

**Report to / Rapport au:**

**OTTAWA POLICE SERVICES BOARD  
LA COMMISSION DE SERVICES POLICIERS D'OTTAWA**

**27 March 2023 / 27 mars 2023**

**Submitted by / Soumis par:**

**Chief of Police, Ottawa Police Service / Chef de police, Service de police d'Ottawa**

**Contact Person / Personne ressource:**

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**SUBJECT: QUALITY ASSURANCE ANNUAL REPORT 2022 (COMPLIANCE WITH  
MINISTRY STANDARDS)**

**OBJET: RAPPORT ANNUEL DE 2022 SUR L'ASSURANCE DE LA QUALITÉ  
(RESPECT DE LA CONFORMITÉ AUX NORMES DU MINISTÈRE)**

**REPORT RECOMMENDATIONS**

**That the Ottawa Police Services Board receive this report for information.**

**RECOMMANDATIONS DU RAPPORT**

**Que la Commission de services policiers d'Ottawa prenne connaissance du  
présent rapport à titre d'information.**

**BACKGROUND**

Ontario Regulation 3/99 Adequacy and Effectiveness of Police Services provides a regulatory framework for police services boards and police services to ensure they deliver adequate and effective policing to the community. The Policing Standards Manual (Standards) complements the regulation by guiding the operational requirements of the police service, such as administration and infrastructure, crime

prevention, law enforcement, victim support, public order maintenance, emergency response, and counterterrorism.

Section 35 of the Ontario Regulation 3/99 mandates that police services boards and the Chief of Police implement a quality assurance process for delivering adequate and effective police services and compliance with the Police Services Act (PSA) and its regulations.

## **DISCUSSION**

Core policing practices are maintained through internal controls such as oversight and supervision and the provision of mandated training and equipment, supported through plans, protocols and partnerships defined by policies and procedures as recommended by the Standards.

The Strategy and Communications Directorate administers the quality assurance process for the organization. This is achieved through internal audit engagements, policy analysis and development, compliance reviews, and risk assessments.

A risk-based approach combined with senior management input determines the selection of quality assurance activities to be undertaken each year. The Quality Assurance process is also flexible to accommodate emerging priorities. The following section summarizes the outcomes of quality assurance activities completed in 2022.

### **Internal Audit**

The 2022 Internal Audit Work Plan approved at the January 2022 Ottawa Police Services Board (Board) meeting included three engagements. These were selected by considering legislative requirements and the organization's priorities. The work plan was also aligned with organizational capacity, with one full-time Internal Auditor to develop and implement the plan.

Several inputs were considered when developing the 2022 work plan, including the Board's Strategic Plan; budget priorities; strategic project health; risk assessments; past audits; and work plans from other municipalities.

In summary, two engagements were completed last year, and one was carried forward to the 2023 Internal Audit Work Plan. The objectives and scope of each engagement were refined through a business area review completed during the planning phase of the audit. All recommendations from Internal Audit engagements are communicated to the Chief and monitored by the Senior Leadership Team. A summary, including the Standards assessed, is provided below.

## **Audit of Property and Evidence Control Facility**

Associated Standard: LE-020 Collection, Preservation and Control of Evidence and Property

Ministry Standard LE-0020 requires an annual audit of the property and evidence held by the police service. Each year the focus for this engagement rotates to ensure high-risk areas are covered. These include firearms, drugs, and high-value securities.

### **Audit Objective**

The 2022 PECF Audit focused on evidence items processed by the Forensic Identification Section (FIS) before submission to the Evidence Control Unit (ECU). The engagement evaluated whether evidence items were handled per regulatory standards and established Ottawa Police Service (OPS) policies and procedures.

### **Recommendations**

Management agreed with all five recommendations outlined below and has identified action plans to address them. The targeted completion dates are set between Q2 and Q4 of 2023. It is worth noting that some of the action plans have already been completed.

- Expand barcode technology to improve monitoring of the chain of custody.
- Enhance governance standards around continuity of evidence and chain of custody. (completed)
- Update retention periods assigned in the Property Module of the Records Management System to ensure they are consistent with Uniform Crime Reporting (UCR). (completed)
- Establish a property status category in RMS for evidence items that are "created" by the Forensic Identification Section (FIS).
- Improve member safety through panic alarms installed in the freezer and fridge to prevent employees from accidentally being locked inside.(completed)

## **Audit of Corporate Cards**

Associated Board Policy: CR-2 Financial Planning and Operations

This audit was conducted to support management's commitment to finding \$7M in efficiencies as directed by the Board in 2022. In 2021, credit card expenses represented \$3.9M (7%) of \$59M controllable spending.

