



Office of the Auditor General/ Bureau du vérificateur général

AUDIT OF STAFFING

2007

Chapter 5

VÉRIFICATION DE DOTATION EN PERSONNEL

2007

Chapitre 5

Table of Contents

EXECUTIVE SUMMARY	i
RÉSUMÉ	xvii
1 INTRODUCTION.....	1
2 BACKGROUND.....	1
3 AUDIT OBJECTIVES AND CRITERIA	3
4 AUDIT SCOPE AND APPROACH	3
5 DETAILED FINDINGS AND RECOMMENDATIONS.....	5
5.1 Accountability	5
5.2 Recruitment and Staffing.....	8
5.3 Reclassifications	33
6 CONCLUSION	38
7 ACKNOWLEDGEMENT.....	39

EXECUTIVE SUMMARY

Introduction

The Audit of Staffing was included as part of the 2007 Audit Plan first presented to City Council on December 15, 2004.

Background

The City of Ottawa is a large organization, with four major departments. In 2006, the Community and Protective Services Department (CPS) was the largest with over 8,200 employees while the other three large departments were Corporate Services (CS), Planning and Growth Management (PGM) as well as Public Works and Services (PWS) who each had over 2,000 employees. As at December 31st, 2006, the City employed approximately 17,000 employees. The structure was subsequently revised.

The Employee Services Branch (ES) provides human resources (HR) services throughout the City of Ottawa except in the case of the Ottawa Police Service who have their own human resources team. The Employee Services Branch is currently within the Business Transformation Services Department and has approximately 200 employees working within six centralized divisions: Health and Safety; Staffing and Client Relations; Labour Relations and Human Rights & Employment Equity (HREE); Payroll; Compensation and Benefits as well as Planning and Development.

Legislation, 13 collective agreements and various human resources policies, procedures and guidelines are the underpinning of human resources activities. Given its size, amalgamation, and the various operations conducted by the City, human resources activities are numerous and complex. In this regard, this particular audit focused on staffing and reclassifications.

Audit Objectives

Audit Objective #1:

Determine whether staffing, recruitment and reclassification policies and procedures are in place and, if so, whether actual processes and practices are compliant with them.

Audit Objective #2:

Determine if roles, responsibilities, delegated authorities and accountabilities of management and human resources with respect to the functions are clear, consistent, well understood, properly executed and adequate for the functions being audited.

Audit Scope and Approach

During the course of this audit, staffing and reclassification activities were the focus of the examination. A sample of files relating to competitions, reclassifications,

recruitment by external executive search firms, large recruitment campaigns and related policies, procedures and guidelines were reviewed.

We randomly selected 50 staffing and 50 reclassification files from 2006 for review, proportionate to the usage of the departments. In addition, one file from the 2006 Bus Operator Recruitment Campaign, as well as files relating to the 2005-2006 standing offer managed by an external executive search firm were examined.

Respective policies, procedures, and guidelines were also reviewed.

Summary of Key Findings and Recommendations

Accountability

Human Resources Framework

Generally accepted management principles require that an organization have a human resources strategy or plan in place, and that this statement of overall direction be supported by more detailed planning documents and a comprehensive set of policies and procedures.

The City of Ottawa does not have a comprehensive human resources strategy that identifies future directions linked to business requirements. The 2006 Human Resources Plan outlines full time equivalent (FTE) changes from 2000 to 2006 and projections for 2007, but does not encompass environmental scans nor does it identify anticipated gaps, priorities and strategies linked to business priorities and challenges. We have identified the lack of comprehensive strategy in some of our other audits, such as our audits of building services, fleet, financial control environment, food inspections and surface operations.

In terms of policies and procedures, the City has a number of human resources policy documents relating to various areas that are available both in hard copy as well as accessible to City employees via the intranet. Guidelines, procedures, forms and checklists also support City policies. These are sufficient but there are no controls in place to ensure that they are followed and adhered to by hiring managers.

Accountability and delegation

In the existing system, accountability is shared between Employee Services Branch and the hiring managers. There needs to be a shift in culture to restore accountability to the hiring manager and for Employee Services Branch to take a greater role in the elaboration of HR strategies, plans, training, monitoring, reporting and oversight.

The role of Employee Services would be to encourage and safeguard the highest standards of integrity, risk management, and internal control and oversight. At this

stage, it is focusing on transactions and providing advice, which is not necessarily taken.

Employee Services Branch has to undertake a process of redefining the primary role of the HR function away from processing transactions to more of a strategic advisory role to hiring managers and increasing its compliance role. Hiring managers would therefore assume more responsibility and accountability for functions such as staffing and reclassifications.

The organization is currently looking at implementing a process for delegation of authority for staffing actions. Inasmuch as there is a need to complete the delegation of authority, there will be a greater need to ensure that formal or mandatory training is implemented to ensure that hiring managers possess the required information in order to effectively and efficiently deal with human resources activities while ensuring transparency and fairness.

Recommendation 1

That Employee Services enhance its management framework and practices by developing an integrated planning framework which would define an overall HR strategy for the HR function and from which would emanate a true HR plan linked to business priorities as well as implement control mechanisms to ensure that policies, procedures and guidelines are respected by hiring managers.

Management Response

Management agrees with this recommendation.

Employee Services is developing a Talent Management Strategy, which addresses departmental needs, succession planning, recruitment, retention, and employee development. The strategy is being developed in consultation with client departments and will provide the framework for an integrated business approach to address current and future HR needs of the City of Ottawa. The strategy will be presented to the Executive Management Committee (EMC) in Q1 2008. In addition, Employee Services will start reporting staffing anomalies to department heads, including non-compliance along with recommended courses of action, by the end of Q2 2008.

Recommendation 2

That Employee Services implement a framework in support of increased delegations, designed in such a way as to improve the efficiency of HR services while preserving its integrity through appropriate control mechanisms. In order to be able to staff positions, appropriate delegation of authority and training should be provided to hiring managers. Delegated authority should be removed from those hiring managers who do not adhere to staffing policies, guidelines or provisions outlined in the collective agreement.

Management Response

Management agrees with this recommendation.

Employee Services is in the process of reviewing and clarifying the role of the hiring manager and respective delegated authorities and accountabilities. Once the roles are clarified, a control framework will be implemented and training will be provided to hiring managers regarding staffing policies, guidelines and provisions contained in collective agreements. These actions will be completed by the end of Q2 2008.

Control framework will include a reporting process to department heads by the end of Q2 2008 that addresses non-compliance along with recommended courses of action that may include the removal of delegated hiring authority.

Performance indicators

Regular statistical information and reports are provided to the Executive Management Committee (EMC) either as presentations, updates, reports or via the scorecard. The information currently focuses on metrics such as the average overtime hours taken by employee, average sick leave hours, number of Workplace Safety Insurance Board (WSIB) claims, number of outstanding grievances, number of job ratings completed, etc. Inasmuch as there is a significant amount of data provided to EMC, there are no human resources targets, goals or risks identified. The "scorecard" is a repository of volumetric information and is a good tool to track and report on volumes, but it has very little performance measure of goals and overall key targets.

Recommendation 3

That Employee Services focus on reporting in an integrated fashion on high level projects, strategies and plans with targets and risks in order to establish performance indicators for key priorities for the HR function.

Management Response

Management agrees with this recommendation.

Employee Services provides volumetric information to management including EMC, and has started to provide more in-depth analysis on key indicators, such as excess vacation leave and uncertified sick leave. Employee Services also provides detailed reporting and analysis at the department and branch level for several measures, such as Workers Safety Insurance Board (WSIB) and Employee Assistance Program (EAP). Employee Services participates in various benchmarking initiatives, such as the Ontario Municipal Benchmarking Initiative (OMBI), and the Human Resource Benchmarking Network (HRBN). These surveys provide pertinent comparators, and future scorecards will be updated, based on management requirements, to provide more relevant measures with comparisons to benchmarked performance.

Performance reporting on high-level Human Resource projects, strategies and plans will be provided to EMC on a quarterly basis.

Monitoring and reporting

Monitoring is done through day-to-day activity and the current method of resolving a difference of opinion between HR and the hiring manager is often to escalate to the next level of management for a decision.

There is currently no means to make senior management aware of the risks involved as a result of hiring managers and others not following human resources advice and not adhering to established staffing policies and guidelines.

In addition, there is neither monitoring of nor consequences to hiring managers who do not adhere to policies, procedures and guidelines.

Recommendation 4

That Employee Services establish a better monitoring and controlling process to reinforce the requirement to follow expected procedures and establish clear accountability. This would include having a mechanism to escalate the reporting of anomalies, discrepancies or blatant disregard for the staffing policy in order for EMC to be made aware of those situations and to ensure that action is taken.

Management Response

Management agrees with this recommendation.

Employee Services currently escalates staffing anomalies to senior management prior to processing the final staffing action. Employee Services will start reporting staffing anomalies to department heads including non-compliance along with recommended courses of action, by the end of Q2 2008.

Recruitment and Staffing

In order to recruit and maintain a highly competent, qualified and diversified workforce, it is imperative that the City have policies, procedures, and guidelines in this regard and that it ensures that management and Employee Services are well aware of their roles and responsibility to maintain fairness, transparency and equity.

Staffing and Recruitment Policies, Procedures and Guidelines

In general, there are ample policies, procedures and guidelines for recruitment and staffing activities. Policies and guidelines are posted on the City's intranet while the latter are also incorporated within the Guidelines and Procedures Handbook.

Having said this, there are minimal provisions to guide staffing activities to fill vacancies within the Management Professional Exempt (MPE) group and the language incorporated in the terms and conditions of the Supervisory and Administrative Support (SAS) group is limited to "paralleling those of Canadian Union of Public Employees (CUPE) Local 503 Inside/Outside collective agreement".

Recommendation 5

That Employee Services develop and implement staffing directives and guidelines to govern staffing activities for MPE and SAS vacancies.

Management Response

Management agrees with this recommendation.

Employee Services will develop and implement staffing directives and guidelines to govern staffing activities for Management Professional Exempt (MPE) and Supervisory and Administrative Support SAS vacancies by the end of Q2 2008.

Hiring and Employment of Family Members Policy

The City has in place a “Hiring and Employment of Family Members Policy” to ensure that employment related decisions concerning existing or potential City employees are free from any real or perceived improper influence based on familial relationships and to maintain public confidence in the integrity of the City’s hiring and employment practices.

Inasmuch as the purpose is broad, the actual definition of “family” in the policy is limited to child, parent, and spouse, but excludes brothers, sisters, and in-laws. In addition, the only working relationship which is prohibited is a “direct reporting relationship” whereby a family member has authority to approve or deny increments, overtime or negotiate salary level, conduct performance appraisals, administer discipline or direct work assignments. We have found instances where family members are in the same unit, but may not report directly to each other, or may report indirectly to each other.

Student Hiring and Family Members

Children of City employees undoubtedly have more opportunities to work at the City, as they are more likely to be aware of the dates of recruitment campaigns and the requirements of the City. It is not uncommon for children of City employees to work at the City nor is it prohibited by the policy.

While general responsibility for assuring adherence to the policy must rest with those responsible for appointment and assignments, a particular responsibility for sensitivity to the potential conflicts falls on family members to report any perceived conflict.

Recommendation 6

That Employee Services review the policy “definitions” to include a broader definition of “family”. Once the policy is modified, ensure appropriate communication strategy to clearly explain to all hiring managers and employees the importance of being free from any real or perceived improper influence based on familial relationships in order to maintain public confidence in the integrity of the City’s hiring and employment practices. Family members in existing direct reporting relationships should be reassigned.

Management Response

Management disagrees with this recommendation.

The City's Hiring and Employment of Family Members Policy was passed by Council in September 2003 so as to be in compliance with a statutory requirement for municipalities to enact a Hiring Policy.

Considerable debate occurred surrounding the issue of defining which family relatives should be addressed in the policy. To a large degree, the discussion centered on whether siblings should be included; however, a motion to include siblings was defeated on a vote by Council. Part of the concern expressed was that a broader definition of "family" may run afoul of the provincial or federal Human Rights Codes as well as the Charter of Rights and Freedoms.

In the end, Council adopted the same language to define "family" as is used in two pieces of provincial legislation, the Municipal Conflict of Interest Act and the Police Services Act. This definition includes parents, spouse and children, only, and is sufficient to satisfy the statutory requirement on Council.

Although the definition of "immediate family" is limited to parents, spouse and children, the City's Policy does provide a sufficient amount of flexibility within which any individual employee or member of Council could self-disclose based on their own, broader interpretation of family.

Family Members and the Selection Process

Various tests were performed to quantify the magnitude of family related employees at the City of Ottawa. This is not unusual and generally not problematic unless direct reporting relationships occur or that influence is used to circumvent normal recruitment processes.

In this regard, a test was conducted to identify close relatives who had direct reporting relationships with each other. From the sample testing, we found five cases of related employees with a direct reporting relationship. Management has indicated that an "operational work-around" has been created in three of the cases. In the other two cases, the employees have changed positions.

The issue, which could be more problematic, is the lack of consistency in screening which provides potential opportunities for people who know someone (family members or others) to be screened in without meeting the basic requirements.

As a matter of fact, a case has been brought to the attention of the Office of the Auditor General's via the Fraud and Waste Hotline in 2006 alleging that a parent, who is in a managerial role at the City, had "influenced" the process of a competition within her branch and had therefore given an advantage and preferential treatment for her son to be selected for a vacancy.

Upon review of the selection process file in question, it was discovered that the candidate had originally been “screened out” by the Employee Services Branch who indicated that he did not possess the minimum experience as described on the job poster. There is no indication on the file or on the screening report as to who performed the final screening and allowed for the candidate to have an interview.

Recommendation 7

That Employee Services implement controls in order to ensure that only applicants who clearly meet the minimum requirements outlined on job posters are interviewed. Screening reports should be signed by the responsible manager who is accountable for the screening, attesting that the candidates proposed for interviews meet the minimal education and experience and that the final screening report should be sent to Employee Services for review prior to inviting candidates for interviews or testing.

Management Response

Management agrees with this recommendation, however believes the policy should allow for exceptions.

Employee Services already screens the candidates based upon posted qualifications. Candidates who meet the minimum qualifications are recommended to the hiring manager for an interview. The HR consultant reviews the screening reports jointly with the hiring manager and consensus must be reached before the interviews are conducted. Hiring managers are asked to sign off on the final selection of candidates and provide rationale for candidates who were not initially screened-in by Employee Services. Where consensus cannot be reached, the matter is escalated to a higher level of management and will be included in the report of staffing anomalies that is brought to the director of the branch. The practice of escalating screening issues where consensus could not be reached started in 2007.

Recruitment via External Search Firms

Selection and Costs Incurred for External Search Firms

Recruiting for executive positions is often done through executive search firms who work closely with the City to identify their needs, prepare a search strategy, execute a candidate search and screening prior to providing the City with a short list of candidates for interviews. These recruitment firms also assist in interviewing and perform reference checks.

The distribution of work was not allocated in a balanced way contrary to the recommendation outlined in the 2005 Audit of the Procurement Process. The bulk of the business (96% of amounts paid) was awarded to a single firm, which had the most costly price of the three firms who had qualified on the request for proposal.

Professional fees of \$213,333 and \$68,890 in expenses for a total of \$282,223 was spent to recruit four senior management representatives who were already working or known to senior management.

Inasmuch as the executive search firm in question had prepared documentation, performed a thorough search, contacted many of their contacts and provided services to the City, the results remain costly. Arguably, the process serves as a “validation” to ensure that the “best possible” candidate is selected, but proves to be costly and makes no use of the City’s internal Employee Services Branch.

Recommendation 8

That senior management retain search firms only after City processes do not generate qualified candidates and that, in those cases, allocation of work be balanced as per the recommendation outlined in the 2005 Audit of Procurement.

Management Response

Management disagrees with this recommendation.

It has been the practice of the City since amalgamation to use executive search firms to undertake recruitment of senior management positions. The executive search firms have access to a nationwide talent pool that is not available to the City, which ensures the City casts the widest net possible to attract top talent to these key senior positions and serves to validate that the best possible candidate is selected.

Executive search firms are pre-qualified based on their experience in recruiting senior executives. The selection of the executive search firm to conduct the search is based on the firm that has the most relevant experience recruiting for the position that needs to be filled.

