

Accountability, Risk and Audit Framework for the Renewal of the National Crime Prevention Strategy

Final Report

Prepared for:

Public Safety and Emergency Preparedness Canada

Prepared by:

Accountability, Risk and Audit Framework Task Force
National Crime Prevention Centre

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ACRONYMS

ARAF—Accountability Risk and Audit Framework
CPSD—Crime Prevention through Social Development
FCM—Federation of Canadian Municipalities
GCIMS—Grants and Contributions Information Management System
IA—Internal Audit
JMC/CAC—Joint Management Committee / Community Advisory Committee
MC—Memorandum to Cabinet
NCPC—National Crime Prevention Centre
NCPS—National Crime Prevention Strategy
NCR—National Capital Region
NGO—Non-Governmental Organization
O&M—Operations and Materiel
PSEPC—Public Safety and Emergency Preparedness Canada
PTP—Policy on Transfer Payments
RNCPS—Renewal of the National Crime Prevention Strategy
RBAF—Risk-Based Audit Framework
RCMP—Royal Canadian Mounted Police
RMAF—Results-Based Management and Accountability Framework
TBS—Treasury Board Secretariat
DOJ—Department of Justice
Ts&Cs—Terms and Conditions
SRE—Statement of Revenue and Expenditures
CPAF—Crime Prevention Action Fund
RKDF—Research and Knowledge Development Fund
PCCF—Policing, Corrections and Community Fund

1. Introduction

In Accordance with Treasury Board Secretariat (TBS) Policy on Transfer Payments (June 1, 2000) this report fulfils requirements for an Accountability Risk and Audit Framework (ARAF) for the Renewal of the National Crime Prevention Strategy (RNCPS). The ARAF was developed by an internal Task Force of program managers and evaluation analysts at the National Crime Prevention Centre (NCPC). In addition, consultation with key departmental stakeholders provided essential information necessary to link the RNCPS anticipated impacts to departmental strategic outcomes.

The ARAF provides a detailed road map to plan, monitor, evaluate and report on the results throughout the RNCPS.

Crime prevention encompasses a wide range of activities directed at reducing crime, victimization and fear of crime within a population or community. While there are many types of crime prevention strategies, most can be classified under two broad categories—situational crime prevention and crime prevention through social development (CPSD).

The NCPC's primary focus is on CPSD which addresses the complex social, economic and cultural risk factors that can contribute to crime and victimization.

A CPSD approach is a long-term commitment to deep-rooted problems. However, a balanced approach that incorporates more immediate situational methods of crime control (e.g., neighbourhood watch, more secure buildings) along within a longer-term social development approach can often strengthen the impact of crime prevention efforts. Immediate outcomes for crime prevention initiatives using a CPSD approach are seen in the risk/protective factors and delinquent behaviours at play in the individuals, families and communities being targeted. The ultimate impact of targeting risk factors is seen on crime and victimization rates and on the public's sense of safety. In recognition of an expanded role being played by NCPC along the public safety continuum, social development models are also being explored to address risk factors that contribute to ongoing criminal behaviour and victimization.

1.1 Background

With the creation of Public Safety and Emergency Preparedness Canada (PSEPC) on December 12, 2003 the National Crime Prevention Strategy (NCPS) became aligned under one Minister responsible for public safety. Prior to this date the NCPS was the shared responsibility of the Department of Justice Canada and the Solicitor General of Canada.

Each phase (Phase I, Phase II, and Expansion of Phase II) of the NCPS was aimed at reducing crime and victimization by addressing their root causes through a social

development approach. The NCPS is based on research which shows that reactive measures – the apprehension, sentencing, incarceration and rehabilitation of offenders – are not enough to prevent crime¹. The NCPS, using a CPSD approach, focuses on societal factors and conditions that contribute to crime, while recognizing a need to reduce immediate opportunities or situations in which crime can occur. CPSD focuses on primary and secondary prevention measures.

Phase I (1994-1997) of the NCPS laid the groundwork for Phase II of the NCPS launched in 1998. Continuing its primary focus on CPSD, Phase II was aimed at increasing individual and community safety by equipping Canadians with the knowledge, skills, and resources they need to advance crime prevention efforts in their communities. Based on the findings from a Phase II mid-term evaluation (design and delivery issues) the government announced an expansion of Phase II in May, 2001. The expansion provided additional funding to allow for more support to projects and to strengthen the NCPS delivery infrastructure. As well, there was a new component within the responsibility of the (then) Department of the Solicitor General and the RCMP.

Supported by evidence from the Phase II Expansion evaluations and in anticipation of the expiration of Phase II Expansion on March 2005, PSEPC prepared a Memorandum to Cabinet (MC) seeking renewal of the National Crime Prevention Strategy. The MC received support from the Domestic Affairs Committee on November 24, 2004. The Budget 2005 renewed the previous enhancement to the NCPS by providing funding of \$30 million for each of the next three years on top of the on-going A-base funding.

1.1.2 Evaluation Findings to Date

The following section highlights findings from program evaluations conducted on the NCPS and covered the 1998-2001 Phase II pre-expansion period², as well as, the 2001-2005³ Phase II expansion period of funding.

¹ http://www.prevention.gc.ca/en/library/publications/caledon/compendium/government_of_canada.html

² Summative Evaluation of the National Strategy on Community Safety and Crime Prevention, Phase II

³ Mid-term Evaluation of the National Crime Prevention Strategy, Phase II Expansion
Summative Evaluation of the National Crime Prevention Strategy, Phase II Expansion

Evidence flowing from these evaluations stressed the need for improvement in the following areas. This evidence provided direction for the renewal of the NCPS.

- **Organizational Structure:** There is evidence of progress made since the mid-term to improve organizational structures within NCPS. However, staffing challenges remain (i.e. insufficient number of staff and turnover of staff) and continue to be a risk to the delivery and achievement of Strategy objectives.
- **Programs:** The evaluation suggested more structured communications within and between the funding components (i.e. Safer Communities Initiative and Crime Prevention and Public Safety Initiative) so that, when a project has proven to be successful, there should be a clear mechanism in place to expand the project via one of the other funding programs, or when a project is deemed inappropriate for one program, that it be referred to another program.
- **Public Education:** Strengthen efforts to synthesize and package lessons learned and replicable models from funded projects and disseminate such information as widely as possible. Education of the Canadian public regarding effective crime prevention strategies should continue so that other communities (not just those receiving funding) can benefit from the range of crime prevention models, tools and procedures available in dealing with crime.
- **Coordination:** Coordination was enhanced under the Strategy, particularly with provincial/territorial governments. However, the levels of participation by community correctional agencies, the private sector, and municipalities have not been uniformly strong in all areas of the country. In moving forward the NCPS should strengthen its efforts with these groups.
- **Measuring Success:** A number of areas for improvement concern the processing of the large amount of knowledge produced by the Strategy. Specific considerations should include: More emphasis placed on developing tools/templates enabling the collection of performance measurement data by project participants; longer-term projects; conducting more systematic,

comprehensive research on project outcomes and on what works; and sharing best practices among communities. There is also a need for baseline measures, against which results can be compared in order to measure performance and overall progress. To ensure that the Strategy has the capacity to track the performance of projects, it is imperative that the administrative data system be updated so that it supports monitoring and performance measurement.

1.2 Level of Integration

This document fully integrates the Results-based Management and Accountability Framework (RMAF) and the Risk-based Audit Framework (RBAF) into one document.⁴

1.3 Overall Risk Assessment

The implementation of a RNCPS includes challenges that contribute to an overall medium/low level of residual risk. Please see section 4. Risk Assessment and Management Summary for more information. The RNCPS will deliver three grants and contributions funding programs administered by the National Crime Prevention Centre (NCPC). The three programs are: Crime Prevention Action Fund (CPAF), Research and Knowledge Development Fund (RKDF) and the Policing, Corrections and Communities Fund (PCCF). These programs will support RNCPS objectives and respond to community needs for increased access, a simplified funding process, longer-term funding and increased ground level support.

2. Program Profile

The information presented below is a concise description of the RNCPS including the following items: design and delivery; context; objectives; stakeholders and beneficiaries; and, resource allocations⁵.

2.1 Design, Delivery and Stacking Provisions

The two delivery instruments of the RNCPS are the National Crime Prevention

⁴ *Preparing and Using Results-based Management and Accountability Frameworks* (TBS, January 2005).

⁵ Treasury Board of Canada Secretariat *Preparing and Using Results-based Management and Accountability Frameworks* January 2005

Centre (NCPC) and the Royal Canadian Mounted Police (RCMP). Under the RNCPS the NCPC is the only area administering transfer payments (grant and contribution).

1. The NCPC oversees the planning, development, and implementation of policies and practices related to crime prevention and victimization. The NCPC collects, analyzes, and disseminates research findings related to crime prevention.

With the RNCPS the NCPC will administer the following three G&C funding elements:

- The *Crime Prevention Action Fund (CPAF)* will support communities – both large and small – to develop effective ways to prevent crime and undertake
- Activities that address risk and protective factors associated with crime and victimization. The CPAF will provide time-limited funding to assist communities in building their capacity to develop, implement, evaluate and disseminate crime prevention initiatives that respond directly to their needs, with a particular emphasis on comprehensive community initiatives.
- The *Research and Knowledge Development Fund (RKDF)* supports a range of initiatives and activities, particularly those that identify and analyze gaps in the current body of knowledge relating to crime prevention, that synthesize the results of existing research and which will contribute to a growing awareness and recognition of evidence-based promising practices and models for community-based crime prevention.
- The *Policing, Corrections and Communities Fund (PCCF)* supports the development of partnerships with law enforcement organizations and correctional services to promote CPSD.

Stacking Provisions:

When reviewing proposals for grants and contributions, NCPC officials will ensure that the funding program will not cover expenses already covered through another funding program or strategy. When applying for funding, applicants will be required to indicate what, if any, government funds a project is expected to receive. In reviewing proposals, NCPC officials will ensure that total government assistance for eligible project costs shall not exceed 100% of the project costs.

2. The RCMP will embark on a series of initiatives that enhances linkages to policing with a focus on the root causes of crime.

2.2 Context

Building on evidence from its previous phases the RNCPS works to secure an ongoing leadership role for the federal government in CPSD by supporting federal priorities and helping Canadian communities understand what works. CPSD is an internationally recognized approach to crime prevention that deals with the complex social and economic risk factors which contribute to crime and victimization.⁶ CPSD supports interventions that address these risk factors and seeks to foster family and community support to help mitigate situations of risk; situations that if left unattended contribute to crime and victimization.

