



# **“E” Division OCC Management Unit Management Review Report**

## **Final Report**

Protected 'A'

March 23, 2010  
Pacific Region  
2008-PRRS-9

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## Overall Results

The Operational Communication Centre (OCC) Management Unit has within the last several years made significant improvements in the coordination of the OCCs and their work environments. These improvements include resourcing, training, operational procedures and the reduction of the effect of employees off on long term Off Duty Sick (ODS). Over the last year and a half these improvements have been tempered by the lack of strategic direction and changing mandates of the OCC Management Unit.

Externally the majority of clients interviewed had no contact with the OCC Management Unit employees. Those external clients who had contact with the OCC Management Unit employees found them to be professional and helpful. Internally the OCC Management Unit employees and the OCC managers reporting to the OCC Management Unit took great pride in improving the OCC working environments but were found to have poor morale attributed to under resourcing.

The review evaluated the OCC Management Unit's internal financial controls, and the budget determination and monitoring of the seven OCCs which report to the OIC of the Management Unit. This evaluation was partially completed at the time of this report, and as such this report can only be considered an interim report awaiting the final financial analysis.

The OCC Management Unit does not have a clear mandate or understanding of senior management's expectations of the goals they are to be achieving. They do not have an effective internal ULQA process or any process to monitor this process in the OCC Units which report to them. There is no formal process to identify the need for or tracking of Business Cases, Requests for Approval or Memorandums of Understandings with outside agencies. Initial training of new recruits is well organized and managed by the local OCCs and the Pacific Region Training Centre. The ongoing training of OCC personnel and developmental leadership training along with succession planning is well managed by the OCC Management Unit. Recruitment is managed by the local OCC managers with assistance from the OCC Management Unit personnel. There is no coordinated Division wide recruiting strategy or funding. The OIC has made clear efforts to reduce the impact of employees on long term ODS. There is no effective system to process or identify and store important information and documentation in the OCC Management Unit. The OCC Management Unit provides little operational or strategic direction to the Municipal OCCs or any coordination role between the RCMP and the Lower Mainland OCC (ECOMM).

It is very clear that there are more duties and tasks which would logically fall to the OCC Management Unit than resources available within the unit to complete these tasks. Significant effort is required to evaluate the competing needs and distribute them between the OCC Management Unit and the Management teams of the individual OCCs. This clarification of roles and establishment of expectations is crucial to the success of the OCC program within the Division.

### Objective of the Management Review

The purpose of a Management Review is to assess the adequacy and effectiveness of the Unit's management, investigative performance, and/or service delivery performance. The results of the management review provide assurance to the line officer that the unit is managed in accordance with the principles of policing and management in the RCMP. Results of reviews should be used to improve the operations and administration of a unit and promote sound practices. Assessments are made in consideration of the management framework which includes the five stages of good management, and they are:

- Plan for results
- Budget and allocate resources
- Execute and deliver service
- Monitor, measure, and evaluate
- Report on results

### Part I: Observations - Snapshot of Management Review

#### Needs Improvement (NI):

The unit practices and controls are not adequate to ensure the unit's objectives are achieved effectively.

#### Meets RCMP Expectations (ME):

Overall, the activity's management meets RCMP requirements. Any issues / opportunities for improvement noted are minor in that they do not affect the unit's ability to achieve its objectives.

#### Good Practice (GP):

Practices within the activity reviewed are noteworthy and should be recommended for implementation in other units.

#### Recommendation Number (R#)

	Activity	NI	ME	GP	Comments	R#
1	External Client Satisfaction	X			The majority of external clients interviewed had no contact Those who had contact with the OCC Management Unit employees found them to be professional and helpful.	1
2	Internal Client Satisfaction	X			The OCC employees, both in the Regions and at HQ take great pride in improving their own OCCs and the overall service they provide. The poor morale is attributed to under resourcing.	2
3	APP / Strategic Planning	X			There is no strategic planning within the OCC Management Unit. There is no clear mandate or understanding of the expectations upon the Management Unit.	3

