

RCMP



ROYAL CANADIAN MOUNTED POLICE

Unit Level Quality Assurance

THE COMPLETE UNIT TOOL



Historic

- RCMP established in 1873
- Century of Command & Control
- Inspections
 - Commissioner's Audit Team
 - CO and OC
 - Section NCOs



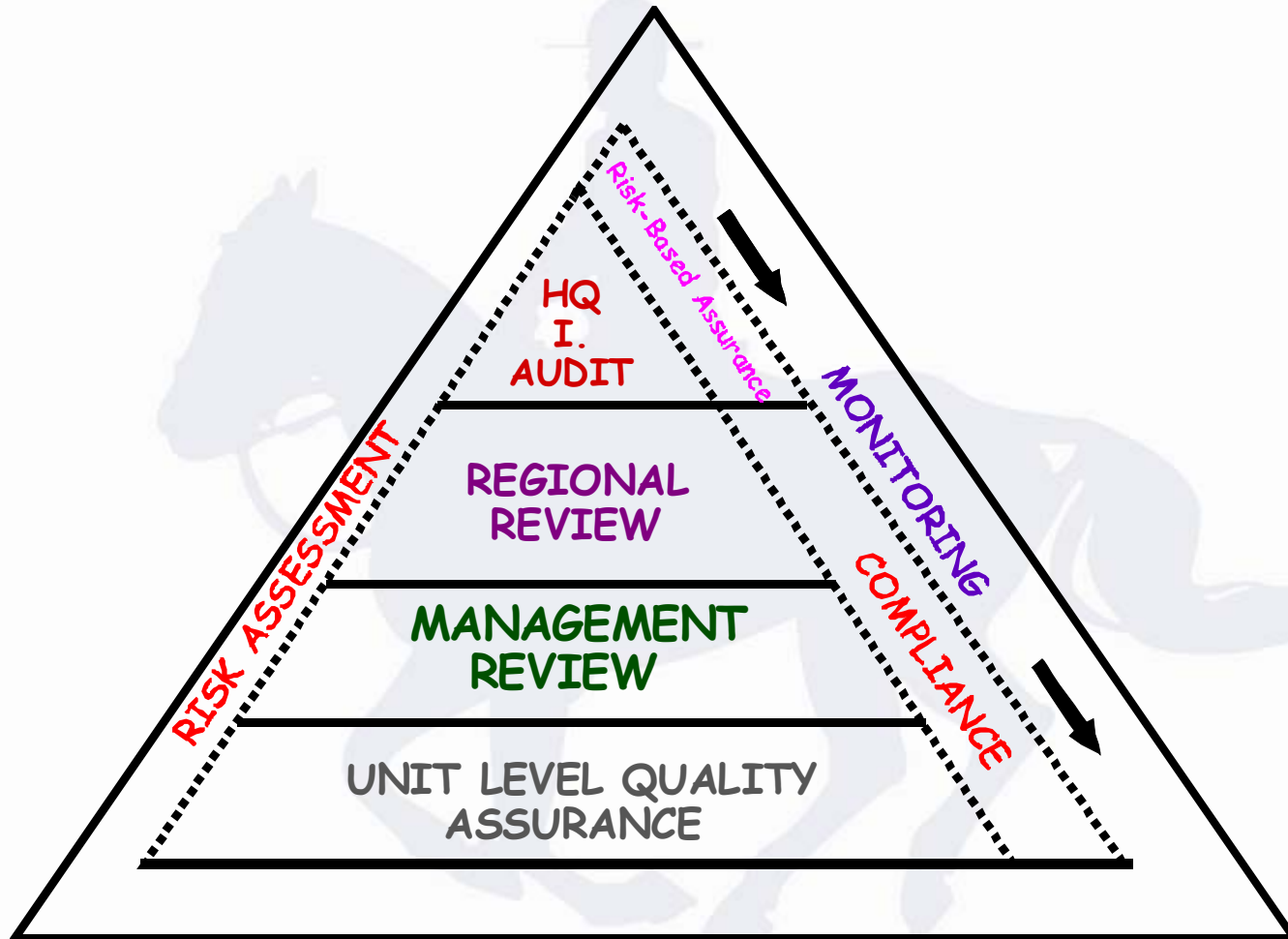


Historic cont'd

- Mid- 80's abandoned "Inspection" format
- Few years of testing & evaluating
- 1993 Introduction of Unit Level Quality Assurance
- 2006 Inclusion into the APP



RCMP Review Framework





What is ULQA ?