Results from a July 2000 EKOS survey, show that 60 per cent of Canadians feel that governments should fund crime prevention programs, and that almost two-thirds of those surveyed believed an increased emphasis on crime prevention was a contributing factor to observed decreases in crime⁷. More recent polling (November 2003) commissioned by DOJ⁸ reveals a continuing high level of support in the Canadian public for the approach to crime prevention advocated by the Strategy.

The NCPS works across Canada in both urban and rural settings and in northern and remote locations, and in Aboriginal communities. The flexibility of the Strategy to respond to the needs of divergent groups and communities has been identified as a key factor in its success. Although not all NCPS sponsored projects are able to demonstrate such results the following examples illustrate the impact the Strategy is having in some communities. For instance, project results show a 60% reduction in local crime rates in the San Romanoway neighbourhood in Toronto's Jane-Finch corridor; a 66% reduction in youth charges for violent offences in Manitoba's Mathias Colomb Cree Nation; and a 40% reduction in crime rates in 3 Edmonton neighbourhoods.

The NCPS has built a solid reputation with provinces, territories and communities as the facilitator of coordinated community action in crime prevention. The NCPS provides a framework for increased cooperation on crime prevention via partnership arrangements signed with each province and territory. The NCPS has shown a capacity

⁶ United Nations Guidelines for the Prevention of Crime, 2002.

⁷ Cited in NCPS, "Components of the Expansion of Phase II of the National Strategy on Community Safety and Crime Prevention (NSCSCP)", August 2001, page 2.

⁸ EKOS Research, "Canadian Attitudes Towards Crime Prevention", Draft Report, submitted to Department of Justice, December 18, 2003.

to work with key partners such as the Federation of Canadian Municipalities (FCM) and Canadian Association of Chiefs of Police (CACP) to further promote shared, collaborative undertakings.

The NCPS makes significant contributions to Canada's social policy objectives. For example, the NCPS participates (to varying degrees) in 16 federal initiatives including the Urban Aboriginal Strategy, A New Deal for Cities and Communities, the National Homelessness Initiative, the Youth Justice Initiative and the Family Violence Initiative. Across the country, the NCPS works through regional forums such as the regional councils of senior federal officials and the Canadian Rural Partnership teams to further promote a horizontal approach to safer communities. As knowledge brokers, facilitators, and champions, the NCPS helps Canadians develop solutions for local community safety problems and helps make connections between departments in support of new and emerging approaches for preventing crime and victimization.

Valuable lessons have been learned about community needs over the last 6 years. Communities have varying levels of capacity but most seek NCPS expertise during the planning stages of their projects. This is a necessary, time-consuming and labour-intensive process especially when working with high-need communities facing significant and multiple risk factors.

2.3 Objectives

In the Renewal, the Phase II expansion objectives remain valid with minor refinements. The refinements are based on a combination of observations highlighted in program evaluations as well as delivery experience gained over the past six years. The refinements offer a strategic and integrated approach intended to provide evidence of the efficiency and effectiveness of the RNCPS.

The objectives of the RNCPS are:

- To increase sustainable community action;
- To develop and share knowledge of crime prevention strategies, and;
- To coordinate multilevel support for crime prevention efforts.

2.4 Stakeholders and Beneficiaries

Stakeholders Both NCPC and the RCMP receive funds during the RNCPS. The RCMP is resourced to strengthen activities intended to support the involvement of policing agencies in addressing the root causes of crime. Given their mandate and experience in public safety, and community expectations of an active police role in crime prevention, the RCMP are a natural focal point within many communities as they work to develop crime prevention solutions.

The RNCPS relies on the participation of a number of key stakeholders. For example, partnership arrangements are signed with each province and territory. Joint Management Committees (JMC) / Community Advisory Committees (CAC) comprised of NCPS officials, provincial, territorial and community representatives provide strategic recommendations for implementation of the NCPS in each province and territory. The NCPS also works with key partners such as the Federation of Canadian Municipalities (FCM) and Canadian Association of Chiefs of Police (CACP) to further promote shared, collaborative undertakings. In order to facilitate the integration of regional issues and actions, there is also a Federal/Provincial/Territorial (FPT) Working Group on Crime Prevention.

Beneficiaries While keeping its focus on at-risk populations including children, youth, and Aboriginal peoples, a RNCPS is also intended for a broader range of vulnerable groups --such as ethno-cultural minorities -- and would continue its focus on current issues -- such as personal security. In addition, the RNCPS is intended to address emerging crime and victimization issues such as human trafficking and sexual exploitation of children. As well, it will more actively involve policing and corrections communities; more actively engage cities in social development approaches to crime, and deepen its work with Aboriginal communities with an emphasis on Aboriginal youth.

2.5 Resources

Table 1 provides an overview of the resource allocation per year to be distributed in the RNCPS process. Please note this table includes existing federal A-base funding.

Table 1

	2005/06	2006/07	2007/08
Vote 1			
NCPC	\$18,255,000	\$18,255,000	\$18,255,000
RCMP	\$675,000	\$675,000	\$675,000
Total Vote 1	\$18,930,000	\$18,930,000	\$18,930,000
Vote 5			
CPAF	\$32,170,000	\$32,170,000	\$32,170,000
RKDF	\$10,000,000	\$10,000,000	\$10,000,000
PCCF	\$2,000,000	\$2,000,000	\$2,000,000
Total Vote 5	\$44,170,000	\$44,170,000	\$44,170,000
TOTAL FUNDING	\$63,100,000	\$63,100,000	\$63,100,000

During the three-year RNCPS ongoing performance measurement, evaluation and internal audit activities are estimated at \$175,000⁹.

3. Expected Results

Section 3 presents the logic model and illustrates three core components (Community Action, Partnerships, Knowledge) intended to support the achievement of activities, outputs, and the anticipated outcomes for the RNCPS. Three levels of outcomes have been identified – immediate outcomes, intermediate outcomes and an ultimate outcome.

3.1 Expected Results

It is important to keep in mind that the intermediate outcomes (five to ten years) as well as the ultimate outcome (ten to twenty years) are those which can only typically be measured sometime following a program's funding cycle. However, as Phase II of the National Crime Prevention Strategy enters its 3-year Renewal period, the NCPC recognizes its obligation to demonstrate and take responsibility for the Strategy's performance in light of agreed upon expectations. As a result, in building the ARAF for the Renewal Period, two of the anticipated intermediate outcomes that were identified during the Expansion of Phase II period (2001-2005) continue to be relevant during the

⁹ This amount does not include the Interim Year Five Outcome-based Evaluation estimated at \$160,000

new Renewal of Phase II period; namely, “Increased local capacity to prevent crime and victimization” and “Improved integration of evidence-based crime prevention into policies and practices”. As well, the ultimate outcome “Enhanced Community Safety” is also carried forward to the Renewal Period.

Consequently in the *Year Two Progress Evaluation*, in addition to the four immediate outcomes anticipated during the Renewal Period, the National Strategy will continue to track, analyze and report on progress toward the three longer term outcomes noted above. Please note, the NCPC will track progress toward the remaining intermediate outcome (i.e. Improved comprehensive partnerships in effective crime prevention) but will not fully analyze results until the *Year Five Outcome-based Evaluation*.

The elements of the expected results are depicted in a logic model and accompanying explanatory text in Section 3.3.

3.2 Key Risk Areas

Internal and external factors that may influence the ability of the RNCPS to achieve its planned results are discussed in detail in Section 4. Risk Assessment and Management Summary. In identifying Key Risk Areas the NCPS employed *strategic*, *operational* and *project* categories to identify risk areas.

The following represent the key risk areas identified for the RNCPS:

- NCPC Human Resources (approximately 65% of staff are not permanent¹⁰)
- Reallocation of federal funds or spending freezes
- National disaster redirects PSEPC funding and staff activities to respond
- Capacity for NCPS to join or lead comprehensive horizontal approach
- Risk of not effectively sharing the knowledge generated as a result of NCPS
- Complexity and multitude of risk factors impact community readiness to deliver crime prevention initiative

¹⁰ NCPS People Priority Sub-Committee

3.3 Logic Model

The logic model is supplemented with explanatory text to help describe the linkages (i.e., how one set of results lead to the next). The RNCPS is based on three core components intended to support the achievement of activities, outputs and planned outcomes. These core components include, **Community Action, Partnerships, and Knowledge.**

Component – Community Action

This component is in recognition that the NCPS has earned a reputation as a facilitator of coordinated community action. Through a combination of efforts that include direct funding to communities, to those that support a transfer of skills and knowledge to communities, this element recognizes the variation of readiness in communities to address crime and victimization issues across the country. NCPS is in a position to play a critical leadership role informing and supporting community action.

