

**ACTION PLAN IMPLEMENTATION STATUS UPDATE  
REPORT TO THE AUDIT COMMITTEE  
AS OF JUNE 30, 2014**

<b>Regional Operations</b>			
<i>Management Practices Audit: Regional Operations</i>			
<b>APPROVAL DATE: 04-26-2013</b>			
<b>PROJECT RECOMMENDATIONS</b>	<b>ACTION PLAN</b>	<b>EXPECTED COMPLETION DATE</b>	<b>PROGRAM RESPONSE</b>
<p>1. The Senior Assistant Deputy Minister, Regional Operations should ensure that the responsibilities and accountabilities of the Planning and Business Integration Directorate are clearly defined and communicated within the Sector and across the Department.</p>	<p>The sector has commenced activities which support the recommendation such as the recent re-organization within the Planning and Business Integration Directorate and the creation of the Sector Operations Branch.</p> <p>Additional activities planned/ underway: Revise Director, Business Planning and Implementation work description.</p> <p>Revise/communicate the mandate and roles &amp; responsibilities of the Directorate.</p>	<p>Fall 2013</p>	<p><b>Status: Request to Close</b></p> <p><b>Update/Rationale:</b> <b>As of 31/12/2013:</b></p> <p><b>Work Description for the Director of the Business Planning and Implementation has been completed.</b></p> <p><b>Branch meeting was held on September 27, 2013 where the mandate and priorities of all three directorates and the overall branch was communicated. A summary report with finding from an engagement exercises was drafted. Action items were prioritized and necessary follow-up activities were identified.</b></p> <p><b>AES: Implemented. The recommendation will be closed. Closed.</b></p>
<p>2. The Senior Assistant Deputy Minister, Regional Operations should assess how internal communication and feedback mechanisms are managed and practiced to identify specific opportunities for improvements to</p>	<p>The RO management team will develop a list of opportunities which would improve timely, two-way communication within the Sector.</p>	<p>October 2013</p>	<p><b>Status: Request to close</b></p> <p><b>Update/Rationale:</b> <b>As of 31/12/2013:</b></p> <p><b>Management has identified opportunities to improve timely two-way communications with the sector. Several of these have already been implemented including DGs walk around, SADM</b></p>

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timely, two-way communication within the Sector.			<p>speaking on sector events, informal social events (potluck for holidays, GCWCC event), email communication from the DG to teams, Regional Planners face to face, increased use of collaboration to share documents</p> <p>In addition longer terms strategies have been discussed and will be implemented by the management group.</p> <p>AES: Implemented. The recommendation will be closed. Closed.</p>
3.The Senior Assistant Deputy Minister, Regional Operations should work in collaboration with the Policy and Strategic Direction and Chief Financial Officer Sectors to ensure that processes and procedures supporting the development/revision of policies and the design of programs within the Sector are documented and consistent with departmental approaches.	<p>Regional Operations will partner with PSD and CFO to ensure that departmental processes and procedures are communicated to relevant staff and that departmental tools are accessible to employees.</p> <p>Regional Operations will develop and communicate internal processes which ensure that documentation supporting the development/revision of policies and program designed are tracked, documented and</p>	<p>November 2013</p> <p>March 2014</p>	<p><b>Status: Ongoing Update/Rationale:</b> <b>As of 30/06/2014:</b> Departmental procedures for supporting the development / revision of policies and programs, including the process for bringing such information forward to Departmental Committees, are undergoing revision in light of this recommendation.</p> <p>Recommendations 1 and 2 within the Audit of the Management Control Framework for Grants and Contributions 2013-14 speak to similar issues.</p>

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	accessible.		<p>It will be important that responding to both sets of recommendations occur in collaboration, and that any resulting changes are internally consistent.</p> <p>When complete, these procedures will be approved by AANDC Senior Committees. Once approved, they will be shared with all RO staff.</p> <p><b>AES: The recommendation will be closed. Implementation of recommendations 1 and 2 from the Audit of the Management Control Framework for Grants and Contributions 2013-14 will ensure this recommendation is addressed. Closed.</b></p>
4. The Senior Assistant Deputy Minister, Regional Operations should formally document the Sector's governance structure and formalize the role of any oversight body through documented Terms of Reference(s) that articulate its mandate, authority, responsibility, accountability and operating	The Sector is implementing a Management Board Structure which aims at establishing a collective decision making process, which will include all DGs reporting to the Senior Assistant Deputy Minister RO. The following are activities which will be developed:	October 2013	<p><b>Status:</b> <i>Request to Close</i></p> <p><b>Update/Rationale:</b> <b>As of 31/12/2013:</b> RO has developed the RO Management Structure (to keep the name RO-SMC)</p> <ol style="list-style-type: none"> <li>1. The TORs, membership, mandate and roles and responsibilities have been developed.</li> <li>2. A calendar has been developed that illustrates specific recurrent activities.</li> <li>3. The workplan has been drafted that outlines</li> </ol>

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principles. Once completed, the governance structure and the roles and responsibilities of any oversight body should be communicated across the Sector.	<p>1- Terms of Reference, defining membership, mandate, roles and responsibilities.</p> <p>2- Management Operations Calendar for specific recurrent activities such as: HR /Financial Planning, Corporate Planning and Reporting and Corporate Call-Outs.</p> <p>3-Development of a Management Board workplan that will identify management priorities and action items with leads, deliverables and deadlines.</p>		<p>priorities and action items with leads, deliverables and deadlines.</p> <p>All material will be presented at the January 15 – 16 RO SMC meeting for endorsement.</p> <p><b>AES: Implemented. The recommendation will be closed. Closed.</b></p>
5. The Senior Assistant Deputy Minister, Regional Operations should consider developing formal strategic directions and objectives that reflect the Sector's unique dual mandate of operational delivery and policy development/program design. In light of the Sector's dynamic environment, it will be necessary to enforce regular re-assessment of strategic directions and	The sector is developing an integrated corporate business plan which would incorporate and support the delivery of program level objectives which would support the advancement of departmental strategic objectives.	March 2014	<p><b>Status:</b> Request to close</p> <p><b>Update/Rationale:</b> <b>As of 31/03/2014:</b></p> <p>Regional Operations (both HQ and Regions) has developed the 2014-2015 Integrated Business Plan: A National Overview, in collaboration with Policy and Strategic Direction (PSD), Education and Social Development Programs and Partnership Sector (ESDPP), Lands and Economic Development Sector (LED). The purpose of the National Overview is to roll-up regional and HQ information to provide a national performance account of how well RO is</p>

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<p>objectives and ensure that alignment with operational objectives is maintained.</p>			<p>responding to key issues impacting Aboriginal people and communities. In order to tell its strategic story, RO has identified and approved 6 key priority that reflect areas we would like to highlight and track, under which 20 key planning commitments will be monitored. The National Overview also focuses on how RO supports transformative initiatives that are cross-cutting, and provides a strategic document for discussion and decision making at senior management tables.</p> <p>In addition, Regional Operations has initiated a five year strategic planning process guided by ROSMC. The five year strategic plan will also help to <b><i>unite the sector</i></b> to work together on common priority goals, set the priorities of our work, align our resources behind these priorities, and help to coordinate internal planning and management, articulate and <b><i>communicate our vision</i></b> to staff, partners and stakeholders, build on existing plans, but focus on innovative, strategic visioning exercises to establish where we want to be as a Sector in five years and engage both staff and senior management throughout the process.</p> <p><b>AES: Implemented. The recommendation will be closed. Closed.</b></p>