

**ALBERTA POLICING  
OVERSIGHT STANDARDS  
FOR  
MUNICIPAL POLICE  
COMMISSIONS**

Alberta Justice and  
Solicitor General  
December 16, 2014

# Alberta Policing Oversight Standards

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## Policing Oversight: Standards

**Branch:** Law Enforcement and Oversight, Policing Oversight and Funding Section and Policing Standards and Audits Section.

**Product/Process:** Police oversight; policy and procedure development; risk management; audit

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# Table of Contents

<b>I.</b>	<b><u>POLICING OVERSIGHT STANDARDS</u></b>	<b>3</b>
<b>II.</b>	<b><u>LEGISLATIVE FRAMEWORK</u></b>	<b>5</b>
<b>III.</b>	<b><u>ROLE OF POLICE IN ALBERTA</u></b>	<b>6</b>
<b>IV.</b>	<b><u>OVERSIGHT OF POLICE SERVICES</u></b>	<b>7</b>
<b>Part I Roles and Responsibilities (RR)</b> ..... 8		
	RR.1 – Establishing a Police Oversight Agency.....	9
	RR.1.1 Police Commission.....	9
	RR.2 – Selecting and Appointing Oversight Agency Members.....	11
	RR 2.1 Cultural diversity.....	11
	RR 2.2 Informing applicants.....	11
	RR 2.3 Security checks.....	12
	RR 2.4 Oath of office.....	12
	RR.3 – Oversight Agency Role.....	13
	RR 3.1 Police Commission responsibilities.....	13
	RR 3.2 Member contact information.....	14
<b>Part II Personnel Administration (PA)</b> ..... 15		
	PA.1 – Education and Training Oversight Agency Members.....	16
	PA 1.1 Member education and training.....	16
	PA.2 – Public Complaint Director.....	17
	PA 2.1 Administering public complaints.....	17
	PA 2.2 Standardized public complaint process.....	17
	PA 2.3 Processes to receive and refer complaints.....	18
	PA 2.4 Access to complaints related information.....	18
	PA 2.5 Complaint statistics and reporting.....	18
	PA 2.6 Reporting to Director of Law Enforcement.....	19
<b>Part III Organizational Management (OM)</b> ..... 20		
	OM.1 - Oversight Agency Structure and Administration.....	21
	OM 1.1 Policies and procedures manual.....	21
	OM.2 – Planning and Reporting of the Oversight Agency.....	22
	OM 2.1 Oversight agency planning.....	22
	OM 2.2 Informing stakeholders.....	22
	OM 2.3 Announcing public meetings.....	23
	OM 2.4 Access to meeting records.....	23
	OM.3 - FINANCIAL MANAGEMENT OF THE OVERSIGHT AGENCY.....	24
	OM 3.1 Financial records.....	24
	OM 3.2 Budgeting processes.....	24
	OM 3.3 Tracking the use of funds.....	25
	OM.4 – RECORDS MANAGEMENT OF THE OVERSIGHT AGENCY.....	26
	OM 4.1 Responsibility for records management.....	26
	OM 4.2 Indexing of records.....	26
	OM 4.3 Record retention.....	26
	OM 4.4 Record and information security.....	27
	OM.5 – MEDIA RELATIONS OF THE OVERSIGHT AGENCY.....	28
	OM 5.1 Release of information.....	28
<b>V.</b>	<b><u>DEFINITIONS</u></b>	<b>29</b>

## POLICING OVERSIGHT STANDARDS

### PREAMBLE

**For ease of understanding and readability the term “oversight agency” throughout this document refers to any police commission as defined in the Alberta *Police Act*.**

The first section in this document relates to the municipality and not the oversight agency. As defined in the Alberta *Police Act*, [Section: 28(1)(2)] it is the municipality’s responsibility to establish a policing oversight agency through bylaw, select and appoint board members, and prescribe the rules governing the operations of the policing oversight agency.

The other standards in this document relate to the oversight agency. These are minimum standards that reflect the legislative requirements under the Alberta *Police Act*.

### STATEMENT

Alberta Justice and Solicitor General will continually review and modify these standards in consultation with policing oversight agencies and the Alberta Association of Police Governance to ensure they accurately reflect appropriate benchmarks.

### AUTHORITY

The Policing Oversight Standards (Standards) were created under the authority of Section 3.1 of the Alberta *Police Act (Act)*.

The Standards were developed in consultation with stakeholders to provide a tool that supports the provision of adequate and effective policing through community input into policing received and oversight of police practice.

### COMPLIANCE

In accordance with the Section 3.1 of the Act, compliance with applicable standards is mandatory. Compliance will be assessed through the Alberta Policing Oversight Standards audit system established under Section 8(2) of the Act.

