

RCMP-GRC



ROYAL CANADIAN MOUNTED POLICE • GENDARMERIE ROYALE DU CANADA

Assurance Services in the RCMP 2007 Quality Assurance Conference

René-Pierre Tremblay, Supt, CGAP
Director, Management Review and Quality Assurance



Introduction

- Concept of Assurance
- Definitions
- Quality Assurance vs. Quality Control
- Review Framework
- Management Reviews in the RCMP
- Quality Assurance in the RCMP





Assurance - Assurance - Assurance

Assurance services are objective examinations of evidence for the purpose of providing an independent assessment of:

- Risk management strategies and practices;
- Management control frameworks and practices; and
- Governance





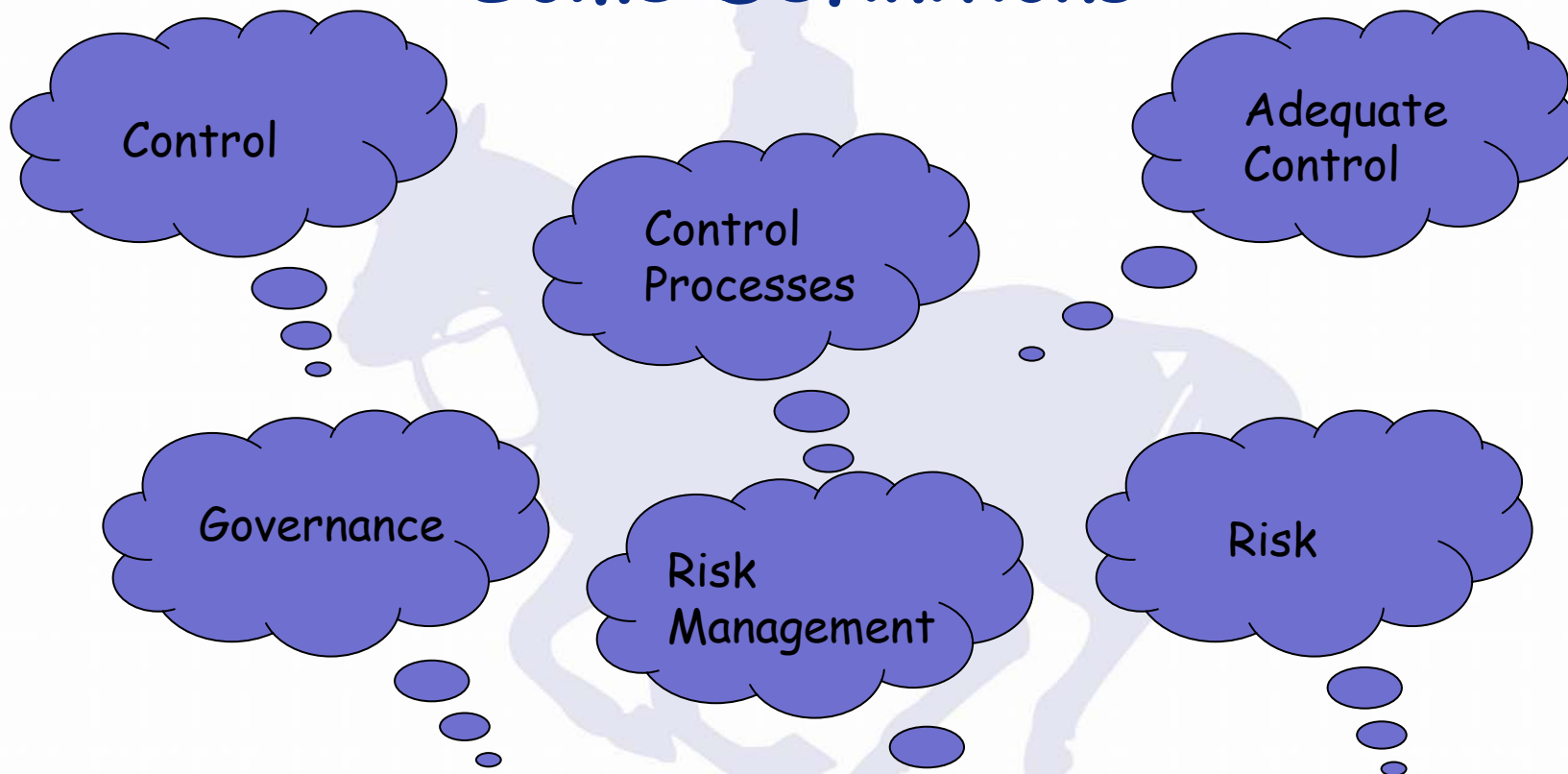
Key principles of the definition:

