

**AUDIT
OF
THE CANADIAN HIGH COMMISSION
KINGSTON**

APRIL 2003

Audit Division (SIV)

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EXECUTIVE SUMMARY

An audit of the General Relations, the International Business Development, the Consular and the Administration Programs was conducted in Kingston during the period May 20 to 24, 2002. The previous audit of the Mission was a follow-up audit conducted in March 1994. The Mission is responsible for relations with Jamaica, the Bahamas, Belize, the Cayman Islands and the Turks and Caicos Islands.

MANAGEMENT OF THE MISSION

The Mission has a strong management team and very capable leadership in the Head of Mission (HOM). The Committee on Mission Management is used to coordinate and monitor activities and anticipate future events. However, a formal Mission plan, as well as individual Program plans, would enhance oversight and accountability. Also, more communication and team building efforts, including a restructured LES Committee, would improve morale and Program integration.

GENERAL RELATIONS (GR) PROGRAM

More attention and effort is required in the Public Affairs area. This would require upgrading existing resources and can be accomplished by redistributing the workload between the HOM's Office, Administration and the GR Program and converting the SCY position in the GR Program into LES positions.

INTERNATIONAL BUSINESS DEVELOPMENT (IBD) PROGRAM

The IBD Program under the new Senior Trade Commissioner (STC) has adopted a team approach which has focussed the Program's direction and improved coordination of activities. The Program is following the New Approach providing the six core services to its clients. More effort is required to document plans and to develop targets for outcall activity. Also, HQ support is required to ensure the success of the Program's Virtual Trade Show initiative.

CONSULAR PROGRAM

The Consular Program is effectively managed. Contingency plans and travel reports have recently been updated and a warden system is in place. Passports and other document assets are adequately secured and accounted for. Consideration needs to be given to establishing an Honorary Consul in the Cayman Islands versus the continuing need for one in the Turks and Caicos Islands. Also the high operating costs of the Bahamas Honorary Consul need to be reviewed.

ADMINISTRATION PROGRAM

The Administration Program is well managed and operating effectively. Improvements are required in documenting objectives and priorities and enhancing communications. There is also a need to evaluate the resource configuration of the Program, particularly the roles of the Office Manager and the Property Manager positions. Savings are possible by combining these positions into one Deputy MCO position.

RECOMMENDATIONS AND MANAGEMENT RESPONSES

A total of 32 audit recommendations are raised in the report. Of these, 30 are addressed to the Mission and 2 are addressed to Headquarters (HQ). Management has responded to each recommendation indicating action already taken or decisions made, as well as future action. Of the 32 recommendations, management has stated that 15 recommendations have been implemented. For each of the remaining 17 recommendations, management has indicated the initiatives in progress or the intended future action.

MANAGEMENT OF THE MISSION

1.1 Overview

1.1.1 The Mission is headed by a very experienced HOM. The HOM's leadership is demonstrated by the recognition and appreciation of Program Managers and staff for the level of support provided and the involvement and interaction with Mission Programs. Observations are being raised related to planning, communications and LES morale.

1.2 Planning

1.2.1 Mission operations are monitored and coordinated through weekly meetings of the Committee on Mission Management (CMM) and through on-going involvement and interaction of the HOM in Program activities and events. A more structured approach, with goals and objectives flowing from the HOM's Performance Agreement and articulated in work plans for each Program, would enhance management oversight, improve accountability of Program Managers and provide assurance that results are achieved.

Recommendation for the Mission

1.2.2 Develop a Mission Plan based on the goals, objectives and planned activities of each Program.

Mission Response

1.2.2 We agree with this recommendation and will put together a Mission work plan based on the individual program work plans (and managers' performance agreements). It will also require input from LGD/LCR in terms of the HQ regional (Americas) and sub-regional (Caribbean) strategies, complemented by CIDA's already formulated strategy for Jamaica. The Plan should be in place in January 2003.

1.3 Communications

1.3.1 It was noted by many staff members that communications could be improved both at the Program and at the Mission levels. While various meetings are held and day-to-day communications are effective, it was felt that these are insufficient and that most communications occur on a reactive basis and are primarily downward. The use of regular staff meetings, to share the Mission's vision and Program direction, activities and events, to explain rationale regarding decisions taken and to allow for questions and discussions, would be useful in enhancing Program coordination, team

work and morale. Other suggestions made include more visibility and contact with the HOM, annual retreats/team building exercises, both Mission-wide and Program-based, and distribution of the CMM minutes.

1.3.2 The Locally Engaged Staff (LES) Committee requires restructuring. Currently two representatives have been elected by the LES to act as spokespersons. Rather than meeting as a group, these representatives relay to management concerns and issues that have been raised individually by their colleagues. This does not allow for issues and concerns to be discussed and vetted in a group forum, where the benefit of collective knowledge and experience can be applied to resolve issues, to provide proper context and background, and to determine the extent and nature of issues raised. Furthermore, without a group forum it is difficult to establish effective two-way communication between management and the LES.

Recommendations for the Mission

1.3.3 In consultation with staff, Mission Management should examine options aimed at increasing communications and team building.

1.3.4 The LES Committee should be reconstituted with meetings held monthly and quarterly updates with management.

Mission Responses

1.3.3 This recommendation has already been the subject of a preliminary discussion in a general meeting with all staff in early June to review the results of the Inspection/Audit. CMM minutes are now being made available to all staff as soon as completed. In light of the early positive response to restructuring the LES Committee, to instituting a TGIT and to other Mission-wide activities, further team building exercises will depend on how current activities improve our situation. Already the HOM and Program Managers are actively seeking to enhance communication with all staff and increasing visibility.

1.3.4 The LES Committee has been reconstituted with locally developed Terms of Reference, a regular schedule of meetings and proposed events/activities. This has been a shared operation between the LES and Mission managers, but very much at the initiative of the LES. LES will hold general meetings bi-monthly, the LES Committee will meet monthly and the Committee and management will meet bi-monthly.

