



Correctional Service
Canada

Service correctionnel
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SAFETY, RESPECT
AND DIGNITY
FOR ALL

LA SÉCURITÉ,
LA DIGNITÉ
ET LE RESPECT
POUR TOUS

AUDIT OF STAFFING ACTIVITIES

Internal Audit Branch

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EXECUTIVE SUMMARY

At the end of fiscal year 2004-2005 the Internal Audit Branch conducted a staffing transactions audit at National Headquarters (Ottawa) and the Ontario Region (Kingston). On November 3, 2005, the Audit Committee directed that the remaining four regions be subject to a similar examination prior to the end of fiscal year 2005-2006.

The verification phase of this audit was performed during the months of February and March 2006 at which time the audit team visited the regional headquarters in the Pacific, Quebec and Atlantic regions. In the Prairie region, which is decentralized, five of the eight staffing operations were visited (Regional Headquarters, Regional Psychiatric Centre, Edmonton Institution, Stony Mountain and Saskatchewan Penitentiary).

The objectives established for the audit were as follows:

- To determine the extent to which the management framework ensures that adequate corporate human resources policies and plans support strategic and operational staffing initiatives.
- To determine the extent to which staffing files demonstrate that processes and procedures are in compliance with the *Public Service Employment Act*, Regulation, Orders, Public Service Commissioner (PSC) Staffing Delegation, and PSC policies, Principle of Merit as well as values of fairness, equity of access and transparency.
- To determine the extent to which staffing information and opportunities are shared with employees and the Human Resource Management System (HRMS) is used to record staffing transactions.

In order to assess the above objectives, the audit team examined Correctional Service of Canada (CSC) corporate delegations, staffing plans, operational policies and monitoring and controlling mechanisms used to track corporate performance. The audit also examined individual staffing transactions, regional and institutional HRMS data, local monitoring and quality control mechanisms as well as communication methods used to share staffing opportunities.

Conclusions

The results of this audit have indicated general compliance with expected performance in most of the areas examined. However, there was a significant deficiency with respect to the completeness and accuracy of the mandatory documentation and staffing information available on the actual staffing files. Implementation of the recommendations contained in this report will contribute significantly to CSC's adherence to central agency legislation and policy requirements. More detailed conclusions for each audit objective are outlined below.

Management Framework for Staffing

Most of the key elements of a corporate management framework for staffing are in place or are in the process of being developed. The accountabilities framework has been established by the Human Resource Management Sector, policies and plans to guide the staffing process are in the developmental stages and monitoring and controlling mechanism exist to track organizational performance. Policy information on Human Resources Management is readily accessible, but improvements are required in the processes used by National Headquarters to communicate and manage policy interpretations. In addition, we also noted that more corporate guidance and support is required in the area of human resource planning for staffing, particularly in regard to reporting requirements under the new *Public Service Modernization Act*.

Compliance with Central Agency Requirements

Although the regions and institutions were using an appropriate balance of competitive processes and temporary staffing measures to manage vacancies, we concluded that the staffing files do not adequately demonstrate that processes and procedures are in compliance with all legislative and policy requirements.

The quality, accuracy and level of detailed information contained in staffing files varied from one region to the next. Moreover, in the absence of national direction, some regional and local staffing processes and procedures have evolved that are in many instances contrary to PSC policy requirements.

As a result, tightening up of staffing processes and procedures is needed to address the lack of consistency and understanding as to the expectations with respect to mandatory documentation and staffing information requirements. This would include enhancing the monitoring and quality control mechanisms currently in place to capture staffing and file deficiencies. As well, it was concluded that additional support in the area of professional training and certification is required for staffing managers and advisors.

Information Sharing and Data Input

The Correctional Service of Canada is meeting the requirements for sharing staffing information as well as recording staffing transactions. Specifically, information on staffing policies and procedures is available on the different regional websites and staffing transactions are being entered and updated in the Human Resource Management System. Although we identified a need for corporate direction in order to ensure that short-term staffing opportunities are communicated in an equitable manner, we found that processes are in place to communicate to staff members the various staffing opportunities currently available.

Recommendations have been made in the report to address the issues identified. A management action plan has been prepared and included in Annex "E".

INTRODUCTION

At the end of fiscal year 2004-2005 the Internal Audit Branch (IAB) conducted a staffing audit at National Headquarters (Ottawa) and the Ontario Region (Kingston). The results of this audit were presented to the Audit Committee on November 3, 2005 at which time the IAB was directed to perform a similar examination in the remaining four regions (Pacific, Prairies, Quebec and Atlantic) prior to the end of fiscal year 2005-2006.

The Correctional Service of Canada (CSC) is a large decentralized organization. As of December 31, 2005, CSC had a workforce of approximately 16,150 employees of which 94% are classified as indeterminate. There are two major operational groups that comprise more than half of CSC's staffing population. Correctional Officers (CX), who are part of the Custody business line, make up 41.5% of CSC's workforce; Parole and Program Officers (WP), who are part of the Reintegration business line, represent 13.4%.

National Headquarters (NHQ) performs overall planning, policy development, monitoring and reporting for its human resource (HR) management activities. At the regional level, most human resource management operations are centralized, with the Prairie Region being the only decentralized HR operation within CSC.

Staffing in CSC is carried out under the authority delegated to the Commissioner by the Public Service Commission (PSC), as provided for in Section 6. (1) of the *Public Service Employment Act* (PSEA), and the authorized sub-delegation by the Commissioner to subordinate managers as provided for in Section 6. (5).

The "*Instrument of Delegation of Authorities in the area of Human Resource Management*" dated 2005-05-02, which can be found on the CSC website delegates staffing responsibilities to management levels 1, 2 and 3. These management levels include the Commissioner, Senior Deputy Commissioner, Deputy Commissioner for Women, Assistant Commissioners, the Chief Executive Officer of CORCAN and Directors General, Regional Deputy Commissioners, Regional Assistant Deputy Commissioners, Wardens, Executive Directors- Regional Psychiatric Centre (Health Services), District Directors, and the Directors of Operations CORCAN.

2.0 AUDIT OBJECTIVES AND SCOPE

2.1 AUDIT OBJECTIVES

The specific audit objectives established were as follows:

- To determine the extent to which the management framework in place ensures that adequate corporate human resources policies and plans support strategic and operational staffing initiatives.

- To determine the extent to which staffing files demonstrate that processes and procedures are in compliance with the *Public Service Employment Act*, Regulation, Orders, PSC Staffing Delegation, and PSC policies, Principle of Merit as well as values of fairness, equity of access and transparency.
- To determine the extent to which staffing information and opportunities are shared with employees and the Human Resource Management System (HRMS) is used to record staffing transactions.

Specific criteria related to each of the objectives can be found in Annex “A”.

2.2 AUDIT SCOPE

The audit included an examination of CSC staffing transactions completed between April 1 to December 31, 2005 to assess compliance with PSC acts and regulations in the four remaining regions of Atlantic, Quebec, Prairies and Pacific.

