

Envoies in Denis de "General"
Boule

(1993-94/156)

4350 FINANCIAL MANAGEMENT AND CONTROL STUDY - GENERAL

- 1974/75

FA
58-29

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GENERAL

General (32 vols)

{ box 1 (vol. 1 to 13)
box 2 (vol. 14 to 23)
box 3 (vol. 24 to 32)

Revenue and Accounts Receivable

✓ -1

box 3

← ✓ -1-1

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CORRESPONDANCE

General (3 vols)

✓ -2 -1

box

-2 -2

Batching Documents Re: TR-S

✓ -2 -3

To Team 1 Sept. 74 to 31 Dec. 74

✓ -2 -4

To Team 1 Jan. 75 to 31 Dec. 75

-2 -5

Central Agency

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ADMINISTRATION

General

✓ -3 -1

Management Letters (2 vols)

✓ -3 -2

Departmental Organizational Arrangements

✓ -3 -3

Senior Financial Officer - Comptroller
Organizational Arrangements

✓ -3 -4

Organization of the Finance Accounting Function

✓ -3 -5

Amendment of Financial Administration Ordinance

✓ -3 -6

1976-77 Administration

✓ -3 -7

Advisory Committee

✓ -3 -8

Internal Control Questionnaires

✓ -3 -9

Need for Stronger Central Direction

✓ -3 -10

Central Direction and Monitoring

✓ -3 -11

Central Group Circulars

✓ -3 -12

box 10

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4350 ADMINISTRATION (Cont'd)

- ✓-3 -13 Interview Assessments (2 vols)
- ✓-3 -14 Resource Allocation Process

- ✓-3 -15 Control Sheets - Team Submissions
- ✓-3 -16 Training Program
- ✓-3 -17 Program Appointment of Liaison Officer
- ✓-3 -18 Improving the Financial Information Parliament Receives
- ✓-3 -19 Visit to OAG by Malaysian Fellows Feb. 78
- ✓-3 -20 Disclosure in Public Accounts
- ✓-3 -21 Administrative Memorandum
- ✓-3 -22 Discussion of the Federal Government Accounting System
- ✓-3 -23 EXAMINATION PROCEDURES

box 11

4350 BUDGET

- ✓-4 -1 Communications of Objectives, Priorities and Requirements for Budget Submissions
- ✓-4 -2 Program Forecasts and Main Estimates
- ✓-4 -3 Presentation, Organization, Budget Reporting
- ✓-4 -4 Estimates 1977-78
- ✓-4 -5 Estimates Demonstration Project 1978-79
- ✓-4 -6 Operating Budget
- ✓-4 -7 Budgetary Control
- ✓-4 -8 Budgetary and Accounting Consequences of Classification

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BUDGET (Cont'd)

- ✓ -4 -9 Cash Flow Pacific Region
- ✓ -4 -10 Government Loans
- ✓ -4 -11 Equity Investment

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TIME REPORTING

- ✓ -5 -1 Time Reporting System
- ✓ -5 -2 Information
- ✓ -5 -3 Field Operations Regional Reporting System
- ✓ -5 -4 Monthly 1978-79
- ✓ -5 -5 Analysis of Reported Hours
- ✓ -5 -6 Analysis of Non-chargeable Hours
- ✓ -5 -7 Executive Interchange Hours
- ✓ -5 -8 Executive Interchange Agreement

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PAY

- ✓ -6 -1 Pay Role
- ✓ -6 -2 Overtime
- ✓ -6 -3 Pay Study Task Force (2 vols)

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PERSONNEL

- ✓ -7 -1 General
- ✓ -7 -2 Contract for Services (2 vols)
- ✓ -7 -3 Staffing Issue

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PERSONNEL (Cont'd)

- 7 -4 Staffing the Financial Function
- 7 -5 Financial Staff
- 7 -6 Executive Interchange
- 7 -7 Executive Interchange Program - Original
- 7 -8 Career Assignment Program (CAP)

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GUIDES AND MANUALS

- ✓ -8 -1 Briefing Binder Material
- 8 -2 Guide to Evaluation of Financial Reporting Systems
- 8 -3 -8-3 (vol.1) Audit Manual (2 vols)
- 8 -4 -8-3 (vol.2) Guide to Auditing the Planning/Budgeting Function
- ✓ -8 -5 General Instructions for Tier I Reports
- ✓ -8 -6 3M - Instructions Manual
- 8 -7 "Corresponding Information" with Other Departments and Agencies
- 8 -8 Authorities Manual Summary

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ACTS

- 9 -1 Government Companies Act
- 9 -2 Canadian Business Corporation Act
- 9 -3 Control Objectives and Questions Act 1974
- 9 -4 Financial Administration Act

