National Recruiting Program Audit

Final Report
April 2010

Internal Audit

Royal Canadian Mounted Police   Gendarmerie royale du Canada

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Executive Summary

One of the greatest challenges facing the Royal Canadian Mounted Police (RCMP) is to attract the most qualified employees in sufficient numbers to meet current and projected operational requirements. The RCMP has been facing increasing competition from other police services, as well as other industries, for a dwindling pool of qualified candidates, while also dealing with high rates of retirement. As outlined in the 2007/08 Marketing/ Communications Strategy prepared by the National Recruiting Program (NRP), the RCMP would be required to train close to 2,000 new cadets each year starting in fiscal year 2007/08 and continuing several years into the future.

The Recruiting Audit Engagement was approved by the Audit & Evaluation Committee in June 2005 as part of the Risk-Based Audit and Evaluation Plan for the period April 2005 - March 2007. The objectives of this engagement were first to assess the extent to which the management control framework for recruiting is adequate and effective, and second to assess applicant files to ensure that the Regular Member recruiting process is efficient.

The audit planning was completed at the end of March 2008, and the examination phase was completed at the end of October 2008.

At the time of the audit, the audit found that there were weaknesses in the management control framework. Roles, responsibilities, authorities, accountabilities, and objectives were not clearly defined, communicated, or understood. There was no formal training for recruiting staff involved in the determination of applicant suitability or in the processing of files, with the exception of Human Resources Management Information System (HRMIS) training.

The regional recruiting offices were staffed by both Public Service Employees (PSEs) and Regular Members (RMs). Many of the positions were temporary positions due to lack of permanent funding. These temporary positions have resulted in high rates of turnover. Additionally, classification of PSE positions varied across the country, resulting in different rates of pay being granted to individuals performing the same work.

In most of the recruiting offices visited, facilities were inadequate. Staff were often required to have telephone conversations with applicants, which are sometimes of a personal nature, in open areas or shared offices. Storage space for files was inadequate in some regions.

The processing of applicant files was generally consistent with policy. While the processing times for the files were longer than the target times established by the NRP, processes had been streamlined and times have improved.

The audit presents recommendations in the areas of strategy, governance structure, monitoring, human resources, training, tools and facilities, as well as communication. A total of 15 recommendations and management action plans are provided in the report. Seven of the Management Action Plans have been implemented and the remaining plans have target completion dates no later than September 2010.

Background

One of the ongoing challenges facing the RCMP is to attract the most qualified employees in an environment where competition is increasing. The RCMP has had little difficulty in bringing new recruits to the organization, thanks to its reputation for excellence and its historical significance. However, the organization has been competing against other police services and other career choices for a dwindling pool of qualified candidates, while also dealing with high rates of retirement. At the time of the audit, the outlook for the next five to ten years was that policing and many other industries would face labour shortages. As outlined in the 2007/08 Marketing/Communications Strategy prepared by the NRP, attrition, including retirements, was projected to be over 700 members in 2007/08 and approximately 600 members for each of the subsequent four years. In addition, it was estimated that there would be an increase of 1,700 federal positions and more than 2,500 contract positions in the RCMP's authorized strength over the following five years.

It was estimated that the RCMP must train close to 2,000 new cadets each year starting in 2007/08 and continuing several years into the future. It was projected to take until 2010/11 for the RCMP to fill all of the vacant and newly created positions.

In fiscal year 2004/05, the RCMP established the Recruiting Program Renewal Initiative. The initiative team was mandated to review how the RCMP attracts and recruits new police officers. The RCMP National Recruiting Program Strategy was approved on February 14, 2006 to develop a recruiting program that focuses on the RCMP's future needs. This investment translated into the creation of 35 new positions at the regional and divisional levels and 17 new positions for the NRP Policy Centre to supplement the existing five positions. The new resources increased the total positions for the NRP to 240; at the time of the fieldwork for the audit, only 180 positions were filled.

The RCMP Recruiting Business Plan for 2007/2008 set the overall direction for the NRP through business objectives. To respond to increased demand, the business model was changed in the following four important ways. 1) A move to provide national direction and standards to all stages of the recruiting process. 2) An increased focus and effort on marketing. 3) A move to a regional applicant processing system. 4) The streamlining of the entire recruiting process from a linear sequential process toward a more concurrent one. To date, Pacific, North West, and Central Regions have all created regional recruiting offices, while Atlantic Region has maintained its four divisional recruiting offices.

The regional recruiting offices are staffed with both RMs and PSEs. There is an Officer in Charge (OIC) of the Regional Recruiting Offices (RRO) for each region who reports to the regional Human Resources Officer (HRO). The regional recruiting offices rely heavily on the use of Temporary Civilian Employees (TCEs) to fulfill various functions, such as Regular Member Selection Interviews (RMSI), Pre-employment Polygraphs (PEP), and field investigations. There is a view that recruiting at the current pace will only be required for a few years. This has resulted in many of the PSEs in the recruiting offices occupying term positions rather than indeterminate. Several of the RMs assigned to recruiting are Surplus to Establishment (STE) as permanent positions have not been created.