Included in this audit was an examination of corporate staffing policies and strategic plans as well as monitoring and controlling mechanisms used to support regional and local staffing operations.

To ensure that the audit did not delay or in any way interfere with active staffing or competitive processes, an effort was made to select only staffing transactions that had been finalized.

The audit did not include an examination of executive staffing transactions, student employment, part time or seasonal workers.

3.0 METHODOLOGY AND APPROACH

The audit consisted of file reviews, interviews and data verification in the Human Resource Management System (HRMS). During site visits, the audit team:

- Conducted interviews with Regional Administrators of Human Resources, Staffing Chiefs, Staffing Advisors and Staffing Assistants to determine the extent to which staffing information and opportunities were communicated;
- Verified that staffing transactions were being recorded in the Human Resources Management System (*PeopleSoft*); and
- Reviewed regional strategic staffing plans to ensure their relevance in relation to human resource (HR) operations.

It should be noted that each audit team consisted of between two to four team members, with at least one certified staffing specialist on each team. Consulting and Audit Canada were involved

during site visits to provide additional support in the area of staffing specialization as well as an audit oversight function.

3.1 SITE SELECTION

The audit was conducted at three regional headquarters located in the Atlantic, Quebec and Pacific regions. In the Prairie Region, which is decentralized, five of the eight staffing operations were visited (Regional Headquarters, Regional Psychiatric Centre, Edmonton Institution, Stony Mountain and Saskatchewan Penitentiary). Site selection in the Prairie Region was based upon such factors as size and representativeness of staffing activity, and the ability to conduct regional interviews.

3.2 SAMPLE SIZE AND SELECTION

The sample size selected and the amount of time spent at each location to conduct the audit was based upon four factors:

- sample size (8% to 12% of the overall number of staffing transactions for the region and/or facility recorded in HRMS);
- higher-risk transactions (e.g., appointments without competitions (AWOC), acting appointments and extensions, term appointments and extensions and casual employment);
- cross-representation (staffing transactions from different classification groups and levels); and
- timeframe (samples selected from HRMS covered the period April 1 to December 31, 2005, which included eight different types of staffing transactions: open competitions, closed competitions, deployments, assignments/secondments, AWOC, acting appointments, term appointments, and casual employment);

The final number and type of staffing transactions audited by region is shown in table format on page 9 under findings related to mandatory documentation.

4.0 Audit Findings and Recommendations

4.1 MANAGEMENT FRAMEWORK

Objective 1: To determine the extent to which the management framework ensures that adequate corporate human resources policies and plans support strategic and operational staffing initiatives.

With respect to the management framework, the audit team expected that corporate policies, strategic plans and monitoring and controlling systems would be in place that delineate

responsibilities and accountabilities as well as guide and direct operational and strategic staffing initiatives. Information should be available in a written, comprehensible format that is easily accessible to managers and staffing personnel responsible for administering staffing programs at the regional and/or local level.

4.1.1 ACCOUNTABILITIES ESTABLISHED

Finding: An accountability framework for human resources has been established and is managed by the Human Resource Management Sector at National Headquarters.

The audit team found that accountabilities for staffing had been established by the Human Resource Management (HRM) Sector. A key element of the accountability framework includes the *Human Resource Management Instrument of Delegation*, which itemizes the Commissioner's delegation and senior management's sub-delegations for staffing across national, regional and operational levels of CSC.

The HRM Sector is also responsible for establishing the corporate policy, planning and monitoring framework for staffing. The audit team reviewed relevant documentation and found that the authorities, roles and responsibilities at the various levels of the organization were well defined.

The HRM Sector serves as a focal point to provide advice and guidance to human resource advisors and senior management nationally on a broad range of issues. The HRM Sector is also responsible for consulting with central agencies and has been coordinating the implementation of the new *Public Service Modernization Act* (PSMA).

4.1.2 HUMAN RESOURCE POLICIES AND PLANS

a) Human Resource Policies

Finding: Policy information on human resource management is readily accessible but policy interpretations could be managed in a more effective manner.

The Human Resource Management Sector website provides a valuable point of contact for federal and corporate human resource management policy information, including several hyperlinks to relevant federal acts and regulations and central agencies such as Treasury Board Secretariat (TBS) and the Public Service Commission (PSC). Information is also available regarding human resource management delegations within the Correctional Service of Canada (CSC). Other relevant information was also accessible with respect to Classification, Employment Equity and Official Languages.

Corporate discussion of staffing issues also could be found by reviewing minutes from various committees such as EXCOM, Regional Management Committees, and National and Regional Labour Management Committees. As well, minutes taken during Chiefs of Staffing Conference Calls were easily located.

With the advent of the new *Public Service Modernization Act*, the HRM Sector has begun publishing a number of “bulletins” relating to Deployments, Area of Selection, Corrective Action and Revocation, Criteria for Non-advertised Appointment Processes, and Informal Discussion. There is a Guideline on Administration of the Oath or Solemn Affirmation as well as a Memorandum on the Transition Measures for the *Public Service Employment Act* (PSEA). In addition, the HRM Sector is currently working on developing staffing bulletins for Advertisements; Assignments/ Secondments; Term Employment; Student Bridging; Special Assignment Pay Plans; Framework for Developmental Programs; Monitoring Frameworks and Framework for Collective Staffing.

The audit revealed, however, that one important policy component was not well documented or easily accessible; namely, the communication of staffing policy interpretations to the regions.

In interviews conducted during site visits and in meetings at NHQ, HRM sector officials explained that policy interpretations have been communicated from NHQ to Regional Administrators of Human Resources and/or Chiefs of Staffing via e-mails. However, there is no corporate repository to maintain, update or delete this type of information.

This finding is important because a record of interpretations is not kept for future or additional reference. Regional and local staff need to be aware of the various interpretations and must also have a quick accessible reference point in order to keep track of these interpretations. With the implementation of the PSMA and the publication of numerous new staffing bulletins, it is reasonable to assume that the HRM Sector will provide even more policy interpretations to the regions in the future.

Recommendation #1

The Assistant Commissioner Human Resource Management should record corporate policy interpretations and ensure regional accessibility.

b) Human Resource Planning for Staffing

Finding: Strategic planning is used to identify staffing challenges and options; however, corporate direction, guidelines and tools are required to ensure that planning initiatives are consistent with new legislative reporting requirements.

The audit team expected to find, at the national level, a corporate strategic planning document explaining how CSC will go forward from the former *Public Service Employment Act* (PSEA) to the new *Public Service Modernization Act* (PSMA). At the regional level, we expected that regional staffing plans would incorporate operational elements of the PSMA into their staffing plans and strategies.

Some corporate information exists on the Human Resource Management Sector website regarding CSC’s transition from the former PSEA to the new PSMA. Additionally, a corporate

overview document was produced in September 2005 that briefly describes CSC's workforce, organizational design and resources, and outlines the human resource management agenda for 2006-2007. Discussions with the Director General Human Resource Management Strategies also revealed that an HR computer-based application is under development which will assist with strategic planning for staffing.