The Policing Standards and Audits Section (SAS) of Alberta Justice and Solicitor General will conduct compliance reviews to evaluate the structure and function of Alberta’s policing oversight agencies against the Alberta Policing Oversight Standards. The SAS was created under the authority of section 3.1 of the Act and is responsible to the Director of Law Enforcement under section 8(2). Each police oversight body will be audited against the Standards on a 4 year cycle.

Compliance reviews serve two purposes:

- Provide a vehicle that allows the oversight body to demonstrate accountability to the citizens they serve, and;
- Promote a consistent standard of practice among policing oversight agencies throughout the province.

Once the provincial standards are in place, oversight agencies will maintain a set of records—termed compliance files—that demonstrate compliance with the provincial standards. Compliance files consist of folders that contain evidence demonstrating proof of compliance with each standard. The required proof is determined by the nature of the standard. For example, proof of compliance with a standard that requires an agency to have policy related to a practice would be a file that contains a copy of the related policy document. A file that demonstrates compliance with a standard that requires an agency to produce a report (i.e.; business plan; statistical report) must contain a copy of that report.

## POLICING OVERSIGHT STANDARDS

The compliance review would include all or some of the following:

- A tour of oversight agency offices;
- Interviews with members of the oversight agency or other stakeholders; and
- Review of compliance files including supporting documents such as: annual plan, policies and procedures; and reports.

Compliance reviews will be conducted by members of the Alberta Policing Standards and Audits Section and the Manager of Policing Oversight & Funding Programs. In accordance with the established audit cycle an audit team will contact each oversight agency in the province and coordinate dates for the compliance review.

Well in advance of the review date, the Manager of Policing Oversight & Funding Programs will provide the chair and members with a detailed schedule for the review. On the day of the review, the team will meet with the chair or his/her representative to discuss any last minute issues and answer questions. During the review the team will work with the chair/representative to correct any minor issues. When complete the team will conduct an exit interview with the chair/representative to discuss the findings and any recommendations.

As soon as possible after the compliance review, the Manager of Policing Oversight & Funding Programs will forward a draft copy of the compliance report to the chair for review (accuracy). After final edit, the audit team lead will forward a copy of the final report to the chair indicating the standards have been met (i.e. in compliance) and those that have not. The final report will also be forwarded to Mayor and Council

If necessary, the report will include plans to address any standards that have not been met as well as audit team actions to re-evaluate those standards. The report may also include recommendations for the agency to consider for future improvements and compliance.

Upon completion of the compliance review, a Minister-signed certificate will be presented to the oversight agency.

## LEGISLATIVE FRAMEWORK

### PREAMBLE

The *Canadian Charter of Rights and Freedoms* states Canada is founded upon the "rule of law" which essentially means:

- We are governed by public rules made by constitutionally authorized lawmakers;
- We recognize the processes set out in the law; and
- No one is above the law.

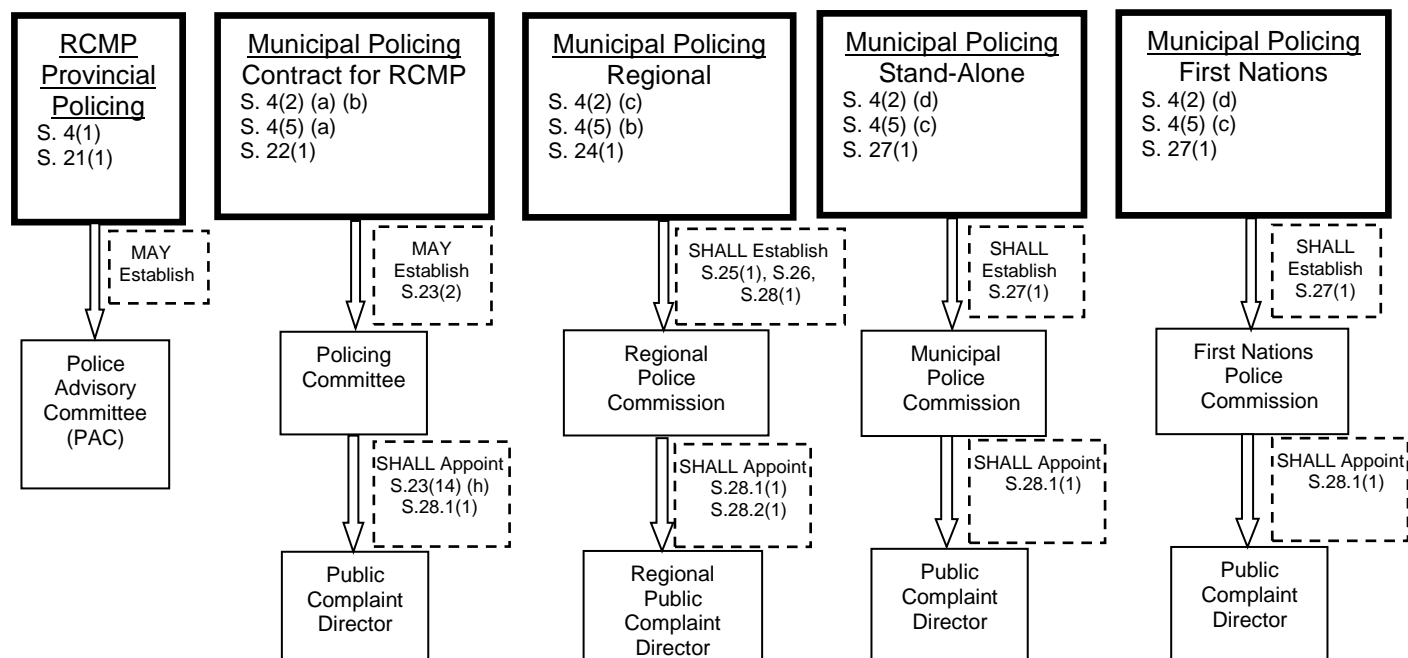
The Charter sets out a variety of legal rights, including this basic one: "Everyone has the right to life, liberty and security of the person and the right not to be deprived thereof except in accordance with the principles of fundamental justice."