The Recruiting Audit Engagement was approved by the Audit & Evaluation Committee in June 2005 as part of the Risk-Based Audit and Evaluation Plan for the period April 2005 - March 2007.

Objectives and Scope

Objectives:

The objectives of this audit engagement were as follows:

1. To provide reasonable assurance that the management control framework for the National Recruiting Program is adequate and effective to support its activities, and

2. To assess the efficiency of the processing of applicant files.

Scope:

The audit focused on the management control framework that was in place and reviewed relevant data and controls that were in place at the time that the fieldwork was conducted.

Applicant file processing was reviewed in Pacific, North West, and Central regions, as well as in B and H divisions for Atlantic Region. L Division was not visited, as the number of applications processed was low compared to B and H divisions. Files from J Division were being processed by Central Region Recruiting until February 15, 2008 in order to deal with backlogs; for that reason they were not reviewed. The audit looked for common root causes of delays in the process as well as consistency of the processing of applicant files. Applicant files were selected from all applications received after January 1, 2007 that were still active as of February 5, 2008.

The audit did not examine the recruiting of Civilian Members or the effectiveness of the recruiting tools and techniques being used in the process, such as the RMSI, PEP questionnaire (PEP-Q), PEP, and Physical Ability Requirements Examination (PARE). The audit did not include an examination of advertising and marketing materials in use for proactive recruiting.

Approach

- The audit engagement was planned and conducted in accordance with the Internal Auditing Standards for the Government of Canada.

- The planning phase of this audit commenced in October 2007, while fieldwork began in March 2008 and was completed in October 2008. The examination employed various techniques, including interviews, observations, walkthroughs, file reviews, reviews of supporting documentation, and analytical reviews. The audit criteria were based upon applicable policy, rules, regulations, and legislation, as well as the Office of the Comptroller General's *Draft Core Management Controls Model,* the Treasury Board Secretariat's *Management Accountability Framework,* and the Canadian Institute of Chartered Accountants CoCo[1] model, *.*

The following table defines specific terms used in this audit report:

Generally comply	Highest rating that could be given when determining the level of compliance.
Adequate	Controls are adequate if management has planned and organized (designed) in a manner that provides reasonable assurance the organization's risks have been managed effectively and that the organization's goals and objectives will be achieved efficiently and economically.
Effective	Controls are effective if they provide the desired effect.
Efficient	Controls are efficient if they provide the desired effect with a minimum of waste, expense or unnecessary effort.

1 CoCo (Criteria of Control) is a management control framework developed by the Canadian Institute of Chartered Accountants. It covers internal controls expected in an organization.

Conclusions

• **Management Control Framework**	Based on the criteria, the audit found that the management control framework for the NRP was not adequate. More specifically, the audit found that roles, responsibilities, authorities, accountabilities, and objectives were not clearly defined. There was no formal training specific to determination of suitability or processing of applications. Staffing in recruiting was not consistent, classifications varied across the country, and many positions were staffed on a temporary basis due to the lack of permanent funding. This resulted in high turnover rates and numerous vacancies.
• **Efficiency of Processing of Applicant Files**	The processing of applicant files was generally consistent with policy. Exceptions noted were related to the order of steps in the process and monthly contact with applicants. Processing times were longer than the target times established by the NRP; however, processes were being streamlined from a linear, consecutive process to a more concurrent one during the course of the audit. Processing times have since improved.

Management's Response to the NRP Audit

The National Recruiting Program continues to evolve, innovate and improve our approach to recruiting. We continue to effectively respond and adjust to the current challenge of matching RCMP demand for human resources with supply from available labour markets, with the goal of sustaining this balance over time. Program successes have been achieved through a complex matrix of roles and responsibilities ranging from front line recruiting activities at the regional level to various national policy activities and senior management steering committees.

Over the last six years, recruiting efforts have fulfilled the dreams of more than eight thousand Canadians who have participated in the RCMP Regular Member hiring process and were enrolled in training at Depot – and the program is planning for a significant requirement over the next five years. It is with this history of success and level of challenge in mind that recommendations arising from this audit are accepted and responses are offered to continue the legacy of excellence established by the National Recruiting Program.

In fiscal year 2008/09, full troops of 32 were consistently enrolled into training at Depot. There is every indication that recruiting operations will be able to continue this enrollment trend for this fiscal year and beyond. Applicants have been processed to the extent that the National Recruiting Program exceeded the target for fiscal year 2008/09, with approximately 1783 people enrolled in Regular Member training. Throughout the recruiting process, standards have been maintained to the extent that both Depot and divisions report satisfaction with the level of professionalism and raw talent displayed by our newest employees. Employment Equity goals have been consistently exceeded, with the exception of those related to Aboriginal Canadians, where we continue to seek innovative approaches to attract them to our organization.

