



**NOVA SCOTIA**

## Chapter 2: Follow-up of 2010 to 2011 Performance Audit Recommendations: Implementation Status by Recommendation

May 2014

Independence • Integrity • Impact

Implementation Status: February 2010 Recommendations

**Chapter 2 – Health (now Health and Wellness): Electronic Health Records**

2.1 The Department of Health should develop a formal IT strategic plan for electronic health records. This plan should detail how and when the remaining EHR initiatives will be implemented and funded.

Status – Not Complete

2.2 The Department of Health should determine all systems necessary to an EHR in Nova Scotia. Further, the Department should ensure these systems are able to communicate and share information.

Status – Not Complete

2.3 The Department should develop a detailed timeline to obtain baseline data and implement a performance indicator system.

Status – Not Complete

2.4 The Department of Health should formally document the process to approve significant IT initiatives, including determining what central government approvals may be required.

Status – Complete

2.5 The Department of Health should adhere to the documented SHARE project change control process.

Status – Complete

2.6 The Department of Health should address inconsistencies in current legislation either by amending the legislation or creating a single piece of legislation to address personal health information. Furthermore, the Department should ensure the resulting legislation adequately addresses concerns expected in an electronic system.

Status – Complete

2.7 The Department of Health should take appropriate action to address remaining risks identified in the privacy impact assessments and threat risk assessments before the SHARE system is operational.

Status – Not Complete

2.8 The Department of Health should require an annual section 5970 audit report if HITS-NS manages services related to the SHARE system.

Status – Not Complete

**Chapter 3 – Education (now Education and Early Childhood Development): Contract Management of Public-Private Partnership Schools**

3.1 The Department should ensure child abuse registry checks are completed prior to hire for all employees working in schools.

Status – Department of Education and Early Childhood Development – Complete

3.2 The Department of Education should ensure criminal record checks are completed prior to hire for all employees working in schools.

Status – Department of Education and Early Childhood Development – Complete

3.3 The Department of Education should ensure all employees working in schools have required emergency first aid and CPR training.

Status – Department of Education and Early Childhood Development – Complete

### Implementation Status: February 2010 Recommendations

3.4 The Department of Education should ensure the developers are completing and documenting the results of all fire safety inspections required under the Fire Safety Act.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.5 The Department of Education should ensure all preventative maintenance is completed in accordance with manufacturers' requirements.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.6 The Department of Education should ensure adequate documentation is maintained to support the provision of required cleaning services under the contracts. The Department should review documentation to ensure cleaning is completed.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.7 The Department of Education should ensure the developers maintain adequate documentation to show maintenance work is completed on a timely basis. The Department should review the documentation to ensure maintenance work is completed on a timely basis.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.8 The Department of Education should establish adequate contract management processes to ensure contracted services are received. These processes should be followed for the remainder of the contracts.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.9 The Department of Education should obtain appropriate supporting documentation from the developers for amounts used in calculating operating payments.  
**Status – Department of Education and Early Childhood Development – Complete**

3.10 The Department of Education should establish adequate contract management processes to ensure payments made under the P3 contracts comply with contract terms. These processes should be followed for the remainder of the contracts.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.11 The Department of Education should maintain a control copy of all significant contracts, which includes all approved changes and supporting documentation.  
**Status – Department of Education and Early Childhood Development – Complete**

3.12 The Department of Education should monitor transactions processed through the sinking funds administered by the developers.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.13 The Department of Education should monitor funds received from the developers concerning technology refresh and furniture, fixtures and equipment.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.14 The Department of Education should develop a contract management manual for use by staff.  
**Status – Department of Education and Early Childhood Development – Not Complete**

3.15 All significant new contracts between the Department of Education and service providers should include audit provisions for the Province.  
**Status – Department of Education and Early Childhood Development – Complete**



Implementation Status: February 2010 Recommendations

3.16 The Department of Education should define measurable service levels for all services in future contracts and these should be included in the contracts prior to signing.

Status – Department of Education and Early Childhood Development – Complete

3.17 The Department of Education should ensure future contracts describe the contract monitoring process, including documentation requirements and sanctions for instances of non-compliance.

Status – Department of Education and Early Childhood Development – Complete

3.18 The Department of Education should work with the developers to assess the risk of not completing periodic record checks subsequent to hiring, determine the appropriate frequency of rechecks, and amend contract terms accordingly.

Status – Department of Education and Early Childhood Development – Not Complete

3.19 Strait Regional School Board should ensure all money due under its contracts with the developer is received.

Status – Strait Regional School Board – Complete

3.20 Cape Breton-Victoria Regional School Board should ensure all money due under its contracts with the developer is received.

Status – Cape Breton-Victoria Regional School Board – Complete

3.21 The Department of Education should consider the information highlighted in this Report when assessing its options at the end of the service contracts.

Status – Department of Education and Early Childhood Development – Complete



## Implementation Status: June 2010 Recommendations

### **Chapter 2 – Economic and Rural Development (now Economic and Rural Development and Tourism) and Nova Scotia Business Inc.: Financial Assistance to Businesses Through NSBI and IEF**

2.1 We recommend that Cabinet instruct all departments and agencies of government to comply with all terms of the Auditor General Act and Public Inquiries Act, cooperate fully with the Office of the Auditor General, and provide the Auditor General with timely and unrestricted access to all information in their possession.

Status – Executive Council Office – Complete

2.2 Nova Scotia Business Inc. should ensure that all practices for both types of payroll rebates are accurately reflected in documented policies and procedures. Policies and procedures should be followed in the review of information and awarding of payroll rebates.

Status – Nova Scotia Business Inc. – Complete

2.3 The Department of Economic and Rural Development should formally document its policies and procedures for the Industrial Expansion Fund. These should include establishing standard application forms, developing a checklist of documents which should be considered and performing a formal risk assessment.

Status – Department of Economic and Rural Development and Tourism – Complete

2.4 The Department of Economic and Rural Development should develop formally documented policies and procedures to process loan payments and for ongoing monitoring of recipients for the Industrial Expansion Fund.

Status – Department of Economic and Rural Development and Tourism – Complete

2.5 The Department of Economic and Rural Development and Nova Scotia Business Inc. should ensure the accounting system used for loans and other assistance at the Industrial Expansion Fund and Nova Scotia Business Inc. can produce a complete and accurate listing of accounts in arrears and an aged accounts receivable listing.

Status – Department of Economic and Rural Development and Tourism – Not Complete

Status – Nova Scotia Business Inc. – Not Complete

2.6 The Department of Economic and Rural Development should establish annual targets which will help assess the effectiveness of the financial assistance through the Industrial Expansion Fund. Once established, results against targets should be reported annually.

Status – Department of Economic and Rural Development and Tourism – Not Complete

### **Chapter 3 – Environment: Management of Contaminated Sites**

3.1 The Department of Environment should ensure sites which are known to be or likely to be contaminated are appropriately assessed and any unacceptable risk to human health and the environment are addressed by the responsible party.

