



Implementation Status of Recommendations

FINAL REPORT



**Audit and Evaluation Division
November 2003**



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Introduction.....	1
Scope and Methodology.....	1
I. Report of the Auditor General of Canada Chapter 6 - Statistics Canada— Managing the Quality of Health Statistics (December 2002).....	2
Introduction	2
Status	2
II. Compliance Audit on the Policy on Informing Users of Data Quality and Methodology (June 2002)	4
Introduction	4
Status	4
III. Report on the Study of Training and Development (March 2002).....	5
Introduction	5
Status	5
IV. Audit of Contracting Services (June 2003)	6
Introduction	6
Status	6
V. Audit of Regional Offices Administrative Processes - Prairie Region (December 2002)	6
Introduction	6
Status	6



Introduction

The purpose of this report is to provide the Internal Audit Committee with a summary of the implementation status of recommendations from five reports:

1. Report of the Auditor General of Canada Chapter 6 - Statistics Canada—Managing the Quality of Health Statistics (December 2002)
2. Compliance Audit on the Policy on Informing Users of Data Quality and Methodology (June 2002)
3. Report on the Study of Training and Development (March 2002)
4. Audit of Contracting Services (June 2003)
5. Audit of Regional Offices Administrative Processes - Prairie Region (December 2002)

It is part of the responsibilities of the Audit and Evaluation Division to follow up on the implementation status of recommendations contained within audit reports tabled with the Internal Audit Committee as well as those made in management memorandums. This practice complies with Treasury Board's *Internal Audit Policy and Guidelines*. The Division also provides the Committee with updates on the status of other audit-related issues and recommendations affecting Statistics Canada such as those contained in Office of the Auditor General reports.

Scope and Methodology

Follow-up activity covered the extent and nature of action taken on all recommendations presented in the audit reports. It involved a review of the audit reports, an analysis of current plans, interviews as appropriate and an analysis of the actions that were taken. The follow-up also includes looking at the actions taken to address issues identified in management letters. Results are included in the next sections of this report.



I. Report of the Auditor General of Canada Chapter 6 - Statistics Canada—Managing the Quality of Health Statistics (December 2002)

Introduction

Chapter 6—*Managing the Quality of Health Statistics* contained six recommendations for Statistics Canada. Audit and Evaluation Division (AED) coordinated the preparation of a management action plan and is monitoring it.

Status

Recommendation	Follow-up Status
<p><u>Recommendation 1:</u></p> <p>6.34 Recommendation. Statistics Canada should provide better documentation and references to more complete documentation of the results of its data quality systems and practices in the Biennial Program Report and the Quadrennial Program Report.</p>	<p>Status: Incomplete—further monitoring required</p> <p>On behalf of the Methods and Standards Committee (MSC), the Quality Secretariat and Corporate Planning Division (CPD) reviewed BPR and QPR to assess the extent to which they adhere to the corporate quality assurance framework. CPD is reassessing its guidelines and any other measures it might undertake to improve data quality reporting.</p> <p>Health Statistics Division (HSD) is improving its documentation and references in its Biennial Program Report being produced at present.</p>
<p><u>Recommendation 2:</u></p> <p>6.41 Recommendation. Statistics Canada should continue to work with the provinces and territories to improve the quality of health statistics databases.</p>	<p>Status: Complete—no further monitoring required</p> <p>AED has reviewed documentation that shows HSD continues to work with the provinces and territories to improve the quality of health statistics databases.</p>
<p><u>Recommendation 3:</u></p> <p>6.59 Recommendation. Statistics Canada should ensure that the information in the Integrated Meta-database on data quality of health programs is complete.</p>	<p>Status: Incomplete—further monitoring required</p> <p>HSD has begun a process to ensure that its IMDB information is brought and kept up-to-date. A divisional coordinator has been appointed with a completion date of March 2004.</p>



Implementation Status of Recommendations

<p><u>Recommendation 4:</u></p> <p>6.65 Recommendation. Statistics Canada should make a regular, formal determination of the quality of the hospital morbidity data it receives from the Canadian Institute for Health Information (CIHI).</p>	<p>Status: Incomplete—further monitoring required</p> <p>Health Statistics Division and CIHI have agreed on data quality requirements and established a feedback and consultation process.</p>
<p><u>Recommendation 5:</u></p> <p>6.71 Recommendation. Statistics Canada and Health Canada should formally monitor the requirements of their respective Health Information Contribution Program contribution agreements and ensure that requirements are met.</p>	<p>Status: Incomplete—further monitoring required</p> <p>AED has monitored most aspects of the requirements and has identified areas for improving the upcoming TB submission required to obtain continued funding. OPPD and HSD have been involved in this process. Still outstanding are the performance monitoring requirements that will be assessed using the independent evaluation report expected in December 2003 from CIHI.</p>
<p><u>Recommendation 6:</u></p> <p>6.76 Recommendation. Statistics Canada should provide information in its Departmental Performance Report on the key results of its work on health statistics, including work undertaken as part of the Health Information Roadmap Initiative.</p>	<p>Status: Complete—no further monitoring required</p> <p>In its response, Statistics Canada indicated that it would provide information when appropriate. The latest DPR for the year ending in March 2003 does include health-related information as part of its key results.</p>



II. Compliance Audit on the Policy on Informing Users of Data Quality and Methodology (June 2002)

Introduction

The audit report for the Compliance Audit on the Policy on Informing Users of Data Quality and Methodology was approved by the Internal Audit Committee on September 4, 2002. The report contained three recommendations. The report included an action plan.