Many initiatives were launched prior to and during this audit exercise. Priority setting exercises were completed with the National Recruiting Program management team to ensure all managers were aware of responsibilities and deliverables. The Quality Assurance process continues to move forward with identification of issues; a Management Review Guide has been published, a Departmental Security Services review guide to ensure compliance with policy has been developed, and a Regional Recruiting Quality Control Check sheet was provided for use by regions. In the area of training, several Regular Member Selection Interview courses were conducted for recruiting personnel, a Field Investigators Guide is in final draft stages, and an Orientation Manual for new recruiters is near publication. With respect to processing applicants, 'Block Processing' or 'Accelerated Applicant Processing' exercises were conducted by each region and will continue as recruiting resources permit.

Much work lies ahead for the people who make up the National Recruiting Program as we endeavor to surpass previous successes in the face of considerable challenges. This audit and management response recognize that clear direction from the Senior Executive Committee (SEC) to focus the shared governance at the national and regional levels within the National Recruiting Program will be necessary to achieve the cooperation and coordination of efforts required to raise the program to new heights.

Principal Findings and Management Responses

The following summarizes the main audit findings based on the results described in the *Overview by Objectives* section. For each recommendation presented, management provided:

- an action plan which addresses the recommendation;

- the position responsible for implementing the action plan; and,

- the target date for completion.

1. Strategy

Observation / Impact
There is no Human Resources (HR) Strategy in place for the NRP. There is a Business Plan for the NRP which addresses operations, but it does not provide an HR strategy for the NRP itself. The NRP has been funded as a project which would only be required to function at current levels for a finite period of time. There is heavy reliance on term PSEs, RMs who are STE, and TCEs. This has resulted in high rates of turnover among PSEs, as they seek permanent employment elsewhere, and among RMs, as they return to their substantive positions. This creates a constant learning curve which negatively impacts the timeliness of the recruiting process.
A formal mandate for the NRP had not been articulated, although recruiting personnel all agreed as to what the mandate was. While strategic direction and objectives had been established by the Policy Centre in the RCMP National Recruiting Program Strategy dated February 14, 2007, one of the stated objectives would be more appropriate to the HR Sector in general rather than the NRP, and one was operational in nature. Some operational objectives for the Policy Centre had been established and some planning activities had been conducted. At the regional level some operational objectives had been identified informally. The lack of well established and understood objectives and plans makes it difficult to identify requirements that must be met, risks and opportunities that must be balanced, and the needs and wants of stakeholders.
There was no formal process for the identification and assessment of internal or external risks at the national or regional level. As a result, risks may not be identified or mitigation strategies established, exposing the NRP to the same risks year after year.

Recommendation	Management Action / Response
The Chief Human Resources Officer (CHRO) should ensure that: a. there is an HR strategy in place for the NRP in alignment with the HR strategy for the Force, and b. a clearly defined mandate which is supported by national strategic objectives, is established and communicated, and that risks to the realization of these objectives are identified and addressed. The CHRO, in conjunction with the regional Deputy Commissioners (D/Commrs.), should ensure that: c. operational planning in support of strategic objectives is in place for each region	a. Recommendation supported – HR Management Services (HRMS) is working on a comprehensive HR Strategy and the current NRP Strategy will be aligned with it. (*OIC HRMS --- Sept, 2010*) b. Recommendation supported – A National Recruiting Program mandate, supported by national strategic objectives, has been developed, communicated and complemented by risk mitigation strategies. *(Director NRP --- Completed)* c. Recommendation supported – NRP HQ Policy Center has commenced this ongoing activity with the Regional recruiting offices to ensure operational planning in support of NRP strategic objectives is in place. (*Regional HROs --- Completed*)

2. Governance Structure

Observation / Impact
While a governance model exists for the NRP, the organizational structure was not always clear. Organizational charts existed for the Policy Centre and for each recruiting office; however, these were out of date. Staff in the regional recruiting offices were not always clear on who at the Policy Centre was in a position to provide them with guidance when the need arose. Roles, responsibilities, authorities, and accountabilities were not clearly defined, communicated, or understood. Reporting structures for recruiting have changed several times in recent years, from divisional reporting prior to the establishment of the NRP, to national reporting, then to regional reporting with the exception of Atlantic region which maintains a divisional reporting structure. This has resulted in significant conflict between the roles, responsibilities, and authorities of the Policy Centre versus those of the regional managers, as well as those of the CHRO versus those of the regional D/Commrs. and HROs. There is the risk that some roles and responsibilities may be overlooked, authorities may not be exercised appropriately, and accountability may be difficult to enforce.