Status – Not Complete

3.2 The Department of Environment should report to Cabinet those contaminated sites where unacceptable risks have not been adequately addressed to ensure Cabinet has appropriate information for policy decisions.

Status – Not Complete



Implementation Status: June 2010 Recommendations

3.3 The Department of Environment should implement timeframes to follow up receipt of site professional reports and ensure timeframes are being followed.

Status – Not Complete

3.4 The Department of Environment should ensure that site professional reports and other information are reviewed in a timely manner based on timeframes established.

Status – Not Complete

3.5 The Department of Environment should develop a formal prioritization process to identify higher-risk contaminated sites. Inspector monitoring activities should ensure priority is given to higher-risk sites.

Status – Not Complete

3.6 The Department of Environment should conduct periodic site visits on certain sites, taking into consideration the level of risk involved, to verify key information reported by site professionals.

Status – Not Complete

3.7 The Department of Environment should complete background checks to ensure site professionals have the education and work experience required under Departmental guidelines.

Status – Action No Longer Required (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments.)

3.8 The Department of Environment should develop standardized cleanup submission requirements as well as standard report formats.

Status – Complete

3.9 The Department of Environment should ensure consultation with the Compliance and Inspection Coordinator and notification to the coordinator and district manager occurs prior to enforcement action being taken.

Status – Complete

3.10 The Department of Environment should ensure closed complaint and notification files are reviewed by management as required. Evidence of review, including the date, should be documented in the file.

Status – Complete

3.11 The Department of Environment should implement time standards for the inspection of a complaint or notification by inspectors and for district manager review of closed files.

Status – Not Complete

3.12 All information related to a complaint and notification file should be accurately reflected in the activity tracking system.

Status – Not Complete

3.13 The Department of Environment should implement the quality assurance program for contaminated site files.

Status – Not Complete

3.14 Management should closely supervise all new inspectors to ensure they are receiving appropriate training and sites assigned to them are properly monitored.

Status – Complete

### Implementation Status: June 2010 Recommendations

3.15 Training on the use of the Development Accountability Model should be completed as soon as possible.

Status – Complete

3.16 The Department of Environment should clearly define and communicate the objectives of the contaminated site program as well as establish outcome measures including reporting on program performance.

Status – Not Complete

3.17 An inventory of known contaminated sites should be established and maintained for management purposes. This should include information on the stage of cleanup and risks involved for each site.

Status – Not Complete

#### **Chapter 4 – Health (now Health and Wellness): Mental Health Services**

4.1 The Department of Health should formally document its evaluation of District Health Authority and IWK Health Centre self-assessments. The Department should also document areas in which improvements are required, make recommendations to increase compliance with standards in the future, and follow up to ensure changes have been implemented.

Status – Department of Health and Wellness – Not Complete

4.2 The Department of Health should prepare a long-range plan documenting steps needed to ensure all District Health Authorities and the IWK Health Centre can fully meet the *Standards for Mental Health Services in Nova Scotia*. This plan should include a timeframe for implementation and should identify funding requirements to fully implement the standards.

Status – Department of Health and Wellness – Complete

4.3 Each District Health Authority and the IWK Health Centre should ensure there is adequate support for its assessment of compliance with mental health standards. Any areas in which there is insufficient information to assess compliance should be reviewed and the District Health Authority or IWK Health Centre should determine how it can obtain the information necessary for the assessments.

Status – Annapolis Valley District Health Authority – Not Complete

Status – Capital District Health Authority – Not Complete

Status – Colchester East Hants Health Authority – Not Complete

Status – IWK Health Centre – Not Complete

4.4 The Department of Health should ensure each District Health Authority and the IWK Health Centre have a robust, evidence-based process to assess compliance with mental health standards.

Status – Department of Health and Wellness – Not Complete

4.5 The Department of Health should review the concurrent disorder standards to determine if these are still valid and if so, require District Health Authorities and the IWK Health Centre to comply with the standards.

Status – Department of Health and Wellness – Complete

4.6 The Department of Health should ensure that the most current version of the mental health standards is available on its website and distributed to District Health Authorities and the IWK Health Centre.

Status – Department of Health and Wellness – Complete

Implementation Status: June 2010 Recommendations

4.7 Annapolis Valley District Health Authority should record the triage category for all mental health patients.

Status – Annapolis Valley District Health Authority – Complete

4.8 The Department of Health should review the mental health standards to ensure each standard is measurable, specific, and can be evaluated.

Status – Department of Health and Wellness – Not Complete

4.9 Colchester East Hants Health Authority, Cumberland Health Authority and Pictou County Health Authority should develop formal, written agreements for inpatient care.

Status – Colchester East Hants Health Authority – Not Complete

Status – Cumberland Health Authority – Not Complete

Status – Pictou County Health Authority – Not Complete

4.10 The Department of Health should ensure future shared services arrangements for mental health services between District Health Authorities or the IWK Health Centre are formally documented.

Status – Department of Health and Wellness – Complete

4.11 The Department of Health should ensure District Health Authorities and the IWK Health Centre are not restricting access to services to local patients only and excluding or limiting services to patients from other District Health Authorities.

Status – Department of Health and Wellness – Complete

4.12 The Department of Health should develop a formal policy to ensure youth transferring to adult services are treated in a consistent manner in all areas of the province. The policy should ensure patients have continued access to services either in the youth or adult system.

Status – Department of Health and Wellness – Complete

4.13 All services available through mental health should be clearly identifiable on District Health Authority, IWK Health Centre and Department of Health websites and in printed formats at clinics and physician offices.

Status – Department of Health and Wellness – Complete

Status – Annapolis Valley District Health Authority – Complete

Status – Capital District Health Authority – Complete

Status – Colchester East Hants Health Authority – Complete

Status – IWK Health Centre – Complete

4.14 District Health Authorities and the IWK Health Centre should formalize communication with physicians in their districts and provide regular updates on the services available.

Status – Annapolis Valley District Health Authority – Complete

Status – Capital District Health Authority – Complete

Status – Colchester East Hants Health Authority – Complete

Status – IWK Health Centre – Complete

4.15 The Department of Health should oversee reviews of mental health data systems throughout the province. This review should identify Department, and District Health Authority and IWK Health Centre information requirements and ensure the information systems in place are adequate for these purposes.

Status – Department of Health and Wellness – Not Complete

4.16 The Department of Health should ensure all District Health Authorities and the IWK Health Centre produce consistent and comparable information.

Status – Department of Health and Wellness – Complete



Implementation Status: June 2010 Recommendations

4.17 The Department of Health should assess whether province-wide wait time information is needed for other mental health treatment areas in addition to outpatient.

Status – Department of Health and Wellness – Not Complete

4.18 The Department of Health should take the lead in establishing consistent wait time measurements for District Health Authorities and the IWK Health Centre. Resulting wait time data should be verified to ensure it is accurate.

