

Title	Director General
Sector	Associate Deputy Minister
Directorate	Audit and Evaluation
Classification	EX-03
Position Number	00000227
Effective Date	<u>March 08, 2004</u>

General Accountability

The Director General (DG), Audit and Evaluation Directorate, is accountable for: enhancing the strategic quality of internal audit and evaluation review products to the Department of Fisheries and Oceans (DFO) by ensuring that the Audit and Evaluation Directorate is staffed with professional, trained and knowledgeable auditors and evaluators supplied with state of the art tools; taking the lead in creating a more strategic alliance with program Assistant Deputy Ministers (ADMs), Regional Directors General (RDGs), senior DFO managers and outside partners to develop a departmental audit and evaluation plan that is strategic, risk based and linked to departmental and government plans and priorities; developing a more strategic approach to reporting to the Deputy Minister (DM), Associate DM and Departmental Management Committee (DMC) on results and risk-based information obtained from audits and evaluations to guide management in understanding where the Department is most exposed to risk; leading and facilitating the advancement of performance measurement and management in DFO, and monitoring and evaluating the department's performance on key strategic accountabilities; advancing DFO's Integrated Risk Management Framework; leading the conduct of audit and evaluation engagements to provide management with confidence in the soundness of management processes within DFO, where the organization is achieving results and most exposed to risk, including what remedial actions are necessary; and developing and implementing effective liaison and coordination approaches to create new enhanced partnerships with programs and external partners (i.e., Treasury Board Secretariat (TBS) and the Office of the Auditor General(OAG)) in the implementation of new policies and the promotion of performance and risk management frameworks.

Organizational Structure

The DG reports to the Associate DM for operational purposes and to the DM through the Departmental Audit and Evaluation Committee (DAEC), for audit and evaluation matters. The DG is one of 3 executive positions reporting to the Associate DM. The other 2 are the Director, Early Conflict Resolution and the Senior Disclosure Officer.

Reporting to the DG, Audit and Evaluation Directorate are:

Director, Planning, Assessment and Support, who has broad responsibilities encompassing the planning, assessment and support of Audit and Evaluation Directorate programs. The Director is responsible for enhancing the strategic quality of internal audit, program evaluation and risk management, through development and implementation of DFO policies, standards, initiatives and activities that are innovative, modern and in conformance with TBS and other central agency requirements. In managing the liaison with central agencies, including the OAG, the Director plays a critical role in ensuring that DFO continues to operate in conformance with all government policies and requirements. The Director ensures that the performance measurement framework and the quality control function for the Directorate is state of the art, relevant and useful to the decision making process and provides assurance to the Director General of the effectiveness of the audit and evaluation functions. In addition, the Director oversees departmental research activities aimed at continual learning and improvement to bolster operating performance and results throughout the Directorate. The Director is responsible for the management of human, material and financial resources in an efficient and effective manner. Finally, the Director strives to reinforce the Department's commitment to continuous management improvement, risk-based management, and accountability for results.

Director, Internal Audit, who is responsible for all aspects of the Department's Internal Audit Program. These responsibilities are focussed upon providing assurance services to senior departmental officials regarding efficient and appropriate deployment and operation of departmental resources. Through professional leadership, in addition to prudent planning, organizing, communicating, partnering and management, the Director is responsible to deliver a quality internal audit program appropriate to current and future departmental needs. These responsibilities entail that the program adheres to all departmental policies as well as central agency policies within the context of the modernization of the comptrollership function in the federal government. This delivery is aimed at providing assurance that all departmental programs are operating in a manner appropriate to the Department's mandate and that appropriate controls exist to minimize risk exposure. Above all, the Director's responsibilities strive to reinforce the Department's commitment to continuous management improvement and accountability for results.

Director, Evaluation, who is responsible for all aspects of the Department's Evaluation Program and for providing the Director General and senior management with independent and sound professional advice and assessment regarding the relevance, cost-effectiveness, and success of departmental programs, policies and initiatives. The Director is integral in designing or redesigning policies, programs and initiatives. Furthermore, the Director assists management to find alternate ways of achieving expected results. Through professional leadership, in addition to prudent planning, organizing, communicating, partnering and management, the Director is responsible to develop and implement a comprehensive evaluation plan and program aimed at supporting management in making sound, more effective decisions on their policies, programs and initiatives. A key component of this responsibility is the development and advancement of a Centre of Expertise for

Performance Measurement. Above all, the Director's responsibilities strive to reinforce the Department's commitment to continuous management improvement and accountability for results.

