

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

Chief Financial Officer			
<i>Audit of Business Continuity Planning</i> APPROVAL DATE: 20/06/2011			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. Develop a multi-year plan that addresses gaps in the BCP Program and present it to an executive committee for review and approval. The planning process should include a reassessment of the program objectives, establishment of measurable goals and targets, development of fully costed strategies to implement the program, and a reassessment of BCP Program governance.</p>	<p>The Director, ITSD – in collaboration with the DSO – will:</p> <ul style="list-style-type: none"> • Conduct an organizational assessment to determine the best-fit placement of the function, and options for management consideration regarding changes to program governance for improving the effectiveness of the program. Assessment will include capacity options given current state (eg. BCP Coordinator position is currently vacant), and the training requirements associated to BCM-related responsibilities. • Develop a 3 year tactical plan which prioritizes and addresses the identified gaps within the Business Continuity Management (BCM) file commensurate with the risk each gap presents, and present the plan to the Departmental Operations Committee (DOC) for approval. This plan will include: 		<p>PROGRAM RESPONSE: Status: Underway Update/Rationale: As of 31/03/2012:</p> <p>An organizational assessment has been drafted and circulated among key stakeholders within the IMB which identifies that the retention of the program within the IMB as the recommended option for AANDC moving forward. The BCP Coordinator position has been identified as a priority, and a staffing action is nearing completion to have the position re-staffed (AS-5 / deployment).</p> <p>A 3 year tactical plan has been begun, but will not be completed by end of Q4 2011-12. It will be completed in conjunction with other Branch planning exercises through Q1 2012-13.</p> <p>Expected return to OC in mid-to-late Q2 with recommendations of the file moving forward based on strategies developed in the tactical plan.</p>

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	<ul style="list-style-type: none"> i. Establishment of measureable goals/targets ii. Development of fully costed strategies and options for DOC consideration (human resources, systems, etc) <p>Actions</p> <ul style="list-style-type: none"> • Draft of organizational assessment for circulation and comments 	End Q2, 2011-12	<p>PROGRAM RESPONSE: Status: Underway Update/Rationale: As of 31/03/2012:</p> <p>An organizational assessment has been drafted and circulated among key stakeholders within the IMB which identifies that the retention of the program within the IMB as the recommended option for AANDC moving forward. The BCP Coordinator position has been identified as a priority, and a staffing action is nearing completion to have the position re-staffed (AS-5 / deployment).</p>
	<ul style="list-style-type: none"> • Draft of tactical plan for circulation and comments 	Mid Q3, 2011-12	<p>PROGRAM RESPONSE: Status: Underway Update/Rationale: As of 31/03/2012:</p> <p>A 3 year tactical plan has been begun, but</p>

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	<ul style="list-style-type: none"> • Presentation of organizational assessment and tactical plan including viable options to DOC 	End Q3, 2011-12	<p>will not be completed by end of Q4 2011-12. It will be completed in conjunction with other Branch planning exercises through Q1 2012-13.</p> <p>PROGRAM RESPONSE: Status: Underway Update/Rationale: As of 31/03/2012:</p> <p>Expected return to OC in mid-to-late Q2 with recommendations of the file moving forward based on strategies developed in the tactical plan.</p> <p>AES: Closed.</p>
2. Revise the AANDC BCM Policy to ensure that roles and responsibilities for directing and reporting on the BCP Program are clear.	<p>The Director, ITSD – in collaboration with the DSO – will:</p> <ul style="list-style-type: none"> • Consult with key stakeholders, including but not limited to: the three (3) Critical Service program areas, a sample of Critical Support Service program areas and Regions, Communications, and Public Safety Canada to refresh roles 		<p>Status: Request to Close</p> <p>Update/Rationale: As of 31/12/2012:</p> <p>Draft revision completed. AANDC BCM directive will now point to the TBS BCP Standard with annexes of departmental specific requirements.</p> <p>BCP communications plan completed and signed</p>