4	ULQA Management	X			The OCC Management Unit does not have an effective ULQA process to assess their own activities or to ensure that any of the six OCC Units reporting to their office have an effective ULQA process.	4
5	CMB Finance	X			There is a lack of proper administrative controls governing the use of signing authorities, travel and expense claims, and the use of acquisition cards.	5
6	Budget Management		X		Processes are in place to ensure budget management and the monitoring of TCE salary expenditures. A business case has been forwarded for funding of a TCE budget in order to meet operational expectations.	
7	Business Cases / ARLU Management	X			Three Requests for Approval were forwarded by the Management Unit on behalf of all OCCs. There is no formal process to identify the need for or track Business Cases of Requests for Approvals.	
8	MOU's	X			All completed MOUs were found to be signed by the appropriate authority and followed a standard template provided by Legal Services. There is no system in place to track MOUs to ensure consistency and to identify areas requiring agreements with outside agencies.	
9	Training		X		Initial and followup training is coordinated by the individual OCCs and PRTC. The OCC Management Unit coordinates ongoing and developmental training. There is a need for a training tracking process.	6
10	HR Issues Succession Planning		X		Leadership candidates are identified at the by local OCC managers who work with their Learning Plans. The Management Unit provides training through PRTC and POWPMs. There is no formal Succession Plan	7
	Recruitment	X			Recruitment is completed at the local OCC level. There is no Division wide recruiting plan. Employees are hired as TCEs. Upon completion of their training and one years work experience they are eligible for full time employment.	8
	ODS Management		X		Clear efforts are being made to reduce the	



not clearly defined, communicated and understood. The monitoring of operational performance at the unit level was sporadic, nor was there any monitoring of the OCCs at the Division level.

### Scope of the Review

The purpose of this Management Review was to assess the adequacy and effectiveness of the OCC Management Unit's internal management, supervision of and program controls for OCCs across "E" Division. The results of the management review is to provide assurance to the line officer, the Deputy Criminal Operations Officer - Contract Policing, that the unit is managed in accordance with the principles of policing and management in the RCMP. Results of reviews should be used to improve the operations and administration of a unit and promote sound practices. Assessments are made in consideration of the management framework which includes the five stages of good management, and they are:

- Plan for results
- Budget and allocate resources
- Execute and deliver service
- Monitor, measure, and evaluate
- Report on results

The Management Review was conducted May 4<sup>th</sup> to 8<sup>th</sup>, 2009, and covered the period April 1, 2008 to March 31, 2009. To assess the controls in place to support management, eleven activities were reviewed. These activities were selected using a risk-based identification process. The focus was on the management of these activities in compliance with RCMP policies, legal requirements, best practices and management expectations. An example of the risk-based identification process was the selection of Human Resource Issues - Recruitment as a review activity due to the importance of ensuring minimum staffing levels in the face of ongoing retirements, transfers and employees off on long term ODS.

The review of OCC Management Unit's CMB Financial Controls and Budget Management was completed in January 2010 due to resourcing issues within the Pacific Region Review Services.

Once the controls of these activities were assessed, the information was used to assist the Review Principal in developing an opinion regarding the adequacy and effectiveness of management and investigative practices. Information to support the review conclusions was gathered through interviews, walk-throughs, document reviews and file sampling. The work was completed following the guidance put forth in the Management Review Handbook.

### Part II: Observations and Recommendations

#### External Client Satisfaction:

Fourteen external clients were interviewed including managers from ECOMM, the Lower Mainland District (LMD) Office, LMD OCC managers, the South East District Officer and nine Detachment Commanders and their Operations NCO's. There is no internal Administration file or process to track external client contact or satisfaction, There is no internal and external communication plan in place.

The majority of external clients interviewed had no contact . Those who had contact with the OCC Management Unit employees found them to be professional and helpful. This contact usually centred around specific projects or issues. The OCC Management Unit is seen to be over tasked and operating without a clear mandate.

The OCC Manager at ECOMM and those at Municipal RCMP Detachments believe there is a strong need for area wide coordination in the Lower Mainland Region (LMD) to improve dispatch processes. There is currently no clear

understanding as to who is in charge of radio communications in the LMD; the OCC Management Unit, the LMD District Office, PRTC or Informatics. The OCC managers who do not directly report to the OIC of the OCC Management Unit used to be included in the province wide OCC managers meetings but this no longer occurs. There is a poor understanding of the OCC Management Unit's mandated amongst their clients.

Recommendation # 1           The OIC of the OCC Management Unit will identify all external clients who are served by his unit, and those of the seven OCCs which report to his office, and establish regular contact with those clients. As well, he will implement a process to track and monitor external client contact and satisfaction.

