

chapter IV (part 1):
training and development
of management
(levels 3–8) in the ministry
of attorney general

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Chapter IV (Part 1): Training and Development of Management (Levels 3–8) in the Ministry of Attorney General

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highlights

Introduction

The Ministry of Attorney General has a dual focus: regulatory and justice administration, plus responsibility for a number of independent operating agencies, boards and commissions. To fulfill its mandate in these diverse areas, the ministry employs approximately 6,000 full-time equivalents and, in 1996/97, had a budget of \$900 million.

Exhibit 4.1 lists the ministry’s branches and their responsibilities.

Exhibit 4.1

Ministry of Attorney General: Key Responsibilities by Branch

Branch	Responsible for:
Community Justice	Providing consumer protection, crime prevention and community safety programs. Programs within the branch include Family Maintenance and Enforcement, Victim Services, and enforcement of consumer legislation such as the Residential Tenancy Act.
Corrections	Providing provincial institutional and community-based correctional programs.
Court Services	Supplying, operating and maintaining the courts, sheriff services and transcript services.
Criminal Justice	Prosecuting offences under the Criminal Code of Canada, the Young Offenders Act, provincial statutes and certain municipal bylaws in the Provincial, Supreme and Appeal Courts of British Columbia and the Supreme Court of Canada. The branch also provides legal advice on criminal law to government ministries and the police.
Land Titles	Registering ownership of land.
Legal Services	Advising the government, its ministers and officials on all civil law matters.
Liquor Control and Licensing	Issuing and transferring licences for the sale of liquor; licensing breweries, distilleries, wineries and their agents; approving and monitoring product advertising; and inspecting licensed premises to ensure they comply with the law.
Multiculturalism and Immigration	Taking the lead in all immigration matters on behalf of the Province, and increasing public awareness of multiculturalism and cross-cultural understanding.
Public Safety and Regulatory	Ensuring that the provincial public police forces, security agencies and related emergency preparedness agencies provide adequate and effective services. The branch is also responsible for planning and coordinating provincial response to major emergencies and disasters.
Management Services	Assisting and supporting the ministry’s executive committee and its managers in meeting their program objectives and in adhering to government and ministry-wide policies and directives.
Policy and Communications	Providing policy, planning and communications support to the ministry.

Source: Ministry of Attorney General

In recent years, the ministry has undergone reorganization and downsizing. As well, it has introduced justice system reforms aimed at improving the efficiency and cost-effectiveness of the justice system in the province.

The reform initiatives apply mainly to three streams of the justice system for which the Province has responsibility: criminal justice, civil and family justice, and the administration of the justice system.

To effectively implement these reforms, managers require strong leadership skills and an ability to manage change. The ministry needs such managers to lead and develop employees who can continue to help the ministry fulfill its mandate and meet the service expectations of the public.

The role of the manager is no longer one of telling people what and how to do their work in a “command and control” approach. Rather, it is one of facilitating work processes, building partnerships, managing change and coaching and developing people. This role is based on a common understanding of the ministry’s strategies, objectives and policies.

In this audit, we set out to assess how well the Ministry of Attorney General is training and, especially, developing its managers to prepare them for the extensive changes and challenges taking place in the organization. The audit also allowed us to gain some insight into issues applicable to the larger management population within government.

Audit Purpose and Scope

The purpose of this audit was to assess whether the Ministry of Attorney General is using training and development strategically to maintain its human capital in the key area of management. We also examined whether the ministry is evaluating the value for money it receives from its investment in training and developing its management staff.

The ministry has 327 employees classified as managers in levels 3–8. There are 271 middle managers (levels 3–5) and 56 senior managers (levels 6–8). In general, individuals in middle management positions are in support functions, such as human resources, finance and policy development. They may manage small numbers of staff and usually have limited financial and program responsibilities. Senior managers occupy

director and executive director level positions. These individuals usually have responsibility for a number of programs and their corresponding financial and human resources.

The audit fieldwork was carried out between December 1997 and December 1998, and involved a review of ministry documents, interviews and a survey of all managers in levels 3–8. We achieved a 72% response rate (Statistics Canada assisted the audit team in the survey development and analysis of results). Findings are accurate 19 times out of 20, generally to within 3.5% of the true values. The survey results will provide the ministry with a comprehensive database on training and development and can be used as a benchmark for future monitoring.

Our examination was performed in accordance with value-for-money auditing standards recommended by the Canadian Institute of Chartered Accountants, and accordingly included such tests and other procedures we considered necessary in the circumstances.

Overall Conclusion

The current training and development provided to managers in the Ministry of Attorney General will not adequately maintain the skill base the ministry needs now and in the future.

The central problem is a lack of commitment to management training and development. Decisions about training and development for management staff are being made in the absence of a strategic plan for maintaining the management skill base. This means that decisions are made in isolation, with no consistent criteria, and therefore may not make the best use of training dollars or be focused on ministry objectives. There is also no evaluation of whether or how the training and development offered management is improving performance. However, the ministry has recently introduced a human resource strategy, and this should assist it in making more strategic decisions about training and development.

We also concluded that the Legislative Assembly should be receiving accountability information about training and development and about the human capital of the ministry. Currently it receives none.

Key Findings

The Ministry of Attorney General is facing some urgent human capital issues relevant to management staff that threaten the effectiveness and quality of its services

Key Results from Our Audit

- over the next five years, 59% of senior managers and 46% of middle managers will reach age 55 or older and be eligible to retire
- 47 managers (all levels) left the ministry in the period November 1996 to March 31 1997
- 43% of managers had their jobs redefined in the one-year period from December 1996 to December 1997
- one in four managers participated in development

The Ministry of Attorney General has developed a human resource strategy. However, until the strategy is fully implemented, a number of issues place the management of human capital at risk: lack of succession planning, an aging workforce, the impact of reorganization and downsizing, and a competitive job market.

The lack of succession planning to deal with the exodus of managers as the workforce ages is a concern. In addition to normal attrition rates, over the next five years 59% of senior managers and 46% of middle managers (who are usually in the ranks from which senior managers are recruited) will reach age 55 or older and be eligible for retirement. By 2008, 100% of the current senior managers and 82% of middle managers will either have left or be eligible to retire.