Documentation of Executive Searches

The City has maintained limited files for these processes and the Employee Services Branch was not involved at all with some of the processes. The hiring manager has dealt directly with the search firm and has forwarded some of the documentation to the Employee Services Branch after the fact. The documentation on those files is very limited and provides no justification to substantiate the selection of candidates for interviewing and more specifically no rationale for the actual hiring of one candidate over another.

Recommendation 9

That hiring managers provide appropriate documentation for selection processes at senior management levels and ensure that Employee Services are involved in these selection processes.

Management Response

Management agrees with this recommendation.

Currently, Employee Services works closely with the executive recruitment firm and the hiring manager throughout the recruitment process. This participation includes involvement at the short-list meetings and on the hiring board. Documentation of these hiring processes is now consistent with the City standards for competition files.

Compliance

Documentation of Files

The Employee Services Branch provides numerous tools to the hiring managers to assist in documenting the various recruitment processes. Approximately half of the files reviewed did not have comments on the screening summary from the hiring manager. As a matter of fact, most of the screening reports did not even identify the hiring manager. In addition, very few files had a consolidated board report indicating who was interviewed and the results of tests / interviews for each candidate.

Recommendation 10

That hiring managers methodically complete screening reports and board reports to document their actions and decisions. Interviews should not be initiated until the hiring manager has provided a written rationale on the screening summary report to the Human Resource Consultant as to who will be interviewed and letters of offer should not be provided until the board report is completed.

Management Response

Management agrees with this recommendation.

Employee Services developed a number of key tools and on-line resources in 2006/2007 to guide hiring managers through the interview process and assist in recording hiring decisions. A Consensus Scoring and Selection Decision Summary and revised Interview Guide are sent to the hiring manager, along with the screening summary and detailed information with respect to the hiring process. Starting in 2007, letters of offer were not provided to the hiring manager until the Consensus Scoring and Selection Decision Summary was completed by the hiring manager and sent to Employee Services.

Screening on Education and Experience

In order to ensure that candidates interviewed meet the basic requirements for positions being staffed, screening is performed. Those who do not meet the minimum requirements are not recommended for interviews and are not considered further.

Of the sample reviewed, 27% of competitions had candidates who did not meet the basic requirements but were nonetheless interviewed or tested and considered for the position. As a result of considering candidates who do not meet the minimum requirements, the City has made offers to 6 candidates out of 44 offers, representing 13% of the sample.

By appointing personnel who do not meet the requirements of the positions, the organization risks having an unqualified workforce which can ultimately have an impact on program delivery.

The job requirements directly affect the level of compensation of the position. If the person in the position does not meet the job requirements, they are being over-paid. Similarly, if the position does not need the requirements, then the position is over-classified. Both cases cost the City more compensation costs than would otherwise be required.

Recommendation 11

That Employee Services and hiring managers sign off the screening report on education and experience (unless seniority is the driving factor) to ensure that all considered candidates possess the minimal requirements. Those candidates who do not clearly articulate how they meet the requirements should be “screened out”. Human Resources must take a greater role in ensuring candidates meet the minimal education and experience.

Management Response

See Recommendation 7.

Application of equivalencies

Education and experience equivalency guidelines have been established by the job evaluation group for use during the recruitment and staffing processes at the City of Ottawa.

As a general rule, there is no equivalency for accreditation. Mandatory academic qualifications and legislative requirements in professions such as law, medicine, engineering, accounting and so on cannot be substituted with additional work experience.

If a job description is evaluated based on having a professional designation, then the job poster and the selected candidate must have this same designation.

The equivalency guidelines also articulate appropriate clauses to use in the various competition posters depending on the groups and understandings that have been reached with various Unions.

Even though there are clear guidelines and grids to determine true “equivalencies”, screening is not always consistent with those guidelines. This is particularly true in MPE and CIPP competitions where the equivalency statement reads, “Experience and formal training combined with demonstrated performance and ability may substitute for stipulated academic requirements”. In those cases, the grid is often disregarded and hiring managers tend to consider equivalencies without as much diligence.

Management indicated that the guidelines are guidelines and not policy directives, and were developed to permit management a certain amount of flexibility in the staffing process.

Recommendation 12

That Employee Services implement controls to ensure that only candidates possessing the required accreditations be interviewed and that equivalencies not be used in those instances.

Management Response

Management agrees with this recommendation.

Employee Services already has controls in place to ensure that only candidates who have the required accreditations (e.g. registered nurse, professional engineers) are considered for the position. Equivalencies are not considered for positions that require accreditation.

Recommendation 13

That Employee Services and senior management reiterate the concept of equivalency and its purposes and that screening be done accordingly in order to ensure that successful candidates meet the basic requirements of the positions.

Management Response

Management agrees with this recommendation.

Equivalencies will form part of the training offered to hiring managers on the staffing process in Q3 2008.

Letters of offer

Close to 30% of offers from the audit sample were dated after the successful candidates had already started in their new positions. It can take up to a month for Employee Services to receive the letter signed by the employee once the offer is made.

Recommendation 14

That hiring managers refrain from making verbal offers and ensure that a sufficient timeline be allowed for the competition files to be reviewed and for letters of offer to be done prior to the start date of successful candidates.

Management Response

Management agrees with this recommendation.

Employee Services will remind hiring managers of this requirement at the start of each job competition.

Large Recruitment Campaign – Bus Operator

Applicants are originally screened based on the stated minimum qualifications of the Bus Operator position. The application has to clearly demonstrate that the candidate meets all of the minimum qualifications to be considered for further assessment.

The initial screening is based on basic requirements and given that 80% of the candidates apply on-line, this preliminary screening is made systematically. If an applicant calls and realizes that he made an error in his electronic application, the City screens him back in which is administratively onerous.

The process provides for many safeguards, objectivity, transparency and fairness, as each candidate has to undergo an identical process. The results are manually tracked on an Applicant Checklist, which is done up for each candidate and placed on each candidate's file. A massive spreadsheet is also used to track the steps and status of each applicant and provides the City with the ability to report. Having said this, the process from beginning to end is very labour intensive.

By the time an offer is made, a few months may have passed. Candidates are therefore asked verbally if they have maintained their "no demerits points" status. This is manually noted by the Human Resources Consultant on the file, which contains the candidate's application and testing results.

As one can appreciate, the process is laborious, meticulous, yet very systematic and there have been many tools and templates created over the years to ensure consistency and fairness. However, there is not a single repository of information, which would document the process and index the existing reference tools to facilitate knowledge transfer and to maintain consistency.

Recommendation 15

That Employee Services discontinue its practice of screening candidates who fail to appropriately fill out the electronic application as the onus should remain on the applicant.

Management Response

Management agrees with this recommendation.

The use of electronic application tools for some may still be relatively new, and there may be a requirement for Employee Services to address the technical functionality of the tool. Employee Services will move toward implementation of this recommendation by Q3 2008.

Recommendation 16

That Employee Services consider automating certain processes and tracking mechanisms to provide both the hiring manager and Employee Services with on-line status at any time.

Management Response

Management agrees with this recommendation.

In Q1 2008, Employee Services will work with Information Technology Services to determine the possibility of automating the tracking mechanism that would provide the hiring manager and Employee Services on-line staffing status in real time. Costs will be determined at that time and if significant will be requested in the 2009 budget.

Recommendation 17

That Employee Services design and implement a mechanism for candidates to sign as part of the acceptance process, which would systematically require confirmation that they have maintained "a no demerits record".

Management Response

Management agrees with this recommendation.

Employee Services has amended the letter of offer to include a sign off by candidates, which will validate that they have maintained a no demerits driving record.

Recommendation 18

That Employee Services undertake to fully document the process, the steps and the methodology used to retain the knowledge and continue to improve on process. This documentation could also incorporate the various models of letters, forms, templates, as well as an index of the existing electronic files for future reference.

Management Response

Management agrees with this recommendation.

Employee Services will document the bus operator recruitment process by the end of Q2 2008.

Reclassifications**Job Evaluation Function, Policies and Job Evaluation Plans*****Job Evaluation Function***

In 2006, over 118 jobs were submitted to the Job Evaluation function within the Employee Services Branch to be processed for a potential reclassification. These positions were encumbered by approximately 503 employees and resulted in increases to the grade and ultimately pay grades in 78 jobs (66% of the requests, thereby providing an increase of approximately \$2,000 on average for 230 employees, totalling \$460,000.

This amount does not include retroactive payments, which would have been made in cases where requests were for periods prior to 2006. These account for 69% (54 of the 78 requests) that were successful in obtaining an increase.

Upon review, Deputy City Manager (DCM) approval was not indicated on the Org Unit & Position Change Approval Form (OPCA) nor found on the reclassification file in 27% of the reclassification cases.

In addition, 11 of the 24 files reviewed for which retroactivity was greater than six months, had very little or weak rationales attached to the retroactive date. There was very seldom a trigger attached to the chosen retroactivity date.

The review also determined that employees who occupy positions that are reclassified are "deemed to meet the requirements of the reclassified position" without any assessment. This is a practice for which no policy, guideline or provisions of the collective agreement exist. It can result in having employees who do not have the capacity to perform at that higher level yet they automatically receive the new higher rate of pay.

Recommendation 19

That Employee Services ensure that DCM approval is obtained and documented on file and that hiring managers develop clear rationale and justification for effective dates prior to sending to Employee Services. Those who do not provide sufficient information or have weak rationales should not be processed.

Management Response

Management agrees with this recommendation.

Employee Services implemented this recommendation in Q4 2007 and has worked with hiring managers to ensure strong rationales are provided and documented for requested effective dates.

Recommendation 20

That Employee Services, along with the hiring managers perform an assessment of employees in reclassified positions in order to ensure that the incumbents continue to meet the requirements of these positions.

Management Response

Management agrees with this recommendation.

As of Q1 2008, hiring managers will be required to assess existing employees to ensure they meet the requirements of their positions, where their positions have been reclassified to a higher level. This will be addressed with the hiring manager at the time the request for reclassification is submitted.

Conclusion

The Employee Services Branch has undergone significant changes over the last few years with major challenges such as amalgamation. The Branch operates in a complex environment with 13 collective agreements, 2 non-unionized groups, senior

management, and a world where policies, procedures and guidelines are abundant. Staffing and reclassifications are, at best of times, challenging functions given the great demands imposed in these areas and the high expectations of hiring managers for quick and efficient processes.

Over the years, the Employee Services Branch has taken a service approach with hiring managers as “clients” and provided advice and accepted to perform many administrative functions of the business. In doing so, it has not focused as much on its monitoring and oversight roles. While there is a myriad of policies and procedures, there is very little monitoring or reporting of discrepancies. There are no consequences to hiring managers who have adopted practices that are not within the spirit of the City of Ottawa’s policies. The lack of monitoring and oversight has therefore resulted in inconsistencies in human resources approaches and transactions.

Accountability needs to be shifted back to the hiring managers with additional training and a clear monitoring and reporting framework. Improvements are required to ensure consistency in recruitment and staffing.

In summary, we found a lack of accountability in the management ranks as well as a lack of overall monitoring and reporting by the Employee Services Branch.

Acknowledgement

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.

RÉSUMÉ

Introduction

La vérification de dotation en personnel était prévue dans le Plan de vérification de 2007 présenté au Conseil municipal le 15 décembre 2004.

Contexte

La Ville d'Ottawa est une organisation d'envergure qui compte quatre grands services. En 2006, Services communautaires et de protection (SCP) comptait le plus d'employés (au-delà de 8 200), tandis que les trois autres services (Services généraux (SG), Urbanisme et Gestion de la croissance (UGC) et Services et Travaux publics (STP)), en comptaient plus de 2 000 chacun. Au 31 décembre 2006, la Ville avait près de 17 000 employés. Sa structure a été modifiée depuis.

La Direction des services aux employés assure la gestion des ressources humaines pour la Ville d'Ottawa, à l'exception du Service de police, qui gère lui-même ses ressources humaines. Services aux employés fait actuellement partie de Services de transformation des activités et compte environ 200 employés répartis en six divisions centralisées : Santé et Sécurité au travail; Dotation et Relations avec la clientèle; Relations de travail et Droits de la personne et Équité en matière d'emploi; Administration de la paie; Rémunération et Avantages sociaux; Planification et Développement.

Les activités des ressources humaines à la Ville reposent sur les lois en vigueur, 13 conventions collectives et diverses politiques, procédures et lignes directrices propres au domaine. Ces activités sont nombreuses et complexes, étant donné la taille de l'administration municipale, la fusion et les diverses opérations de la Ville. La vérification s'est donc limitée à la dotation et à la reclassification des postes.

Objectifs de la vérification

Objectif de vérification n° 1 :

Déterminer s'il existe des politiques et des procédures de dotation, de recrutement et de reclassification et, dans l'affirmatif, si les processus et les pratiques y sont conformes.

Objectif de vérification n° 2 :

Déterminer si les rôles, les responsabilités, les délégations de pouvoir et la reddition de comptes des cadres et des gestionnaires des ressources humaines en ce qui touche les fonctions à l'étude sont clairs, uniformes, bien compris, convenablement exécutés et assortis aux fonctions en cause.

Portée de la vérification et méthode suivie

La vérification a porté sur la dotation et la reclassification des postes. Un échantillon de dossiers traitant de concours, de reclassifications, du travail d'agences de recrutement de cadres, de grandes campagnes de recrutement et des politiques, procédures et lignes directrices connexes a été examiné.

En tout, 50 dossiers de dotation et 50 dossiers de reclassification traités en 2006 ont été choisis au hasard, proportionnellement à l'utilisation de chaque service, pour fins d'examen. De plus, on a examiné un dossier de la campagne d'embauche des chauffeurs d'autobus de 2006 ainsi que des dossiers relatifs à l'offre permanente de 2005-2006 gérée par un cabinet de recrutement de cadres.

Les politiques, procédures et lignes directrices applicables ont aussi été examinées.

Sommaire des principales constatations et recommandations

Reddition de comptes

Cadre des ressources humaines

En vertu des principes de gestion généralement reconnus, toute organisation doit se doter d'une stratégie ou d'un plan de gestion des ressources humaines, orientation globale qui doit être étayée par une planification détaillée et une gamme complète de politiques et de procédures.

La Ville d'Ottawa ne dispose pas de stratégie municipale de ressources humaines qui proposerait des orientations futures conformes à ses exigences opérationnelles. Le plan de ressources humaines de 2006 indique les changements survenus en matière d'équivalent temps plein (ETP) de 2000 à 2006 et renferme des projections pour 2007, mais il ne comporte aucune analyse contextuelle, ne cerne aucune lacune ni ne prévoit d'objectifs ou de stratégies pertinents pour les priorités et les difficultés opérationnelles de la Ville. Nous avons relevé l'absence d'une telle stratégie globale dans le cadre d'autres vérifications, notamment celles qui visaient les services du bâtiment, le parc automobile, l'environnement de contrôle financier, l'inspection des aliments et les opérations de surface.

La Ville dispose de certaines politiques et procédures en matière de ressources humaines, documents qui existent en version papier et que le personnel municipal peut consulter sur l'intranet. Des lignes directrices, des procédures, des formulaires et des listes de vérification viennent enrichir ces politiques. Ces dispositions sont satisfaisantes mais il n'existe à l'heure actuelle aucun moyen de veiller à ce que les gestionnaires recruteurs y adhèrent.

Reddition de comptes et délégation de pouvoirs

En ce moment, Services aux employés et les gestionnaires recruteurs se partagent la reddition de comptes. Un changement de mentalité s'impose afin que les gestionnaires assument à nouveau toute la responsabilité en matière de recrutement et que Services aux employés puisse voir davantage à l'élaboration de stratégies et de plans en matière de ressources humaines ainsi qu'à la formation, au contrôle, à la préparation de rapports et à la surveillance générale.

Services aux employés aurait ainsi pour rôle de promouvoir et de faire respecter les normes les plus élevées en matière d'intégrité, de gestion des risques et de contrôle interne et de surveillance générale. À l'heure actuelle, la Direction se consacre surtout à effectuer des transactions et à donner des conseils qui ne sont pas nécessairement suivis.

La Direction doit redéfinir le rôle premier des ressources humaines : plutôt que de gérer des transactions, il lui faudrait offrir des conseils stratégiques aux gestionnaires recruteurs et surveiller davantage la conformité. Les gestionnaires en question se verraient ainsi confier une plus grande part de responsabilité en ce qui concerne certaines activités comme la dotation et la reclassification des postes et devraient rendre des comptes à ce sujet.