GENERAL RELATIONS PROGRAM

2.1 Management of the Program

2.1.1 The General Relations (GR) Program is managed by an FS-02 in an EX-01 position. Resources supporting the GR Program include a LE-06 Public Affairs Assistant and a SCY-03. The Program is focussed on working with local ministries on issues of crime and public security, promoting bilateral relations, reporting on upcoming elections, OAS issues, Jamaica's CARICOM role, and supporting visits from the Prime Minister and other dignitaries and delegations. Trade policy issues include reporting on and facilitating an enhanced trade agreement, economic conditions in Jamaica, and the Caribbean as a single market and economy. Public Affairs activities include participating in local cultural events, academic fairs, provision of information to the public, speech writing, issuing press releases and managing PIF funds.

2.2 Planning

2.2.1 The Program's activities are based on the goals, objectives and priorities established in LGD's business plan and the HOM's Performance Agreement. These are augmented and adjusted through on-going discussion with and direction from the HOM and periodic tasking from HQ. The Program does not incorporate these activities into a formal plan. A more strategic and formal approach could be beneficial in linking HQ and HOM priorities to Program goals and objectives and then incorporating these into a work plan which identifies related operational activities, assigned responsibilities, time lines, resource requirements and expected outputs. A work plan can also be an effective management and communication mechanism between the HOM and Program Manager and program staff.

Recommendation for the Mission

2.2.2 The GR Program should develop detailed work plans and report against these to Mission management and HQ.

Mission Response

2.2.2 The General Relations Program will develop a detailed work plan which will be ready by December 1, 2002.

2.3 Public Affairs

2.3.1 The Public Affairs agenda has not received the attention and resources required to properly promote Canada's profile, to increase contacts with the community, to participate in cultural events and outreach activities, and to provide support to and

coordinate the activities of other Mission Programs. The Public Affairs Assistant is engaged in lower level work primarily consisting of providing information to the public and preparing press clippings. There is a need for more proactive activities that have a higher value-added to Program objectives. The development of a work plan for the Program will facilitate the identification of these activities and the resources required. Ideally an officer level position would ensure the skills and abilities required for an effective Public Affairs function.

Recommendation for the Mission

2.3.2 The Mission should consider creating an officer level position for Public Affairs activities.

Mission Response

2.3.2 The Mission agrees that there is a need for a more comprehensive, dynamic and outward-looking Public Affairs Program and that some of the current deficiencies are attributable to the fact that the LES Public Affairs position is classified at a junior-non-officer-level. We accept in principle the proposal to create a new position at the officer level. However, we wish to make a more complete assessment of how realistic an enhanced program could be, given the limited resources available from HQ. Our assessment of this proposal will also be influenced by our conclusions with respect to recommendation 2.4.3.

2.4 Resources

2.4.1 The current configuration of resources could be enhanced to provide more capability within the GR Program. In addition to the Public Affairs Assistant, a SCY-03 reports to the Program Manager. This position supports the Program in arranging logistics for the military training program but is primarily engaged in administrative duties such as flight clearances, diplomatic bags, C-4, registry and arranging programs for the Program Manager and the HOM.

2.4.2 The HOM is supported by an AS-02 whose responsibilities include social secretary duties. Through rearranging current workloads and converting the SCY-03 position, the Mission can increase the level and number of LES positions and therefore the resources available to the GR Program. This can be accomplished by assigning the SCY-03 administrative workload to administration and to the HOM Assistant and reassigning the HOM Assistant's social secretary duties to the Public Affairs Assistant. With the resource savings from the SCY-03 position, a LES Public Affairs Officer position can be created and, if justified, another Assistant position. A business case

detailing the operational benefits, financial costings and human resource implications needs to be developed for consideration by HQ.

Recommendation for the Mission

- 2.4.3 The Mission should develop a business case for rationalizing workload redistribution to create an Officer position in support of the GR Program.**

Mission Response

- 2.4.3 This recommendation is interconnected with recommendation 2.3.2. We fully appreciate and support the rationale for transferring to an LES position HOM social secretary functions as well as flight clearance and military training activities, thereby freeing up the SCY-03 position for redeployment to a possible LEP position and another LES if necessary. The most logical candidate to be assigned these functions would appear to be the position currently designated as Public Affairs Assistant. This in turn reinforces the business case for restructuring the Public Affairs section and the creation of an Officer-level position. As stated previously, we need to further assess the potential of that program before fully committing to proceeding with this proposal. We are fairly certain at this stage that “another assistant position” will not be required.**

INTERNATIONAL BUSINESS DEVELOPMENT (IBD) PROGRAM

3.1 Overview

3.1.1. The Trade Program in Jamaica is dedicated to the development of commercial relations between Canada and the territory encompassing Jamaica, the Bahamas, Belize, Turks and Caicos Islands and the Cayman Islands. The Program is headed by a Senior Trade Commissioner (FS-02) who is supported by two Commercial Officers (LE-09) and a Commercial Assistant (LE-05).

3.2 Management

3.2.1 The STC has considerable previous trade experience and has been in the position for nine months. Prior to the STC's arrival, the Program lacked direction and the COs were operating independently. The STC has introduced and insisted upon a team approach from his staff. This has resulted in better coordination of activities and the sharing of information. Communications have been enhanced within the Program through weekly staff meetings and through open door accessibility to the STC by staff. Teamwork has been enhanced by encouraging discussion of issues and soliciting suggestions and ideas from staff. Staff appreciates the direction being taken and the involvement of the STC.

3.2.2 Given that the Trade Program in Kingston is small and staff is experienced, no formal planning is being done as such exercises are considered of little utility in relation to the effort required. Yet the Program has embarked on unique initiatives in addition to its regular work which are the type of activities that require a planning framework to keep them on track. The results will generate new initiatives and activities also requiring a proper planning framework.

3.2.3 A work plan is a useful tool to describe and document objectives and the specific activities required to carry out these objectives, to establish priorities and expected outputs, to determine time frames and to allocate resources. As a management tool, work plans can also be used as a communication mechanism in monitoring performance and reporting on achievements throughout the year.