As well, both downsizing and reorganization have affected the management staff of the ministry. Sixty-three percent of managers have been in their current positions for less than five years, and 43% of managers have had their jobs redefined during the 12 months under review.

In 1996/97, efforts to reduce the ministry's budget resulted in many employees leaving, as they took advantage of voluntary severance packages or early retirement schemes. Some were also involuntarily laid off. A total of 275 employees left the ministry in the period November 1996 to March 31, 1997, including 47 managers (all levels).

The above findings suggest that the ministry should be focusing on succession planning and management development. We found, however, that only one in four managers had participated in development in the 12-month period under review. Given the challenges the ministry will be facing in the future, development of managers should therefore become a higher priority.

We anticipate that implementation of the ministry's human resource strategy will assist the ministry in using training and development more strategically, and in strengthening succession planning.

The ministry's commitment to management training and development is inadequate to maintain management's skill base

Key Results from Our Audit

- 49% of management staff participated in formal training
- the average manager received 10 hours of job-related training
- the ministry invests about 0.9% of payroll in training and developing all ministry staff
- 17% of management staff believe that the ministry provides adequate support for training and development
- 57% of management staff believe that their supervisor provides them with reasonable opportunity for training and development

During the year ended December 1997, 49% of management staff participated in formal training, either cross-government or ministry-specific. Those who received training felt that it was valuable in that it applied to their current jobs, helped them to do a better job and was fully supported by their supervisor.

However, taking into account the 51% of managers who did not receive training, the average manager in the Ministry of Attorney General received 14 hours of training of which only 10 hours were job-specific. The remainder of the training was either mandatory courses for all government employees, such as occupational health and safety training, or computer-related training. This amount of training is significantly lower than the 31 hours of training received by Canadian managers overall, as reported in a 1996 Conference Board of Canada survey. As noted above, only one in four managers participated in a development activity.

We were unable to separate management training expenditures from all training expenditures within the ministry. However, we estimate that the ministry invested about 0.9% of payroll in training and development in the 1996/97 fiscal year, which is similar to the investment made by the British Columbia public service overall but substantially less than that made in other comparable organizations in Canada and abroad.

Only 17% of management staff believe that the ministry provides adequate resources for training and development. Managers told us that training resources are focused on operationally necessary skills such as those required by corrections and probation officers, while management-focused training and, in particular, development is not a priority. As well, only 57% of managers believe that their supervisor provides them with reasonable opportunity for training and development.

Within the Ministry of Attorney General, each branch identifies training dollars within its operational budget, based primarily on historical usage. Our survey showed that this has resulted in inconsistencies in the availability of training. Fifty-nine percent of the managers in the Corrections Branch indicated they had received ministry-specific training, compared to only about 25% of the managers in the Court Services Branch and none in the Land Titles Branch.

Issues in the work environment indicate a need for executive and senior management development

We found that, in the opinion of management, the ministry's culture is not supportive of training and development. Only half of the management staff believe that training and development is a fundamental value of the ministry. As well, we noted a number of factors affecting organizational performance:

- 63% of managers believe they have the tools and resources to do their job well;
- 60% believe they get the feedback they need to do their job well; and
- 56% believe they receive meaningful recognition when they perform well.

These findings indicate that there are problems with the performance management system, and they reinforce the need for executive and senior management development. As well, these work environment issues may significantly reduce the effectiveness of any training and development provided and must be addressed if the ministry is to gain the most value from any future investment.

Accountability for managing the ministry's management human capital needs improvement

Roles and responsibilities for training and development are clearly defined within the ministry. As well, the ministry complies with the data entry requirements of the Corporate Human Resource Information and Payroll System, which allows it to track cross-government training activities. However, not all ministry-specific training is tracked on the system, and therefore the ministry is not able to get a complete picture of the amount of training and development that is provided to managers.

At the same time, current evaluation of training and development activities by the ministry tends to focus on measuring managers' immediate reactions to the design and content of the training. Thus, the ministry has little information as to whether training is affecting individual or organizational performance.

Furthermore, no report is given to the Legislative Assembly on the overall state of human capital within the Ministry of Attorney General, even though this is one of its most important assets.



our recommendations

In addition to the recommendations for all of government outlined in Chapter I and in the Introduction to the Ministry Reports, we make the following recommendations specific to the training and development of management within the Ministry of Attorney General.

- 1. We recommend that the ministry assess the amount of development it is providing its managers and adjust it as needed to ensure that they will be able to accept additional responsibilities and future job assignments.*
- 2. We recommend that the ministry review its management training in conjunction with the management competencies being developed by the Curriculum Advisory Committee for Supervisors, Managers and Executives, to ensure that the level and type of management training provided is in keeping with the competencies and will adequately maintain the management skill base.*
- 3. We recommend that the ministry ensure that decisions about who receives training and development and about the allocation of training funds are based on a ministry-wide needs assessment.*



managing human capital through training and development

In this section, we outline our findings about some of the factors that we believe put the human capital of the management group in the Ministry of Attorney General at risk.

Our expectations for the management of human capital through training and development are outlined in Appendix A.

We found that the majority of managers believe that their job descriptions accurately reflect their duties, and that the majority are clear about what is expected of them in their positions. However, we also found that the ministry does not have the ability to target its training, and that the development of managers for future assignments is very limited. In addition, we noted several issues in the work environment that indicate a need for management development.

Creating a Culture That Values Staff and Their Development

In 1997, the Personnel Services Division developed a human resource strategy for the ministry. It did so in response to an increasing sense that without executive level direction, personnel staff and managers responsible for the management of human resources might be working under confusing and conflicting priorities that were not linked to critical business needs. The ministry executive subsequently adopted the strategy in 1998 and selected six priorities in the report to focus on for 1998/99. The Supportive Workplace Committee, made up of eight executive and senior managers from across the ministry, is responsible for overseeing implementation of the priorities.

Also, recognizing the importance of a culture that supports its staff and their contributions, the ministry incorporated components of the human resource strategy into the strategic plan it completed in August 1998. The strategic plan includes a goal “to develop a supportive and productive workplace environment,” and incorporates the six priorities of the human resource strategy to help achieve the goal. These strategies are outlined in Exhibit 4.2.

