

Report to / Rapport au:

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

24 April 2017 / 24 avril 2017

Submitted by / Soumis par:

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

Contact Person / Personne ressource:

**Chris Rheume, Superintendent, Planning, Performance & Analytics /
Superintendant, planification du rendement et de l'analyse
RheumeC@ottawapolice.ca**

SUBJECT: COMPLIANCE WITH MINISTRY STANDARDS: 2016 ANNUAL REPORT

**OBJET: CONFORMITÉ AUX NORMES MINISTÉRIELLES : RAPPORT ANNUEL
2016**

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

In 2001, the Provincial Government enacted Ontario Regulation 3/99 under the Police Services Act of Ontario (PSA). The regulation, named Adequacy and Effectiveness of Police Services, is intended to ensure police services boards and police services implement the mechanisms required to provide effective delivery of policing services to the community and ensure compliance with the Act and its regulations.

In accordance with direction set out in the Calendar of Monitoring Requirements and outlined in Board Policy BC-2(a), the Board is provided with an annual report on Compliance with Ministry Standards.

DISCUSSION

The Ottawa Police Service (OPS) has established a system of controls required to ensure the adequate and effective delivery of policing services. The Planning, Performance and Analytics (PPA) Section administers quality assurance activities such as management reviews and inspections, risk and process assessments, and internal audit engagements. PPA is also responsible for the administration and maintenance of up-to-date and relevant procedures.

These activities provide assurance that OPS operations are adequate and effective, and conform to Ministry of Community Safety and Correctional Service (Ministry) Standards. The activities also assist the organization in assessing the efficiency and effectiveness of existing controls; identifying gaps or deficiencies; and recommending process improvements by making recommendations and supporting the development of management action plans.

Compliance with Ministry Standards

The OPS is committed to fostering a strong risk management culture. The organization has an established Enterprise Risk Management (ERM) program based upon the ISO 31000 Risk Management Standard. The program has embedded risk management principles and practices throughout key processes. The program enables the systematic management of risk, aids the achievement of objectives, strengthens governance practices, and helps members make confident and risk informed decisions.

A key quality assurance and risk management activity is Control Self Assessment (CSA). CSA is a review process leveraged to proactively improve operational efficiency, assess compliance with Ministry Standards, increase accountability, and support the alignment of OPS practice and procedure. CSA is a facilitated approach that empowers management and process owners in the active oversight of risk and compliance. It reinforces the expectation that processes owners remain compliant with legislation and ensuring policy and practices align. The approach also provides guidance and training on risk management processes and alerts management to new and emerging issues and risks.

Over the past three years the OPS has reviewed all 84 Standards, including over 2,000 Ministry guidelines. All OPS operations relating to the Standards have been found to be compliant with legislation. Opportunities to improve efficiency have been identified and are being addressed through Directorate Operational Plans. The CSA process is cyclical and will continue support identifying improvements that can be leveraged to

enhance service delivery. The output of the exercise informs the organizations risk landscape and the development of the risk based internal audit plan.

Internal Audit Services

As prescribed by Board Policy CR-9 Audit Requirements, the OPS submits an annual audit plan. In 2016 the plan included four audit engagements.

Policy Management Framework (Chief's Procedures): Effective policy management is a critical component of good governance. The audit objective was to evaluate the effectiveness and efficiency of the OPS Policy Management Framework. Opportunities for improvement were identified in relation to resources capacity, oversight and monitoring, and governance process. All recommendations related to this audit have been completed.

Property and Evidence Control: The Property and Evidence Control (PEC) Section is audited annually as mandated by the Board. Each engagement is risk based, ensuring routine coverage of general property, evidence, securities and firearms. The 2016 audit objective assessed compliance to policy and procedures and evaluated sufficiency of controls employed by the PEC Section over jewellery and security items. Internal audit identified opportunity to improve the effectiveness of the lost and found service and enhance record keeping. Management action plans are being developed in response to the findings and will be monitored through audit follow-up.

Overtime Management: The engagement assessed the adequacy, efficiency and effectiveness of management processes, practices and controls to support overtime activities. Specifically, the engagement assessed: sufficiency and appropriateness of controls related to completion, review, authorization, approval and payment of overtime requests; compliance with established standards, policies and collective agreements; and effectiveness of reporting. Recommendations included enhancements to monitoring and oversight, control processes and improved automation to better support organizational objectives. Management action plans are being developed in response to the findings and will be monitored through audit follow-up.

