

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

Adjudication Secretariat			
<i>Audit of AANDC and Adjudication Secretariat Support to the Independent Assessment Process</i>			
APPROVAL DATE: 2011/11/25			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>Secretariat Recommendations</p> <p>It is recommended that the Executive Director of the Secretariat:</p> <p>1. Identify and implement a more consistent approach across the Secretariat of the reporting of strategic objectives, key activities, related risks and mitigation to improve the clarity of communication, and efficiencies in reporting and monitoring.</p>	<p>The current practice used to manage risks at IRSAS is of a documented approach that:</p> <ul style="list-style-type: none"> • identifies risks that may prevent IRSAS from achieving its objectives; • assesses existing controls for each identified risk as well as their likelihood and impacts; • develops the best course of action to respond to each risk and acting according to the strategy set out; • monitors and maintaining a risk registry linked to the IRSAS annual business plan; • reports quarterly (noting that consideration is given based on the audience e.g., AANDC corporate level reporting, Treasury Board reporting, and to the Courts overseeing the implementation of the Settlement Agreement). <p>Risk and risk management training is provided to the senior management on a regular basis (last session - in May, 2011)</p> <p>Unit operational (business) plans include potential risks against their key</p>	<p>October 2011</p>	<p>Status: Implemented January 2012</p> <ol style="list-style-type: none"> 1. The IRSAS has a risk management framework that is linked to the IRSAS' seven strategic objectives (as described in the IRSAS Strategic Plan) and their subsequent activities as outlined in the IRSAS business plan. An accompanying risk "registry" or inventory of risks captures details descriptions of each risk and their risk factors including their consequences, controls and mitigation plans. 2. Risk management is identified as a key activity in the IRSAS business plan: Management and staff are aware of key risks to the IRSAS/IAP process and discuss risk as part of their decision-making process. Risk is regularly discussed at senior management meetings. Where risk-based decisions are made, they are captured during quarterly reporting as well as the mitigation plans in place to address these. 3. Risks are monitored regularly as all functions and project leads review their associated risk information at the same time as their quarterly reports are due and updated accordingly. All risks are now reported are updated and consistently in all mandatory reports. <p>AES: Implemented. Closed.</p>

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	<p>activities.</p> <p>Going forward, IRSAS will build on these existing practices and processes to further expand the implementation of risk management by:</p> <ol style="list-style-type: none"> 1. communicating the linkages between its strategic objectives, key activities, risk issues and risk strategies; 2. consistent implementation across the IRSAS; and, 3. developing a more robust reporting mechanism to monitor progress. 		
<p>HR STAFFING ACTIONS</p> <p>3. Should ensure staffing action authorizations are performed in advance.</p>	<p>IRSAS has informed all directors, managers and supervisors that acting requests have to be submitted with sufficient time to allow the processing of the acting start date. If acting is required due to an emergency, an explanation of the situation will be added to the HR file.</p> <p>Corporate Services HR Coordination unit is monitoring the acting requests and will advise the Executive Committee if there are any issues with implementation.</p>	September 2011	<p>Status: Completed September 2011</p> <p>All IRSAS directors, managers and supervisors have been informed that staffing actions are to be submitted with sufficient time to allow the processing of the individual's acting or hiring start dates. The IRSAS, in consultation with AANDC-HR, has implemented rigorous processes to ensure compliance with PSC and PSEA standards for all staffing actions. Processes have been made even more thorough with the introduction of the WMB.</p> <p>AES: Implemented. Closed.</p>
4. Should ensure document retention	IRSAS is reviewing its HR action record		Completed September 2011

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for staffing actions is maintained and available for audit purposes in keeping with expected information management policies.	keeping process and procedures. The process and procedures will be updated to ensure all staffing action documentation is properly filed and readily available.	September 2011	The IRSAS, in consultation with AANDC-HR, has implemented electronic record keeping procedures to ensure proper documentation for all staffing actions. AES: Implemented. Closed.
<p>PROCUREMENT</p> <p>5. Should ensure that the practices of authorizing payments under the Financial Administration Act are consistently applied to all acquisitions and expenditures, including section 32 and pre-audit approval. Pre-audit approval can be improved by using a stamp on invoices, to help ensure the section is completed.</p>	<p>IRSAS launched four (4) Requests for Proposal (RFP) to acquire adjudication services.</p> <p>Section 32 signature was not requested by HQ procurement confirming funds were available prior to the preparation of the contract. Management discovered the situation in the fall of 2010 while carrying out post audits. In response IRSAS prepared a note to file and submitted it to AANDC CFO's office.</p> <p>IRSAS is preparing notes to be added to all the RFP files and will be preparing section 32 commitment approval confirming funds are available for these expenditures.</p> <p>IRSAS will prepare section 32 commitment approval for Crawford</p>	December 2011	<p>Status: December 2011</p> <p>A procurement plan has been developed and updated on monthly basis. IRSAS staff meet on a regular basis with AANDC-Procurement to discuss ongoing or needed strategies. Based on those discussions the proper procurement tool is developed for each specific requirement. The services are provided and expenditure verification (against the procurement tool) occurs after the invoices are provided by the service provided. IRSAS corporate services conducts the pre-audit and payment after section 34 is signed. The IRSAS now uses a stamp that indicates the verification portion, the section 34 position and the pre-audit function. In addition, there is ongoing training to administration units within IRSAS to ensure understanding of procurement requirements.</p> <p>AES: Implemented. Closed.</p>

