

Quality Assurance		Inspection and Enforcement New Brunswick	1.3.9
Policy Title	New or Amended	Division / Branch / Section	Policy #
Chief/Executive Director	December 23, 2016	April 14, 2023	April 2025
Approved by	This policy was approved on:	This version takes effect on:	This policy will be reviewed by:

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## 1. Purpose of the Policy

- A. Assesses the adequacy and effectiveness of the Inspection and Enforcement Branch's administration and operations.
- B. Examines and determines the level of service being delivered by the Inspection and Enforcement Branch to their clients, stakeholders, and partners.
- C. Ensures an objective review of facilities, property, equipment, personnel, and both administrative and operational activities.
- D. Identifies best practices and effectively communicates those best practices to support excellence in operations and management.
- E. Ensures safe and healthy work environments across all business lines which reinforce departmental values and excellence in service delivery.

## 2. Authority

The Chief/Executive Director of the Inspection and Enforcement Branch has authorized the development of a system of inspections and reviews related to the Branch's administration, procedures, and program operations. The review process will be undertaken by the Professional Standards Unit (PSU) in accordance with branch policies.

In the event there is a discrepancy between Branch policies and any applicable legislation or regulations, the legislation and/or regulations supersede branch policy.

## 3. Definitions

**Review** - A comprehensive appraisal and evaluation of the Branch's services and operations.

**Review Officer** - The Chief, Deputy Chief or designate trained in Quality Assurance reviews.

**Review Committee** - Comprised of branch employees from the various units who are appointed by the Review Officer for the purpose of identifying risks and completing the appropriate review guides.

**Professional Standards Unit** - A Unit that falls under the direction of the Chief/ Executive Director of the Inspection and Enforcement Branch. The Unit develops review guides, conducts follow-up reviews, offers recommendations and identifies best practices.

**Findings** - Conclusions resulting from fact-finding, analysis and comparison with stated criteria identified in the review guides.

**Unit** - Any Unit or Section within the Inspection and Enforcement Branch.

**Recommendations** - List of options to resolve findings or observations that have a favourable or unfavourable impact on the delivery of services.

**Best Practices** - A best practice is a method or technique that has been generally accepted as superior to any alternatives because it produces results that are superior to those achieved by other means or because it has become a standard way of doing things

**Review Guides** - An independent document used to assist the Review Committee to perform their appraisal of the Unit. This document allows the Review Committee to take an in depth look at the Unit's services and operations for the purposes of advising management as to the efficiency and effectiveness of internal management policies, practices, programs and controls.

#### 4. Responsibility

##### A. Review Officer

The Review Officer will be responsible for:

- i. the administration and management of the internal review;
- ii. carrying out assessments of the adequacies and effectiveness of operations and administration;
- iii. establishes the Internal Review Committee, identifies and assigns tasks, and determines deadlines;
- iv. ensures that the Internal Review Committee maintains the confidentiality of review records, findings, observations, and recommendations; and
- v. reports review findings and recommendations for improvement to the PSU.

##### B. Internal Review Committee for each Unit

The Review Committee will be guided by the following objectives, roles, and responsibilities:

- i. identify activities that may have a negative impact to the Unit;
- ii. review and complete the risking exercise for each activity identified by the committee;
- iii. advise the Review Officer on the results of the risking exercise; and
- iv. complete review guides of selected activities identified by the PSU.

##### C. Professional Standards Unit (PSU)

The PSU will be guided by the following objectives, roles and responsibilities:

- i. develop review guides for various activities and identify appropriate policies,
- ii. legislation, regulations, and standards related to each activity;

- iii. evaluate and score the review guides submitted by the Units;
- iv. upon evaluation and scoring of the completed review guides, follow-up reviews will be undertaken at selected sites;
- v. Follow-up reviews will be scheduled as per the scoring exercise;
- vi. Provides follow up report(s) to the Chief/ Executive Director of the Inspection and Enforcement Branch.

## **5. Purpose of Reviews**

Reviews may include, but are not limited to, the following:

- A. identify best practices;
- B. identify shortcomings if any;
- C. identify steps taken that ensures excellence in service;
- D. identify the need for resources (for example: human resources, financial resources, and equipment resources);
- E. identify opportunities for improvement in operational, administrative and program management;
- F. ensure that control is maintained;
- G. provide information on the extent to which systems and controls are working well, and identify opportunities for improvement;
- H. measure the adequacy of essential management controls within the Unit, and
- I. ensure compliance with policies, legislation, regulations, and standards.

