

Report to / Rapport au:

**OTTAWA POLICE SERVICE BOARD
LA COMMISSION DE SERVICE DE POLICE D'OTTAWA**

22 April 2024 / 22 avril 2024

Submitted by / Soumis par:

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

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**SUBJECT: INTERNAL AUDIT AND QUALITY ASSURANCE ANNUAL REPORT,
2023 (COMPLIANCE WITH MINISTRY STANDARDS)**

**OBJET: RAPPORT ANNUEL D'AUDIT INTERNE ET D'ASSURANCE QUALITÉ
DE 2023 (RESPECT DE LA CONFORMITÉ AUX NORMES DU
MINISTÈRE)**

REPORT RECOMMENDATIONS

That the Ottawa Police Service Board receive this report for information.

RECOMMANDATIONS DU RAPPORT

**Que la Commission de service de police 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 service 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 service 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 organization's quality assurance process. 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 2023.

Internal Audit

The 2023 Internal Audit Plan (Plan), approved at the March 2023 Ottawa Police Service Board meeting, encompassed two audit engagements, including providing key support in the development of action plans for recommendations from the Office of the Auditor General (OAG) and the Public Order Emergency Commission (POEC). These initiatives were strategically chosen to align with legislative mandates and the organization's priorities, considering the available resources, including the capacity for a full-time Internal Auditor to develop and execute the Plan.

A comprehensive review informed the development of the risk-based Plan, including a review of the Board's Strategic Plan, budget priorities, the health of strategic projects, risk assessments, insights from past audits, and benchmarking against work plans from other municipalities.

The objectives and scope for the two primary audit engagements are adjusted based on a thorough review conducted during the planning stage.

The findings from these audits have been shared with the relevant management teams and the Chief of Police. Management action plans are also tracked through Senior Leadership Team (SLT) to enhance oversight.

Below is a detailed summary outlining the objectives, recommendations, and specific standards evaluated in these audits.

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. This year's focus was on the seized liquor items.

Audit Objective

The Audit evaluated the processes and controls surrounding the handling, storage, and documentation of seized liquor items to mitigate associated risks to health, safety, and evidence integrity.

Recommendations:

- Develop comprehensive seizure protocols for liquor items to enhance effective and standardized handling procedures.
- Invest in containers to handle partially consumed liquids and revise the OPS Property Packaging Manual accordingly.
- Update the ECU SOP's Right of Refusal section for better handling guidelines.
- Conduct a Facilities Assessment to address odour and health and safety concerns.
- Ensure the Records Management System (RMS) disposition dates are updated to facilitate an efficient disposal review process.
- Review and relocate liquor items stored outside the Liquor Storage Room to enhance compliance with storage and handling requirements.

Audit of Time and Attendance

Associated Board Policy: CR-2 Financial Planning and Operations

An adequate time and attendance system is vital for OPS, as it is critical to managing the workforce and maintaining operational readiness. This system goes beyond recording work hours and payroll processing; it serves as a strategic tool, providing insights into workforce deployment and availability, thus enabling informed decision-making and optimal allocation of resources.

Audit Objective

This audit aimed to evaluate how well the current time and attendance system meets the organizational needs and provide recommendations for improving its performance to address OPS's complex requirements.

Recommendations

Management agreed with the eleven recommendations outlined below. The action plans have committed implementation dates between Q1 2024 and Q1 2026.

- Enhance discrepancy detection in timekeeping records by better utilizing OSL functionalities.
- Improve data integration between SAP and OSL to streamline processes.
- Implement updates in OSL for enhanced performance and security.
- Enhance mobile access through the MOBI-OSL app to improve user experience and efficiency.
- Fully utilize OSL for documenting sick leave and medical notes to streamline processes and improve record keeping.
- Incorporate court time tracking within OSL to effectively track court-related activities.
- Create targeted user training for OSL system proficiency.
- Collaborate with Legal and IT to develop service agreements with the City.
- Reevaluate using OSL “employee planner” functionality and replace the standalone duty roster system.
- Update governance documents for clarity and compliance.
- Establish unused leave reporting to monitor employee leave usage, identify trends, and ensure equitable distribution of leave benefits.

Deliverables beyond the 2023 Internal Audit Plan

In 2023, the Internal Audit expanded its scope beyond the above pre-defined deliverables to address the needs within the organization. It provided key support during the Ministry Inspection of the Public Order Unit (POU), emphasizing its essential role in assisting high-priority tasks outside the usual audit activities.

Additionally, Internal Audit facilitated self-assessment exercises to assess management's preparation for the forthcoming Solicitor General inspections for the 2023-2024 cycle, in the following areas:

- Follow-up on the Major Case Management Inspection.
- Public Order Units (POU).
- Investigations under General Regulation Part VIII led by the Chief of Police.
- Chief of Police Annual Report to the Police Service Board.

These activities underscore Internal Audit's adaptability and essential function in maintaining organizational standards and readiness.

Follow-up Activities

The Internal Audit tracks the completion of Management Action Plans (MAPs) as required by auditing standards and to mitigate identified risks. Updates on MAPs are regularly reported to SLT to strengthen oversight. Management is committed to the successful completion of these plans.

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:

- Duty Book Note Taking & Investigative Report Writing
- Collection, Preservation and Control of Property
- Child Abuse
- Elder/Vulnerable Adult Abuse
- First Office on the Scene
- Sexual Assault
- Employee Performance Management Program
- Workplace Harassment, Violence, Discrimination
- Equitable Work Environment

- Human Rights Core Policy
- Release of Persons

As part of an ongoing commitment to enhance policing services in line with legislative changes and community needs, management strategically increased staffing in the Policy Development Section. This expansion was twofold: firstly, it addressed the current workload, ensuring continued development and refining of policies that reflect best practices in law enforcement and community engagement. Secondly, it was a proactive measure in anticipation of the additional policy development work necessitated by the implementation of the Community Safety and Policing Act, 2019, along with its associated regulations, which came into effect on April 1st, 2024.

The additional personnel are not only a response to the increased workload but also an investment in the service's capacity to adapt and respond effectively to the evolving landscape of community safety and policing. By bolstering the policy development team, Ottawa Police Service will ensure that its service remains at the forefront of legislative compliance and best practice, thereby reinforcing OPS commitment to the safety and well-being of the community.

FINANCIAL IMPLICATIONS

There are no financial implications associated with this report.

SUPPORTING DOCUMENTATION

N/A

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.

Through comprehensive audits, strategic policy revisions, targeted recommendations, and dedicated follow-up action plans, the organization has strengthened its framework to enhance the effectiveness and efficiency of OPS operations. These efforts underscore the organization's commitment to excellence and readiness to fulfill its strategic goal of becoming a trusted partner in building an inclusive, equitable, and safe Ottawa.