

GLOBAL AFFAIRS CANADA DETAILED ACTION PLAN

to the recommendations of the audit Managing the Risk of Fraud of the Spring 2017 Reports of the Auditor General of Canada

Report Ref. No.	OAG Recommendation	Departmental Response	Description of Final Expected Outcome/Result	Expected Final Completion Date	Key Interim Milestones (Description/Dates)	Responsible Organization/ Point of Contact (Name, Position, Tel #)	<i>Indicator of Achievement</i> (For Committee Use Only)
1.29	The Canadian Food Inspection Agency, Global Affairs Canada, and Indigenous and Northern Affairs Canada should ensure that their current fraud risk assessments are reviewed and updated periodically, following best practices.	Agreed. Global Affairs Canada will take steps to ensure that a fraud risk assessment is reviewed and updated annually, including verifying whether controls are operating effectively and efficiently. The actions associated with this recommendation will be completed by December 2017.	The fraud risk assessment is reviewed and updated in a timely manner and includes a verification of the effectiveness and efficiency of controls.	December 2017	<ul style="list-style-type: none"> ▪ Update the fraud risk assessment. <i>December 2017</i> 	Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-1507) and Chief Audit Executive, Office of the Chief Audit Executive (343-203-5354)	
1.39	<p>The Canadian Food Inspection Agency, Global Affairs Canada, Health Canada, Indigenous and Northern Affairs Canada, and Public Services and Procurement Canada should</p> <ul style="list-style-type: none"> • identify operational areas at higher risk for fraud and develop targeted training for employees in these areas, and • ensure that employees are taking mandatory training in a timely manner. 	<p>Agreed. Global Affairs Canada will take steps to identify operational areas at higher risk for fraud, the nature of those risks, and measures to mitigate those risks. In parallel, Global Affairs Canada is working with departmental experts on the development of targeted training on fraud awareness for employees.</p> <p>Global Affairs Canada will develop a training strategy and communications plan to promote values and ethics training in the workplace. The actions associated with this recommendation will be completed by November 2017.</p>	Operational areas at higher risk for fraud are accurately identified and measures are proposed to mitigate them. In addition, fraud awareness as well as values and ethics are promoted and reinforced through a training strategy and communications plan.	November 2017	<ul style="list-style-type: none"> ▪ Conduct a series of management practices audits of select missions to assess fraud risks in our most vulnerable missions. <i>July 2017</i> ▪ Develop and implement fraud awareness training for Program Managers Abroad. <i>May 2017</i> ▪ Develop an on-line course on fraud awareness. <i>November 2017</i> ▪ Implement a process to monitor compliance with mandatory training. <i>April 2017</i> ▪ Develop a training and communications plan to promote values and ethics programs, services and training in the workplace. <i>November 2017</i> 	<p>Chief Audit Executive, Office of the Chief Audit Executive (343-203-5354)</p> <p>Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-1507) and Director General, Canadian Foreign Service Institute (343-203-8155)</p> <p>Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-1507)</p>	
1.54	The Canadian Food Inspection Agency, Global Affairs Canada, Health Canada, Indigenous and Northern Affairs Canada, and Public Services and Procurement	Agreed. Global Affairs Canada has recently implemented a new case management system, which will improve tracking and reporting on all values and	The tracking and management of declarations of conflict of interest and the related mitigation measures	March 2018	<ul style="list-style-type: none"> ▪ Complete migration of case files to new Case Management System and develop reports. <i>September 2017</i> 	Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-	

