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› [Public Health Agency of Canada corporate management reporting](#) › [Internal audits](#)

› [Audit reports](#) › [Audit of Enterprise Risk Management – Public Health Agency of Canada](#)

Management Response and Action Plan - Audit of Enterprise Risk Management

Recommendation 1

The CFO should ensure that the Agency's Integrated Risk Management Policy and related Guideline currently under development:

- Clearly establishes baseline risk management expectations and deliverables for branches and functional units; and
- Clarifies the roles and responsibilities for ongoing monitoring and reporting on Agency risk management practices and adherence to Policy expectations.

Management response

Management agrees with the recommendation.

Planned management action	Deliverables	Expected completion date	Responsibility
The branch will ensure that the recently developed Integrated Risk Management Guidelines clearly establish minimum expectations for branches and internal service functional units regarding ERM processes and related outputs.	1.1 Establish a suggested approach, process, principles, and risk assessment criteria via the Integrated Risk Management Guidelines to conduct a risk assessment not related to public health.	Completed	VP CFOCMB DG CMD
The branch will ensure that the recently updated Integrated Risk Management Policy establish the roles and responsibilities of governance committees, senior management and employees in regard to risk management.	1.2 Establish the roles and responsibilities of governance committees, senior management, and employees in regard to risk management, including the ongoing monitoring, assessment and reporting of ERM.	Completed	VP CFOCMB DG CMD

Planned management action	Deliverables	Expected completion date	Responsibility
Obtain timely approval of the CRP Q4 of 2022-23.	1.3 Obtain President approval of the CRP and Policy and CFOCMB VP concurrence of Guidelines.	Completed	VP CFOCMB DG CMD
The branch will communicate the new ERM CRP, IRM Policy and IRM Guidelines to allow Agency-wide access.	1.4 Post approved CRP, Policy, and Guidelines to the Risk Management Intranet page for PHAC employees to access.	Q1 of 2023-24	VP CFOCMB DG CMD

Recommendation 2

The CFO, in consultation with branch heads and functional area leads, should develop and provide guidance for establishing more robust risk monitoring and reporting processes, including the following:

- ongoing assessment and consideration of the impact of risk responses on underlying risks;
- aligning monitoring and reporting activities with the severity of risks and established tolerance levels; and
- defining risk information requirements in support of the monitoring and reporting plans and processes.

Management response

Management agrees with the recommendation.

Planned management action	Deliverables	Expected completion date	Responsibility
The branch will ensure that a process is established to identify, assess, and discuss the impact of risk responses on underlying risks, as well as aligning the monitoring and reporting activities with the severity of risks.	2.1 Establish an annual Agency Risk Register process to review current controls, mitigation strategies and accountabilities related to risks in the CRP.	Q2 of 2023-24	VP CFOCMCMB DG CMD
	2.2 Update the CRP annually to review relevance and status of risk responses.	Q3 of 2023-24	VP CFOCMCMB DG CMD
Ensure that risk information and requirements are defined in support of the monitoring and reporting plans and processes.	2.3 Make training available to all PHAC employees that provides definitions of risk information on the PHAC risk assessment, monitoring and reporting process	Q2 of 2023-24	VP CFOCMCMB DG CMD

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