Under the Canadian constitution, the responsibility for enacting criminal law rests with the federal government, while responsibility for the administration of justice rests with the provinces. In conducting their duties, the police must ensure their actions are consistent with:

- The provisions of the Charter of Rights and Freedoms;
- Any agreements governing the police service; and
- The provisions of an array of federal and provincial statutes including, for example, those governing freedom of information, protection of privacy and human rights.

### Alberta Police Act

The Alberta *Police Act* mandates the Government of Alberta to ensure adequate and effective policing is maintained throughout Alberta. The *Police Act* sets out requirements and responsibilities of municipalities, police services, police commissions, policing committees, and the Public Complaint Director.



## ROLE OF POLICE IN ALBERTA

### PREAMBLE

The police are responsible to the citizens they serve and for the maintenance of the public peace and the prevention of crime.

- Primary focus: address individual and community concerns about stability and safety that arise from crime, antisocial behaviour and other serious disturbances.

To address concerns police:

- Employ the judicious use of law enforcement;
- Help the community identify and solve problems;
- Enhance community awareness of risk; and
- Develop productive partnerships with groups and organizations in the community to create capacity to solve problems.

As guardians of community stability, police organizations must be seen as legitimate and police members must be trusted.

### DEFINITION OF ADEQUATE AND EFFECTIVE POLICING:

**Adequate** policing is equitable and efficient:

- Equitable: Provides the community specified needed and desired level and standard of service.
- Efficient: Balance community specified needed and desired level and standard of service against the cost.

**Effective** policing meets specified goals developed by community and police:

- Community specified level and standard of service.

**Level of service** - resources available to police:

- Number of members (including civilian specialists) of an agency;
- Availability of members to do work; and
- Facilities and equipment.

**Standard of service** - nature and quality of work provided:

- Staff knowledge, skills and abilities;
- Equipment and specialized resources; and
- Organization oversight (internal): quality of supervision and management; policies/procedures; planning/reporting.

**Role and responsibilities of oversight agencies:**

- Role: Ensure the community receives efficient and effective policing.
- Responsibilities:
  - Oversee the administration of an agreement to provide police services;
  - Represent the interests and concerns of the public and of the council to the chief / officer in charge (OIC);
  - Work with the chief / OIC to develop a yearly plan of priorities and strategies for policing that reflects community and council interests;
  - Monitor the implementation and progress of the police performance against the yearly policing plan;
  - Assist the chief / officer in charge in addressing public complaints;
  - Appoint the public complaint director;
  - Assist in selecting OIC / subject to ratification by Council, appoint the Chief of Police.

## OVERSIGHT OF POLICE SERVICES

### PREAMBLE

A variety of processes are used to oversee police services in Alberta. Along with legislative requirements described in the Alberta *Police Act*, the Alberta Law Enforcement Framework stipulates that law enforcement organizations have forums in place that facilitate meaningful community input into local policing needs and priorities; and that they have credible oversight mechanisms for addressing concerns regarding the conduct of law enforcement personnel.

- Strategic Direction 7: All Alberta municipalities will have adequate, transparent and meaningful community input into local policing needs and priorities.
- Strategic Direction 8: The police public complaint process will be responsive and timely thereby enhancing oversight to Alberta police officers and police services.

### STATEMENT

#### 1. Provincial Police Service

The Province provides policing services to every municipal district and Métis settlement, as well as towns, villages and summer villages that have populations not greater than 5,000. The Province provides this through the RCMP Provincial Police Service Agreement. Oversight agencies for provincial police services may be established by council and are to be called Police Advisory Committees (PACs).