Recommendation for the Mission

3.2.4 The Mission should develop a work plan for the Trade Program.

Mission Response

3.2.4 The Trade Program has produced and used an informal outline work plan in the past. The informal work plan will be fleshed out into a more comprehensive work plan format, which will be used to guide

and monitor the progress of the Trade Program. This will be put in place by December 1, 2002.

3.3 New Approach

3.3.1 The Trade Program is effectively delivering the Trade Commissioner's New Approach to Canadian businesses and client partners. Staff has a good knowledge and understanding of the New Approach and is providing the six core services as intended and referring clients to additional service providers when appropriate. Staff, including the STC, is assigned responsibilities based on a division of sectors. In addition, one Officer is the WIN Systems Coordinator, the other Officer is the Mission Web Site Coordinator, while the Assistant is the Canada/Export Champion, Trade Web Site Coordinator and is responsible for the Info Centre.

3.3.2 The Commercial Assistant (CA) receives and screens all telephone, e-mails, fax, courier and postal enquiries directed to the Trade Program. These are then directed to the appropriate Officer for action with a copy to the STC. The CA responds to low level routine enquiries and monitors all enquiries to ensure that established service standards, such as the five day response requirement, are adhered to. The system in place conforms to TCS's Info Centre concept that is highlighted on the Horizons Web Site under "Best Practices".

3.3.3 In addition to responding to enquiries, Program activities include working with Canadian exporters by participating in trade shows, supporting trade missions, and conducting research on market sectors, gathering market intelligence through out calls, analysing tendering opportunities and disseminating this information through IBOC, back to Canadian companies.

Out Calls

3.3.4 Out calls are a key feature of the New Approach. This has been recognized by the Trade Program and a target was established requiring Officers to devote 20% of their time to out calls. Actual time spent on out calls is closer to 10%. More emphasis needs to be given to out calls and related activity, providing more balance between proactive, higher value-added initiatives and the traditional reactive activities related to responding to enquiries, attending trade shows, etc. More guidance to staff is required as to the differing nature of out calls (proactive, reactive, existing contacts, speculative, etc.) and how these are strategically related to the Program's objectives.

Recommendation for the Mission

3.3.5 The Mission should develop a program of out calls setting appropriate targets, in conjunction with its overall strategy.

Mission Response

3.3.5 As the above comment notes, there is already a target of 20% of officer time to be spent on out calls, but we have failed to meet this target. The establishment of the VTS has required considerable in-office time. With its implementation, the responsible Commercial Officer will be out of his office on calls even more than the target time. While our other Commercial Officer has increased out calls, we will emphasise the objective of a minimum of 20% of time in the work plan.

3.4 Other Initiatives

3.4.1 The Trade Program has set in motion several initiatives to provide enhanced service to its clients. One initiative already completed is a business directory of Information and Communications Technology companies who are interested in doing business in the Caribbean region. This directory includes a profile of 18 companies, highlighting their products and services, interest in the Caribbean and contact information.

3.4.2 A second initiative, the Trade Analyser Project, has longer term implications and is aimed at determining the feasibility of establishing a trade distribution/goods breakdown centre in Kingston that could serve the entire Caribbean region. The rationale is to derive cheaper transportation costs for Canadian exporters rather than the present necessity of shipping goods by land through Miami for reshipment to final Caribbean destinations.

3.4.3 An innovative pilot project is the development of the Health Care Virtual Trade Show (VTS). This project is intended to link Canadian sellers to Caribbean buyers by building an on-line trade show. The VTS would solicit vendors to present their products and services on-line and would be set up in a similar manner to a real trade show. Visitors to the site would have to register in order to gain access. Likewise, vendors would have to meet various requirements and agree to conditions as determined by the organizers. Information would be subject to periodic update and verification.

3.4.4 The Mission hopes that the model of VTS can be applied to other sectors and to other missions, particularly for smaller markets where traditional trade shows would not be practical. The VTS project is currently stalled in procedural complications mainly concerning the 'common look and feel' criteria required of all government and departmental web sites. The Mission's perspective is that this is an extension of a trade show and in order to be dynamic and responsive to the commercial environment, should not be subjected to the same requirements as an official web site. We view this as a potentially fruitful initiative. Given the potential for this project, support from all levels, including the responsible HQ Geographic Bureau and TCS, needs to be

elevated to address existing procedural obstacles and ensure success of the VTS initiative.

Recommendation for the Mission

3.4.5 The Mission should elevate the communication of its project requirements to HQ.

Mission Response

3.4.5 This has been done and there has been a noticeable improvement in cooperative effort by the responsible staff in all concerned Headquarter's Divisions.

Recommendation for LCR

3.4.6 In consultation with TCS, LCR should consider developing a strategy to support Kingston's VTS pilot.

LCR Response

3.4.6 LCR will meet shortly with LIA's Web Program Manager, TCM and SXIA, to discuss the Department's continued support of this project.

CONSULAR PROGRAM

4.1 Overview

4.1.1 The Consular Program is managed by the MCO with day-to-day operations the responsibility of an LE-09 Consular Officer. The Consular Officer is assisted by two LE-06 Consular Assistants. A part-time employee is engaged periodically on an emergency basis. Responsibility for Consular operations extends beyond Jamaica to the Bahamas, the Turks and Caicos Islands, Belize and the Cayman Islands. There are Honorary Consuls in Montego Bay, Jamaica, the Bahamas, the Turks and Caicos Islands and Belize. There is no Honorary Consul in the Cayman Islands although arrangements have been made for Canadian citizens to pick up their passports and citizenship applications at the Cayman Passport Office in George Town.

