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
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.
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
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
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
## Risk-based Audit and Evaluation Plan 2017-2020

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