## **6. Internal Reviews**

Under the direction of the Review Officer, the Review Committee will:

- A. conduct reviews;
- B. ensure impartiality;
- C. observe established timelines;
- D. personnel carrying out reviews in accordance with this policy will be entitled to free access to information that relates to the fulfillment of their responsibilities and to require and receive from officers of the area being reviewed such information, reports and explanations as deemed necessary for that purpose; and
- E. where examples of non-compliance are found, the cause of the problem must be identified to ensure that appropriate corrective action is identified.

## 7. Review Phases

The following phases form part of the review process:

### A. Planning Phase (Review Plan)

- i. establish what is to be done, how to complete it, and who has been assigned to complete the activity.
- ii. the review plan will provide for the following:
  - a. scope of the review;
  - b. measurement criteria to be used;
  - c. timetable;
  - d. nature and extent of the work to be done; and
  - e. resources to be used.
- iii. complete the review guide associated to the identified activity.

### B. Examination Phase

- i. The examination phase will involve:
  - a. inquiry, observation, collecting, testing, and analyzing evidence based on the review objectives, criteria, methodology and interviews with relevant personnel;
  - b. collecting sufficient, appropriate, and reliable information to conclude whether concerns identified in the planning phase were valid (i.e., information gathered will constitute the basis on which to formulate observations, findings and make recommendations);
  - c. documenting observations, findings and developing recommendations; and
  - d. evaluating the performance of the activity being reviewed.

### C. Reporting Phase

- i. This phase will involve:
  - a. the reporting of findings and observations by way of a completed review guide submitted to the Review Officer; and
  - b. the Review Officer, upon receipt of the completed review guide, will initiate any actions necessary to ensure the integrity and the policy requirements of the Unit are maintained.

## **8. Internal Review Follow-Up**

Internal Review Follow-ups will include the following:

- A. the Review Officer will be responsible for developing and implementing plans to correct any deficiencies identified in the Examination Phase;
- B. the Review Committee will monitor or manage the implementation of the recommendations, as directed by the Review Officer;
- C. the Review Officer will submit completed review guides to the PSU to confirm when corrective action has been/or will be completed;
- D. the Review Officer will notify the Review Committee when they have confirmed the adequacy of the corrective action; and
- E. the Review Officer will identify recommendations that require authorization from senior management.

## **9. Professional Standards Unit Reviews**

- A. the PSU will consult with the Review Officer prior to any scheduled review in order to establish the resources required for the on-site visit.
- B. PSU will be provided with a secure and comfortable working area for the purpose of completing the On-Site Review; and
- C. PSU will report to the Chief/ Executive Director on all findings in relation to review guides completed by the Review Committee and all findings in relation to the PSU site visit reviews

## **10. Unsatisfactory Conduct / Service**

If, during the review process by the Review Committee or PSU, it is discovered that an employee's conduct or service is unsatisfactory, details will be submitted, under separate cover, directly to the Review Officer.

## **11. Review Records**

Review reports, including review guides and other documents, will be retained in accordance with government retention schedules.