La Direction envisage actuellement d'adopter un processus de délégation de pouvoirs pour la dotation. Dans ce contexte, il importera au plus haut point de veiller à ce qu'une formation officielle obligatoire soit mise en place afin que les gestionnaires recruteurs disposent de toute l'information requise en vue de se charger des activités des ressources humaines de façon efficace et rationnelle tout en assurant la transparence et l'équité.

Recommandation 1

Que Services aux employés améliore ses paramètres et ses pratiques de gestion en élaborant un cadre de planification intégrée comportant une stratégie globale concernant les activités des ressources humaines et servant de fondement à un plan fiable qui serait lié aux priorités opérationnelles; et que la Direction mette en place des mécanismes de contrôle pour s'assurer que les gestionnaires recruteurs respectent les politiques, les procédures et les lignes directrices.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés met au point une stratégie de gestion des compétences pour répondre aux besoins des services en matière de planification de la relève, d'embauchage, de maintien en poste et de perfectionnement professionnel. Élaborée de concert avec les services clients, la stratégie permettra d'établir la structure d'une approche globale en vue de répondre aux besoins actuels et futurs de la Ville

d'Ottawa sur le plan des ressources humaines. Elle sera présentée au Comité de la haute direction (CHD) au premier trimestre de 2008. De plus, d'ici la fin du deuxième trimestre de 2008, Services aux employés commencera à signaler aux chefs de service toutes les anomalies observées dans le domaine de la dotation, y compris les cas de non-conformité, et leur proposera les mesures à prendre pour les corriger.

Recommandation 2

Que Services aux employés se dote des paramètres qui lui permettraient de déléguer davantage de pouvoirs afin de rendre les services des ressources humaines plus efficaces tout en maintenant l'intégrité par des mécanismes de contrôle adéquats. Les gestionnaires recruteurs doivent avoir l'autorité et la formation voulues pour doter des postes. Mais, les pouvoirs délégués devraient être retirés aux gestionnaires recruteurs qui n'adhèrent pas aux politiques et aux lignes directrices de la Ville ainsi qu'aux dispositions des conventions collectives en matière de dotation.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés procède actuellement à l'examen et à la clarification du rôle des gestionnaires recruteurs et des pouvoirs et responsabilités qui leur ont été confiés. Une fois ce travail achevé, un cadre de contrôle sera mis en place et les gestionnaires concernés recevront de la formation sur les politiques et les lignes directrices ainsi que sur les dispositions des conventions collectives qui traitent de dotation. Le projet se terminera d'ici la fin du deuxième trimestre de 2008. À ce moment-là, les chefs de service auront reçu un rapport sur la non-conformité proposant des mesures à prendre pour corriger les irrégularités, mesures qui pourraient comporter le retrait des pouvoirs délégués.

Indicateurs de rendement

Le Comité de la haute direction reçoit des statistiques à intervalles réguliers, que ce soit sous forme d'exposés, de mises à jour, de rapports ou de fiches d'évaluation. On lui communique à l'heure actuelle des données comme la moyenne des heures supplémentaires effectuées par employé, la moyenne des heures de congé de maladie et le nombre de demandes d'indemnité soumises à la Commission de la sécurité professionnelle et de l'assurance contre les accidents du travail (CSPAAT), de griefs en instance et d'évaluations de postes effectuées. Pour autant que ces données soient abondantes, elles ne renferment aucune cible ou objectif ni ne posent aucun risque en matière de ressources humaines. Les « fiches d'évaluation » constituent une banque de données volumétriques et un bon outil pour assurer le suivi du volume et en faire rapport mais ne permettent pas vraiment de jauger le degré de réalisation des grands objectifs clés.

Recommandation 3

Que Services aux employés se consacre à rendre compte de façon intégrée des projets, des stratégies et des plans de haut niveau, en prenant soin de fixer des cibles et de

cerner les risques, afin d'établir des indicateurs de rendement pour les grandes priorités des ressources humaines.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés fournit des données volumétriques aux gestionnaires, y compris au CHD, et a commencé à leur soumettre une analyse détaillée d'indicateurs essentiels comme les congés annuels excédentaires et les congés de maladie sans certificat médical. La Direction fournit également aux services et aux directions des données et des analyses portant notamment sur la Commission de la sécurité professionnelle et de l'assurance contre les accidents du travail et le Programme d'aide aux employés (PAE). De plus, elle prend part à des projets d'analyse comparative comme l'Initiative d'analyse comparative des services municipaux (IACSM) et le Human Resources Benchmarking Network (HRBN), dont les comparateurs sont utiles. À l'avenir, les fiches d'évaluation seront mises à jour afin de renfermer, selon les besoins des gestionnaires, des données plus pertinentes en regard d'autres mesures du rendement. Le CHD recevra tous les trimestres des mesures de rendement pour des projets, des stratégies et des plans de haut niveau concernant les ressources humaines.

Surveillance et rapports

La surveillance se fait au quotidien. En ce moment, lorsqu'il y a divergence d'opinions entre les Ressources humaines et le gestionnaire recruteur, la décision est souvent confiée à l'échelon supérieur.

Il n'existe à l'heure actuelle aucune façon de sensibiliser les cadres supérieurs aux risques que comporte le fait, pour les gestionnaires recruteurs et d'autres personnes, de faire abstraction des conseils des Ressources humaines et des politiques et lignes directrices en matière de dotation.

Par ailleurs, les gestionnaires recruteurs qui ne se conforment pas aux politiques, aux procédures et aux lignes directrices ne sont ni surveillés ni pénalisés.

Recommandation 4

Que Services aux employés mette en place un meilleur processus de surveillance et de contrôle pour insister davantage sur la nécessité de respecter les procédures et pour établir une reddition de comptes claire. Il s'agirait notamment de signaler aux échelons supérieurs les anomalies, les écarts et le non-respect manifeste de la politique de dotation de façon à ce que le CHD soit au courant et puisse veiller à ce que les mesures qui s'imposent soient prises.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Avant de pourvoir un poste, Services aux employés signale aux cadres supérieurs toute anomalie observée en matière de dotation. À la fin du deuxième trimestre de 2008, la Direction aura commencé à signaler ces anomalies aux chefs de service, y compris les cas de non-conformité, tout en recommandant les mesures à prendre pour corriger la situation.

Recrutement et dotation

Pour recruter et conserver une main-d'œuvre hautement compétente, qualifiée et diversifiée, la Ville doit à tout prix disposer de politiques, de procédures et de lignes directrices pertinentes et veiller à ce que Services aux employés et les gestionnaires connaissent bien leur rôles et leurs responsabilités afin d'assurer l'impartialité, l'équité et la transparence.

Politiques, procédures et lignes directrices pour la dotation et le recrutement

En général, les politiques, les procédures et les lignes directrices portant sur le recrutement et la dotation abondent. Les politiques sont affichées sur le site intranet de la Ville, de même que les lignes directrices, qui figurent aussi dans le manuel des lignes directrices et des procédures.

Cela dit, il existe peu de dispositions relatives à la dotation de postes vacants appartenant au groupe exclu – direction et professionnels (GEDP), tandis que les postes du groupe de supervision et de soutien administratif sont dotés de façon parallèle à ceux de la section locale 503 du Syndicat canadien de la fonction publique (SCFP) (personnel intérieur et extérieur), selon le libellé des conditions d'emploi de ce groupe d'employés.

Recommandation 5

Que Services aux employés adopte des directives et des lignes directrices pour la dotation de postes vacants au sein du GEDP et du groupe de supervision et de soutien administratif.

Réponse de la direction

La direction est d'accord avec cette recommandation.

D'ici la fin du deuxième trimestre de 2008, Services aux employés élaborera des directives et des lignes directrices pour la dotation de postes vacants au sein du groupe exclu – direction et professionnels et du groupe de supervision et de soutien administratif.

Embauche et emploi des membres de la famille

La Ville a adopté la Politique d'embauche et d'emploi des membres de la famille pour veiller à ce que les décisions relatives à l'emploi et qui concernent des employés actuels ou éventuels de la Ville ne subissent aucune influence, réelle ou présumée, fondée sur les relations familiales et pour maintenir la confiance du public à l'égard de l'intégrité des pratiques d'embauche et d'emploi de la Ville.

La politique est peut-être générale, mais la définition qui y est donnée de « membres de la famille » se limite aux enfants, aux parents et au conjoint, les frères, sœurs et belles-familles étant exclus. De plus, la seule relation de travail interdite est le « rapport hiérarchique direct » où un membre de la famille approuve ou refuse les augmentations et les heures supplémentaires, négocie un niveau de salaire, mène des évaluations de rendement, impose des mesures disciplinaires ou assigne des tâches. Nous avons constaté qu'il y a effectivement au sein de certaines unités des membres d'une même famille, bien qu'il n'existe aucun rapport hiérarchique direct entre eux ou que ce dernier soit indirect.

Embauche d'étudiants et de membres de la famille

Les enfants d'employés de la Ville ont sans aucun doute plus de chances que les autres de travailler à la Ville car ils sont plus susceptibles d'être au courant des campagnes de recrutement et des exigences d'emploi de celle-ci. Il n'est pas rare que des enfants d'employés occupent un poste à la Ville, ce qu'aucune politique n'interdit d'ailleurs.

Si les personnes responsables des nominations et des affectations sont généralement tenues de veiller à l'adhésion aux politiques, il incombe spécialement aux membres d'une même famille de déceler et de signaler tout conflit d'intérêts possible ou perçu.

Recommandation 6

Que Services aux employés révisé la définition de « membres de la famille » afin de l'élargir, et une fois la politique ainsi modifiée, que la Direction adopte la stratégie de communication opportune pour qu'il soit clairement expliqué aux gestionnaires recruteurs et aux employés à quel point il importe qu'aucune influence, réelle ou présumée, fondée sur les relations familiales ne soit perçue afin de maintenir la confiance du public à l'égard de l'intégrité des pratiques d'embauche et d'emploi de la Ville. Les membres d'une même famille qui sont en rapport hiérarchique direct devraient être réaffectés.

Réponse de la direction

La direction n'est pas d'accord avec cette recommandation.

La Politique d'embauche et d'emploi des membres de la famille a été approuvée par le Conseil municipal en 2003 en vertu d'une exigence légale obligeant les municipalités à adopter une politique d'embauche.

La définition des membres de la famille dans le cadre de cette politique a été passablement débattue, surtout l'opportunité d'y inclure les frères et sœurs. Le Conseil a rejeté, lors d'un vote, une motion visant à inclure ces derniers, en partie parce que le fait d'élargir la définition de « membres de la famille » risquait de contrevenir aux lois fédérale et provinciale sur les droits de la personne et à la Charte canadienne des droits et libertés.

Le Conseil a finalement décidé de retenir le libellé que renferment deux lois provinciales, la *Loi sur les conflits d'intérêts municipaux* et la *Loi sur les services policiers*.

La définition ne vise que les parents, le conjoint et les enfants et répond aux exigences imposées au Conseil municipal.

Bien que la définition de la famille immédiate se limite aux parents, au conjoint et aux enfants, la politique de la Ville permet la souplesse voulue pour qu'un employé ou un membre du Conseil déclare de lui-même un autre lien de parenté en fonction de son interprétation plus large du mot famille.

Membres de la famille et processus de sélection

Divers examens ont été effectués afin de mesurer l'ampleur du phénomène des liens de parenté parmi les employés de la Ville. Le phénomène n'est pas rare et ne pose généralement aucun problème pour autant qu'il n'existe pas de rapport hiérarchique direct entre parents et qu'aucune influence ne soit exercée dans le but de contourner les processus de recrutement normaux.

Une analyse a donc été menée pour repérer les proches parents ayant entre eux un rapport hiérarchique direct. En tout, cinq cas ont été décelés. Les gestionnaires ont indiqué que dans trois cas, on avait modifié les rapports hiérarchiques en conséquence et que dans les deux autres cas, les employés concernés avaient changé de poste.

La question qui pourrait être plus problématique concerne le manque d'uniformité dans la sélection des candidats, ce qui pourrait donner l'occasion à des personnes d'être sélectionnées grâce à leurs relations (familiales ou autres) même si elles ne répondent pas aux exigences de base du poste.

En fait, pareil cas a été signalé au Bureau du vérificateur général par l'entremise de la Ligne directe fraude et abus en 2006. Selon les allégations portées, une gestionnaire à la Ville aurait influencé l'issue d'un concours qui se déroulait dans sa direction et, de ce fait, accordé un avantage de même qu'un traitement de faveur à son fils afin qu'il soit sélectionné pour un poste vacant.

L'examen du dossier en question a permis d'établir que le candidat avait d'abord été rejeté par la Direction des services aux employés, qui estimait qu'il ne possédait pas l'expérience minimale décrite dans l'avis de concours. Le dossier et le rapport de présélection n'indiquent aucunement qui, par la suite, a procédé à la présélection finale et accordé une entrevue au candidat.

Recommandation 7

Que Services aux employés mette en place les mesures de contrôle nécessaires pour que seuls les candidats répondant aux exigences minimales décrites dans les avis de poste se voient accorder une entrevue. Les rapports de présélection doivent être signés par les gestionnaires responsables de la présélection, attestant que les candidats invités à passer une entrevue ont la formation et l'expérience exigées. Les

rapports doivent être envoyés à Services aux employés, qui les examine avant de convoquer les candidats à une entrevue ou à un test.

Réponse de la direction

La direction est d'accord avec cette recommandation en théorie, mais pense cependant que des exceptions devraient être permises.

Services aux employés fait déjà une présélection en fonction des exigences du poste. Les candidats retenus sont ensuite recommandés au gestionnaire recruteur afin de passer une entrevue. Le conseiller en ressources humaines examine les rapports de présélection avec le gestionnaire recruteur et les deux doivent venir à un consensus avant la tenue des entrevues. Le gestionnaire recruteur doit approuver la liste des candidats retenus et expliquer pourquoi il souhaite retenir des candidatures que Services aux employés avait rejetées à l'étape de la présélection. En l'absence de consensus, le dossier est confié à l'échelon supérieur et mention en est faite dans le rapport sur les anomalies de dotation destiné au directeur. La pratique visant à ce que les questions de présélection soient acheminées à l'échelon supérieur en l'absence de consensus a commencé en 2007.

Embauche par l'entremise d'agences de recrutement externes

Sélection et engagement de coûts d'agences de recrutement externes

On a souvent recours à des agences de recrutement de cadres pour pourvoir des postes de direction. Ces agences travaillent en étroite collaboration avec la Ville afin de cerner les besoins de celle-ci, d'élaborer une stratégie de recherche, de trouver des candidats, de procéder à une présélection et de dresser une liste de candidats à interviewer. Elles aident également à mener les entrevues et à effectuer des vérifications de références.

Contrairement à la recommandation issue de la vérification de 2005 du processus d'acquisition, la charge de travail n'est pas bien équilibrée entre les agences. Une seule agence s'est vu attribuer la quasi-totalité des contrats (96 p. 100 des paiements versés). Des trois sociétés qui avaient répondu à l'appel d'offres, cette agence demandait les honoraires les plus élevés.

En tout, des honoraires de 213 333 \$ et des dépenses de 68 890 \$ (pour un total de 282 223 \$) ont été payés pour recruter quatre cadres supérieurs qui travaillaient déjà à la Ville ou que la haute direction connaissait.

Bien que l'agence de recrutement de cadres en question ait soumis la documentation pertinente, mené une recherche exhaustive, consulté de nombreuses relations et fourni des services à la Ville, ses coûts demeurent élevés. On peut soutenir que le travail de l'agence a permis de valider le choix du meilleur candidat possible, mais il s'est avéré coûteux et a été effectué sans recours aucun à la Direction des services aux employés de la Ville.

Recommandation 8

Que la haute direction retienne les services d'agences de recrutement uniquement lorsque les démarches de recrutement de la Ville sont infructueuses, et qu'en pareil cas, le travail soit confié de façon équilibrée aux agences, conformément à la recommandation formulée lors de la vérification du service d'approvisionnement en 2005.

Réponse de la direction

La direction n'est pas d'accord avec cette recommandation.