4.2 Management of the Program

4.2.1 The Program is effectively managed with the MCO devoting approximately 20 percent of his time to Consular operations. Bi-weekly meetings are held with all staff to review Consular cases and the workload. Work is effectively divided and balanced between both Assistants, with the Consular Officer working overtime as required. All three employees have received Consular training in Headquarters. There is adequate bilingual capacity in the Section as both the MCO and Consular Officer are bilingual. Both Assistants are enrolled in French language training. Contingency Plans and Travel Reports for each area of accreditation have recently been updated. An effective Warden system is in place with eight Wardens in Belize, seven in the Cayman Islands, six in Jamaica and two in the Bahamas. There is no Warden in the Turks and Caicos. Wardens are provided a handbook to which they can refer. In Belize, the Consular Officer held a conference to train the Wardens in that country. A three-day Consular Assistants Conference was held in Kingston May 28-30, 2002.

4.2.2 Headquarters is concerned that monthly COMIS reports have not been received dating back to January 2001. The three Consular staff input information daily into COMIS but this information has not been transmitted to Headquarters. When brought to the attention of the Program Manager, steps were taken immediately to transmit the required reports.

4.2.3 The limited travel budget (\$12,000 shared between Administration and Consular) precludes the Program from visiting the areas of responsibility as frequently as the Program believes necessary. Last fiscal year, Belize was visited once by the Consular Officer and the Cayman Islands three times. The Turks and Caicos were visited by the MCO and he is planning to visit the Bahamas in the next few months.

4.2.4 The Mission is seeking to establish an Honorary Consul in the Cayman Islands. This would reduce the requirement to visit the Caymans as frequently and

reduce the strain on the travel budget. It is estimated there are close to 2,500 Canadians living there. In calendar year 2001, 355 passports were issued to Canadian citizens in the Caymans and there were 13 Consular cases. Two individuals are in prison. A staff officer in the Governor's Office is doing quarterly visits to these prisoners on behalf of the Program. There is a Transfer of Offenders Treaty with the Cayman Islands. To date, funding has been the main deterrent in establishing an Honorary Consul in the Caymans.

4.2.5 The need for having an Honorary Consul in the Turks and Caicos should be carefully evaluated. In 2001, there were only 57 passports issued in the Turks and Caicos and there were four Consular cases. An estimated 800 to 1,000 Canadians live there (these numbers are declining) with only 21 registered in the ROCA system.

4.2.6 The cost for having Honorary Consuls in the areas of accreditation in the fiscal year 2001-2002 amounted to \$222,000. The Bahamas is the most expensive location, where \$108,573 was spent ***. The Bahamas office hours are from 7:30 am to 1:00 pm five days a week. The Turks and Caicos operations cost \$23,336 ***. Belize and Montego Bay operations amounted to \$48,559 and \$41,600 respectively. A careful evaluation of the Bahamas operations is needed in light of its costs relative to the other operations.

Recommendation for JPP

4.2.7 **JPP should evaluate the need for having an Honorary Consul in the Turks and Caicos Islands.**

JPP Response

4.2.7 **This issue was the subject of discussions earlier this year between JPD and the Head of Mission in Kingston. It was agreed that a decision on the continuing need for an Honorary Consul in the Turks and Caicos would be made in conjunction with the expiry of the current Honorary Consul's Order in Council appointment in August 2003. Renewal of the appointment would be subject to the recommendation of the supervising Mission, as well as the support of the Consular Bureau and the relevant geographic and trade branches.**

Recommendation for the Mission

4.2.8 **An evaluation of the costs of the Bahamas Honorary Consul operations should be conducted to ensure costs are justified and the Mission is receiving value-for-money.**

Mission Response

4.2.8 A review of operational expenditures of the Honorary Consul's office in the Bahamas shows regular administration and maintenance costs related to the operation of a very busy office in a high cost country where all goods and services are paid in US currency. It also indicates that we do get value for money from our Honorary Vice-Consul. It should be noted that all aspects of the Consulate's operations, both administrative and consular, are handled by the Honorary Vice-Consul who is paid an equitable salary based on local Bahamian rates of remuneration for the specialized type of work performed. ***

4.3 Service to Canadians

4.3.1 Consular office hours are from 8:00 am to 12 noon Monday through Friday. Consular Standards call for passports to be issued within 5 days for walk-in clients and 10 days for applications received by courier. These standards are currently being respected. Consular Service Standards are posted in the waiting area as is the schedule of fees. Payments are received in Canadian, US and Jamaican dollars. A small cash float *** is available to make change, and a cash register is maintained to control revenue. The Mission's web site dealing with Assistance to Canadians is continuously updated to reflect changing conditions.

4.3.2 Canadians requiring emergency Consular services outside office hours are connected directly to the 24-hour Watch Office in Ottawa. The Consular Officer serves as the duty officer and is contacted by Ottawa as the need arises. Calls outside office hours from Ottawa are now much less frequent than prior to October 2001 when Air Canada cancelled its weekend flights to Kingston.

4.3.3 In Jamaica there are currently 12 Canadians in prison (3 males and 9 females). The majority are being held on drug-related charges. Males are visited every four weeks by the Program, while females are visited every eight weeks. Males have no access to phones while females do.

4.3.4 Registration of Canadians is strongly encouraged in the countries for which the Program is responsible. Currently 858 Canadians living in Jamaica are registered with the Mission. The number of Canadians living in the country, many of whom are dual nationals, is estimated at 3,500. In Belize 864 of an estimated 3,000 are registered while in the Bahamas 620 of an estimated 2,000 have registered with the Honorary Consul. The Cayman Islands only show 35 Canadians registered but the Program intends to pro-actively encourage more Canadians to register in the coming months.

4.4 Passports

4.4.1 Passport volumes are increasing. The Consular Program issued 1,435 passports during the calendar year 2001. During the initial four months of this calendar year numbers are on the increase when compared to the same period a year earlier. Between January and April 2001, 454 passports were issued compared to 628 during the same period this year, an increase of 38 percent. Between June and September passport activity is normally heightened and emergency help is hired to assist operations during this period. The increase in passport activity is being attributed to two things: since September 11, 2001, travellers are now strongly encouraged to travel with official documents (not merely a driver's licence or birth certificate) and, effective last fall, children can no longer travel without a passport. The Program is currently adequately resourced to handle this increased volume.

