

**ACTION PLAN IMPLEMENTATION STATUS UPDATE  
REPORT TO THE AUDIT COMMITTEE  
AS OF DECEMBER 31, 2014**

*Audit of AANDC Support to the Independent Assessment Process*

**APPROVAL DATE: 27/11/2014**

PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The audit recommends the Assistant Deputy Minister of the Resolution and Individual Affairs Sector implement a formal risk management framework for the Settlement Agreement Operations Branch. This could be integrated into the annual Settlement Agreement Operations planning process to identify, assess and monitor the most significant risks that may preclude or limit the achievement of effective support of the Independent Assessment Process.</p>	<p>The Resolution and Individual Affairs Sector will develop and implement a formal risk management framework for the Settlement Agreement Operations Branch as it relates to the Independent Assessment Process by March 31, 2015. The Strategic Integrated Management and Accountability Branch and the Settlement Agreement Operations Branch will co-lead this process with support from the Policy and Strategic Direction Sector.</p>	<p>March 2015</p>	
<p>2. The audit recommends the Assistant Deputy Minister of the Resolution and Individual Affairs Sector leverage the results of the “value stream mapping” process in order to find opportunities to harmonize IAP processes and procedures between groups within the Settlement Agreement Operations Branch, including</p>	<p>The Settlement Agreement Operations Branch received a detailed report on September 18, 2014 outlining the findings of the “value stream mapping” process exercise. The report was translated and shared with all Resolution East and West staff. The Branch will identify all adaptive measures to the Assistant Deputy Minister by December 31, 2014 with measures</p>	<p>March 2015</p>	

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the identification of best practices which should be implemented consistently across Settlement Agreement Operations.	to be implemented by the Branch by March 31, 2015.		
3. The audit recommends the Executive Director of the Indian Residential Schools Adjudication Secretariat continue to evolve the risk management process through the provision of risk management training, and include formal risk identification and assessment processes at the unit level. This can be effectively integrated with the annual planning process to allocate resources, monitored to regularly respond to changes in risks, and used to support decision making.	<p>As noted in the audit findings, the IRSAS has improved its' risk management process since the previous audit. The current system involves participation of unit managers, allowing for the risk identification across the organization, as well as the roll up and drill down of risk analysis and mitigation. This process provides for a complete listing of risks by risk type, which are then validated and approved by the IRSAS Executive Team, and posted on the intranet for staff's knowledge and reference.</p> <p>As recommended in the audit, the IRSAS will continue to further evolve our risk management process. Risk management training will be provided to unit managers during the 3<sup>rd</sup> Quarter of 2014-15. This will include a tool for unit managers to</p>	December 2014	<p><b>Status:</b> This action has been met.</p> <p><b>Update/Rationale:</b> <b>As of 31/12/2014:</b></p> <p>Before convening our work on updating the Risk Profile for 2015-16, we asked each manager to dedicate time to discuss risk with their individual units. More specifically, we wanted to give all Adjudication Secretariat staff the opportunity tell us what they think the risks are, now and over the coming year, that may have an effect on our seven risks areas.</p> <p>In order to facilitate their discussions, we provided each manager with a brief presentation with speaking points on risk management at the Adjudication Secretariat as well as the 2014-15 risk descriptions to achieving our. Managers used this presentation (along with a pictorial) as a tool to discuss and analyze risk to the Adjudication Secretariat with their staff before the risk</p>

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	<p>allow them to lead risk management discussions with their staff towards a consistent mechanism across the IRSAS for risk management of all activities. This information will be utilized as enhance risk assessment during the annual planning process.</p>		<p>sessions that were scheduled for December, 2014.</p> <p><b>AES: Implementation complete. Recommendation to close. Closed.</b></p>
<p>4. The audit recommends that the Director General of HRWSB, Executive Director of IRSAS, and Assistant Deputy Minister of RIA negotiate and implement a formal agreement, such as a Memorandum of Understanding, with regard to HR support services provided by HRWSB. This agreement would clarify the roles and responsibilities and service standards that govern HR staffing, and clarify IAP specific staffing flexibilities.</p>	<p>IRSAS and RIA agree with the recommendation and will collaborate with HRWSB to implement a Memorandum of Understanding (MOU) to confirm the roles, dedicated human resource supports, service standards and to set clear expectations regarding human resource management moving forward.</p> <p>HRWSB, RIA and IRSAS will each identify a lead representative to collaborate on the terms of a MOU to be implemented by March 31, 2015.</p>	<p>March 2015</p>	