It is a continuous risk-based process performed by a unit in order to improve the degree of compliance with:

- Operational
- Financial
- Administrative
- Program responsibilities





ULQA Cycle

- Based on fiscal year (April to March)
- Review Services perform activity analysis
- Each division/regional services identify high risk activities
- Truly an on-going process



RISK ?

Risk refers to the uncertainty that surrounds future events and outcomes. It is the expression of **likelihood** and **impact** of an event with the potential to influence the achievement of a unit's objectives



Five Phases of ULQA

- I Identification of activities
- II Risk assessment & prioritization
- III Physical review and observation
- IV Corrective action
- V Follow-up



Phase 1: Identification of activities

ACTIVITY is a specific function performed within a unit that has an impact on service delivery and which enables the unit to meet its mandate.

- The detachment/unit manager, aided by unit personnel, identify all the major activities performed by the detachment/unit. After which they select the 15 highest risk activities based on their knowledge and experience of the unit.
- The activities provided by higher level of management must be included for consideration in the 15 activities.



Phase II: Risk Assessment & Prioritization Activities

- An electronic "user-friendly" template is used
- Completed in a "team approach" concept
- Forms are uploaded into the APP system



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Main Menu
Menu principal

ANNUAL PERFORMANCE

PLAN FOR RESULTS

RÉSULTATS (suite)

LIKELIHOOD
Findings, volume & complexity

IMPACT
Unit Significance & Repercussions

Total score
Max 35

UNIT LEVEL QUALITY ASSURANCE (ULOQA) - PERFORMANCE DE LA QUALITÉ D'UN SERVICE (AOSS)
 F - C = Findings - constatations V = Volume - Volume C = Complexity - Complexité
 S - P = Unit level Significance - Portée au niveau du service R = Potential Repercussion - Répercussions possibles
 RE - ER = Risk Exposure - Exposition au risque AR - AE = Activity to be reviewed - Activité à réviser

| Activity Activité | Likelihood Probabilité | | | Impact Conséquences | | RE* ER* | AR* AE* | Brief Rationale for decision to risk-in or out activity Brevé de la décision d'entreprendre l'activité |
|----------------------|---------------------------|----|----|------------------------|----|------------|------------|--|
| | F* - C* | V* | C* | S* - P* | R* | | | |
| Aboriginal Policing | 1 | 3 | 3 | 6 | 10 | 23 | N | Riskied out. Reports back from Division and national survey suggest the detachments engagement and consultation with the areas bands are in good standing. |
| Acquisition Cards | 1 | 1 | 1 | 6 | 6 | 15 | N | Riskied out. Single card on the detachments and structures in place and reviews conducted monthly to ensure use in accordance with policies. |
| Arrest and Release | 3 | 5 | 3 | 10 | 10 | 31 | N | Riskied out. Regularly reviewed by supervisors. This activity may be taken on if selected activities are completed. |

ULQA Risk Rating Matrix

Rationale for decision



Phase III: Review Stage

- Physical review is completed
- Use of standard guides
- Identifies deficiencies & good practices
- Records corrective measures
- Targets root cause (s)
- Monitored by manager

UNIT LEVEL QUALITY ASSURANCE INITIATIVE WORK PLAN
PLAN DE TRAVAIL DE L'INITIATIVE D'ASSURANCE DE LA QUALITÉ AU SEIN D'UN SERVICE

Unit Type- Genre de service: File No. - N° de dossier:

Audit and Evaluation Guides and Handbooks | Guides et manuels de la vérification et de l'évaluation | AM 1.7 | chap. 1.7 du MA

DISTRICT/DETACHMENT INFORMATION - RENSEIGNEMENTS SUR LE DISTRICT/DÉTACHEMENT

Coll. Code - Code d'intarcl. | Région/HQ - Région/DG | Division/Program - Division/Programme | District | Detachment/Unit - Détachement/Service

Objective/Activité | Objective /Activity Owner - Responsable de l'objectif/l'activité | Date Concluded - Date de conclusion

Record deficiencies

Track follow-up

(Phase 3) PHASE 3 OBSERVATION - EXAMEN PHYSIQUE ET OBSERVATIONS

Initiative Owner | Diary Date - Date d'agenda | Total Population - Population totale | Sample - Échantillon | Date of Review - Date de révision