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	<p>and responsibilities pertaining to BCM.</p> <ul style="list-style-type: none"> Update the BCM Policy to reflect: updated roles and responsibilities, mandatory seniority level of BCM representation in Regions and Sectors, and input from organizational assessment (Item #1 above), including the more explicit definition of the BCP Coordinator's challenge function identified within Item #3. <p><u>Actions</u></p> <ul style="list-style-type: none"> Begin consultations with key stakeholders <ul style="list-style-type: none"> Updated BCM policy presented to DOC for approval 	<p>Mid Q2, 2011-12</p> <p>Mid Q4, 2011-12</p>	<p>off by the Deputy Minister.</p> <p>Status: Request to Close (Completed)</p> <p>Update/Rationale: As of 31/12/2012: Consultation with key stakeholders occurred but consultation will continue with Public Safety as the BCM policy instrument is still not ready to be published.</p> <p>Status: Underway</p> <p>Update/Rationale: As of 31/12/2012: To be scheduled for upcoming DOC.</p> <p>AES: Closed.</p>

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<p>3. Ensure that the Departmental BCP Coordinator plays a more active role in advising and challenging managers of critical services and critical support services throughout the process of developing, testing and updating BIAs and BCPs.</p>	<p>Director, ITSD – in collaboration with the DSO – will:</p> <ul style="list-style-type: none"> • Working with Communications, develop a communication plan to ensure that the authority of the new BCP Coordinator is readily shared with all stakeholders in the department. Emphasis will be placed on the advisory services provided by the BCP Coordinator. • Implement operationalized processes based on new BCM policy similar to IT Security Certification and Accreditation process (CIO, DSO, and DG of responsible program area will need to formally sign off on yearly BIA/BCP updates) for existing Critical Services and Critical Support Services. This process will include a provision by which the CIO and DSO will not endorse the signoff of BIA/BCP without appropriate endorsement by 		<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 30/09/2012: A Communications Plan has been updated by the Communications Branch in consultation with the Information Management Branch. The plan should be ready for approval in Q3.</p>

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	<p>BCP Coordinator.</p> <ul style="list-style-type: none"> Other actions as necessary will be developed and implemented, based on direction set by DOC as related to organizational assessment and tactical plan options outlined in Item #1. <p><u>Actions</u></p> <ul style="list-style-type: none"> Communication Plan developed Updated BIA/BCP sign off process designed and developed, presented in conjunction with BCM refreshed policy to DOC. 	<p>End Q3, 2011-12</p> <p>Mid Q4, 2011-12</p>	<p><u>Actions</u></p> <p>1) PROGRAM RESPONSE: Status: Request to close (completed)</p> <p>Update/Rationale: As of 09/11/2012: A Communications Plan has been updated by the Communications Branch in consultation with the Information Management Branch. The plan should be ready for approval in Q3.</p> <p>2) PROGRAM RESPONSE: Status: Request to Close (completed) Update/Rationale: As of 09/11/2012:</p> <p>New endorsement process has been developed for updating and recording progress of BIA/BCP updates on an annual basis, with initial focus on Level 1 and Level 2 services. This process has been</p>

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			<p>initially shared with the Regional/Sector BCP Coordinators and has been approved by the OC (March 2012). Consultation with the DSO was done to ensure alignment, and to help inform the Departmental Security Plan update process in future years. The process will be updated as necessary for the next cycle, as lessons learned are recorded and addressed.</p> <p>AES: Implemented. Closed.</p>
<p>4. Develop a formal training and awareness program for BCP Coordinators and managers of critical services (and critical support services). The level of formal training should consider the extent to which the Departmental BCP Coordinator also provides advice and hands-on support throughout the process of developing and testing BIAs and BCPs.</p>	<p>Director, ITSD – in collaboration with the DSO – will:</p> <ul style="list-style-type: none"> • Consult with Public Safety to determine if new training and awareness products are available for use by client departments. • Review existing BCM-related material available to the department (such as the Institute for Continuity Management or the Canada School of Public Service) and establish baseline mandatory 		<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>PowerPoint presentations have been developed which identify the required steps for completing Business Impact Assessments and Business Continuity Plans. A dedicated Business Continuity Planning Coordinator has been staffed to provide support beyond the contents of the produced material.</p>