Executive Assistant, who is responsible for administrative support activities for the DG's Office, e.g. Directorate's Human Resources staffing, budget, salary and O&M, coordinating and conducting special long and short term assignments and projects as assigned by the DG.

Nature and Scope

DFO exists to conserve and protect Canada's oceans and aquatic resources and, in partnering with stakeholders, to assure their sustainable utilisation. As such, the Department develops and delivers policies and programs in support of Canada's economic, ecological, and scientific interests in oceans and inland waters. In addition, the Department oversees the safe, efficient and environmentally sound movement of commercial and other traffic over Canada's oceans and inland waterways.

The Department's broad scope of responsibilities includes developing and delivering operational programs, policies, standards, directives, and cost recovery services related to the legislated mandate of the Canadian Coast Guard, in addition to the management of major scientific and technical activities related to renewable fisheries resources, and aquatic and oceans research. These responsibilities encompass management programs of national and international consequence. These programs are delivered through six regions across Canada and in the National Capital Region.

The tabling in March 2000 of *Results for Canadians: a Management Framework for the Government of Canada* established new management commitments for the government supported by six priority initiatives, of which one is Modern Comptrollership. The Government is making a dedicated effort to incorporate Modern Comptrollership principles for improved results and risk management which has focused on the implementation of five new Treasury Board policies: Evaluation, Internal Audit, Transfer Payments, Integrated Risk Management, and Active Monitoring. In this context, the Government has recognized the need for better-positioned and strengthened audit and evaluation programs to assist departmental managers in making decisions and monitoring operations on the basis of sound assessments of risk and results.

Consistent with the Government's emphasis on this area, DFO has a Management Accountability Framework (MAF) that lays out the priorities and accountabilities the department must address in order to deliver its mandate and contribute to the Government-wide emphasis on results for Canadians. The AED has assumed the principal role of advising the Department on these important long-term corporate culture changes that will rely on integrated financial and performance information, a sound approach to risk management and appropriate control systems. The AED has also taken on the lead role in monitoring and evaluating the department's performance in implementing the MAF. With strong skills in risk assurance and performance assessment, the Audit

and Evaluation Directorate is well positioned to act as a long-term strategic support to the DM and senior management. The DG, Audit and Evaluation Directorate, complemented by his/her staff, must now act as corporately minded strategic thinkers who can consult senior management and with DMC and the DAEC on the development of new policies and procedures and of remedial actions to deal with the findings of audits and evaluations as well as of risk management analyses. This is a change from previous practice where Audit and Evaluation Branches in the federal government historically focused on reporting on identified problems and providing recommendations for remedial action usually in “splendid isolation” from senior departmental managers.

In the political sphere, the DG has to be sensitive to audit and evaluation issues that could cause serious negative political ramifications for the Minister of Fisheries and Oceans. For example, in doing an audit or evaluation of fish management expenditures, not only would the DG need to be sensitive to the fact that this program is highly devolved to the regions of DFO, but also that the federal government and provincial governments have a variety of arrangements concerning fish management. Any audit or evaluation would have to be dealt with circumspectly, particularly taking into consideration the concerns by the fishing industry’s political organizations. Furthermore, the DG must be extremely sensitive in his written reports to these political realities as all reports are available and are regularly requested under Access to Information legislation.

The DG directs, coordinates and controls the formulation, planning, development and implementation of comprehensive and integrated audit, evaluation and risk management programs and networks that bring together the necessary tools and management information to enable management to determine departmental objectives, goals and priorities, establish the planning mechanisms to facilitate their implementation and to measure the Department’s success in realizing its targeted results. In fulfilling this strategic function, the DG serves as a bridge and integrator of management intelligence and policy direction to create the long-term operational and management planning, priority-setting and accountability system which aligns the process of multi-year business planning for the Audit and Evaluation Directorate.