Recommendation	Management Action / Response
The CHRO, in conjunction with the regional D/Commrs., should ensure that: a. roles, responsibilities, authorities and accountabilities for the regional D/Commrs., HROs, and the CHRO are defined and communicated, and b. roles, responsibilities, authorities, and accountabilities for all positions within the regional recruiting offices and the Policy Centre are defined and communicated.	a. Recommendation supported – Roles, responsibilities, authorities and accountabilities for Senior Management will be defined under the responsibility of SEC. *(CHRO --- Sept, 2010)* Governance policy, reflective of SEC direction, will be developed. *(Director NRP --- Sept, 2010)* b. Recommendation supported – Roles, responsibilities, authorities, and accountabilities for all NRP positions will reflect SEC direction and will be communicated. *(Director NRP and Regional HROs --- Sept, 2010)*

3. Monitoring

Observation / Impact
The responsibilities of the Policy Centre with respect to performance monitoring have never been established. While the Policy Centre is responsible for developing policy, processes and selection criteria, they have no defined authority to monitor for compliance. This may result in inconsistent application of selection criteria and differences in processing systems across the country, which may expose the Force to increased risk of complaints or litigation.
One of the strategic objectives identified by the NRP is to establish Quality Assurance (QA) for all recruiting offices and the Policy Centre. This has not yet been put in place.
Operational performance is monitored at the regional level through checks and balances designed to ensure appropriate decision making with respect to applicant suitability.

Recommendation	Management Action / Response
The CHRO should ensure that: a. the responsibilities of the Policy Centre with respect to monitoring are defined and communicated, and	a. Recommendation supported – NRP HQ Policy Center responsibilities with respect to monitoring have been defined and communicated through policy, business plans, and terms of reference for the Shared Leadership Team. Performance monitoring is the responsibility of regional HROs and RROs. (*Director NRP --- Completed*)
b. a quality assurance process for the NRP is established and communicated.	b. Recommendation supported – NRP HQ Policy Center has initiated a Balanced Scorecard Unit Level QA initiative, and has finalized and published a QA guide for the entire program. Implementation of a QA process will follow. (*Director NRP and Regional HROs --- Sept, 2010*)

4. Human Resources

Observation / Impact
Since it was established in February 2006, the NRP has been funded as a project which would only be required for a finite period of time, rather than as a permanent HR program. As a result, there was no permanent funding in place for many positions. In the Policy Centre as well as in some of the recruiting offices, many of the PSE positions were term due to a reluctance to create permanent positions. Additionally, there was a reluctance to release operational RMs to the administrative duties in recruiting due to the impact it would have on front-line policing; several of the RMs in recruiting offices were STE. There was heavy reliance on the use of TCEs to conduct RMSIs, PEPs, and field investigations. This lack of permanent positions had resulted in an unstable base of employees and high rates of turnover, as temporary employees sought permanent positions elsewhere, taking their training and experience with them.
Staffing levels for the recruiting offices had been determined based on cadet allotments. An analysis of the various tasks involved in the process to determine the appropriate category of employee had not been conducted. Having inadequate numbers or inappropriate categories of employees may negatively impact the efficiency of the recruiting process.

Recommendation	Management Action / Response
The CHRO, in conjunction with the regional D/Commrs., should ensure: a. that the NRP is permanently funded to a level which will support the ongoing needs for recruiting as established by the HR strategy, and b. that the various duties within the recruiting process be reviewed to determine the appropriate category of employee to perform them.	a. Recommendation supported – A Business Case for permanent NRP funding will be submitted to SEC Finance Sub-Committee for consideration. *(Director NRP --- Sept, 2010)* b. Recommendation supported – Key functions in the recruiting process such as suitability decisions have been defined through Recruiting policy and rest with the Non-Commissioned Office position. (*Director NRP --- Completed)*

5. Training

Observation / Impact
There was no national training standard in place for the NRP. While training courses specific to proactive recruiting and HRMIS were offered, there was no formal orientation for new employees or training for suitability or processing. Training was provided informally and on-the-job by staff within the recruiting offices. There is a risk that selection criteria will not be applied consistently across the country, and that processing of files will be done differently in the various regions. This may expose the Force to complaints or litigation.

Recommendation	Management Action / Response
The CHRO should ensure that: a. a national training standard for the NRP is created and implemented and includes training specific to suitability and to processing of applications, and b. an NRP orientation manual is available for employees who are new to the program.	a. Recommendation supported – Training standards are currently being developed through Learning and Development in consultation with employees from the NRP. *(Director NRP --- Sept, 2010)* b. Recommendation supported – NRP HQ Policy Center has finalized the orientation manual which is available to all new employees through a web link. (*Director NRP --- Completed*) Local orientation to regional policy and procedure is the responsibility of Regional Recruiting Officers. (*RROs --- Sept, 2010*)

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6. Tools and Facilities

Observation / Impact
Tools in use for the NRP were not adequate. The capacity for e-recruiting and on-line testing did not exist. In order to promote the RCMP as an employer of choice, it is important to project an image of being a modern, technologically advanced police service. Without on-line application systems, there is a risk that a certain segment of the population will not consider applying to the RCMP.
Office space in many of the recruiting offices was inadequate. Staff were crowded, sometimes sharing offices or even cubicles which were intended for one person. Some recruiting offices did not have private spaces available to meet with applicants or speak to them by telephone. Since many of the discussions with the applicants are personal in nature, this may result in violations of privacy legislation.
Storage space for files was inadequate, with files being piled on top of cabinets and desks in some offices or stored in various locations around the building. Issues with air quality and lighting were identified by staff in several offices. This may place the RCMP in violation of Government Security Policy, RCMP Security Policy, Treasury Board guidelines and the *Canada Labour Code Part II*.

