documents (e.g., proposals and work plan templates) with requirements of the <i>Directive on Transfer Payments</i> and with Program T&Cs.	<p>Adjust/develop compliant templates including new funding approaches (fixed, flexible, block).</p> <p>Develop and implement training on use of new funding approaches</p> <p>Refer to TB approval documents in annual review of Program specific T&C</p> <p>Adjust proposal /workplan templates to require monthly cash flow forecast by applicants to determine advance</p>	At time of program renewal or by March 2011, which ever comes first	<p>Status:</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>CFO- A policy document is being prepared for the propped new authority and will address alignment of agreements, and the Terms and Conditions. New national funding agreement models are compliant with the TBS <i>Directives on Transfer Payments</i> 2008; and the AANDC <i>Directive on Funding</i></p>

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	<p>requirements</p> <p>Implementation of Quality Assurance reviews (compliance of funding agreements)</p>		<p><i>Approaches.</i> The models include the new funding approaches and program delivery standards and requirements as determined by program sectors according to their program spending authorities. A Directive on Funding Agreement Management has been developed, approved by the CFO and promulgated. The Directive provides direction on the selection and management of national funding agreement models, text deviations, amendments, and notices.</p> <p>National models are reviewed each year to address any changes to laws, regulations, policies, directives and program spending authorities and loaded into FNITP as updated for use by all. A PTP Management 101 training material has been developed and is being offered. It includes information on use of the new funding approaches.</p> <p>AES: Implementation completed.</p>
<p>7. Develop and implement a risk-based approach for monitoring recipients and/or projects for compliance with the funding agreement and the Program T&Cs.</p>	<p>The Senior ADM, Regional Operations, in collaboration with the CFO and Program ADM's, will develop and operationalize a Department-wide Quality Management Program for Grants and Contributions. The QMP will be designed to address the specific issues regarding roles and responsibilities of key stakeholders and the promotion of a risk-based approach to compliance reviews. Guidance will be developed regarding acceptable staffing/organizational models for compliance reviews with a view to promoting consistency and appropriate segregation of duties. The QMP will be developed by</p>	<p>June 30, 2010</p>	<p>Status: Request to close, completed.</p> <p>Update/Rationale: As of 30/09/2011:</p> <p>RO- C'S Quality Management Framework (QMF) was presented to Operations Committee on March 29, 2011. The Quality Management team was asked to return to Operations Committee with examples of how the QMF and its principles have been applied in the department and the improvements that have resulted.</p>

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	December 31, 2009 and implemented by June 30, 2010.		<p>(Note: QMF demonstrated pieces/examples at Operations Committee November 1, 2011.)</p> <p>CFO- A risk based approach for monitoring recipients and compliance with funding agreements is being developed for the proposed new authority. A Management Control Framework, General Assessment Tool, and Risk Assessment have been developed and are being used. The new Recipient Audit Policy contains some information on compliance.</p> <p>AES: Implemented. The recommendation will be closed. Confirmation that the regional monitoring regime is complete as far as it can be before a program authority is in place.</p>