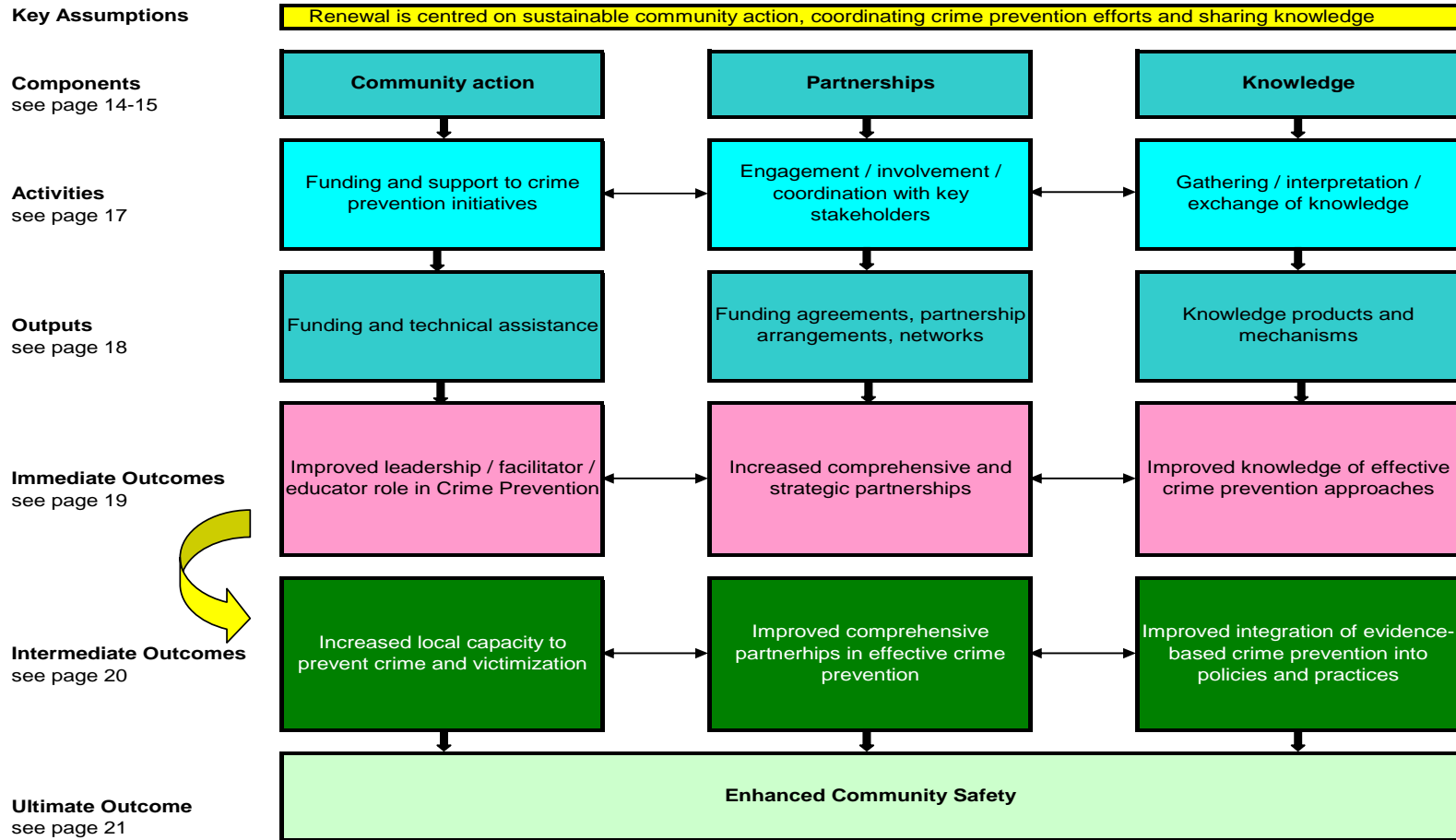
Component - Partnerships

This component recognizes that comprehensive multi-sector partnerships and coalitions of key governmental and non-governmental stakeholders are necessary in order to strengthen our common efforts to reduce crime and victimization in high risk / high crime communities and with vulnerable groups. It provides an opportunity to have the greatest impact and make results more sustainable. Partnerships also provide an opportunity to embed crime prevention through social development approaches in policies and practices of organizations that impact community safety – from law enforcement to social housing.

Component - Knowledge

This component recognizes that as a Knowledge Broker the NCPS has the opportunity to increase community capacity to address local crime and victimization issues through the transfer and dissemination of what works. It is anticipated that information gained will inform critical policy and programming crime prevention decisions at all levels of government and provide opportunities to increase knowledge on the integration of CPSD approaches.

Logic Model Renewed National Crime Prevention Strategy



Arrows between immediate and intermediate outcomes represent momentum.

Activities

- ***Funding and Support to Crime Prevention Initiatives*** - The provision of funds and overall support for the development and implementation of crime prevention projects. This activity encompasses the range of processes from soliciting project proposals (e.g. proposal workshops and presentations) to assisting in the implementation, monitoring and evaluation of selected projects once approved for funding. One of the key activities of this component of the Strategy is the gathering and monitoring of project information through the Centre's Grants and Contributions Information Management System (GCIMS).
- ***Engagement/Involvement/Coordination with Key Stakeholders*** - This area focuses on the development and implementation of mechanisms and procedures that facilitate and guide the overall coordination of the Renewed Strategy. It offers a variety of means of receiving and sharing information with both new and current partners. Moreover, this activity supports the sharing of new and emerging comprehensive crime prevention initiatives.
- ***Gathering/Interpretation/Exchange of Knowledge*** - This area is key to the development and sharing of useful/practical knowledge. It integrates information gained through analyzing NCPS funded promising practices, academic research, as well as emerging crime prevention initiatives at the national and international levels. This section supports the NCPS in becoming a knowledge broker and a champion of evidence-based solutions for community safety problems. This activity concentrates on developing products and mechanisms to assist in this exchange of knowledge. This activity also supports the development of tools to inform policy.

It is the combination of these three activity areas that produce the identified outputs.

Outputs

- ***Funding and technical assistance*** - There are a range of related products that stem from implementation of these activities including: community-based skill building / information sharing sessions and tools; the submission of funding proposals; project evaluation plans; formal written agreements to carry out the projects; the implementation of a range of community-based projects; and the production of project reports (interim and final) and project products.
- ***Formal agreements, partnership arrangements, networks*** - A variety of concrete mechanisms and strategic partnerships are created in an effort to establish and maintain clear directions and effective coordination of the Strategy. These include: strategic coordination plans; partnership arrangements; committees with clear roles and responsibilities; linkages with partners and other stakeholders; and linkages between NCPC and PSEPC. The information gained through these partnerships is used to create comprehensive and improved coordination within the crime prevention community.
- ***Knowledge products and mechanisms*** - Gather existing knowledge and understanding of relevant issues and current solutions in relation to crime prevention, victimization and CPSD. It also facilitates the analysis, synthesis and integration of new knowledge and emerging results obtained through the Strategy's funding efforts. Integration from the different sources of information is shared locally and nationally through a variety of knowledge exchange and dissemination mechanisms. For example, fact sheets, 1-800 telephone number, media products, issues and opinion papers; seminars and forums, partner tools, brochures and lessons/success stories.

Outcomes

Immediate Outcomes

- ***Improved Leadership/Facilitator/Educator Role in Crime Prevention -***
The focus of the Renewed Strategy's funding and support is to ensure that there are inherent linkages made between the nature of the projects funded and to the current crime and victimization issues, taking into account regional variables. This provides the Strategy with the ability to set priorities with the intention of addressing emerging issues through its funding and support mechanisms.
- ***Increased Comprehensive and Strategic partnerships -*** The complexity of risk and protective factors surrounding the prevention of crime necessitates the development and implementation of effective coordination mechanisms designed to facilitate partnering and sharing of information among stakeholders. A key characteristic of an effective crime prevention initiative is a model that brings together a wide range of stakeholders working together in an integrated manner to prevent crime.
- ***Improved Knowledge of Effective Crime Prevention Approaches -*** Information stemming from the three core components of the RNCPS (Community Action, Partnerships and, Knowledge) will contribute to improved understanding of efficient and effective crime prevention approaches. The evidence gained through the process of gathering, interpreting and exchanging knowledge will be used to guide development of appropriate tools, resources and models that will facilitate and enhance the community's ability to respond effectively to local crime and victimization.

Intermediate Outcomes

- ***Increased Local Capacity to Prevent Crime and Victimization*** - An increase in availability of appropriate resources and crime prevention tools will result in increased community awareness and understanding of what is required to respond effectively to crime and victimization at the local level. Contributing to an overall enhancement of capacity and willingness of communities to become more integrally involved in crime prevention efforts.
- ***Improved Comprehensive Partnerships in Effective Crime Prevention*** - Through the development of key partnerships the National Strategy is in a position to identify where there are opportunities to work together in a comprehensive effort to make communities safer from crime. Similarly, the enhanced understanding of the federal role in crime prevention and the integration of the evidence-based knowledge stemming from NCPS's research and evaluation efforts will improve and help guide NCPS in their efforts to further integrate what they have learned in the development of and support for comprehensive crime prevention policies and programs.
- ***Improved Integration of Evidence-Based Crime Prevention into policies and practices*** - Improved integration and knowledge of effective crime prevention approaches among public, private sector, and community groups and members of what needs to be done, how to best do it, what tools/resources are available to assist them in their efforts, and who to work with to get things done will contribute to the integration of effective crime prevention practices.

Ultimate Outcome

- *Enhanced Community Safety* - The involvement of all key stakeholders in the development and implementation of effective crime prevention practices that is guided by strategic partnerships, knowledge-based policies and recommendations for action, and increased understanding and support for CPSD will, ultimately, contribute to the enhanced safety of Canadian communities.

3.4 Accountabilities

With renewal, the NCPS will continue its focus on accountability as well as strengthen its capacity to measure and report on project results in each of the NCPC Grants and Contributions Funding Programs. The Executive Director of the NCPC is accountable for the overall success of the NCPC element of the RNCPS. Reporting to the NCPC Executive Director are NCPC Directors who are accountable for their particular component of the National Strategy.

In terms of program management, NCPC Ottawa is responsible for overall program and policy direction for the NCPC elements of the RNCPS and provides functional guidance to NCPC Regional offices (developing working tools e.g. application kits, final report templates, policy frameworks, NCPS Strategic Plan).

A key piece of the NCPC element of the RNCPS relate to the regional emphasis of a number of funding activities. In recognition of this Joint Management Committee/Community Advisory Committee exists in each province/territory. This Committee, in cooperation with the respective NCPC Representative, assumes primary responsibility for identifying regional needs (within the context of RNCPS priorities) and reviewing and selecting projects from submitted proposals that are most likely to address these needs.

NCPC Regional offices are responsible for the provision of guidance and advice to local NCPC staff on matters of regional program delivery and for liaison with

provincial/territorial representatives. It should be noted that liaison with provincial/territorial representatives may also be undertaken by NCPC Ottawa.

The principal accountability mechanism is implementing and following through on the ARAF according to the identified performance management, evaluation and reporting requirements for the RNCPS. Over the funding period, adjustments may be made to various performance monitoring, measurement and evaluation activities to ensure the usefulness of information gathered. As such, the ARAF is a living document that will be adjusted to adequately and accurately reflect progress through the collection of the most appropriate information.

NCPC Ottawa is responsible for the development and implementation of the ARAF and will have the responsibility of analyzing the outcomes of the RNCPS. However, all NCPC offices will be responsible for ensuring integrity of this information. Finally, the RNCPS has a system, which aids in organizing and managing its multiple and concurrent projects. The system, GCIMS, accommodates the management of the project proposals and funded projects (e.g. summary, progress reporting, final reporting, and financial information).

Successful implementation of the RNCPS also relies extensively on the involvement of a number of key stakeholders including: Interdepartmental Working Group; Panels of Stakeholders; Review Committees. The NCPC also has partnerships with NGOs and the private sector and has established and maintained international networks and partnerships.