During regional site visits, a review of strategic human resource plans prepared by the Regions, combined with interviews conducted with Regional Administrators of Human Resources and Chiefs of Staffing, confirmed that attempts are made to identify and plan strategies for anticipated staffing challenges. Although staffing managers and advisors were able to identify specific staffing challenges that have affected operations for many years, they expressed less confidence about the regional or local ability to resolve those issues.

Staffing managers expressed concern that the necessary competencies and operational tools were not in place to conduct effective human resource planning for staffing at the regional level. Furthermore, with the pressure of the Staffing Management Accountability Framework (SMAF) reporting requirements, there was a general lack of guidance and time available to complete these plans.

Recommendation #2

The Assistant Commissioner Human Resource Management should provide required support to assist regions to conduct strategic planning for staffing in such areas as increased competency training and operational tools.

4.1.3 CORPORATE MONITORING AND CONTROLLING

Finding: Corporate monitoring and controlling mechanisms have been established to track organizational performance in the area of staffing.

The Human Resource Management System (HRMS) staffing module is a database which records staffing transactions. HRMS is used to monitor national, regional and institutional transactions. Staffing data and trend analysis are used to report corporate results to committees such as the Senior Personnel Committee and the Labour Management Committee. At a regional level, HRMS data are used for a variety of purposes such as regional trend analysis, monitoring staffing activities and as an ongoing database of staffing information.

At a corporate level, accountability agreements with executive and senior managers include objectives relating to staffing activities. Managers are to maintain appropriate staffing profiles in terms of employment equity and official language commitments, as well as controlling and/or reducing reliance on the number of long-term temporary staffing measures such as the use of acting and term extensions.

As per Public Service Commission (PSC) requirements, CSC has recently implemented performance indicators which support the reporting requirements of the Staffing Management

Accountability Framework. The types of indicators being tracked include: Areas of Selection, Advertised versus Non-Advertised Appointment Processes, Priorities, etc. Results are being monitored at corporate NHQ to verify the degree to which the indicators are achieved, and information is reported at intervals to central agencies.

A key CSC reporting document is the Departmental Staffing Accountability Report (DSAR). The DSAR is an accountability agreement which also serves as an attestation statement from the Commissioner of the Correctional Service of Canada to the Public Service Commission. The most current version of the DSAR, dated November 2004, reported upon the departmental staffing infrastructure that supports decision-making around staffing issues, values and strategies. Due to PSMA workload demands, departments were not required to update and submit a DSAR for 2005. However, a DSAR for 2006 will be required describing CSC's progress concerning the implementation of the *Public Service Modernization Act* as well as any other work that has yet to be accomplished.

CONCLUSION

Most of the key elements of a corporate management framework for staffing are in place or are in the process of being developed. The accountabilities framework has been established by the HRM Sector, policies and plans to guide the staffing process are in the developmental stages and monitoring and controlling mechanism exist to track organizational performance. Policy information on Human Resources Management is readily accessible, but improvements are required in the process used by NHQ to communicate and manage policy interpretations. In addition, we also noted that more corporate guidance and support is required in the area of human resource planning for staffing, particularly in regard to reporting requirements under the *new Public Service Modernization Act*.

4.2 COMPLIANCE WITH CENTRAL AGENCY REQUIREMENTS

Objective 2: To determine the extent to which staffing files demonstrate that processes and procedures are in compliance with the *Public Service Employment Act*, Regulation, Orders, PSC Staffing Delegation, and PSC policies, Principle of Merit as well as values of fairness, equity of access and transparency.

A balance of competitive processes and temporary staffing measures should be used by the regions to fill job vacancies. In addition, staffing files should contain all mandatory documents and required staffing information. Additionally, it was expected that regions and institutions would keep supporting documentation, such as checklists and control logs used to monitor staffing activities.

4.2.1 Balance of Staffing Activities

Finding: A balance of competitive processes and temporary staffing measures were being used to manage vacancies.

A review of Human Resource Management System (HRMS) data for the period April 1 to December 31, 2005 was conducted to determine if any significant trends existed with respect to volume of transactions recorded, the type of staffing processes conducted and if a reasonable balance existed between the use of competitive and temporary staffing measures.

Based upon the review of the HRMS data, we found that all four regions were using a balance of competitive and temporary staffing measures to manage staffing vacancies. No significant concerns were identified.

4.2.2 COMPLIANCE WITH CENTRAL AGENCY REQUIREMENTS

This element of the audit measured the extent to which individual staffing files were in compliance with Public Service Commission (PSC) acts, regulations and policies. Our examination was based on a detailed file review and the audit team's findings focused on the following five areas: mandatory documentation, justifications and rationales, letters of offer, security clearances, and assignment agreements.

a) Mandatory Documentation

Finding: Approximately seventy-one percent of the 422 staffing files audited were missing one or more mandatory documents.

Under the former *Public Service Employment Act*, the PSC Staffing Manual Section 8.9.1 outlines the documents required on staffing files. Staffing information, whether recorded on paper or electronically, must be retained for a period of two years from the last administrative use.

A staffing transaction that has been finalized and is ready to be placed in Records *must* contain all mandatory and supporting documentation as well as information that indicates how merit and the values of competency, non-partisanship, fairness, equity of access, representativeness and transparency were respected in the selection process. Without complete, accurate and relevant information on file it is not possible to assess merit and the associated values. Mandatory documents also help facilitate monitoring, evaluation and auditing of staffing transactions.

During the course of the audit, 422 finalized staffing transactions for the period April 1, to December 31, 2005 were reviewed. The breakdown by region and type of staffing transaction audited was as follows:

REGIONS	ATLANTIC	QUEBEC	PRAIRIES	PACIFIC	TOTAL
OPEN	5	7	22	12	46
CLOSED	6	8	19	6	39
DEPLOYMENTS	7	10	25	10	52
ASSIGNMENTS	7	8	23	2	40
AWOC	10	15	5	3	33
ACTING	20	20	33	14	87
TERM	10	11	2	6	30
CASUALS	14	18	54	10	96
TOTAL	79	97	183	63	422

Of the 422 staffing files reviewed, the breakdown of mandatory documents found or missing from the files were as follows:

- 28.9% (121 files) contained all mandatory documents;
- 48.3% (204 files) had one to two mandatory documents missing;
- 16.3% (69 files) had three to four mandatory documents missing; and
- 6.6% (28 files) had five or more mandatory documents missing.

The audit revealed that across all regions appointments without competition (AWOC) and temporary staffing transactions (i.e., acting appointments and extensions, term appointments and extensions and casual employment) were the most likely to be missing three or more mandatory documents. See Annex “B” with respect to the number and percentage of missing documents by transaction type.

A common explanation provided by Staffing Chiefs and Advisors was that documents had probably been obtained electronically but had not been printed and placed on file. In some regions, certain mandatory documents missing from staffing files were routinely being stored in filing cabinets and in binders. In other cases, mandatory documents could likely be located at the various operational sites. However, these practices are contrary to PSC policy and file documentation requirements.