**Internal Client Satisfaction:**

Eighteen employees were interviewed using an internal client satisfaction questionnaire. The employees interviewed consisted of three members of the OCC Management Unit with remainder comprising of OCC Managers and their direct reports who have within the review period reported to the OIC of the OCC Management Unit in one fashion or another.

The employees of E Division's OCCs and the OCC Management Unit are very dedicated to providing excellent service to the RCMP members within the Division and to the employees who report to them. They have a strong desire and vision to make positive changes. They look forward to the social aspects of their work sites, completing a good job and addressing the diverse challenges they face each day.

Overall their morale is split between very good, within their own OCC's, to very poor

A considerable amount of time and effort is expended by the OCC managers and their staff in addressing the staffing shortages and ensuring minimum staffing levels on all shifts. This frustration is compounded by the Division's inability to address the usage of TCEs to replace employees on both short term and long term ODS, MAT/PAT leave and training. The OCCs must maintain a minimum number of staff on each shift to ensure service to their communities and police officer safety. When they are short of employees due to leave or having released them for mandatory or developmental training they must replace these individuals with employees on overtime or a TCE. The employees do not believe that Division Senior Management has a full appreciation of their resourcing issues and they are constantly faced with restriction on overtime use, the number of TCEs they can hire, and the funding of those TCEs.

The OCC Managers hold the employees of the OCC Management Unit in high regard. They see them as very dedicated to the betterment of the OCCs and working very hard to achieve their goals. The OCC Managers

believe the employees of the Management Unit would be far more effective if they were allowed to complete a project before being reassigned new priorities with alarming frequency. This is reflected in the employees of the Management Unit being overwhelmed with tasks and having their job descriptions change on a monthly if not weekly basis.

The employees see the OCC Continuous Improvement Teams as good idea which are working towards improving working conditions and the service they deliver. The OCC managers and the employees of the OCC Management Unit believe that there are CM's within their program who would make a good OIC. They view having a RM OIC as a benefit in maintaining contact with the Division Senior Management Team. They believe that they have to spend a year and half familiarizing new RM OIC's with the OCC program before they can adequately understand and deal with issues which arise.

There was no internal or external communication plan in place

Recommendation # 2            The OIC of the OCC Management Unit will establish an internal and external client communications plan.

#### **APP/Strategic Planning:**

Unit Performance Plans for the OCC Management Unit and the local OCCs reporting to the Management Unit were reviewed. Employees of the OCC Management Unit, an OCC manager and employees of the Division Operations Readiness Centre were interviewed.

Unit Performance Plans (UPP) were submitted for fiscal years 2007/08, 2008/09, and 2009/10, by the OCC Management Unit. The unit employees were consulted in completing environmental scanning and identification of risks and priorities for the unit. The quarterly update reports are not completed properly and do not reflect any change for each of the priorities. An initiative work plan exists for the priority of Human Resources/ODS, but not for Communication Strategy & Monitoring, TCE Financial and Unit Supplements, Workplace Conflict, and OCC Configuration.

The OCC Management Unit does not provide input in the preparation of the UPPs for the local OCC's which report to the management unit. One local OCC submitted its UPP for 2009/10 (North District OCC), with three others in 2008/09 and three from 2007/08. There is no evidence of coordination by the OCC Management Unit of Division wide issues and priorities.

Recommendation # 3            The OIC of the OCC Management Unit will establish and formalize his Unit's mandate to clarify their responsibilities and those of the OCC Unit Managers. This should be facilitated through a meeting with the members of his staff, the OCC Managers who report to him, and the D/CROPS Contract Officer. At this planning meeting the activities best suited to be managed by the OCC Management Unit should be formalized as their responsibility with the remainder being assigned to the OCC Managers.

The Division Operational Readiness and Response Coordination Centre (ORR) was working with the OCC Management Unit in developing a Business Continuity Planning template for all OCCs. This participation was crucial in providing guidance on OCC policy and procedures so the planning process applies to all OCCs and the environments they work in. Due to resource and funding issues the OCC Management Unit is not able to participate in a meaningful fashion with Business Continuity Planning.



## **ULQA Management:**

The OCC Management Unit does not have an effective ULQA process to assess their own activities or to ensure that any of the six OCC Units reporting to their office have an effective ULQA process. There was no administrative or informal files to document the ULQA process. The OCC Management Unit identified three activities to review in 08/09 and four activities in 09/10. No reviews, findings, recommendations or corrective actions have been conducted as of the date of the Management Review. Review of the Annual Performance Plan (APP) system determined that the Nanaimo OCC completed and posted a review of five activities in 08/09, Victoria OCC identified and assigned three activities for review in 08/09, and the Prince George OCC has identified and assigned three activities for the 09/10 fiscal year.

