

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

| <b>MANITOBA REGION</b>  |   |                                 |  |
|---|---|---------------------------------|--|
| <i>Management Practices Audit of the Manitoba Region</i><br><b>APPROVAL DATE: 20/06/2011</b>  |   |                                 |  |
| <b>PROJECT RECOMMENDATIONS</b>  | <b>ACTION PLAN</b>  | <b>EXPECTED COMPLETION DATE</b> | <b>PROGRAM RESPONSE</b>  |
| <p>1. The Regional Director General of the Manitoba Region should collaborate with Headquarters to define external client services offered by AANDC and develop performance targets for the delivery of these services as part of ongoing management and monitoring of these standards. To ensure a consistent, national approach is adopted, standards, performance expectations and monitoring requirements should be formally communicated by Headquarters to all regions.</p> | <p>RO Headquarters will work with other sectors and regions to develop departmental approaches to service management that are consistent with Treasury Board Secretariat guidance. These approaches include appropriate governance and management oversight, identifying services that the department offers, setting appropriate service standards and monitoring regimes, and clarifying roles and responsibilities. The Regional Directors General will work closely with HQ and other Regions to assist with the development of national approaches. Work is underway. Initial discussions have taken place at DGIOC (April 11, 2011).</p> <p><b>Actions:</b><br/>Programs with existing service standards:</p> <p>Formalize existing service standards in a document</p> | <p>September 2011</p>           | <p><b>Manitoba Update:</b></p> <p><b>Status:</b> Pending Implementation</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>Region is adopting national standards.</p> <p><b>RO Update:</b><br/><b>Status:</b> Underway</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b></p> <p><b>The Regional Operations Sector, Operations and Planning Supports Directorate has taken the lead in Service Standard Management within AANDC.</b></p> <p><b>Over the past year the following activities have occurred in response to the MPR / MAF Action Items:</b></p> <ul style="list-style-type: none"> <li><b>The Service Management Strategy has been developed and presented to OPS in the Fall of 2011. The 2012-2013 Strategy has been drafted and is anticipated to be</b></li> </ul> |

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|  | <p>Programs without service standards:</p> <p>Direct services</p> <p>Grants and Contributions</p> <p>Internal Services</p> | <p>March 2012</p> <p>March 2012</p> <p>June 2012</p> | <p>presented to OPS Ctte in the Spring of 2012.</p> <ul style="list-style-type: none"> <li>• The Service Inventory List for External Clients was developed and presented to OPS Ctte and Treasury Board in the Fall of 2011.</li> <li>• The Service Standard Governance Framework was drafted and presented to OPS in June 2011.</li> <li>• The Service Excellence Working Group was established with focus to provide departmental service management oversight and support to DGIOC and OPS Ctte on Service Standard activities.</li> <li>• The working group has initiated discussion and consultation with sectors to and identify new services which will be reviewed /assessed by risk and importance.</li> <li>• Service Standards for Grants and Contributions were developed and presented to OPS Ctte and approval is anticipated in Q1 2012-2013.</li> <li>• RO Sector, OPS Directorate focus on internal services have been on internal services which directly</li> </ul> |

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|   |   |                                 | <p>impact the delivery of external services. RO will be working with the Working Group and Sr. Management to further confirm workplan activities for internal services outside of current plan.</p> <p><b>AES: Implementation is ongoing.</b></p>   |
| <p>2. The Regional Director General of the Manitoba Region should collaborate with Headquarters to ensure Human Resource Plans and regional Business Plans are integrated and provide details on anticipated human resource requirements and its impact on financial resources. Headquarters should communicate the approach to all regions and sectors to ensure a consistent, national approach to regional planning.</p> | <p>As articulated in the 2011-14 Corporate Business Plan, the department will work at improving integrated planning and resource alignment by establishing principles and processes (including schedule and calendar) for integrated planning and consult with internal partners (HR, CFO, AES)</p> | <p>March 2012</p>               | <p><b>Status:</b> Underway</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>Region is working with HQ on the 2012-2013 regional business plan. Planning Unit participates in the Integrated Planning and Reporting teleconference calls.</p> <p><b>AES: Recommendation is closed.</b></p> |

