

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

British Columbia Region			
<i>Management Practices Audit of the British Columbia Region</i> <b>APPROVAL DATE: 22/09/2011</b>			
PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
<p>1. The Regional Director General of the BC 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>The Region should also develop and implement a process for Region-specific client surveys that incorporates participation from all regional directors that deliver external services and includes formal action plans and follow-up procedures to enable a comparison of results and establish the resulting impact/improvement of client service.</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 guidelines. 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.</p> <p>Initial discussions have taken place at DGIOC (April 11, 2011).</p> <p><b><u>Actions</u></b>            Programs with existing service standards:             Formalize existing service standards in a document.             Programs without services standards:</p>	<p>Consistent with work plan for the Operations Committee approved National Service Standards Initiative. See dates below.</p> <p>September 2011</p>	<p><b>Status: Underway</b></p> <p><b>Update/Rationale:</b>            As of 31/12/2012: The Regional Operations sector has taken the lead in Service Standards within AANDC. BC Region is engaged and participating in the national approach.</p> <p><b>RO Update:</b></p> <p>The Regional Operations Sector, Operations and Planning Supports Directorate has taken the lead in Service Standard Management within AANDC.</p> <p>Over the past year the following activities have occurred in response to the MPR/MAF Action Items:</p> <ul style="list-style-type: none"> <li>• The Service Management Strategy has been developed and presented to OPS in the Fall of 2011</li> <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</li> </ul>

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	<p>Direct services</p> <p>Grants and Contributions</p> <p>Internal Services</p> <p><b><u>Regional Client Survey:</u></b> To respond to the Regional Client Survey, the Region will endeavour to report back on the outcomes to all BC First Nations at the end of this fiscal year.</p> <p>As part of client engagement activities, the Region will review our current approach to client service engagement to identify the types of feedback the Region requires and how this feedback will be obtained. This will link to the National Service Management Initiative to ensure national consistency.</p>	<p>March 2012</p> <p>March 2012</p> <p>June 2012</p> <p>March 2012</p>	<p>oversight and support to DGIOC and OPS Ctte on Service Standard activities.</p> <ul style="list-style-type: none"> <li>• The working group has initiated discussion and consultation with sectors to 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 which directly 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.</li> </ul> <p><b>Update/Rationale:</b> <b>As of 31/12/2012:</b> The Region is in the process of scheduling a meeting in late February 2013 with the Leadership Council where the draft Action Plan will be tabled and process identified to share the Action Plan with BC First Nations.</p> <p><b>AES:</b> Substantially implemented. Closed.</p>
2. The Regional Director General of the BC Region should collaborate	As articulated in the 2011-14 Corporate Business Plan, the	March 2012	<b>Status: Request to close</b>

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with Headquarters to ensure the Human Resource Plan and the Region's Integrated Business Plan are integrated and provide details on anticipated human resource requirements and their impact on financial resources. Headquarters should communicate the approach to all regions and sectors to ensure a consistent, national approach to regional planning.	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)		<b>Update/Rationale:</b> <b>As of 31/12/2012:</b> Despite the transition to the Western HR HUB, the BC Region (with Regional HR Footprint) will continue to work towards integrating HR and business planning for the upcoming cycle for 2013-2014. BC Region continues to meet all national planning and reporting requirements.  <b>AES:</b> Substantially implemented. The recommendation will be closed based on the progress made to date by the Region and PSD.
3. The Regional Director General of the BC Region should clarify staffing file documentation requirements and ensure that supporting control documentation is retained on staffing files to demonstrate how staffing actions are linked to identified staffing needs or in response to staff departures and for audit and file-continuity purposes.	<p>The Regional Director General of the BC Region will delegate this responsibility to the Director of Human Resources to ensure that staffing file documentation requirements are clearly understood and that all required documentation is retained on files.</p> <p><b>Actions:</b> The Human Resources Directorate (HRD), BC Region will review the current HR checklists to ensure that they capture all of the required documentation for the various staffing processes conducted by the</p>	December 2012	<b>Status:</b> Request to close (completed)  <b>Update/Rationale:</b> <b>As of 31/03/2012:</b>  National Staffing Checklist in use in BC Region since November 2011. All staffing files contain new checklist.  <b>AES:</b> Implemented. Closed.