Exhibit 4.2

Strategies to Develop a Supportive and Productive Workplace Environment, Ministry of Attorney General

Develop ways to recognize employee contributions, and raise the level of commitment to the government employee recognition plan.

- Manage illness and injury absenteeism through: an awareness program and flexible work options and scheduling; implementation of substitution policies/guidelines; and creation of strategies to deal with negative workplace climates.
- Ensure human resource planning and equity objectives are integral parts of business plans.
- Attract and attain a diverse workforce by removing artificial barriers, employing flexible employment policies and using programs designed to increase the employment of youth.
- Establish an employee performance management process that includes setting expectations, performing regular assessments and reporting.
- Implement a succession plan across the ministry.

Source: Ministry of Attorney General 1998–2000 Strategic Plan

Both the human resource strategy and the ministry strategic plan were only in the initial stages of implementation at the time of our audit.

According to the managers we surveyed, the ministry's culture is not supportive of training and development. Only half of the management staff believed that training and development is a fundamental value of the ministry and that it is supported by ministry practices.

When asked if the ministry provides adequate support for training and development in terms of financial and human resources, only 17% of the managers said they believed it did. Managers told us that training resources are focused on operationally necessary skills such as those required by corrections and probation officers, while management-focused training and, in particular, development is not a priority. As well, only 57% of managers believe that their supervisor provides them with a reasonable opportunity for training and development.

Interviews and written comments sent to us with the survey questionnaires echoed these findings. Managers said that training budgets are always the first to be cut in times of restraint; there is a lack of staff to fill in for those on training; and the opportunity to attend training is affected by whether or not the supervisor believes training and development of staff is important.

These findings point to the need for the ministry to focus on creating a learning culture that supports the training and development of its management staff. Implementation of the priorities outlined in the human resource strategy is a worthwhile first step in providing a clear message that employees are valued.

Determining Knowledge and Skills Requirements to Meet Future Performance Expectations

We found that the Ministry of Attorney General does not have core competencies identified for its management staff. However, the human resource strategy notes that the ministry needs to review the job requirements of key positions and develop such competencies. As well, the Employee Learning Services' Curriculum Advisory Committee for Supervisors, Managers and Executives is currently developing competencies for managers across government. The results of this work will be shared with the Ministry of Attorney General and others for implementation.

Although the ministry has not yet established core competencies for managers, about 75% of managers we surveyed believe their job descriptions accurately describe the duties they perform. As well, 85% say they are clear on what is expected of them in their current positions. These are good results. And, in our view, the ministry needs to build on them in three ways: by developing competencies which reflect both current and future knowledge and skill requirements; by targeting training to address identified gaps; and by focusing on development requirements to prepare staff for future job assignments.

We also found that 27% of managers discuss their training and development needs with their supervisor less than once a year and a further 27% have never discussed their needs with their supervisor. This suggests to us that the ministry does not know what the overall training and development needs of its managers are. At present, decisions on training and development are based on an ad hoc, manager-by-manager basis—not on a needs analysis. The amount of training and development received also varies by branch, and decisions as to whether or not an individual receives training and development are based on whether the immediate supervisor believes in it, what the historical usage of funds has been, and how fiscal restraint is dealt with. For example, 59% of managers in the Corrections Branch indicated they had received ministry-specific training, compared to only about 25% in the Court Services Branch and none in the Land Titles Branch.

Determining the Best Strategy for Managing Human Capital

Determining the best strategy for managing human capital (e.g., whether to recruit, develop from within or contract the services out) requires analysing a number of factors, including workforce demographics, the impact of organizational change, and the job market. We found that the Ministry of Attorney General is beginning to monitor some of the environmental factors that can affect its management human capital, and that it has incorporated them into its human resource strategy.

Management demographics

The ministry's human resource strategy noted that 41% of all managers in levels 4–10 will reach age 60 in the next 10 years. A closer analysis of senior management (levels 6–8) indicates that 59% will reach age 55 or older in the next five years and be eligible to retire. All current senior managers will be eligible to retire in the next 10 years. Forty-six percent of middle managers (from whom senior management replacements are usually drawn) have the potential to retire in the next five years and 82% in the next 10 years. This potential exodus does not include the general attrition of managers due to resignations, long-term disability or transfers to other ministries.

These numbers represent a significant potential loss of management skill, which the ministry should be actively addressing through succession planning and development of future managers.

Impact of organizational change

Significant changes within the ministry in the past few years have affected the knowledge requirements of management staff. During 1996/97, efforts to reduce the ministry's budget resulted in a number of employees in all classifications leaving as they took advantage of voluntary severance packages and early retirement schemes or faced involuntary layoffs. Changes in some government structures over the past few years have also affected the ministry. For example, youth probation and youth custody were transferred to the Ministry for Children and Families. As well, the type of work being done in the ministry is changing with the justice reform initiative. Today there is a much stronger emphasis on policy development, partnerships and project management.

The result of all these events has been the loss of many skilled employees and their corporate memory, and therefore a

weakening of the ministry’s overall human capital. The extent of this impact is large. Under the downsizing initiatives announced in November 1996 (which included early retirement and voluntary severance packages), 275 employees with a combined 5,065 years of service left the ministry. The 275 people who left the ministry represent 16% of all employees and service years lost to government.

