



Core Policy and Procedures Manual - Amendment Summary October 2006

19.0 Corporate Compliance and Controls Monitoring	The new chapter 19 (Corporate Compliance and Controls Monitoring) consolidates existing payment review policy into a single document providing a greater clarification of the current mandate of the payment review program and its responsibilities and functions with regards to continuous compliance and controls monitoring. Coincidentally, the branch name Payment Review Office has been changed to Corporate Compliance and Controls Monitoring Branch.
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Compliance

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19.1 Objective

The objective of the compliance and controls monitoring function is to work co-operatively with ministries and central agencies to provide a corporate monitoring mechanism to improve compliance with government core policy and to strengthen the financial and procurement control framework by:

- providing confidence that government payments are made in accordance with government core policy, including central directives, orders, and regulations;
- mitigating the risk of financial loss to government;
- reducing the cost of processing payments; and
- identifying and recommending systemic change to maintain and improve the overall control framework.

19.2 General

The compliance and controls monitoring function is a centralized systematic, risk-based approach designed to promote accountability and monitor the prudent and proper use of public monies. The Branch's monitoring and review approach is based on the government's [Enterprise Risk Management Model](#).

The scope of the compliance and controls monitoring function encompasses all government payments that may be selected at any time for the examination of accuracy and compliance with core policy, central directives, orders, and regulations. Payment review results and recommendations are reported back to ministries, central agencies, and the Office of the Comptroller General.

The corporate compliance and controls monitoring function does not replace the responsibility of ministries and central agencies in establishing, supporting and maintaining an adequate system of internal controls including a sufficient financial and procurement control framework.

Authority and Responsibility

The authority to undertake compliance and controls monitoring is derived from sections 8 and 9 of the [Financial Administration Act](#). Responsibility for the monitoring function within government including compliance reporting and recommendations regarding non-compliance has been delegated to the Office of the Comptroller General (OCG) and is administered by the [Corporate Compliance and Controls Monitoring Branch](#) (3CMB) (government access only).

The Corporate Compliance and Controls Monitoring Branch is responsible for:

- reducing the cost of internal controls by implementing a risk based management approach;
- testing and reporting on government payments for compliance with core policy, central directives, orders and

regulations;

- recommending improvements to government policy, training and systems to improve compliance through both targeted and systemic changes;
- identifying control weaknesses and assisting central agencies and ministries in strengthening the financial and procurement management framework;
- providing custom payment reviews and reports where warranted; and
- maintaining [branch policy and procedures](#) (government access only) for the administration of compliance and controls monitoring.

Ministries are responsible for:

- establishing, supporting and maintaining an adequate system of internal controls;
- following up on 3CMB recommendations and reporting back on corrective actions taken to reduce risk and improve compliance;
- collecting amounts owed to government identified in the review process; and
- identifying [ministry contact\(s\)](#) for the receiving and conveying of requested [documentation to support payments](#) selected for review.

19.3 Policy

1. The Corporate Compliance and Controls Monitoring Branch (3CMB) of the Office of the Comptroller General provides the compliance and controls monitoring function for government.
2. Upon the request of the Corporate Compliance and Controls Monitoring Branch, the ministry must promptly (normally within five business days) supply the required documentation supporting a payment.
3. Further to [CPPM 4.3.1](#) ministries must maintain the [Corporate Signing Authentication System](#) (CSAS) (government access only) accurately and on a timely basis.
4. Where overpayments are reported, the Chief Financial Officer will, as appropriate, establish the accounts receivable and ensure the timely collection of the debt owing to government.
5. Ministries must follow-up on 3CMB reports and recommendations and report back promptly to 3CMB on corrective actions in accordance with [3CMB policy](#) (government access only).

19.4 Information and References

Further information and details on the [Corporate Compliance and Controls Monitoring Branch](#) can be obtained from the OCG Intranet (government access only).

All readers may obtain additional information through the [OCG Internet](#) or by contacting 3CMB via email at CORPORATECOMPLIANCE@gov.bc.ca or by telephone at 250 356-2077.