Risk Assessment and Management Summary (Section 4) provides an overview of items that may impact the NCPC's ability to deliver the RNCPS or report on its performance. While Performance Measurement Strategy (Section 5) specifies performance targets and Section 5.4 provides a detailed listing of Reporting Commitments.

4 Risk Assessment and Management Summary

The following TBS definition of risk was used to identify key risk areas for the RNCPS.

“Risk refers to the uncertainty that surrounds future events and outcomes. It is the expression of the likelihood and impact of an event with the potential to influence the achievement of the program/policy’s objectives.”¹¹

The implementation of a RNCPS includes challenges that contribute to an overall medium/low level of residual risk. The intent of this risk assessment and management summary is to ensure that risk information made available to NCPS officials is relevant, accurate and adequate in scope to permit appropriate decision-making. The risk assessment is designed to facilitate tracking, monitoring and reporting on risks and represents an understanding by NCPS managers and staff of the specific risks that may influence the achievement of the following RNCPS objectives.

- To increase sustainable community action;
- To develop and share knowledge of crime prevention strategies, and;
- To coordinate multilevel support for crime prevention efforts.

4.1 Key Risks, Existing Mitigation Strategies, Incremental Strategies

Using the definition of risk noted above, three categories of risk provided a framework to assist in identifying residual risks associated with the implementation of the RNCPS. Strategic, operational and project risks guided the construction of the risk assessment and management framework.

Methodology

The following methodology was employed during the risk identification exercise. Please see Appendix “B” PSEPC Risk Information Sheet; Appendix “C” Categories and sub-Categories of Risk; Appendix “D” Probability of Risk, Impact of Risk and, Overall

¹¹ (TBS, Integrated Risk Management Framework, 2001, page 5)

Risk Classification; and, Appendix “E” PSEPC Risk Management Matrix for more information on the tools used to define residual risk.

Step 1 Identify key risks (i.e. strategic risks, operational risks, project risks) with concrete RNCPS examples

Step 2 Identify existing measures to mitigate key risks

Before determining the probability and impact of key risk areas consider existing mitigation measures.

Step 3 Probability of risk occurring during lifetime of Renewed Strategy’s terms

Step 4 Impact of Risk if it did occur

Step 5 Chart initial risk classification using Risk Management Matrix (High, Significant, Medium, Low)

The initial risk result is an estimate of risk due to existing mitigation measures.

Step 6 Identify possible incremental strategies to reduce the risk further.

Step 7 Identify overall residual risk result using Risk Management Matrix

A total of 15 risks were identified using the above methodology. Table 2 describes the detailed risk assessment and management summary and includes the existing mitigation strategies as well as proposes incremental strategies intended to manage the residual risk.

Table 2 Risk Assessment and Management Summary

Category	Risk	Existing mitigation strategies	Assessment		Risk Result	Incremental Strategy Required	Responsibility	Overall Residual Risk Result
			probability	Impact				
Strategic Risks	1. NCPC Human Resources (approximately 65% of staff are not permanent)	People Priority of NCPC Strategic Plan	likely	High	high	PSEPC Human Resource Strategy for NCPC	PSEPC Human Resources	significant
	2. Reallocation of federal funds or spending freezes	NCPC Management Team Priority Setting exercise	may	High	high	PSEPC Priority Setting Exercise	NCPC Management Team	significant
	3. National disaster redirects Public Safety and Emergency Preparedness funding and staff activities to respond	NCPC Management setting exercise	unlikely	High	high	PSEPC Action Plan NCPC Communication Strategy	NCPC Management Team	significant
	4. Capacity for NCPS to join or lead comprehensive horizontal approach	Draft policy framework NCPS Strategic Plan	likely	High	high	Implement guidelines/principles in the form of policy document that leads to tailored strategies to join/lead selected horizontal approaches	PDD and Eval Section	significant
	5. Risk of not effectively sharing the knowledge generated as a result of NCPS	Develop Knowledge in Focus areas Strategic Plan Public Education	likely	High	high	NCPS Knowledge Management Strategy Realignment to three funding streams	PDD and Eval Section PRK Section	significant
	6. Severe crime(s) divert public support and government funding away from primary and secondary approaches to Crime Prevention	NCPS promotion / education / knowledge products to raise awareness and support for CPSD	unlikely	Low	low	Examine current mitigation strategy to determine continued relevance or if adjustments are required	PDD and Eval Section	low

Categories	Risk	Existing mitigation strategies	Assessment		Risk Result	Incremental Strategy	Responsibility	Overall Residual Risk Result
			probability	impact				
Operational Risks	7. Complexity and multitude of risk factors impact community readiness to deliver crime prevention initiative	Workshops Presentations	likely	high	high	Develop tailored approach to increasing community capacity Focus on limited number of issues	PDD and Eval Section Regional Ops Section	significant
	8. Community Based funding (need to ensure funded projects contribute to NCPS objectives)	Terms and Conditions Standardized application kits	unlikely	high	significant	Comprehensive funding strategies Knowledge Management Strategy Multi-year funding	PDD and Eval Section PRK Section	medium
	9. Ability to respond to community funding requests in a timely manner	Standardized Application Kit Clear recommendation guidelines	may	medium	significant	Examine project solicitation, review, recommendation, and approval process on regular basis	PDD and Eval Section	medium
	10. Ability to efficiently and effectively deliver the Renewed Strategy consistently across the Country	Staff Training NCPC Workshop NCPC Strategic Plan	unlikely	low	low	Manage by routine staff training Standardize delivery products	Regional Ops Section PDD and Eval Section	low
	11. Financial management of grants and contributions	Policy on Transfer Payments NCPC Terms and Conditions	may	medium	significant	Regular staff training / education	PDD and Eval Section	low
	12. Ability to effectively engage Private Sector in NCPS	Business Action Program	may	low	medium	CPAF fund Corporate Engagement Strategy	PDD and Eval Section	low

Categories	Risk	Existing mitigation strategy	assessment		Risk result	Incremental strategy	Responsibility	Overall Residual Risk Result
			probability	impact				
Project Risks	13. Potential of misunderstanding of JMC / CAC roles under the RNCPS	Current partnership arrangements	May	high	high	New partnership arrangements Educate JMC / CAC	Regional Ops Section Regional Ops Section	medium
	14. New funding proposals from community not in line with new funding streams	new Terms and Conditions existing products/tools	May	medium	significant	Public notice Update website Staff training Update existing products/tools Develop new tools/products	PDD and Eval Section	low
	15. Streamlining of Phase II Expansion funding programs to those under the Renewed Strategy	Transition working groups New Terms and Conditions	may	medium	significant	Public notice Update website Staff training Update existing products/tools Develop new tools/products Transition projects to new Ts&Cs	PDD and Eval Section	low

5. Performance Measurement, Evaluation Plan, Recipient and Internal Auditing, Program Management Roles and Responsibilities

This section provides a detailed roadmap for ongoing performance measurement and evaluation activities that will support effective program management and accountability. In addition this section discusses internal and recipient auditing plans. It is through the combination of these three activities that NCPS program managers and staff can monitor performance and determine efficiency and effectiveness of the RNCPS.

5.1 Table 3 Performance Measurement Strategy

Performance Issue (Output)	Performance Indicators	Data source / collection Method	Responsibility	Timing		
				Ongoing	Progress	Outcome
Funding and technical assistance.	Number of grants, contributions and contracts	GCIMS SAP	PDD and Eval Section		√	√
	Number of Policy/Program Delivery tools and resources	Application guides Final report templates Staff Training Policy products	PDD and Eval Section PRK Section		√	√
	Number staff delivered workshops, conferences, and presentations	Staff Planning and Activity Reports	PDD and Eval Section Regional Ops Section		√	√
Formal agreements, partnership arrangements, networks.	Number of MOUs, letters of agreement, partnership arrangements, networks.	NCPC files Stakeholders Strategy	PDD and Eval Section Regional Ops Section		√	√
	Number of committees on which NCPC staff are active participants.	NCPC files Stakeholders Strategy	PDD and Eval Section Regional Ops Section		√	√
Knowledge products and mechanisms.	Existence of a Knowledge Strategy.	Knowledge Strategy Working Group report.	PDD and Eval Section Regional Ops Section		√	√
	Number of products developed to support public and staff education.	NCPC files Transition Committee reports.	PDD and Eval Section Regional Ops Section		√	√
	Standardized Funding Final Report Templates for each of three funding streams.	NCPC files Transition Committee reports.	PDD and Eval Section		√	√
	Standardized Evaluation Strategy for each of three funding streams.	NCPC files Transition Committee reports.	PRK Section		√	√

Performance Issue (immediate outcome)	Performance Indicators	Data source / collection Method	Responsibility	Timing		
				Ongoing	Progress	Outcome
Improved knowledge of effective crime prevention approaches	Existence of a compendium of good and promising practices based on current crime prevention research and experience.	Project file review Specific data mining exercises Literature review	PDD and Eval Section Regional Ops Section PRK Section	√	√	√
	Evidence that project funding decisions build on existing knowledge of effective crime prevention approaches.	Project file review Knowledge Strategy Review Committee Reports	PDD and Eval Section Regional Ops Section PRK Section	√	√	√
Increased comprehensive and strategic partnerships	Evidence of increased collaboration with crime prevention partners along the public safety continuum.	GCIMS Key informant interviews Special studies PCCF files	CCI coordinator PDD and Eval Section	√	√	√
	Increased number of partnerships with the public, private and volunteer sectors around comprehensive initiatives.	CCI files review Special Study	CCI coordinator PDD and Eval Section	√	√	√
Improved leadership / facilitator / educator role in Crime Prevention.	Evidence that NCPC has influenced crime prevention efforts at the local, national and international levels.	File review MOU agreements Key informant interviews	Regional Ops Section PRK Section	√	√	√
	Enhanced awareness of crime prevention through social development as an effective approach for dealing with crime and victimization	Public surveys Media analysis NCPC surveys	PDD and Eval Section Regional Ops Section	√	√	√