Mandated Training: Internal audit is in the planning phase of this engagement, which will provide assurance that the OPS training program is effectively supporting employee development and is compliant with legislative requirements. The outcome of this audit will be reported to the Board as part of the 2017 Compliance with Ministry Standards Report.

In addition to the above, the status of past internal audit recommendations are monitored on an ongoing basis. In order to support the OPS in achieving operational

goals, the Internal Audit also provided numerous consulting activities related to program delivery, adequacy of controls, safeguarding of assets and process and system reviews. For example, Internal Audit provided input on regulated interactions; the gender audit; the Enterprise Risk Management Framework; the Policy Management Framework; and formulation of recommendations for internal operational reviews.

Chief's Procedures

The Police Services Act (PSA) requires every Chief of Police to develop procedures and processes for every aspect of policing. The OPS Policy Management Framework employs a tiered approach through the provision of various policy instruments including Service Policies and Standard Operating Procedures. The Policy Management Framework also provides the process to ensure service policies are compliant with current legislative and operational requirements. During the past year eight (8) service policies were revised and six (6) were created.

Created:

5.19 Regulated Interactions

3.32 Law Enforcement Privacy Protection

2.22 Social Media

9.17 Public Order

3.33 Recovery of Overpayments and Amounts Owing

3.31 On Call

Amended:

3.19 Performance Management

3.23 Promotion to the Rank of Superintendent

5.03 Vehicle Theft

9.04 Event Management

3.25 Promotion Processes Sergeant and Staff Sergeant

3.10 Promotion to the Rank of Inspector and Superintendent

1.06 Internal Audit

5.41 Public Rewards

As a result of enhancements to the Policy Management Framework, recommendations from Internal Audit, and significant organizational changes to improve the sustainability

of the OPS service delivery model, a comprehensive review of all procedures has been initiated. The review will ensure that these policy instruments are current and consistent.

FINANCIAL IMPLICATIONS

There is no financial impact from this report.

CONCLUSION

The Ottawa Police Service continues to fulfil its regulatory obligations and maintain compliance with Adequacy Standards through quality assurance, risk management, policy development, and internal audit functions.

Document 1

Annex A: Compliance with legislative requirements contained in the Provincial Adequacy Standards

STD #	STANDARD TITLE	COMPLIANT ¹
AI-001	FRAMEWORK FOR BUSINESS PLANNING	✓
AI-002	SKILLS DEVELOPMENT AND LEARNING	✓
AI-003	WORKPLACE HARASSMENT PREVENTION	✓
AI-004	COMMUNICABLE DISEASES	✓
AI-005	USE OF AUXILIARIES	✓
AI-006	USE OF VOLUNTEERS	✓
AI-007	MANAGEMENT OF POLICE RECORDS	✓
AI-008	MARKED GENERAL PATROL VEHICLES	✓
AI-009	SAFE STORAGE OF POLICE SERVICE FIREARMS	✓
AI-010	POLICE UNIFORMS	✓
AI-011	FRAMEWORK FOR ANNUAL REPORTING	✓
AI-012	USE OF FORCE	✓
AI-013	SPEED MEASURING DEVICES	✓
AI-014	SECURE HOLSTER	✓

¹ Compliance is defined as “the conformity and adherence to policies, plans, procedures, laws, regulations, contracts, or other requirements” (Institute of Internal Auditors, 2013).

STD #	STANDARD TITLE	COMPLIANT ¹
AI-015	EQUIPMENT - BODY ARMOUR	✓
AI-016	WORKPLACE VIOLENCE PREVENTION	✓
AI-017	ACOUSTIC HAILING DEVICES	✓
CP-001	PROBLEM-ORIENTED POLICING	✓
CP-002	CRIME PREVENTION	✓
CT-001	TERRORISM MITIGATION	✓
CT-002	PREPAREDNESS/ PLANNING	✓
CT-003	TERRORISM RESPONSE AND NOTIFICATIONS	✓
CT-004	TERRORISM RECOVERY	✓
ER-001	PRELIMINARY PERIMETER CONTROL AND CONTAINMENT	✓
ER-002	TACTICAL UNITS	✓
ER-003	HOSTAGE RESCUE TEAMS	✓
ER-004	MAJOR INCIDENT COMMAND	✓
ER-005	CRISIS NEGOTIATION	✓
ER-006	EXPLOSIVES	✓
ER-007	GROUND SEARCH FOR LOST OR MISSING PERSONS	✓
ER-008	EMERGENCY PLANNING	✓