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| <p>3. The Regional Director General of the Manitoba Region should formalize and document the process of linking staffing actions to the three-year Strategic Staffing Plan.</p> | <p>As this is a consistent observation for regional participants in the 2010-2011 Management Practices Review, the region is waiting for a recommendation(s) from Regional Operations Sector to ensure national consistency before implementing this recommendation.</p> <p>The issue of linking staffing plans to the three year Strategic Staffing Plan was discussed at the Regional Operations Sector – Human Resources Directors Community of Practice meeting in the week of March 21, 2011. There was no clear determination on the appropriate course of action and options are still being explored.</p> <p><b><u>Actions:</u></b><br/>Issue discussed at national meeting end of Q4 2010-2011.</p> <p>Options explored Q1 of 2011-2012 with target for recommendations by Q2.</p> | <p>Q2 – 2011-12</p>      | <p><b>Status:</b> Pending Implementation</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>Issue discussed at national meeting end of Q4 2010-2011.</p> <p>It was determined during Q2 that ROS did not require a three year staffing plan but would continue in 2011-2012 with the current practice of annual human resource plans.</p> <p><b>AES: Recommendation is closed.</b></p> |

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| <p>4. The Regional Director General of the Manitoba Region should ensure that supporting control documentation is retained in staffing files for audit and file continuity purposes.</p> | <p>The Manitoba Region had implemented an ongoing practice of ensuring staffing check-lists were adhered to and appropriate follow-up was generated as required. However, outstanding documentation requirements remained in some files audited. Manitoba Region will implement a new process to ensure that a file review of complete documentation is conducted by HR once a process is complete but prior to the issuance of a letter of offer. The HR Director and the responsible program Director will then sign approval of complete file documentation on the file prior to the letter of offer being issued. As well, individual directors will be notified of outstanding documentation requirements for incomplete files identified in the audit and corrective action undertaken. The Manitoba Region will implement a quarterly sample review of staffing files to validate the effectiveness of the new process and</p> |                                 | <p><b>Status:</b> Request to Close (completed)</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>New sign-off process implemented in Q1 2011-12. Corrective action of identified incomplete files in audit process was completed in Q2.</p> <p>First quarterly sample of staffing files completed under new process conducted In Q3.</p> <p><b>AES: Fully implemented.<br/>Recommendation is closed.</b></p> |

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|   | <p>that documentation is complete.</p> <p><b>Actions:</b><br/>New sign-off process to be implemented</p> <p>Corrective action of identified incomplete files in audit process has begun with completion by end of Q1 June 30<sup>th</sup>.</p> <p>First quarterly sample of staffing files completed under new process will be conducted In Q2.</p>   | <p>Q1 – May 2011</p> <p>Q1 – June 30, 2011</p> <p>Q2, 2011-12</p> |   |
| <p>5. The Regional Director General of the Manitoba Region should have all statements of merit signed by the supervisor for each staffing action to confirm that the statement of merit is still valid.</p> | <p>The Manitoba Region will implement the practice of ensuring that all Statement of Merit Criteria are signed by the Delegated Staffing Manager at the onset of each new staffing process (not each and every appointment).</p> <p>It is the opinion of the region that when the Delegated Staffing Manager authorizes subsequent appointments from a valid pool process a re-certification of the</p> | <p>Q1 – May 2011</p>  | <p><b>Status:</b> Request to Close (completed)</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>Implemented in Q1</p> |

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|   | <p>SOMC would not be required.</p> <p>The requirement of the signed SOMC will be included in the required document review outlined in Item #4 to ensure the practice is consistently followed.</p> <p>HR will communicate this requirement to the Regional Executive Team and to the Managers' Committee.</p>   |                                 | <p><b>AES: Fully implemented.<br/>Recommendation is closed.</b></p>  |
| <p>6. The Regional Director General of the Manitoba Region should analyze staffing actions, trends, and review the hiring process on a regular basis.</p> | <p>Front-end consultation between HR and delegated staffing managers of staffing activities and options is conducted on a consistent and ongoing basis. This consultation includes an analysis and review of staffing trends.</p> <p>In addition to the current practice, quarterly reports and dashboards will be generated to the Regional Executive Team and to the Managers Committee with respect to use of casual, terms, actings over 4, actings over 12, etc.</p> |                                 | <p><b>Status:</b> Request to close (completed)</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>Current practice continued. Requested action implemented and ongoing</p> <p><b>AES: Fully implemented.<br/>Recommendation is closed.</b></p> |