- objective examination
- evidence based
- independent assessment





Some Definitions





Quality Assurance vs. Quality Control

- QA - A practice that allows management to **re-examine** transactions and to monitor compliance with policies and procedures.
- QA - Activities involving a review of quality of services and the taking of any corrective actions to remove any deficiencies.
- Quality control is a component of a Quality Assurance process.
- QA is the System, QC is the tools



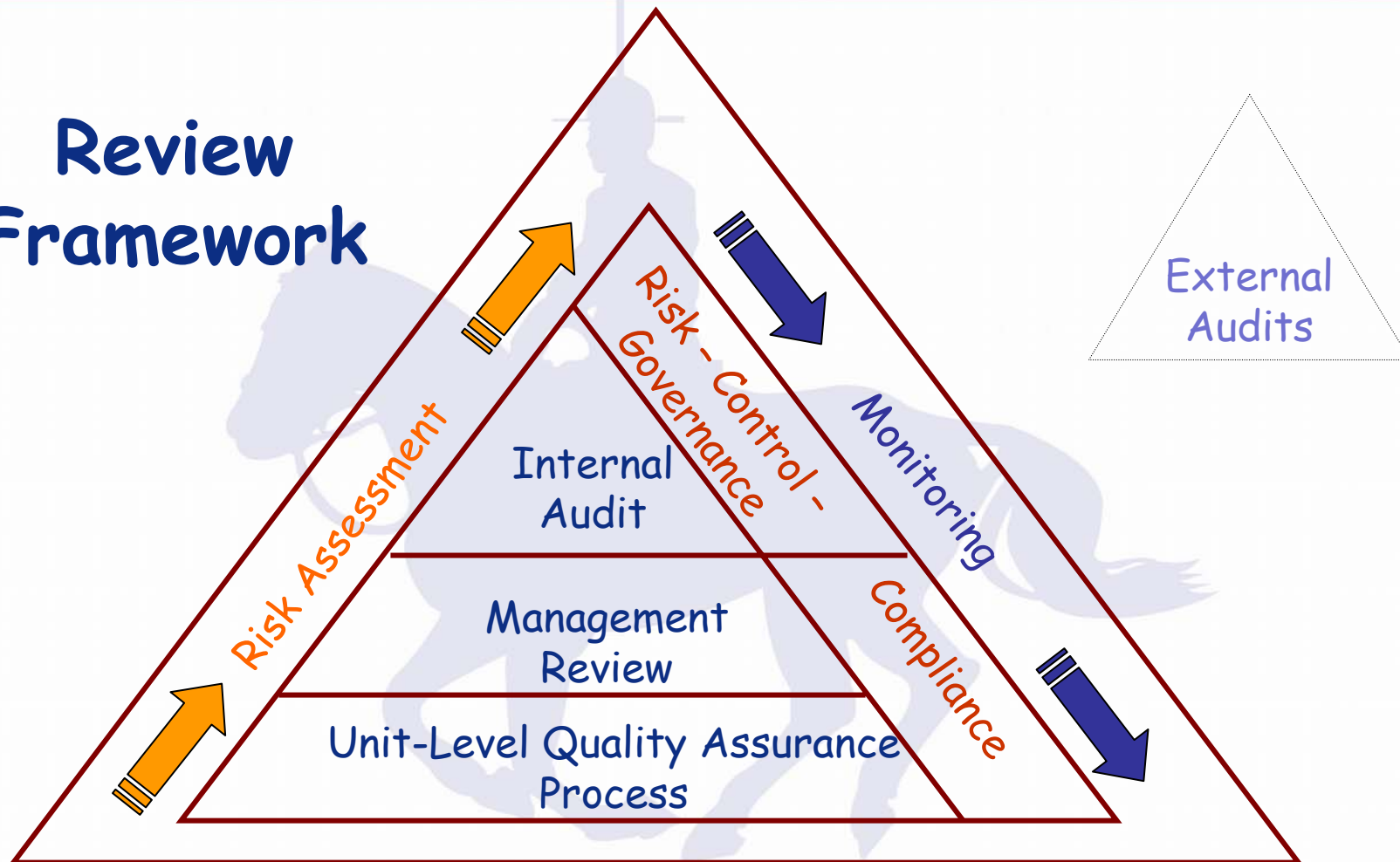


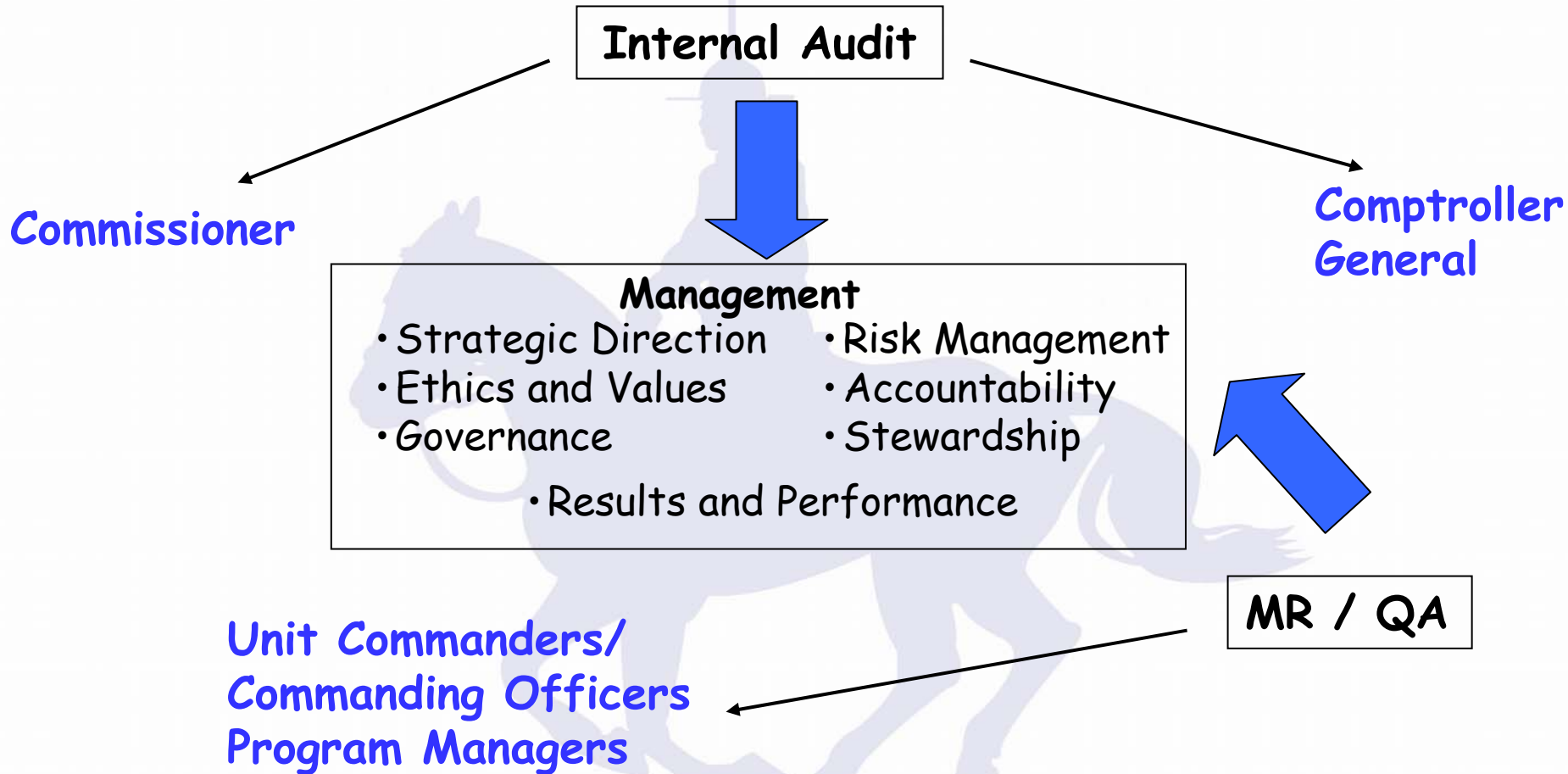
Internal Audit	<p><i>Does the organization has adequate and effective mechanisms in place to deliver on its objectives?</i></p> <ul style="list-style-type: none">• management control frameworks• risk management policies and practices• governance
Management Review	<p>Focus is on assessing management and investigative effectiveness <i>of a unit</i> in the RCMP.</p>
Quality Assurance	<p>Focus is on implementing risk-based unit monitoring processes <i>within a unit</i> to provide managers assurance they are in compliance with policies and procedures.</p>