4.4.2 A reconciliation of passports on hand to the Mission Passport/Label Inventory and Record of Issues Report and the Monthly Register of Passport Services Report was carried out by the Audit Team on May 22, 2002. All passports were accounted for and it was noted that passports and labels are appropriately secured.

ADMINISTRATION PROGRAM

5.1 Management of the Program

5.1.1 The Program is effectively operating under the direction of a Management Consular Officer (MCO), an AS-04 in an AS-06 position. Support is provided by a Senior Administrative Assistant (LE-05) and a CBS Office Manager (CR-04 in a CR-05 position) who has reporting to him an Accounting staff of three (LE-06 and two LE-04s), a LE-08 Systems Administrator, a LE-04 Administrative Assistant and a LE-04 Receptionist. There is also a LE-08 Property Manager reporting to the MCO who supervises a LE-05 Property Assistant, three Maintenance Assistants and three Driver/Messengers. The Program is well resourced and Program Managers and staff are pleased with the quality of services delivered by the Program. Service standards developed in 1997 are currently being updated and will be issued shortly. The HOM is supportive of the MCO and meets regularly with him throughout the week.

5.1.2 While the Program benefits from strong and experienced management, there is an opportunity and a need to articulate the Program's objectives and priorities and identify expected results. A work plan is also needed to illustrate the Program's planned activities as a mechanism to communicate the direction in which the Program is headed and as a control to monitor performance and report on achievements. A more formal communications structure would also benefit the Program. Currently, there are no staff meetings although the MCO meets with his supervisors almost daily. A weekly meeting with supervisors and a Program-wide meeting once a month would, according to employees, be welcomed and would allow for an exchange of ideas and a review of Program priorities.

Recommendations for the Mission

- 5.1.3 **Goals and objectives should be developed for the Administration Program by the HOM and expressed in qualitative and quantitative terms as a basis for measuring performance and establishing accountability.**
- 5.1.4 **A comprehensive Administration work plan should be developed to identify planned activities in relation to the Program's goals and objectives. This work plan should be used as a control mechanism to monitor performance and as a communication tool to report results.**
- 5.1.5 **Weekly meetings should be held between the MCO and supervisors and a monthly meeting should be held with all Program staff to ensure communications are understood and acted upon.**

Mission Responses

- 5.1.3 Goals and objectives will be developed by the HOM in consultation with the Program Manager and will serve as a basis for measuring performance and accountability. The target date is December 1, 2002.**
- 5.1.4 A comprehensive Administration work plan will be developed by the Program Manager in consultation with his supervisors. Target date: December 1, 2002.**
- 5.1.5 Weekly meetings with supervisors are taking place and a monthly meeting with all Program staff has been instituted.**

Program Resources

5.1.6 The Administration Program is well-resourced. There are currently 17 employees in the Program including the MCO and the Office Manager. There is a need to closely re-evaluate the configuration of the Program, in particular the role of the Office Manager and the LE-08 Property Manager.

5.1.7 The Office Manager is responsible for supervising an Accounting staff of three and a Systems Administrator, all highly specialized positions. In addition, he exercises spending authority (Section 34 FAA) on financial documents which average 135 cheques per month. In reality, little, if any, supervision is being provided to these individuals. The Office Manager has had little training in IMS and is not engaged in the financial processes of the Mission. The Mission receives little value-added from this position.

5.1.8 The LE-08 Property Manager administers activities relating to the Chancery, Official Residence and SQs, manages renovation projects, manages the Chancery cleaning contract and ensures the Chancery HVAC system, which is contracted out to a local service provider to maintain, is functioning properly. He supervises a staff of seven, including three Driver/Messengers.

5.1.9 Savings could be realized by combining the duties of both the Office Manager and the Property Manager positions into a Deputy MCO position. The Deputy could also take on some of the duties (bags and courier runs) currently performed by the second Canada-Based SCY position employed in the GR Program. This job package would offer opportunities in all Administrative disciplines (i.e., finance, property, informatics and management) for a newly recruited officer under the tutelage of an experienced MCO.

Recommendation for the Mission

- 5.1.10 The Mission, in consultation with HPF and LGD, should consider combining the duties of the current Canada-Based Office Manager and the LES Property Manager positions into a Deputy MCO position.**

Mission Response

- 5.1.10 The Mission endorses the recommendation of combining the duties of both the Office Manager and the Property Manager positions into a Deputy MCO position. Discussions and consultations are already under way with HPF and AAM. LGD/LCR have been apprized of our positive consideration of this recommendation. The target date for implementation is the summer of 2003.**

5.2 Human Resources

5.2.1 The management of Human Resources is the responsibility of the MCO who is assisted in the day-to-day operations by the Senior Administrative Assistant. The Mission has 51 Locally-Engaged positions, one of which is filled by a spouse and another by a summer student. There has only been one staffing action and one re-classification over the past fifteen months. Twenty-three LES are at the maximum of their salary band.

5.2.2 Personnel files are well maintained. Last year, the Mission embarked on an exercise to bring all Enhanced Reliability Checks (ERCs) up-to-date. As well, job descriptions for LES were all re-written. At the time of audit there were several appraisals that were outstanding, nine of which are in Administration. Seven of these had been completed and are with the MCO for review. It is important that performance be assessed even if the employee is at the maximum of the salary band.

5.2.3 Leave and attendance is well controlled and reports showing the individual's leave credits are provided to staff bi-annually in April and September. This bi-annual report is manually produced by the Senior Administrative Assistant from individual leave records maintained in Quattro-Pro. Its preparation is both time-consuming and subject to error. There is no summary report that shows a listing of the staff with their opening balance, type of leave taken and closing balance. This is a report that can be produced for management electronically from the information already contained in the data base. There are some individuals currently who, with management approval, are in a deficit leave position. The SA indicated he would look into producing this report in electronic format.

