

Protected B



Assessment Risk Context

Applicant/Recipient: Society for Building a Healthier Kugluktuk
 Title: IRS 2012-13

Branch/Agency: First Nations and Inuit Health Branch (FNIHB)

Phase: Assess

Duration: On-Going

Risk Profile: Health Portfolio 2011

Programs: CT - FNIHB Programs

Recipient Type: Regular Applicant

Transfer Payment Type: Contribution

Region: Northern Region

City: Kugluktuk (NU)

Created: Paul Hemming (2013-02-20)

Revision Justification: Preparing for 2013/14 amendments

Assess-2012-04

Rating Risk Factors - NS1300025 - 4.00 - Revised - Completed

Applicant - 50%

	Rating	Comment
HR Capacity (Assess)	4	
Financial & Operational Capacity (Assess)	4	
Governance / Management Structure (Assess)	4	
Experience with Proposed Activities (Assess)	2	
Prior History (Assess)	1	
Results of Last Audit (Assess)	N/A	No Audit

Submission - 25%

Materiality (Assess)	1
Complexity	4
Feasibility of submission	3

Other - 25%

Alignment with program objectives	2
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Ability to evaluate / analyze results	3
Sense of unknown	4

Risk Scoring - NS1300025 - 4.00 - Revised - Completed

	Rating	Comment
Applicant	14.47	
Submission	13.33	
Other	13.82	
Overall	14.03	
Achieve	12.89	
Audit	13.98	

General Comments for Risk Scoring

Medium

Risk Tolerance Strategy- NS1300025 - 4.00 - Revised - Completed

Overall

Original Score: 14.03

Activity

Name	Required RTS	Planned RTS
Payments	Initial payment advance of up to 50% of annual budget <u>based on negotiated cash requirements</u> , then balance per approved schedule.	per Required RTS
Holdbacks on Payments	Holdback on capital only (if required)	per Required RTS
Activity Reporting Frequency & Type	<p>Set: 1 annual report Flexible (Transitional), Block (Flexible, Flex Transfer): 1 annual report NIHB: 3 times per year IRS: 1 Annual & 3 Interim HSIF: 1 Annual & 1 Interim</p> <p>+ Implement actions based on FNIHB Intervention Policy (as required)</p>	per Required RTS
Financial Reporting Frequency & Type	<p>Set: 1 interim + 1 annual Flexible (Transitional), Block (Flexible, Flex Transfer): 1 Annual Audit report NIHB: 3 times a year</p>	per Required RTS

	<p>IRS: 1 Annual Audit + 1 Interim Financial Report HSIF: 1 Annual Audit + 1 Interim Financial Report</p> <p>+ Implement actions based on FNIHB Intervention Policy (as required)</p>	
Review of financial and activity reports	Review, follow-up as required, communicate as appropriate, document and file	per Required RTS
Risk Assessment Update	<ul style="list-style-type: none"> • Annual (or more often as required) • At end of agreement/project if not renewing 	per Required RTS
Follow-up with Recipient on Risk Assessment Results	Risk mitigation action required through semi-annual contact + FNIHB Intervention Policy (as required)	per Required RTS

Achieve

Original Score: 12.89

Activity

Name	Required RTS	Planned RTS
Project Management (Actions required to support the recipient in their efforts to demonstrate results according to the approved work plan / Health Plan)	Review & revise work plan with recipient to ensure achievement of results	per Required RTS
Evaluation Management (Actions required to support the recipient in developing an adequate evaluation plan and/or demonstrating availability of data to support assessment of program achievements)	Provide support in developing evaluation and/or data collection & storage tools	per Required RTS

Audit

Original Score: 13.98


Activity

Name	Required RTS	Planned RTS
Audit / financial review	Identify for potential internal or ministerial audit or formal financial review (sampling) Notes: 1. All agreements/recipients are subject to random audit 2. Grants and agreements with provinces/territories are considered for audit on an exceptional basis.	per Required RTS

Supplementary Activities (Optional)

Name	Required RTS	Planned RTS
Other Activity	Please include additional activity	

Approvals

	Risk Officer (RO)	Approval	Second Approval
Name (Please Print):	Paul Hemming	_____	_____
Signature:		_____	_____
Date:	Feb 20 / 13	_____	_____