Performance Issue (intermediate outcome)	Performance Indicators	Data source / collection Method	Responsibility	Timing		
				Ongoing	Progress	Outcome
Increased local capacity to prevent crime and victimization	Evidence that community capacity has increased due to NCPC programs, tools, policies and knowledge	Community capacity scale File review Sub study	PDD and Eval Section Regional Ops Section		√	√
	Evidence that crime prevention activities persist beyond NCPC involvement or support	Recipient interviews Follow-up surveys	PDD and Eval Section Regional Ops Section	√	√	√
Improved comprehensive partnerships in effective crime prevention	Evidence that a NCPC led comprehensive community approach is producing measurable results.	Key informant interviews File review CCI Reports	PDD and Eval Section Regional Ops Section PRK Section CCI Coordinator	√		√
	Evidence that NCPC support of and participation in comprehensive community initiatives led by others has contributed to the development of effective crime prevention.	Key informant interviews File review CCI Reports	PDD and Eval Section Regional Ops Section PRK Section	√		√
Improved integration of evidence-based crime prevention into policies and practices	Extent to which evidence-based crime prevention approaches are reflected in policies as a result of NCPC leadership.	Key informants Sub-study	PDD and Eval Section Regional Ops Section PRK Section	√	√	√
	Extent to which evidence-based crime prevention approaches are reflected in practices as a result of NCPC leadership.	Key informants Sub-study Review of files	PDD and Eval Section Regional Ops Section PRK Section		√	√

Performance Issue (i.e. ultimate outcome)	Performance Indicators	Data source / collection Method	Responsibility	Timing		
				Ongoing	Progress	Outcome
Enhanced community Safety	Public sense of safety in communities where the NCPC has made a major investment.	Public opinion surveys Special Studies	PRK Section PDD and Eval Section		√	√
	Community-level rates of crime and victimization in communities where the NCPC has had a major focus.	Community Crime Profiles Longitudinal studies Uniform crime statistics Victimization surveys NCPC sponsored CCJS studies	PRK Section PDD and Eval Section		√	√

5.2 Evaluation Plan

The purpose of this section is to outline the range of evaluation issues and questions guiding the evaluation for the RNCPS. The evaluation issues explored and presented below address three broad evaluative themes: relevance, success and cost-effectiveness and alternatives. Each theme is described briefly below and then linked to key evaluation questions and timeframes. Expenditure Review Committee questions are included in the Evaluation Plan.

Relevance

Relevance issues include those that address the continued relevance of the objectives and underlying rationale of NCPS. As part of the exploration of continued relevance is an assessment of the logical relationship established between NCPS activities and the expected outputs, the appropriateness of the current level of resources allocated.

Success

Success issues relate to what has been accomplished as a result of the NCPS and the extent to which it has achieved what it set out to do. Evaluation issues within this category will focus on the extent to which the intended outcomes (identified in the Logic Model in Section 3) have been achieved as a result of NCPS activities. Much of the data for assessing “success” will be derived from the ongoing monitoring and performance measurement system.

A key measure of the Renewal’s “success,” will be the extent to which NCPS has witnessed progress or improvement in a number of key areas. The key areas for measurement of “progress” during the RNCPS will be the four immediate outcomes. The immediate outcomes can be anticipated and measured within the first two to three years.

The ability to effectively measure progress around these particular immediate outcomes will be made feasible through the use and integration of special studies and the results of a year-two progress report.

It is important to keep in mind, however, that the intermediate and ultimate outcomes are those which normally can only be measured sometime following the completion of the RNCPS funding period. Please note that two anticipated intermediate outcomes identified during the Expansion of Phase II period continue to be relevant during the Renewal Phase, namely, “Increased local capacity to prevent crime and victimization” and “Improved integration of evidence-based crime prevention into policies and practices”. As well the ultimate outcome “Enhanced Community Safety” is also carried forward during the Renewal Period and the National Strategy will continue to track and report on progress for these outcomes.

Cost Effectiveness and Alternatives

These issues address questions around cost-effectiveness of the NCPS and consider whether alternative ways of achieving the same results might be more cost effective and/or efficient.

Table 4 identifies the various issues, questions, data requirements and collection strategies for the evaluation work and sources of information for assessing:

Table 4 Evaluation Issues and Questions

<i>RELEVANCE ISSUES</i>				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
1. To what extent do the objectives for the Renewed National Strategy continue to be relevant?	<input type="checkbox"/> Level of public and stakeholder support for the federal leadership role in the area of crime prevention <input type="checkbox"/> Stakeholders perceive that the objectives of the RNCPS continue to be relevant.	Document/file review <input type="checkbox"/> Federal/provincial/territorial crime prevention policies and initiatives <input type="checkbox"/> NCPC NCPS files/documents Surveys <input type="checkbox"/> Public opinion survey <input type="checkbox"/> Stakeholder survey Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> Stakeholder groups	✓	✓
2. To what extent are the objectives for the Renewed National Strategy consistent with Government-wide priorities?	<input type="checkbox"/> Contribution of Renewed NCPS to Public Safety and Emergency Preparedness Strategic outcomes <input type="checkbox"/> Identified need for ongoing integration of government activities in the area of crime prevention	Document/file review <input type="checkbox"/> PSEPC Management, Resources and Results Structure <input type="checkbox"/> PSEPC Program Activity Architecture <input type="checkbox"/> PSEPC Report on Plans and Priorities; and Departmental Performance Reports Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> PSEPC Management	✓	✓

* To be included in Progress Report (end of second year – March 2007)

** To be included in Outcome Report (end of year five – March 1010)

PROGRAM DESIGN AND DELIVERY				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
1. To what extent is the Renewed National Strategy appropriately <u>resourced</u> to achieve its objectives?	<input type="checkbox"/> Nature of allocations and resource demands <input type="checkbox"/> Identification of the appropriateness of the current allocation of resources (A-base and the 30 million renewal enhancement)	Document/file review <input type="checkbox"/> Operational documents and administrative data Key informant interviews <input type="checkbox"/> NCP Management and Staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy Committees and Working Groups	✓	✓
2. To what extent is the Renewed National Strategy <u>organized</u> appropriately to achieve its objectives?	<input type="checkbox"/> Nature of respective roles and responsibilities <input type="checkbox"/> Level of support for organizational structure and respective roles and accountabilities	Key informant interviews <input type="checkbox"/> NCP Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> Committees and Working Groups Document/file review <input type="checkbox"/> Operational and administrative documents/files <input type="checkbox"/> NCP files/documents <input type="checkbox"/> Management Audit	✓	✓

* To be included in Progress Report (end of second year – March 2007)

** To be included in Outcome Report (end of year five – March 1010)

PROGRAM DESIGN AND DELIVERY				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
3. Are effective, efficient and standardized processes/resources available to support the Renewed National Strategy objectives?	<input type="checkbox"/> Extent of appropriate NCPS tools/resources/documents available to support communities (i.e. public education documents, funding application packages, final reporting templates, funding program Evaluation Strategies etc.) <input type="checkbox"/> Extent of adequate training to support staff	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee Document/File Review <input type="checkbox"/> Funded project files	✓	✓

Success				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
1. To what extent have the funding and technical assistance contributed to an improved leadership / facilitator / educator role for the National Strategy?	<input type="checkbox"/> References to NCPS research, evaluation and policy frameworks in relevant crime prevention and social development policies and background materials <input type="checkbox"/> Requests for products, tools and resources	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> FPT Working Group Interdepartmental Working Group <input type="checkbox"/> Stakeholder groups Document/file review <input type="checkbox"/> Federal/provincial/territorial policies <input type="checkbox"/> Minutes/reports of meetings/consultations Benchmark Study	✓	✓
2. To what extent have formal agreements, partnership arrangements, networks contributed to increased partnerships with comprehensive initiatives?	<input type="checkbox"/> Extent of collaboration with crime prevention partners along the public safety continuum <input type="checkbox"/> Increased number of partnerships with the public, private and volunteer sectors around comprehensive initiatives	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> FPT Working Group Interdepartmental Working Group <input type="checkbox"/> Stakeholder groups File review Benchmark study	✓	✓

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** To be included in Outcome Report (end of year five – March 1010)

Success				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
3. To what extent have knowledge products and mechanisms improved knowledge of effective crime prevention approaches?	<input type="checkbox"/> Evidence of an increased awareness of “what works” and “best practices” in the area of crime prevention <input type="checkbox"/> Common and comprehensive understanding of what is meant by effective crime prevention approaches	Ongoing monitoring Key informant interviews <input type="checkbox"/> NCCP Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> FPT Working Group <input type="checkbox"/> Interdepartmental Working Group <input type="checkbox"/> Stakeholder groups Document/file review <input type="checkbox"/> Communications materials <input type="checkbox"/> Citation analysis Survey <input type="checkbox"/> Funding recipients/applicants <input type="checkbox"/> Public opinion survey Benchmark study	✓	✓
4. To what extent has the Renewal of the National Strategy contributed to increased local capacity to prevent crime and victimization?	<input type="checkbox"/> Increased community and stakeholder knowledge of effective crime prevention strategies <input type="checkbox"/> Evidence of effective crime prevention models being adopted at other sites	Key informant interviews <input type="checkbox"/> NCCP Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> FPT Working Group <input type="checkbox"/> Interdepartmental Working Group <input type="checkbox"/> Stakeholder groups Survey <input type="checkbox"/> Funding recipients/applicants <input type="checkbox"/> Public opinion survey Benchmark study	✓	✓

Success				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
5. To what extent has the Renewal of the National Strategy contributed to improved comprehensive partnerships in effective crime prevention?	<input type="checkbox"/> Evidence of NCPS commitment in multi-sector crime prevention initiatives <input type="checkbox"/> Evidence of a range of traditional and non-traditional partners addressing crime prevention activities <input type="checkbox"/> Evidence of active commitment of traditional/non-traditional partners in crime prevention activities (in-kind/financial contributions as indicator)	Key informant interviews <input type="checkbox"/> NCPC management and staff <input type="checkbox"/> PCCF Review Committee Document/file review <input type="checkbox"/> Project files/reports (CCI) <input type="checkbox"/> Annual Reports Benchmark study		✓
6. To what extent has the Renewal of the National Strategy contributed to improved integration of evidence-based crime prevention into policies and practices?	<input type="checkbox"/> Evidence of coordination in place to address gaps in crime prevention activities within and between three levels of government. <input type="checkbox"/> Extent of the gaps and overlaps in crime prevention activities within public, private, and voluntary sectors.	Key informant interviews <input type="checkbox"/> NCPC Management and Staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> FPT Working Group <input type="checkbox"/> Interdepartmental Working Group <input type="checkbox"/> Stakeholder groups Document/file Review <input type="checkbox"/> NCPC files	✓	✓
7. To what extent has the Renewal of the National Strategy contributed to Enhanced Community Safety?	<input type="checkbox"/> Evidence of increased understanding and support for crime prevention through social development <input type="checkbox"/> Evidence of effective crime prevention practices guiding community action <input type="checkbox"/> Evidence of linkages between RNCPS and community-level crime and victimization rates.	Key informant interviews <input type="checkbox"/> NCPC management and Staff <input type="checkbox"/> PCCF Review Committee Survey <input type="checkbox"/> Funding recipients <input type="checkbox"/> Project participants Benchmark study	✓	✓