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	<p>invoices as well.</p> <p>IRSAS is awaiting the arrival of new pre-audit and section 34 approval stamps which will be distributed to employees required to carry out this work. IRSAS will inform employees of the recommendations of the audit and new procedures to follow through emails, reinforced by meeting discussions.</p> <p>The Corporate Services Finance unit will monitor and advise the Executive Committee of the implementation use of the recommended changes.</p>		
6. Should also ensure its calculation of GST/HST is performed accurately.	<p>IRSAS has implemented the use of the templates as per AANDC/CFO directive to calculate the GST and HST for public-service travel and non-public service travel.</p> <p>IRSAS has implemented the GST/HST calculation template as per AANDC directives.</p> <p>The Secretariat will initiate discussions with the CFO to discuss whether their calculation instructions need to be changed.</p>	October 2011	<p>Status: Completed January 2012</p> <p>The taxes applied are based on the province where the services were issued. This is verified to the best of our ability. Taxes are now being verified at AANDC-CFO to ensure the calculations are captured appropriately.</p> <p>AES: Implemented. Closed.</p>
SAO Branch Recommendations	A MOU with the Department of Justice		Status: Request to Close (Completed)

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<p>It is recommended that the Director General of the SAO Branch:</p> <p>2. Consider the SharePoint information sharing initiative should be considered as a means for the SAO Branch to realize efficiency and effective use of resources in support of the IAP. If this is pursued, management should ensure there are adequate training resources and system support for the SharePoint software.</p>	<p>(DoJ) has been drafted and will be signed before November 30, 2011. The MOU allows to 150 AANDC employees to access DoJ's SharePoint by March 31, 2012.</p>	<p>March 2012</p>	<p>Update/Rationale: As of 30/09/2012</p> <p><i>Fully implemented before March 31, 2012. Sharepoint access has been given to SAO RMs and LIAs and is used regularly.</i></p> <p>AES: MOU signed - November 7, 2011. Action plan implemented. Closed.</p>
<p>7. Management should ensure staffing action authorizations are performed in advance.</p>	<p>The SAO DG will remind on a regular basis to managers procedures to ensure proper authorizations are obtained.</p> <p>A roadmap to that effect has been developed by the branch and Corporate HR to help managers to comply.</p> <p>Training to each branch administrative staff should follow.</p>	<p>Every month</p> <p>Roadmap circulated November 2011</p> <p>Training : March 2012</p>	<p>Status: Request to Close (Completed)</p> <p>Update/Rationale: As of 30/09/2012</p> <p>Roadmap circulated on November 1, 2011</p> <p>Training held before March 31, 2011</p> <p>AES: Implemented. Closed.</p>
<p>8. Management should consider</p>	<p>As part of the IAP dashboard, a weekly</p>		<p>Status: Request to Close (Completed)</p>

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<p>implementing a process to identify and escalate decisions that have exceeded the target completion date by a significant amount of time, to help ensure their timely completion.</p>	<p>report is being produced, circulated and reviewed by the Indian Residential Schools Operations Committee. This report shows the number of files in AANDC's inventory that are between, 1 and 30 days, 31 to 50 days, 61 to 100 days and more than 100 days post decision.</p> <p>AANDC has developed a weekly report that identifies IAP files where more than 50 days post decision. It also provides the reasons for the delay that are captured in SADRE. The files where the delay is within Canada's control will be addressed by the post resolution shared services managers and processed.</p> <p>AANDC is also currently developing a report for the post resolution shared services managers which will indicate files where 35 days have elapsed between the Decision Received and RSP generated milestones. This will be a good indicator that a file is at risk of not meeting the 50 or 60 day targets.</p>	<p>December 2011</p>	<p>Update/Rationale: As of 30/09/2012</p> <p>Fully implemented before December 30, 2011. The report is being generated and used to track the aging of the inventory of unpaid decisions as well as performance against service standard for issuing compensation payments.</p> <p>Status: Request to Close (Completed) Update/Rationale: As of 30/09/2012</p> <p>Fully implemented before December 30, 2011. The report is being generated and used to minimize compensation delays within Canada's control.</p> <p>Status: Request to Close (Completed) Update/Rationale: As of 30/09/2012</p> <p>Fully implemented before December 30, 2011. The report is being generated and used to minimize the risk of not meeting the 50 or 60 day targets.</p> <p>AES: Implemented. Closed.</p>