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	<p>and/or recommended training for BCM-related roles, in consideration of DOC guidance provided regarding Item #1.</p> <ul style="list-style-type: none"> Other actions as necessary will be developed and implemented, based on direction set by DOC as related to organizational assessment and tactical plan options outlined in Item #1. <p><i>Note: AANDC's BCP Awareness/Training approach was approved by Public Safety during H1N1 – ie. providing templates and being available for consultation on an "as needed basis". However, we do agree with the audit results that a more comprehensive approach, particularly for Critical Services and Critical Support Services would continue to mature the BCM function and increase the effectiveness of BCP-efforts.</i></p> <p>Actions</p> <ul style="list-style-type: none"> Consultation with Public Safety 	End Q1, 2011-12	<p><u>Actions</u></p> <p>1) PROGRAM RESPONSE: Status: Request to Close (completed) Update/Rationale: As of 09/11/2012:</p> <p>Please see previous rationale; no material exists for adoption by Public Safety Canada.</p> <p>2) PROGRAM RESPONSE: Status: Request to Close (completed) Update/Rationale: As of 09/11/2012:</p> <p>PowerPoint presentations have been developed which identify the required steps for completing Business Impact Assessments and Business Continuity Plans. A dedicated Business Continuity Planning Coordinator has been staffed to provide support beyond the contents of the produced material.</p> <p>3) PROGRAM RESPONSE:</p>

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	<ul style="list-style-type: none"> Formalize training material for managers of Critical Services and Critical Support Services Integrate training coverage as part of reporting process implemented for Item #5. 	<p>Beginning Q4, 2011-12</p> <p>Beginning Q4, 2011-12</p>	<p>Status: Request to Close (completed) Update/Rationale: As of 09/11/2012:</p> <p>PowerPoint presentations have been developed which identify the required steps for completing Business Impact Assessments and Business Continuity Plans. A dedicated Business Continuity Planning Coordinator has been staffed to provide support beyond the contents of the produced material.</p> <p>AES: Substantially implemented. Closed.</p>
<p>5. Improve monitoring and reporting of the effectiveness of the BCP Program in regions and sectors to support continuous improvement and oversight (e.g., semi-annual reporting to an executive committee on the state of the BCP Program, including significant program gaps, resolution rates for issues identified through BCP testing and disruptions,</p>	<p>Director, ITSD – in collaboration with the DSO – will:</p> <ul style="list-style-type: none"> Build upon the policy update (Item #2) and operationalized process development (Item #3) to ensure that biannual updates are provided across Regions and Sectors which are signed off at a sufficiently senior 		<p>Status: Request to Close (Completed)</p> <p>Update/Rationale: As of 31/12/2012:</p> <p>Draft policy instrument update has strengthened language around roles and responsibilities for RDGs & ADMs and sector/regional BCP coordinators. Call letter sent to RDGs and ADMs from the office of the CFO in Q1 to request the review of all BIAs and BCPs. Updates with sectors and regions currently underway.</p>

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<p>completion rates for various levels of BCP testing, completion rates for BCP training, etc.).</p>	<p>level (DG or above), including training coverage.</p> <ul style="list-style-type: none"> • Develop a “scorecard” for Critical Services and Critical Support Services (NCR and Regionally) and provide to responsible DGs on a biannual basis, which considers: <ul style="list-style-type: none"> ○ Existing BCM gaps – BIA/BCP completion rates and completeness of plans ○ Status of testing (exercises) ○ Post mortems (both testing and post-events) <p>Actions</p> <ul style="list-style-type: none"> • Pilot Critical Service is identified, with review in Q1 2012 	<p>Mid Q4 , 2011-12</p>	<p>The development of the Critical Service Scorecard is completed. Once critical services coordinators have completed yearly reviews and updates, score carding will be applied.</p> <p>Status: Underway</p> <p>Update/Rationale: As of 31/12/2012: Once critical services coordinators have completed yearly reviews, score carding will be applied.</p> <p>Status: Underway</p>

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	<ul style="list-style-type: none"> Rollout to remaining Critical Services and Critical Support Services throughout 2012 	FY 2012	<p>Update/Rationale: As of 31/12/2012: Once critical services coordinators have completed yearly reviews, score carding will be applied.</p>
	<ul style="list-style-type: none"> Aggregation of scorecards presented to DOC biannually, beginning in early 2012. 	FY 2012	<p>Status: Underway</p> <p>Update/Rationale: As of 31/12/2012: Once critical services coordinators have completed yearly reviews, score carding will be applied.</p> <p>AES: Closed</p>