STD #	STANDARD TITLE	COMPLIANT ¹
ER-009	UNDERWATER SEARCH AND RECOVERY UNITS	✓
ER-010	CANINE UNITS	✓
LE-001	COMMUNITY PATROL	✓
LE-002	COMMUNICATIONS AND DISPATCH	✓
LE-003	CRIME, CALL AND PUBLIC DISORDER ANALYSIS	✓
LE-004	CRIMINAL INTELLIGENCE	✓
LE-005	ARREST	✓
LE-006	CRIMINAL INVESTIGATION MANAGEMENT & PROCEDURES (CIMP)	✓
LE-007	HATE/BIAS MOTIVATED CRIME	✓
LE-008	HATE PROPAGANDA	✓
LE-009	JOINT FORCES OPERATIONS	✓
LE-010	INTERNAL TASK FORCES	✓
LE-011	SEARCH OF PREMISES	✓
LE-012	SEARCH OF PERSONS	✓
LE-013	POLICE RESPONSE TO PERSONS WITH MENTAL ILLNESS	✓
LE-014	COURT SECURITY	✓
LE-015	PAID INFORMANTS AND AGENTS	✓

STD #	STANDARD TITLE	COMPLIANT ¹
LE-016	PRISONER CARE AND CONTROL	✓
LE-017	TRAFFIC MANAGEMENT, ENFORCEMENT AND ROAD SAFETY	✓
LE-018	WITNESS PROTECTION	✓
LE-019	STOLEN OR SMUGGLED FIREARMS	✓
LE-020	CONTROL OF EVIDENCE AND PROPERTY	✓
LE-021	ELDER AND VULNERABLE ADULT ABUSE	✓
LE-022	OFFICER NOTE TAKING	✓
LE-023	BAIL AND VIOLENT CRIME	✓
LE-024	DOMESTIC VIOLENCE OCCURRENCES	✓
LE-025	SUPERVISION	✓
LE-026	MISSING PERSONS	✓
LE-027	CHILD ABUSE AND NEGLECT	✓
LE-028	CRIMINAL HARASSMENT	✓
LE-029	RESPONDING TO OCCURRENCES INVOLVING FIREARMS	✓
LE-030	PROPERTY OFFENCES (INCLUDING BREAK AND ENTER)	✓
LE-031	DRUG INVESTIGATION	✓
LE-032	ILLEGAL GAMING	✓

STD #	STANDARD TITLE	COMPLIANT ¹
LE-033	PRISONER TRANSPORTATION	✓
LE-034	SEXUAL ASSAULT INVESTIGATION	✓
LE-035	WATERWAYS POLICING	✓
LE-036	CHILD PORNOGRAPHY (INTERNET CHILD EXPLOITATION)	✓
LE-037	SUDDEN DEATH AND FOUND HUMAN REMAINS	✓
LE-038	FRAUD AND FALSE PRETENCE INVESTIGATION	✓
LE-039	HOMICIDE	✓
LE-040	PARENTAL OR NON-PARENTAL ABDUCTIONS	✓
LE-041	PROCEEDS OF CRIME	✓
LE-042	ROBBERY	✓
LE-043	VEHICLE THEFT	✓
LE-044	YOUTH CRIME	✓
LE-045	SUSPECT APPREHENSION PURSUITS	✓
LE-046	ONTARIO SEX OFFENDER REGISTRY	✓
LE-047	POLICE RESPONSE TO HIGH RISK INDIVIDUALS	✓
PO-001	PUBLIC ORDER UNITS	✓
PO-002	POLICE ACTION AT LABOUR DISPUTES	✓

STD #	STANDARD TITLE	COMPLIANT ¹
PO-003	POLICING ABORIGINAL OCCUPATIONS & PROTESTS	✓
VA-001	VICTIMS' ASSISTANCE	✓