Success				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
8. Are there any unintended (positive or negative) impacts for the Renewed National Crime Prevention Strategy?	<input type="checkbox"/> Perceptions of managers <input type="checkbox"/> Perceptions of stakeholders and funding recipients	<input type="checkbox"/> Interviews with NCPC managers <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> PSEPC Management <input type="checkbox"/> Interviews with stakeholders and funding recipients,	✓	✓

<i>Cost-Effectiveness and Alternatives</i>				
Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
1. Was the Renewal of the National Strategy implemented in a cost-effective manner?	<input type="checkbox"/> Costs associated with the overall and independent activities and outputs of the Strategy <input type="checkbox"/> Extent to which activities and approaches used in the implementation of the Renewed Strategy are cost-effective	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee Document/file review <input type="checkbox"/> Operational and administrative files/reports <input type="checkbox"/> Funded projects' Evaluation reports Management Audit <input type="checkbox"/> Review of financial and operational	✓	✓
2. Are there more effective ways of achieving the objectives of the Renewed National Crime Prevention Strategy?	<input type="checkbox"/> Identified strengths and weaknesses of the current approach <input type="checkbox"/> Comparison with other federal, provincial/territorial funding programs and policy initiatives <input type="checkbox"/> Comparisons with other types of responses to crime, victimization and fear of crime <input type="checkbox"/> Comparison with national crime prevention strategies in other countries.	Document review <input type="checkbox"/> Documents/reports of other, similar initiatives/projects (e.g. United Kingdom, Australia) Literature Review Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy Working Groups <input type="checkbox"/> National Strategy JMCs/CACs <input type="checkbox"/> Stakeholder groups Survey <input type="checkbox"/> Funding recipients/applicants Crime prevention community	✓	✓

* To be included in Progress Report (end of second year – March 2007)

** To be included in Outcome Report (end of year five – March 1010)

Expenditure Review Committee Questions and Indicators

Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
1. Public Interest – Does the program area or activity continue to serve the public interest?	<input type="checkbox"/> Extent to which activities and approaches used in the implementation of the Strategy are seen as cost-effective <input type="checkbox"/> Identified need for ongoing integration of government activities in the area of crime prevention	Document review <input type="checkbox"/> Documents/reports of other, similar initiatives/projects Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy Working Groups <input type="checkbox"/> National Strategy JMCs/CACs <input type="checkbox"/> Stakeholder groups Survey <input type="checkbox"/> Funding recipients/applicants <input type="checkbox"/> Crime prevention community	✓	✓

Expenditure Review Committee Questions and Indicators

Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
2. Role of Government – Is there a legitimate and necessary role for government in this program or activity?	<input type="checkbox"/> Level of public and stakeholder support for the federal leadership role in the area of crime prevention <input type="checkbox"/> Stakeholders perceive that the objectives of the RNCPS continue to be relevant.	Document/file review <input type="checkbox"/> Federal/provincial/territorial crime prevention policies and initiatives <input type="checkbox"/> NCPC files/documents Surveys <input type="checkbox"/> Public opinion survey <input type="checkbox"/> Stakeholder survey Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> Stakeholder groups	✓	✓
3. Federalism – Is the current role of the federal government appropriate, or is the program a candidate for realignment with the provinces?	<input type="checkbox"/> Identified need for ongoing integration of government activities in the area of crime prevention <input type="checkbox"/> Perceptions of Managers	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> JMC / CAC co-chairs	✓	✓

Expenditure Review Committee Questions and Indicators

Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
4. Partnership - What activities or programs should or could be transferred in whole or in part to the private/voluntary sector?	<input type="checkbox"/> Perceptions of managers <input type="checkbox"/> Perceptions of private and voluntary sectors	Key informant interviews <input type="checkbox"/> NCPC Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy Working Groups <input type="checkbox"/> National Strategy JMCs/CACs <input type="checkbox"/> Stakeholder groups Survey <input type="checkbox"/> Funding recipients/applicants <input type="checkbox"/> Crime prevention community	✓	✓
5. Value-For-Money – Are Canadians getting value for their tax dollars?	<input type="checkbox"/> Comparison with other federal, provincial/territorial, international funding programs and policy initiatives <input type="checkbox"/> Comparisons with other types of responses to crime, victimization and fear of crime	Document review <input type="checkbox"/> Documents/reports of other, similar initiatives/projects	✓	✓

Expenditure Review Committee Questions and Indicators

Issue	Indicators	Methods/Data Source	Year 2*	Year 5**
6. Efficiency – If the program or activity continues, how could its efficiency be improved?	<input type="checkbox"/> Identified strengths and weaknesses of the current approach <input type="checkbox"/> Level of support for organizational structure and respective roles and accountabilities	Key informant interviews <input type="checkbox"/> NCCP Management Team and staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy JMCs/CACs <input type="checkbox"/> Stakeholder groups Document/file review <input type="checkbox"/> Operational and administrative documents/files <input type="checkbox"/> NCPS files/documents Survey Funding recipients/applicants Crime prevention community	✓	✓
7. Affordability – Is the resultant package of programs and activities affordable? If not, what programs or activities would be abandoned?	<input type="checkbox"/> Nature of allocations and resource demands <input type="checkbox"/> Identification of the appropriateness of the current allocation of resources (A-base and the 30 million renewal enhancement)	Document/file review <input type="checkbox"/> Operational documents and administrative data Key informant interviews <input type="checkbox"/> NCCP Management and Staff <input type="checkbox"/> PCCF Review Committee <input type="checkbox"/> National Strategy Committees and Working Groups	✓	✓

5.3 Recipient and Internal Auditing

Project managers and staff are vested with the responsibility of monitoring each project on an ongoing basis to ensure that any questions from the Recipient are answered, and any difficulties encountered within the project are dealt with in an effective and timely manner.

Regular review of progress/achievements under grants and contributions will reduce risk. All agreements and payments under each of the three funding programs will respect the *Financial Administration Act* (Sec.32, 33 and 34). The Treasury Board of Canada Policy on Transfer Payments is to be followed without exception.

This information will enable the NCPC's Program Managers to periodically reassess the individual funding programs by monitoring and evaluating the changing risks as projects reach maturity, and as projects of a different and evolving nature are approved.

5.3.1 Grant and Contribution

Projects funded through a contribution as well as those receiving a grant will be evaluated against the ARAF developed for the RNCPS. Projects to be funded should have clearly identifiable and measurable outcomes intended to contribute to NCPS objectives. Recipients will be required to submit detailed report(s) on various aspects of the project in order that the NCPC can assess the viability, impact and utility of funded activities. Program Officials may conduct on-site visits to further familiarize themselves with the project and its activities and make suggestions for improvement as appropriate.

5.3.2 Funding Programs

Three funding programs exist under the RNCPS. Namely, **Crime Prevention Action Fund (CPAF)**, **Research and Knowledge Development Fund (RKDF)**, and, **Policing, Corrections and Community Fund (PCCF)**. All three of these programs will administer funding in the form of grants and contributions arrangements.

Separate Terms and Conditions (Ts&Cs) have been developed for each the three program's funding mechanisms (grant or contribution). Each Ts&Cs document illustrates the objectives and anticipated results for each of the three funding programs, identifies the types of financial assistance, class of recipient, maximum period of funding, eligible activities, eligible costs, ineligible costs, proposals or applications, review processes, duration/maximum funding and stacking. Please see Treasury Board Submission for more information on each of the Ts&Cs.

5.3.2.1 Grant Programs

For all of three funding programs, when a grant is used as the funding mechanism it will be disbursed upon receipt of a signed memo approving the grant and a completed file review indicating that the terms and conditions of the particular funding program have been respected. Additionally, when the grant payment is requested, a letter with a short description of the intent of the grant and the expectations of the recipient by the NCPC will be forwarded to the recipient. Information regarding the payment terms and any further stipulations in the case of a "Grant with Conditions" will be contained in the letter. Further monitoring is entirely dependent on the restrictions included within the grant letter, but at a minimum, a final report will be requested. Progress or interim reports will be requested for larger grant projects with a duration of more than one year.

If a change takes place in the status of the grant recipient, or the project appears to be in default, any further payments on the grant will cease until such time as it is determined that the situation is regularized. Generally though, smaller grants are paid in one instalment so if changes do occur, it will require an extensive review to determine whether recovery action is warranted as per Sec. 7.5.1(iii) of the Policy on Transfer Payments.

A Grant will be released in one instalment. With that said, the Department may still choose to release any grant in a series of instalments following the cash flow requirements of the recipient.

5.3.2.2 Management Control Framework: Contribution Agreements

The following outlines steps the PSEPC will take to manage risks associated with contribution projects:

- Ensure that program design is given appropriate attention, that expected results are clearly defined and performance indicators are developed;
- Ensure that decisions to fund projects are based on a rigorous assessment of eligibility of recipients including project merits and the need for government funding;
- Establish project monitoring practices to provide the Department with information on the progress of projects and to ensure that key deliverables are being received;
- Establish financial controls over disbursements to provide assurance that payments are only made after a careful verification of claims;
- Conduct program evaluations to ensure that the programs are achieving value for money;

More specific to the points listed above agreements will be monitored and managed via a variety of mechanisms, processes and documentation that include:

- Complete a project/recipient risk assessment at the start of each project to identify and plan for recipient audits.
- clearly defined contribution agreement
- quarterly financial report
- quarterly project activity report
- independent evaluation of projects
- site visits by NCPC program officer and evaluation analyst
- all issues with projects documented in project file
- regular meetings of project advisory committee
- additional NCPC staff will draw on expertise in every region to support program officials, as needed.

Contribution payments will be based on actual expenditures incurred to date within the terms of the contribution agreement, or on cash-flow forecasts as per the Treasury Board of Canada Policy on Transfer Payments, Appendix B-Instalment Payments of Grants and Advance Payments of Contributions. As a funding partner, PSEPC pays

towards the deficit incurred on a project. More specifically, PSEPC pays the lesser of three values—the PSEPC - approved costs incurred, the deficit, or the contribution amount as per the agreement.