In March of 2009 the Advisory NCO for the Deputy CROPS Contract Officer provided a one day APP/ULQA information seminar and written direction to implement the ULQA process for the 09/10 fiscal year.

**Recommendation # 4**            The OIC of the OCC Management Unit will establish an effective ULQA process within his office, which will include the appropriate Administrative files, identification of activities to be reviewed, assignment of reviewers, implementation of recommendations and evaluation of the corrective measures.

## **CMB Finance:**

### **Delegation of Authorities:**

The Unit's Organization Chart and Admin 875 - Signing Authorities file were reviewed to ascertain if the delegated authorities were in place and adequate for the unit's business. The Administrative file was found to be in place, providing an ongoing history, but there was no evidence that delegated authorities were reviewed annually. Seven personnel requiring signing authority had completed the correct forms but it was evident that delegated authority was not clearly understood. Training was provided to the OIC and changes were made to ensure the unit's accountability is in place.

### **Travel & Expense Claims:**

All Administrative files relating to travel and the processing of expense claims were reviewed. All travel claims were found to be maintained on site as required, and contained adequate details to support the claims. Most of the expense claims were signed off by the 2 i/c, which has been remedied with the Delegation of Authority training noted above. Travel authorizations were completed for longer periods than allowed in policy and for travel outside of "E" Division.

### **Acquisition Cards:**

Two employees were found to be utilizing unit acquisition cards. There is no administrative file to track cardholder responsibilities, signing authorities, and purchases. Purchases were found to be generally to be completed within policy guidelines. The OIC had not authorized all of the VISA logs, and Section 34 certification had been completed by a variety of employees.

**Recommendation # 5**            The OIC of the OCC Management Unit will ensure that signing authority is properly followed on all transactions. The OIC will also ensure that the proper administrative files are completed and utilized to track all financial transactions, and that TEAM is utilized to reconcile purchases and travel expenses.

### **Budget Management:**

The OIC directly oversees a post budget allocated to each of the six (6) Provincial OCCs, and both the post budget and a TCE salary budget for the one Federal OCC. These budgets are set by CMB Finance based upon historical spending. The Finance Section reports overall budgets to the OIC quarterly and post budgets to the individual OCC's. The OCC's and the OCC Management Unit stayed within budget targets for the fiscal year 2008/09. The OIC was found to have control of his budget and works with the OCC Managers who have good control of the budgets for each OCC.

The OCC's are required to maintain minimum staffing levels on each shift to ensure public and officer safety. In order to maintain these staffing levels, the OCC's hire 105 TCE's, on a as and when needed basis, to fill vacancies. The vacancies occur when full time staff are Off Duty Sick (ODS), or on maternity/paternity leaves, annual leave, special events and training. Of the 258 established CM positions only 229 are filled. Twenty nine (29) are vacant, seventeen (17) long term ODS, nine (9) on Maternity/Paternity leave and fifteen on Graduated Back to Work. The minimum staffing levels are maintained from the salary budget variance caused when a member of the full time staff is absent.

The OCC Management Unit works closely with CMB Finance in monitoring the OCC's salary budget as a whole (CM's and TCE's). TCE spending has increased over the years due to increases in workload, training and number of staff on long term ODS. This has created a situation where the OCC's are under pressure to reduce the number of TCE's and to live to limited salary budgets to ensure minimum staffing levels. The OIC of the OCC Management Unit has held a number of meetings with senior management and CMB Finance to discuss the complexity of staffing the OCC's and of the lack of a dedicated TCE budget to facilitate effective management of the OCC's. A funding request to address these concerns was submitted to the D/CROP - Contract Policing officer in 2009. The issues surrounding the staffing of the OCC's and usage of TCE's to facilitate this is a complex issue and the education of senior management and Finance should continue to be one of the top priorities of the OIC of the OCC Management Unit.

### **Business Cases/ARLU Management:**

Three Requests for Approval (RFA) were reviewed along with interviews of the OCC Management Unit and Operations Strategy Branch (OSB) to evaluate the effectiveness of the OCC Management Unit's coordination of resource and funding requests for OCCs across the Division.