Recommendation	Management Action / Response
a. The CHRO, in conjunction with the regional D/Commrs., should ensure that facilities provided for the regional recruiting offices comply with applicable policy and legislation.	a. Recommendation supported – CHRO will continue to work with regional partners to ensure adequate facilities are in place. NRP continuously monitors Regional needs through RRO. (*CHRO and RROs --- Completed*)
b. The CHRO, in conjunction with the Chief Information Officer (CIO), should ensure that e-recruiting and on-line testing are developed and implemented.	b. Recommendation supported – These initiatives are underway. **E-Recruiting:** CIO to complete the migration of HRMIC to new version (8.9) (necessary for E-Recruiting implementation) *(CIO ---May 2010)* Once completed, NRP will implement. *(Director NRP --- Sept, 2010)* **E-Testing:** Procurement process for E-Testing software customization continues. Pilot anticipated for Spring 2010. *(L&D --- Spring 2010)* Once completed, NRP will implement E-Testing. *(Director NRP --- Sept, 2010)*

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7. Communication

Observation / Impact
Communication between the regional recruiting offices and applicants is not always effective. Policy requires that applicants be contacted a minimum of every 30 days throughout the application process; however, what constituted "contact" was not well understood. In some recruiting offices, contact between internal partners and applicants in a given month was considered to be adequate. In Central Region Recruiting, there is a 1-877 number for applicants to call if they have questions or concerns. If the operator is not able to address the issue, a message is sent to an employee within the recruiting office who then contacts the applicant, which can result in delays in the process. The Policy Centre has updated the policy to clarify what is intended with respect to contact with applicants.
Form letters sent to applicants vary from region to region. Although there are templates of letters within HRMIS, these are often modified at the unit level to reflect local situations. Reviews of files revealed that these letters sometimes contained inaccurate or even contradictory information.
Inadequate communication with applicants may impact the timeliness of processing of files. Failure to maintain adequate contact with applicants throughout the process may lead to frustration and/or a feeling that their application is not valued, resulting in withdrawal of their application.

| Recommendation	Management Action / Response
The Director of NRP, in conjunction with the OICs of the regional recruiting offices, should ensure that: a. templates for form letters are standardized across the country, and contain accurate information, and b. efforts are made to ensure that recruiting personnel understand what is required with respect to monthly contact with applicants.	a. Recommendation supported – NRP HQ Policy Center has reviewed and modified existing HRMIS form letters to ensure they are current. *(Director NRP --- Completed)* b. Recommendation supported – The policy concerning applicant contact has been published and NRP HQ Policy Center is working with RROs to ensure communication and compliance with respect to the policy. *(Director NRP --- Completed)*

Overview by Audit Objectives

The following table presents the results of the Internal Audit. Each objective and its corresponding criteria are presented, along with our opinion of the level of risk exposure that exists. An assessment is provided to further support our audit opinion.

The criteria used to assess the risk exposure were based on a number of control / governance frameworks, including the Treasury Board *Management Accountability Framework* (MAF), CoCo, as well as applicable regulations and policies.
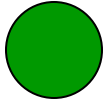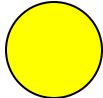
The risk ranking (H, M, L) is based on the level of potential risk exposure we feel may have an impact on the achievement of RCMP objectives and is indicative of the priority management should give to the recommendations.

🔴	High exposure/priority
🟡	Medium exposure/priority
🟢	Low exposure/priority

The assessment summarizes the audit observations based on the factual evidence gathered and analyzed during the audit. Based on these assessments, issues / themes along with potential causes, impacts, management initiatives, and recommendations have been summarized in the "Principal Findings" section.
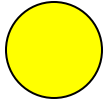
Overview by Audit Objectives (cont'd)

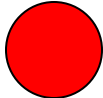| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework		
The NRP has clearly defined and communicated strategic objectives that are aligned with its mandate. **(Strategy)**	🟢	The NRP had no written mandate; however, all personnel interviewed stated that the mandate as they understood it was to recruit enough cadets to meet their troop allotments. Strategic direction and objectives which were in line with the perceived mandate of filling troop allotments had been established; however one of the stated objectives would be more appropriate to the HR Sector in general rather than the NRP, and one was operational in nature. None of the personnel interviewed were able to articulate all of the strategic objectives, although they were aware that they are available on the Infoweb.
The NRP has in place operational objectives and plans aimed at achieving its strategic objectives. **(Strategy)**	🟡	Some operational objectives for the Policy Centre had been established and some planning activities had been conducted; however no comprehensive operational plan was created. Operational objectives had been established at the unit level by the recruiting offices. These varied somewhat between the regions but were, for the most part, related to improving processing times for applications and targeting various groups (e.g., women, visible minorities) for proactive recruiting activities. The lack of well established and understood objectives and plans makes it difficult to identify requirements that must be met, risks and opportunities that must be balanced, and the needs and wants of stakeholders.