The payments under contribution agreements are verified at several stages. Interim payments are released on acceptance of a Statement of Revenue and Expenditure (SRE) indicating the costs incurred to date. Advance payments, are based on an accepted cash-flow forecast for the upcoming period submitted on a SRE. The holdback not exceeding 20% is only released on completion of a desk audit on the entire project expenses. The Financial Advisor can recommend payment but the ultimate authority for the release of any payment rests with the NCPC program officials, who are in a position to assess whether the recipient is in conformance with the agreement.

When monitoring approved projects, program officials will ensure that all issues covered including those noted through the financial monitoring process are documented by the program official in a report placed on the file. Appropriate updates to the Grants and Contribution Information Management System (computerized project tracking database) will be made. If serious problems are identified in the contribution, a letter outlining the areas of concern and required corrective action will be sent to the recipient. In the event the recipient has difficulties in providing a project report or completing the agreement requirements, PSEPC will evaluate the possible impact and examine other mechanisms to assess materiality or outcomes/results/accomplishments. In the event the recipient is unwilling to report or does not report as per the contribution agreement, PSEPC will assess the impact and take action through the conflict resolution process.

There will be occasions when stronger measures will be needed. In those cases where contribution agreement performance is not acceptable, or where there is a high risk of financial loss, PSEPC will consider the following options:

Probation: It may be imposed when an agreement remains in difficulty after the recipient has been asked to take corrective action, and the desired results have not been achieved, and it has been determined that the problem cannot be resolved through an

amendment to the agreement. A program manager or designated authority has the authority to place a recipient on probation. The effect of probation is to provide a warning to the recipient. It does not involve a freeze on funds, or a suspension of activities. The recipient shall be informed in writing that the agreement is placed on probation and the probationary period should not exceed 21 calendar days. The probationary period should be terminated when the recipient confirms to PSEPC that the corrective measure/action has been successfully implemented.

Suspension: An agreement may be suspended when a serious problems arise e.g., the inability to carry out an audit, when there is high risk of financial loss, deliberate and significant abuse of the terms of the agreement and the lack of cooperation on the part of the recipient. Suspension should involve a freeze of the disbursement of funds to the recipient. Activities covered in the agreement will stop until the problem is corrected. The recipient shall be informed in writing that their agreement is being suspended and the period should not exceed 28 calendar days. The suspension period should be terminated when the recipient confirms to PSEPC that the corrective measure/action has been successfully implemented. The agreement should be re-instated and the recipient permitted to proceed.

Termination: If a recipient fails to comply with the terms of the agreement despite the efforts and assistance of PSEPC, or a recipient fails to satisfactorily improve project performance during a probationary period or suspension, then the agreement shall be terminated. The recipient shall be informed in writing that their agreement is being terminated and payments should be stopped and the funds de-committed/recovered.

When applicable, PSEPC will ensure that reasonable recoveries are made and that the government's interests are visible in the contribution agreement. PSEPC may negotiate specific terms of repayment to suit the particular capacities and concerns of the prospective recipient within the context of the Transfer Payments Policy, June 2000.

As part of project monitoring, the NCPC program official responsible for the project will conduct a final project contact. The purpose of this close-out contact is to complete

the monitoring of the activities under the agreement by verifying all acceptable expenditures claimed by the recipient on the close-out report submitted (Claim); and to evaluate the extent to which the activities met the objectives in the agreement. Ideally, the contact should be made as soon as possible after the final report is received from the recipient.

5.4 Program Management and Internal Audit Roles and Responsibilities

The purpose of this section is to describe the distinct roles and responsibilities of Program Management and Internal Audit.¹² Section 5.4.1 describes how the NCPC will be responsible for ongoing the financial and operational monitoring and the audit of recipient's compliance to terms and conditions of contribution agreements and the reliability of results data. Section 5.4.2 describes PSEPC Internal Audit's role in planning and conducting audits that provide assurance on the adequacy of integrated risk management practices, management control frameworks and information used for decision-making and reporting in the achievement of overall program objectives.

5.4.1 NCPC Program Management Roles and Responsibilities

In terms of program management, NCPC Ottawa is responsible for overall program and policy direction and provides functional guidance to NCPC Regional offices (developing working tools e.g. application kits, final report templates, policy frameworks, NCPS Strategic Plan). NCPC Ottawa is also responsible for the development of planning documents, such as the Accountability, Risk and Audit Framework (ARAF).

Each NCPC office plays an important role in terms of program management and the management of grants and contribution agreements. For selection of a recipient for field audit each NCPC office will perform an assessment (Appendix F) of all contributions against Departmental criteria. Completed assessments will be forwarded to the NCPC Ottawa office from where field audits prioritized, coordinated and organized. The field

¹² Treasury Board of Canada Secretariat *Risk-Based Audit Framework Guide (RBAF Guide)* February 6, 2004

audit will be carried out using generally accepted auditing standards to ensure proper scrutiny of the disbursement of public funds. Departmental Financial Advisor with or without project officer will be present at the field audit to ensure compliance with the agreement.

In summary form, the Departmental criteria for selection of recipients for field audits or a contribution agreement are as follows:

- materiality;
- component coverage;
- regional coverage;
- audits performed by other donors of a joint project;
- vulnerability of recipient due to complexity of operations, degree of decentralization, organizational change, etc;
- results of previous audits;
- perceived level of political sensitivity;
- general management concerns based on observations during course of project; and,
- failure on part of recipient to provide final report/statement of project accounting.

To select contribution files for field audit, a score will be attributed to the criteria listed above and each file will be reviewed annually by the project officer against the criteria, and the files that obtain the highest score will be recommended for field audit. See Appendix F, *Risk Matrix for the Selection for Contribution Recipients for Audit field*.

Where possible, field audits will be coordinated with other funders (OGD's and provincial governments) of the same recipient. A standardized risk matrix format (Appendix F) will be used across all three funding programs to ensure the same level of scrutiny is being applied to contributions. It is anticipated CPAF and RKDF will each conduct 3 to 5 field audits per year (to a maximum of 100,000 per each of the two funds), while PCCF will conduct 1 -2 field audits per year (to a maximum of \$30,000).

5.4.2 PSEPC Internal Audit Roles and Responsibilities

The role of Internal Audit (IA) is to review and assess the strategy in place with respect to the administration of grants and contributions in NCPC. The IA will assess the need to audit the practices and procedures relating to the administration of the three

funding programs during its internal audit planning exercise. The PSEPC's Audit and Assurance Division will carry out this risk assessment (which includes bringing forward those risks identified by program management in this ARAF and augmenting that list with any relevant that may be identified by internal or stakeholders) to determine whether an IA is required.

If a determination is reached to carry out an internal audit the costs for conducting the internal audit will be borne by the National Crime Prevention Centre. The Department will make publicly available, in both official languages, with minimal formality while respecting the spirit and intent of the *Access to Information and Privacy Acts*, audit reports that have been approved by PSEPC's Management Assurance Committee.

5.5 NCPC Management Audit Findings

The fieldwork of the audit was conducted between March and June of 2003 while NCPC was still part of the Department of Justice.¹³

The Audit presented its findings under five main areas:

- **NCPC** — The Audit noted NCPC is suffering from having been established with a large proportion of temporary positions. The organization needs to be able to recruit and maintain the appropriate managers and expertise to fulfill its mandate. The NCPC needs to ensure that its regional offices are staffed on a permanent basis and that the relationships between the regions and the Headquarters are more clearly defined and managed.
- **Management Framework** — Governance and Accountability for Performance

The Audit noted there is a good working relationship between the NCPC and its partners. There may be opportunities to increase the involvement of federal and provincial organizations in the development and delivery of crime prevention programs (i.e. increased involvement in the strategic planning process).

- **Research and Evaluation** — conducting research into how crime prevention can be successful (still in many ways exploratory and of a long-term nature)

¹³ National Crime Prevention Centre Audit January 2004

The Audit noted Research and Evaluation are key in determining what areas of crime prevention will provide the greatest benefits to Canadian society; directing efforts to those areas that can bring about the desired changes; identifying the most appropriate forms of intervention. Solid work is being carried out within the NCPC Research and Evaluation Directorate and professional efforts are evident.

- **Community funding** — managing grants and contributions as a means to assist communities mobilize in crime prevention;

The Audit found the administration of the NCPC funding programs were carried out efficiently and effectively within established TBS Ts&Cs. The Audit found evidence that applications are assessed against documented selection criteria that are fair and clear. The Audit found sufficient documentation and evidence to support payments are in place before contribution payments are made, but improved coordination and procedures need to be implemented. Project files reviewed demonstrated a fit to stated program objectives. The administration process was well done and staff are generally doing their jobs well. Standardized program administration procedures need to be developed to prevent the development of different approaches to the same tasks and to prevent duplication of efforts. As well, better project monitoring and evaluation processes need to be developed.

- **Communicating knowledge about crime prevention through social development** — getting crime prevention messages out to the public.

The Audit found that the NCPC has the capabilities to advance public education as a key element of the Centre's approach to crime prevention, but there is a need for greater clarity regarding direction and leadership on public education issues. Further attention needs to be given to implementing public education and promoting crime prevention around the National Strategy.

5.6 Reporting Commitments

The proposed reporting strategy for the RNCPS is comprised of four key components: 1) Annual roll-up reports; 2) Interim Year Two Progress Report; 3) Internal and Recipient Audit Reports, and 4) Interim Year Five Outcome Based Evaluation Report. Each of these respective reporting requirements is discussed briefly below.

5.6.1 Annual Roll-Up Reports

The purpose of the proposed annual roll-up reports and for internal use and will create an opportunity for NCPC managers to review and report on their progress to date. These reports will largely encompass a review of the ongoing data and will provide

information on RNCPS activities, outputs and outcomes at the end of each year. These reports are the responsibility of the managers and may be used to inform other interested partners of progress and to make any necessary changes or enhancements to the internal operations of the Strategy. The information collected will be rolled up into these annual reports and will provide information to the Departmental Performance Reports.

5.6.2 Interim Year Two Progress Evaluation

The interim Year Two Progress Evaluation Report submitted to Treasury Board early in fiscal year 2007/2008 of the Renewal and will assess the extent to which the NCPS is being implemented as intended. The focus of the interim review will be to identify the Strategy's strengths and weaknesses in each of its primary components (Community Action, Partnerships, Knowledge) and to make recommendations for alterations or enhancements in preparation for the Interim Year Five Outcome-based Evaluation. This report will help to ensure that progress reported to date in carrying out each of the activities is integrated into one document for an overall perspective on the progress of the Strategy within the first two years' of its implementation. This interim study will also report on Expenditure Review Questions.