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	<p>Region, including the linkage to the regional HR staffing plan. The updated checklists will be communicated to HRD staff.</p> <p>The Region is also working with DGHRWSB on the development of national tools and checklists to support the standard practices across the Department.</p>		
4. The Regional Director General of the BC Region should ensure that analysis of staffing actions, trends, and the hiring process occurs on a regular basis.	<p>HRD will develop a process for conducting analysis and reporting to Executive Leadership Team (ELT) on staffing actions both at the transaction and strategic levels in order to inform the annual business planning cycle.</p> <p>HRD will continue to work with Human Resources and Workplace Services Branch (HRWSB) to obtain information and reports to support the analysis.</p>	July 2011	<p><b>Status:</b> Request to close (completed)</p> <p><b>Update/Rationale:</b> <b>As of 31/03/2012:</b></p> <p>Monthly staffing reports sent to ELT. Strategic analysis conducted through ELT to manage staffing actions under Staffing Control Measures.</p> <p><b>AES:</b> Implemented. Closed.</p>
5. The Regional Director General of the BC Region should develop and implement a formal, documented approach to risk management,	<p><u>Short-term:</u> Continue on-going risk assessments (FSR, compliance, etc) and continue to report on activities on the</p>	October 2011	<p><b>Status: Request to Close</b></p> <p><b>Update/Rationale:</b> <b>As of 31/12/2012:</b> With support from the Risk</p>

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including an ongoing process and governance structure for identifying, assessing, and monitoring risks and their associated mitigation actions which will support the future creation of a Regional Risk Profile. Headquarters should communicate guidance to all regions and sectors to ensure a consistent, national approach to risk management. (In this case, 'Headquarters' includes Policy and Strategic Direction, the AANDC Risk Champion, and the Risk Management Centre in Audit and Evaluation Sector).	<p>quarterly business plans.</p> <p>In November 2010 the Region initiated a Regional Program Risk Assessment Project with a focus on compliance. Subsequent to the MPA the programs have identified high risk program activities and developed action plans. Monitoring and oversight rests with ELT.</p> <p><u>Medium-term:</u> 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. The Region will coordinate, liaise and work with NHQ in moving forward on Program specific risk management frameworks.</p> <p>HQ Risk leads visited regions in October 2010 to review risk practices</p>		<p>Management Group, the Region completed the risk identification and risk assessment workshops in November 2012. The BC Region Risk Profile has been completed and validated with all participants and Senior Management. Integration of this information within the planning process at the Regional level and Directorate level is imperative. As such next steps include using this information to inform the upcoming business planning cycle. The Region will respond to risk events assessed as high risk by incorporating these high risk events and our actions to mitigate them in the directorate plans and where required through the Regional Plan and report on them through the Regional Planning and Reporting process to ensure responsibility and accountability for the actions to be taken.</p> <p><b>AES:</b> Substantially implemented. Closed.</p>

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	<p>and provide training. Regions to continue ongoing liaison with risk leads re: support for regional risk management practices.</p> <p>Regional Corporate Risk Profiles to be integrated into regional business planning process and documents for 2012/2013.</p>	2012-2013	
6. The Regional Director General of the BC Region should clarify the roles, responsibilities and purpose of the BC Management Team (BCMT) committee. Once clarified, the Regional Director General of the BC Region should ensure that a comprehensive Terms of Reference for both of the Region's monitoring and oversight bodies (ELT and BCMT) is developed and implemented.	The Regional Director General of BC Region will clarify the roles, responsibilities and purpose of BCMT and ELT committee given the new structure in the Region and ensure it is reflected in the updated Terms of Reference. Both will be implemented once complete.	December 2011	<p><b>Status:</b> Request to Close (Completed)</p> <p><b>Update/Rationale:</b>  <b>As of 31/03/2012:</b>            The Regional Director General has clarified the roles, responsibilities and purpose of BCMT and ELT. Terms of Reference for both BMT and ELT have been developed. BC CIDM #2057914, 1915967 respectively.</p> <p><b>AES:</b> Implemented. Closed.</p>
7. The Regional Director General of the BC Region should ensure that the IT support contractor is compliant with the terms and conditions of its contractual obligations with respect to the timely	The Regional Director General of BC Region will delegate this responsibility to the Director, Corporate Services to ensure that the requirement for timely receipt of performance monitoring reports is	September 2011	<p><b>Status:</b> Request to Close (Completed)</p> <p><b>Update/Rationale:</b>  <b>As of 31/03/2012:</b>            The requirement for timely receipt of performance monitoring reports was</p>

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provision of performance management reports prior to invoice approval.	communicated to the IT support services contractor and ensure adherence to the terms and conditions of the contract. The performance reports will be maintained with the invoice to demonstrate adherence to the terms and conditions of the contract and to support compliance with S34 of the <i>Financial Administration Act</i> .		<p>communicated to the IT support services contractor (Donna Conna) in a letter dated November 29, 2011 (BC CIDM #1971374). The performance reports are maintained with the invoice to demonstrate adherence to the terms and conditions of the contract and S34 of the <i>Financial Administration Act</i>.</p> <p><b>AES:</b> Implemented. Closed.</p>