

Chief Audit Executive

Annual Report

November 2, 2017

Respect

Excellence

Integrity Intégrité

Leadership

Chief Audit Executive – Richard Rizok

- Hired October 24, 2016
- Secretary of Audit and Evaluation Committee (AEC) for four quarterly meetings
 - November 9, 2016
 - January 1, 2017
 - May 18, 2017
 - August 17, 2017
- Appointed Chief Audit Executive (CAE) August 17, 2017
- CPA/CMA Graduate 2013

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New Policy on Internal Audit

As per the new Policy on Internal Audit, the CAE confirms the following:

- He has not assigned any management or operational responsibilities that may compromise his independence and objectivity with respect to his or her internal audit responsibilities;
- He has unrestricted access to the AEC;
- He has unrestricted access to all records, databases, workplaces and employees to carry out the risk-based audit plan
- He has unimpaired ability to carry out his responsibilities, including reporting issues to the Commissioner, to the AEC and, as appropriate, to the Comptroller General of Canada.

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Provides assurance of:

- Proper oversight of public resources
- Oversight informed by a professional and objective internal audit function
- Guidance that is independent of management
- Responsible stewardship to Canadians

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Completed Audits

Information Technology (IT) and Information Management (IM) Security

- Samson & Associates
- Report completed in September 2016
- Recommendations completed

Security Program Diagnostic Assessment

- RHEA Group
- Report completed in April 2017
- Recommendations still pending

Financial Statements

- Office of the Auditor General (OAG)
- Completed and approved in August 2017

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Important Items Reviewed by the AEC

- Phoenix Pay Issues
- Budgets & Financial Results
- Investigations
- Legal Cases
- Parliamentary Activities
- Results Framework
- TBS Policy Suite Renewal
- Government-Wide Audit Results
- OIC Strategic Priorities
- Departmental Plan (DP) and Departmental Results Report (DRR)
- Governance Structure
- Values & Ethics

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Risk-based Audit and Evaluation Plan 2017-2020

Year	Audit Project Name	Primary OIC Entity	Estimated Budget
2017-18	Threat Risk Assessment (TRA) and Threat Vulnerability Assessment (TVA)	Information Technology (IT)	\$24,000 Complete
2018-19	Performance and Talent Management Review	Human Resources (HR)	\$30,000
2018-19	Audit of Contracting and Procurement	Canadian Human Rights Commission (CHRC) and OIC - Finance	\$35,000
2019-20	Audit of Information Management and Physical Security	Corporate Services	\$25,000
2019-20	Evaluation of Investigations	Senior Management and Complaints Resolution	\$35,000

Questions?

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