Recommendations for the Mission

- 5.2.4 The LES performance appraisals should be conducted for each individual on an annual basis even if the individual is at the top of the salary band.**
- 5.2.5 The summary report of LES leave and attendance should be electronically produced to allow management to monitor leave carefully and to cut down on potential errors that could emerge by producing this report manually.**

Mission Responses

- 5.2.4 Corrective action has been taken to ensure that all appraisal reports are completed on a yearly basis, including reports for employees who have reached the maximum step in their grade.**
- 5.2.5 The Mission SA will be tasked with the requirement to produce an electronic summary report of LES leave and attendance. It will be operational by December 1, 2002.**

LES Training Plan

5.2.6 Training is provided to LES but mostly on an ad hoc basis. No training co-ordinator has been appointed although the MCO is the de facto co-ordinator. The LES and the Program Managers have not been surveyed to identify training requirements in order that a Mission-wide Training Plan could be developed and costed out. Training was identified as an issue by the LES in its meeting with the Audit Team. The Department's integrated LES Training Strategy indicates that CFSI will work with the Mission coordinator to develop the Plan and prioritize the Mission's training needs.

Recommendation for the Mission

- 5.2.7 The Mission should appoint a training coordinator to work with CFSI in developing a Training Plan that prioritizes the Mission's training needs.**

Mission Response

- 5.2.7 The Public Affairs Assistant was appointed as the Mission's training coordinator some time ago. The LES and the Program Managers will be surveyed to identify training requirements and to establish a mission training plan. The outcome of action on recommendations 2.3.2 and 2.4.3 may change the person who will be coordinator.**

5.3 Physical Resources

5.3.1 The management of Physical Resources is the responsibility of the MCO, assisted by a Property Manager (LE-08), a Property Assistant (LE-05) and 3 Maintenance Assistants. Additionally, there are 3 Mission Drivers who report to the Property Assistant, although they show as reporting to the Property Manager on the organisation chart. The function is generally well managed. Meetings take place with the MCO and the Property Manager weekly, or more often as required. A brief morning meeting takes place each day within the section to discuss and assign work for that day. Recommendations regarding changes to the structure of the section have been made elsewhere in this report.

5.3.2 The Mission Property Management Plan is not current and some references contained in the document date from 2000. Although the Property Manager had worked on it, he was away for a lengthy period, and the update was never completed. The Property Manager has never been on the in-Canada property and materiel training course. Training is planned for the fall of 2002.

Recommendation for the Mission

5.3.3 The Mission should update the MPMP and submit it to SRD as soon as possible.

Mission Response

5.3.3 The Mission Property Management Plan was last updated in the period February-March 2002. It will be updated again and submitted to SRD as soon as possible, at the latest by December 1, 2002.

Chancery

5.3.4 The Chancery is quite new, with construction and fit up having been completed in 1999. This building is a local showcase, and staff are proud to work there. The Chancery design is functional and provides an appealing work environment with clear views or access to natural light. There is ample space to accommodate all Mission Programs, and recent additions of staff to some sections have posed no space problems.

5.3.5 There are a few deficiencies still to be rectified at the Chancery. Getting the contractor to remedy deficiencies has proven very difficult. A solution for the garage door, currently not functioning and therefore only closed after hours, is being sought. A planned addition of a patio/reception area will greatly enhance the usefulness of the grounds, for both official hospitality and staff functions.

Official Residence

5.3.6 The Official Residence (OR) is a Crown-Owned, two-level house and is very functional. A pro-active maintenance program over the years has kept the house and grounds in superior condition.

5.3.7 The interior of the house is in good shape, with renovations programmed for two bathrooms for this fiscal year. These renovations are to upgrade very outdated fixtures and tiles. Furnishings throughout are in good condition, although the entrance and living room carpets are becoming somewhat worn. A refurbishment of the furniture in the public areas is programmed for 2008.

5.3.8 The Official Residence provides no access for disabled visitors. This project should be costed and sent to SRD for possible funding this fiscal year.

Recommendation for the Mission

5.3.9 The Mission should obtain estimates for making the OR accessible to disabled visitors and submit it to SRD for consideration.

Mission Response

5.3.9 This matter has already been discussed with SRSF. Estimates for making the OR accessible to disabled visitors will be obtained and submitted to SRD.

Staff Quarters

5.3.10 There are 14 Staff Quarters (SQs) in the Mission inventory, of which 8 are Crown-Owned. Except for two leased apartments, all are detached houses. A cross section of staff accommodation was visited by the Audit Team. The Kingston property market is relatively "soft", meaning the Mission has flexibility to change SQs if required, often without incurring increases in rent. Recent changes have included the leasing of the 2 apartments (both new units) that eliminated 2 ADA's, and the leasing of a three-bedroom house to replace an SQ that has been sold. The Mission Housing Committee is quite active, and members visit any proposed properties prior to leasing.

5.3.11 All SQs either have swimming pools or have access to one. This is considered justified due to the very limited access to recreational facilities in Kingston. Some facilities exist but these are very expensive, and getting to and from is considered a security risk. One SQ, 6570052, has been sold recently. This townhouse was not in good condition, requiring a lot of maintenance to bring it back to standard. Authority was obtained to dispose of the property in July 2001, but it was only advertised for sale in January, 2002 and transferred in May 2002. In the interim, to avoid the property

sitting vacant, the Mission leased it. A proper leasing contract was on file. However, HQ approval had not been sought in advance.

5.3.12 There is no formal annual or multi-year plan for property maintenance or capital replacement. There is, however, a list of outstanding work and upcoming priority projects maintained by the Property Manager. An annual plan would be of benefit to the Mission in that all Administration staff will clearly understand the objectives and milestones for the Property Program. Presently, except for the OR, there is a more reactive than proactive approach to maintenance management. Annual inspections of each property would be an improvement. Properties are currently inspected on an ad hoc basis: for example, when work is scheduled, the Property Manager will visit the SQ and take the opportunity to note other work that might be needed at that address. A twice yearly call for a list of needed and desired work or items is made to each CBS for their SQs. This is useful, but a complete inspection would allow for confirmation of needed works, and possibly for the identification of other requirements of which the tenant may not be aware. Thereafter, the formulation of a plan of action can be made, which should include an estimated costing.