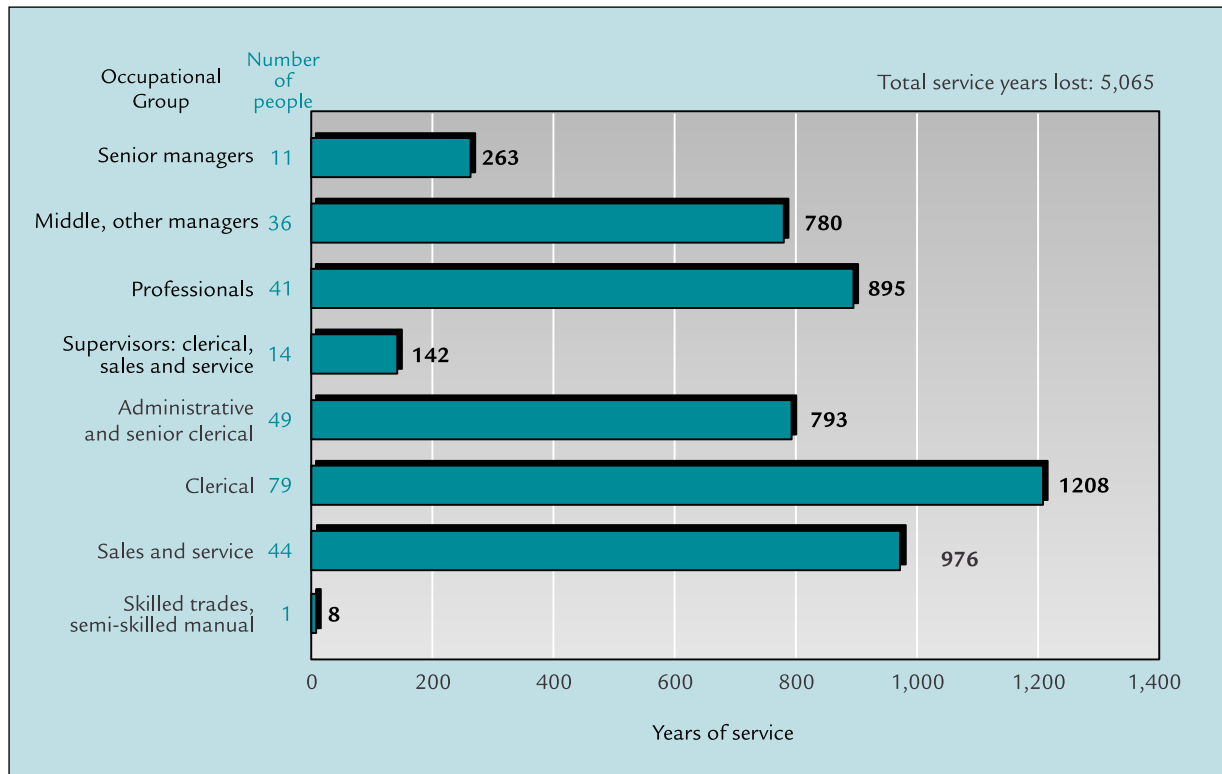
The remaining managers are fairly new to their positions. Sixty-three percent of them have been in their current job for less than five years. This number jumps to 74% for management staff located at headquarters. As well, 43% of managers have had their jobs redefined in the past 12 months, many as a result of reorganization, and more than 66% of those were senior managers.

Employees assuming a new position as a result of this reorganization were to receive job orientation and in-service training to help them meet job-specific requirements. There are

Exhibit 4.3

Years of Service Lost During Downsizing, by Occupational Group in the Ministry of Attorney General

November 1, 1996 – March 31, 1997



Source: Compiled by the Office of the Auditor General of British Columbia



Courtesy: BC Buildings Corporation

Prince George Courthouse

some indications that the ministry has been using training to facilitate change at the management level. We found, for example, that 75% of managers whose jobs were redefined received ministry-specific training. As well, 82% of those whose jobs were redefined said they are clear about what is expected of them, and 72% feel properly trained to carry out their duties.

Job market

The ministry’s ability to recruit and retain staff in particular occupational categories often depends on supply and demand in the job market. Therefore, the ministry must consider both its current workforce and its ability to recruit from the external market if necessary. The ministry’s human resource strategy highlights the importance of this issue and recommends that an assessment of specific recruitment challenges facing each branch be undertaken. It also calls for any needs that cannot be met through internal staff development to be identified.

Determining Whether Training and Development Is the Right Solution

Addressing performance issues within the ministry requires determining whether the issues are a result of a lack of knowledge and skills or whether they are the result of other factors. Some of these factors include whether or not managers have access to appropriate tools and resources, and how effective the feedback and recognition they receive is. In

addition, managers need to understand and believe in the direction of the ministry. In this way they can know what is expected of them and what new skills they should be developing. All of these issues should be addressed in the overall human resource strategy for the ministry. We found that current management of these performance-related issues does not support effective delivery of services. Further investment in training and development may be wasted if barriers to the use of knowledge, skills and abilities are not effectively managed.