#### 2. Municipal Police Services

Municipalities that have populations greater than 5,000 must assume responsibility for establishing and maintaining their own police service. The *Police Act* provides the following options for municipal policing:

##### **a) RCMP Municipal Police Service Agreement**

Contract with the federal or provincial government or another municipality for the provision of policing services which typically involves entering into agreement with the RCMP. A municipality that has entered into an agreement with the Government of Alberta or Canada to provide municipal policing by the RCMP **may** establish a policing committee as an oversight agency.

##### **b) Stand-alone Municipal Police Services**

Establish a stand-alone municipal police service. A municipality that has established a stand-alone municipal police service **shall** also establish a municipal police commission as an oversight agency.

##### **c) Regional Police Services**

The *Police Act* allows for councils of two or more municipalities to enter into an agreement to be policed by one regional police service. Municipalities that have established a regional police service **shall** also establish a regional police commission as an oversight agency.

#### 3. First Nations Police Services

The RCMP provides policing services to most of Alberta's First Nations communities. Some First Nations communities have, however, made other policing arrangements through agreements with the provincial and federal governments. These are typically through a Tripartite Agreement or a Community Tripartite Agreement.

These agreements provide for the establishment of stand-alone First Nation police services, which **shall** be overseen by a First Nation police commission as the oversight agency. The responsibilities of the commission, which are defined in the Tripartite Policing Agreement, mirror those found in the *Police Act* for the establishment of a municipal police commission.



Part I

Roles and Responsibilities (RR)

## ROLES AND RESPONSIBILITIES (RR)

### RR.1 – Establishing a Police Oversight Agency

#### PREAMBLE

Although the *Police Act* assigns the Minister responsibility for ensuring that policing is adequate and effective, it also requires governing bodies to oversee the policing provided to their citizens. Albertans expect their police services to be accountable and to operate with integrity, fairness and transparency.

The core principles for oversight of policing in Alberta are:

- The participation of the public in determining the priorities of the police service is essential;
- The police service must be accountable to the public; and
- The police service must operate in the absence of political influence.

#### STATEMENT

Pursuant to the *Police Act* and to guidance provided in the Alberta Law Enforcement Framework (2010), local governing bodies should establish a police oversight body that will facilitate meaningful community input into local policing needs and provide credible mechanisms to address concerns regarding the conduct of law enforcement personnel.

The *Police Act* allows for the creation of one of three types of oversight bodies based on the relationship between the local government and the means by which the law enforcement agency is funded. Oversight body types are described in the following sections of the *Act*.

- Policing Committees: Section 23(1) (RCMP municipal service only)
- Police Commission: Sections 25(1) and 28(1) (independent municipal police service, regional police service and First Nations police service)

#### RR.1.1 Police Commission

Municipalities that have established a Regional, Stand-Alone, or First Nations municipal police service, **shall**, via resolution/bylaw, establish a police commission in accordance with the provisions of the Alberta *Police Act*. The bylaw or policy shall:

- a. Prescribe the rules governing the operation of the police commission;
- b. Describe how members of the police commission are appointed;
- c. Outline number of, and any special considerations of members (non-voting, council representatives, youth representatives, other organizations etc.);
- d. Describe the length of board member appointments;
- e. Describe procedures for resignations and removal of members;
- f. If applicable, describe how any remuneration/gratuity/allowance to members of the police commission is provided.
- g. All persons appointed to the police commission take the Oath (Schedule 1 found in the *Police Act*).

## POLICING OVERSIGHT STANDARDS

### Compliance:

Bylaw that includes all items listed above (*a to f*), or relevant sections of the police commission's policy (*g* is under R.R.2.4)

### Verification:

- Copy of signed and dated bylaw

## **RR.2 – Selecting and Appointing Oversight Agency Members**

### **PREAMBLE**

Once a municipal police service has been established, the second requirement is an oversight agency that will oversee the police service. To fulfill this requirement, the municipality **shall** select and appoint qualified oversight agency members through a process sensitive to the principles of openness and equity.

### **STATEMENT**

Although recruiting board members is the responsibility of the municipality, it is the oversight agency that will provide proof of compliance for this process. It is expected that the oversight agency will be aware of the municipality's board member selection and appointment process for auditing and compliance purposes.

#### **RR 2.1 Cultural diversity**

The municipality shall have a selection and appointment strategy in place that considers the cultural diversity of the community.

Compliance: Recruitment strategy/policy

Verification:

- Volunteer position description, newspaper advert, pamphlet or equivalent
- Evidence of the recruitment process used

#### **RR 2.2 Informing applicants**

The municipality shall, at the time of application, provide written information to applicants about the application process as well as details of the time and workload commitments required for fulfilling the duties of the oversight position.