The audit also revealed significant regional differences in compliance results for mandatory file documentation. See Annex “C” with respect to the number and percentage of missing documents by region.

- The Prairies attained the highest rate of compliance because the region performed a self-audit on their staffing files and corrected many deficiencies in advance of the formal audit.
- The Atlantic and Quebec Regions did not self-audit their staffing transactions prior to the site visits. Although the percentage of mandatory documents missing from staffing files is slightly higher, both these regions performed well in other respects, which may be attributed to their strong centralized staffing operations and the number of certified staffing personnel they have in key positions.

- The results from the Pacific Region were less positive. Checklists were not consistently used and/or completed, staffing files were rarely organized in a consistent manner and many mandatory documents were missing.

Recommendation #3:

The Assistant Commissioner Human Resource Management should provide clear guidelines and tools to ensure national consistency and accuracy for mandatory documentation requirements in support of the new *Public Service Employment Act*.

b) Justifications and Rationales**Finding: Over half of the staffing files reviewed lacked properly documented justifications and rationales required to support decisions to proceed with staffing actions.**

Staffing documents require that managers complete a “comments” section to explain why there is a vacancy and what staffing option they wish to use to fill the position on either a permanent or temporary basis. This is commonly referred to as the justification and rationale for staffing.

The new *Public Service Modernization Act* (PSMA) places an emphasis upon well written justifications and rationales. Future PSC audits will include assessments of this information on staffing files. To prove that the Correctional Service of Canada is meeting legislative and policy expectations, managers and staffing personnel must work together to ensure that appropriate information and documentation is available to demonstrate that the principle of merit and supporting PSC values are respected during the staffing process.

The audit revealed that in 56.5 percent of the staffing transactions reviewed, justifications and rationales were either not provided or were poorly documented. Other relevant supporting information was not placed on staffing files across all regions. For example, rarely was there any information on file about advice and direction being given by Staffing Advisors, or the type of choices considered and decision taken by managers prior to commencing the staffing activity.

A common explanation provided for the current situation was that the administrative and managerial groups that draft the rationales and justifications on behalf of the sub-delegated managers are, for the most part, not trained, and do not provide staffing justifications and rationales. To correct this situation, it was frequently suggested that training for managers designated at levels 4, 5 and 6¹ would be beneficial. Although this is an option, it must be recognized that managers who have been trained and granted sub-delegated staffing authority are accountable for documents submitted under their signature and need to be vigilant about what they accept, sign and submit to staffing.

¹ See *Instrument of Delegation of Authorities in the Area of Human Resource Management* on the CSC Website for description of Levels 4, 5 and 6.

In keeping with their role, staffing advisors should counsel sub-delegated managers to only proceed with a staffing transaction when proper justifications and rationales have been documented.

Recommendation #4:

The Assistant Commissioner Human Resource Management should provide clear guidelines as to the level of detailed information required on file to support that staffing decisions taken are in compliance with the merit principle and associated staffing values.

c) Letters of Offer

Finding: In three of the four regions, the contents of letters of offer differed from central agency requirements.

The expectation was that signed and accepted letters of offer would be on staffing files and the letters would contain all the standard employment clauses as outlined in Section 8.7.2 of the PSC Staffing Manual.

Generally, letters of offer that complied with central agency content requirements were found on staffing files. However, during the audit we observed that three of the four regions had modified certain types of letters without determining what potential staff relations or contractual implications existed. Such changes were made without NHQ knowledge or approval. For example:

- In the Atlantic Region letters of offer for acting extensions stated only that “all the terms and conditions in the original letter of offer continued to be in effect”. There was no statement that the acting appointment should not be considered an indeterminate offer, and there was no reinforcement about the *Code of Ethics and Values* or any other standard clauses.
- In the Pacific Region, letters of offer for acting appointments, acting extensions and casual employment were on 8½ x 14 inch sheets of paper which combined the Staffing Request, Financial Approval and one or two standard employment clauses. This style did not resemble traditional letter of offer format expectations.
- In the Prairie Region, a series of anomalies were noted. For example, deployment letters contained a mobility clause that exceeded typical requirements; letters of offer for acting extensions did not provide a place for the employee to accept or refuse the offer; letters of offer on file had not always been signed by the employee; and letters of offer were signed by managers who were not sub-delegated.

Letters of offer are instruments of appointment and considered to be critical documents in the staffing process. With the PSMA, new and/or revised clauses will be required in letters of offer.

Recommendation #5:

The Assistant Commissioner Human Resource Management should provide clear national guidelines on the content, format and style of letters of offer.

d) Security Clearances

Finding: Approximately two thirds of the staffing files audited met the requirements for security clearances.

Security assessments and reliability checks are conditions of employment under the *Public Service Employment Act* (PSEA). A security clearance is required when the duties or tasks of a position requires access to classified information and assets.

During the file review, the audit team observed deficiencies in about one in three of the files reviewed. The type of errors and omissions found included:

- no documents on file that security clearances had been requested or obtained;
- no documentation to support verification of valid security clearance;
- security clearances that had expired;
- invalid security clearances for casuals who had a break in service of more than one year;
- security clearances obtained after the individual had begun employment; and
- Security Clearance Form 1111 not signed by employees.

Currently, security clearances are not always properly and consistently managed. This represents a risk to the classified information and assets of the organization.

Recommendation #6:

The Assistant Commissioner Human Resource Management should provide clear national guidelines on the requirements for security clearances as a condition of employment.

e) Assignment Agreements

Finding: Relevant information was missing from all assignment agreements audited.

The PSC Staffing Manual states that assignment arrangements should be covered by a written agreement and include information such as: employee tombstone data; start and end dates; information about payment responsibilities for training, membership fees, performance evaluation responsibilities; process for approval and/or tracking of periods of leave; process and notice periods for changes to the agreement; financial codes; contact names; and approval signatures.

All Regions across CSC rely heavily upon assignments as a means to temporarily fill vacancies, staff short-term special projects and provide developmental opportunities for staff. HRMS data revealed that from April 1 to December 31, 2005 in the Atlantic, Quebec, Prairie and Pacific Regions there was a total of 449 assignments. The audit team examined a sample of 40 agreements.

It was found that all four regions did not meet the information requirements stipulated in the PSC Staffing Manual for assignments. However, CSC does not have a nationally approved format to document assignments arrangements that could facilitate meeting these requirements. The regions audited are currently using an Inter/Intradepartmental Secondment Agreement form. This form does not prompt for specific administrative information and supervisory responsibilities associated with assignments. As such, a potential risk exists of relevant employee assessment information not being documented, as well as employee leave usage not being effectively tracked in HRMS during assignments.

Recommendation #7:

The Assistant Commissioner Human Resource Management should provide a national template along with corporate direction to ensure that relevant assignment agreement data, along with administrative information and supervisory responsibilities, are documented.

4.2.3 MONITORING AND QUALITY CONTROLLING OF STAFFING TRANSACTIONS

a) Checklists and Quality Controls

Finding: Checklists used by regions were incomplete and/or not on staffing files. Quality control reviews were not capturing information and documentation deficiencies.