Review Framework

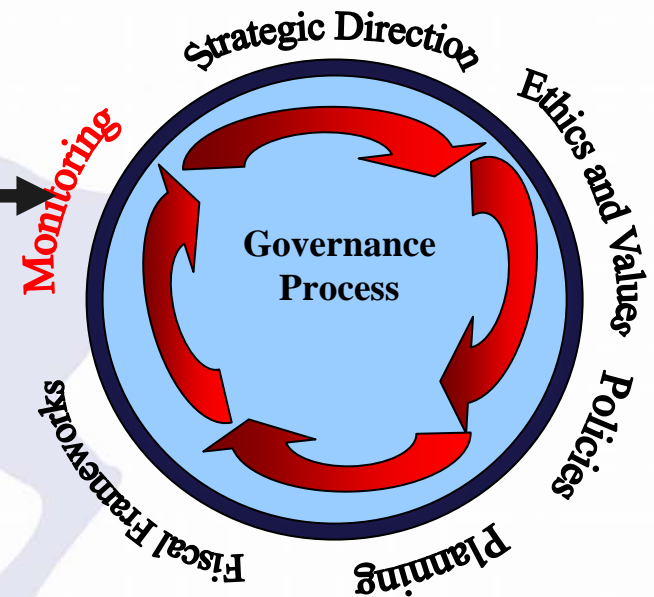


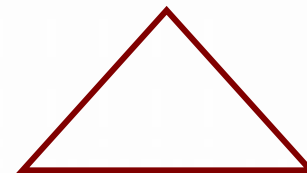




The Role of Reviewers in Relation to Corporate Governance.

Reviewers support the monitoring function by providing Management with independent assessments that examine and evaluate risks and controls so that there is reasonable assurance that the objectives and priorities will be achieved.



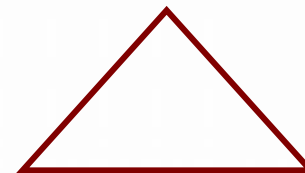


Management Reviews consist of conducting an assessment of a unit on the adequacy and effectiveness of management and, where applicable, investigative performance.

