

# **ADM(FIN CS)** **REMEDIAL ACTION PLAN FOR 2007 MANAGEMENT ACCOUNTABILITY FRAMEWORK (MAF)**

ADM(Fin CS) received overall acceptable ratings for the MAF components for which it was rated, along with observations noted as opportunity for improvement.

The table below explains the action plan to achieve suggested improvements.

ITEM	MAF COMMENT	ACTION PLAN
Item 4	<p>Effectiveness of Extra-organizational Contribution</p> <p>With the recent appointment of a new Deputy Minister for the Department (October 2007), increased attention is expected to be placed on furthering regular communications between deputy heads and the Deputy Minister</p>	DND will develop a protocol for information flow in conjunction with the Deputy Minister’s Office to ensure communications between the Deputy Minister and portfolio deputy heads. Quarterly meetings already provide good communication between the DND and its portfolio entities but a protocol for information flow will enable communication at a higher level. This protocol will enable better communications at the deputy head level.
Item 5	<p>Quality of Analysis in TB Submissions</p> <p>Links to MRRS, PAA, performance measurement;</p>	DND will continue to enhance improvements that have been achieved in this area since the preliminary MAF assessment was submitted in the fall 2007. All TB submissions are directly linked to the PAA by name and to the program sub-sub-activity. Pending changes to the Departmental PAA will be reflected consistently in TB submissions. New TBS standards will be addressed as they become known.
Item 5	<p>Quality of Analysis in TB Submissions</p> <p>Clarity and consistency of language (i.e. need to put technical elements in plain language)</p>	DND has a process in place to ensure that all technical elements are explained in plain language in the submission. In addition, overall clarity of the text is controlled and jargon is removed. In collaboration with TBS analysts, TBS formal assessment of the quality of submissions should be based on final versions of submissions that reflect the quality and review standards applied by DND. In the coming year, DND will establish a training cell to educate clients and new analysts alike on DND submission requirements to ensure quality of work is maintained and enhanced.
Item 5	<p>Quality of Analysis in TB Submissions</p> <p>DND should ensure that it is clear how its proposals are situated within departmental corporate plans and support departmental strategic outcomes as articulated in its MRRS.</p>	There has been improvement in this area since the release of the new Guide to Preparing TB Submissions. TB submissions are directly linked to the PAA by name and to the program sub-sub-activity. Pending changes to the Departmental PAA will be reflected consistently in TB submissions. Submissions will also be consistent with the Department’s Investment Plan Submission.

Item 12 12.3	<p>Effectiveness of Information Management The administration of the Privacy Act <u>Rating: Opportunity for Improvement</u></p> <ul style="list-style-type: none"> <li>- The DND 2006-2007 Annual Report to Parliament on the administration of the Privacy Act was not submitted under separate cover;</li> <li>- The report did not provide a summary of the department's Privacy related activities;</li> <li>- The DND PIB's do not provide a comprehensive description of the personal information that is collected, used and disclosed by the Department as required by the Act;</li> <li>- The DND website confirms the existence of the collection of personal information that is not accounted for in Info Source contrary to the provisions of the Act.</li> </ul>	<p>DAIP has submitted the 2007–2008 Annual Report to Parliament for Privacy under its own separate and distinctive cover. DAIP has also added sections to the report summarizing the Department's Privacy related activities. DAIP has undertaken a systematic review of all current information holdings and an assessment of all DND programs and activities. As DAIP identifies those information holdings that are non-compliant, OPIs will be notified by DAIP and they will be required to provide updates to bring their holding descriptions into compliance. This includes personal information on the DND website. DAIP will be providing TBS with progress updates in order to demonstrate that remedial action is ongoing.</p>
Item 12 12.4	<p>Effectiveness of Information Management The administration of the Access to Information Act <u>Rating: Opportunity for Improvement</u></p> <ul style="list-style-type: none"> <li>- The DND 2006-2007 Annual Report to Parliament on the administration of the Access to Information Act (ATIA) was not submitted under separate cover;</li> <li>- The ATIA Annual Report did not provide a summary of the department's ATI related activities;</li> <li>- The DND Program Records listed in Info Source do not provide comprehensive description of its functions, programs, activities and related holdings in accordance with the Act.</li> <li>- The DND websites reveal organizational functions, programs, activities and related information holdings not identified or described in Info Source as required by the Act.</li> </ul>	<p>DAIP has submitted the 2007–2008 Annual Report to Parliament for Access to Information under its own separate and distinctive cover. The report includes a summary of the department's ATI related activities. DAIP has undertaken a systematic review of all current information holdings and an assessment of all DND programs and activities. As DAIP identifies those programs that are non-compliant, OPIs will be notified and be required to provide updates or create new descriptions in order to achieve compliance. DAIP will be providing TBS with progress updates in order to demonstrate that remedial action is ongoing.</p>

Item 17	<p>Effectiveness of Financial Management and Control</p> <p>- The criteria which measures timely and accurate financial reporting; compliance with authorities; and accountability for the effective control of public resources, received an acceptable rating</p>	<p>Notwithstanding, work is underway to strengthen the financial controls in the department. As part of our work plan for 2008/09, DND will be working to improve in areas where room for improvement was indicated.</p> <p>For the control framework component: the plan is to remain vigilant and address anomalies quickly with a monitored, risk based action plan by the appropriate L1. An initiative to improve overall communication on the importance of the Financial Control Framework is planned for FY 09/10.</p>
Item 17	<p>Strength of financial management capacity:</p> <p>Strength of financial management capacity was rated as “Opportunity for Improvement”.</p> <p>The 2007-08 was the first year TB requested information on the FI communities within Departments and it was not rated. TB acknowledged that the definitions and criteria were not clear and that there were substantial inaccuracies reported, and therefore there could be limited analysis of the results. TB has indicated that there will be a better set of instructions issued next year, with better definitions and a more clear understanding of the type of information being requested.</p>	<p>DG Fin Mgmt will work closely with the L1s next year to ensure there is a clear and consistent understanding of the information requested, including the calculation of permanent positions, treatment of FORD positions and definition of unstaffed positions.</p> <p>Confirmation will be sought from TBS regarding the information requested and the definitions prior to forwarding the request to Comptrollers. The information collected on the Financial Community will be consistent with that of other government departments.</p>
Item 19	<p>Effective Management of Security and Business Continuity - Rating: Acceptable</p> <p>Deficiencies in the following areas should be addressed on a priority basis:</p> <ul style="list-style-type: none"> <li>Complete the establishment of business continuity plans and arrangements (including IM/IT continuity plans).</li> </ul>	<ul style="list-style-type: none"> <li>Approved Level 1 BCPs (including ADM(IM)) are to be submitted 15 Sep 08.</li> <li>The BCP Team is working with individual Level 1s to facilitate completion of their BCPs.</li> <li>Specialist working groups have been established to address Accommodations and IM/IT issues.</li> <li>After the Level 1 BCPs have been received and analyzed, the Level 0 BCP will be adjusted as necessary and we will begin initial BCP resource requirements definition and rough order of magnitude costing for potential inclusion in the Business Planning process.</li> <li>The governance/policy documents (DAODs) will be finalized and approved before MAF submission.</li> </ul>