There were no formal Business Cases forwarded during the review period. Three RFAs were forwarded for forty-one new CM positions, seven new PSE positions, and a funding request for training. These RFAs were found to be well presented with justifications for the increased resources being well researched. The staff of the OCC Management Unit have not received any formal training in business case preparation or writing. The Admin files for the Business Cases/RFAs only contained one RFA and limited working documentation. There is evidence of good consultation with the OCC managers prior to submission of the RFAs. There is no formal process to identify or track Business Cases or RFAs.

Any corrective action will first require the clarification of the OCC Management Unit's mandate and then assignment of this activity; see recommendation # 3.

### **MOU's:**

The four members of the OCC Management Team and two OCC managers were interviewed, informal files,

emails, and the RCMP internal web site were reviewed to assess the completion and coordination of Memorandums of Understandings (MOU) pertaining to OCCs across the Division. Three current, one expired and eight draft MOUs were located and reviewed.

There is no formal filing system within the OCC Management Unit to keep track of MOUs, their development and eventual ratification by the appropriate signing authority. The unit assists the District OCC managers in writing and forwarding all MOUs for authorization. All completed MOUs were found to be signed by the appropriate authority and followed a standard template provided by Legal Services. There is no system to track MOUs to ensure consistency and to identify areas requiring agreements with outside agencies. The OCC Managers experience significant, eight to nine month, delays in editing or approval by Legal Services.

Any corrective action will first require the clarification of the OCC Management Unit's mandate and then assignment of this activity; see recommendation # 3.

### **Training:**

The four members of the OCC Management Team, two OCC managers, and the PRTC Training Manager were interviewed, informal files and the OCC training database was reviewed.

The initial foundation, "Introduction to Telecommunications Course", and Telecom Operator Apprenticeship Program (TOAP) are coordinated by PRTC and the local OCC managers. The TOAP training includes all the mandatory training such as; VIR, Harassment, Canada Labour Code, and developmental training such as ride-alongs, local operating procedures, and a learning journal. There is no ongoing contact with the OIC of the OCC Management Unit and PRTC in relation to the initial foundation training. PRTC maintains contact with the OCC Managers and training coordinators. The OCC Management Unit does not have a process to monitor the completion of mandatory training by all dispatchers across the Division.

The OCC Management team provides ongoing training to the OCC Managers and the TCE dispatchers. Regular Managers meetings are held every two months to discuss issues and provide developmental training. This training includes such topics as understanding of Health Services and Pay & Compensation Sections. The OCC Management team implemented the Structured Interview Course as required training for all TCEs, as it is required for full time CM positions.

The OCC Management Unit monitors the OCC manager's completion of Performance Evaluations, 1004's and Individual Learning Plans. Compliance is currently at 75 to 100 %.

Recommendation # 6            The OIC of the OCC Management Unit will establish and maintain a system to track mandatory training, Performance Evaluations and Individual Learning Plans for all OCC employees.

### **HR Issues:**

Employees of the OCC Management team, managers from the Provincial OCC Units, PRTC were interviewed, and both informal files and emails were reviewed, to assess the role the OCC Management Unit plays in succession planning, recruiting and ODS management.

### **Succession Planning:**

Succession planning is occurring at the local OCC unit level. Managers identify employees who desire

advancement and work with them to access training and on the job training requisite for advancement. This process is managed through the use of Individual Learning Plans. The OCC Management Unit provides leadership training through PRTC and POWPMs for the OCC managers. There is no formal succession plan in place and no overall strategy. The five year human resources plan does outline the need for succession planning and the need to measure achievements, but this plan has not been signed off and does not provide a working template or direction for the Unit to follow.

Recommendation # 7            The OIC of the OCC Management Unit will update the five year human resources plan to include succession planning, and ensure that it is signed off and implemented across the Division.

Recruiting:

Recruiting of full time and Temporary Civilian Employee (TCE) CM's for the OCC's which report directly to the OCC Management Unit is conducted by the individual OCC at the local level. The OCC Management Unit provides advice and assistance where possible. There is no Division wide recruiting plan or funding. A year ago the OCC Management Unit turned over responsibility to assist the OCC's to CM Staffing and Personnel, who inturn returned this function due to a lack of capacity. CM Staffing and Personnel provide assistance to the local OCC management teams during the testing and interview phases of recruiting. There is a five year Human Resources plan for the Division OCC program which is awaiting signature by the Human Resources Branch.