Status – Department of Health and Wellness – Complete

4.19 Capital District Health Authority should review its system to calculate wait time information, identify areas in which improvements are required and take steps to implement necessary changes. As part of this review, the District should develop and implement regular processes to ensure its wait time information is accurate.

Status – Capital District Health Authority – Complete

**Chapter 5 – Follow-up of 2007 Recommendations**

5.1 Government should ensure that the Tracking Auditor General Recommendations (TAGR) database is both accurate for the status level of each recommendation, and complete for all published recommendations.

Status – Department of Finance and Treasury Board (former Department of Finance) – Complete

Implementation Status: November 2010 Recommendations

**Chapter 2 – Community Services: Rent Supplement Housing**

2.1 The Department of Community Services should update policy and procedure manuals and establish a process to ensure manuals are reviewed and updated regularly in the future.

Status – Department of Community Services – Complete

2.2 Annapolis Valley Housing Authority management should implement controls, such as periodic file reviews, to ensure applicant placement policies are followed.

Status – Western Regional Housing Authority (former Annapolis Valley Regional Housing Authority) – Complete

2.3 Annapolis Valley Housing Authority management should implement controls, such as periodic file reviews, to ensure applicant rejections comply with program policies.

Status – Western Regional Housing Authority (former Annapolis Valley Regional Housing Authority) – Complete

2.4 The Department of Community Services should establish a formally documented process to assess rental housing development proposals, including unsolicited proposals.

Status – Department of Community Services – Not Complete

2.5 The Department of Community Services should establish and document regular monitoring of units created using subsidies to developers to ensure these units remain affordable for the required ten years.

Status – Department of Community Services – Not Complete

2.6 The Department of Community Services should obtain municipal occupancy permits prior to tenants moving into newly-constructed units.

Status – Department of Community Services – Complete

2.7 The Department of Community Services should update policies for inspection of rental units, including documenting how deficiencies are to be followed up.

Status – Department of Community Services – Complete

2.8 The Department of Community Services, Metropolitan Regional Housing Authority and Annapolis Valley Housing Authority should assess the risks associated with rent supplement housing and determine if annual inspections are required. Policies should be updated to reflect the results of the risk assessment.

Status – Department of Community Services – Complete

Status – Metropolitan Regional Housing Authority – Complete

Status – Western Regional Housing Authority (former Annapolis Valley Regional Housing Authority) – Complete

2.9 The Department of Community Services should establish performance measures and targets for the Housing Authorities, and performance against these targets be assessed on a regular and timely basis.

Status – Department of Community Services – Complete

**Chapter 3 - Community Services: Services for Persons with Disabilities**

3.1 The Department of Community Services should prepare a comprehensive strategic plan for the services for persons with disabilities program.

Status – Complete

### Implementation Status: November 2010 Recommendations

3.2 The Department of Community Services should develop a formal operational plan to address the outstanding recommendations related to the services for persons with disabilities program.

**Status – Action No Longer Required** (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments.)

3.3 The Department of Community Services should establish a process to monitor all goals, objectives and priorities for the services for persons with disabilities program.

**Status – Complete**

3.4 The Department of Community Services should develop performance indicators, with established targets, for all objectives of its services for persons with disabilities program.

**Status – Complete**

3.5 The Department of Community Services should identify the future needs for services for persons with disabilities and determine the service providers, facilities, and human resources required to address these needs.

**Status – Not Complete**

3.6 The Department of Community Services should finalize and implement the revised services for persons with disabilities policy and procedure manual.

**Status – Complete**

3.7 The Department of Community Services should develop specific policies for its small option homes program stream.

**Status – Complete**

3.8 The Department of Community Services should implement a quality assurance process to ensure all classification, assessment and placement policies are followed.

**Status – Complete**

3.9 The Department of Community Services should develop processes to ensure client files demonstrate how the client's needs will be met by the program or document outstanding needs to be addressed by alternate means.

**Status – Complete**

3.10 The Department of Community Services should communicate all services for persons with disabilities program policies to regional staff.

**Status – Complete**

3.11 The Department of Community Services should implement its draft service standards for the residential care sector.

**Status – Not Complete**

3.12 The Department of Community Services should establish processes to ensure individual support plans and individual program plans are prepared in accordance with services for persons with disabilities policies. Additionally, plans should be prepared in a consistent format.

**Status – Not Complete**

3.13 The Department of Community Services should finalize the implementation of revised review and reassessment policies, procedures and forms.

**Status – Complete**

Implementation Status: November 2010 Recommendations

3.14 The Department of Community Services should implement a quality assurance process to ensure reviews and reassessments are performed and documented on a timely basis.

Status – Complete

3.15 The Department of Community Services should finalize and implement its new waitlist policies, procedures and forms.

Status – Complete

3.16 The Department of Community Services should prepare monthly waitlists for the services for persons with disabilities programs. Appropriate procedures should be implemented to ensure the waitlists are complete and accurate.

Status – Complete

3.17 The Department of Community Services should require small option home operators to follow the same incident and complaint policies as other services for persons with disabilities program service providers.

Status – Complete

3.18 The Department of Community Services should implement a reporting system which maintains a centralized record of incidents and complaints and their disposition, and which tracks the status of ongoing items.

Status – Not Complete

3.19 The Department of Community Services should finalize and implement its new policies and procedures related to the notification, follow up and resolution of incidents and complaints.

Status – Not Complete

3.20 The Department of Community Services should implement a formal review process for decisions made during the follow-up of program incidents and complaints.

Status – Not Complete

3.21 The Department of Community Services should finalize and implement its draft special needs policy.

Status – Complete

3.22 The Department of Community Services should review the services for persons with disabilities program payment processes and implement additional controls to ensure amounts paid are in accordance with approved budgets and all supporting documentation and reports have been received.

Status – Complete

3.23 The Department of Community Services should finalize the implementation of its draft residential staffing guidelines.

Status – Not Complete

3.24 The Department of Community Services should provide a letter of understanding to the family or caregiver of direct family support clients outlining the roles and responsibilities of all parties.

Status – Not Complete

3.25 The Department of Community Services should implement signed service agreements and service standards with all service providers.

Status – Not Complete



### Implementation Status: November 2010 Recommendations

3.26 The Department of Community Services SPD program reviews should include testing to ensure clients receive services in accordance with their individual program plans. Additionally, reviews should verify compliance with Department policies.

Status – Not Complete

3.27 The Department of Community Services should implement file checklists and other quality assurance processes to ensure policies and procedures are followed.

Status – Complete

3.28 The Department of Community Services should finalize and implement Regulations related to the Homes for Special Care Act.

Status – Complete

3.29 The Department of Community Services and Executive Council should move forward with the proclamation of amendments to the Homes for Special Care Act.

Status – Complete

#### **Chapter 4 – Service Nova Scotia and Municipal Relations (now Service Nova Scotia): Registry Systems**

4.1 Service Nova Scotia and Municipal Relations should formalize its management monitoring processes and include the requirement to produce and retain evidence of management review of transactions.