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|  | <p><b>Actions:</b><br/>Continue current practice with an emphasized use of existing dashboards.</p>  | Q1-May, 2011                    |  |
| <p>7. The Regional Director General of the Manitoba Region should ensure that approval of EPM goals and objectives occurs at the start of performance evaluation cycle (i.e. by May 31<sup>st</sup> for continuing employees, and within a month of a new employee's start date). In addition, it is recommended that the opportunities for improvement portion of the EPM be clearly articulated.</p> | <p>As this is a consistent observation for regional participants in the 2010-2011 Management Practices Review, the region is waiting for a recommendation(s) from Regional Operations Sector to ensure national consistency before implementing this recommendation.</p> <p>A process will be implemented regionally in line with new National EPM approach once national directive has been established. In the interim, region will abide to current Q1 end for EPMs under existing approach. On an ongoing basis, the region will implement the practice of ensuring that any new hires have established EPM goals and objectives.</p> <p><b>Actions:</b></p> | Q1 – April 2011                 | <p><b>Status:</b> Underway</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>EPM completion rate for 2011-2012 was 93%.</p> <p><b>AES: Implementation Ongoing</b></p> |



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|  | <p>Q1 April – discussions with HQ HR on the new National EPM approach</p> <p>Q1 May – new hires have EPMs</p> <p>Q1 June 30 – region will adhere to current deadline for EPMs under existing national approach</p>  | <p>Q1 – May 2011</p> <p>Q1 – June 30, 2011</p>   |  |
| <p>8. The Regional Director General of the Manitoba Region should develop and implement a formal, documented approach to risk management, including an ongoing process and governance structure for identifying, assessing, and monitoring risk mitigation actions. Headquarters should communicate guidance to all regions and sectors to ensure a consistent, national approach to risk management. (“Headquarters” includes Policy and Strategic Direction, the AANDC Risk Champion, and the Risk Management Centre in Audit and Evaluation Sector)</p> | <p><u>Short-term:</u><br/>Continue on-going risk assessments (FSR, Compliance, Gas, etc.) and continue to report on activities in the quarterly business plans.</p> <p><u>Medium-term:</u><br/>The Risk Champion for the department, with support from the Chief Risk Officer will develop department-wide risk management tools.</p> <p>Regional Directors General will support these and implement risk management tools in their regions that support and are consistent with the national approaches.</p> | <p>Initiate tool discussion in September 2011</p> <p>Implement tools by March 2013</p> | <p><b>Status:</b> Pending Implementation</p> <p><b>Update/Rationale:</b><br/><b>As of 31/03/2012:</b><br/>In October 2011, Manitoba Region worked with a risk management consultant (funded by AES) and in conjunction with AES in the development of a regional risk profile. Document completed in Q4 and is in final formatting prior to distribution. Implement tools by March 2013 Region integrating risk in regional business plan 2012-2013</p> <p><b>AES: Recommendation is closed.</b></p> |

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|   | HQ Risk leads visited regions in October 2010 to review risk practices and provide training. Regions to continue ongoing liaison with risk leads re: support for regional risk management practices. Regional Corporate Risk Profiles to be integrated into regional business planning process and documents for 2012/2013   |                                 |   |
| 9. The Regional Director General of the Manitoba Region should ensure that Section 32 and Section 34 of the Financial Administration Act (FAA) are properly executed and that staff be provided with adequate training to perform appropriate expenditure initiation and commitment control (Section 32) and account verification (Section 34). | <p>Region has developed a course entitled Financial Signing Authorities and Account Verification.</p> <p>The course describes the financial signing authorities, the principles for exercising the authorities, checklists of the steps for Responsibility Center Managers and description of what each step means, risk matrixes used in account verification, details of prepayment verification and post payment verification processes, lists of supporting documentation required.</p> <p>The course will be delivered to all</p> |                                 | <p><b>Status:</b> Request to close (Completed)</p> <p><b>Update/Rationale:<br/>As of 31/03/2012:</b><br/>All RCM/administrative staff has been trained; additional staff also trained.<br/>Total of 136 staff in region received training; ongoing follow up/ individual training done on specific transactions in error. New staff to receive training within 2 months of hire. Performance to be monitored through post and pre-audit statistics.</p> <p><b>AES: Fully implemented.<br/>Recommendation is closed.</b></p> |

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|  | <p>individuals with financial signing authority under section 32 or 34 and to the administrative staff performing account verification.</p> <p><b><u>Actions</u></b><br/>           Q1 - Training plan to be completed in April and Training to begin May.</p> <p>Q3 - Existing RCM and Administrative staff will be trained by Q3.</p> <p>Ongoing - New staff to receive training within 2 months of hire. Performance to be monitored through post and pre-audit statistics.</p> | <p>Q1 – May 2011</p> <p>Q3 – 2011-12</p> <p>Ongoing</p> |                  |