Any corrective action will first require the clarification of the OCC Management Unit's mandate and then assignment of this activity; see recommendation # 3.

TCEs are hired at the TO-1 entry level, where they are sent for training to PRTC, and then work either on an "as or when needed" or on a full time replacement basis. After one year of work experience the TCEs are then eligible to complete for full time employment as TO-2 Civilian Members. This results in a situation where experienced TCEs are hired by other agencies once they are trained but before they have the required one year work experience to compete for full time employment status in the RCMP. In addition, the local OCC Managers then have to run two competitions to hire full time employees, once as a TCE and then as a full time CM. There is a full time CM job category, Job Code 3553, which is a training position with an established training/probation period, which would allow employees to be hired from the start as per industry standards. This use of the two step hiring process is not practised in any other region in Canada and is an interpretation of the hiring policies by "E" Division Human Resources Branch.

This minimum requirement creates a situation where the RCMP is hiring future staff as TCE's, committing significant resources to their training and development, and then losing them to other emergency dispatch services before they can be hired by the RCMP. Many other agencies do not have as strict experience requirements and are quick to offer jobs to future employees who are already trained and have some level of experience. The OCC managers are also faced with difficulty in filling vacancies with full time staff as they await for TCE's to complete there training and minimum experience hours. This practice is believed to have evolved to address performance issues of new employees by not actually hiring them on until they have worked for a significant time in the stressful environment of the dispatch centres.

Recommendation # 8            The OIC of the OCC Management Unit will work with Human Resources to develop a hiring protocol which meets the principles of fairness, addresses retention, and both training and experience requirements.

ODS Management:

Each of the six OCC Units track their employees Off Duty Sick (ODS) and report to the OIC of the OCC Management Unit in the form of a Briefing Note. This memo details the number of OC employees, the reasons for their absence, and what steps are being taken to alleviate the shortage. The number of employees ODS has decreased recently as a result of the OIC's efforts. Each employee is contacted on a biweekly basis. Meaningful work has been found for those employees who have returned to work on a graduated back to work basis.

There is no administrative file to track ODS management, with a binder being utilized to track each ODS employee, contact with these employees, communications with Occupational Health Service, and efforts to find alternative work for employees on Graduated Return to Work or Limitations and Restrictions. There are documented efforts to involve Occupational Health Services in the management of ODS trends and to ensure each file is addressed in a timely fashion. The OIC of the OCC Management Unit was able to work with CM Staffing & Personnel to double book ODS positions in order to alleviate some of the strain on the remaining OCC dispatchers. A monthly meeting with the OIC of the OCC Management Unit, CM Staffing Unit and Occupational Health Services have been discontinued as the Occupational Health Services did not have the capacity to continue working on this issue. The OIC of the OCC Management Unit has discontinued tracking of the ODS issue and directed his staff to work on other issues.

#### **Records Management:**

The OCC Management Unit does not have an effective system or process to identify and store important information and documentation. Basic efforts have been made to establish an administrative file system. Most records which are retained were found in individual filing cabinets, email accounts, computer files and in a rudimentary admin record system. The unit does not have an inventory of the files it does retain, there is no retention period monitoring, and the files it does maintain are not sequentially numbered in accordance with policy.

Life cycle records management is important to mitigating risk to the unit and the RCMP by ensuring that legislation, policies and procedures are followed, and that the RCMP's statutory, legal, and business obligations are met. Well organized and maintained admin records supports transparent and accountable governance, and improves the retention of corporate memory by ensuring retrieveability of information.

Recommendation # 9            The OIC of the OCC Management Unit will establish business processes for the handling of information both within the Unit and amongst the OCCs which report to his Unit. This process will include a functioning Administrative Filing system in compliance with RCMP policies and practices.

#### **Unit Management Action Plans - Requirements**

The OIC of the OCC Management Unit will submit an action plan to the Deputy CROPS Officer - Contract Policing and to the OIC of Pacific Region Review Services within 30 days of receiving this Management Review (MR) report addressing all listed recommendations. The Action Plan is to include diary dates for completion.

The Deputy CROPS Officer - Contract Policing will submit the approved action plan to the OIC Pacific Region Review Services, within 60 days of receiving the Management Review report. After this point, any diary date extensions are to be approved by the Deputy CROPS Officer - Contract Policing with notification to the OIC of Pacific Region Review Services.