Status – Service Nova Scotia – Not Complete

4.2 Service Nova Scotia and Municipal Relations should ensure there are procedures in place at the Land Registry to meet the monitoring requirements of the Land Registration Act Agreement with the Barristers' Society of Nova Scotia.

Status – Service Nova Scotia – Complete

4.3 Service Nova Scotia and Municipal Relations should ensure all of the policies and procedures necessary for the security of its information are current, communicated, and readily accessible to its staff and contractors.

Status – Service Nova Scotia – Not Complete

4.4 Service Nova Scotia and Municipal Relations should formalize its communication with and training of staff on privacy policies and the privacy breach protocol.

Status – Service Nova Scotia – Not Complete

4.5 Service Nova Scotia and Municipal Relations should include follow-up procedures as part of its privacy impact assessment approval process to ensure any identified privacy issues are addressed before new systems or system changes are implemented.

Status – Service Nova Scotia – Complete

4.6 Service Nova Scotia and Municipal Relations should ensure it adheres to the requirements of the Personal Information International Disclosure Protection Act and, specifically, that there is appropriate consent and reporting for all information being sent out of Canada.

Status – Service Nova Scotia – Complete

4.7 Service Nova Scotia and Municipal Relations should ensure no information is shared before signed agreements are in place.

Status – Service Nova Scotia – Not Complete

Implementation Status: November 2010 Recommendations

4.8 Service Nova Scotia and Municipal Relations should monitor information sharing agreements on a regular basis to ensure they reflect all applicable standards and legislation and are relevant to current operations.

Status – Service Nova Scotia – Complete

4.9 Service Nova Scotia and Municipal Relations should use performance measures and other processes, including independent assurance, to determine if external service providers are meeting service level agreements and information maintained is secure.

Status – Service Nova Scotia – Complete

4.10 The Chief Information Office should update security configuration standards based upon industry best practices and require that all government system security configurations be realigned with these standards during the system maintenance life cycles.

Status – Department of Internal Services (former Chief Information Office) – Complete

4.11 Service Nova Scotia and Municipal Relations should regularly review all of its Land Registry accounts to ensure deletion of unnecessary duplicate accounts, deactivation of dormant accounts, and changing of the initial, temporary password.

Status – Service Nova Scotia – Not Complete

4.12 The Chief Information Office should generate unique temporary passwords for all new system accounts to prevent inappropriate access to new accounts before the passwords are changed.

Status – Department of Internal Services (former Chief Information Office) – Complete

4.13 Service Nova Scotia and Municipal Relations should review termination listings from its human resources division on a regular basis to verify the removal of network and registry user accounts belonging to terminated employees.

Status – Service Nova Scotia – Not Complete

4.14 Service Nova Scotia and Municipal Relations should establish a process to ensure user accounts for external contractors are set to expire after a specified period to ensure contractors no longer have access when they are no longer providing services to the Department.

Status – Service Nova Scotia – Not Complete

4.15 Service Nova Scotia and Municipal Relations should ensure there is a process in place that requires the following:

- configuration of its systems to include logs and reports of when user accounts were last accessed;
- regular reviews of reports and logs;
- regular reviews of user accounts and associated access privileges for all existing networks, applications, operating systems and databases; and
- procedures to determine if the owner of an account still requires access, or if certain access privileges need modification or termination.

Status – Service Nova Scotia – Not Complete

4.16 Service Nova Scotia and Municipal Relations and the Chief Information Office should develop a process for identifying, reviewing and implementing patches to their software in a timely manner utilizing Information Technology Infrastructure Library best practices.

Status – Department of Service Nova Scotia – Not Complete

Status – Department of Internal Services (former Chief Information Office) – Not Complete

**Implementation Status: November 2010 Recommendations**

4.17 Service Nova Scotia and Municipal Relations should perform a periodic review of system changes to ensure the retention of all required approvals, testing results and other key documentation.

Status – Service Nova Scotia – Complete

4.18 Service Nova Scotia and Municipal Relations should review all access provided to programmers to ensure there is not a segregation of duties risk that could allow the programmer to develop and implement code without authorization.

Status – Service Nova Scotia – Complete

4.19 Service Nova Scotia and Municipal Relations should use industry-standard secure coding techniques and perform security assessments to prevent security risks in its web applications.

Status – Service Nova Scotia – Complete

4.20 Service Nova Scotia and Municipal Relations should develop processes which ensure all required documentation, as outlined in the Department's project management framework, has been produced or obtained for system development projects.

Status – Service Nova Scotia – Complete

4.21 Service Nova Scotia and Municipal Relations should have formal, documented problem and incident management processes. This should include using help desk software that can identify recorded incidents specific to the Department and provide sufficient reporting to allow for the analysis of such incidents.

Status – Service Nova Scotia – Not Complete

4.22 Service Nova Scotia and Municipal Relations should complete the outstanding items in its business continuity plan, provide training to all relevant employees, and test the plan.

Status – Service Nova Scotia – Not Complete

4.23 Service Nova Scotia and Municipal Relations should negotiate system restoration times and services with the Chief Information Office to allow for the completion of its disaster recovery plans.

Status – Service Nova Scotia – Not Complete

4.24 The provincial datacentre, which is managed by the Chief Information Office, should document a formal disaster recovery plan for the restoration of its systems in the event of a disaster.

Status – Department of Internal Services (former Chief Information Office) – Complete

Implementation Status: May 2011 Recommendations

**Chapter 2 – Follow-up of 2005, 2006, 2007 and 2008 Recommendations**

2.1 The Audit Committee should monitor the implementation status of Auditor General recommendations and report the results of this monitoring process to the House of Assembly. **Status – Department of Finance and Treasury Board (former Treasury Board Office) – Action No Longer Required** (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments.)

2.2 The Audit Committee should actively promote implementation of Auditor General recommendations and target substantively full implementation within four years of their release. **Status – Department of Finance and Treasury Board (former Treasury Board Office) – Action No Longer Required** (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments.)