Depuis la fusion, la Ville a recours à des agences de recrutement pour pourvoir les postes de cadres supérieurs. Grâce à ces agences, la Ville peut puiser à même un bassin de candidats national auquel elle n'aurait pas accès autrement, ce qui lui permet d'aller chercher des candidatures exceptionnelles pour ces postes clés et de s'assurer que le meilleur candidat possible est choisi dans chaque cas.

Les agences de recrutement de cadres sont sélectionnées en fonction de leur expérience dans le domaine, et l'agence retenue est celle qui a le plus d'expérience pertinente, selon la nature du poste à pourvoir.

Documentation des recherches de cadres

La Ville conserve peu de dossiers sur les recherches de cadres effectuées et dans certains cas, Services aux employés n'a eu aucun rôle à jouer dans le recrutement. Le gestionnaire recruteur traitait directement avec l'agence et envoyait une partie de la documentation à Services aux employés une fois le poste doté. La documentation est très limitée et ne justifie aucunement le choix des candidats interviewés et, plus précisément, l'embauche d'un candidat au lieu d'un autre.

Recommandation 9

Que les gestionnaires recruteurs fournissent la documentation pertinente relativement à la sélection de candidats pour des postes de cadres supérieurs et s'assurent que Services aux employés prenne part au processus.

Réponse de la direction

La direction est d'accord avec cette recommandation.

À l'heure actuelle, Services aux employés collabore de près avec l'agence de recrutement de cadres et le gestionnaire recruteur durant le processus d'embauche. Des représentants de la Direction assistent aux réunions de présélection et siègent au comité de sélection. La documentation relative à ces processus répond désormais aux normes de la Ville en ce qui concerne les dossiers de concours.

Conformité***Tenue de dossiers***

La Direction des services aux employés offre aux gestionnaires recruteurs une panoplie d'outils pour les aider à documenter les divers processus de recrutement. Or, dans

environ la moitié des dossiers consultés, le gestionnaire recruteur n'avait inscrit aucun commentaire dans le sommaire de présélection. En fait, dans la majorité des rapports de présélection, le gestionnaire en question n'est pas identifié. De plus, rares sont les dossiers comportant un rapport du comité de sélection en bonne et due forme indiquant les personnes interviewées et les résultats de chaque candidat aux tests et aux entrevues.

Recommandation 10

Que les gestionnaires recruteurs rédigent méthodiquement des rapports de présélection et de comité de sélection pour documenter leurs actions et leurs décisions. Aucune entrevue ne devrait être accordée avant que le gestionnaire recruteur ait justifié par écrit le choix des candidats dans le sommaire de présélection destiné au conseiller en ressources humaines et aucune offre d'emploi ne doit être faite avant que le rapport du comité de sélection soit achevé.

Réponse de la direction

La direction est d'accord avec cette recommandation.

En 2006-2007, Services aux employés a conçu un certain nombre d'outils et de ressources en ligne clés pour guider les gestionnaires recruteurs au long du processus d'entrevue et les aider à consigner par écrit les décisions prises. On envoie à ceux-ci un sommaire du consensus et de la décision d'embauche, un guide d'entrevue révisé, un sommaire de présélection et des renseignements détaillés sur le processus d'embauche. Depuis 2007, aucune lettre d'offre d'emploi n'est remise au gestionnaire tant qu'il n'a pas rempli et envoyé à Services aux employés le sommaire du consensus et de la décision d'embauche.

Présélection en fonction de la formation et de l'expérience

La présélection est effectuée afin de veiller à ce que seuls les candidats qui satisfont aux exigences minimales du poste se voient accorder une entrevue. Les autres candidatures ne sont pas recommandées pour une entrevue et ne font pas l'objet d'un examen plus poussé.

L'examen de l'échantillon a permis d'établir que dans 27 p.100 des concours, des entrevues ont été accordées et des tests ont été administrés à des candidats qui ne répondaient pas aux exigences minimales du poste. La Ville a offert un emploi à six de ces candidats sur un total de 44 offres d'emploi, ce qui représente 13 p.100 de l'échantillon.

En affectant à des postes des candidats qui ne répondent pas aux exigences minimales, la Ville risque de se doter d'une main-d'œuvre incompétente, ce qui peut, en fin de compte, entraîner des répercussions sur la prestation des programmes.

Les exigences du poste influent directement sur la rémunération qui se rattache à celui-ci. Si le titulaire du poste ne répond pas aux exigences, sa rémunération est trop élevée.

De même, si le poste est assorti d'exigences qui lui sont supérieures, il est classé à un niveau trop élevé. Dans les deux cas, les coûts de rémunération de la Ville sont supérieurs à ce qu'ils devraient être.

Recommandation 11

Que Services aux employés et les gestionnaires recruteurs approuvent le rapport de présélection en fonction de la formation et de l'expérience (sauf si l'ancienneté est le critère de base) pour s'assurer que tous les candidats répondent aux exigences minimales du poste. Les candidats qui ne peuvent montrer clairement qu'ils satisfont aux exigences de base ne doivent pas être retenus à la présélection. Les Ressources humaines doivent jouer un plus grand rôle de surveillance à cet égard.

Réponse de la direction

Voir la Recommandation 7.

Application d'équivalences

Le groupe de l'évaluation des postes a établi des lignes directrices concernant l'équivalence de la formation et de l'expérience pour les processus de recrutement et de dotation en personnel à la Ville d'Ottawa.

En règle générale, il n'existe aucun équivalent pour l'agrément. Les titres de compétences obligatoires dans des professions comme le droit, la médecine, le génie ou la comptabilité ne peuvent être remplacés par une expérience de travail additionnelle.

Si l'évaluation d'une description de poste est fondée sur l'exigence d'un titre professionnel, cela doit être indiqué dans l'avis de concours et le candidat doit posséder le titre en question.

Les lignes directrices sur les équivalences comportent des libellés utiles pour les différents avis de concours, selon les groupes d'employés et les ententes conclues avec les divers syndicats.

Bien qu'il existe des lignes directrices et des barèmes clairs pour établir des équivalences exactes, il n'en est pas toujours tenu compte à l'étape de la présélection. C'est particulièrement le cas pour les concours du GEDP et de l'IPPM, dont l'avis stipule ce qui suit : « Les candidats qui possèdent une expérience jugée pertinente et une formation reconnue et dont la fiche de service atteste d'un rendement satisfaisant et d'aptitudes manifestes pourront ne pas être tenus de satisfaire à l'exigence relative aux études ». On fait souvent fi du barème dans ces cas et les gestionnaires recruteurs ont tendance à être moins rigoureux lorsqu'il s'agit d'équivalences. La direction a d'ailleurs indiqué que les lignes directrices existent à titre d'orientation uniquement et ne constituent pas des directives formelles; elles ont été rédigées de façon à accorder une certaine latitude aux gestionnaires recruteurs durant le processus d'embauche.

Recommandation 12

Que Services aux employés instaurent des mesures de contrôle pour que seuls les candidats dûment agréés se voient accorder une entrevue et que les équivalences ne soient pas acceptées dans de tels cas.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés a déjà mis en place des contrôles pour que seuls les candidats dûment agréés (personnel infirmier autorisé, ingénieurs, etc.) soient retenus pour un poste. Les équivalences ne sont pas acceptées pour les postes qui exigent un titre professionnel.

Recommandation 13

Que Services aux employés et les cadres supérieurs insistent de nouveau sur la notion d'équivalence et sur son objet, et que la présélection se fasse de façon à ce que les candidats retenus répondent vraiment aux exigences de base des postes.

Réponse de la direction

La direction est d'accord avec cette recommandation.

La formation en dotation qui sera donnée aux gestionnaires recruteurs au troisième trimestre de 2008 portera entre autres sur les équivalences.

Lettres d'offre d'emploi

Près de 30 p. 100 des lettres d'offre d'emploi dans l'échantillon étaient postérieures à la date d'entrée en fonction des candidats retenus. La lettre d'offre d'emploi signée par l'employé peut mettre jusqu'à un mois à se rendre à Services aux employés une fois l'offre faite.

Recommandation 14

Que les gestionnaires recruteurs s'abstiennent de faire des offres d'emploi verbales et qu'ils prévoient un échéancier suffisant qui permette l'examen des dossiers de concours et la rédaction de lettres d'offre d'emploi avant l'entrée en fonction des candidats.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés rappellera cette exigence aux gestionnaires recruteurs avant chaque concours.

Grandes campagnes de recrutement – chauffeurs d'autobus

Les candidats sont présélectionnés à la lumière des compétences minimales requises pour les postes de chauffeur d'autobus. Les candidats doivent montrer clairement qu'ils répondent aux exigences minimales du poste avant que leur candidature soit examinée plus à fond.

La présélection repose sur les exigences de base et comme 80 p. 100 des candidats postulent en ligne, elle se fait systématiquement. Si un candidat téléphone à la Ville pour signaler qu'une erreur a été commise dans sa demande, sa candidature est réexaminée, ce qui est dilatoire du point de vue administratif.

Le processus de sélection comporte de nombreuses mesures de protection et est objectif, transparent et équitable. Tous les candidats sont traités de la même façon. Une liste de vérification est dressée manuellement pour chaque candidat et est versée à son dossier. Un immense chiffrier permet également de suivre l'avancement de chaque candidat et permet à la Ville de rendre des comptes. Cela dit, le processus, du début à la fin, exige beaucoup de travail.

Plusieurs mois ont pu s'écouler entre l'entrevue et le moment où l'offre d'emploi est faite. On demande alors verbalement aux candidats si leur dossier de conduite est toujours vierge. Le conseiller en ressources humaines inscrit manuellement la réponse dans le dossier du candidat, qui renferme la demande d'emploi de celui-ci et les résultats de ses examens.

De toute évidence, le processus d'embauche est laborieux et rigoureux mais très systématique, et de nombreux outils et gabarits ont été créés au fil des ans pour en assurer l'uniformité et l'équité. Il n'existe toutefois aucun inventaire qui documente le processus d'embauche et répertorie les outils de référence existants, ce qui faciliterait l'échange de connaissances et l'uniformité.

Recommandation 15

Que Services aux employés cesse cette pratique visant à retenir les candidatures de personnes qui ne remplissent pas correctement le formulaire de demande d'emploi électronique, puisqu'il en tiens aux postulants de s'assurer qu'ils ont correctement rempli leur demande en ligne.

Réponse de la direction

La direction est d'accord avec cette recommandation.

L'utilisation du formulaire de demande d'emploi électronique peut être encore relativement nouvelle pour certains candidats, et il a été exigé de Services aux employés qu'il se penche sur la fonctionnalité technique de l'outil. Services aux employés ira de l'avant avec la mise en œuvre de cette recommandation d'ici le troisième trimestre de 2008.

Recommandation 16

Que Services aux employés envisage d'automatiser certains processus et mécanismes de suivi afin que le gestionnaire recruteur et la Direction puissent consulter à tout moment le dossier à jour des candidats.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Au premier trimestre de 2008, Services aux employés travaillera avec la Direction des services de technologie de l'information pour déterminer la possibilité d'automatiser les mécanismes de suivi, de sorte que le gestionnaire recruteur et Services aux employés connaissent en temps réel la situation des candidats. Les coûts du projet seront alors calculés et, s'ils sont considérables, seront inclus dans le budget de 2009.

Recommandation 17

Que Services aux employés élabore et applique, dans le cadre du processus d'acceptation d'emploi, un mécanisme par lequel les candidats doivent confirmer par leur signature qu'ils ont maintenu un dossier de conduite ne comportant aucun point d'inaptitude.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés a révisé le modèle de lettre d'offre d'emploi afin qu'elle comprenne une section que les candidats doivent signer pour confirmer qu'ils ont maintenu un dossier de conduite ne comportant pas de points d'inaptitude.

Recommandation 18

Que Services aux employés entreprenne un projet visant à documenter entièrement le processus d'embauche, ainsi que les étapes et la méthodologie qui y sont associées afin de conserver les connaissances acquises et d'améliorer le processus, et que la documentation qui découlera de ce projet comprenne les divers modèles de lettres, de formulaires et de gabarits à employer ainsi qu'un index des fichiers électroniques existants à des fins de consultation.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés documentera le processus d'embauche des chauffeurs d'autobus dès la fin du deuxième trimestre de 2008.

Reclassifications

Processus d'évaluation des postes, politiques de reclassification et plans d'évaluation des postes

Processus d'évaluation des postes

En 2006, plus de 118 demandes furent soumis à Évaluation des postes de la Direction des services aux employés en vue d'évaluer leur reclassification éventuelle. Ces postes étaient occupés par 503 employés environ et les évaluations ont donné lieu à des reclassements menant à des augmentations d'échelles salariales pour 78 postes (ce qui représente 66 p. 100 des demandes et a occasionné pour 230 employés des hausses salariales moyennes de 2 000 \$, pour un total de 460 000 \$).

Ce montant ne comprend pas les rappels qui auront été accordés dans le cas des demandes visant des périodes antérieures à 2006. Celles-ci constituaient 54 des 78 demandes ayant mené à des hausses salariales, soit une proportion de 69 p. 100.

Un examen a révélé que, dans 27 p. 100 des cas de reclassification, l'approbation du directeur municipal adjoint ne figurait ni sur le formulaire d'approbation de changement d'unité et de poste ni dans le dossier de reclassification.

En outre, 11 des 24 dossiers examinés pour lesquels la période de rappel salarial était supérieure à six mois présentaient très peu de justifications ou offraient des raisons insatisfaisantes rattachées à la date du rappel. En fait, le choix de cette date reposait rarement sur un élément précis.

L'examen a également révélé que les employés qui occupent des postes reclassifiés sont jugés aptes à satisfaire aux exigences du poste reclassifié, et ce, sans qu'une évaluation ne soit effectuée. Toutefois, cette pratique n'est assortie d'aucune politique, ligne directrice ou clause dans la convention collective, ce qui peut entraîner des situations où les employés n'ont pas la capacité d'accomplir les tâches associées au poste reclassifié, alors que leur salaire a été automatiquement rajusté à la hausse.

Recommandation 19

Que Services aux employés s'assure que l'approbation du directeur municipal adjoint est obtenue et versée aux dossiers et que les gestionnaires recruteurs justifient clairement le choix des dates de rappel salarial avant de communiquer celles-ci à Services aux employés, et que les demandes qui ne comprennent pas les renseignements suffisants ou pour lesquelles les justifications sont insatisfaisantes ne soient pas traitées.

Réponse de la direction

La direction est d'accord avec cette recommandation.

Services aux employés applique cette recommandation depuis le quatrième trimestre de 2007 et collabore avec les gestionnaires recruteurs afin de veiller à ce que le choix des dates de rappel salarial demandées soit bien justifié et documenté.

Recommandation 20

Que Services aux employés, ainsi que les gestionnaires recruteurs, évaluent les compétences des employés qui occupent un poste reclassifié afin de s'assurer que les titulaires continuent de satisfaire aux exigences de leur poste.

Réponse de la direction

La direction est d'accord avec cette recommandation.

À compter du premier trimestre de 2008, les gestionnaires recruteurs seront tenus d'évaluer, au moment où la demande de reclassification est soumise, les compétences

des titulaires pour déterminer si ces derniers répondent aux exigences de leur poste pour le cas où celui-ci aurait été reclassifié à un niveau plus élevé.

Conclusion

La Direction des services aux employés a subi d'importants changements et a dû relever des défis d'envergure ces dernières années, comme la fusion municipale. La Direction gère un milieu de travail complexe qui comprend 13 conventions collectives, deux groupes non syndiqués, des cadres supérieurs et une multitude de politiques, de procédures et de lignes directrices. La dotation et les reclassifications sont, au mieux, des processus exigeants compte tenu de la forte demande qui y est associée et du fait que les gestionnaires recruteurs s'attendent à pouvoir compter sur des processus rapides et efficaces.

Au fil des ans, la Direction des services aux employés a adopté une stratégie axée sur le service à la clientèle auprès des gestionnaires recruteurs et a accepté de donner des conseils à ceux-ci et d'accomplir pour eux de nombreuses tâches administratives. Ce faisant, la Direction a quelque peu négligé ses rôles de contrôle et de surveillance générale. Malgré les nombreuses politiques et procédures en place, la surveillance des irrégularités et la production de rapports à cet égard sont très limitées. En outre, les gestionnaires recruteurs qui adoptent des pratiques allant à l'encontre des politiques de la Ville d'Ottawa ne subissent aucun préjudice. Les lacunes sur le plan de contrôle et de la surveillance générale ont donc entraîné des disparités en ce qui touche les stratégies et les transactions liées aux ressources humaines.