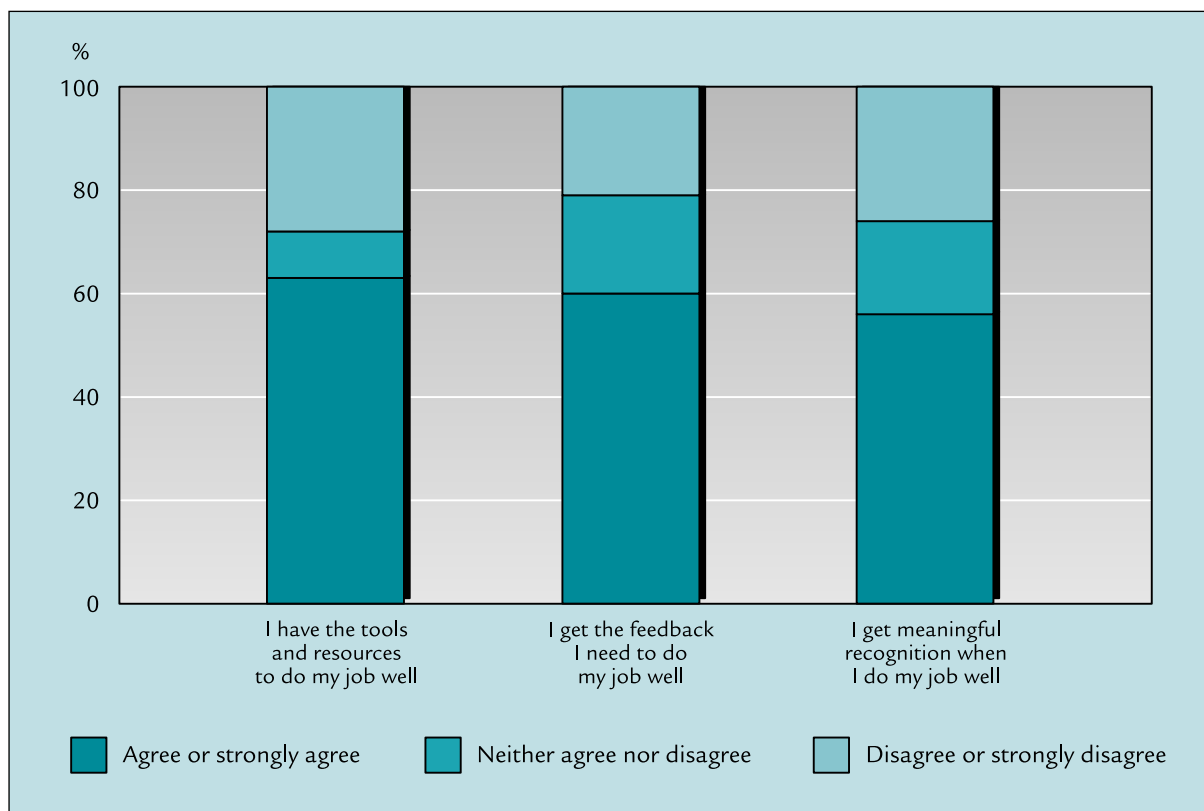
Factors affecting on-the-job behaviour

As Exhibit 4.4 shows, our management questionnaire revealed that:

- 63% of senior and middle managers believe they have the tools and resources to do their job well;

Exhibit 4.4

Management Perceptions of the Work Environment in the Ministry of Attorney General



Source: Office of the Auditor General of British Columbia, Ministry of Attorney General Management Training and Development Questionnaire, 1998

- 60% believe they get the feedback they need to do their job well; and
- 56% believe they receive meaningful recognition when they perform well.

These findings are not good. They indicate there are barriers to performance for which training and development cannot compensate, and which may significantly reduce the effectiveness of any training and development provided. Because all of these issues have an effect on a manager's willingness or capability to use his or her skills, the ministry should address them if it is to get the most value from any future training and development programs.

One formal method that many organizations use to provide employee feedback and recognition is an annual performance appraisal. We found that this method is not being well used in the Ministry of Attorney General. Only 20% of managers reported having received a performance appraisal in the past 12 months. Managers told us that they do not receive a performance appraisal on a regular basis, and that they in turn do not provide appraisals for their staff because doing so is not seen as important by ministry executive.

These findings indicate two other important points as well: there is a problem with the performance management system; and there is a need for executives and senior managers to create and maintain a more supportive work environment, where managers have the necessary tools and resources and where they can expect to receive feedback and recognition when they do a job well. This second point is particularly important if managers are, in turn, to create a supportive work environment for their employees. Without the support for their own development, managers will not be motivated to promote and foster the development of staff.

Understanding the direction of the ministry

In a changing environment, communication of the direction of the ministry and its branches becomes more critical than ever. In the case of this ministry, however, we found that 52% of management staff do not believe the ministry's strategic plan is well communicated and 6% do not believe the ministry has a strategic plan. As well, 39% of managers do not believe that the branch or regional plans are well communicated and 10% do not believe there are any branch or regional plans at all.

There were no differences in how well senior managers and middle managers thought the ministry's strategic plan

was communicated. However, only about half of the middle managers believe that the branch or regional plans are well communicated, compared to two-thirds of senior managers.

Sixty-one percent of managers indicated that, as part of their job, they had participated in a business or strategic planning activity in the past 12 months. Of those that participated, 89% were senior managers compared to 54% who were middle managers. Those participating in a planning activity usually did so at the branch or divisional level. We also found that how well managers thought the strategic plan was communicated was not affected by whether they had participated in the planning activity. However, participation at the branch or regional level resulted in managers believing the plan was well communicated—approximately 60% who participated believed the plan was well communicated, compared to about 40% who did not participate.

Although managers do not believe ministry plans are well communicated, and a large number of managers are relatively new to their current duties, we found that 85% indicated they are clear on what is expected of them. This is very positive; however, we think it is important that the ministry ensure that what individual managers believe is expected of them matches organizational expectations.



training and development: participation rates, delivery methods and costs

In this section, we discuss the limited amount of training and development offered by the ministry and the financial investment it is making in management human capital.

Two useful indicators of an employer’s commitment to training and development are the amount of training and development it provides for employees and the level of investment it makes in the undertaking. We found that the Ministry of Attorney General provides significantly less training for its managers than other Canadian organizations offer their managers. The ministry also invests fewer dollars in training than do other comparable organizations (see Chapter I, Exhibit 1.9).

Employee Participation in Training and Development

Forty-nine percent of management staff participated in some form of formal training between December 1996 and December 1997. This is very similar to the participation rate of all other employees within the Ministry of Attorney General. However, overall, this ministry provided significantly less training than did government as a whole, where two-thirds of employees received training (see Exhibit 4.5).

In total, managers received 14 hours of training. The average manager received 10 hours of ministry-specific

Exhibit 4.5

Comparison of Training Received by Ministry of Attorney General Management Staff, All Staff in the Ministry of Attorney General and All British Columbia Public Service Employees, December 1996 to December 1997

Type of Training	Attorney General Management Staff (%)	Attorney General All Staff (%)	British Columbia Public Service Employees (%)
No training	51	48	36
Cross-government and/or computer	12	14	25
Ministry-specific	37	38	39

Source: Office of the Auditor General of British Columbia, British Columbia Public Service Employee and Ministry of Attorney General Management Training and Development Questionnaires, 1998

training, which is about the same as the average ministry employee and average government employee.

However, for management staff, these training hours are significantly less than those reported in a 1996 survey by the Conference Board of Canada. According to that survey, employers provided management with an average of 31 hours of training annually.

The remaining four hours was for cross-government or computer training. Cross-government training is mandatory and includes courses and workshops relevant to all government employees, such as occupational health and safety, employment equity awareness and prevention of harassment in the workplace. Computer-related training includes updates for end-users when new systems are implemented.