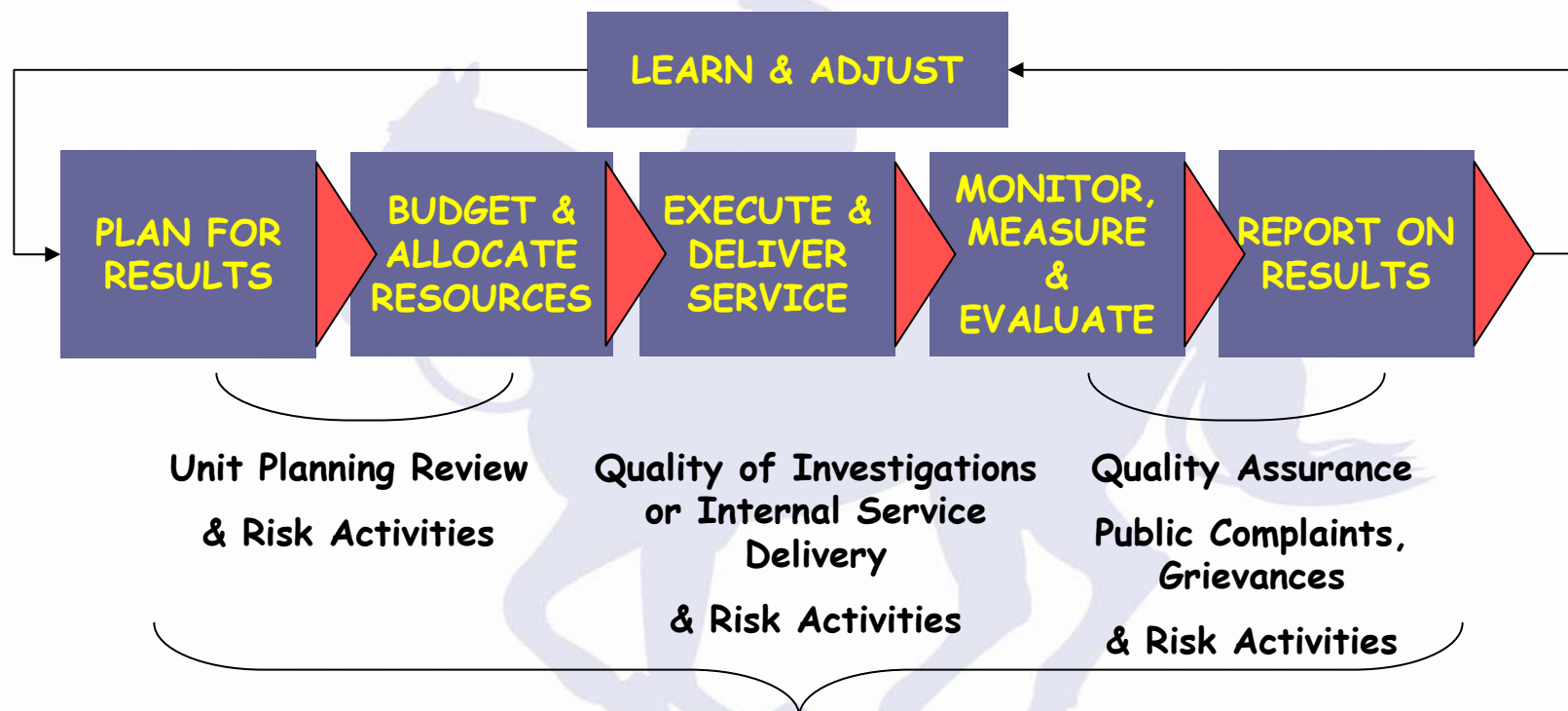
- Units are selected
- Management function(s) selected
- Activities are selected

Based on a risk assessment



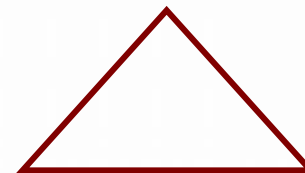


5 STAGES OF GOOD MANAGEMENT



Interviews - employees, clients, partners and supervisors

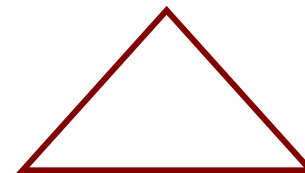




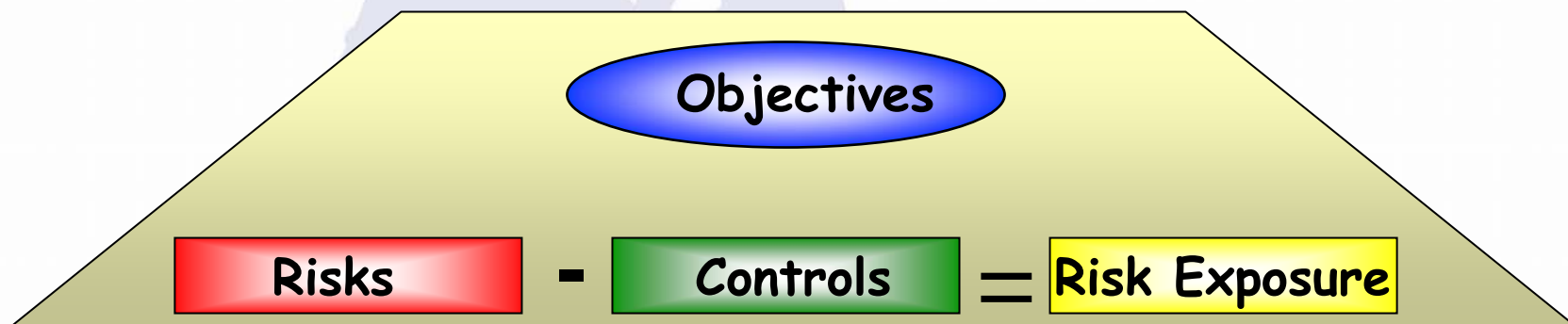
What is Unit Level Quality Assurance?

