



Office of the  
Auditor General  
of Canada

Bureau du  
vérificateur général  
du Canada

# Controlled Document Interface (CODI)

## Instructions for Entity Officials

This guide provides instructions on how to access certain documents prepared by the Office of the Auditor General of Canada that are controlled, and that are distributed to audited entities in electronic format using the Controlled Document Interface (CODI).

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## I. Introduction

Certain documents prepared by the Office of the Auditor General of Canada (OAG) are considered OAG controlled documents. They are subject to restrictions and controls when distributed outside the OAG. They include key audit documents such as draft audit reports. The OAG distributes these documents to audit entities in electronic format using the Controlled Document Interface (CODI).

All entity officials are responsible for ensuring the confidentiality of OAG controlled documents entrusted to their care. At the beginning of a performance audit or special examination, your deputy head or the head of your Crown corporation signed a letter accepting responsibility for maintaining the confidentiality of OAG controlled documents. None of the information in OAG controlled documents can be copied or reproduced, either in whole or in part, without the OAG's prior written consent.

## II. Technical requirements

Entity recipients of electronic controlled documents need an email address, a browser, and Adobe Reader to access the documents. Adobe Reader version 11 is strongly recommended. **Recipients will not be able to access the documents with Adobe Reader versions 10.1 or below.**

**Important note:** Access to CODI's features (registering entity officials and opening protected documents) is allowed by default in Canada and the United States. Individuals who need to access electronic controlled documents while **outside Canada** need to advise the OAG audit team. Some restrictions may apply, including limited access to the document, depending on the country.

## III. Key steps and dates for the electronic delivery of the OAG controlled document

| Step                                                                                                                                   | Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|----------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The OAG audit team contacts the Entity's OAG Liaison to request a <b>list of all officials who need access to the document.</b></p> | <p>The Entity's OAG Liaison is responsible for coordinating and providing to the OAG audit team a list of all entity officials who need to review the document.</p> <p>The OAG will provide a <b>CODI Email Validation Form</b> template to capture this list of entity officials. See Appendix A.</p> <p>The OAG requires each official's <b>work email address, name, and title.</b> The Entity's OAG Liaison is responsible for ensuring that all email addresses are correct. Please <b>do not</b> add any numbering, spaces, or accents when entering the email addresses into the CODI Email Validation Form.</p> |

| Step                                                                                                                                                                                       | Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                            | <p><b>Important note:</b> If your organization wishes to share OAG controlled documents with non-entity officials (for example, members of the departmental audit committee), your Entity’s OAG Liaison <b>MUST</b> confirm the identities of those officials by ticking the confirmation box at the bottom of the CODI Email Validation Form. By “non-entity officials,” we mean individuals without a Government of Canada email address.</p> <p>By using the CODI Email Validation Form and ticking the confirmation box at the bottom, the Entity’s OAG Liaison is confirming that</p> <ul style="list-style-type: none"> <li>• the email addresses of the proposed non-entity recipients are correct,</li> <li>• the email addresses belong to and are controlled by the proposed non-entity recipients,</li> <li>• the proposed non-entity recipients have the appropriate security clearance, and</li> <li>• the proposed non-entity recipients have a need to know.</li> </ul> <p>The OAG audit team will <b>not</b> register non-entity officials unless the form has been used.</p>                                                                                                       |
| <p>A generic system email will be sent to entity officials on the list, asking them to register. This email will be followed by a second email asking them to activate their accounts.</p> | <p>Officials on the list will receive a generic “do not reply” email inviting them to register by providing their first and last names and by creating a password. Officials have 30 days to register.</p> <p>Immediately after registration, users will receive another email asking them to activate their accounts. Once they register, officials have 1 day to activate their accounts.</p> <p>If officials wait longer than 30 days to register, or longer than 1 day to activate, their invitations will expire. If an official’s status is <b>expired</b>, then the official needs to contact the OAG audit team.</p> <p>See Appendix B for examples of these steps.</p> <p>During an audit, officials need to <b>register only once</b> in the CODI system. After that, they will <b>enter the same username and password</b> to view any OAG controlled document sent to them through the CODI tool. Officials should ensure that they <b>remember their usernames and passwords</b>.</p> <p>For security reasons, officials who remain registered in the CODI system for more than one year will automatically be sent an email asking them to re-register and create a new password.</p> |
| <p>The OAG audit team <b>emails the document</b> to registered entity officials.</p>                                                                                                       | <p>Entity officials will receive an email with the password-protected document attached. When they click to open the attachment, they will be asked to enter their usernames and passwords.</p> <p><b>The Entity’s OAG Liaison is responsible for sending the password-protected document to non-entity officials.</b> The</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

| Step | Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|      | <p>OAG audit team will register the non-entity officials in CODI but will not send the officials the document.</p> <p>Officials will be asked if they wish to view the document offline. This means that for limited periods of time—usually 3 days—officials can view the document when they are not connected to the network. <b>They should click “Yes.” If they do not choose this option, it cannot be undone.</b></p> <p>See Appendix C for examples of these steps.</p> <p>If officials forget their passwords, they can contact the OAG audit team to request a password reset. Officials will receive an email inviting them to re-register in the system, which will allow them to reset their passwords.</p> |

