

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

NORTHWEST TERRITORIES REGION			
<i>Management Practices Audit of Northwest Territories</i>			
APPROVAL DATE: 02/23/12			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Regional Director General (RDG) of the Northwest Territories Region should ensure that the minutes of the key committees of the Region represent an accurate reflection of the committee discussions and that, where appropriate, decisions, recommendations and approvals made are fully documented in order to provide for an effective audit trail and demonstration of transparency and accountability.</p>	<p>The NT Region will be updating the Terms of Reference for each regional committee included in the NT Region Governance Policy. The RDG has already charged the Director, Policy and Planning, and the Senior Advisor with this function.</p> <p>The members of REC do approve documents and recommendations but not necessarily through REC. In fact, many of the associated discussions and decisions take place through other forums which the members participate in.</p>	<p>February 2012</p>	<p>Status: Underway</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>After appointment of a new RDG, A new Governance Policy has been drafted outlining committee structures. The RDG and the Senior Management will implement any necessary changes.</p> <p>A secretariat Unit will be in charge of taking the minutes during the meetings and follow up on action items.</p> <p>AES: Action item fully implemented. Closed.</p>
<p>2. The Regional Director General (RDG) of the Northwest Territories Region should ensure that the delegated signing authorities for the approval of travel expenses within the Region are</p>	<p>The Corporate Services directorate will work specifically with the directorate referred to in the audit to review the exceptions follow up as required.</p> <p>During FY 2012/13, Corporate Services in conjunction with</p>	<p>September 2012</p>	<p>Status: Action is fully implemented. To be closed.</p> <p>The Corporate Services directorate provided refresher training to the employees of the directorate referred in</p>

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understood and correctly applied and that the process for compiling sample signatures is understood and actively maintained by all individuals charged with such delegated authority.	Human Resources and Leadership will develop ongoing orientation and refresher sessions regarding delegated authority. This will occur before the end of September 2012.		<p>the audit.</p> <p>The ongoing orientation and refresher sessions on delegated authority is developed and one session per year is offered to the managers.</p> <p>AES: Action is fully implemented. Closed.</p>
3. The Regional Director General (RDG) of the Northwest Territories Region should ensure that the performance measurement framework that is currently being developed is finalized for March 31, 2012 in order that it may be implemented during 2012-2013 as the basis for measuring, monitoring and reporting on the Region's performance against a range of key indicators.	The Performance Measurement Framework will be presented to the Governance Committee, Regional Executive Committee and RDG for approval in early March. The implementation phase will follow in April 2012. A performance framework had been previously drafted; however, implementation was delayed as the NCR required changes to the planning and reporting schedules.	April 2012	<p>Status: Action is fully implemented. To be closed</p> <p>Update/Rationale: As of 31/12/2012:</p> <p>With major initiatives happening in the Department (Deficit Reduction Action Plan, Workforce Management Adjustments and devolution) the region continues to measure its progress through quarterly reporting and the audit and evaluation processes.</p> <p>AES: Implementation Ongoing.</p>

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4. The Regional Director General (RDG) of the Northwest Territories Region should ensure that a year-end review is undertaken of the directorate business plans in order to ensure that activities and objectives were achieved as stated and to identify areas for improvement and lessons learned for incorporation into subsequent planning activities.	The NT Region is planning to restart the Managers Spring Meeting during which managers will present their retrospective comparison of their division's past fiscal year business plan and activities. In addition to managers identifying key areas and lessons learned, senior management will discuss current fiscal year operational priorities and business planning activities.	May 2012	<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>Spring Managers Meeting held in May 2012 and will occur at every year end. It is a time for Managers to present the results of the past fiscal year business plan and activities. It is also a time to discuss next fiscal year priorities.</p> <p>AES: Action item fully implemented. Closed.</p>
5. The Regional Director General (RDG) of the Northwest Territories Region should ensure that the risk framework for the Region is finalized and approved, which supports the creation of an updated risk profile for the	<p>The NT Region is using the NAO Risk profile, which was developed with the information and input from the region.</p> <p>The regional framework illustrates the governance structure and active process of identifying, assessing and monitoring</p>	June 2012	<p>Status: Action is fully implemented. To be closed</p> <p>Update/Rationale: As of 31/12/2012:</p> <p>The NAO risk Profile is used for business planning cycle, quarterly reporting and for</p>

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Region. Departmental corporate risk management expertise should be leveraged where relevant and practical in order to develop a formal and documented approach to risk management, including an ongoing process and governance structure for identifying, assessing and monitoring risk mitigation actions.	implemented risk mitigation.		<p>program and service delivery.</p> <p>In mid-October a mid-year review and planning forum was held and managers discussed the NAO risk profile in relation to their work priorities.</p> <p>The Region is a participant to the Risk Management Community of Practice group.</p> <p>We are currently using the NAO Risk profile to assess the regional risks and we are monitoring through the business planning and quarterly reporting processes.</p> <p>AES: Action implemented. Closed.</p>
6. The Regional Director General (RDG) of the Northwest Territories Region should continue to collaborate with other AANDC regions and sectors to define external client services offered by AANDC and	The RDG sits on the National Standards Excellence Committee and we continue to work with NCR and other regions on a number of national initiatives such as, the Secure Certificate of Indian Status (SCIS) and the implementation of the new Policy on	April 2012	<p>Status: Request to close (completed)</p> <p>Update/Rationale: As of 30/09/2012:</p> <p>Indian and Inuit Services, NWT Region has been participating in bi-monthly Funding Services teleconferences with other</p>

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<p>develop performance targets for the delivery of these services as part of ongoing management and monitoring of these standards.</p>	<p>Transfer Payments to improve our client service performance.</p>		<p>regions and has taken steps this year to develop a more efficient Grants & Contributions General Assessment process for Bands and Tribal Councils. I&IS staff also accessed further training from NAO-HQ to improve error-rates in SCIS-related documentation submissions. Most recently, NWT region is being consulted along with other regions on another initiative to improve external client services in the establishment of a new Secure Integrated Registration and Certification Unit (SIRCU) in Ottawa that will meld Indian Registration and the Secure Card of Indian Status (SCIS) into one unit.</p> <p>AES: Action item fully implemented. Closed.</p>