The Deputy CROPS Officer - Contract Policing must forward quarterly updates to the Action Plan (March 31<sup>st</sup>, June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup>) to the OIC Pacific Region Review Services at

EDIV\_REVIEW\_SERVICES. Once all corrective steps have been completed and verified, the Deputy CROPS Officer - Contract Policing will submit a final report to the OIC of Pacific Region Review Services documenting that the recommendations have been fully resolved.

### Certification

This report was completed following the guidance provided in the Management Review Handbook. It is an assessment of the unit's identified risks at the time of the review, based on information gathered through interviews, walk-through observations, and documentation review. The observations are actual findings of fact with recommendations made based on a comparison with existing law, policy directives, and accepted management practices.

Review Team		
Review Principal	Signature	Date
Bruce Ward, Insp.		2010-03-01
Reviewers	Activities reviewed	
Paul Cheney, Insp	External and Internal Client Satisfaction	
John Taylor, Sgt	External and Internal Client Satisfaction	
Glen Carrier, Sgt	External and Internal Client Satisfaction MOUs Training	
Bruce Ward, S/Sgt	External and Internal Client Satisfaction	
Ron Clark, Sgt	APP/Strategic Planning Business Cases/ARLU Management	
Rob McLoy, S/Sgt	HR Issues	
Joanne Wynman	Records Management	

Distribution List		
Name	Title	Date
Gary Bass, D/Commr.	CO "E" Division	
Craig Callins, C/Supt.	Deputy CROPS Officer - Contract Policing	
Jas Basi, Insp.	OIC OCC Management Unit	
Teitz, Armin, S/Sgt.	A/OIC PRRS	

## MANAGEMENT REVIEW UNIT RECOMMENDATIONS

### Tracking of Action Plans Royal Canadian Mounted Police Internal Audit, Evaluation & Review

Date of review: May 26-30, 2008

Division: E

### RECOMMENDATIONS / ACTION PLANS

R#	Activity:	Recommendation / diary date:	Date completed:
1	External Client Satisfaction	The OIC of the OCC Management Unit will identify all external clients who are served by his unit, and those of the seven OCCs which report to his office, and establish regular contact with those clients. As well, he will implement a process to track and monitor external client contact and satisfaction	
Action Plan:		Person assigned	Diary date:
Interim progress report:		Date of report:	

R#	Activity:	Recommendation / diary date:	Date completed:
2	Internal Client Satisfaction	The OIC of the OCC Management Unit will establish an internal and external client communications plan.	
Action Plan:		Person assigned	Diary date:
Interim progress report:		Date of report:	

R#	Activity:	Recommendation / diary date:	Date completed:
3	APP / Strategic Planning	The OIC of the OCC Management Unit will establish and formalize his Unit's mandate to clarify their responsibilities and those of the OCC Unit Managers. This should be facilitated through a meeting with the members of his staff, the OCC Managers who report to	

		him, and the D/CROPS Contract Officer. At this planning meeting the activities best suited to be managed by the OCC Management Unit should be formalized as their responsibility with the remainder being assigned to the OCC Managers.	
Action Plan:		Person assigned	Diary date:
Interim progress report:			Date of report:

<b>R#</b>	<b>Activity:</b>	<b>Recommendation / diary date:</b>	<b>Date completed:</b>
<b>4</b>	<b>ULQA Management</b>	The OIC of the OCC Management Unit will establish an effective ULQA process within his office, which will include the appropriate Administrative files, identification of activities to be reviewed, assignment of reviewers, implementation of recommendations and evaluation of the corrective measures.	
Action Plan:		Person assigned	Diary date:
Interim progress report:			Date of report:

<b>R#</b>	<b>Activity:</b>	<b>Recommendation / diary date:</b>	<b>Date completed:</b>
<b>5</b>	<b>CMB Finance</b>	The OIC of the OCC Management Unit will ensure that signing authority is properly followed on all transactions. The OIC will also ensure that the proper administrative files are completed and utilized to track all financial transactions, and that TEAM is utilized to reconcile purchases and travel expenses.	
Action Plan:		Person assigned	Diary date:
Interim progress report:			Date of report:



R# 6	Activity: Training	Recommendation / diary date: The OIC of the OCC Management Unit will establish and maintain a system to track mandatory training, Performance Evaluations and Individual Learning Plans for all OCC employees.	Date completed:
Action Plan:		Person assigned	Diary date:
Interim progress report:		Date of report:	