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MEETINGS

- ✓-10 -1 Briefing Sessions - Agenda
- <-10 -2 Agenda for Meetings
- 10 -3 Orientation
- 10 -4 1st Round with Administration
- 10 -5 Minutes of Advisory Committee
- 10 -6 Progress Meeting And Pertinent Note
- 10 -7 Meeting - Smith Falls, Ottawa (2 vols)
- 10 -8 Ottawa Meetings September 9 and 16 1974
- 10 -9 ^{-10-9 (vol.1)}
_{-10-9 (vol.2-4)} Symposium - 10 and 11 February 1975 (4 vols)
- 10 -10 Meetings Papers - March 5 and 6
- 10 -11 Meeting May 26, 1976
- 10 -12 Meeting June 24, 1977
- 10 -13 Meeting February 15, 1977
- 10 -14 Meeting June 29, 1977
- 10 -15 Planning Meeting Minutes of 31 August 1977
- 10 -16 Financial Management Institute Meeting March 1978
- 10 -17 Central Group Minutes
- 10 -18 Central Group Minutes and Tier II Issues
- 10 -19 Notes Meeting With DF ASB
- 10 -20 Meetings
- 10 -21 Minutes of Core Group

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PLANNING

- 11 -1 Planning File (5 vols)

- 11 -2 1977-78
- 11 -3 1978-79
- 11 -4 Preparation and Review of Financial Plans
- 11 -5 Audit FMCS Involvement
- 11 -6 Manpower
- 11 -7 Work Plans - Phase I Teams
- 11 -8 Work Plans - Phase II Teams
- 11 -9 Work Program
- 11 -10 Team Planning - Wave II

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WORK IN PROGRESS

- 12 -1 General (2 vols)
- 12 -2 Ledger 31 August 1976
- 12 -3 August 31, 1977
- 12 -4 August 31, 1978
- 12 -5 Manager Summary, J. Kows

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REPORTS

- 13 -1 Sample - Canadian Penitentiary Service Ottawa
- 13 -2 Draft - 1
- 13 -3 Draft - 2 (August 5, 1977)
- 13 -4 Draft - 3 (August 11, 1977)

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4350 REPORTS (Cont'd)

Box 10

- 13 -5 Draft - 4 (September 2, 1977)
- 13 -6 Draft - 5 (September 7, 1977)
- 13 -7 Draft - 6
- 13 -8 Draft - 7
- 13 -9 Draft - 8
- 13 -10 Draft - 9
- 13 -12 Part 8 - Multi-drafts - 1977-78 - annual Report
- 13 -13 Part 7, 8, 9 - Portions to Go Into annual Report
- 13 -14 Part 9 - 1977-78 annual Report
- 13 -15 Annual Report 1978
- 13 -16 1978 Report - Follow-up - Principal's Memo (2 vols)
- 13 -17 1977 Report Chapter 2
- 13 -18 Chapter 7
- 13 -19 Monthly Financial Reports (G. Laviolette)
- 13 -20 Variance Report
- 13 -21 Supplement to the annual Report of the Auditor General to the House of Commons -31 March 1975

4350 TIER I

- 14 -1 General
- 14 -2 Follow-up
- 14 -3 Response from Tier I
- 14 -4 Crown corporations

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TIER I (Cont'd)

✓-14 -5

Public Accounts Committee - Follow-up

-14 -6

Wensforth Problems

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TIER II

✓-15 -1

General - 1974-75-76 (2 vols)

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-15 -2

$\frac{-15-2 \text{ (vol. 1-7)}}{-15-2 \text{ (vol. 7-10)}}$

Follow-up (10 vols)

✓-15 -3

Observations of Treasury Board and Privy Council Office Staff in the Report of FMCS

✓-15 -4

Crown corporations (2 vols)

-15 -5

Original Report - 1st Draft

-15 -7

1974-75 Tier II - Expenditure Questionnaire

-15 -8

1974-75 Follow-up in 1975-76

-15 -9

Listing of Detail Suggestion Supporting the Recommendation

-15 -10

1977 Report

-15 -11

Follow-up 1978

-15 -12

Budgetary Control

-15 -13

Notes on Interview Analysis

Box 13

-15 -14

$\frac{-15-14 \text{ (vol 1)}}{-15-14 \text{ (vol 2&3)}}$

Departments - RL (3 vols)

✓-15-15

Estimate of Revenues Subject to rate setting

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FOLLOW-UP

✓-16 -1

General (2 vols)

✓-16 -2

Memorandum Correspondence

✓-16 -3

Planning (2 vols)

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FOLLOW-UP (Cont'd)

- ✓ -16 -4 Crown corporations
- ✓ -16 -5 Originals
- 16 -6 Rough Hand Notes
- 16 -7 Work Papers
- 16 -8 Drafts
- 16 -9 Departmental
- 16 -10 1975 - Points on Training
- 16 -11 Development of Chapter on Monitoring Remedial Action
- 16 -12 Staffing AUs - FIs
- 16 -13 1977

- 16 -14 Public Accounts Committee - Department 1977 Report
- 16 -15 Departmental Follow-up 1977
- 16 -16 Departments and Agency Report 1977-78
- 16 -17 Questionnaires Year End 31 March 1978
- 16 -18 1978 Planning Approach
- 16 -19 1978 Program Departments
- 16 -20 Cyclical Audit Planning