L'obligation de rendre des comptes doit de nouveau être imposée aux gestionnaires recruteurs qui, à cette fin, recevront une formation supplémentaire et devront respecter un cadre précis de surveillance et de production de rapports. Des améliorations sont également nécessaires pour assurer l'uniformité des processus de recrutement et de dotation en personnel.

En résumé, nous avons constaté que les gestionnaires ne sont pas appelés à rendre suffisamment de comptes et que, de manière générale, la Direction des services aux employés présente des lacunes au chapitre de la surveillance et de la production de rapports.

Remerciements

Nous tenons à remercier la direction de sa bienveillante collaboration et de l'aide qu'elle a apportée à l'équipe de vérification.

1 INTRODUCTION

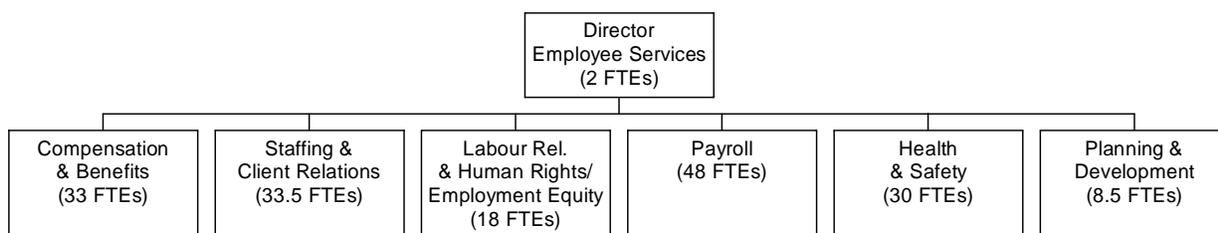
The Audit of Staffing was included as part of the 2007 Audit Plan first presented to City Council on December 15, 2004.

2 BACKGROUND

The City of Ottawa is a large organization, with four major departments. In 2006, the Community and Protective Services Department (CPS) was the largest with over 8,200 employees while the other three large departments were Corporate Services (CS), Planning and Growth Management (PGM) as well as Public Works and Services (PWS) who each had over 2,000 employees. As at December 31st, 2006, the City employed approximately 17,000 employees, exclusive of the Ottawa Police Service and Elected Representatives. The structure subsequently changed.

The Employee Services Branch provides human resources (HR) services to the City of Ottawa except in the case of the Ottawa Police Service who have their own human resources team. The Employee Services Branch is currently within the Business Transformation Services Department and has approximately 200 employees working within six centralized divisions (Figure 1 - SAP-HR November 2007): Health and Safety; Staffing and Client Relations; Labour Relations and Human Rights/Employment Equity (HREE); Payroll; Compensation and Benefits as well as Planning and Development.

Figure 1: Organizational Chart - Employee Services Branch - Budgeted FTEs



In addition to the budgeted 175 full-time equivalents (FTEs) noted above, there were 39 unbudgeted FTEs in the Employee Services Branch.

Human Resources Consultants are assigned client portfolios and are the interface between HR services and managers for day-to-day activities while Job Evaluation Consultants provide more specialized advice in the field of classification.

Legislation, 13 collective agreements and various human resources policies, procedures and guidelines are the underpinning of human resources activities. Given its size, amalgamation and the various operations conducted by the City, HR activities are

numerous and complex. In 2006, the following are examples of the types of transactions that took place:

- Over 13,000 human resources staffing activities¹ took place within the City of Ottawa including:
 - 3,972 hires and rehires (includes vacant positions, summer students, temporary appointments)
 - 2,434 employee movements (includes transfers, temporary assignments, etc.)
- Over 1,000 internal competitions and close to 200 external competitions in addition to large recruitment campaigns: (Students – 28,910 applicants; Firefighters – 1,391 applicants; Bus Operators – 2,094 applicants)
- 118 requests for reclassifications or position reviews covering over 400 positions.

Table 1: Population by Department and respective level of human resources activity (based on 2006 structure)

	Population as at December 31/06		Staffing Proportion		Reclassification Proportion	
	Qty	%	Qty	%	Qty	%
Community and Protective Services ² (CPS)	8,253	56%	646	53%	25	21%
Corporate Services (CS)	2,206	15%	277	23%	30	25%
Public Works and Services (PWS)	2,254	15%	244	20%	58	49%
Planning and Growth Management (PGM) ^{3, 4}	2,083	14%	50	4%	2	2%
City Manager	35	0%	9	1%	2	2%
Office of the Auditor General	8	0%	0	0%	1	1%
	14,839	100%	1,226	100%	118	100%

Given the magnitude of disciplines incorporated within the Employee Services Branch and the large volume of activities and transactions, this particular audit focused on staffing and reclassifications.

¹ Source - 2006 Stats by Action - Reason (SAP) May 2007

² Includes Library

³ Includes Transit

⁴ Includes Committee of Adjustment

3 AUDIT OBJECTIVES AND CRITERIA

3.1 Audit Objective #1

Determine whether staffing, recruitment and reclassification policies and procedures are in place and, if so, whether actual processes and practices are compliant with them.

Criteria:

- Policies and procedures are in place.
- Appropriate authorities and mandates are obtained.
- Files and/or processes are complete, well documented and compliant.
- Appropriate reporting, monitoring and management tools available and utilized.

3.2 Audit Objective #2:

Determine if roles, responsibilities, delegated authorities and accountabilities of management and human resources with respect to the functions are clear, consistent, well understood, properly executed and adequate for the functions being audited.

Criteria:

- Organization has clear articulated authorities, roles and responsibilities with respect to audited functions.
- Level at which authorities, roles and responsibilities are defined, articulated and exercised.
- Level of linkages between HR functions and business plans.
- Management understands the policies and procedures and level of involvement in HR activities.
- Useful tools and/or reporting mechanisms have been developed to assist managers.
- A corporate monitoring process is in place to ensure delegated authorities are properly and consistently applied across the Corporation by all departments.

4 AUDIT SCOPE AND APPROACH

During the course of this audit, staffing and reclassification activities were the focus of the examination. A sample of files relating to competitions, reclassifications, recruitment by external executive search firms, large recruitment campaigns and related policies, procedures and guidelines were reviewed.

We randomly selected 50 staffing and 50 reclassification files from 2006 for review, proportionate to the usage of the departments. In addition, one file from the 2006 Bus

Operator Recruitment Campaign, as well as files relating to the 2005-2006 standing offer managed by an external executive search firm were examined.

Respective policies, procedures, guidelines were also reviewed.

4.1 Staffing and Reclassifications

A cross section of 2006 files was selected from all departments proportional to their usage of these processes. As a result, files from various bargaining units (CIPP, CUPE, etc.) and non-unionized groups (Supervisory and Administrative Support (SAS) as well as some from the Management and Professional Exempt (MPE)) were reviewed.

Files were examined to ensure appropriate delegated authority had been received prior to processing various requests, as well as to ensure that these were managed in accordance with policies, guidelines, provisions of the collective agreements and/or terms and conditions of employment.

4.1.1 Executive Search Services

The City awarded a standing offer to three firms for the provision of executive search services for the period August 2005 to August 2008. In this regard, all processes conducted by the firm who performed the most work for the City since August 2005 were reviewed. Results against costs were also incorporated within the scope of the audit.

4.1.2 Large Recruitment Campaigns

In 2006, the City held large recruitment campaigns for Firefighters, Students and Bus Operators. These campaigns attracted thousands of applicants. Given that there were two large Bus Operator Campaigns in 2006 and that these are labour intensive, the campaign launched in June 2006 was chosen for review.

The scope of this review included the selection process from the time applications were received to the time that successful candidates were identified for training classes. The audit also incorporated the verification of individual files for candidates who were deemed successful as well as unsuccessful ones to ensure fairness, consistency and transparency.

The spectrum of hiring steps including documentation related to tracking, testing and interviewing applicants and ultimately selecting them were reviewed. In addition, documentation of this large recruitment process was also considered in the audit.

5 DETAILED FINDINGS AND RECOMMENDATIONS

5.1 Accountability

5.1.1 Human Resources Framework

Generally accepted management principles require that an organization have a human resources strategy or plan in place, and that this statement of overall direction be supported by more detailed planning documents and a comprehensive set of policies and procedures.

The City of Ottawa does not have a comprehensive human resources strategy that identifies future directions linked to business requirements. The document that most resembles a human resources strategy is a document tabled at City Council in February 2007 entitled *HR Plan 2006*, which was prepared by the Employee Services Branch and outlines FTE changes from 2000 to 2006; FTE projections for 2007 and variances. It does not encompass environmental scans nor does it identify anticipated gaps, priorities and strategies linked to business priorities and challenges. We have identified the lack of comprehensive strategy in some of our other audits, such as our audits of building permits, fleet, financial control, food inspections and surface operations.

Having said this, the Employee Services Branch has initiated an exercise to focus on “Talent Management” which encompasses succession planning, recruitment and retention as well as development. It proposes to establish and manage a corporate talent management strategy that supports and compliments the City’s future corporate and business plans to be presented to Executive Management Committee (EMC) in November 2007. It will be paramount that this exercise be part of ongoing planning exercises and replace the current HR Plan which is inadequate.

Without a clear definition of an overall direction, the HR function has focused its efforts on meeting immediate operational requirements and frequently changing priorities.

In terms of policies and procedures, the City has a number of HR policy documents relating to various areas that are both available in hard copy as well as accessible to City employees via the intranet. Guidelines, procedures, forms and checklists also support City policies. These are sufficient, but there are no controls in place to ensure that they are followed and adhered to by hiring managers.

Recommendation 1

That Employee Services enhance its management framework and practices by developing an integrated planning framework which would define an overall HR strategy for the HR function and from which would emanate a true HR plan linked to business priorities as well as implement control mechanisms to ensure that policies, procedures and guidelines are respected by hiring managers.

Management Response

Management agrees with this recommendation.

Employee Services is developing a Talent Management Strategy, which addresses departmental needs, succession planning, recruitment, retention, and employee development. The strategy is being developed in consultation with client departments and will provide the framework for an integrated business approach to address current and future HR needs of the City of Ottawa. The strategy will be presented to the Executive Management Committee (EMC) in Q1 2008. In addition, Employee Services will start reporting staffing anomalies to department heads, including non-compliance along with recommended courses of action, by the end of Q2 2008.

5.1.2 Accountability and Delegation

In the existing system, accountability is shared between Employee Services Branch and the hiring managers. There needs to be a shift in culture to restore accountability to the hiring manager and for Employee Services Branch to take a greater role in the elaboration of HR strategies, plans, training, monitoring, reporting and oversight.

The role of Employee Services would be to encourage and safeguard the highest standards of integrity, risk management and internal control, and oversight. At this stage, it is focusing on transactions and providing advice, which is not necessarily taken.

Employee Services Branch has to undertake a process of redefining the primary role of the HR function away from processing transactions to more of a strategic advisory role to hiring managers and increasing its compliance role. Hiring managers would therefore assume more responsibility and accountability for functions such as staffing and reclassifications.

The organization is currently looking at implementing a process for delegation of authority for staffing actions. Inasmuch as there is a need to complete the delegation of authority, there will be a greater need to ensure that formal or mandatory training is implemented to ensure that hiring managers possess the required information in order to effectively and efficiently deal with human resources activities while ensuring transparency and fairness.

Recommendation 2

That Employee Services implement a framework in support of increased delegations, designed in such a way as to improve the efficiency of HR services while preserving its integrity through appropriate control mechanisms. In order to be able to staff positions, appropriate delegation of authority and training should be provided to hiring managers. Delegated authority should be removed from those hiring

managers who do not adhere to staffing policies, guidelines or provisions outlined in the collective agreement.

Management Response

Management agrees with this recommendation.

Employee Services is in the process of reviewing and clarifying the role of the hiring manager and respective delegated authorities and accountabilities. Once the roles are clarified, a control framework will be implemented and training will be provided to hiring managers regarding staffing policies, guidelines and provisions contained in collective agreements. These actions will be completed by the end of Q2 2008.

Control framework will include a reporting process to department heads by the end of Q2 2008 that addresses non-compliance along with recommended courses of action that may include the removal of delegated hiring authority.

5.1.3 Performance Indicators

Regular statistical information and reports are provided to EMC, either as presentations, updates, reports or via the scorecard. The information currently focuses on metrics such as the average overtime hours taken by employee, average sick leave hours, number of Workplace Safety Insurance Board (WSIB) claims, number of outstanding grievances, number of job ratings completed, etc. Inasmuch as there is a significant amount of data provided to EMC, there are no human resources targets, goals or risks identified. The “scorecard” is a repository of volumetric information and is a good tool to track and report on volumes, but it has very little performance measure of goals and overall key targets.

Employee Services currently reports on thirteen items that serve as high-level indicators related to the health and wellness of the organization. As well as being time-consuming, this approach can lead to serious problems not being detected beneath a large amount of data; it also causes information overload or even paralysis. Instead, a focus on key measures, linked to key objectives, is recommended. A focus on key measures will demonstrate that HR practitioners are aware of what is relevant and of value to the organization and that they contribute to strategic goals.

Recommendation 3

That Employee Services focus on reporting in an integrated fashion on high level projects, strategies and plans with targets and risks in order to establish performance indicators for key priorities for the HR function.

Management Response

Management agrees with this recommendation.

Employee Services provides volumetric information to management including EMC, and has started to provide more in-depth analysis on key indicators, such as excess vacation leave and uncertified sick leave. Employee Services also provides detailed

reporting and analysis at the department and branch level for several measures, such as Workers Safety Insurance Board (WSIB) and Employee Assistance Program (EAP). Employee Services participates in various benchmarking initiatives, such as the Ontario Municipal Benchmarking Initiative (OMBI), and the Human Resource Benchmarking Network (HRBN). These surveys provide pertinent comparators, and future scorecards will be updated, based on management requirements, to provide more relevant measures with comparisons to benchmarked performance. Performance reporting on high-level Human Resource projects, strategies and plans will be provided to EMC on a quarterly basis.

5.1.4 Monitoring and Reporting

The Human Resources Consultants are responsible to provide advice as well as to monitor staffing related activities. This monitoring is done through day-to-day activity and the current method of resolving a difference of opinion between HR and the hiring manager is often to escalate to the next level of management for a decision.

There is currently no means to make senior management aware of the risks involved as a result of hiring managers and others not following human resources advice and not adhering to established staffing policies and guidelines.

In addition, there is neither monitoring of nor consequences to hiring managers who do not adhere to policies, procedures and guidelines.

Recommendation 4

That Employee Services establish a better monitoring and controlling process to reinforce the requirement to follow expected procedures and establish clear accountability. This would include having a mechanism to escalate the reporting of anomalies, discrepancies or blatant disregard for the staffing policy in order for EMC to be made aware of those situations and to ensure that action is taken.

Management Response

Management agrees with this recommendation.

Employee Services currently escalates staffing anomalies to senior management prior to processing the final staffing action. Employee Services will start reporting staffing anomalies to department heads including non-compliance along with recommended courses of action, by the end of Q2 2008.

5.2 Recruitment and Staffing

In order to recruit and maintain a highly competent, qualified and diversified workforce, it is imperative that the City have policies, procedures, and guidelines in this regard and that it ensures that management and Employee Services are well aware of their roles and responsibility to maintain fairness, transparency and equity.

The City's recruitment and staffing program objectives are:

- To attract, appoint and retain qualified, competent persons;
- To provide employees with opportunities for personal and professional development; and
- To promote the City as an "employer of choice" through excellent customer-service delivery and professional treatment of all job candidates.

Through its Recruitment and Staffing Policy, the City also wishes to ensure that recruitment and staffing activities are undertaken in such a manner that will ensure good value, and will be simple, timely and effective in their delivery.

5.2.1 Staffing and Recruitment Policies, Procedures and Guidelines

In general, there are ample policies, procedures and guidelines for recruitment and staffing activities. Policies and guidelines are posted on the City's intranet while the latter are also incorporated within the Guidelines and Procedures Handbook.