2.3 The Tracking Auditor General Recommendation system (TAGR) should be updated to ensure it is accurate and complete. **Status – Department of Finance and Treasury Board (former Treasury Board Office) – Complete**

**Chapter 3 – Economic and Rural Development and Tourism: Financial Assistance to Businesses through NSBI and IEF**

3.1 The Department of Economic and Rural Development and Tourism should document and implement processes for Industrial Expansion Fund loan and development incentive assessment and approval. **Status – Department of Economic and Rural Development and Tourism – Not Complete**

3.2 The Department of Economic and Rural Development and Tourism should develop and implement a risk assessment process to assess potential Industrial Expansion Fund loan and development incentive applicants. **Status – Department of Economic and Rural Development and Tourism – Not Complete**

3.3 The Department of Economic and Rural Development and Tourism should improve the filing system used for the Industrial Expansion Fund. Files should contain all information used to assess potential applicants as well as all relevant correspondence between the Industrial Expansion Fund and the applicant. **Status – Department of Economic and Rural Development and Tourism – Complete**

3.4 The Department of Economic and Rural Development and Tourism should develop and use standard checklists to ensure consistent information is collected from potential Industrial Expansion Fund loan and development incentive applicants. **Status – Department of Economic and Rural Development and Tourism – Not Complete**

3.5 The Department of Economic and Rural Development and Tourism should develop a process to ensure the assessment of loans and development incentives through the Industrial Expansion Fund is sufficiently supported. This should include guidelines detailing the appropriate level of assurance required for financial information submitted by the client. **Status – Department of Economic and Rural Development and Tourism – Not Complete**

3.6 The Department of Economic and Rural Development and Tourism should maintain a listing of rejected applications for the Industrial Expansion Fund along with documentation supporting the reasons for rejection. This information should be reviewed by senior management, at least on a test basis, to ensure rejections are appropriate. **Status – Department of Economic and Rural Development and Tourism – Complete**



### Implementation Status: May 2011 Recommendations

3.7 The Department of Economic and Rural Development and Tourism should develop processes to ensure Industrial Expansion Fund development incentive conditions are met and loan agreements are followed.

Status – Department of Economic and Rural Development and Tourism – Not Complete

3.8 The Department of Economic and Rural Development and Tourism should implement a checklist to track the status of all information required in Industrial Expansion Fund letters of offer.

Status – Department of Economic and Rural Development and Tourism – Not Complete

3.9 The Department of Economic and Rural Development and Tourism should develop processes to ensure that Industrial Expansion Fund loan repayments are on time.

Status – Department of Economic and Rural Development and Tourism – Complete

3.10 The Department of Economic and Rural Development and Tourism should develop processes to identify and follow up Industrial Expansion Fund loans in arrears in a timely manner.

Status – Department of Economic and Rural Development and Tourism – Complete

3.11 The Department of Economic and Rural Development and Tourism should determine the standard information which should be examined during Industrial Expansion Fund annual account reviews and develop a process to ensure this information is obtained and documented.

Status – Department of Economic and Rural Development and Tourism – Not Complete

3.12 The Department of Economic and Rural Development and Tourism should document follow-up action in client files when information required by letters of offer is not received in a timely manner.

Status – Department of Economic and Rural Development and Tourism – Complete

3.13 The Department of Economic and Rural Development and Tourism should put processes in place to ensure an accurate monthly arrears report is prepared by Industrial Expansion Fund staff. This report should be signed off by senior management each month and historical copies should be retained in accordance with government records requirements.

Status – Department of Economic and Rural Development and Tourism – Complete

3.14 The Department of Economic and Rural Development and Tourism should consider transferring the administration of the Industrial Expansion Fund to Nova Scotia Business Inc. to ensure appropriate governance, controls, and policies regarding transactions. Alternatively, the Department should implement a similar process with its own governance, controls and policies. This would be achieved by implementing all of the recommendations in this Chapter.

Status – Department of Economic and Rural Development and Tourism – Not Complete

3.15 Nova Scotia Business Inc., in conjunction with its Board, should review and update loan policies and procedures as appropriate.

Status – Nova Scotia Business Inc. – Complete

3.16 Nova Scotia Business Inc. should establish a process to ensure that any policy exceptions are separately identified to the approving authority (generally the Board or one of its Committees).

Status – Nova Scotia Business Inc. – Complete

3.17 Nova Scotia Business Inc. should ensure the accounting system used for loans and other assistance can produce a complete and accurate listing of accounts in arrears.

Status – Nova Scotia Business Inc. – Not Complete

Implementation Status: May 2011 Recommendations

3.18 Nova Scotia Business Inc. should maintain a listing of investment attraction payroll rebates that did not move forward for approval.  
**Status – Nova Scotia Business Inc. – Complete**

**Chapter 4 – Health and Wellness: Colchester Regional Hospital Replacement**

4.1 The Department of Health and Wellness should establish a schedule to review the preliminary budget and approve the final project totals for future capital projects.  
**Status – Department of Health and Wellness – Complete**

4.2 The Department of Health and Wellness and Colchester East Hants Health Authority should prepare a comprehensive assessment of the funding required to operate the new facility at its intended capacity and agree on the level of funding to be provided.  
**Status – Department of Health and Wellness – Complete**  
**Status – Colchester East Hants Health Authority – Complete**

4.3 The Department of Health and Wellness should put a process in place to ensure only complete and accurate information is presented to Cabinet.  
**Status – Department of Health and Wellness – Complete**

4.4 The Department of Health and Wellness should put a process in place to ensure management in charge of significant capital projects complete an adequate review and challenge of key estimates prepared by consultants.  
**Status – Department of Health and Wellness – Complete**

4.5 The Department of Health and Wellness should put a process in place to require regular reviews of grossing factor estimates at significant stages of large construction projects.  
**Status – Department of Health and Wellness – Complete**

4.6 The Department of Health and Wellness should put a process in place to ensure design decisions are made with due consideration of the impact on costs for future construction projects.  
**Status – Department of Health and Wellness – Complete**

4.7 The Department of Health and Wellness should put a process in place to ensure decisions to seek LEED certification for construction projects are supported by an analysis of the costs. Costs should then be tracked over the life of the project.  
**Status – Department of Health and Wellness – Action No Longer Required** (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments.)

4.8 Colchester East Hants Health Authority should put a process in place to ensure all future change orders are compliant with their change order process.  
**Status – Colchester East Hants Health Authority – Complete**

4.9 The Department of Health and Wellness should put a process in place to ensure future construction projects have an agreement on how the size of the facility will be measured.  
**Status – Department of Health and Wellness – Complete**

4.10 The Department of Health and Wellness should require the completion of 30%, 60%, and 90% estimates during the design stage of future construction projects, including significant trade packages for fast track projects.  
**Status – Department of Health and Wellness – Not Complete**



### Implementation Status: May 2011 Recommendations

4.11 The Department of Health and Wellness should sign a contract including clear responsibilities and reporting requirements with its project manager for the Colchester Hospital replacement project.

Status – Department of Health and Wellness – Complete

4.12 Treasury Board should assign responsibility for construction projects in Nova Scotia to a central organization with the necessary expertise to oversee all significant construction projects for all government departments in Nova Scotia.

Status – Department of Finance and Treasury Board (former Treasury Board Office) – Not Complete

4.13 Colchester East Hants Health Authority should conduct a post-occupancy assessment after the new hospital opens to identify lessons learned for future capital projects. The results of this assessment should be shared with the Department of Health and Wellness and central government so that the lessons learned can benefit future projects.

Status – Colchester East Hants Health Authority – Not Complete

4.14 Following the establishment of a central body to oversee large construction projects, Treasury Board should assign responsibility for post-occupancy assessment of large construction projects to this group.

Status – Department of Finance and Treasury Board (former Treasury Board Office) – Not Complete

### Chapter 5 – Health and Wellness: Long Term Care – New and Replacement Facilities

5.1 The Department of Health and Wellness should take appropriate steps to ensure decisions to replace long term care facilities are based on a transparent, consistent process and are adequately supported and documented.