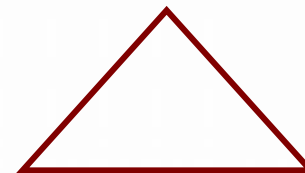
- ULQA is a documented **risk-based** assessment of internal control. It is designed to assess compliance with operational, financial, administrative and program responsibilities.





Risk-Based Approach





QA Process

1. Identification of Activities
2. Risking of Activities and Prioritizing Reviews
3. Physical Reviews and Observations
4. Corrective Actions
5. Follow Up



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Questions and Comments



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Contact Information

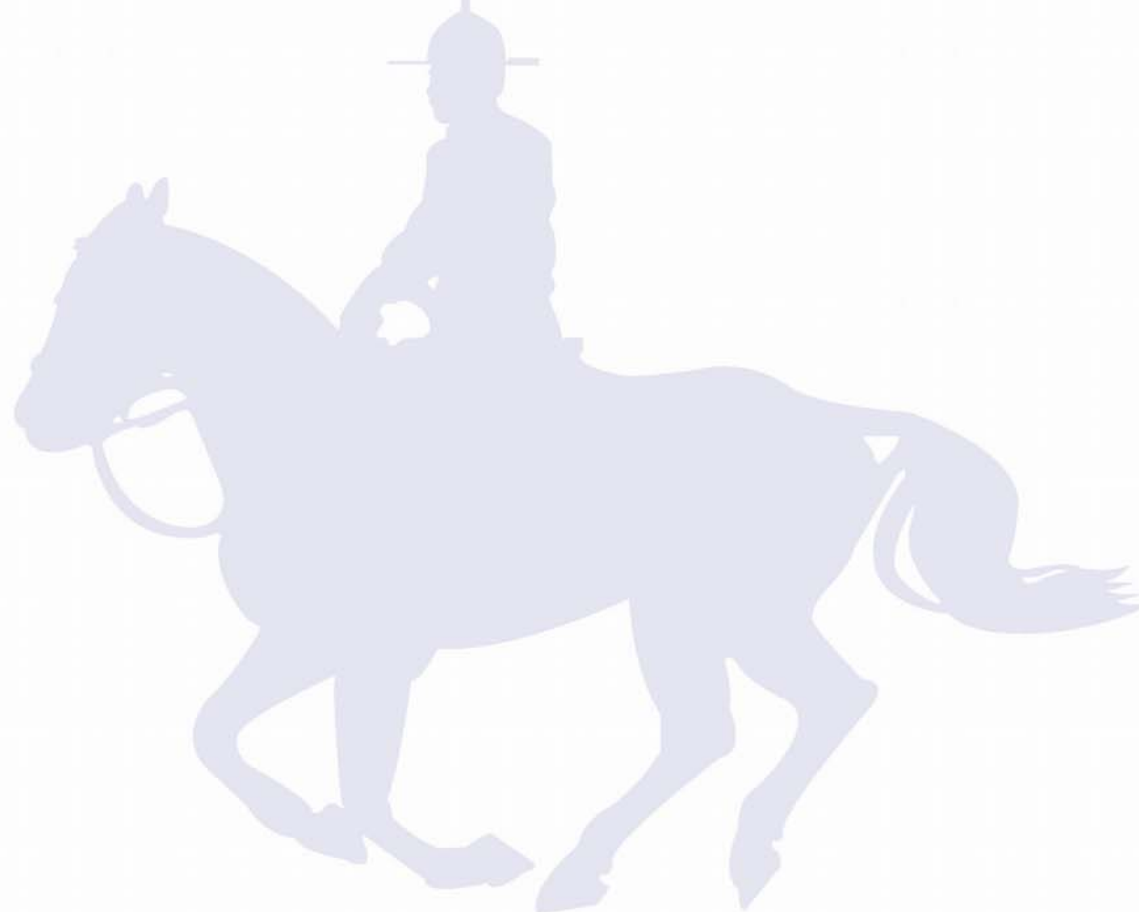
- Supt. René-Pierre Tremblay, CGAP,
Director, Management Review and Quality Assurance
 - 613-823-0518
- Insp. Luc Delorme
OIC Management Review and Quality Assurance
 - 613-823-2765



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