Compliance: Sample copy of application information package or position description

Verification:

- Position advertisement / package
- Evidence of the application process

## POLICING OVERSIGHT STANDARDS

### RR 2.3 Security checks

The municipality shall conduct a background check/security clearance of each successful candidate (including those appointed as a member of the council or an employees of the municipality) before confirmation of his/her appointment to the oversight agency, including at a minimum:

- a. Criminal record check;
- b. Character / Reference checks;
- c. Interview of applicant (including an assessment of overall suitability)
- d. PCD shall receive an Enhanced Security Clearance (RCMP or municipal equivalent)

Compliance: Position advertisement stating a security check will be undertaken

Verification:

- Blank copy of the criminal records check application form/package
- Proof that the various security checks were completed as required
- Proof of enhanced security clearance for the PCD

### RR 2.4 Oath of office

Pursuant to the *Police Act*, upon appointment, successful applicants shall:

- a. **Take the Oath of Office**; and receive the following:
- b. The Alberta *Police Act* and the *Police Service Regulation*;
- c. A Conduct/Ethics policy that the oversight agency will follow; and
- d. The oversight agency's policy manual.

Compliance: Signed Oath of Office and signed Conduct/Ethics policy

Verification:

- Sample copy of a signed and dated Oath of Office
- Sample copy of a signed and dated Conduct/Ethics form
- Member orientation handbook or equivalent

### **RR.3 – Oversight Agency Role**

#### **PREAMBLE**

The delicate balance between the independence and authority of law enforcement on one hand, and their accountability to the public and the civilian authority, on the other, is a vital part of our democratic society. Oversight and governing bodies need to strike this balance between police independence to conduct investigations and maintain order without undue political or other influence, with the need for accountability to the public.

Policing oversight agencies in Alberta are required to ensure efficient and effective policing and provide a local mechanism for receiving and monitoring public complaints against the police service.

#### **STATEMENT**

This standard is intended to ensure that the role, responsibilities and expectations of the oversight agency, the municipality, the municipal police service and the community are met.

#### **RR 3.1 Police Commission responsibilities**

The oversight agency shall elect, from amongst its members, a Chair and one or more Vice-Chairs. Additionally the oversight agency shall, carry out its responsibilities as follows:

- a. Elect, from amongst its members, a Chair and one or more Vice Chairs;
- b. In consultation with the Chief of Police produce an estimated budget and yearly plan specifying the level of police service and programs to be provided in respect of the municipality, and shall submit those estimates and plans to the council;
- c. Allocate and monitor the budgeted funds that are provided by council;
- d. Assist the Chief of Police in establishing policies providing for efficient and effective policing;
- e. Issue instructions, as necessary, to the Chief of Police in respect of the established policies;
- f. Ensure that sufficient persons are employed for the police service to carry out its functions;
- g. Appoint a Chief of Police, subject to the ratification of the municipal council; and
- h. Appoint a Public Complaint Director to fulfil the duties set out in the *Police Act*.

Compliance: Policy Manual

Verification:

- Oversight Agency Policy and Procedures manual
- Documentation regarding the election of the Chair and Vice Chair (meeting minutes)
- Copy of the Police Service Annual Plan and budget or equivalent and evidence that those were submitted to council
- Board Member interviews and observation for knowledge of commission duties, attendance and participation in meetings, identifying community needs, bringing issues forward, understanding of police commission goals and objectives, etc.

## POLICING OVERSIGHT STANDARDS

### **RR 3.2 Member contact information**

For good business practice, the oversight agency should maintain current membership contact information of its members. Suggested contact information as follows:

Name	Home Address	Phone Number	Email Address	Term (commencement & expiry)	Position (if held)
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Compliance: Policy

Verification: Copy of current Membership list

Part II

Personnel Administration (PA)



## PERSONNEL ADMINISTRATION (PA)

### PA.1 – Education and Training Oversight Agency Members

#### PREAMBLE

Oversight agency members shall be supported by formal and informal training and professional development. This training should begin on appointment and continue throughout the oversight agency member's term.

#### STATEMENT

This standard addresses the minimum requirements for maintaining predictable and consistent competency development in policing oversight in Alberta. A training plan provides for regular education and training regarding developments in legislation and policy and should not limit any oversight agency from designing, delivering or participating in enhanced training to meet the needs of the community they serve.

At a minimum, members must be familiar with the oversight agency's policy manual that includes policies for these policing oversight standards (see OM1.1).