The use of corporate credit cards is governed under OPS Corporate Card Policy and Procedures (CCPP) and Financial Accountability Procedures Manual (FAPM). The CCPP sets out the objective, threshold limits, authorization, and responsibilities of stakeholders. The FAPM outlines the financial delegations of authority by the Board and the Chief to support OPS operations.

The City of Ottawa Finance Branch (City) administers the corporate card at the City level. It establishes report requirements for each department and coordinates with the bank. The OPS Procurement and Accounts Receivable Coordinator administers the program for police service members and liaises with the City.

### **Audit Objective**

The engagement focused on evaluating the existing internal controls of the corporate credit card program to identify areas for improvement and increased efficiencies.

### **Recommendations**

Management agreed with all eight Internal Audit recommendations outlined below. The action plans have committed implementation dates between Q2 2023 and Q1 2024.

- Enhance policy and procedure to clarify the roles and responsibilities of cardholders and managers.
- Improve financial reporting of capitalized assets.
- Enhance process controls for centralized procurement and lifecycle monitoring of telecom and IT-related items.
- Improve the efficiency and cost-effectiveness of the invoice settlement process for high-volume vendors.
- Establish a needs assessment for corporate credit card holders as part of the employee transfer process.
- Improve financial controls over cash advances.
- Maximize the use of technology to support card administration and oversight.
- Mandatory training for cardholders and supervisors with improved guidance documentation like Frequently Asked Questions (FAQs).

### **Time and Attendance Audit**

This engagement is being carried over as a deliverable for 2023.

## **Follow-up Activities**

Internal Audit monitors the progress of Management Action Plans (MAPs) through follow-up as required by the generally accepted auditing standards. The objective of the follow-up activities is to confirm that committed action plans have addressed the business risks identified in the Audit.

Given the impact of the pandemic and significant leadership changes, a fulsome review of past management action plans is being completed as part of the 2023 Internal Audit Work Plan. These will be assessed through a risk-based lens that also considers value-for-money opportunities. The results of this exercise will be reported back to the FAC, expected in Q3.

## **Service Policy**

Policy management is a critical component of good governance, helping to promote regulatory compliance, control risks, establish accountability, and drive strategic goals and objectives. The OPS has established a policy management framework to guide the development and administration of the Service's governing documents, such as policies, procedures, and guidance materials. The following policies and procedures were developed or amended to support OPS administration and infrastructure and the delivery of core policing services:

- Public threats against justice official's procedures
- Electronic Monitoring Policy
- Adult Pre-Charge Diversion Procedures
- Disconnecting From Work Policy
- Flexible Workplace Policy
- Duty Book Note Taking & Investigative Report Writing
- Collection Preservation and Control of Property
- Acceptable Use of Information and Technology

## **Mandated reporting on police powers under the Missing Persons Act, 2018.**

### **Associated Standard: LE-026 Missing Persons**

When conducting a missing person investigation, police services across the Province of Ontario must report all occurrences whereby personal records of missing persons were obtained through a court order, search warrant, or by making an urgent demand for

records. Ontario Regulation 182/19, under the Missing Persons Act 2018, was enacted on July 1, 2019. It provides police clarity around acquiring a missing person's records and the related reporting obligations.

In 2022, the Ottawa Police had nine urgent demands for records. Details of the request were reported as prescribed by the Missing Persons Act, 2018, and can be found in Document 1 attached.

## **FINANCIAL IMPLICATIONS**

There are no financial implications associated with this report.

## **SUPPORTING DOCUMENTATION**

- Document 1 – Missing Person Form 7 2022

## **CONCLUSION**

The OPS remains dedicated to providing adequate and effective policing services. Through these quality assurance processes, the OPS maintains compliance with regulations and adequacy standards, mitigates risks, and provides quality policing to the community.

In alignment with the upcoming Strategic Planning process results, the OPS is reviewing the Quality Assurance process. This includes a review of capacity which is currently a single Internal Auditor and Policy Development Specialist. The results will be presented to the Board through the Finance and Audit Committee.