These include but are not limited to: Recruitment and Staffing Policy, Bilingualism Policy, Hiring and Employment of Family Members Policy, Assessment and Testing Procedures, Staffing and Recruitment Guiding Principles, Collective Agreement Staffing Provisions, Competition Posting at a Glance, Competition Screening at a Glance, Equivalencies at a Glance, External Posting Guidelines, and information on appropriate filing methodology for competition files, etc.

In addition, provisions within the various collective agreements also outline specific directives pertaining to staffing vacancies within the respective affiliations. These collective agreements provide specific provisions with regards to how the Employer has to proceed to fill vacancies and how priorities of candidates will be rated including giving priority to employees within the bargaining unit, processes to advertise and fill vacant positions, etc. Seniority is often a factor considered in some of the agreements. These agreements are prescriptive in approach and serve as a basis to consistently staff vacancies occurring within the unionized ranks.

The majority of staffing and recruitment policies, procedures and guidelines are geared towards filling unionized positions but there is very little to govern staffing activities in the other groups.

There are minimal provisions to guide staffing activities to fill vacancies within the Management Professional Exempt (MPE) group and the language incorporated in the terms and conditions of the Supervisory and Administrative Support (SAS) group is limited at "paralleling those of CUPE Local 503 Inside/Outside collective agreement".

This increases the risk of management believing that they have flexibility in the recruitment of employees for Management Professional Exempt and Supervisory and Administrative Support, making it difficult for the Human Resources Consultant to provide advice to the hiring manager and to maintain control of the recruitment and staffing activities for positions within these categories, depending on the hiring manager's background, culture and understanding of the policies.

Recommendation 5

That Employee Services develop and implement staffing directives and guidelines to govern staffing activities for MPE and SAS vacancies.

Management Response

Management agrees with this recommendation.

Employee Services will develop and implement staffing directives and guidelines to govern staffing activities for Management Professional Exempt (MPE) and Supervisory and Administrative Support SAS vacancies by the end of Q2 2008.

5.2.2 Hiring and Employment of Family Members Policy

The City has in place a "Hiring and Employment of Family Members Policy" to ensure that employment related decisions concerning existing or potential City employees are free from any real or perceived improper influence based on familial relationships and to maintain public confidence in the integrity of the City's hiring and employment practices.

The policy description reads as follows:

"One of the City's human resources objectives is to hire the best candidate available for each vacancy, while taking into consideration the legal requirements imposed by such things as collective agreements. While strong family relationships are to be encouraged, these should not form the basis of an employment decision within a large government organization. As a consequence, the City prohibits employment situations where family members would:

Be supervised by, or subordinate to, one another;

Be given preferential treatment in being recruited and/or selected for vacancies; or

Be appointed to positions where job responsibilities would be incompatible with positions occupied by family members.

While this policy is intended to apply solely to immediate family relations (defined as child, parent, spouse) employees and elected officials should be cognizant that broader familial ties and other close personal relationships may give rise to the same concerns surrounding real or perceived conflicts as those specifically address in this policy. As a

result, employees and elected officials who find themselves in such situations should be sensitive to these concerns and govern themselves in keeping with the spirit and intent of this policy.”

Inasmuch as the purpose is broad, the actual definition of “family” in the policy is limited to child, parent, and spouse, but excludes brothers, sisters, and in-laws. In addition, the only working relationship which is prohibited is a “direct reporting relationship” whereby a family member has authority to approve or deny increments, overtime or negotiate salary level, conduct performance appraisals, administer discipline or direct work assignments. We have found instances where family members are in the same unit, but may not report directly to each other, or may report indirectly to each other.

5.2.2.1 Student Hiring and Family Members

Children of City employees undoubtedly have more opportunities to work at the City, as they are more likely to be aware of the dates of recruitment campaigns and the requirements of the City. It is not uncommon for children of City employees to work at the City nor is it prohibited by the policy.

Having said this, it is important to ensure that there is no direct reporting relationship occurring and that the recruitment campaigns are fair and transparent.

Upon review of student employment in 2006, it was reported that 323 students’ phone numbers out of a possible 2,140 matched those of City employees. A review of a sample of 50 of those 323 possibilities was made to review the reporting relationships.

As a result, no direct reporting relationships were discovered. The only working relationship which could have potentially given rise to a “perceived” improper influence based on familial relationships was a case where an employee was the child of a Director and worked in the same department. Upon review of the organizational chart of that department, it was discovered that there were many levels of management between the child and the parent Director.

While general responsibility for assuring adherence to the policy must rest with those responsible for appointment and assignments, a particular responsibility for sensitivity to the potential conflicts falls on family members to report any perceived conflict.

The campaign for recruiting students is largely automated and the screening is therefore made electronically and matches are done by the system which generates lists of potential candidates for interviewing. In this regard, it is less likely that candidates who do not possess the minimal requirements be considered for interviews.

Recommendation 6

That Employee Services review the policy “definitions” to include a broader definition of “family”. Once the policy is modified, ensure appropriate communication strategy to clearly explain to all hiring managers and employees the importance of being free from any real or perceived improper influence based on familial relationships in order to maintain public confidence in the integrity of the City’s hiring and employment practices. Family members in existing direct reporting relationships should be reassigned.

Management Response

Management disagrees with this recommendation.

The City’s Hiring and Employment of Family Members Policy was passed by Council in September 2003 so as to be in compliance with a statutory requirement for municipalities to enact a Hiring Policy.

Considerable debate occurred surrounding the issue of defining which family relatives should be addressed in the policy. To a large degree, the discussion centered on whether siblings should be included; however, a motion to include siblings was defeated on a vote by Council. Part of the concern expressed was that a broader definition of "family" may run afoul of the provincial or federal Human Rights Codes as well as the Charter of Rights and Freedoms.

In the end, Council adopted the same language to define "family" as is used in two pieces of provincial legislation, the Municipal Conflict of Interest Act and the Police Services Act. This definition includes parents, spouse and children, only, and is sufficient to satisfy the statutory requirement on Council.

Although the definition of “immediate family” is limited to parents, spouse and children, the City’s Policy does provide a sufficient amount of flexibility within which any individual employee or member of Council could self-disclose based on their own, broader interpretation of family.

5.2.2.2 Family Members and the Selection Process

Various tests were performed to quantify the magnitude of family related employees at the City of Ottawa. This is not unusual and generally not problematic unless direct reporting relationships occur or that influence is used to circumvent normal recruitment processes.

In this regard, a test was conducted to identify close relatives who had direct reporting relationships with each other. From the sample testing, we found five cases of related employees with a direct reporting relationship. Of the five cases of a direct reporting relationship between related employees, three were in direct contravention of the existing “Hiring and Employment of Family Members Policy”. There was a direct reporting relationship between a Mother/Son, Father/Son, and Husband/Wife. The other two instances of related employees with direct reporting relationships were

between brothers, and between individuals who shared the same address. Management has indicated that an “operational work-around” has been created in three of the cases. In the other two cases, the employees have changed positions.

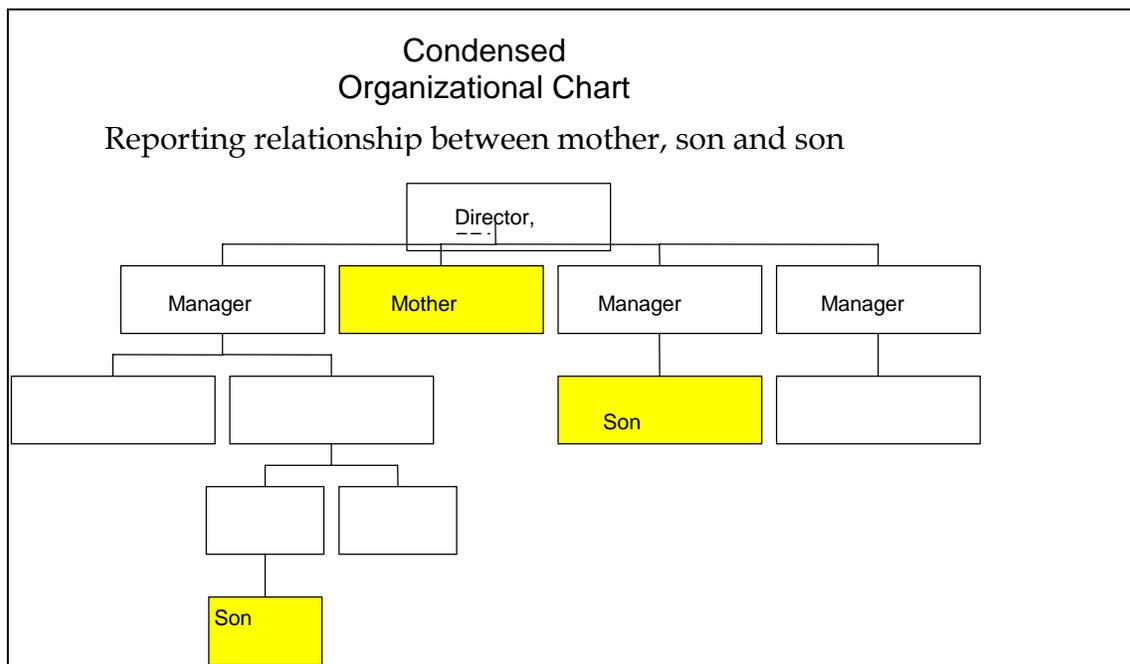
The issue, which could be more problematic, is the lack of consistency in screening which provides potential opportunities for people who know someone (family members or others) to be screened in without meeting the basic requirements.

As a matter of fact, a case has been brought to the attention of the Office of the Auditor General’s via the Fraud and Waste Hotline in 2006 alleging that a parent, who is in a managerial role at the City, had “influenced” the process of a competition within her branch and had therefore given an advantage and preferential treatment for her son to be selected for a vacancy.

It is to be noted that, when a vacancy occurs and a position is posted, applications are initially received and reviewed by Employee Services Branch who normally review the résumés and do a preliminary screening of the candidates based on minimal education and experience as set out on the competition poster. The hiring manager then reviews the screening summary provided by Employee Services and is asked to comment on the screening rationale and explain any changes that they have made since they are ultimately accountable for the decision. Those who do not meet the minimum requirements are not considered further and do not get invited for an interview.

Upon review, it was confirmed that the candidate’s mother was a manager in the same department and branch as the vacancy while the father also worked at the City, but in a role that does not involve recruitment activities. It was also discovered that his brother was also working in the same department and branch as the mother.

Figure 2: Excerpt from Org chart – Limited to represent working relationship of family members



Inasmuch as the parent was not directly responsible for the competition and did not participate in the selection process, the optics of such reporting relationships are undesirable.

Upon review of the selection process file in question, it was discovered that the candidate had originally been “screened out” by the Employee Services Branch who indicated that he did not possess the minimum experience as described on the job poster.

However, the candidate was given an interview but there is no rationale or explanation documented in the competition file as to why he was considered as it is impossible for him to have four years clerical experience of which one year must be in a social services or customer services field when he graduated from high school in 2002 and states that he has completed a Bachelor of Arts after 2004. His work experience is limited to summer jobs and part time jobs which could not possibly equate to four years in total.

There is no indication on the file or on the screening report as to who performed the final screening and allowed for the candidate to have an interview.

At the interview, he failed. Although there is no documentation or rationale on the file, he was re-interviewed approximately four weeks later by different board members with revised questions which were similar to the first set and received a passing mark. on the overall results sheet. He therefore passed and received an offer of employment for the position.

A further review of the situation revealed that the Labour Relations Division instructed Staffing and Client Relations Division to re-interview the candidate following an informal complaint. None of this information is documented on the competition file.

Inasmuch as the candidate does not report to his mother, he is in the same department and branch and, at a minimum, there is a perception of “preferential treatment in the recruitment process”. Given that he did not have the minimum experience required, he should not have been interviewed. Furthermore, providing him with a second interview appears inappropriate given that he had not stated his special requirements prior to the first interview.

Recommendation 7

That Employee Services implement controls in order to ensure that only applicants who clearly meet the minimum requirements outlined on job posters are interviewed. Screening reports should be signed by the responsible manager who is accountable for the screening, attesting that the candidates proposed for interviews meet the minimal education and experience and that the final screening report should be sent to Employee Services for review prior to inviting candidates for interviews or testing.

Management Response

Management agrees with this recommendation in principle, however believes the policy should allow for exceptions.

Employee Services already screens the candidates based upon posted qualifications. Candidates who meet the minimum qualifications are recommended to the hiring manager for an interview. The HR consultant reviews the screening reports jointly with the hiring manager and consensus must be reached before the interviews are conducted. Hiring managers are asked to sign off on the final selection of candidates and provide rationale for candidates who were not initially screened-in by Employee Services. Where consensus cannot be reached, the matter is escalated to a higher level of management and will be included in the report of staffing anomalies that is brought to the director of the branch. The practice of escalating screening issues where consensus could not be reached started in 2007.

5.2.3 Recruitment via External Search Firms

5.2.3.1 Selection and Costs Incurred for External Search Firms

Recruiting for executive positions is often done through executive search firms who work closely with the City to identify their needs, prepare a search strategy, execute a candidate search and screening prior to providing the City with a short list of candidates for interviews. These recruitment firms also assist in interviewing and perform reference checks.

Inasmuch as there is value in ensuring that best qualified candidates are hired and to perform national searches, experience over the last two years has demonstrated that the ultimate choice is often an employee who was already working at the City or known by the City through previous employment.

As a matter of fact, the City has qualified, through a standing offer process, three firms to provide “professional services” and conduct executive searches for selected and identified management positions which require specialized skills and/or abilities. These firms were to have the ability to recruit bilingual candidates for those positions where bilingualism is required. The period covered by the standing offer is three years, from August 2005 to August 2008.

Figure 3: Firms selected by the City and sums paid out in 2006.

Name of firm	Amounts paid out in 2006 – represents professional fees paid including expenses such as advertising, travel, etc. as well as taxes
Firm “A”	\$390,042
Firm “B”	None
Firm “C”	\$ 15,996
TOTAL	\$406,038

The distribution of work (Figure 3) was not allocated in a balanced way contrary to the recommendation outlined in the 2005 Audit of the Procurement Process.

The bulk of the business (96% of amounts paid) was awarded to firm “A”, which had the most costly price of the three firms that had qualified on the request for proposal, and are currently on the City’s standing offer for Professional Executive Search / Specialized Recruitment Services.

Upon review of the files which resulted in permanent placements for the current standing offer (August 2005 to August 2008 which are not necessarily those paid out in 2006) managed by Firm “A”, four placements had been made totalling \$213,333 in professional fees plus \$68,890 in expenses, mainly for advertising fees (including advertising in Globe & Mail and La Presse) for a grand total of \$282,223 excluding taxes.

These fees were incurred to complete four selection processes of which three resulted in the selection of candidates who were already City employees. The one external recruit who was not already a City employee was probably known to the City of Ottawa, as

this candidate had previously worked for the Region of Ottawa-Carleton from 1993 to 2000. Therefore, \$282,223 was spent to recruit four senior management representatives who were working at the City or known to senior management

Inasmuch as the executive search firm in question had prepared documentation, performed a thorough search, contacted many of their contacts and provided services to the City, the results remain costly. Arguably, the process serves as a “validation” to ensure that the “best possible” candidate is selected, but proves to be costly and makes no use of the City’s internal Employee Services Branch.

Recommendation 8

That senior management retain search firms only after City processes do not generate qualified candidates and that, in those cases, allocation of work be balanced as per the recommendation outlined in the 2005 Audit of Procurement.

Management Response

Management disagrees with this recommendation.

It has been the practice of the City since amalgamation to use executive search firms to undertake recruitment of senior management positions. The executive search firms have access to a nationwide talent pool that is not available to the City, which ensures the City casts the widest net possible to attract top talent to these key senior positions and serves to validate that the best possible candidate is selected.

Executive search firms are pre-qualified based on their experience in recruiting senior executives. The selection of the executive search firm to conduct the search is based on the firm that has the most relevant experience recruiting for the position that needs to be filled.

5.2.3.2 Documentation of Executive Searches

The executive search maintains an electronic database of candidates and is able to produce reports of candidates that were considered for the positions as well as some documentation (advertising insertions, executive briefs which are given to potential candidates, long lists reports and short lists of candidates interviewed, etc) which are maintained electronically.