The most frequent reasons given by ministry managers for not participating in formal training were that:

- they did not have the time;
- it was not a priority compared to their other responsibilities;
- they were not aware of any training opportunities; and
- their request for training was not approved or was canceled due to budget restrictions.

Two-thirds of managers reported receiving informal training. There was some regional variation in this: 70-75% of managers in the Lower Mainland and Victoria said they had participated in an informal training activity, compared to less than 50% of the managers in other regions. Sixty-two percent of managers who received informal training felt it was equally as valuable as formal training. The most common informal training activities were reviewing professional journals, checking work-related Internet sites, and reviewing audio or videocassettes. We concluded that although informal training seems to be effective, opportunities are not consistent or available to all managers on an equal basis.

We found that only one in four managers participated in an activity for development purposes. The most common type of development was attending workshops, followed by attending lectures and conferences. Given the environment of change in the ministry and the demographics of its managers, we believe that the amount of development is inadequate to prepare managers to assume higher levels of responsibility. Development is also particularly important for technical or professional staff (e.g., probation officers) who, in order to advance, often have to make a significant shift in focus from technical skills to management skills.

Overall, we have concluded that the ministry’s current level of investment is not enough to ensure that the skill base of its managers will be maintained, or that the skill base is being adequately developed to assume greater responsibilities and future assignments.

Delivery of Training

Although training within the ministry is delivered using a variety of methods, Exhibit 4.6 illustrates that, of the methods reported, the classroom setting still predominates. These findings are consistent with the practice in other organizations.

In the field of training and development, we note that there is a growing trend in using advanced technology to reach more employees. We found that the Ministry of Attorney General has not used advanced technology specifically for training, although the Management Services Branch has used video conferencing for related activities, such as facilitating the mentoring orientation workshops and assisting with the implementation of the Training Administration Model (part of the Corporate Human Resource Information and Payroll System). There is, in our view, an opportunity for the ministry to explore expanding its application of this technology to management training and development.

Exhibit 4.6

Instructional Methods Used for Management Training in the Ministry of Attorney General

Methods	% Used
In-house classroom setting	16
Classroom setting away from the office	39
College, university or institute setting	9
Conference away from the work site	28
Self-paced computerized learning	1
Video conference training method	3

Source: Office of the Auditor General, Ministry of Attorney General Management Training and Development Questionnaire, 1998

The Ministry's Training Investment

In Chapter I, we presented our findings about the amount that government as a whole in British Columbia has invested in training and developing its employees. We found that training is viewed not as an investment, but as a cost that can be increased or decreased in response to budget decisions. This ministry is no exception.

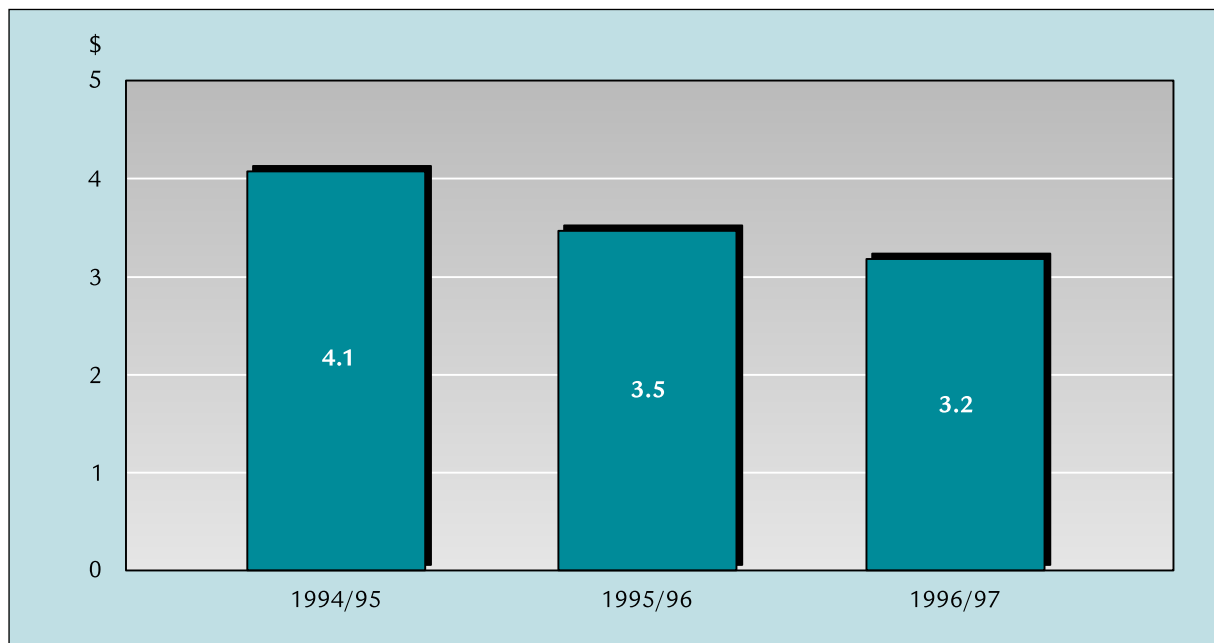
Within the Ministry of Attorney General, each branch, through its annual budget development cycle, identifies training dollars within its operational budgets, based primarily on historical usage. As mentioned previously, this has resulted in inconsistencies in training availability by branch.

Exhibit 4.7 shows that the direct costs reported for training within the ministry have decreased by 22% over a three-year period. Based on the information we were able to obtain, we estimate that the Ministry of Attorney General invested 0.9 % of payroll costs on training for fiscal 1996/97. This amount covered tuition, instructor fees, supplies, travel costs, and facility and equipment rentals.

Exhibit 4.7

Estimated Direct Training and Development Expenditures in the Ministry of Attorney General, 1994/95–1996/97

(\$ Millions)



Source: Compiled by the Office of the Auditor General of British Columbia

These spending levels are low compared with those in similar organizations in Canada and abroad, but are in line with the British Columbia public service as a whole. However, it must also be noted that of the \$3.2 million invested in training in 1996/97, \$2.3 million was allocated to the Justice Institute for mandatory training programs such as those for corrections officers and deputy sheriffs. This left approximately \$900,000 to meet all other training and development needs in the ministry.