5.6.3 Internal and Recipient Audit Reports

Internal Audit: The IA will assess the need to audit the practices and procedures relating to the administration of the three funding programs during its internal audit planning exercise. At the end of fiscal year 2006/2007 NCPC will fund an internal Management Audit.

Recipient Audit: It is anticipated CPAF and RKDF will each conduct 3 to 5 field audits per year, while PCCF will conduct 1 -2 field audits per year.

5.6.4 Interim Year Five Outcome-based Evaluation

The Interim Year Five Outcome-based Evaluation will be submitted to Treasury Board in fiscal year 2009/2010 and assess the extent to which the NCPS succeeded in meeting its objectives and will provide an update on Expenditure Review Committee Questions. In addition, to assessing the impact of the Strategy in relation to the anticipated outcomes identified, this study will also address issues of relevance and cost-effectiveness and alternatives.

Accountability, Risk and Audit Framework Task Force

Antoine Bourdages
A/Chief, Evaluation
Evaluation Unit

Tim Peters
Senior Evaluation Analyst
Evaluation Unit

Jane Rutherford
Senior Programs Manager
Atlantic Region

George McBeth
Senior Programs Officer
Program Development and Delivery

Monty Pittson (Alternate)
Senior Programs Officer
Program Development and Delivery

Marc-Olivier Ranger
Programs Officer
Program Development and Delivery

Giselle Rosario
Senior Evaluation Analyst
Evaluation Unit

Carolyn Scott
Evaluation Analyst
Evaluation Unit

Melissa Cochrane
Administrative Assistant
National Crime Prevention Centre

PSEPC RISK INFORMATION SHEET

Division/Branch

Identify Strategy/Initiative/Priority At Risk

Category of Risk
*(Strategic, Operational
or Project:*
Sub-Category of Risk:

Risk Situation *(Provide brief description of risk events and impacts):*

Existing mitigation controls *(already in place to mitigate the risk.):*

New incremental strategies that could be considered to Mitigate the Risk:

Comments *(Provide any additional explanatory comments deemed to be necessary):*

Probability of Risk
Impact of Risk
Overall Risk
Classification

Appendix C

Instructions for Completing PSEPC Risk Information Sheet

For priorities/strategies/initiatives for which a successful outcome is considered to be at risk, select the most appropriate Category and sub-categories of risk from the following Table:

Categories	Sub-Categories	Examples
Strategic Risks	Political Risk	<ul style="list-style-type: none"> · impact of negative media coverage · not maintaining public service values and ethics
	Culture Risk	<ul style="list-style-type: none"> · failure to set the tone for achieving objectives · inability to adapt to change in a timely manner
	External Risks	<ul style="list-style-type: none"> · environment-related event difficult to anticipate · economic/social changes difficult to anticipate
Operational Risks	Liability Risks	<ul style="list-style-type: none"> · actions fail to consider requirements of laws, regulations and agreements · health, safety and the environment not protected
	Process Risks	<ul style="list-style-type: none"> · processes are inefficient · processing time too long · insufficient capacity – HR or accommodation – for optimum processes
	Integrity Risks	<ul style="list-style-type: none"> · fraud, illegal acts (employee, clients, suppliers) · loss of reputation
	Human Resources Risks	<ul style="list-style-type: none"> · loss of corporate memory · resource allocation not matched to workload
	Information Processing/Technology Risks	<ul style="list-style-type: none"> · infrastructure inadequate · lack of timely, relevant, reliable information
	Financial Risks	<ul style="list-style-type: none"> · accounting errors · mismanagement of contracts or grants and contributions
	Project Risks	Technical Risks
	Development/Implementation Risks	<ul style="list-style-type: none"> · development/implementation process is defective · formality/structure/documentation not commensurate with the scope of project
	Management Risks	<ul style="list-style-type: none"> · inadequate business case for project · project decisions are not based on risk management

Appendix D

For the risks identified, select the most appropriate measure of Probability, Impact and Overall Risk Classification, as defined below, based on your knowledge and evaluation of existing measures/controls:

<p>Probability of Risk</p>	<p>Almost certain - Expected to occur in most circumstances Likely - Will probably occur in most circumstances May - Could occur at some time Unlikely - May occur only in exceptional circumstances Remote - Not expected to occur</p>
<p>Impact of Risk</p>	<p>Note that the evaluation of impact should take any existing controls into consideration.</p> <p>Extreme (EXT) - Would threaten the survival of the program OR Serious impact on strategic / operational objectives OR Extreme political impact and loss of public trust</p> <p>High (HI) - Would threaten the integrity or continued effective function of the program OR Significant impact on strategic / operational objectives OR Significant political impact and significant loss of public trust</p> <p>Medium (MED) - Would not threaten the program, but would mean the program could be subject to significant review or changed ways of operating OR Moderate impact on strategic / operational objectives OR Moderate political impact and moderate loss of public trust</p> <p>Low (LO) - Would threaten the efficiency or effectiveness of some aspect of the program OR Minimal impact on strategic / operational objectives OR Low political impact and minimal loss of public trust</p> <p>Very low (VLO) - The consequences are dealt with by routine operations</p>
<p>Overall Risk Classification</p>	<p>The risk classification is the result of plotting the estimated intersection of impact and probability on a Risk Management Matrix, which can be found on the next page.</p> <p>H = High Risk: Detailed research and management planning required at executive levels</p> <p>S = Significant Risk: Senior management attention required</p> <p>M = Medium Risk: Manage by specific monitoring or response procedures</p> <p>L = Low Risk: Manage by routine procedures</p>

PSEPC – RISK MANAGEMENT MATRIX

**Risk
Management
Matrix**

PROBABILITY

Almost Certain	M	S	H	H	H
Likely	M	S	S	H	H
May	L	M	S	H	H
Unlikely	L	L	M	S	H
Remote	L	L	M	S	S
	VLO	LO	MED	HI	EXT

IMPACT

H = High Risk: Detailed research and management planning required at executive levels

S = Significant Risk: Senior management attention required

M = Medium Risk: Manage by specific monitoring or response procedures

L = Low Risk: Manage by routine procedures

Risk Matrix for the Selection of Contribution Recipients for Audit

Program: _____
 Recipient: _____
 Agreement #: _____
 Analyst's Name: _____
 Date: _____

This audit risk matrix is used to assess the risks relating to the contribution recipients. A rating is assigned to the contribution recipient based on the level of risk identified using the different risk criteria. The recipients with the higher risk ratings are normally selected for audit. Program managers may also decide to select low or moderate risk-rated recipients for audit on a random sample basis.

The results of the risk assessments should be evaluated on an individual program basis as the level of risks may vary between programs. The audit risk matrix should be used as a complement to the program analyst's judgement and not as a substitute.

RECIPIENT	Rating
<p>1. How long has the original signatory recipient been receiving funds from your program? (i.e. The individual or group who signed the agreement or has there been a change; if so, when?)</p> <p style="text-align: center;"> + 5 years 3 years Less than 1 year </p>	
<p>2. How would you rate your program's communication/working relationship with the recipient?</p> <p style="text-align: center;"> Very Good Good Acceptable Poor Not Good </p>	

<p>3. How well has the recipient met the requirements of the contribution agreement in terms of the operational objectives and activities set out in the agreement and with respect to the provision of financial and progress reports?</p> <p style="text-align: center;"> Very Well Moderately Well Not Well </p>	
<p>4. What level is the recipient's administrative capacity to carry out the funded activities and to maintain proper financial records?</p> <p style="text-align: center;"> High Moderate Poor </p>	

CONTRIBUTION	
<p>1. What is the total level of funds given to the recipient by your program each year?</p> <p>(a) For non-cost-shared programs only:</p> <p style="text-align: center;"> \$0 to \$25,000 \$25,000 to \$50,000 \$50,000 to \$75,000 \$75,000 to \$100,000 +\$100,000 </p> <p>(b) For cost-shared programs only:</p> <p style="text-align: center;"> \$0 to \$250,000 \$250,000 to \$500,000 \$500,000 to \$750,000 \$750,000 to \$1,000,000 +\$1,000,000 </p>	
<p>2. What was the level of peer review involved when assessing agreements of the recipient? (i.e. How many people are involved in reviewing the proposal? Is it enough to ensure accountability?)</p> <p style="text-align: center;"> High Good Medium Poor None </p>	

<p>3. If this is on-going funding, how complete is the documentation from last year's program and financial file?</p> <p>N/A Complete Fair Poor No Documentation</p> <p>1 2 3 4 5</p>	
AUDIT	
<p>1. How long has it been since the recipient's last audit with your program or by the department?</p> <p>N/A 1 year 3 years 5 years</p> <p>0 1 2 3 4 5</p>	
<p>2. When faced with a recipient audit, how did the recipient react? (i.e. Has the recipient been receptive to auditors or have the auditors been refused entry?)</p> <p>N/A Positive No Reaction Very Concerned</p> <p>0 1 2 3 4 5</p>	
<p>3. With respect to past audits, what kind of recommendations have been made?</p> <p>N/A Positive Needs Help/Work Immediate Action Required</p> <p>0 1 2 3 4 5</p>	
REPORTING	
<p>1. How complete are the financial and project activity reports? (i.e. Have all your program requirements been met?)</p> <p>Complete Fairly Complete No Information</p> <p>1 2 3 4 5</p>	

OTHER	
<p>1. How is the communication between your program and other parties who are concerned with the performance and results of the recipient? (i.e. Does your program ensure that it has all the information about a recipient before and during the life of the agreement from all parties; other government departments, etc....)</p> <p style="text-align: center;"> Very Good Good Acceptable Poor Not Good ----- ----- ----- ----- 1 2 3 4 5 </p>	
<p>2. What degree of public scrutiny, due either to the nature of activities or the specific program's public profile, will this project be subjected to?</p> <p style="text-align: center;"> Low Moderate High ----- ----- ----- ----- 1 2 3 4 5 </p>	
<p>3. Does the Financial Officer have other concerns regarding the contribution and/or recipient?</p> <p style="text-align: center;"> Not Significant Moderately Significant Significant ----- ----- ----- ----- 1 2 3 4 5 </p>	
<p>4. Does the Program Officer have other concerns regarding the contribution and/or recipient?</p> <p style="text-align: center;"> Not Significant Moderately Significant Significant ----- ----- ----- ----- 1 2 3 4 5 </p>	

Rating Score:

- 1) up to 30: Low Risk**
- 2) 31 to 40: Moderate Risk**
- 3) 41 to 60: High Risk**