The City has maintained limited files for these processes and the Employee Services Branch was not involved at all with some of the processes. The hiring manager has dealt directly with the search firm and has forwarded some of the documentation to the Employee Services Branch after the fact. The documentation on those files is very limited and provides no justification to substantiate the selection of candidates for interviewing and more specifically no rationale for the actual hiring of one candidate over another.

Recommendation 9

That hiring managers provide appropriate documentation for selection processes at senior management levels and ensure that Employee Services are involved in these selection processes.

Management Response

Management agrees with this recommendation.

Currently, Employee Services works closely with the executive recruitment firm and the hiring manager throughout the recruitment process. This participation includes involvement at the short-list meetings and on the hiring board. Documentation of these hiring processes is now consistent with the City standards for competition files.

5.2.4 Compliance**5.2.4.1 Documentation of Files**

The Employee Services Branch provides numerous tools to the hiring managers to assist in documenting the various recruitment processes. In addition, Human Resources Consultants actually perform an initial screening of candidates and fill out a “screening summary report” which they expect to be reviewed by the hiring manager who is ultimately accountable for screening. Approximately half of the files reviewed did not have comments on the screening summary from the hiring manager. As a matter of fact, most of the screening reports did not even identify the hiring manager.

In addition, very few files had a consolidated board report indicating who was interviewed and the results of tests / interviews. Each file should have a board summary report outlining the hiring manager’s actions as well as a rationale or justification to support the selection decisions. External recruitment files where large numbers of candidates apply are particularly not well documented and justification is often absent as to why one candidate is invited to an interview over another.

Recommendation 10

That hiring managers methodically complete screening reports and board reports to document their actions and decisions. Interviews should not be initiated until the hiring manager has provided a written rationale on the screening summary report to the Human Resource Consultant as to who will be interviewed and letters of offer should not be provided until the board report is completed.

Management Response

Management agrees with this recommendation.

Employee Services developed a number of key tools and on-line resources in 2006/2007 to guide hiring managers through the interview process and assist in recording hiring decisions. A Consensus Scoring and Selection Decision Summary and revised Interview Guide are sent to the hiring manager, along with the screening summary and detailed information with respect to the hiring process. Starting in

2007, letters of offer were not provided to the hiring manager until the Consensus Scoring and Selection Decision Summary was completed by the hiring manager and sent to Employee Services.

5.2.4.2 Screening on Education and Experience

In order to ensure that candidates interviewed meet the basic requirements for positions being staffed, screening is performed.

Initially only the bargaining unit candidates are reviewed and short-listed. In the case of a seniority-based competition, short-listing only needs to occur for the top senior candidates to provide the hiring manager with a sufficient pool of candidates to review. For example, if a competition is a CUPE 503 competition, and 20 applicants are from within CUPE 503, then only the top 3 to 6 candidates should be short-listed.

In the case of CIPP competitions, all bargaining unit candidates are reviewed and short-listed. Seniority is not a factor with CIPP and the hiring manager has discretion to select to interview candidates who meet the basic qualifications.

Only those candidates from within the bargaining unit who make the short list should have their résumés forwarded to the hiring manager. The other résumés are kept by the Human Resources Consultant in the competition folder while the hiring manager reviews the initial short-listing group. Case by case, Human Resources Consultants may do the short-listing with the hiring manager directly.

In all cases, all the bargaining unit applicants must be fully reviewed with due consideration for the position. Once those from within the bargaining unit have been fully exhausted, then all other applicants from within the City, who applied on time, should be reviewed. There is no hierarchy of candidates beyond the initial bargaining unit of the position posted.

Competition screening summaries and short-listing generally have three phases:

- Firstly, those candidates who applied in the appropriate order as noted above are set out on the competition screening summary. Where seniority is a factor, the seniority information is included and the candidates are presented in seniority order.
- Secondly, the Human Resources Consultant reviews the résumés and screens the candidates based on education and experience and/or certification requirements as set out on the competition poster. Language is not a screening factor unless the position has been designated as a Day 1 Bilingual position.
- Thirdly, the hiring manager reviews and comments on the screening summary. This may involve discussion with the Human Resources Consultant about the application of equivalencies and/or verification of credentials by phone interview. The hiring manager may add further or additional information as well in regard to applicants

who withdrew or declined an interview. The final competition screening summary with hiring manager's notes must be included in the competition file.

Those who do not meet the minimum requirements are not recommended for interviews and are not considered further.

Of the sample reviewed, the process to give priority consideration to the respective bargaining unit and seniority was respected and adhered to.

In competitions where seniority was not a determining factor, hiring managers tend to provide opportunities to more candidates including some who do not necessarily meet the minimal requirements and to those whose résumés are "unclear". Based on screening summary reports, hiring managers screened candidates without a written rationale on the screening summary report and proceeded with interviewing candidates who did not meet the basic education and experience requirements in over 27% of the cases reviewed (Figure 4).

Figure 4: Number of competitions where candidates did not clearly meet minimum requirements but were screened in for testing or interviewing

	No. of competitions where candidates did not meet minimum requirements but were considered for testing / interviewing	Total no. file with sufficient info to determine	Percentage
Dept			
PWS	7	11	64%
CS	3	9	33%
CPS	2	23	9%
PGM	0	1	0%
Total	12	44	27%

Note: Five files were excluded as they did not contain sufficient information to attest while one other file was excluded as it was an open external recruitment process.

As a result of considering candidates who do not meet the minimum requirements, the City has made offers to 6 candidates out of 44 offers out of the 2006 sample, representing 13.64% (Figure 5).

Figure 5: Number of successful candidates who were appointed without meeting the minimum requirements

	Number of successful candidates who did not meet	Total no. file with sufficient info to determine	Percentage
Dept			
PWS	3	11	27%
CS	2	9	22%

CPS	1	23	4%
PGM	0	1	0%
Total	6	44	13%

Note: Five files were excluded as they did not contain sufficient information to attest while one other file was excluded as it was an open external recruitment process.

By appointing personnel who do not meet the requirements of the positions, the organization risks having an unqualified workforce which can ultimately impact on program delivery. Job descriptions are the common basis for classification, staffing and compensation. It is therefore critical that all disciplines respect the basic requirements outlined in the job description in order to pay the candidate who possesses the skills outlined as a basic requirement in the job description given that these are the same basic requirements that were used to evaluate the job which then drives the pay rate.

For these reasons, the classification process calls for “minimal” education and experience on job descriptions. Hiring managers tend to “exaggerate” the “minimal” requirements for classification purposes in order to obtain the highest grade and ultimate pay band for their positions yet they are prepared to interview and select candidates who do not meet those same requirements.

The job requirements directly affect the level of compensation of the position. If the person in the position does not meet the job requirements, they are being over-paid. Similarly, if the position does not need the requirements, then the position is over-classified. Both cases cost the City more compensation costs than would otherwise be required.

Recommendation 11

That Employee Services and hiring managers sign off the screening report on education and experience (unless seniority is the driving factor) to ensure that all considered candidates possess the minimal requirements. Those candidates who do not clearly articulate how they meet the requirements should be “screened out”. Human Resources must take a greater role in ensuring candidates meet the minimal education and experience.

Management Response

See Recommendation 7.

5.2.4.3 Application of Equivalencies

Education and experience equivalency guidelines have been established by the job evaluation group for use during the recruitment and staffing processes at the City of Ottawa. Job Evaluation’s role is to ensure that the equivalency is consistent with the job evaluation point values as defined within each of the respective job evaluation plans that serve to arrive at a level and ultimately drive the salary of a position. The

equivalency guidelines utilize the minimum requirements identified during the job evaluation process as the basis for determining alternate combinations of skill sets.

The City of Ottawa's education and experience equivalency guidelines are designed to:

- Provide opportunities for both internal and external candidates who possess alternative combinations of education and job-related experience that are deemed to be equivalent to the minimum job requirements, to be considered for vacant positions;
- Facilitate the equitable consideration of candidates for employment and career development opportunities;
- Reduce systemic barriers and respond to employment equity requirements;
- Broaden the pool of eligible candidates that a supervisor/manager might consider by recognizing directly related experience in lieu of formal educational qualifications;
- Attract and retain qualified candidates, and provide career progression opportunities for internal staff;
- Increase management flexibility and latitude in making hiring decisions; and
- Respond to line operational needs with a consistent approach.

It is not the intent of these guidelines to change the value of a job by revising the education and experience requirements. Consideration of equivalencies during the staffing process does not change the education and experience standards on the job description that has been rated under the job evaluation process.

The education and experience equivalency guidelines are based on the following premises:

- The education and experience requirements established in the job description are recognized as the minimum acceptable requirements necessary to perform the duties and responsibilities of the job;
- Alternative combinations/profiles of educational qualifications and job-related experience can legitimately equip individuals with the knowledge, skills and abilities to perform in a particular position;
- Where hiring equivalencies are used, candidates must demonstrate their ability to perform the job through the competition process (interview, testing, etc.); and
- There are no equivalencies for accreditation, except on a very limited case-by-case basis (see section on Accreditation below). Additional education and/or experience cannot be used to substitute for a legally required license or certification.

These guidelines apply to all City of Ottawa jobs and all competitions where equivalencies can be established, whether for internal or external candidates, with the following exceptions:

- Jobs requiring accreditation (see below);
- Apprenticeship program (covered by a separate policy);
- Qualified Candidates List (QCL) used in the Public Works and Services (PWS) Department; and
- Special initiatives/programs, such as the Reintegration Program.

As a general rule, there is no equivalency for accreditation. Mandatory academic qualifications and legislative requirements in professions such as law, medicine, engineering, accounting and so on cannot be substituted with additional work experience. On a very limited, case-by-case basis, exceptions may be approved by the Job Evaluation Consultant, in consultation with the management of the Department concerned. Accreditations may only be substituted where the designations are recognized as equivalent in nature. For example, certain jobs in Planning and Growth Management require either an Engineering or Planning degree plus accreditation as a P. Eng. or CIP.

Accreditation is directly related to corporate liability. If a job legally requires a license or certification in order to practice, and the incumbent does not have it, the corporation is subject to liability should an accident or error occur that could be related to the lack of required credentials.

If a job description is evaluated based on having a professional designation, then the job poster and the selected candidates must have this same designation.

The equivalency guidelines also articulate appropriate clauses to use in the various competition posters depending on the groups and understandings that have been reached with various Unions.

For example, competition posters for MPE and CIPP competition posters should read: "Experience and formal training combined with demonstrated performance and ability may substitute for stipulated academic requirements." While those for CUPE Local 503 jobs, the equivalent levels of education and experience that will be considered have to be listed on the poster.

Normally, an equivalent combination of education and experience is a reduction of one job evaluation degree under the Education factor and a corresponding increase of one job evaluation degree under the Experience factor. That is, some or all of the educational requirement may be replaced by additional experience for recruitment and

staffing purposes only, if the candidate demonstrates the knowledge, skills and ability to satisfactorily perform the job. However, other equivalencies may be established where reasonable and appropriate.

The guidelines provide various two dimensional grids comprised of the education and experience statements from the job evaluation plans for CIPP, CUPE 503 Plan 1 and CUPE 503 Plan 2, respectively. Cells that share the same letter within each grid indicate combinations that may potentially be considered to be equivalent for jobs within that bargaining group.

The Statement of Qualifications in the job description should identify the minimum levels of education and experience required to satisfactorily perform the job. The cell that reflects this combination is therefore the starting point on the grid. Normally, the cell containing the same letter that is one step on the diagonal to the right is considered to be a reasonable alternate combination.

For example, if the requirement for a job in CUPE Local 503 Plan 2 (Figure 6a) is “graduation from a two-year community college program” plus “minimum 3 years but less than 5 years” of related experience (identified on the grid by the letter “G”), the recommended equivalent combination would be “completion of secondary school (Grade 12) and one year of post-secondary training” plus “minimum 5 years but less than 8 years of experience”.

Figure 6a: CUPE 503 PLAN 2 - Equivalent Combinations of Education and Experience

		Job Related Experience						
		< 6 mths	6 mths to 2 yrs	2 to 3 yrs	3 to 5 yrs	5 to 8 yrs	8 to 10 yrs	> 10 yrs
Education	Completion of some Secondary School (Grade 10)	X	A	B	C	D	E	F
	Completion of some Secondary School (Grade 10) + 1 year of vocational/ technical training	A	B	C	D	E	F	G
	Completion of Secondary School (Grade 12)	B	C	D	E	F	G	H
	Completion of Secondary School + 1 year post-secondary training	C	D	E	F	G	H	I
	Graduation from a 2-year Community College program	D	E	F	G	H	I	J
	Graduation from a 3-year University or Community College program	E	F	G	H	I	J	K
	Graduation from a 4-year University program	F	G	H	I	J	K	L
	Graduation from a University program of 5 years or longer	G	H	I	J	K	L	X

Note: plus or minus one degree recommended

Figure 6b: Example of a plan - CIPP Equivalent Combinations of Education and Experience

		Job Related Experience				
		< 1 year	1 to 3 years	3 to 5 years	5 to 8 years	> 8 years
Education	2 year Community College Diploma	X	A	B	C	D
	3 year Community College Diploma or 3 year University Undergraduate Degree	A	B	C	D	E
	4 year University Undergraduate Degree	B	C	D	E	F
	University Graduate Degree (Master's)	C	D	E	F	X

Note: plus or minus one degree recommended

Source: Education and Experience Equivalency Guidelines for Recruitment and Staffing Purposes – Revised November 2002

The City of Ottawa has established these guidelines in order to maintain consistency throughout the organization while providing maximum hiring flexibility and career progression opportunities.

This tool assists the HR professional in providing advice to the hiring department and ensures that the equivalency is consistent with the job evaluation point values as defined within each of the respective job evaluation plans. This is an excellent practice as it keeps job evaluation and recruitment aligned and brings consistency within the organization.

Even though there are clear guidelines and grids to determine true “equivalencies”, screening is not always consistent with those guidelines. This is particularly true in MPE and CIPP competitions where the equivalency statement reads, “Experience and formal training combined with demonstrated performance and ability may substitute for stipulated academic requirements”. In those cases, the grid is often disregarded and hiring managers tend to consider equivalencies without as much rigour. Management indicated that the guidelines are guidelines and not policy directives, and that they were developed to permit management a certain amount of flexibility in the staffing process.

For example, a poster was calling for “Four year University degree in Environmental Science or Engineering” and “Five year experience in managing resources for

environmental projects while the selected candidate had 18 months college “IT fundamental certificate” and one year towards Bachelor of Science with 18 years of related indirect experience which was considered equivalent. Relating back to the equivalency guidelines and the CIPP grid (Figure 6b), the successful candidate did not possess “equivalency”.

Recommendation 12

That Employee Services implement controls to ensure that only candidates possessing the required accreditations be interviewed and that equivalencies not be used in those instances.

Management Response

Management agrees with this recommendation.

Employee Services already has controls in place to ensure that only candidates who have the required accreditations (e.g. registered nurse, professional engineers) are considered for the position. Equivalencies are not considered for positions that require accreditation.

Recommendation 13

That Employee Services and senior management reiterate the concept of equivalencies and its purposes and that screening be done accordingly in order to ensure that successful candidates meet the basic requirements of the positions.

Management Response

Management agrees with this recommendation.

Equivalencies will form part of the training offered to hiring managers on the staffing process in Q3 2008.

5.2.4.4 Letters of Offer

Letters of offer are often being done after the start date of the employee. Employee Services are asked to provide the letter once the competition is completed and often after verbal offers of employment have been made. This does not provide for any opportunity to review the file, the selection process, or to provide advice or take corrective actions if required.

Close to 30% of offers from the audit sample were dated after the successful candidates had already started in their new positions. It can take up to a month for Employee Services to receive the letter signed by the employee once the offer is made.

Figure 7: Letters of offer made after start date

	Number of competitions where letters of offer were made after the start date	Total no. file with sufficient info to determine	%
PWS	5	12	42%
CS	2	9	22%
CPS	6	27	22%
PGM	1	1	100%
Total	14	49	28%

Note: One file was excluded as it was an open external recruitment process.

Recommendation 14

That hiring managers refrain from making verbal offers and ensure that a sufficient timeline be allowed for the competition files to be reviewed and for letters of offer to be done prior to the start date of successful candidates.

Management Response

Management agrees with this recommendation.

Employee Services will remind hiring managers of this requirement at the start of each job competition.