#### PA 1.1 Member education and training

The oversight agency shall provide education and training that meets the needs of its members. Suggested inclusions are:

- a. Policing oversight and complaints in Alberta (Justice and Solicitor General)
- b. Legislated roles and responsibilities (*Police Act*)
- c. Public complaints process and provincial reporting – in general
- d. Provincial policing oversight standards
- e. Orientation to Professional Standards Branch/Section

**Compliance: Education/training policy and/or new member orientation manual**

**Verification:**

- Policy and/or member orientation manual
- Sample copy of a training plan
- A record of training completed by members
- Member interviews and observation for knowledge of oversight duties (i.e. good understanding of the role of the oversight agency, how the agency functions, and any particular job functions)

## **PA.2 – Public Complaint Director**

### **PREAMBLE**

Albertans need equitable access to oversight mechanisms and processes that ensure timely and transparent investigation of public complaints regarding police conduct. Police services in Alberta are required to thoroughly and promptly investigate complaints relating to officer conduct, service delivery and/or policy. When a complaint is made, police services are to fully inform all affected parties, on an ongoing basis, as to the status of the complaint investigation.

### **STATEMENT**

Police Commissions in Alberta **shall appoint a Public Complaint Director (PCD) or Regional Public Complaint Director (RPCD)** to receive complaints and monitor complaint investigations as they proceed through the complaint process. The R/PCD shall offer a dispute resolution process to resolve matters if appropriate.

#### **PA 2.1 Administering public complaints**

The oversight agency policy for the administration and review of complaints shall comply with the Alberta *Police Act* and ensure the R/PCD meets the requirements established within the Policing Oversight Standards.

**Compliance: Policy and Procedure**

**Verification:**

- Oversight Agency policy & procedure for the administration and review of public complaints

#### **PA 2.2 Standardized public complaint process**

The R/PCD shall be familiar with complaint processes within the province and ensure the information provided by the police service or material approved by the Provincial Public Complaint Director to explain the complaint process to the public is made available.

**Compliance: Policy and Procedure**

**Verification:**

- Oversight Agency policy
- Website, pamphlets, brochures, handouts, forms etc. detailing the police complaints process
- PCD interview for knowledge of the complaints process and their specific duties

### PA 2.3 Processes to receive and refer complaints

The oversight agency shall have clearly defined processes to receive and refer a public complaint to the police service for investigation. This includes consideration and offer of alternative dispute resolution (ADR) rather than a formal investigation, if applicable (when both parties consent to ADR).

Compliance: Policy and Procedure

Verification:

- Oversight Agency policy
- Blank police complaint form or equivalent
- PCD interview for knowledge of the complaints process and the ADR process if considered/used

### PA 2.4 Access to complaints related information

The R/PCD shall have access to records pertaining to complaints and citizen contacts. Records include those in hard copy and those contained in real time in the complaint/professional standards database (IAPro). Records shall include, but are not limited to, the following information:

- a. Pertinent dates,
- b. Timelines,
- c. Allegations,
- d. Findings,
- e. Dispositions, and
- f. Status of all complaints whether brought directly to the R/PCD or arriving directly through the police service.

Compliance: Policy and Procedure

Verification:

- Oversight Agency policy
- Proof of access to the police complaints database (IAPro), or
- Evidence that PCD has access to a report of all public complaints received and an organized system for tracking/monitoring public complaints

### PA 2.5 Complaint statistics and reporting

The oversight agency shall receive a summary report of public complaints and their current status (i.e. complaints received directly by the R/PCD or by the police service). The oversight agency shall submit annual complaints statistics to the municipality, and made available to the public (i.e. website, commission meetings, quarterly reporting).

Compliance: Policy and Procedure

## POLICING OVERSIGHT STANDARDS

### Verification:

- Evidence that PCD has access to a summary report of all public complaints received (either directly (IAPro) or through the police service)
- Sample copy of complaint statistics provided to the oversight agency
- Sample copy of complaint statistics made available to the public and municipality

### **PA 2.6 Reporting to Director of Law Enforcement**

The oversight agency shall have a prescribed procedure in place to meet reporting requirements to the Director of Law Enforcement pursuant to Section 52 of the *Police Act*.

### Compliance: Policy and Procedure

### Verification:

- Oversight Agency policy
- Copy of a standardized Complaint Report (IAPro output) provided to the Director of Law Enforcement

Part III

Organizational Management (OM)

## ORGANIZATIONAL MANAGEMENT (OM)

### OM.1 - Oversight Agency Structure and Administration

#### PREAMBLE

The oversight agency shall operate efficiently and effectively and in the best interests of the community it represents. All members and personnel must have a clear understanding of their authority in carrying out their duties in accordance with legislation, regulations, written policy, and procedures.

#### STATEMENT

These standards are intended to ensure the oversight agency establishes a formal structure to organize, define, direct and coordinate its duties.