The DG, in providing viable comprehensive audit, evaluation and risk management programs and services to departmental management, is working in an administrative environment fraught with difficulties, because of the scope and variety of departmental programs which encompass DFO. Canada has the world's longest coastline, touching three oceans, and one of the largest continental shelves. Millions of Canadians live in coastal areas, and marine and freshwater resources are among our country's great natural assets. Enjoyment of our oceans, lakes, and rivers is part of the Canadian way of life. The Department's mandate, programs, and services directly affect the livelihoods and lifestyles of thousands throughout Canada, from fishing and marine transportation to tourism and recreation. More generally, our programs and services affect the economic, social, and cultural fabric of the country. DFO is a large, decentralized, federal department that delivers services throughout Canada from six regional offices and national headquarters in Ottawa. The Department enjoys a high level of visibility through the activities of

its Canadian Coast Guard personnel, Fishery Officers, and field staff in the Atlantic, Pacific, and Arctic coastal communities, as well as on the Great Lakes and other inland waters. In recent years, the Department has made great strides in its relationship with Aboriginal people, therefore, the DG must possess a strong knowledge and appreciation of First Nations and Inuit socio-economic and cultural mores to ensure these factors are effectively reflected in the Branch's policy, procedural and operational practice frameworks.

To meet the challenge of auditing in this diverse and complex environment, the DG must structure the program into manageable assurance/audit, evaluation and risk management units, categorized to fulfill the full range of required services in these essential corporate management programs. Administration of the three streams of program activity is complicated as the dimensions are not mutually exclusive and significant coordination is required with headquarters and regional management concerning site visits.

The DG leads the Audit Program in the conduct of a range of audit activities designed, planned and customized to provide the best and most value-added results for the investment made to resource these audits. The major classes of audits include: (i) program audits covering the various components of operational programs as reflected in the Department's operational planning framework; (ii) functional audits covering the major departmental support functions and systems (including automated systems); (iii) organizational audits; and (iv) directed or specialized investigation audits. It is critical for each audit engagement that the DG ensures the proper planning, criteria and methodologies have been developed and appropriate risk analysis has been conducted to ensure the optimum success of each initiative and the relevance, credibility and viability of the resulting findings and recommendations for change that are made to, and developed with, management and presented to the DAEC.

The DG works with senior management on the evaluation of strategic initiatives and has the lead role in making key decisions about the evaluation focus and process. The DG must steer the consultative and participatory fora and networking activities to resolve major remaining issues and concerns about the general future directions of the total range of departmental evaluation activities. The DG must take the lead and create an advisory committee on evaluation with a global mandate to establish in broad terms evaluation requirements, activities likely to take place at each level of the organization, roles and responsibilities of headquarters and regions and critical paths for the implementation of the improved evaluation framework. The DG must direct the preparation of education and training modules and packages on evaluation terminology, approaches and methods; evaluation guidelines and standards to ensure the integrity of future evaluation activities; user-friendly computerized analytical packages; new, easy to access databases oriented toward the needs of evaluators; and maintain strong communications links on concerns regarding evaluation work in progress, expected needs and developmental processes and activities. As with the Audit Program, these activities are fundamental to ensure the optimum success of each evaluation and the relevance, credibility and viability of the resulting findings and recommendations for change that are made to,

and developed with, management and presented to the DAEC.

The DG is a departmental leader for advancing and continuously monitoring the Integrated Risk Management Framework and other *Results for Canadians* priorities within DFO. The DG encourages the development and implementation of modern management practices and supports innovation throughout the Department in order to better integrate risk management into strategic decision-making and to gain more focus and support for the need for strong, justified and well managed programs and investments. One of the most critical challenges for the DG is to change the existing management culture and environment in which DFO operates. The DG must encourage and pursue a fundamental shift in the way managers at all levels deal with the management of risks. The DG must ensure a continuum in the culture shift that will support the achievement of this strategic objective. The DG directs the development and dissemination of all necessary knowledge, information and processes required to facilitate this major cultural change in the vision and practices of the Department.