R# 7	Activity: HR Issues - Succession Planning	Recommendation / diary date: The OIC of the OCC Management Unit will update the five year human resources plan to include succession planning, and ensure that it is signed off and implemented across the Division.	Date completed:
Action Plan:		Person assigned	Diary date:
Interim progress report:		Date of report:	

R# 8	Activity: HR Issues - Recruiting	Recommendation / diary date: The OIC of the OCC Management Unit will work with Human Resources to develop a hiring protocol which meets the principles of fairness, addresses retention, and both training and experience requirements	Date completed:
Action Plan:		Person assigned	Diary date:
Interim progress report:		Date of report:	

R# 9	Activity: Records Management	Recommendation / diary date: The OIC of the OCC Management Unit will establish business processes for the handling of information both within the Unit and amongst the OCCs which report to	Date completed:
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Unit reviewed OCC Management Unit	ULQA / MR File number 2008-PRRS-9	Protected 'A' Page 4 of 4
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	his Unit. This process will include a functioning Administrative Filing system in compliance with RCMP policies and practices.	
Action Plan:	Person assigned	Diary date:
Interim progress report:		Date of report:

**ACTION PLAN APPROVAL**

Unit manager:	Signature:	Date:
Name of Line Officer:	Signature:	Date:

<b>Line Officer Verification</b>		
<p>I hereby certify that a follow-up review of the recommendations contained in the aforementioned Management Review has been conducted within 90 days of being advised of corrective action having been taken on said recommendations. I am satisfied, as the Line Officer of the unit reviewed, that all recommendations have been met and related deficiencies named therein have been corrected.</p>		
Name of Line Officer	Signature:	Date:

*Tracking of Action Plans template revised 2010-02-11*



To: Jas Basi, Insp.  
OIC OCC Management Unit

From: Bruce Ward, Insp.  
National Program Evaluation Section

Subject: OCC Management Unit - Management Letter -

Security Classification - <b>Protected A</b>
Our File - Notre référence
Your File - Votre référence
Date 2010-03-01

The following minor concerns were observed during the review of your Unit. These findings are further opportunities to strengthen the effectiveness of your Unit, and although they are not in the formal report, they do require your attention and will require verification by the "E" Division Deputy CROPS Officer/Contract Policing.

**Business Case/ARLU Management:**

- 1) Ensure all employees involved with the research and writing of Business Cases and Requests for Approval attain adequate training to complete this task.
- 2) Consult with Ops Strategy Branch to ensure that all submitted Business Cases and Requests for Approval are completed in the correct format and meet requirements to ensure speedy submission for approval.

**MOUs:**

- 3) Develop an internal process (spreadsheet) to track all MOUs drafted, forwarded to Legal Services and their eventual expire date once signed.

**HR Issues:**

- 4) Establish and maintain an Administrative file tracking the ODS situation in each OCC.
- 5) Develop a long term recruiting plan within the Division which addresses the different issues faced by the OCCs across the different Districts.

**CMB Finance:**

- 6) Amend Specimen Signature forms to witness appropriate delegated authorities in accordance with Delegation of Authority Policy and the FAA for all Budget Authorities. (Level of Authority - Own Organizations, Cost Centres, and Actual Authority Delegation)
- 7) Ensure all authorities delegated to former employees be cancelled.
- 8) Ensure that sufficient detail is included in travel claims to facilitate knowledgeable authorization. The detail should include the travel times, TAN numbers, and

transportation requests, itinerary or airline tickets attached to the claims.

- 9) Ensure centralized administrative records contain a current list of acquisition cardholders, the documentation authorizing cardholders and showing limits set for each cardholder as well as the Acknowledgement of Responsibilities - form 3592 signed by each cardholder.
- 10) Ensure TEAM training is received in order to reconcile VISA charges with TEAM transactions.
- 11) Ensure that all 3593 are reviewed and proper signatures in place as well as coding anomalies are indicated.

Please provide a report to indicate what actions you have taken to resolve these deficiencies. Confirmation that a plan is in place should be provided to the "E" Division Deputy CROPS Officer/Contract Policing by 2009-10-31

Should you have any questions, please do not hesitate to contact me.

Respectfully yours,

Original Signed by

Bruce Ward, Insp.  
Review Principle