#### OM 1.1 Policies and procedures manual

The oversight agency shall have a written policy and procedures manual addressing provincial oversight standards that includes, at a minimum, the following sections:

- |  |   |
|--|---|
| a. Intent of the Policy/Procedural Manual                      | i. Police Commission/Policing Committee Yearly Plan of Objectives     |
| b. Legislative Obligations of the Oversight Agency             | j. Police Commission/Policing Committee Yearly Report of Achievements |
| c. Role and Responsibilities of Oversight Members              | k. Oversight Member Remuneration (if any)                             |
| d. Roles and Responsibilities of Chair and Vice-Chair          | l. Financial Management   |
| e. Roles and Responsibilities of the Public Complaint Director | m. Records Management   |
| f. Orientation and Training of New Members                     | n. Communication and Media Relations                                  |
| g. Public Complaints Process                                   |   |
| h. Conduct/Ethics and Conflict of Interest                     |   |

#### Compliance: Policy and Procedure Manual

#### Verification:

- Copy of policy and procedure manual with indication of review/production within the last 3 years (maximum)

## **OM.2 – Planning and Reporting of the Oversight Agency**

### **PREAMBLE**

Planning and reporting processes are essential for effective management. The oversight agency needs to operate openly and transparently as an organization. One way to achieve this is to have clearly written goals and objectives documented in strategic plan, as well as mechanisms in place for reporting achievements to its stakeholders.

### **STATEMENT**

The strategic plan should be reviewed annually and updated and appropriate. Timely and accurate information must be shared with all stakeholders, including the public, regarding the business of the oversight agency and the goals set out in their plan.

#### **OM 2.1 Oversight agency planning**

The oversight agency may, each year, set priorities for themselves as a Board. The oversight agency shall:

- a. Set annual goals and objectives for the oversight agency; and
- b. Communicate those annual goals and objectives to the Municipality and Chief of Police

**Compliance: Policy and Procedure**

**Verification:**

- Copy of the Oversight Agency's strategic plan endorsed by the oversight agency
- Evidence that the Oversight Agency's yearly plan has been communicated to the Municipality and the Chief of Police

#### **OM 2.2 Informing stakeholders**

The oversight agency shall have a mechanism for reporting its achievements to its stakeholders. The oversight agency shall produce a report of its accomplishments during the previous year relating to the goals set out in their plan (i.e. quarterly updates, annual reports or equivalents).

**Compliance: Policy and Procedure**

**Verification:**

- Copy of the document outlining the oversight agency's yearly accomplishments
- Evidence that the oversight agency's accomplishments have been communicated to the Municipality, the Chief of Police and the Community (i.e. website or equivalent)

### **OM 2.3 Announcing public meetings**

The oversight agency shall make available to the public a meeting schedule, clearly identifying where and when policing oversight meetings will take place.

Compliance: Policy and Procedure

Verification:

- Evidence that the meeting schedule has been communicated to the public (i.e. website or equivalent)

### **OM 2.4 Access to meeting records**

The oversight agency shall make available to the public (respecting *Freedom of Information and Protection of Privacy* guidelines) records of meetings including:

- a. Agenda;
- b. Minutes; and
- c. Supplementary material from the meeting (non-confidential).

Compliance: Policy and Procedure

Verification:

- Evidence that the above documents are made available to the public (i.e. website or equivalent)



## **OM.3 - FINANCIAL MANAGEMENT OF THE OVERSIGHT AGENCY**

### **PREAMBLE**

The oversight agency shall have an accounting system that is compatible with, or a part of, the central accounting system of the governing jurisdiction. (for managing the oversight agency's budget, if applicable)

### **STATEMENT**

Using generally accepted accounting principles, formal financial control procedures establish authority and responsibility, and they alert the agency to problems that may require remedial action.

#### **OM 3.1 Financial records**

The oversight agency shall, as required, have an accounting system that complies with generally accepted accounting principles. This shall be confirmed through yearly financial audits of the oversight agency's budget.

Compliance: Policy and Procedure

Verification:

- Copy of annual financial audit report cover letter
- Alternatively, a signed letter from the Director of Finance, responsible for the central accounting system verifying that generally accepted accounting principles are being followed by the oversight agency.

#### **OM 3.2 Budgeting processes**

The oversight agency shall have a written policy that describes its own budgeting process and responsibilities for budget preparation, fiscal management and how financial audits are handled. The policy shall also describe a process for making the oversight agency's budget and audit information available to the public.

Compliance: Policy and Procedure

Verification:

- Completed audit reports (internal and external)
- Any dated documents by which the oversight agency's financial information is made available to the public

### **OM 3.3 Tracking the use of funds**

The oversight agency shall have written policies that address procedures for handling funds, including honoraria (as they exist) and reimbursement of expenses for its members.