5.2.4.5 Hiring Freezes

A hiring freeze usually occurs towards the end of the fiscal year (December) and remains in force until the budget process is finalized.

In 2006, hiring volumes remained relatively the same throughout the year (Figure 8) even though there was a freeze from December 2005 to approximately March 2006. During that period, Deputy City Managers had to approve the staffing of each vacancy based on whether the position was absolutely necessary in order to provide service to the public.

In the files reviewed, appropriate approvals had been obtained in all instances. It is to be noted that the Employee Services Branch also started to report on a weekly basis in December 2006 the positions for which there has been approval to staff in order to keep the City Manager aware of each endorsement.

Prior to December 2006, Employee Services would review requests and ensure that an appropriate approval had been obtained by the respective Deputy City Manager prior to initiating the staffing action.

Figure 8: Hires per month during 2006

	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
Hires	125	79	83	76	82	48	42	50	289	90	88	35
Part-time for programs	110	35	65						214			
Bus Ops		26							19			

In order to analyze volumes and provide additional information on the actual hires during the hiring freeze (January, February, March and December) as well as to review the significant increase in September of 2006, a subsequent revised detailed report was produced directly from the corporate financial system contrary to the original report which was a monthly report which had originally been pulled on a monthly basis from the RPA (request for personnel action) electronic program and been cumulated at the end of each month.

Management indicated that the vast majority of hires during the freeze were part-time employees required for programs while the September volumes were due to the requirement to hire part time employees.

5.2.5 Large Recruitment Campaign – Bus Operator

Each year, the City of Ottawa initiates large recruitment campaigns in order to attract and select qualified candidates to become Bus Operators. The process takes several months to complete and the hiring of candidates is spread out over a significant period of time in order to train qualified candidates and fill openings during the year.

The recruitment process for the Bus Operator position for 2006 consisted of five stages and took several months to complete given that over 1,000 candidates applied. Applicants had to be successful at each stage before being considered for the next stage. Candidates had to meet the minimum criteria at each stage. Conditional offers of employment were only made to candidates who had been successful at each of the first four stages and were conditional on the candidate successfully completing a training period (Stage 5).

5.2.5.1 Stage 1 – Application and Screening

Applicants were screened based on the stated minimum qualifications of the Bus Operator position. The application had to clearly demonstrate that the candidate met all of the minimum qualifications to be considered for further assessment.

The following were the minimum qualifications required at date of application:

- Legally entitled to work in Canada.
- Ontario Grade 12 Diploma or its proven academic equivalency.

- A valid Ontario unrestricted "G" class driver's licence (or provincial equivalent).
- Driver's Abstract with no demerit points and to the satisfaction of the City.
- Minimum of five years of motor vehicle operator experience in high-density traffic.
- Minimum of three years customer service experience including direct contact with the public, dealing with a diverse population, and handling cash.
- Minimum of three years relevant customer service experience dealing with customers while maintaining strong interpersonal skills in customer focused industries.
- Police Record Check to the satisfaction of the City.
- Oral fluency, reading and writing in English.

The initial screening is based on basic requirements and given that 80% of the candidates apply on-line, this preliminary screening is made systematically. The system screens applicants based on their answers. For example, if an applicant states that he doesn't have a valid Ontario unrestricted "G" class driver's licence, he would be automatically screened out. If, after the fact, the employee calls and realizes that he made an error in his electronic application, the City screens him back in which is administratively onerous. The onus should remain on the applicant to fill out forms appropriately. By adopting a more stringent process, this might reduce the number of calls and administrative work created by the selection process.

Recommendation 15

That Employee Services discontinue its practice of screening candidates who fail to appropriately fill out the electronic application as the onus should remain on the applicant.

Management Response

Management agrees with this recommendation.

The use of electronic application tools for some may still be relatively new, and there may be a requirement for Employee Services to address the technical functionality of the tool. Employee Services will move toward implementation of this recommendation by Q3 2008.

5.2.5.2 Stage 2 – Testing - Customer Service Assessment

Candidates who met the minimum qualifications described in stage 1 were invited to a customer service test and information session.

Applicants were required to bring documented proof of the following items to the Customer Service Assessment testing session. Applicants who were unable to provide proof of the following items were not allowed to write the test.

- Proof of Education
- Driver's abstract (Free of demerit points)
- Police Record Check
- Drivers License

Following confirmation of items listed above, candidates participated in a Customer Service Assessment. The Customer Service Assessment is a video based test that has been specifically designed to be used in the selection of Bus Operators. There are approximately 50 multiple-choice questions and the test takes 85 minutes to complete. Candidates must successfully achieve a minimum passing grade of 70%.

The Customer Service Video test provides the candidates with a multiple choice answer sheet that has “bubbles” which could easily be read by a computer but is unfortunately currently being corrected manually.

5.2.5.3 Stage 3 – Interview / Reference Check

The Interview

- Candidates successful in the Stage 2 - Customer Service Assessment were invited for an interview.
- The interview board was comprised of three members and was conducted in a question and answer format. Questions were a combination of behavioural based, situational based and knowledge based.
- Candidates had to successfully achieve a minimum passing of 70% and the most qualified had their references contacted.

Reference Checks

- At the time of the interview applicants were asked to provide three business related references and signed a release form authorizing the City to contact these references.
- The reference checks were outsourced at a cost of \$75.00 per candidate. This included a detailed written confirmation of three reference checks per candidate
- Reference checks were completed to the satisfaction of the City before candidates advanced to Stage 4 - Driver Competency Assessment.

5.2.5.4 Stage 4 – Driver Competency Assessment

Candidates successful in Stage 3 - Interviews / Reference Check were invited to participate in a Driver Competency Assessment. The Driver Competency Assessment is an on-road assessment of a driver's ability to operate safely. Candidates had to achieve an average that had been determined by Transit Services to be acceptable to move on in the application process. This was also outsourced and provides additional objectivity to the process.

5.2.5.5 Stage 5 – Training Date Confirmation / Start of Employment

Candidates that were successful in all four stages of the recruitment process were finally contacted to confirm a start date for the next scheduled training session.

Successful candidates were scheduled to participate in a six week full-time training program specific to the Bus Operator position.

The following outlines the breakdown of successful candidates by stage for this particular campaign:

Figure 9: Successful candidates by stage - Bus Operator Recruitment Campaign

Stages	No. of successful candidates remaining at each stage
Applications	1,094
Stage 1 – Application and Screening	774
Stage 2 – Testing - Customer Service Assessment	365
Stage 3 – Interview / Reference Check	215
Stage 4 – Driver Competency Assessment	176
Stage 5 – Training Date Confirmation / Start of Employment	161

The process provides for many safeguards, objectivity, transparency and fairness, as each candidate has to undergo an identical process. The results are manually tracked on an Applicant Checklist, which is done up for each candidate and placed on each candidate's file. A massive spreadsheet is also used to track the steps and status of each applicant and provides the City with the ability to report. Having said this, the process from beginning to end is very labour intensive.

By the time an offer is made, a few months may have passed. Candidates are therefore asked verbally if they have maintained their "no demerits points" status. This is manually noted by the Human Resources Consultant on the file which contains the candidate's application and testing results.

As one can appreciate, the process is laborious, meticulous yet very systematic, and there has been many tools and templates created over the years to ensure consistency and fairness. However, there is not a single repository of information which would document the process and index the existing reference tools to facilitate knowledge transfer and to maintain consistency.

Recommendation 16

That Employee Services consider automating certain processes and tracking mechanisms to provide both the hiring manager and Employee Services with on-line status at any time.

Management Response

Management agrees with this recommendation.

In Q1 2008, Employee Services will work with Information Technology Services to determine the possibility of automating the tracking mechanism that would provide the hiring manager and Employee Services on-line staffing status in real time. Costs will be determined at that time and if significant will be requested in the 2009 budget.

Recommendation 17

That Employee Services design and implement a mechanism for candidates to sign as part of the acceptance process, which would systematically require confirmation that they have maintained "a no demerits record".

Management Response

Management agrees with this recommendation.

Employee Services has amended the letter of offer to include a sign off by candidates which will validate that they have maintained a no demerits driving record.

Recommendation 18

That Employee Services undertake to fully document the process, the steps and the methodology used to retain the knowledge and continue to improve on process. This documentation could also incorporate the various models of letters, forms, templates, as well as an index of the existing electronic files for future reference.

Management Response

Management agrees with this recommendation.

Employee Services will document the bus operator recruitment process by the end of Q2 2008.

5.3 Reclassifications**5.3.1 Job Evaluation Function, Policies and Job Evaluation Plans****5.3.1.1 Job Evaluation Function**

The purpose of the job evaluation function is to ensure consistency in the application of job evaluation and compensation plans across the corporation and to uphold the principles of equity and fairness.

Job evaluation is the process of determining the value of a job within a bargaining unit or employee group relative to all the other jobs in that bargaining unit or employee group in order to determine where a job fits within a pay structure. At the City, employees are grouped into some 1,750 jobs according to their groupings or bargaining agents.

5.3.1.2 Policy

In 2003, the Senior Management team directed that stronger controls were needed on the level of authority required to create new positions and to make changes to organizational structures to reflect the Delegated Authority By-law approved by Council. In turn, Employee Services implemented changes to the processes associated with position management and introduced a policy on Organization and Position Management Delegated Authority.

The policy clearly defines the level of authority required to approve changes to organizational structures and positions within the City. In order to ensure clear understanding and to sensitize the management staff, a management bulletin was issued on October 9th, 2003 clearly articulating the changes as well as the appropriate delegated authority to affect change.

To this day, this policy remains in effect and stipulates the following with regards to reclassifications:

In order to reclassify a Position, the following approvals are required:

- *Approve the reclassification of an existing budgeted position (below Director level) = Deputy City Manager or Chief Corporate Services Officer.*
- *Approve the reclassification of a Director position = Chief Corporate Services Officer*

5.3.1.3 JE Plans

As at June 2007, 6 of the 13 groups had various Job Evaluation Plans while 3 have tentative plans for future years 2008-10 and 2 have no formal job evaluation plan and their rates of pay are therefore solely determined by the collective bargaining process (Firefighters and theatrical stage employees).

Figure 10: All employee groups and status of job evaluation plans implementation

Employee Groups Non-Unionized	Employee Groups Unionized	JE Plan Yes/No	Tentative Plans
MPE		Yes	
SAS		Yes (CUPE Local 503 Inside/Outside Plan)	
	ATU Local 279	No	Yes (2009)
	ATU Local 1760	No	Yes (2009)
	CUPE Local 503 Inside/Out	Yes (Under revision)	
	CUPE Local 503 (Ottawa Public Library)	Yes	
	CUPE Local 503 (Part Time Recreation and Culture)	Yes (Former City of Ottawa Plan)	Yes (2010)
	CUPE Local 5500 Transit Fleet Maintenance Transit Supervisors	No	Yes (2008)
	CIPP	Yes (Under Revision)	
	OPFFA Firefighters	No	
	IATSE	No	

Legend:
 MPE - Management & Professional Exempt
 SAS - Supervisory & Administrative Support
 ATU - Amalgamated Transit Union
 CUPE - Canadian Union of Public Employees
 CIPP - Civic Institute of Professional Personnel
 OPFFA - Ottawa Professional Firefighters Association
 IATSE - International Alliance of Theatrical Stage Employees

Provided by Compensation June 2007

In addition to policies, there are various maintenance procedures manuals for groups who have formal JE Plans in place such as MPE, CIPP, CUPE, CUPE (Library) as well as

detailed documented processes and steps to provide guidance to the JE Consultant and ensure consistency in rating. These also clearly outline roles and responsibilities.

Tools as well as various forms exist in the world of job evaluation. These include logs, questionnaires, job descriptions training module, writing guide, inventory, etc. One of the key tools from a management and HR perspective is the *Org Unit and Position Change Approval (OPCA)* form which serves to describe the request and obtain approvals for processing.

5.3.2 Job Evaluation File Review - Reclassifications

In 2006, over 118 jobs were submitted to the Job Evaluation function within the Employee Services Branch to be processed for a potential reclassification. Some of these requests were simply to amend a job description to better reflect the duties and did not necessarily result in a reclassification.

These positions were encumbered by approximately 503 employees and resulted in increases to the grade and ultimately pay grades in 78 jobs (66%) of the requests thereby providing an increase of approximately \$2,000 on average for 230 employees totalling \$460,000.

This amount does not include retroactive payments, which would have been made in cases where requests were for periods prior to 2006. These account for 69% (54) of the 78 requests that were successful in obtaining an increase.

Figure 11: Dollar value of compensation increase for one year as a result of reclassifications in 2006

Department	Approx \$ per year*
Corporate Services	\$108,000
Community and Protective Services	\$100,000
Public Works and Services	\$248,000
City Manager's Office	\$2,000
Planning and Growth Management	\$2,000
TOTAL	\$460,000

All reclassifications requests should have the approval of their respective Deputy City Manager on the Organizational Unit and Position Control (OPCA) form as well as a rationale for change and a written justification from the Deputy City Managers or the Chief Corporate Services Officer.

Figure 12: Deputy City Manager approval not indicated on OPCA form by department

Department	DCM OPCA approval not on file	No of valid reclassification files reviewed
Corporate Services	4	9
Community and Protective Services	3	8
Public Works and Services	3	24
City Manager's Office	1	1
Planning and Growth Management	1	1
Office of the Auditor General	N/A	1
TOTAL	12	44 (27%)

Note: Six files were excluded from statistics as they were either missing from sample or not pertinent to the exercise.

Upon review, the DCM approval was not indicated on the OPCA form nor found on the reclassification file in 27% of the reclassification cases.

In addition, 11 of the 24 files reviewed for which retroactivity was greater than six months, had very little or weak rationales attached to the retroactive date. There was very seldom a trigger attached to the chosen retroactivity date

As a result, some employees benefit from retroactivity for periods potentially longer than what they have been exercising the full functions of the "reclassified" positions while there are cases where the manager clearly knows that the individual has been performing the functions longer but chooses a date which is more reasonable.

The review also determined that employees who occupy positions that are reclassified are "deemed to meet the requirements of the reclassified position" without any assessment. This is a practice for which no policy, guideline or provisions of the collective agreement exist. It can result in having employees who do not have the capacity to perform at that higher level yet they automatically receive the new higher rate of pay.

Recommendation 19

That Employee Services ensure that DCM approval is obtained and documented on file and that hiring managers develop clear rationale and justification for effective dates prior to sending to Employee Services. Those who do not provide sufficient information or have weak rationales should not be processed.

Management Response

Management agrees with this recommendation.

Employee Services implemented this recommendation in Q4 2007 and has worked with hiring managers to ensure strong rationales are provided and documented for requested effective dates.

Recommendation 20

That Employee Services, along with the hiring managers perform an assessment of employees in reclassified positions in order to ensure that the incumbents continue to meet the requirements of these positions.

Management Response

Management agrees with this recommendation.

As of Q1 2008, hiring managers will be required to assess existing employees to ensure they meet the requirements of their positions, where their positions have been reclassified to a higher level. This will be addressed with the hiring manager at the time the request for reclassification is submitted.

6 CONCLUSION

The Employee Services Branch has undergone significant changes over the last few years with major challenges such as amalgamation. The Branch operates in a complex environment with 13 collective agreements, 2 non-unionized groups, senior management, and a world where policies, procedures and guidelines are abundant. Staffing and reclassifications are, at best of times, challenging functions given the great demands imposed in these areas and the high expectations of hiring managers for quick and efficient processes.

Over the years, the Employee Services Branch has taken a service approach with hiring managers as “clients” and provided advice and accepted to perform many administrative requirements of the business. In doing so, it has not focused as much on its monitoring and oversight roles. While there is a myriad of policies and procedures, there is very little monitoring or reporting of discrepancies. There are no consequences to hiring managers who have adopted practices that are not within the spirit of the City of Ottawa’s policies. The lack of monitoring and oversight has therefore resulted in inconsistencies in human resources approaches and transactions.

Accountability needs to be shifted back to the hiring managers with additional training and a clear monitoring and reporting framework. Improvements are required to ensure consistency in recruitment and staffing.

In summary, we found a lack of accountability in the management ranks as well as a lack of overall monitoring and reporting by the Employee Services Branch.

7 ACKNOWLEDGEMENT

We wish to express our appreciation for the cooperation and assistance afforded the audit team by management.