The audit team reviewed checklists and control logs in use in the regions. We found that three of the four regions audited (Atlantic, Quebec and Prairies) consistently used checklists to help track staffing processes and mandatory documents. However, an examination of these control sheets frequently revealed one or two missing required documents. Inaccurate checklists were a contributing factor to the overall number of mandatory documents missing from staffing files.

We noted that checklists often included a signature block at the bottom verifying that a supervisory review or quality control had been performed on the staffing file. Despite a sign-off that reviews had been conducted and quality controls had been performed on completed staffing transactions, verification during the audit frequently revealed that mandatory documents were missing from staffing files. As previously indicated, it was explained that mandatory documentation had likely been obtained but the information was not being routinely placed on the staffing files.

Under the former *Public Service Employment Act*, the PSC provided guidance with respect to mandatory documents required on staffing files. The new legislation, however, is less prescriptive. With ambiguity existing around central agency expectations, the risk of excessive

but unnecessary information and documentation being retained on staffing file is as great as the potential risk of relevant information and documentation being overlooked. Staffing personnel in the regions frequently indicated that National Headquarters direction concerning expectations under the new legislation would be welcome.

Recommendation #8

The Assistant Commissioner Human Resource Management should provide national direction with respect to monitoring and quality control mechanisms necessary to ensure consistency and accuracy of staffing information and mandatory documentation requirements in support of the new *Public Service Employment Act*.

b) Staff Training and Certification

Finding: Many staffing personnel do not have required training and certification to conduct staffing activities.

During site visits, interviews were conducted with staffing personnel to gain an appreciation of their background, knowledge, training and experience in the area of staffing. Staffing personnel interviewed indicated that they had received most if not all required training with respect to the new PSMA. However, the majority of staffing advisors as well as one chief of staffing indicated that they had never been certified in staffing. Moreover, the majority interviewed indicated that they had received limited formal training from CSC and essentially learned how to perform their staffing duties while on the job from others who may or may not have been certified themselves.

This lack of professional training and knowledge was evident during discussions with non-certified staffing personnel about required staffing information and mandatory documents. For example, the audit team interviewed staffing personnel who believed that:

- hand-written notations on checklists provided sufficient “proof” that staffing elements had been completed and, as such, documents did not need to be placed on file;
- generic Statements of Qualifications did not need to be on file since they were “standardized” and “everyone knew what the requirements were for the position”; and
- if an employee was already indeterminate it was reasonable to assume that the person acting in a higher classified position possessed whatever license, certificate, security clearance or Second Language Equivalency (SLE) results were required for the position.

All of these assumptions are incorrect and contributed towards the deficiencies identified during the file review. Without a properly trained and/or certified cadre of staffing personnel, there is a continued risk of incorrect or inappropriate staffing processes and procedures occurring.

Recommendation #9

The Assistant Commissioner, Human Resource Management , in collaboration with Regional Deputy Commissioners, should take corrective measures to ensure that staffing personnel have the professional training and/or certifications required to perform their duties according to new legislative and policy requirements.

CONCLUSION

Although the regions and institutions were using an appropriate balance of competitive processes and temporary staffing measures to manage vacancies, we concluded that the staffing files do not adequately demonstrate that processes and procedures are in compliance with all legislative and policy requirements.

The quality, accuracy and level of detailed information contained in staffing files varied from one region to the next. Moreover, in the absence of national direction, some regional and local staffing processes and procedures have evolved that are in most instances contrary to PSC policy requirements.

As a result, clearer staffing processes and procedures are needed to address the lack of consistency and understanding as to the expectations with respect to mandatory documentation and staffing information requirements. This would include enhancing the monitoring and quality control mechanisms currently in place to capture staffing and file deficiencies. As well, it was concluded that additional support in the area of professional training and certification is required for staffing managers and advisors.

4.3 INFORMATION SHARING AND DATA INPUT

Objective 3: To determine the extent to which staffing information and opportunities are shared with employees and the Human Resource Management System is used to record staffing transactions.

There were three general expectations for this audit objective. First, that regional and local websites provide employees with access to information about staffing policies and procedures. Second, that staffing opportunities are being effectively communicated. Finally, that staffing data were being input in a timely manner into the Human Resource Management System (HRMS).

4.3.1 ACCESS TO STAFFING POLICIES AND PROCEDURES

Finding: Information on staffing policies and procedures are available to employees via regional websites.

A review of the websites in the four regions revealed that employees can access staffing policies, guidelines and procedures via their regional website. In addition to staffing information, links to other human resource topics such as official languages and employment equity were available if

employees wished to access them. Overall, regional staffing websites appeared to be well managed and contained current information. No concerns in this area were identified.

4.3.2 COMMUNICATION OF STAFFING OPPORTUNITIES

Finding: Staffing opportunities are being communicated to staff members. However, temporary staffing opportunities are communicated and documented differently across all regions.

All four regions confirmed that the *Publiservice* is now the only website used to communicate advertised employment opportunities. This initiative was part of government-wide program which was planned as part of the new *Public Service Employment Act*. A review of the four regional websites confirmed that hyperlinks to the *Publiservice* and employment opportunities were available and functioning. Since Public Service Commission (PSC) employment opportunities, recourse information and other information are now managed electronically, paper postings were not reviewed as part of the scope of the audit.

In addition to the *Publiservice* website, employees may also learn about temporary staffing opportunities through regional and local “expressions of interest”. An expression of interest is an informal, internal method used to advise employees that staffing opportunities of a specific length are regionally or locally available.

During the audit, it was revealed that there are three general approaches used to communicate temporary staffing opportunities, namely: informal communication via e-mail; employee identification of career interests in Performance Development Plans (PDPs); and general announcements posted on regional websites. Although each of the approaches provides administrative and managerial advantages, as noted in the following table, concerns were also identified.

Method of Communication	Advantages	Disadvantages
E-mail to employees	<ul style="list-style-type: none"> ▪ Fast ▪ Accepted or recognized standard for communicating with employees 	<ul style="list-style-type: none"> ▪ No guidelines detailing circumstances when e-mails are to be used, width of distribution of those messages or response time allotted. ▪ No tracking of responses received to verify effectiveness of communiqués. ▪ Documentation is rarely placed on staffing files to support how the employee was selected.

Method of Communication	Advantages	Disadvantages
Personal Development Plans (PDPs)	<ul style="list-style-type: none"> ▪ Fast ▪ Viable option that managers like to access 	<ul style="list-style-type: none"> ▪ No guidelines detailing circumstances when PDPs should or should not be used to select employees for short-term staffing opportunities. ▪ Places onus on employee to speculate about potential short-term staffing opportunities. ▪ Employees need to frequently updated PDPs ▪ Interested and/or qualified employees may be overlooked for short-term opportunities. ▪ PDPs were not created for this purpose and caution should be exercised with relying upon this approach. ▪ The selection of employees from PDPs is not documented on staffing files.
Postings on Regional Website (Pop-Up Message or Icon)	<ul style="list-style-type: none"> ▪ Fast ▪ Extremely wide distribution is possible 	<ul style="list-style-type: none"> ▪ Segment of the CSC workforce who only have ad hoc or communal access to a computer. ▪ Documentation on postings is not placed on staffing files to support how the employee was selected.