#### IV. Managing the list of officials who need access to the documents

Prior to the delivery of **each** controlled document, the OAG audit team will send the Entity’s OAG Liaison the CODI Email Validation Form. The form will be blank for the first document sent, but after that, the team will send the existing list and ask the Entity’s OAG Liaison to update it with the names of officials who need to review subsequent documents.

In some cases, officials may need to be added to the list so that they can view a document, and in other cases, officials may need to be removed (for example, officials who have left the organization).

At any time, officials can contact their Entity’s OAG Liaison and request that they or another official be added to, or removed from, a document. The Entity’s OAG Liaison will then contact the OAG audit team to request the change.

If the entity requires that a non-entity official be added, the Entity’s OAG Liaison **MUST** use the CODI Email Validation Form and confirm the official’s identity by ticking the box at the bottom of the form.

#### V. Working in the document offline

Offline access allows officials to review documents during weekends and during travel.

To work offline with the document, users must first open it at least once while it is connected to the Internet. This confirms that the user has access to the document on this device and starts the clock for offline use. After this, for the entire period of authorized offline use, the document can be opened and closed without entering a

username and password. Note also that each time the document is opened while the device is connected to the Internet, the offline access period restarts and permits another three days of offline access.

## VI. What to do if officials are experiencing problems working with the document

- A. If the problem is related to Adobe Reader, officials should contact their entity Help Desk or consult Adobe support information online.
- B. If the problem is related to the registration process or access to the controlled document, officials should contact the OAG audit team.

**Note:** Officials who need to access electronic controlled documents while **outside Canada** need to advise the OAG audit team. Some restrictions may apply, including limited access to the document, depending on the country.

## VII. Adding and sharing comments in the controlled document

When the OAG shares a controlled document with entity officials, the document is in read-only mode and protected to prevent copying, printing, and unauthorized sharing of the document. Adobe Reader allows comments to be entered into the document. The document, with comments, can be shared with other authorized entity officials, as long as they are registered to view the document. To do this, officials should save the OAG controlled document to their desktop and rename it, as appropriate. Then they can add comments, save the document, attach it to an email, and send it to another official who is registered to view the document. The OAG will not be able to see the comments entity officials add unless a version is attached to an email and sent to an OAG official.

To learn more about how the commenting function works, officials should contact their entity Help Desk or consult Adobe support information online.

## VIII. Providing comments on documents to the OAG audit team

The entity is responsible for determining what process it will use to review and obtain comments from officials on the document, if appropriate. Once this process is complete, the Entity's OAG Liaison should collate all comments and provide the OAG with a single document. This can be done by embedding the final comments in the protected draft, saving and attaching it to an email to the OAG audit team, or by preparing a separate, unprotected document. If the latter approach is used, we remind entities that none of the information in OAG controlled documents can be reproduced. Therefore, any references to OAG draft content should be limited to paragraph or page numbers.

## IX. Revoking access

Access to controlled documents will normally be revoked the day after the report is tabled in the House of Commons or, for special examinations, the day after the report is provided to the Board of Directors. The OAG reserves the right to revoke access sooner.

We recommend that officials delete the copies of password-protected OAG documents after the OAG revokes them, as they will no longer be accessible.

## X. User feedback

To improve this tool, the OAG would appreciate any feedback you may have. Please share any comments with your OAG audit team contact.



## Appendix A— CODI Email Validation Form (entity officials list)



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### Email Validation Form / Formulaire de validation des courriels

| Email List<br>Liste de courriels | Name<br>Nom | Title<br>Titre        |                       |   |
|----------------------------------|-------------|-----------------------|-----------------------|---|
| james.doe@cbsa-afsc.gc.ca        | Jim Doe     | DG, Border operations | VALID<br>VALIDE       | X |
| John.smith@canada.gc.ca          | John Smith  | Director, ISTB        | VALID<br>VALIDE       | X |
|                                  |             |                       | INVALID<br>NON VALIDE | X |

Add Email / Ajouter un courriel

(Le français suit)

The entity confirms that:

- The email address of the proposed recipients is correct;
- The email address belongs to and is controlled by the proposed recipients;
- The proposed recipients have the appropriate security clearance;
- The proposed recipients have a need to know.