Overview by Audit Objectives (cont'd)

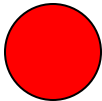| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
The NRP has in place a process to manage change. **(Governance)**	🟡	There was no formal process in place to identify change opportunities or requirements. Rapid expansion of the NRP necessitated changes in order to streamline the processing of applications. Change opportunities were identified by staff in the regional recruiting offices through the course of their duties and these were shared with unit management during regular meetings or on an ad hoc basis. This information could be shared directly with other recruiting offices or the Policy Centre either by e-mail, telephone, or at Project Oriented Work Planning Meetings (POWPM). Change initiatives from the Policy Centre were generally communicated by e-mail, through regular teleconferences with the RROs, and through POWPMs. Regional recruiting offices sometimes initiated changes locally. These were not always communicated to the Policy Centre in a timely manner. Rationale for accepting or rejecting proposed changes was not always documented or communicated. Changes have been initiated and implemented very quickly, without time being taken to monitor implementation or assess the impact they have on the rest of the process. Changes initiated by internal partners were sometimes communicated directly to the recruiting offices rather than through the Policy Centre, thereby making it difficult for the Policy Centre to assess impact or monitor implementation.

Overview by Audit Objectives (cont'd)

| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
The NRP accountabilities in support of collaborative initiatives are formally defined. **(Governance)**	🔴	While there were Balanced Scorecard initiatives related to service levels in place, there were no terms of reference (TORs) or equivalent documents in place for any internal partnerships. These partnerships had been managed at the regional level through personal relationships with staff in those units. At the national level, the NRP Policy Centre dealt informally with the other policy centres. There were MOUs with external partners (i.e., Service Canada, the Department of National Defence); an examination of these MOUs was not included in the scope of the audit. Without clearly defined roles, responsibilities, authorities, or accountabilities, there is a risk that some roles and responsibilities may not be exercised, and those without proper authority may be making decisions. In addition, there will be no clearly defined mechanism to resolve conflicts between the NRP and internal partners should they arise.

Overview by Audit Objectives (cont'd)

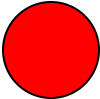| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
Management identifies and assesses the risks that may preclude the achievement of its objectives. **(Strategy)**	🔴	There was no formal process for the identification and assessment of internal or external risks at the national or regional level. Risks identified by recruiting staff at the unit level were brought to the attention of supervisors, who in turn communicated them to the RROs who were able to bring them to the attention of the Policy Centre. There was no formal mechanism in place to track identified risks and mitigation strategies; however, they were documented in minutes of meetings. The risks identified in business planning documents for fiscal years 2006/2007 and 2007/2008, and the Business Case for 2008/2009 were the same, indicating either weaknesses in the risk analysis process or inadequate mitigation strategies. The NRP Business Planning Section regularly performs informal Strengths Weaknesses Opportunities Threats analyses, which help identify potential risks by comparing the RCMP recruiting strategy to that of other police services.

Overview by Audit Objectives (cont'd)

| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
Policies are designed to support the achievement of objectives and the management of risk. **(Governance)**	(yellow circle)	The NRP published its new policy in May 2008. The new policy had been drafted in late 2007 and was provided to the regional recruiting offices for implementation in November 2007. Some areas of policy (for example, the handling of public-interest disclosures) were still under development at the time of the fieldwork. The regional recruiting offices were generally compliant with NRP policy. One area of exception was the requirement to contact the applicant every 30 days, as policy was not clear on what constituted "contact". In some instances, leaving a voice mail message was considered to be contact with the applicant. Updates to policy have better defined what is meant by "contact". Also, in an effort to expedite the processing of applicant files, several steps in the process are initiated at the same time. This occasionally results in the PEP being conducted before the RMSI. In some regions, applicants were being asked to obtain PARE results of under 4:20 minutes, rather than the policy standard of 4:45, in an effort to ensure that they would be successful at Depot. Updates to NRP policy were communicated on an ad hoc basis, usually by e-mail or during regular teleconferences with NRP management and the RROs. Changes to policy initiated by internal partners were not always developed in consultation with the NRP Policy Centre, nor were they always communicated effectively. For example, a policy change to the scheduling of PEPs impacted the timeliness of the recruiting process, and notification was sent directly to schedulers and polygraphists, rather than the RROs.