To encourage the use of training and development as a tool for the effective management of human capital, several jurisdictions in Canada and abroad have implemented legislation or agreements that set a minimum investment in training and development (see Chapter I, Exhibit 1.9, for a summary of practices in other jurisdictions). We note that the amounts recommended are significantly more than that which the ministry and British Columbia public service currently invests.



accountability

In this section, we highlight our findings about the weaknesses in the evaluation of, and reporting on, training and development and human capital within the Ministry of Attorney General.

We found that accountability for training and development within the Ministry of Attorney General is clear. The ministry complies with the data entry requirements of the Corporate Human Resource Information and Payroll System (CHIPS). Currently, most evaluation of training activities is at the level of managers' satisfaction with the training provided. However, for the ministry to gain the most benefit from training and development, it needs to assess whether the training it provides managers is enhancing overall organizational performance. As well, information on the overall management of human capital and, in particular, on training and development for managers should be provided to the Legislative Assembly—something that is not occurring now.

Roles and Responsibilities

Delegation of roles and responsibilities for training

Under the Public Service Act, the Public Sector Employee Relations Commission has delegated responsibility for training to the Ministry of Attorney General. The ministry has in turn delegated these responsibilities to the Executive Committee/Supportive Workplace Committee in conjunction with the Personnel Services Division. Training and development responsibilities have been further delegated to the branches with support from the Personnel Services Division.

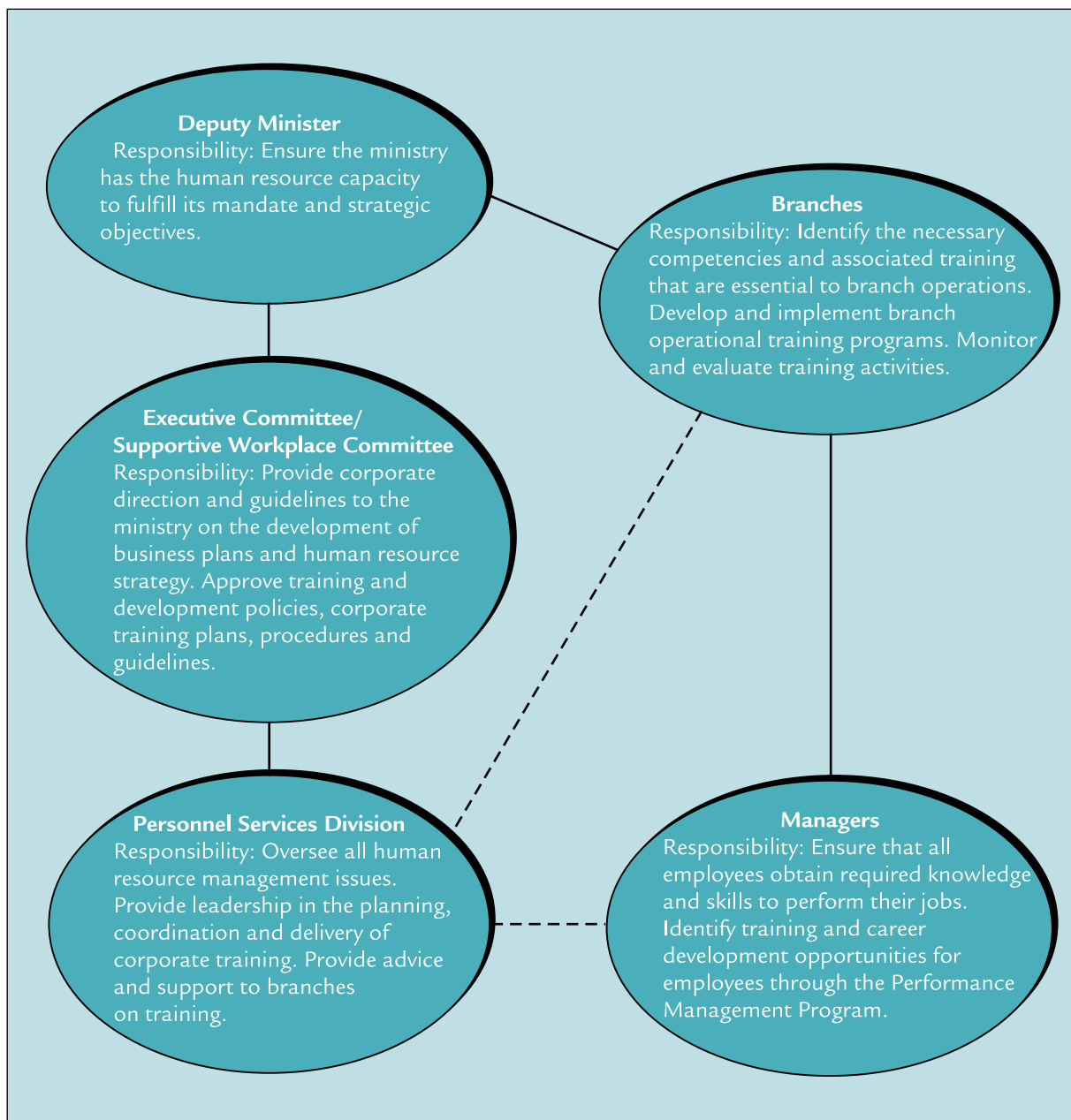
Exhibit 4.8 illustrates the roles and responsibilities within the Ministry of Attorney General for employee training and development.

Strategic direction for training

At the time we started our audit, the ministry did not have a strategic plan in place. Over the past few years, a number of attempts to develop a strategic plan had met with little success. However, during 1997, each branch in the ministry was requested to develop Service Delivery Plans. These were subsequently used to form the basis of a strategic plan for the ministry, which was completed in August 1998. At the time the strategic planning effort was getting underway, the ministry released its report "Strategic Reforms of British Columbia's Justice System" (April 1997). This was to provide the overall strategic direction for branches integral to the justice system.