Whatever method is used, the key issue is that there should be corporate direction on its use. At present there is no direction as to how to communicate “expressions of interest”. We identified concerns with each of the approaches that require closer examination. Additionally, documentation indicating how the employee was selected needs to be included on staffing files.

Recommendation #10:

The Assistant Commissioner Human Resource Management, in collaboration with Regional Deputy Commissioners, should establish guidelines for communicating temporary internal staffing opportunities.

4.3.3 HRMS DATA ENTRY

Finding A level of assurance exists that staffing transactions are being entered and updated in HRMS.

In terms of data verification, a minimum of 20 percent of all staffing transactions audited were reviewed to ensure that the data had been entered or updated in HRMS. In addition to data entry verification, interviews were conducted with:

- Chiefs of Staffing and Staffing Advisors to understand the extent of their training with HRMS and how the staffing module is used by staffing personnel; and
- Staffing Assistants to understand the extent of their training and experience with respect to HRMS and the processes and procedures followed for data input.

The audit found two cases in the Prairie Region and two cases in the Pacific region of staffing transactions that had not been entered and/or updated. These oversights were brought to the attention of management for corrective action.

Interviews with Chiefs of Staffing, Staffing Advisors and Staffing Assistants revealed that HRMS data are used for a variety of purposes such as regional trend analysis, monitoring of staffing transactions and as an ongoing database of staffing information. Interviewees believed they had received sufficient training and possessed a level of familiarity with the staffing module in order to perform their duties. However, there were varying degrees of satisfaction with the quality of instruction provided for Version 8 of HRMS. All Staffing Assistants interviewed were able to explain the processes and procedures followed for entering and updating information in the staffing module,

CONCLUSION

The Correctional Service of Canada is meeting the requirements for sharing staffing information as well as recording staffing transactions. Specifically, information on staffing policies and procedures is available on the different regional websites and staffing transactions are being entered and updated in the Human Resource Management System. Although we identified a need for corporate direction in order to ensure that short-term staffing opportunities are communicated in an equitable manner, we found that processes are in place to communicate to staff members the various staffing opportunities currently available.

5.0 GENERAL CONCLUSION

An audit of this scope provides the opportunity to assess the degree of consistency that exists across the Correctional Service of Canada in the performance of a national program such as staffing. It also assists the department with its implementation of the new *Public Service Modernization Act* (PSMA), which along with the *Staffing Management Accountability Framework* (SMAF), places an increased onus upon the Deputy Head for the accountability, monitoring and controlling of staffing performance.

Key elements of the corporate management framework have been established, accountabilities are in place, staffing policies and plans have or are being developed and corporate monitoring and controlling mechanisms are in place to track organizational performance. Two specific areas were identified where this framework could be improved. The first concerns the need for a central repository of staffing policy interpretations; the second the need for additional corporate direction, guidance and tools to assist regional staff in strategic planning for staffing.

With respect to compliance with central agency legislation, regulations and policies, the regions and institutions are using a balance of competitive and temporary staffing measures to manage vacancies. However, CSC must work on improving the completeness and accuracy of the documentation maintained on the staffing files so that it can clearly demonstrate that the principle of merit and the supporting PSC policies and values were respected during the staffing process. Although the regions and institutions were using checklists and control logs to track staffing transactions, these were not capturing staffing errors and file deficiencies. Additional training and certification for staffing personnel was also identified as an area requiring corrective measures.

The Correctional Service of Canada is effectively sharing information about staffing policies and procedures with employees and staffing personnel are recording staffing transactions in the Human Resource Management System database. However, corporate direction is required to ensure the proper communication of short-term staffing opportunities.

Staffing Audit Objectives and Criteria

Audit Objectives	Criteria
<p>1. To determine the extent to which the management framework ensures that adequate corporate human resources policies and plans support strategic and operational staffing initiatives.</p>	<ul style="list-style-type: none"> i. Accountabilities have been clearly established at the NHQ, RHQ and in operational facilities with respect to human resources management. ii. Human Resource policies and plans are in place to support staffing initiatives at the national, regional and local levels. iii. Corporate monitoring and controlling mechanisms have been established to ensure that operational sites are providing human resource programs consistent with legislative and policy requirements.
<p>2. To determine the extent to which staffing files demonstrate that processes and procedures are in compliance with the <i>Public Service Employment Act</i>, Regulation, Orders, PSC Staffing Delegation, and PSC policies, Principle of Merit as well as values of fairness, equity of access and transparency.</p>	<ul style="list-style-type: none"> i. A variety of staffing activities are used which include indeterminate appointments (open, closed, etc.), term assignments, actings (over four months), deployments, assignments, reclassifications as well as the hiring of casuals; ii. Individual staffing transactions are in compliance with central agency Acts and Regulations as well as underlying staffing values; and iii. Monitoring and quality control mechanisms exist to ensure that the staffing transactions are not only technically correct but also consistent with PSC staffing values which include the Merit Principle as well as fairness, equity of access and transparency.

Audit Objectives	Criteria
<p>3. To determine the extent to which staffing information and opportunities are shared with employees and the Human Resource Management System (HRMS) is used to record staffing transactions.</p>	<ul style="list-style-type: none"> i. Employees are aware that staffing policies and procedures exist and how to access that information, ii. Staffing opportunities and decisions are effectively communicated to employees, and iii. Staffing decision data are entered in the Human Resource Management System (i.e., <i>PeopleSoft</i>)

Missing Documents By Transaction Type and by Region

Open Competitions	Missing 1-2 Documents	Missing 3-4 Documents	Missing 5 or More Documents
Atlantic Region	1	0	0
Quebec Region	2	1	0
Prairie Region	8	0	0
Pacific Region	0	0	12
Total	11	1	12

46 Open Competition Files were examined during the audit

- 22 files or 48% contained all mandatory documents
- 24 files or 52% were missing one or more documents
- 13 files or 28% were missing three or more documents
- 12 files or 26% were missing five or more documents

Closed Competitions	Missing 1-2 Documents	Missing 3-4 Documents	Missing 5 or More Documents
Atlantic Region	4	0	0
Quebec Region	3	1	0
Prairie Region	9	1	0
Pacific Region	2	4	0
Total	18	6	0

39 Closed Competition Files were examined during the audit

- 15 files or 38% contained all mandatory documents
- 24 files or 62% were missing one or more documents
- 6 files or 15% were missing three or more documents
- 0% were missing five or more documents

Deployments	Missing 1-2 Documents	Missing 3-4 Documents	Missing 5 or More Documents
Atlantic Region	5	0	0
Quebec Region	3	7	0
Prairie Region	8	0	0
Pacific Region	10	0	0
Total	26	7	0