Overview by Audit Objectives (cont'd)

| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
A clear and effective organizational structure is established and documented, with open and effective channels for communication and feedback. **(Governance)**	🔴	The organizational structure of the NRP was not always clear. Organizational charts existed for the Policy Centre and for each recruiting office; these were in the process of being updated at the time of the fieldwork. Rapid expansion of the NRP resulted in new positions being added, existing positions being reclassified, and heavy reliance on term PSEs, RMs who are STE, and TCEs, many of whom did not appear on organizational charts. The program went from divisional to national to regional in a span of less than three years. RROs understood their structure of direct reporting to their HROs and functional reporting to the Director of the NRP. Staff in the regional recruiting offices were aware of reporting structures in their own offices but were not always clear on who at the Policy Centre was in a position to provide them with guidance when the need arose. There were some exceptions, for example staff interviewed could readily identify a contact for HRMIS issues. At the unit level, there was a belief that the Policy Centre was not always taking input provided into consideration during decision making. Staff at the Policy Centre advised that information provided to the RROs was not always disseminated to all recruiting personnel. Internal partners indicated that while they were not necessarily familiar with the organizational structure in the recruiting offices, they were able to identify appropriate contact persons.

Overview by Audit Objectives (cont'd)

| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
Authority, responsibility, and accountability are defined and communicated. **(Governance)**	(yellow)	Authority, responsibility, and accountability in the regional recruiting offices and the Policy Centre had not been clearly defined or communicated. There was only one job description in the Career Management Manual (CMM) for RM positions at each rank, whether proactive or suitability. They were generic in nature and did not document responsibilities in any detail. In spite of this, all NCOs interviewed felt that they understood their roles and responsibilities. There are job descriptions for the RROs, OIC Business Planning and Marketing, and the OIC Policy and Process. These contained work descriptions and outlined responsibilities. There was a job description for the Director of the NRP; however, it was out of date and no longer reflected the position's accountability due to the regional reporting structure for the NRP. Each regional recruiting office had job descriptions for PSE positions. These did provide more detail regarding roles and responsibilities; however, due to changes in processes and growth in the recruiting offices, many were in need of updating. RROs and NCOs I/C in regional recruiting offices understood their authority with respect to the recruiting process. Responsibility, authority, and accountability for the Policy Centre and internal partners were unclear. Recommendation 44 – Roles and Responsibilities of Headquarters from the *Report of the Task Force on Governance and Cultural Change in the RCMP* addresses this issue on a broader base for the Force.

Overview by Audit Objectives (cont'd)

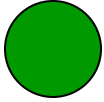| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
Planning and resource allocations consider risk information and program performance information. **(Strategy & Governance)** **Management has identified appropriate performance measures linked to objectives.** **(Strategy)** **Management monitors actual performance against planned results and adjusts course as needed.** **(Monitoring)**	🔴	Business planning activities did not include a formal process for the identification and assessment of risks. Risks were identified in the Business Case for fiscal year 2008/09; however, the risks identified were not linked to the strategic objectives. The assumptions on which resource allocations were based (for example, attrition rates in the recruiting process) had not been challenged. Staff and management in the recruiting offices indicated that these assumptions were no longer valid. The only performance measurements used are the number of career presentations delivered, the number of RCMP police aptitude tests (RPATs) written, and the number of cadets enrolled at Depot. These measures did not take into consideration the work and resources required to process unsuccessful applicants and may therefore not be adequate for projecting future resource needs. For staff in the recruiting offices, the main targets were to meet their cadet allotments and to process applications as quickly as possible. The only performance measure that was monitored on an ongoing basis was the cadet allotments. Data related to the average amount of time in each step of the process is available in HRMIS. There was no work measurement tool in place to measure how much time was required to perform each task in the recruiting process. HRMIS can track the cumulative number of days an application has been in the process and how many days between initiation of a given step and its completion, but there was no system in place to measure the time each task takes. For example, while HRMIS may show that a file was in the RMSI step for 30 days, in reality it takes only several hours to actually conduct an RMSI. At the time of the audit fieldwork, Pacific Region Recruiting had begun manually tracking the time taken to perform the various functions in the process. While establishing a Quality Assurance system for the NRP was one of the objectives for the Policy Centre, this had not been established at the time of the fieldwork.

Overview by Audit Objectives (cont'd)

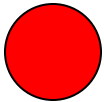| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
The current and future needs of the NRP are considered in the recruitment, hiring, and retention process. **(Human Resources & Strategy)**	🟡	There was no overall Human Resources Strategy in place for the NRP. HR requirements for the regional recruiting offices were based on cadet allotments. These allotments were projected to remain high for several years. To a great extent, the NRP had been funded as a project which would only be required for a finite period of time; because of this, there was no permanent funding in place for many of the Policy Centre positions. The recruiting offices are staffed by RMs, PSEs, and TCEs. In some regions there was a reluctance to release operational members to the administrative duties in recruiting due to the impact on front-line policing. Some of the RMs in recruiting offices were STE. Most of the TCEs were retired police officers who were contracted to conduct RMSIs, field investigations or PEPs. They were used due to the insufficient numbers of RMs available, particularly in some of the more remote parts of the country. Many of the PSE positions were terms. Due to the view that the NRP will eventually be wound down there was reluctance in some regions to create permanent positions. This had resulted in an unstable base of employees and high rates of turnover, as term employees sought permanent positions elsewhere, taking their training and experience with them. The classification of PSE positions varied across the country. Numerous PSE staff interviewed indicated that the level of responsibility within the NRP exceeded the classification of their positions, or that it was not equivalent to staff in other recruiting offices. Also, permanent PSEs had very good opportunities for advancement in other areas in the RCMP or with other federal government departments.