The DG is Secretary to the DAEC, which is composed of the DM, Associate DM, all ADMs, and the RDGs. As the Secretary, the DG advises and briefs the Deputy and Associate DM and other members in particular on audit and evaluation needs, priorities and ways and means to prevent or resolve substantive audit or evaluation issues and provides all secretariat services for Committee members. The DG monitors actions taken by the Department to respond to recommendations made by the Public Accounts Committee. The DG provides the overall focus for the audit, evaluation and risk assessment of departmental policy and program initiatives to assess DFO's success in achieving targeted results within finite resources. The DG is responsible for providing recommendations and advice on internal audit, assurance services, evaluation, risk management, planning and operations and review findings and conclusions to the DM and the DAEC. This oversight of the audit, evaluation and risk assessment activities also requires a direct working relationship with the OAG on the coordination of audits and evaluations pertaining to the Department and a direct interface with the TBS on new policy, standards and related matters pertaining to audits, evaluations, risk management and reviews.

The DG establishes and maintains professional working relationships with senior officials from central agencies (e.g. TBS, OAG, etc.) to: establish comprehensive and responsive consultative and information gathering networks on key issues such as the review of fundamental roles and responsibilities; advocate departmental needs to improve value and money; provide information pertaining to departmental reviews, audits and evaluations; and advance and represent the interests of the Department.

The major challenges of the DG are: to provide meaningful recommendations to the DM and senior management for programs not well defined in legislation, but constantly devolving and expanding; to direct the conduct of quality audits and evaluations and risk management assessments in diverse

fields with timely reporting; to educate and promote an understanding within DFO of the new accountability, corporate management/control, internal audit, evaluation and risk management strategies stemming from the TBS *Results for Canadians* strategy and policy; and to ensure that all audit, evaluation and risk management activities support the effectiveness, efficiency and probity of the corporate management and operations of DFO.

The DG receives broad general direction from the DM and Associate DM, and is guided by the general framework of governmental policies, regulations and directives governing, internal audits, evaluations, risk management services, finance, human resources and administration. The DG enjoys considerable freedom in developing and recommending policy options, establishing goals and objectives, setting priorities, allocating resources and evaluating operational effectiveness to create the most viable organization in meeting departmental audit and evaluation objectives.

Dimensions

FTEs:	36
Salaries:	\$2.38 million
O & M:	\$0.94 million
Capital:	
Total:	\$3.32 million

Staff:

Department in total:	10,000
Audit and Evaluation Directorate:	36

Operating Budget:

Department:	\$1.4 billion
Audit and Evaluation Directorate:	\$3.32 million

Specific Accountabilities

1. Directs the development and enhances the strategic quality of internal audit, evaluation and risk management program activities in DFO by ensuring that the Audit and Evaluation Directorate is staffed with professional, trained and knowledgeable auditors and evaluators supplied with state of the art tools.
2. Takes a lead role in directing the development and implementation of a more strategic alliance with program ADMs, RDGs, senior managers and outside partners to develop a Departmental Audit and Evaluation Plan that is strategic and risk based and linked to departmental and government plans and priorities.
3. Monitors the Department's progress in modernizing its Human Resources (HR) function, consistent with the Public Service Modernization Act (PSMA) and corporate priorities; reports to the Deputy Minister and the Departmental management team on trends, challenges, and progress on HR modernization; and provides a challenge function to the Assistant Deputy Minister, HR and Corporate Services (HR and CS).
4. Directs the advancement of performance measurement and management in DFO by advising senior management committees on performance management issues, including the DAEC (chaired by the DM) and by guiding programs in the development of Results-based Management and Accountability Frameworks.
5. Directs the preparation of internal audit, evaluation and risk management long term and annual plans for recommendation to the DAEC.
6. Directs the conduct of audit and evaluation engagements to provide management with confidence in the soundness of processes within DFO by keeping abreast of government directions and initiatives affecting the conduct of audits and evaluations and ensuring the performance of audit and evaluation teams against plans and the quality control of their work.
7. Develops and implements effective liaison and coordination approaches to create new enhanced partnerships with programs and external partners (i.e., TBS and OAG) in the implementation of new policies for the promotion of performance and risk management frameworks.
8. Oversees the monitoring and reporting to the DM, the Associate DM and the DAEC on the overall performance of the Audit and Evaluation Directorate in the fulfillment of its mandate, objectives and programs.

9. Maintains effective links with senior departmental managers and central agencies on matters relating to audit and evaluation initiatives, requirements and action plans.
10. Oversees implementation of the department's MAF, and provides regular progress reports to the DM and DMC.

Incumbent/Signature

Date

Manager/ Signature

Date