Recommendation for the Mission

5.3.13 The Mission should conduct annual inspections of all SQs and formulate a property work plan.

Mission Response

5.3.13 A program of annual inspections of all SQs will be implemented as soon as adequate resources are available (see Section 5.1.10). The Mission has a material management scheme in place for the timely replacement of furniture and appliances. This was updated in September 2002.

5.3.14 The Maintenance Assistants positions are extremely useful in delivering service. There are three such positions, with the third added during the construction of the new Chancery. The three work as a team and do basic repairs and other maintenance. They also supervise contractors for reasons of quality control, security and expediency. More advanced technical training is required to enable them to do more work.

Recommendation for the Mission

5.3.15 The Mission should ensure the Maintenance Assistants receive technical training in their various fields of expertise.

Mission Response

- 5.3.15 The Mission is presently attempting to identify a school or technical institute where our Maintenance Assistants could be registered for basic courses in carpentry, plumbing and electricity repairs.**

Official Vehicles

5.3.16 The Mission has six official vehicles including the HOM vehicle and two maintenance vehicles. Vehicle logs had been kept in previous years but the practice was discontinued in 2001. Mileage logs were used in the past to calculate vehicle efficiency in terms of fuel consumption, permitting a cost-benefit analysis to be done to determine whether to replace a vehicle. This is no longer necessary due to a normally tri-annual replacement schedule. The keeping of trip or mileage logs is useful to track gasoline consumption, to detect abuse and to assess if Drivers are being utilized efficiently by analysing the hours of work and locations visited.

Recommendation for the Mission

- 5.3.17 The Mission should re-institute the keeping of vehicle trip logs and should analyse the data with respect to both driver and vehicle utilization.**

Mission Response

- 5.3.17 Official vehicle mileage logs will be re-instituted in order to analyze and assess the utilization of both drivers and vehicles.**

Disposal of Surplus Assets

5.3.18 The Mission disposes of surplus assets annually or as necessary by a process of sealed bidding, as per regulations. The most recent sale managed to dispose of over 100 items, many older and not serviceable. No minimum bid prices were established for bigger ticket items, and only LES were invited to participate, as opposed to seeking participation from the public at the same time. The total revenue may have been higher had a wider audience been sought. The Mission collected a total of \$7,394 from this sale.

Recommendation for the Mission

- 5.3.19 The Mission should seek wider participation in surplus asset disposal sales in order to maximize the return for the Crown.**

Mission Response

5.3.19 From a security point of view, it would be unwise to expand the sale to include members of the public. The items for sale are displayed in the Chancery basement area, access to which is restricted. With 51 LES on its establishment, the Mission feels that its audience is wide enough as is for value-for-money disposal of limited and used furniture and equipment. (A major disposition of used assets on the relocation of the Chancery was done through a public process.)

5.3.20 All property files are complete with signed Occupancy Agreements and Distribution Accounts done. Routine or minor swimming pool upkeep costs are recovered from tenants, while the Mission or landlord pay for more major work. A 75-25 percent formula is applied for grounds maintenance due to the fairly extensive garden attached to houses, and also due to the vegetation and climate. The Mission maintains inventories for major items, such as parts and power tools, but does not have an inventory for the tools within each Maintenance Assistant's tool kit.

Recommendation for the Mission

5.3.21 The Mission should make inventories for the tool kits assigned to the Maintenance Assistants.

Mission Response

5.3.21 Basic inventories of tool kits will be established.

5.4 Finance

5.4.1 The management of Mission finances is the responsibility of the MCO in his capacity as Mission Financial Officer. He relies on the Office Manager (OM) to manage the Accounts section, which is staffed by an Accountant (LE-06) and two Assistant Accountants (LE-04). In general, the Mission finances are in good order, but the engagement on the part of the MCO and the OM, both in terms of the over-sight of the Mission finances and in terms of access to IMS, needs to improve. The Office Manager has been designated as the direct manager of the Accounts Section, yet has limited experience as a financial manager. *** Comments are made elsewhere in this report on the OM position. The three Accounting staff have been fully trained on IMS, with more training planned for the fall of 2002. This should include training on the materiel management module. The Mission also monitors the standing advances and claims for expenses for the four Honorary Consulates.

5.4.2 The Mission averages less than 150 transactions per month. The number of accounting staff is high for a Mission of this size and level of activity. The Mission

should review the need to maintain three accounting staff by performing a workload analysis. Efficiencies have been created by using direct deposit for LES pay. Moreover, the process for obtaining refunds of the local General Consumption Tax (GCT) on expenses, which is time-consuming and rightfully belongs in Accounts, is managed by the Administrative Assistant (LE-05). These refunds are obtained by submitting original receipts for expenses made to the MFA, with a copy kept in the Mission files. The Mission should consider stamping these copies as such, to avoid possible confusion at a later date.

Recommendations for the Mission

- 5.4.3 The Mission should ensure further training in IMS is provided to the MCO to assist in the over-seeing of Mission finances.**
- 5.4.4 The Mission should analyse the accounting workload to determine the appropriate number of accounting staff required.**

Mission Responses

- 5.4.3 The MCO will undergo further IMS training as soon as adequate resources are available (see Section 5.1.10).**
- 5.4.4 Following the audit visit, a preliminary review of the resources in the accounting section was carried out. This review revealed that the unit may in fact be slightly overstaffed. A more detailed review will soon be undertaken to determine the appropriate number of accounting staff required.**
- 5.4.5 The accounts were reviewed in detail for a one month period, as a representative sample, and were found to be in order. Expenditures are justified and appropriate supporting documentation is on file. Bank reconciliations are up-to-date, and there are no unexplained adjustments. Consular revenues are well controlled through the use of a cash register. ***, the funds are counted and then transferred to ***, who re-counts the money. The funds are then transferred to ***, where once again they are counted. This is clearly a duplication of effort.
- 5.4.6 The Mission has two bank accounts, one USD and one JMD. It is planned that a second local currency account will be added for clients to direct deposit Immigration fees, thereby eliminating the collection of cash at the Mission. *** Direct deposit of Immigration fees will reduce the need for armoured car service.
- 5.4.7 An increase in efficiency could be found if the Mission obtained an online connection with the bank that provides the ability to view the bank balances at any time. This would permit easier reconciliation by avoiding waiting for the bank to send the

statements in order to begin the monthly reconciliation process. If the Mission is to proceed with this initiative, it will be important to consult with HQ.