Status – Department of Health and Wellness – Complete

5.2 The Department of Health and Wellness should proceed with the review of the Continuing Care Strategy as soon as possible.

Status – Department of Health and Wellness – Complete

5.3 The Department of Health and Wellness should sign agreements with all long term care service providers within a year.

Status – Department of Health and Wellness – Not Complete

5.4 The Department of Health and Wellness should develop a risk assessment process for subsequent projects.

Status – Department of Health and Wellness – Not Complete

5.5 The Department of Health and Wellness should include wait list information concerning long term care placement on its website.

Status – Department of Health and Wellness – Do Not Intend to Implement

5.6 The Department of Health and Wellness should immediately implement all recommendations made in Chapter 4 of the June 2007 Report of the Auditor General.

Status – Department of Health and Wellness – Complete

Implementation Status: May 2011 Recommendations

5.7 The Departments of Health and Wellness and Community Services should update the Homes for Special Care Act and Regulations to ensure current service delivery standards are included.

Status – Department of Health and Wellness – Not Complete

Status – Department of Community Services – Not Complete

**Chapter 6 – Labour and Advanced Education (now applies to Department of Municipal Affairs): Office of the Fire Marshal**

6.1 The Office of the Fire Marshal should conduct a comprehensive assessment of its operations, including an identification and assessment of fire safety risks and resources needed to address those risks. Subsequent to the assessment, a plan should be developed and implemented to change operations as required. Both the assessment and resulting plan should be completed immediately.

Status – Complete

6.2 The Office of the Fire Marshal should evaluate its operational information needs and its management information systems to ensure that all necessary information is being collected and is available for use by staff and management.

Status – Not Complete

6.3 The Office of the Fire Marshal should ensure that at a minimum, a complete inventory of all buildings requiring inspections by that Office, and all inspection and investigation activities, are entered into the system in a timely manner.

Status – Complete

6.4 The Office of the Fire Marshal should ensure all Deputy Fire Marshals submit activity reports as required.

Status – Complete

6.5 The Office of the Fire Marshal should implement performance standards for Deputy Fire Marshals' activities.

Status – Not Complete

6.6 The Office of the Fire Marshal should implement a system to regularly monitor and assess staff performance.

Status – Complete

6.7 The Office of the Fire Marshal should implement a quality assurance process which includes key operational activities.

Status – Not Complete

6.8 The Office of the Fire Marshal should define minimum standards to be used in determining an appropriate system of inspections for municipalities and update legislation as required.

Status – Not Complete

6.9 The Office of the Fire Marshal should perform fire safety inspections when municipalities fail to complete inspections as required by the Fire Safety Act.

Status – Not Complete

## Implementation Status: May 2011 Recommendations

- 6.10 The Office of the Fire Marshal should implement policies and procedures to follow up deficiencies identified during its reviews of municipalities.  
**Status – Not Complete**
- 6.11 The Office of the Fire Marshal should develop and implement a plan to determine whether municipalities are currently complying with their legislative responsibilities and to ensure that they continue to comply.  
**Status – Not Complete**
- 6.12 The Office of the Fire Marshal should meet their inspection responsibilities as required by legislation and Office of the Fire Marshal policy.  
**Status – Complete**
- 6.13 The Office of the Fire Marshal should ensure that public schools are inspected at the frequency required by the Fire Safety Act.  
**Status – Not Complete**
- 6.14 The Office of the Fire Marshal should define what constitutes a serious fire safety deficiency identified during inspections.  
**Status – Complete**
- 6.15 The Office of the Fire Marshal should implement policies and procedures regarding the inspection reporting method to be used by Deputy Fire Marshals when deficiencies are found.  
**Status – Not Complete**
- 6.16 The Office of the Fire Marshal should implement policies and procedures regarding the time frames required to report deficiencies identified during inspections.  
**Status – Not Complete**
- 6.17 The Office of the Fire Marshal should implement policies and procedures regarding required time frames for building owners to address deficiencies noted in inspection reports.  
**Status – Not Complete**
- 6.18 The Office of the Fire Marshal should implement policies and procedures for adequate follow-up and enforcement of inspection deficiencies.  
**Status – Not Complete**
- 6.19 The Office of Fire Marshal should implement inspection guidelines regarding inspection coverage.  
**Status – Complete**
- 6.20 The Office of the Fire Marshal should implement an inspection checklist which should be signed by the Deputy Fire Marshal.  
**Status – Complete**
- 6.21 The Office of the Fire Marshal should implement policies and procedures related to the documentation and investigation of fire safety related complaints.  
**Status – Complete**
- 6.22 The Office of the Fire Marshal should implement an orientation training policy.  
**Status – Complete**

Implementation Status: May 2011 Recommendations

6.23 The Office of the Fire Marshal should follow up on fire safety deficiencies noted during the review of construction plans to ensure these deficiencies have been appropriately addressed.

Status – Not Complete

6.24 The Department of Labour and Advanced Education should make it a priority to address all recommendations in this Chapter.

Status – Not Complete

6.25 The Office of the Fire Marshal should implement a fire safety education plan based on an assessment of risks. The plan should be monitored and periodically updated where applicable.

Status – Not Complete

**Chapter 7 – Service Nova Scotia and Municipal Relations (now Service Nova Scotia): Registry of Motor Vehicles**

7.1 Service Nova Scotia and Municipal Relations should implement a process to verify that driver examiners meet and continue to meet the position requirements for a valid driver's licence and safe driving record.

Status – Complete

7.2 Service Nova Scotia and Municipal Relations should only issue licences to driving schools and instructors when all licensing requirements have been met and documented.

Status – Complete

7.3 Service Nova Scotia and Municipal Relations should implement a process to follow-up complaints and action items resulting from the review of driving schools. The process should include appropriate file documentation standards and timelines for completion.

Status – Complete

7.4 Service Nova Scotia and Municipal Relations should eliminate the backlog of collision reports for processing.

Status – Not Complete

7.5 Service Nova Scotia and Municipal Relations should implement a process for timely recording of collision reports in the Registry of Motor Vehicles system.

Status – Not Complete

7.6 Service Nova Scotia and Municipal Relations should develop a tracking system to record all 24-hour and 90-day suspension reports and to document those reports referred to Driver Competency for further review. The tracking log should be reconciled periodically to ensure all suspensions have been recorded and the required reviews completed.

Status – Complete

7.7 Service Nova Scotia and Municipal Relations should eliminate the backlog of medical documentation awaiting review.

Status – Complete

7.8 Service Nova Scotia and Municipal Relations should implement and monitor standards for appropriate time frames to review and process medical documents received.

Status – Complete

## Implementation Status: May 2011 Recommendations

7.9 Service Nova Scotia and Municipal Relations should monitor and enforce deadlines for drivers to provide medical assessments within the required time frame.