52 Deployment Files were examined during the audit

- 19 files or 37% contained all mandatory documents
- 33 files or 63% were missing one or more documents
- 7 files or 13% were missing three or more documents
- 0% were missing five or more documents

ASSIGNMENTS	MISSING 1-2 DOCUMENTS	MISSING 3-4 DOCUMENTS	MISSING 5 OR MORE DOCUMENTS
Atlantic Region	7	0	0
Quebec Region	8	0	0
Prairie Region	23	0	0
Pacific Region	2	0	0
Total	40	0	0

40 Assignment Files were examined during the audit

- 40 files or 100% were missing one or more documents
- 0% were missing three or more documents
- 0% were missing five or more documents

APPOINTMENTS WITHOUT COMP.	MISSING 1-2 DOCUMENTS	MISSING 3-4 DOCUMENTS	MISSING 5 OR MORE DOCUMENTS
Atlantic Region	6	2	2
Quebec Region	4	8	0
Prairie Region	1	0	0
Pacific Region	0	1	2
Total	11	11	4

33 AWOC Files were examined during the audit

- 7 files or 21% contained all mandatory documents
- 26 files or 79% were missing one or more documents
- 15 files or 45% were missing three or more documents
- 4 files or 12% were missing five or more documents

ACTING APPTS OR EXTENSIONS	MISSING 1-2 DOCUMENTS	MISSING 3-4 DOCUMENTS	MISSING 5 OR MORE DOCUMENTS
Atlantic Region	11	9	0
Quebec Region	4	2	0
Prairie Region	13	0	0
Pacific Region	7	5	0
Total	35	16	0

87 Acting Appointments / Extension Files were examined during the audit.

- 36 files or 41% contained all mandatory documents
- 51 files or 59% were missing one or more documents
- 16 files or 18% were missing three or more documents
- 0% were missing five or more documents

TERM APPOINTMENTS	MISSING 1-2 DOCUMENTS	MISSING 3-4 DOCUMENTS	MISSING 5 OR MORE DOCUMENTS
Atlantic Region	5	2	0
Quebec Region	4	1	1
Prairie Region	1	0	0
Pacific Region	5	1	0
Total	15	4	1

30 Terms Files were examined during the audit

- 10 files or 33% contained all mandatory documents
- 20 files or 67% were missing one or more documents
- 5 files or 17% were missing three or more documents
- 1 file or 3% were missing five or more documents

CASUAL EMPLOYMENT	MISSING 1-2 DOCUMENTS	MISSING 3-4 DOCUMENTS	MISSING 5 OR MORE DOCUMENTS
Atlantic Region	3	8	3
Quebec Region	4	8	6
Prairie Region	39	2	0
Pacific Region	2	6	2
Total	48	24	11

96 Casual Employments Files were examined during the audit

- 13 files or 14% contained all mandatory documents
- 83 files or 86% were missing one or more documents
- 35 files or 36% were missing three or more documents
- 11 files or 11% were missing five or more documents

Missing Documents By Region and by Transaction Type

Atlantic Region	Total Number of Files Reviewed	All Mandatory Documents on file	1-2 Documents Missing	3-4 Documents Missing	5 or More Documents Missing
Open	5	4	1		
Closed	6	2	4		
Deployments	7	2	5		
Assignments	7		7		
AWOC	10		6	2	2
Acting	20		11	9	
Terms	10	3	5	2	
Casuals	14		3	8	3
Total	79	11 (14%)	42 (53%)	21 (27%)	5 (6%)

Quebec Region	Number of Files Reviewed	All Mandatory Documents on file	1-2 Documents Missing	3-4 Documents Missing	5 or More Documents Missing
Open	7	4	2	1	
Closed	8	4	3	1	
Deployments	10		3	7	
Assignments	8		8		
AWOC	15	3	4	8	
Acting	20	14	4	2	
Terms	11	5	4	1	1
Casuals	18		4	8	6
Total	97	30 (31%)	32 (33%)	28 (29%)	7 (7%)

Prairie Region	Number of Files Reviewed	All Mandatory Documents on file	1-2 Documents Missing	3-4 Documents Missing	5 or More Documents Missing
Open	22	14	8		
Closed	19	9	9	1	
Deployments	25	17	8		
Assignments	23		23		
AWOC	5	4	1		
Acting	33	20	13		
Terms	2	1	1		
Casuals	54	13	39	2	
Total	183	78 (43%)	102 (55%)	3 (2%)	0

Pacific Region	Number of Files Reviewed	All Mandatory Documents on file	1-2 Documents Missing	3-4 Documents Missing	5 or More Documents Missing
Open	12				12
Closed	6		2	4	
Deployments	10		10		
Assignments	2		2		
AWOC	3			1	2
Acting	14	2	7	5	
Terms	6		5	1	
Casuals	10		2	6	2
Total	63	2 (3%)	28 (45%)	17 (27%)	16 (25%)

The audit results revealed that the Prairie Region attained the highest rate of compliance. In the fall of 2005, the Region requested a copy of audit tools used during a previous staffing audit. With those tools, staffing operations across the region performed a self-audit on their files. When deficiencies were identified efforts were made by RHQ and the institutions to track down missing documents. Copies of the completed tools were on the staffing files at four of the five sites audited. Had RHQ and the institutions not self-audited their staffing files, their performance would have been consistent with the results attained in the Atlantic and Quebec regions.

The Atlantic and Quebec Regions did not self-audit their staffing transactions prior to the site visits and as a result the percentage of mandatory documents missing from staffing files is greater. Notwithstanding missing mandatory documents, the Atlantic and Quebec Regions performed well in other respects. Both regions have strong centralized staffing operations and certified staffing personnel in key positions. The work of new recruits and/or uncertified staffing advisors is monitored throughout the staffing process. Staffing files were consistently organized; and quality control was evident.

Results from the Pacific Region were less positive. The staffing operation was centralized less than two years ago. The Chief of Staffing indicated that although the staff complement was relatively stable at the time of the site visit, problems with attrition and retention among staffing personnel had presented difficulties in the past. Additionally, the Pacific Region had implemented several years earlier an open competition / pre-qualified inventory process for CR-03s. Managing this group of files vis-à-vis mandatory staffing documentation proved problematic. Notwithstanding, staffing files of the Pacific region were not well managed. Checklists were not consistently used and/or completed, staffing files were rarely organized in a consistent manner and many mandatory documents were missing. These deficiencies were brought to management's attention for corrective action.