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PRECIS

- ✓ -17 -1 Annual Report
- ✓ -17 -2 Confirmation

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4350 PRECIS (Cont'd)

- ✓ -17 -3 Departmental Responses
- ✓ -17 -4 Tier I

4350 INTEGRATION

- ✓ -18 -1 Pro Forma Management Letter 1977-78
 - ✓ -18 -2 Team Planning
 - ✓ -18 -3 Translation Original Copy
 - ✓ -18 -4 English Copy
 - ✓ -18 -5 French Copy
 - ✓ -18 -6 Planning Budgeting
 - 18 -7 With SPICE Review
 - 18 -8 Departments 1977-78
 - ✓ -18 -9 Integration Issues Listings Copy
-
- 18 -10 Slides for Overhead Projector Integration Material (3 vols)

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4350 PROGRAMS AND PROJECTS

- 19 -1 Projects Proposed 1978-79
 - 19 -2 FMCS, CADAC, SPICE Audit Project
 - 19 -3 Program Forecasts
 - ✓ -19 -4 FMCS Projects 1975-76 (2 vols)
-
- 19 -5 Summary of 1977 Findings
 - 19 -6 FMCS Study Second Wave

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PROGRAMS AND PROJECTS (Cont'd)

- ✓ -19 -7 Control Evaluations Project Reporting
- ✓ -19 -8 Special Audit and Inquiries
- ✓ -19 -9 Financial Management Task Force

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ORIENTATION

- ✓ -20 -1 Team No. 26
- ✓ -20 -2 Original Copy - Original File

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RECOMMENDATIONS

- ✓ -21 -1 Departments (3 vols)
- ✓ -21 -2 List of Recommendations

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PUBLIC ACCOUNTS COMMITTEE

- ✓ -22 -1 Genral (2 vols)
- ✓ -22 -2 Attendance Question
- ✓ -22 -3 Enquiries August 1978
- ✓ -22 -4 Meetings - 12 June 1975 - Slides
- ✓ -22 -5 Briefing Binder (2 vols)

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TREASURY BOARD

- ✓ -23 -1 Circulars
- ✓ -23 -2 Discussions

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4350 PURCHASING

- ✓-24 -1 Power Control
- ✓-24 -2 Ottawa Region

4350 COMPANIES

- ✓-25 -1 Lowe-Martin Company Ltd. (Printers)
- ✓-25 -2 Alphatext Ltd.
- ✓-25 -3 BOS - Better Office Systems Ltd.
- ✓-25 -4 IBM - Executive Selectric Typewriter
- ✓-25 -5 Olivetti - Typewriter Service

4350 COMPTROLLER GENERAL

- ✓-26 -1 Responsibility Allocation
- ✓-26 -2 Presentation to:

4350 INTERNAL CONTROL QUESTIONNAIRE

- ✓-27 -1 General Segment 1977-78
- ✓-27 -2 Revisions to Incorporate FMCS

4350 OTTAWA PROJECT

- 28 -1 Analysis of Ottawa Study
- 28 -2 Ottawa Project (2 vols)

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MISCELLANEOUS

- ✓ -29 -1 Memoranda (2 vols)

- 29 -2 Information
- ✓ -29 -3 Old Slides

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VARIOUS SECTIONS

- ✓ -30 Chronological File (2 vols)
- ✓ -31 Vote Netting (2 vols)
- ✓ -32 Examination and Permanent File (2 vols)
- ✓ -33 Participants
- ✓ -34 Issues
- ✓ -35 Study Team (2 vols)

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- 36 File of Mr. R. Châtelain (3 vols)
- 37 AGIAC - D.L. Meyers (Auditor General's International Audit Commission)
- ✓ -38 JJM Briefings
- 39 Internal Audit (3 vols) *2nd changed out to Issues*
- ✓ -40 Edit Reviews
- 41 Originals
- 42 P. 6:26
- ✓ -43 10.22 Control Through 10.24 Control Approval
- ✓ -44 Timelessness Accuracy (TIMAC) Presentation 30 August 1977
- 45 Submissions Forms Audit Team
- ✓ -46 Audit Extention Questionnaire
- 47 Frame Objective

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VARIOUS SECTIONS

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Department Examination File

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Sample Examination File (5 vols)

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EXAMINATION FILE - TERMS OF REFERENCE - Section IX

✓50

Blank Folder

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Material Supporting 1974-75 Study

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"F" Financial Control Objectives

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International Civil Aviation Organization (ICAO)

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Slide Presentation

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Exhibits

✓56

News Release and Photographs - Pacific Region

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Revenue Policies

✓58

Symposium February 10/11/75

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Correspondence

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Smith Falls Course - Tape Recordings Sept 1974

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Smith Falls Course - Background Papers Sept. 1974

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Role of the Senior Officer

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Questionnaires - Role of the Financial Function

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Audit Findings

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