The entity further confirms, on behalf of the third parties identified in this form, that the third parties shall

- treat all information received via CODI as privileged and confidential.
- protect the information received via CODI with at least the same degree of care as they normally exercise to protect their own confidential information of a similar nature, but no less than a reasonable degree of care.
- not disclose the information provided via CODI to any other third party (not identified in the form) without the express permission of the OAG.
- not duplicate any information provided via CODI.

All information provided via CODI shall remain the sole property of the OAG. The OAG shall have no liability whatsoever from the third parties' use of OAG information.

L'entité confirme que :

- l'adresse courriel des destinataires proposés est exacte;
- l'adresse courriel appartient et est gérée par les destinataires proposés;
- les destinataires proposés ont le niveau de cote de sécurité approprié;
- les destinataires proposés ont un besoin de savoir.

L'entité confirme également, au nom des tierces parties identifiées sur le présent formulaire, que celles-ci doivent :





- traiter toute information transmise au moyen de CODI comme privilégiée et confidentielle.
- protéger toute information transmise au moyen de CODI avec au moins le même soin qu'elles mettent à protéger leurs propres renseignements confidentiels de nature semblable, mais non en deçà d'un degré de diligence raisonnable.
- ne pas divulguer à aucun tiers (non identifié sur le formulaire) l'information transmise par le BVG au moyen de CODI sans l'autorisation expresse du BVG.
- ne pas reproduire les renseignements confidentiels transmis au moyen de CODI.

Tous les renseignements confidentiels distribués au moyen de CODI doivent demeurer la propriété exclusive du BVG. Le BVG décline toute responsabilité quant à l'utilisation des renseignements confidentiels par des tierces parties.


- The entity confirms the above.  
L'entité confirme les éléments cités ci-dessus.

## Appendix B—User registration and activation process

### Registration email

 Répondre  Répondre à tous  Transférer  MI

Tue 24/07/2018 11:34 AM

 OAGDocumentControl@oag-bvg.gc.ca  
Office of the Auditor General of Canada Controlled Document Interface - Recipient Registration \ Interface pour documents contrôlés du Bureau du vérificateur général – Inscription de l'utilisateur

À  DEPT / EMMAD

Stratégie de rétention OAG-Ressources-7 Years (7 ans) Date d'expiration 22/07/2025

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You have been authorized to receive electronic controlled documents from the Office of the Auditor General of Canada.

If you are trying to access the electronic controlled document while outside of Canada, please advise the OAG audit team. Some restrictions may apply and accessibility to the document may be limited, depending on the country.

Please register by clicking on the invitation link below and providing the requested information.

This is an automated message. If you have any questions regarding this process, please contact your organization's OAG liaison.

Office of the Auditor General of Canada

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Vous êtes parmi les personnes autorisées à recevoir des documents électroniques contrôlés du Bureau du vérificateur général du Canada.

Si vous tentez d'accéder aux documents électroniques contrôlés du BVG alors que vous vous trouvez à l'extérieur du Canada, veuillez en aviser l'équipe d'audit du BVG. Certaines restrictions pourraient s'appliquer et le document pourrait ne pas être accessible, selon le pays où vous trouvez.

Pour vous inscrire, veuillez cliquer sur l'hyperlien de l'invitation ci-dessous et fournir les renseignements demandés.

Ceci est un message automatisé. Si vous avez des questions à propos de ce processus, veuillez communiquer avec l'agent de liaison du BVG de votre organisation.


Bureau du vérificateur général du Canada

\*\*\*\*\*

PLEASE DO NOT REPLY TO THIS EMAIL / PRIÈRE DE NE PAS RÉPONDRE À CE COURRIEL

<https://acp.oag-bvg.gc.ca:443/edc/external/RegisterExternalUser.do?nonce=ZA2FeBAa7nKs62VCRW8wxw%3D%3D>


## User registration



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### User Registration \ Inscription de l'utilisateur

 Please register with Office of the Auditor General's Controlled Document Interface by completing the starred boxes below. You must choose your own password. A confirmation email will be sent to you to complete the registration process.

Veuillez vous inscrire à l'Interface pour documents contrôlés du Bureau du vérificateur général en remplissant les cases marquées d'un astérisque ci-dessous. Vous devez choisir votre mot de passe. Un courriel de confirmation vous sera envoyé pour terminer le processus d'inscription.

Email Address: \ Courriel :

**dept-emmad@oag-bvg.gc.ca**

**Remember: Your EMAIL ADDRESS is your USER NAME for OAG Controlled Document Interface**

**Important: Votre COURRIEL est votre NOM D'UTILISATEUR pour l'Interface pour documents contrôlés du BVG.**

\* First Name: \ Prénom :

\* Last Name: \ Nom de famille :

User Name: \ Nom d'utilisateur :

**dept-emmad@oag-bvg.gc.ca**

\* Password: \ Mot de passe : (must be at least 8 characters) \ (doit être d'au moins 8 caractères)

\* Confirm Password: \ Confirmation du mot de passe :

Click the Register button to receive your confirmation email and activation of your account.  
Cliquez sur le bouton « Register » pour recevoir le courriel de confirmation et activer votre compte.