Annex D**Organizational Details of the Audit**

Region	Number of Transactions Recorded in HRMS (Apr-Dec 2005)	Number of Files Reviewed by Transaction Type	Number and Percentage of Files Reviewed
Atlantic	730	Open- 5 Closed- 6 Deployments- 7 Assignments- 7 AWOC- 10 Acting- 20 Terms- 10 Casuals- 14	79 (11%)
Pacific	1051	Open- 12 Closed- 6 Deployments-10 Assignments- 2 AWOC- 3 Acting- 14 Terms- 6 Casuals- 10	63 (6%)
Prairies – RHQ	157	Open - 3 Closed - 6 Deployments - 5 Assignments - 5 AWOC - 1 Acting - 4 Terms – 1 Casuals – 8	33 (21%)
Prairies- RPC	241	Open - 3 Closed - 3 Deployments - 5 Assignments- 4 AWOC - 3 Acting - 4 Terms - 0 Casuals – 6	28 (12%)

Region	Number of Transactions Recorded in HRMS (Apr-Dec 2005)	Number of Files Reviewed by Transaction Type	Number and Percentage of Files Reviewed
Prairies - Edmonton Institution	216	Open – 5 Closed -1 Deployments -5 Assignments - 5 AWOC - 1 Acting - 10 Terms – 0 Casuals – 10	37 (17%)
Prairies -Stony Mountain	336	Open – 6 Closed - 6 Deployments - 5 Assignments - 5 AWOC - 0 Acting – 5 Terms - 1 Casuals – 10	38 (11%)
Prairies Sask. Pen	776*	Open - 5 Closed - 3 Deployments - 5 Assignments - 4 AWOC - 0 Acting - 10 Terms -0 Casuals -20	47 (6%)
Quebec	1926	Open – 7 Closed -8 Deployments -10 Assignments - 8 AWOC - 15 Acting - 20 Terms - 11 Casuals - 18	97 (5%)
			422 Files Audited

* *Note: Percentage shown is based upon the number of staffing transactions recorded in the HRMS raw data sample provided by NHQ Human Resources. Data entry anomalies with the HRMS data at Saskatchewan Penitentiary were discovered after the site visit in the Region had begun.*

Management Action Plans

RECOMMENDATION	ACTION	EXPECTED RESULTS	OPI	TIMELINE
<p><u>Recommendation 1</u> The Assistant Commissioner Human Resource Management should record corporate policy interpretations and ensure regional accessibility.</p>	<p>The Corporate Staffing and Programs Infonet site will be modified to provide direction and interpretations on the application of the PSEA , PSER and departmental bulletins. Clarifications on individual cases will not be placed on the Infonet site.</p>	<p>Policy interpretations readily available to employees, managers and HR community.</p>	<p>Corporate Staffing</p>	<p>November 2006</p>
<p><u>Recommendation 2</u> The ACHRM should provide required support to assist regions in conducting strategic planning for staffing, such as providing planning training and tools.</p>	<p>Regions have been provided with::</p> <ul style="list-style-type: none"> • Step-by-step guide to HR Planning • Justification for Selection Purposes template to support staffing decisions. <p>A succession planning framework will be developed and implemented for executive and key operational groups. Development will begin in October 2006.</p> <p>Training will continue for middle managers and delegated managers on HR planning is via existing courses such as the Middle Managers Development Program, AW/DW Orientation, Staffing for Managers courses, as well as planned PSMA courses.</p>	<p>Supports management in implementing and taking advantage of flexibilities offered by the new PSEA.</p> <p>Managers equipped to make staffing decisions based on sound planning.</p>	<p>Corporate Staffing</p> <p>Corporate Staffing</p> <p>HRM Strategies/ Corporate Staffing</p>	<p>Completed</p> <p>March 2007</p> <p>Ongoing</p>
<p><u>Recommendation 3</u> The ACHRM should provide clear guidelines and tools to ensure national consistency and accuracy for mandatory documentation requirements in support of the new Public Service Employment Act.</p>	<p>National documentation and control templates will be developed, implemented and monitored for all staffing processes.</p> <p>The PSC Staffing Management Accountability Framework (SMAF) will be used to monitor actions.</p>	<p>National consistency in documentation contained on staffing files.</p> <p>The SMAF will enable CSC to review and evaluate its staffing performance and report</p>	<p>Corporate Staffing</p> <p>Corporate Staffing</p>	<p>November 2006</p> <p>March 2007</p>

RECOMMENDATION	ACTION	EXPECTED RESULTS	OPI	TIMELINE
	<p>In support of SMAF active monitoring of all processes will be ongoing</p> <p>(+ refer to action plans for recommendations 4 and 5)</p>	<p>on the elements of the appointment system that are at risk, while providing an overview of the health of staffing in CSC.</p>	<p>Corporate Staffing/ RAHR</p>	<p>Ongoing</p>
<p>Recommendation 4 The ACHRM should provide clear guidelines as to the level of detailed information required on file to support that staffing decisions taken are in compliance with the merit principle and associated staffing values</p>	<p>A template, Justification for Selection Purposes, will be developed and provided to the Regions to assist sub-delegated managers in supporting their staffing decisions.</p> <p>A template to support Non-Advertised Appointment Processes has been developed which is an annex to the departmental bulletin.</p> <p>Templates will continue to be developed on an as- required basis for high risk staffing processes.</p>	<p>CSC will meet legislative and policy expectations, files will be sufficiently documented to demonstrate that the merit principle and supporting PSC values are respected during staffing processes.</p>	<p>Corporate Staffing</p> <p>Corporate Staffing</p> <p>Corporate Staffing</p>	<p>Completed</p> <p>Completed</p> <p>Ongoing</p>
<p>Recommendation 5 The ACHRM should provide clear national guidelines on the content, format and style of letters of offer.</p>	<p>Standardized paragraphs for letters were provided to the Regions on January 30, 2006.</p> <p>Will explore the feasibility of creating standardized letters of offer for temporary staffing processes</p>	<p>National consistency in staffing letters.</p>	<p>Corporate Staffing</p>	<p>Initial distribution of letters completed. On-going requirement to review/ update letters as required.</p>
<p>Recommendation 6 The ACHRM should provide clear national guidelines on the requirements for security clearances as a condition of employment.</p>	<p>HR is working with the Security Branch to ensure a weekly upload of security information into Human Resource Management System (HRMS).</p>	<p>A copy of the HRMS security panel will be required to be kept on the staffing file and will serve to ensure that the person being appointed/deployed/assigned meets the security requirements of the position.</p>	<p>Corporate Staffing HR Management Strategies Branch Security Branch</p>	<p>Target implementation date 30.09.06</p>

RECOMMENDATION	ACTION	EXPECTED RESULTS	OPI	TIMELINE
	<p>timeframes for completion, for Staffing Advisors from the PE-1 to PE-3 working level.</p> <ul style="list-style-type: none"> • Create and communicate a list of mandatory training for Staffing Assistants. • Develop a template to be used by RAHR and RDC to track training needs to ensure that required training is planned for and completed within established timeframes. • Update National Training Standards (NTS) for PE (Staffing) training. 		Development/ RDCs	
<p><u>Recommendation 10</u> The ACHRM, in collaboration with Regional Deputy Commissioners, should establish guidelines for communicating temporary internal staffing opportunities.</p>	<p>Issue a Departmental Bulletin on Advertising in the Appointment Process.</p>	<p>Consistent approach to advertising including temporary internal staffing opportunities.</p>	<p>Corporate Staffing</p>	<p>December 2006</p>