5.4.8 The Mission has two petty cash accounts, ***. The Assistant Accountant holds the higher one, while the Immigration Section has the lower. Both were reconciled. *** The use of a credit card for purchases for the Property Section should be considered. This would reduce or eliminate the need for petty cash to be maintained by the Assistant Accountant. Currently, the Mission is pursuing the acquisition of two credit cards for emergency evacuation purposes.

5.4.9 ***

Recommendation for the Mission

5.4.10 ***

Mission Response

5.4.10 ***

Hospitality

5.4.11 A review was carried out of a sample of hospitality files, and except for a few minor observations, these files were found to be in good order. The Program Managers are in the habit of retaining their original supporting documentation for expenses claimed, with copies only going to Accounts for certification. Original receipts and vouchers must accompany the EXT904 Hospitality Expense Reporting form, and these are to be retained by Accounts for a period of seven years. The CBS should make photocopies if they wish to have ready access to these records.

Recommendation for the Mission

5.4.12 **The Mission should ensure original receipts and other supporting documentation accompany hospitality claims, and are retained on the Mission files.**

Mission Response

5.4.12 **Beginning with the submission of official hospitality claims in July 2002 covering the first quarter of the current fiscal year, Program Managers have been submitting original receipts and other supporting documentation to the Accounting Section.**

5.5 Information Management and Technology

5.5.1 The function is well managed and clients feel generally very well served. The Mission has an LE-08 Systems Administrator (SA) who reports to the Office Manager. The Mission previously had a Senior and a Junior SA, but felt one resource provided a sufficient level of service, and with the approval of HQ, the junior position was deleted in 1999. The SA, who has been at the Mission for five years and is fully trained, is responsible for server upkeep, day-to-day operations of the function and for user support. The SA considers his job description to be accurate.

5.5.2 There is no process in place for the logging or registering of requests for service. The SA should be logging requests so that workloads can be discerned and trends can be tracked. Trend analysis is useful in order to improve service and to allow management to highlight areas where improvements to the system could be made.

Recommendation for the Mission

5.5.3 The Mission should register work requests with the goal of identifying specific problems and identifying and analysing trends.

Mission Response

5.5.3 While the SA will continue to respond to telephone requests the logging or registering of requests for service (both pre and post action) will be undertaken to enable a better tracking of work load, etc.

5.5.4 The SA encourages clients to use Public Folders for filing, but many staff feel more comfortable with either paper filing or with using diskettes for storage. While technically the SA is not responsible for information management, he tries to coach staff as much as possible in modern information management techniques using what resources and systems the Mission has available.

5.5.5 The Mission has a Technology Committee which deals primarily with web site issues. One of the Senior Commercial Officers has been designated the web site champion. This Officer has spent many hours on the content and the design of the site, in keeping with the "common look and feel" the Department is promulgating for all Mission web sites. There has been some frustration expressed with services from HQ, due to delays in responding and some confusion over the content and how the pages should look. The Mission understands how busy HQ is with this project, but is hopeful all its concerns will be addressed. The Committee should include issues such as IT purchases and contracting by considering proposals before acquisition or awarding of contracts.

Recommendation for the Mission

- 5.5.6 The Mission Technology Committee's activities should include consideration of IT purchases and contracting.**

Mission Response

- 5.5.6 Regular acquisition and replacement of computers is driven by HQ on a cyclical basis in consultation with the Mission SA. The Technology Committee has little or no input in IT hardware purchases. The Mission's Contract Review Board normally deals with contracts but where contracts are related to informatics development or services they will be submitted to the Technology Committee in advance for advice.**

5.5.7 Back-ups are done according to schedule, and the data tapes are stored off-site. The SA keeps a detailed spreadsheet listing all IT equipment, stating that this is necessary due to the TechServe not always being current. The Mission has one satellite telephone unit which is appropriately stored. It was tested during the last Regional Technician visit, and the MCO has been trained in its use. More staff should receive training, and the unit should be tested regularly to ensure it is in working condition at all times.

Recommendation for the Mission

- 5.5.8 The Mission should provide training of more staff in the use of the PSAT unit, and should test it regularly.**

Mission Response

- 5.5.8 The satellite telephone unit is now tested on a monthly basis. Instructions on its use have been prepared and several CBS will be trained on its operation in the next month.**

5.5.9 The Mission has one Signet Remote Access (SRA) connection that is used by a CIC officer. Due to an environment that has antiquated local infrastructure in many areas, it is not yet possible for all desired sites to be hooked up, although this is expected to change over time as upgrades take place. The SA reports that SRA was quite simple to install, and easy to maintain. The client feels well served in this regard. The Mission has an active home loan program, using personal computers that have been replaced but that still work. There are over twenty staff, both CBS and LES, that have units at their homes. A complete and up-to-date inventory of which unit is on loan to which employee is maintained by the SA.

MISSION RESOURCES FACT SHEET

Human Resources (FTEs)

PROGRAM	CBS	LES	TOTAL
HOM	2	5	7
General Relations	2	1	3
IBD	1	3	4
Immigration	4	21	25
Development	2	2	4
RCMP	2	1	3
Administration and Consular	2	18	20
Total	15	51	66

Physical Resources

ASSETS	OWNED	LEASED
Chancery	1	0
OR	1	0
SQs	8	6
Vehicles	6	0

Financial Information (2001-2002)

Operating Budget (N001)	\$2,112,432
LES Salaries (N012)	1,606,565
CBS Overtime (N011)	8,200
Capital (N005)	102,200
Total	\$3,829,397