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	Canada should ensure that logs used to track and manage declarations of conflict of interest and the related mitigation measures have sufficient and complete information to support the timely resolution of employee declarations of conflict of interest.	ethics cases, including conflicts of interest. The actions associated with this recommendation will be completed by March 2018.	are supported by sufficient and complete information and employee declarations of conflict of interest are resolved in a timely fashion.		<ul style="list-style-type: none"> ▪ Capture and report on investigations conducted by missions. <i>March 2018</i> 	1507)	
1.55	<p>The Canadian Food Inspection Agency, Global Affairs Canada, and Indigenous and Northern Affairs Canada should</p> <ul style="list-style-type: none"> • identify operational areas at high risk for conflict of interest and ensure that public servants occupying positions in those areas are regularly required to indicate whether or not they are in a conflict of interest, and • follow up on the implementation of mitigating measures for conflicts of interest on a risk basis 	<p>Agreed. Global Affairs Canada will identify areas of high risk and implement appropriate processes and mitigation measures.</p> <p>Global Affairs Canada will review and amend current practices for reporting and managing conflicts of interest, in order to ensure that effective monitoring and control measures are in place. The actions associated with this recommendation will be completed by January 2018.</p>	Operational areas at high risk for conflict of interest are identified and measures including regular reminders are proposed to mitigate them. In addition, departmental practices for reporting and managing conflicts of interest are supported by effective monitoring and control measures.	January 2018	<ul style="list-style-type: none"> ▪ Undertake a review of current practices, including monitoring and control measures; identify gaps and areas for improvement; and amend practices as required. <i>November 2017</i> ▪ Develop an ethical risk assessment strategy, for review by Senior Management, to identify areas of high risk for conflict of interest and ethical breaches. <i>December 2017</i> ▪ Work with the delegated authorities to implement appropriate processes and mitigation measures. <i>January 2018</i> 	Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-1507)	
1.71	The Canadian Food Inspection Agency, Global Affairs Canada, Health Canada, Indigenous and Northern Affairs Canada, and Public Services and Procurement Canada should ensure that contract files and contracting data are complete and accurate. They should also conduct data analytics and data mining to evaluate controls and identify signs of potential contract splitting, inappropriate contract amendments, and inappropriate sole-source contracting on a risk basis.	Agreed. Global Affairs Canada will ensure that its procurement officers are appropriately trained in order to ensure that contract files and contracting data are complete and accurate. Furthermore, Global Affairs Canada will take steps to improve system data integrity and introduce automated tools for analyzing procurement data to detect potential fraudulent activities. The actions associated with this recommendation will be completed by September 2017.	Tools and training are in place and are integrated into procurement officers' development programs with a focus on positions that input, use and rely on data for analysis and decision making.	September 2017	<ul style="list-style-type: none"> ▪ Develop and implement an automated Contract Data Monitoring Tool for analyzing data integrity and potential fraudulent activities. <i>September 2017</i> ▪ Develop and deliver focused Financial Administration System / Materiel Management training to Purchasing and Supply officers in operations. <i>June 2017</i> ▪ Complete focused Financial Administration System / Materiel Management training and add to ongoing learning plans. <i>June</i> 	<p>Director General, Contracting and Materiel Management - Corporate Planning, Finance and IT Branch (343-203-1462)</p> <p>Director General, Contracting and Materiel Management - Corporate Planning, Finance and IT Branch (343-203-1462)</p> <p>Director General Contracting and Materiel Management -</p>	

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					2017	Corporate Planning, Finance and IT Branch (343-203-1462) and Director General, Corporate Services Bureau – International Platform Branch (343-203-1487)	
1.80	The Canadian Food Inspection Agency, Global Affairs Canada, and Indigenous and Northern Affairs Canada should maintain a comprehensive and complete log that captures and tracks the status of all allegations, where appropriate, including where corrective measures were implemented to prevent fraud.	Agreed. Global Affairs Canada has recently implemented a new case management system, which will improve tracking and reporting on internal investigations, including tracking of the status of allegations. The actions associated with this recommendation will be completed by March 2018.	The status of allegations including corrective measures implemented to prevent fraud are captured and tracked in a comprehensive case management system.	March 2018	<ul style="list-style-type: none"> ▪ Complete migration of case files to new Case Management System and develop reports. <i>October 2017</i> ▪ Capture and report on investigations conducted by missions. <i>March 2018</i> 	Director General, Inspection, Integrity and Values & Ethics Bureau (343-203-1507)	