DEFICIENCIES - LACUNES | (Phase 4) CORRECTIVE ACTIONS - MESURES CORRECTRICES | (Phase 5) FOLLOW-UP - SUIVI

| | List Deficiencies Indiquer les lacunes | Corrective Actions Mesures correctrices | Assigned To Assigné à | Diary Date Date d'agenda | Management Function Fonction de gestion | Diary Date Date d'agenda | Corrected Corrigé | If no, action taken Sinon, mesures prises |
|----|---|--|--------------------------|-----------------------------|--|-----------------------------|----------------------|--|
| 1. | | | | | | | | |
| 2. | | | | | | | | |
| 3. | | | | | | | | |


Indicate corrective action (s)

(Phase 6) PHASE 6 PRACTICES - MEILLEURES PRATIQUES

| | List - Liste | Action taken - Mesures prises |
|----|--------------|-------------------------------|
| 1. | | |
| 2. | | |
| 3. | | |



Review Guides

- ▶ National Standard
- ▶ Augmented to account for divisional differences
- ▶ Depicts the steps/requirements to perform the activity 
- ▶ Based on law, policy & common practice criteria
- ▶ ULQA & Management Reviews use the same guides



Phase V: Follow up

- To ensure the planned corrective action was implemented
- To determine the results (*did the corrective action work?*)
- Use the standard form (5202) to track the follow up for each activity



What ULQA should be

Meaningful: Select activities which pose the highest risk to the unit.

Manageable: The number of selected activities should be kept at a manageable level dependant on the size and capability of the unit.

Flexible: Can be re-evaluated at any time during the year.



What ULQA is Not !

- Not a permanent process
- Does not replace day to day management
- Not quality control





Benefits of ULQA Process

- Helps managers identify & mitigate risks.
- Helps senior management mitigate risks (high level activities)
- Easy to monitor (on-line)
- Identify & disseminate good practices.
- Increase personal & public accountability
- Training & development opportunities.
- Improves service to client.
- On going analysis of results.



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Sample Report

| | |
|--|--|
| | Needs Improvement |
| | Meets expectations, Minor deficiencies |
| | Meets expectations |

| Unit Name | Collator | 5185 STATUS May | 5185 STATUS August | activite activités | # risked in choisi | High Risk Haut Risqu | Rationale Raisons | Overall Effectiveness Efficacité d'ensemble |
|----------------------------|----------|--------------------|-----------------------|-----------------------|-----------------------|-------------------------|----------------------|---|
| Air Services | 02356 | | No update | 3 | 3 | 0 | NI | no admin activities selected No changes since May |
| Anti Corruption Unit | 00134 | | improved | 15 | 1 | 4 | ME | good risking and activity |
| CFSEU | 01834 | | improved | 15 | 4 | 3 | ME | Notebook not risked |
| Criminal Intell Branch | 00303 | | improved | 15 | 4 | 4 | ME | Much improved |
| DCAS | 03021 | | improved | 15 | 8 | 4 | ME | Too many activities selected |
| EDU | 00175 | | improved | 15 | 4 | 4 | ME | Much improved |
| Forensic Identification | 00277 | | improved | 15 | 2 | 4 | ME | Much improved |
| CCS | 03471 | | improved | 15 | 2 | 2 | ME | Much improved |
| CES | 03482 | | improved | 15 | 3 | 4 | ME | Much improved |
| Drug Section | 03475 | | improved | 15 | 4 | 4 | ME | One activity selected twice, probably means Performance evaluations |
| FES | 03483 | | improved | 15 | 3 | 4 | ME | no comments |
| I&P | 03480 | | improved | 15 | 4 | 4 | ME | 1393 risked in with low total score ? |
| IPOC | 03592 | | improved | 15 | 3 | 4 | ME | Much improved |
| IBET | 00142 | | improved | 15 | 3 | 4 | ME | Much improved |
| IMET | 00203 | | improved | 15 | 6 | 4 | ME | Very well done |
| Detachment A | 02513 | | improved | 15 | 3 | 4 | ME | Good risking and selection of activities, training given last MR |
| Detachment B | 01031 | | improved | 15 | 3 | 4 | ME | Good overall |
| Detachment C | 01094 | | improved | 15 | 3 | 4 | ME | no comments |
| Detachment D | 03593 | | improved | 15 | 3 | 4 | ME | Much improved |
| Emergency Response Team | 00197 | | improved | 15 | 2 | 4 | ME | Improved |
| Tactical Troop | 00191 | | No update | 0 | 0 | 0 | NI | Locked down and checked out |
| Special "I" Section | 00331 | | No update | 4 | 2 | 0 | NI | Not enough activities, locked down and checked out |

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**THANK
YOU**