Overview by Audit Objectives (cont'd)

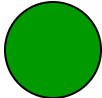| Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
The current and future needs of the NRP are considered in the recruitment, hiring, and retention process. (cont'd.)		Categories of employees within the recruiting offices were inconsistent across the country. In some regions certain duties were assigned to TCEs, while in other regions efforts were made to ensure that they were performed by RMs. Some of the duties performed by PSEs in certain offices were performed by RMs in others. Since many of the duties related to recruiting are administrative in nature, there was a view in some regions that they could be better performed by PSEs or TCEs. There was no analysis of the various tasks involved in the process to determine what the best category of employee for the various functions were or whether they could be assigned to TCEs or outsourced to other contracted service providers.
The program has in place a system for the performance evaluation of employees. **(Human Resources)**	🟢	The NRP is generally compliant with the policy requirement for annual performance evaluations for RMs. While there was no such requirement in either RCMP or PS policy for PSEs, many did have annual assessments. There were no service level standards in place for the NRP. For staff involved in the processing of applicant files, there were informal performance expectations in place. Those interviewed understood that they were expected to process applications as quickly as possible while still adhering to selection criteria. Most staff in the NRP had individual learning plans in place. These were not always linked to their performance evaluations. While individual learning plans were in place and approval for training had been granted, they were often not actioned due to heavy workloads in the recruiting offices. Staff were reluctant to be away from duty given the negative impact it would have on the timeliness of the recruiting process in their units and the increased workload for their colleagues.

Overview by Audit Objectives (cont'd)

Criteria	Risk Exposure	Assessment
Objective 1 - Management Control Framework (cont'd)		
The NRP provides employees with the necessary training, tools, facilities, equipment, and information to support the discharge of their duties. **(Human Resources)**	🔴	There was no national training standard in place for the NRP. While there was a course for proactive recruiters, there was no formal training for suitability or processing functions, apart from HRMIS user training. Most of the training for recruiting personnel was informal, on-the-job training and coaching. Desk manuals had been prepared for some functions in various recruiting offices. A Bridging the Gap exercise was conducted in Pacific, North West and Central regions, with the report being produced in April 2008. That exercise identified the priority for training in the area of suitability, with the second priority being the development of an NRP orientation program. The Policy Centre had begun work on an NRP orientation binder; however, when input was requested from the recruiting offices, it was determined that extensive rewrites were required. The tools in use in the NRP were not adequate. There was no electronic file management system in place. The version of HRMIS in use was a database and did not have file management capacity. The capacity for e-recruiting and on-line testing did not exist. The use of form letters sent to applicants varied from region to region. File reviews revealed that many of these letters contained errors and ambiguous or even contradictory information. Facilities for most of the recruiting offices were inadequate. Offices were crowded and lacked the privacy required for telephone or personal contact with applicants, and staff were spread out in different areas or even different buildings. Staff identified issues with air quality and lighting in some offices. Inadequate storage space resulted in files being stacked on top of filing cabinets and any other available space.

Overview by Audit Objectives (cont'd)

Criteria	Risk Exposure	Assessment
Objective 2 - Processing of Applicant Files		
The processing of applicant files is completed in a nationally consistent and timely manner. **Regular contact with the applicant is maintained.** **(Operational)**	🟢	File reviews were conducted in March and April of 2008. At that time, file processing was taking longer than the "target time to process" as established by the NRP for many of the stages in the process. Applicants delaying the process, staff turnover, and insufficient staff were identified as contributing to the lengthy processing times. The process as a whole had been streamlined, such that many of the stages run concurrently rather than consecutively as they did in the past. Policy had been amended to allow for greater flexibility in the order of the stages; however, certain stages were still required to be consecutive. For example, the PEP is to follow the RMSI. One area of non-compliance with policy was that on occasion the PEP was conducted prior to the RMSI. Each recruiting office was using a locally developed shadow system, generally electronic spreadsheets, in an effort to better manage their files. Additionally, staff were following locally developed processes which were designed to address regional issues. The recruiting offices were generally compliant with the policy requirement for monthly contact with applicants; however, the contact was not always well documented on the files. There was also some ambiguity as to what constituted "contact" ; in some instances, a message left on voice mail was considered to be "contact". There were inconsistencies in the way HRMIS data was entered, particularly with respect to applicants re-inserted into the process. Some regions assigned a new application date, while others used the original date, making processing times appear longer than they were. There were numerous checks and balances in place in the regional recruiting offices to ensure compliance with suitability criteria in the processing of applications.