Appendix "A" - Inspection and Enforcement Risking Template

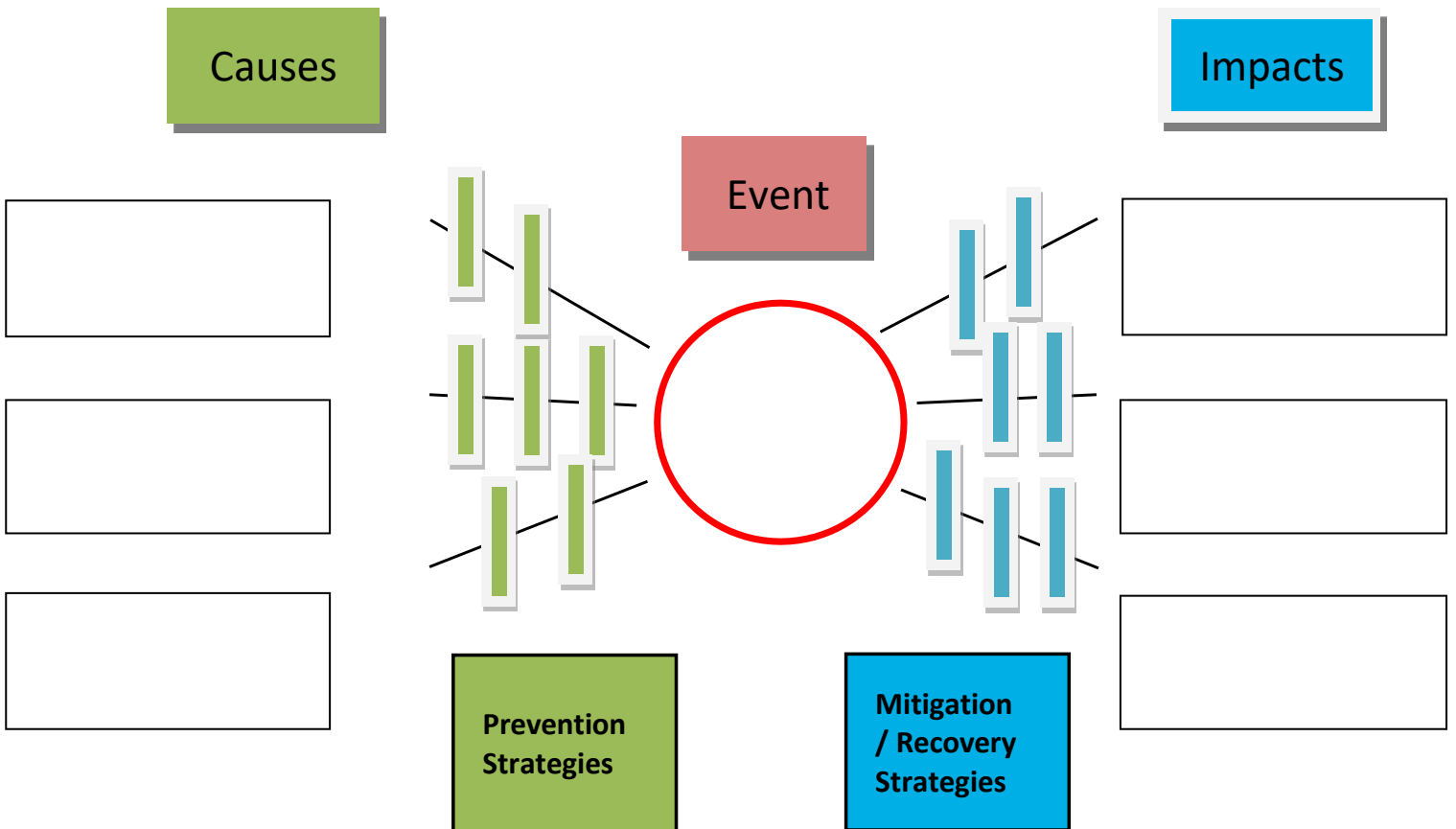
I&E or Unit	RISK ACTIVITY	RISK ANALYSIS				Activity risked in	COMMENTS
		LOW	MED	HIGH	EXT.		
I&E							
UNIT RISK ACTIVITIES							

	Insignificant 1	Minor 2	Moderate 3	Major 4	Extreme 5	
Likelihood	Almost certain 5	Low	Medium	High	Extreme	Extreme
	Likely 4	Low	Medium	High	High	Extreme
	Possible 3	Low	Medium	Medium	High	High
	Unlikely 2	Low	Low	Medium	Medium	Medium
	Almost certain not to happen 1	Low	Low	Low	Low	Low

- NOTES**
1. Inspection & Enforcement Branch (IENB) priorities must be risked.
  2. Unit priorities are chosen by the specific unit within the I&E Branch.
  3. When deciding on the level of risk, consider what the "event" associated to the risk would most likely be.
  4. This template must be forwarded to the Chief/ Executive Director of IENB by Dec 31<sup>st</sup>.

Appendix "B" – Elements of Risk Template

# Elements of Risk





Appendix “C” – Inspection and Enforcement Statistical Sampling Table

**Note:** Use of this table will provide 80% accuracy and 20 % error rate per population sample.

POPULATION	SAMPLE SIZE REQUIRED
0-10	8
11-15	10
16-18	11
19-20	12
21-23	13
24-27	14
28-30	15
31-35	16
36-40	17
41-45	18
46-52	19
53-60	20
61-70	21
71-82	22
83-97	23
98-116	24
117-143	25
144-182	26
183-242	27
243-360	28
361-601	29
602-1890	30

Appendix "D" - Quality Assurance Process Map

[Inspection and Enforcement Quality Assurance Process Map](#)