Status – Complete

7.10 Service Nova Scotia and Municipal Relations should implement standards that set out an appropriate time frame for review of, and action on, high-risk drivers' records. These standards should be monitored for compliance.

Status – Not Complete

7.11 Service Nova Scotia and Municipal Relations should implement a quality assurance process to ensure suspensions and other decisions are accurately recorded in the Registry of Motor Vehicles system and drivers are promptly notified.

Status – Not Complete

7.12 Service Nova Scotia and Municipal Relations should implement one set of criteria to identify high-risk drivers' records which require additional review and intervention action.

Status – Not Complete

7.13 Service Nova Scotia and Municipal Relations should issue motor vehicle inspection licences only when licence requirements are met and documented.

Status – Complete

7.14 Service Nova Scotia and Municipal Relations should implement a process to monitor and ensure stations and testers renew their licences prior to expiry.

Status – Not Complete

7.15 Service Nova Scotia and Municipal Relations should implement policies and procedures to ensure inspection stations return completed sticker books, returned sticker books are promptly reconciled, and discrepancies investigated.

Status – Not Complete

7.16 Service Nova Scotia and Municipal Relations should obtain all outstanding completed sticker books.

Status – Not Complete

7.17 Service Nova Scotia and Municipal Relations should establish a cut-off date in December and cease issuing sticker books to stations that have not renewed their licence by that date.

Status – Not Complete

7.18 Service Nova Scotia and Municipal Relations should implement a risk-based process for inspection station audit selection, set audit targets, and ensure uniform audit coverage across the province.

Status – Not Complete

7.19 Service Nova Scotia and Municipal Relations should implement investigation procedures and management oversight processes for motor vehicle safety inspections.

Status – Not Complete

7.20 Service Nova Scotia and Municipal Relations should provide written guidance for inspectors on enforcement strategies to assist them in determining appropriate action when they encounter vehicle safety inspection violations.

Status – Not Complete

Implementation Status: May 2011 Recommendations

7.21 Service Nova Scotia and Municipal Relations should update its inspector's manual and policies to provide clear and appropriate guidance to motor vehicle safety inspectors.  
**Status – Not Complete**

**Chapter 8 – Service Nova Scotia and Municipal Relations (now Service Nova Scotia): Registry of Motor Vehicles Information and Technology**

8.1 Service Nova Scotia and Municipal Relations should implement and adhere to a transaction review process for all staff members who enter transactions into the Registry of Motor Vehicles systems.  
**Status – Service Nova Scotia – Not Complete**

8.2 Service Nova Scotia and Municipal Relations should improve its management of access to Registry of Motor Vehicles systems, including:

- the use of consistent processes;
- better documentation and tracking of the granting and changing of access privileges;
- provision of access to only the information needed by a system user;
- avoidance of segregation of duties problems;
- more timely deletion of access privileges when they are no longer needed; and
- removal of dormant user accounts.

**Status – Service Nova Scotia – Not Complete**

8.3 Service Nova Scotia and Municipal Relations should develop processes for verifying information received from customers, at least on a test basis subsequent to the transaction.  
**Status – Service Nova Scotia – Not Complete**

8.4 Service Nova Scotia and Municipal Relations should provide fraud training to all staff responsible for assessing the authenticity of identification documents.  
**Status – Service Nova Scotia – Not Complete**

8.5 Service Nova Scotia and Municipal Relations should enforce the requirement that all system users read and sign a confidentiality agreement before being granted access to Registry of Motor Vehicles systems.  
**Status – Service Nova Scotia – Complete**

8.6 Service Nova Scotia and Municipal Relations should create and enforce policies to prevent the retention of personal information that is not required to complete a transaction.  
**Status – Service Nova Scotia – Complete**

8.7 Service Nova Scotia and Municipal Relations should develop access log reports and use them to monitor for inappropriate access to Registry of Motor Vehicles' customer records.  
**Status – Service Nova Scotia – Not Complete**

8.8 Service Nova Scotia and Municipal Relations should have a process to ensure privacy statements provided to customers are accurate.  
**Status – Service Nova Scotia – Not Complete**

8.9 Service Nova Scotia and Municipal Relations should have a process to ensure only necessary information is shared with external organizations.  
**Status – Service Nova Scotia – Not Complete**

## Implementation Status: May 2011 Recommendations

8.10 Service Nova Scotia and Municipal Relations should develop and follow a comprehensive policy with respect to the sharing of Registry of Motor Vehicles' customer information. The policy should indicate all external parties receiving information from and providing information to the Registry of Motor Vehicles, and set out requirements to administer information sharing agreements on a continual basis.

Status – Service Nova Scotia – Complete

8.11 Service Nova Scotia and Municipal Relations should control access to the Registry of Motor Vehicles' training environment and test environment with the same level of rigor used for its live environment. Alternatively, it should not use data from its live systems in its training and test environments.

Status – Service Nova Scotia – Not Complete

8.12 Service Nova Scotia and Municipal Relations should increase the security around the data in its Road Safety Medical System by regularly reviewing user accounts to ensure all accounts are still required, and by changing the configuration settings of the system to require stronger passwords.

Status – Service Nova Scotia – Not Complete

8.13 The Chief Information Officer should test and implement security patches for its Oracle database in a timely manner.

Status – Department of Internal Services (former Chief Information Office) – Not Complete

Implementation Status: November 2011 Recommendations

**Chapter 2 – Disaster Preparedness – Major Government Information Systems**

- 2.1 The Chief Information Office should complete its disaster recovery plan as soon as possible without jeopardizing the completeness and quality of the plan.  
Status – Department of Internal Services (former Chief Information Office) – Complete
- 2.2 The Chief Information Office should establish and implement a strategy that provides restoration facilities in the event the provincial data centre becomes unavailable.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.3 The Chief Information Office should complete a business impact analysis and threat risk assessment in conjunction with its client departments and agencies to assist in the documentation of information system requirements and priorities in the event of a disaster.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.4 The Chief Information Office should ensure documented disaster recovery procedures are sufficiently detailed to avoid reliance on specific staff members.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.5 The Chief Information Office should test the procedures defined to recover from a disaster.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.6 The Chief Information Office should develop a training strategy and provide training on the processes used to recover from a disaster.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.7 The Chief Information Office should document data backup policies and procedures.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.8 The Chief Information Office should ensure all services it receives that are necessary to protect and operate the data centre are covered by a written agreement.  
Status – Department of Internal Services (former Chief Information Office) – Not Complete
- 2.9 The Chief Information Office should separate the data centre from the paper records warehouse.  
Status – Department of Internal Services (former Chief Information Office) – Do Not Intend to Implement (The Office of the Auditor General agrees with this status and this recommendation has been removed from further follow-up assignments)
- 2.10 The Chief Information Office should evaluate the cost and benefits of a gas-based fire suppression system in its current and future data centres.  
Status – Department of Internal Services (former Chief Information Office) – Complete
- 2.11 Corporate Information Systems should perform an assessment to identify key threats and the impact of a disaster affecting both the primary and secondary data centre sites simultaneously.  
Status – Department of Finance and Treasury Board (former Department of Finance) – Not Complete

### Implementation Status: November 2011 Recommendations

2.12 Corporate Information Systems should include procedures required to establish alternate means of network connectivity in its disaster recovery plan so SAP users can access systems at the secondary site.