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### User Registration - Thank You Inscription de l'utilisateur — Merci

 Thank you for registering. Please check your email for a message that will allow you to activate your account.

Merci de votre inscription. Veuillez consulter vos courriels pour y trouver un message qui vous permettra d'activer votre compte.

## Activation email

 Tue 24/07/2018 12:22 PM  
OAGDocumentControl@oag-bvg.gc.ca  
Office of the Auditor General Controlled Document Interface - Account Activation \ Interface pour documents contrôlés du Bureau du vérificateur général – Activation de compte

À  DEPT / EMMAD  
Stratégie de rétention OAG-Ressources-7 Years (7 ans) Date d'expiration 22/07/2025

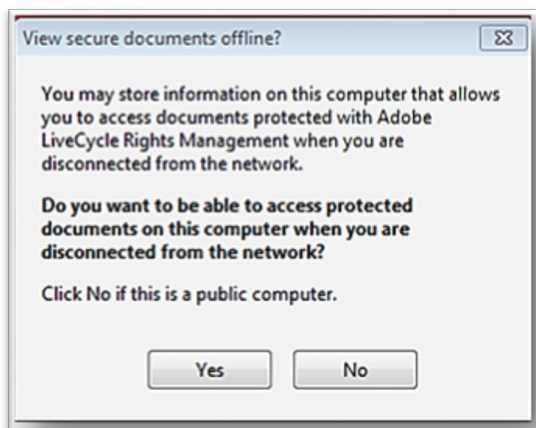
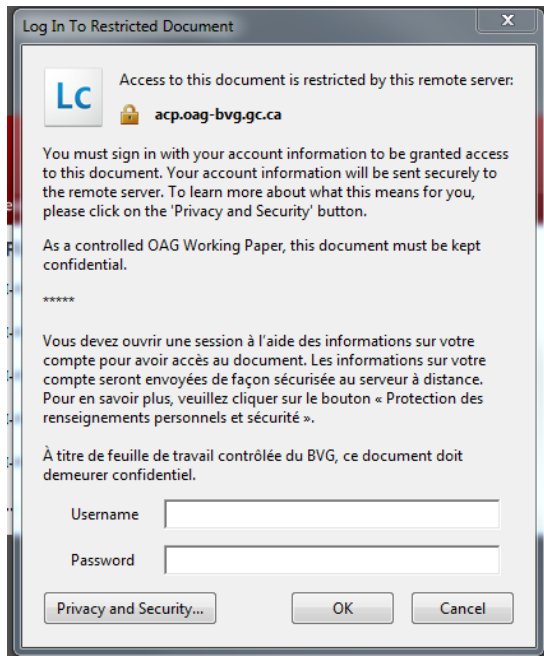
One more step: Please click on the link below to activate your account.  
This is an automated message. If you have any questions regarding this process, please contact your organization's OAG liaison.  
Office of the Auditor General of Canada  
\*\*\*\*\*  
Une dernière étape : Veuillez cliquer sur l'hyperlien ci-dessous pour activer votre compte.  
Ceci est un message automatisé. Si vous avez des questions à propos de ce processus, veuillez communiquer avec l'agent de liaison du BVG de votre organisation.  
Bureau du vérificateur général du Canada  
\*\*\*\*\*  
PLEASE DO NOT REPLY TO THIS EMAIL / PRIÈRE DE NE PAS RÉPONDRE À CE COURRIEL  
<https://acp.oag-bvg.gc.ca:443/edc/external/ActivateExternalUser.do?nonce=ffKOGNAuHAWgJXts9%2BNxg%3D%3D>

 Office of the Auditor General of Canada Bureau du vérificateur général du Canada

### Account Activated Compte activé

 **Your account has been successfully activated.**  
**Votre compte a été activé avec succès.**

## Appendix C—Opening a document





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## Privacy and Security Information \ Information relative à la sécurité et la vie privée

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This document is controlled by the OAG and restrictions have been placed on the actions you can take in relation to this document. To see the restrictions that apply to this document, Log In, and when the document opens, click on the padlock located in the window.

This document is provided for authorized use only. None of the information in this document shall be reproduced or distributed either in whole or in part, including reproducing excerpts in other documents, without the prior written consent of the Office of the Auditor General of Canada.

If you have additional questions about the restrictions placed on this document, please contact your organization's OAG liaison.

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