Compliance: Policy and Procedure

Verification:

- Copy of audited financial statements outlining honoraria and/or expense reimbursement to members

## **OM.4 – RECORDS MANAGEMENT OF THE OVERSIGHT AGENCY**

### **PREAMBLE**

To meet management and information needs, the oversight agency should have a system in place for keeping records well organized and easily retrievable. Privacy and security precautions shall be in accordance with any relevant policy and/or relevant legislation (i.e. FOIP and Records Management). It is acceptable for the oversight agency to utilize the City's administration office records management system, providing it is easily accessible.

### **STATEMENT**

The records management system shall be designed to ensure access to the records as well as proper control, storage, retrieval, security and disposition of records.

#### **OM 4.1 Responsibility for records management**

The oversight agency shall have written policies that address responsibility and procedures for the records management function.

Compliance: Policy and Procedure

Verification:

- Observation of the oversight agency's record management system

#### **OM 4.2 Indexing of records**

All records shall be indexed for quick retrieval.

Compliance: Policy and Procedure

Verification:

- Observation of the oversight agency's record management system

#### **OM 4.3 Record retention**

The oversight agency shall have written policies that address schedules for records retention.

Compliance: Policy and Procedure

Verification:

- Observation of the oversight agency's record management system

#### **OM 4.4 Record and information security**

The oversight agency shall have written policies that address document security in particular *Freedom of Information and Protection of Privacy Act* adherence.

Compliance: Policy and Procedure

Verification:

- Observation of the oversight agency's record management system

## **OM.5 – MEDIA RELATIONS OF THE OVERSIGHT AGENCY**

### **PREAMBLE**

Oversight agencies shall establish a positive and open working relationship with the media.

### **STATEMENT**

Guidelines are needed to ensure a balance between the public's right to be informed and the police service's need to manage information that affects police investigations. The oversight agency shall determine who is responsible for interacting with the media.

### **OM 5.1 Release of information**

The oversight agency shall have a policy that governs the release of information, such as, who, what and when information can be released to the media and public.

**Compliance: Policy and Procedure**

**Verification:**

- **Copies of any publicly released information**

# DEFINITIONS

## **Adequate and Effective Policing:**

Adequate means policing is equitable and efficient:

- Equitable: Provides the community specified needed and desired level, and standard of service.
- Efficient: Balancing community specified needed and desired level, and standard of service against the cost.

Effective means policing meets specified goals developed by the community and police:

- Community specified level and standard of service.

## **Compliance:**

Conformity and adherence to policies, plans, procedures, laws, regulations and contracts or other requirements.

## **CPIC:**

Canadian Police Information Centre, a computerized police information database.

## **Efficient and Effective:**

Efficient: Balancing community specified needed and desired level, and standard of service against the cost.

Effective: Policing meets specified goals developed by the community and police.

## **May:**

Shall be construed as permissive and empowering (not mandatory).

## **Ministry:**

The ministry of Alberta Justice and Solicitor General.

## **Municipal District (M.D.):**

A municipal district, also called a county, is a government form in rural areas of the province.

## **Municipalities:**

A general term used in this document for all areas – Municipal District, Urban Municipality, Rural Municipality, or a Specialized Municipality.

## **Oversight Agency:**

A term used in this document for all police commissions, policing committees or an RCMP Police Advisory Committee.

## **Police Advisory Committee (PAC):**

Similar to policing committees, to ensure policing priorities are captured and oversight mechanisms are in place.

## **Police Commission:**

Provides oversight, and governs the municipal police service. Police Commissions are mandatory for independent municipal police services (i.e. Regional, Stand-Alone, First Nations).

**Police Service:**

A police service is any of the following:

- 1) the provincial police service (e.g. *the RCMP*).
- 2) a regional police service (e.g. *Lethbridge Regional Police Service*).
- 3) a municipal police service (e.g. *Calgary Police Service, Edmonton Police Service or under a Municipal Police Service Agreement - Airdrie RCMP*).
- 4) a First Nation police service established under an agreement (e.g. *Blood Tribe Police Service*).

**Policing Committee:**

Established by council, provides oversight of policing for municipalities that contract for RCMP municipal policing. Committees are not mandatory.

**Policy:**

A printed or electronic guiding principle or course of action developed to provide direction and ensure compliance with a standard.

**Province:**

The Government of Alberta.

**Public Complaint Director (PCD):**

A person designated by the oversight agency to assist with, and receive complaints about the police service from the public.

**Rural Municipality:**

A municipal district/county, Métis settlement, or an area of a specialized municipality.

**Shall:**

Is to be interpreted as mandatory.

**Specialized Municipality:**

Specialized municipalities are unique municipal structures that allow urban and rural communities to coexist in a single municipal government.

**Standard:**

A rule or measure, as directed by the Government of Alberta.

**Urban Municipality:**

A city, town, village, summer village or urban service area of a specialized municipality.