Status – Department of Finance and Treasury Board (former Department of Finance) – Not Complete

2.13 Corporate Information Systems should execute a written agreement for the supply of space and services needed to operate the SAP secondary site.

Status – Department of Finance and Treasury Board (former Department of Finance) – Not Complete

2.14 Corporate Information Systems should take steps to ensure the communication and distribution procedures of the SAP disaster recovery plan are followed.

Status – Department of Finance and Treasury Board (former Department of Finance) – Complete

2.15 Corporate Information Systems should include procedures with respect to training, awareness and lessons learned in its SAP disaster recovery plan.

Status – Department of Finance and Treasury Board (former Department of Finance) – Not Complete

### Chapter 3 – Agriculture: Meat Inspection Program

3.1 Department of Agriculture management should update the regulations to reflect the current operating procedures of the Nova Scotia meat inspection program.

Status – Not Complete

3.2 Department of Agriculture management should develop and implement a policy to guide inspectors in assigning and documenting severity ratings for deficiencies.

Status – Complete

3.3 Department of Agriculture management should require inspectors to provide a compliance date for addressing all deficiencies.

Status – Complete

3.4 Department of Agriculture management should develop guidance for inspectors to use when assigning compliance dates to deficiencies.

Status – Complete

3.5 Department of Agriculture management should develop and implement a policy respecting the timing of inspector follow-up of deficiencies identified during audits. The policy should include documentation requirements such as when follow-up is performed, the results, and when deficiencies are corrected.

Status – Complete

3.6 Department of Agriculture management should take the steps required to obtain the authority to use other enforcement tools such as tickets when deficiencies are not corrected.

Status – Not Complete

3.7 Department of Agriculture management should develop and implement a policy respecting the enforcement action to be taken when deficiencies are not addressed by the compliance date. The policy should include requirements for documentation of actions taken when deficiencies are not corrected.

Status – Not Complete

Implementation Status: November 2011 Recommendations

3.8 Department of Agriculture management should complete a risk assessment to determine and document the required frequency of audits of slaughterhouses and meat processing plants. Management should take steps to ensure that audits are conducted as required.

Status – Not Complete

3.9 Department of Agriculture management should develop and implement a policy outlining the frequency of water tests, specific tests to be conducted, and the process to be followed if the water needs to be treated. Management should take steps to ensure the policy is being followed.

Status – Complete

3.10 Department of Agriculture management should develop and implement a policy for bacteria testing including the frequency of testing required.

Status – Not Complete

3.11 Department of Agriculture management should take steps to ensure the following are documented in audit reports or supporting files:

- items examined in each area of the facility;
- inspector signoff indicating all required areas have been examined, deficiencies noted, and discussed with responsible facility owner/staff;
- a compliance date for each deficiency reported;
- consequences of not meeting compliance dates; and
- identification of reoccurring deficiencies.

Status – Complete

3.12 Department of Agriculture management should determine their operational information needs including audit and inspection activities, and with the aid of AMANDA ensure the information is collected and available.

Status – Not Complete

3.13 The Department of Agriculture should ensure inspectors submit detailed time reports and the information provided from those reports should be used for resource and performance management.

Status – Complete

3.14 The Department of Agriculture should implement a system to regularly monitor and assess staff performance.

Status – Complete

3.15 The Department of Agriculture should implement a quality assurance process which includes key operational activities.

Status – Not Complete

3.16 Department of Agriculture management should develop and implement a policy related to the documentation and investigation of meat safety complaints.

Status – Complete

### Implementation Status: November 2011 Recommendations

#### **Chapter 4 – Community Services and Health and Wellness: Protection of Persons in Care**

- 4.1 The Department of Health and Wellness and the Department of Community Services should complete and implement their new policy manual.  
 Status – Department of Health and Wellness – Complete  
 Status – Department of Community Services – Complete
- 4.2 The Department of Health and Wellness and the Department of Community Services should establish a process to ensure all complaints are tracked on intake to ensure the complaint was received at the appropriate central office.  
 Status – Department of Health and Wellness – Not Complete  
 Status – Department of Community Services – Not Complete
- 4.3 The Department of Health and Wellness and the Department of Community Services should ensure the revised policy manual reflects current and planned practices. Additionally, processes should be put in place to ensure that all policies are followed.  
 Status – Department of Health and Wellness – Complete  
 Status – Department of Community Services – Complete
- 4.4 The Department of Health and Wellness and the Department of Community Services should implement an appeal process for Protection of Persons in Care investigations.  
 Status – Department of Health and Wellness – Not Complete  
 Status – Department of Community Services – Not Complete
- 4.5 The Department of Health and Wellness should implement a quality assurance program to ensure files meet standards. This should include management signoff for completed reviews.  
 Status – Department of Health and Wellness – Complete
- 4.6 The Department of Health and Wellness and the Department of Community Services should develop processes to ensure that the data recorded in their systems is accurate and complete.  
 Status – Department of Health and Wellness – Complete  
 Status – Department of Community Services – Complete
- 4.7 The Department of Health and Wellness and the Department of Community Services should identify and implement a single information system with appropriate IT support.  
 Status – Department of Community Services – Not Complete  
 Status – Department of Health and Wellness – Not Complete
- 4.8 The Department of Health and Wellness and the Department of Community Services should establish performance indicators to measure achievement towards meeting program goals.  
 Status – Department of Community Services – Complete  
 Status – Department of Health and Wellness – Complete
- 4.9 The Department of Health and Wellness should maintain complete records identifying which facilities have received training on Protection of Persons in Care; this information should be used to determine ongoing training requirements.  
 Status – Department of Health and Wellness – Complete



Implementation Status: November 2011 Recommendations

**Chapter 5 – Energy: Canada-Nova Scotia Offshore Petroleum Board**

5.1 The Department of Energy should evaluate the legislative framework under which the Canada-Nova Scotia Offshore Petroleum Board operates and take the actions necessary to ensure the Board complies with the Nova Scotia Auditor General Act, including full cooperation with the Office of the Auditor General in any audit of the Board's operations. This includes providing the Office with unrestricted access to all information in its possession and acknowledging the Auditor General's right to report to the House of Assembly without interference by the Board or its operators.

Status – Not Complete

**Chapter 6 – Justice: Implementation of Nunn Commission of Inquiry Recommendations**

6.1 The Department of Justice should monitor training of court staff to ensure training is current.

Status – Complete

6.2 The Department of Justice should evaluate and take appropriate action to address the gap between unsupervised bail and pretrial detention for youth facing criminal charges.

Status – Do Not Intend to Implement