

Management Action Plan

Resulting from the Core Control Audit of the Public Servants Disclosure Protection Tribunal (PSDPT)

The Public Servants Disclosure Protection Tribunal Canada (PSDPT)'s Opinion of the Audit Report:

The Registry of the Public Servants Disclosure Protection Tribunal Canada (PSDPT) has reviewed the findings and recommendations and that as far as the scope of this audit is concerned these accurately reflect the state of control over financial management, contracting, travel & hospitality and human resources.

Audit Entity Sign Off on the Management Action Plan

Lisanne Lacroix
Registrar
Public Servants Disclosure Protection Tribunal Canada

Recommendation #1

The PSDPT should ensure that proper segregation of duties is put in place in the area of account verification for acquisition cards.

Priority

HIGH

Planned Actions (*Actions should be Specific, Measureable, Achievable, and Realistic*)

In accordance with the TBS Directive on Acquisition Cards , duties in the area of account verification for acquisition cards are now segregated as follows:

- Expenditure initiation: Registrar or Office manager
- Funds commitment (S. 32 FAA): Director, Corporate Services
- Contracting/Transaction Authority (S.41 FAA): Administrative Assistant (Acquisition card purchases only) and Corporate Services Officer
- Certification Authority (S.34 FAA): Office Manager
- Payment Authority (S.33 FAA); Financial Officer

Responsibilities (*position title responsible for the action*)

Director, Planning and Corporate Services

Timelines (*actual planned dates of implementation*)

Completed September 2012

Recommendation #2

The PSDPT should ensure that justification for sole-source contracts is documented. In addition, the appropriate contracting vehicle should be chosen and used within its terms and conditions to ensure that there is no opportunity for contract splitting.

Priority

HIGH

Planned Actions (*Actions should be Specific, Measureable, Achievable, and Realistic*)

In accordance with the TBS Contracting Policy, the PSDPT's contracting policy is being reviewed with a view to:

- Stipulating the policy requirements for the acquisition of goods and services;
- Defining roles and responsibilities with respect to contracting;
- Outlining the PSDPT's contracting limits; and
- Explaining special contracting situation: such as the award of a sole-source contract, contract with former employees etc.

Procedures are also being developed to:

- Provide a step by step explanation of the "Procure to Payment" process;
- Present templates for the preparation of a statement of work and for the justification to award a sole-source contract; and
- Provide guidance on the appropriate procurement tools to be used.

An information session will be held with PSDPT employees to communicate the provisions of the PSDPT Contracting Policy and associated procedures.

As PSDPT does not have delegated authority to issue contracts for services, it will continue to rely on the advice of PWGSC to select the appropriate contracting tool.

In October, 2012, the Corporate Services Officer attended a 3-day CSPA course on Developing a Statement of Work and Evaluation Criteria. The Officer will also be attending the course on the Software License Supply Arrangements in January 2013.

Responsibilities (*position title responsible for the action*)

Director, Planning and Corporate Services

Timelines (*actual planned dates of implementation*)

Completed September 2012

Recommendation #3

The PSDPT should ensure that all applicable leave is pre-authorized.

Priority

HIGH

Planned Actions (Actions should be Specific, Measureable, Achievable, and Realistic)

All leave forms for time-off (holidays, appointments) are pre-approved by the supervisor. A copy of the leave form is filed in the employee's file maintained by the organization and the original copy is sent to Shared HR Services on a monthly basis to be recorded against the employee's leave bank.

Should an employee need to take leave on an urgent basis, the organization will be sure to include a copy of the supervisor's approval via-e-mail in the employee's file.

Director, Planning and Corporate Services approves all the Registrar's leave forms as a risk mitigating measure.

Responsibilities (position title responsible for the action)

Director, Planning and Corporate Services

Timelines (actual planned dates of implementation)

Completed May 2012

Recommendation #4

The PSDPT should ensure that expenditure initiation is performed by an individual with the delegated authority to do so before expenses are incurred in the area of payroll administration.

Priority

HIGH

Planned Actions (Actions should be Specific, Measureable, Achievable, and Realistic)

A new Human Resources Action Request form is used to document staffing, classification and other HR actions.

The Registrar's approval (expenditure initiation) is required on all HR Action Request forms.

Funds commitment (Section 32 FAA) is approved and signed off by the Director, Planning and Corporate Services on all HR Action Request forms.

This form is filed in the Human Resources files maintained by the organization.

Responsibilities (position title responsible for the action)

Director, Planning and Corporate Services

Timelines (actual planned dates of implementation)

Completed April 2012