Status

Recommendation	Follow-up Status
<p><u>Recommendation 1:</u></p> <p>The Methods and Standards Committee identify ways to provide information, publicity, and sustained guidance to support policy implementation, including the IMDB as a key tool that supports it.</p>	<p>Status: Complete—no further monitoring required</p> <p>Actions have been taken and plans are in place to continue to support policy implementation, including the IMDB.</p>
<p><u>Recommendation 2:</u></p> <p>Directors of statistical program areas monitor compliance in accordance with their responsibilities under the policy and report on their performance in biennial and quadrennial program reviews; and the Methods and Standards Committee evaluate the quality of this reporting.</p>	<p>Status: Incomplete—further monitoring required</p> <p>On behalf of the Methods and Standards Committee (MSC), Standards Division had a qualitative analysis of the IMDB done in March 2003 and is updating it until there are resources for another analysis. Results are available by division, providing directors with a mechanism to monitor their compliance.</p>
<p><u>Recommendation 3:</u></p> <p>In program areas where the application of the policy is more challenging, divisions consult closely with Methodology Branch in interpreting the policy within their context. The Methods and Standards Committee can provide any additional guidance that may be required.</p>	<p>Status: Incomplete—further monitoring required</p> <p>System of National Accounts (SNA) was included in the management action plan since it was an area where implementation would be challenging. An approach has recently crystallized, developing from a draft paper setting out the architecture for the SNA, the IMF ROSC report of Oct 2003 and a presentation prepared for the National Statistics Council in Oct 2003. SNA and Standards Division have agreed on the approach and a completion date of Feb 2004 for adding metadata into the IMDB.</p> <p>The Methodology Branch (through the Quality Secretariat and individual methodologists working on projects) is providing policy interpretation to divisions.</p>

III. Report on the Study of Training and Development (March 2002)

Introduction

The audit report on the Study of Training and Development was approved by the Internal Audit Committee on July 10, 2002. The report contained four recommendations. An action plan addressing this audit was included in the report.

Status

Recommendation	Follow-up Status
<p><u>Recommendation 1:</u></p> <p>Senior management should encourage divisions that are not yet doing so, to plan and support training at a divisional level in order to ensure a more strategic, co-ordinated approach to the management of employee training.</p>	<p>Status: Complete—no further monitoring required</p> <ul style="list-style-type: none"> • Employee opinion survey results were further examined, linking employee satisfaction with training • More divisional level information gathered • Created a ‘divisional champions’ network and are implementing a process to develop individual learning plans as per the <i>Policy on Learning in the Public Service</i>
<p><u>Recommendation 2:</u></p> <p>For new training courses or programs, course designers should include measures to evaluate learning and behaviour (performance).</p>	<p>Status: Complete—no further monitoring required</p> <ul style="list-style-type: none"> • Training and Development Committee established a working group to review current practices relating to training evaluation and develop an action plan • Results presented to the Human Resources Development Committee on May 7, 2003 • Committee approved an evaluation plan focusing on selected courses and further directed that results-oriented evaluation be explored
<p><u>Recommendation 3:</u></p> <p>For existing courses, a plan should be established to examine ways in which to integrate evaluation measures that address learning and behaviour (performance).</p>	
<p><u>Recommendation 4:</u></p> <p>Any user surveys undertaken as part of the renewal of the Global system should include consultations with training administrators and divisional managers in order to ensure that the system’s capabilities better support their planning, management and information needs.</p>	<p>Status: Substantially complete—no further monitoring required</p> <ul style="list-style-type: none"> • The redesign of the Global system is scheduled for completion in April 2005.



IV. Audit of Contracting Services (June 2003)

Introduction

The audit report for the Audit of Contracting Services was approved by the Internal Audit Committee on June 16, 2003. The report contained one recommendation. An action plan addressing this audit was included in the report.

Status

Recommendation	Follow-up Status
<u>Recommendation 1:</u> Sole-source service contracts under \$5,000 –The Agency changes internal gatekeeping practices to allow the Chief, MACS, to be responsible for administering sole-source service contracts under \$5,000.	Status: Complete—no further monitoring required Gate-keeping for sole-source services contracts under \$5,000 resides with Chief, MACS.

Implementation of the recommendations in the management memorandum was satisfactory and no further follow-up work is needed.

V. Audit of Regional Offices Administrative Processes - Prairie Region (December 2002)

Introduction

The audit report for the Regional Offices Administrative Processes – Prairie Region was approved by the Internal Audit Committee on March 26, 2003. There were no recommendations, but the Prairie Regional Office undertook to implement all recommendations presented in the management memorandum.

Status

The follow-up review established that actions were taken to implement most recommendations from the management memorandum. On the remaining items where work is not yet complete, AED will continue to monitor.