Exhibit 4.8

Accountabilities for Training and Development in the Ministry of Attorney General



Source: Compiled by the Office of the Auditor General of British Columbia

Neither of these documents, the strategic plan or the reform report, included a discussion of the implications for training and development as a result of the directions being set. However, the human resource strategy developed in response to these initiatives clearly acknowledges that all functions related to human resource management—recruitment and selection, performance management, change management, compensation and training and development—must be integrated if the ministry is to achieve the objectives of both its strategic plan and justice reform and meet the challenges of the future.

Training policies and procedures

To ensure that decisions about the approval of training and development are made in a consistent manner, the ministry has issued policies and procedures. These policies are considered by the ministry to be the minimum requirements, thus allowing the branches or programs to establish some standards specific to their operational needs. We found, however, that the policies are not consistently applied by managers in their decisions to approve training and development requests.

The ministry's policy defines training, sets out funding guidelines and specifies the government-wide training programs employees should attend. As well, the policy states that all training must be made available to employees on a fair, equitable and consistent basis (the exception is mandatory training).

Fifty-six percent of managers indicated that, as part of their job, they are responsible for approving or rejecting staff training and development requests. Of those, 81% said they know the basis for approving staff training requests. We asked those managers with responsibility for responding to staff training requests to rate the effectiveness of the ministry's policies. Exhibit 4.9 highlights the variations between senior and middle managers and shows that managers, overall, do not believe that the policies effectively guide their decision-making or contribute to ministry-wide consistency.

Monitoring Costs and Activities

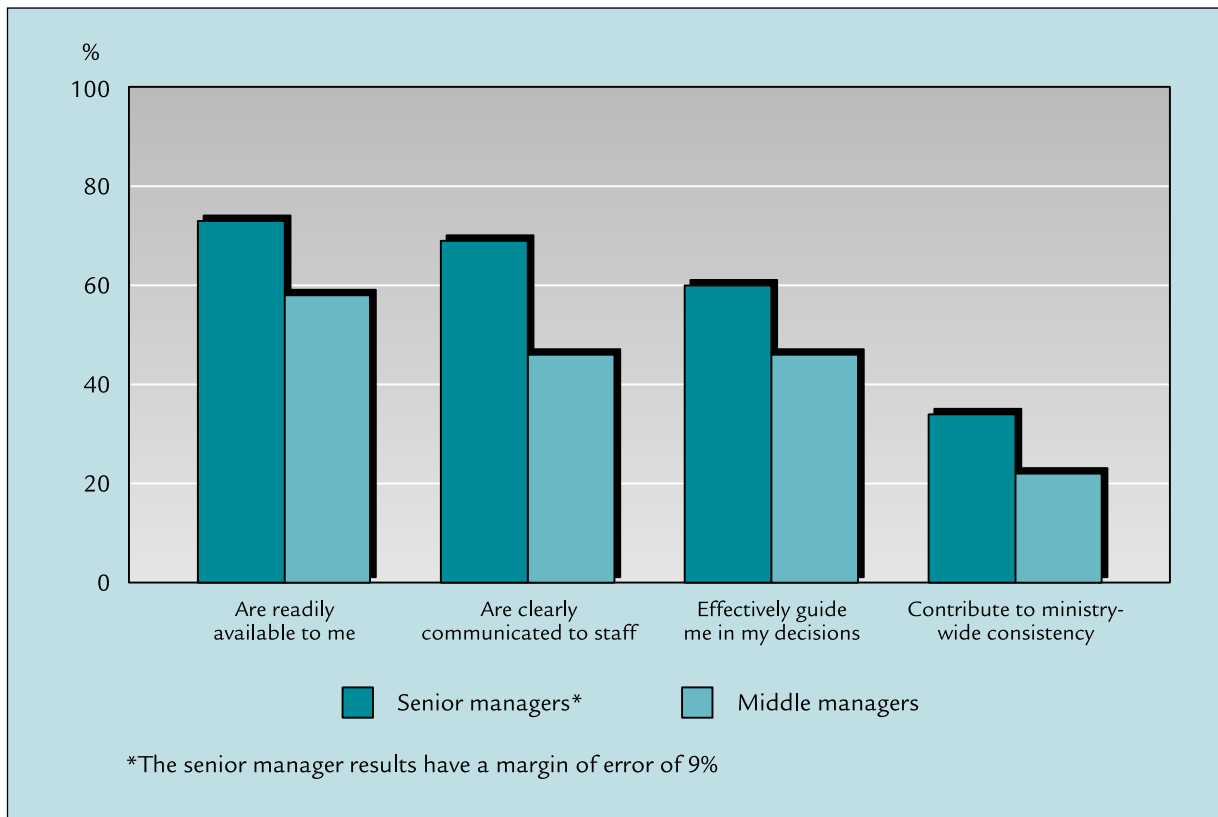
In April 1997, the Training and Administration Module of CHIPS was implemented across government. Ministries were requested to enter all cross-government training into the new system.

The Ministry of Attorney General complies with the system and enters all cross-government training. As well, three branches (Court Services, Corrections and Criminal Justice) are also entering branch operational training directly into CHIPS, although their data entry is not up-to-date. Thus, any reports currently being generated are not completely accurate and limit the ministry's ability to use the information to facilitate planning and monitoring of management training. To take full advantage of the system and provide the ministry with better information, all branches should enter their data.

Exhibit 4.9

Management Rating of Training Policies and Procedures, Ministry of Attorney General

Represents the percentage of management who strongly agree or agree



Source: Office of the Auditor General of British Columbia, Ministry of Attorney General Management Training and Development

Evaluating

We expected the ministry to evaluate the results of its training investment and to report on how training has affected its performance. As well, we expected it to use the evaluation results to improve its training methods and activities and to examine its planning and needs assessment processes.

Instead, however, we found that the ministry's methods for evaluating management training and development activities do not adequately inform it about whether these activities benefit ministry performance. The main problem is that little information is available about training results.

To successfully demonstrate the link between training and development and organizational performance, the ministry should also ensure that training and development is being evaluated in the right context. The most useful evaluation would cover the managers' increased capacity to perform, but it would also assess the organizational incentives and barriers to achieving performance. Some of these factors we discussed earlier, such as clarity of job expectations, effectiveness of feedback and recognition, and adequacy and appropriateness of tools and resources. As well, supervisory influence and expectations, workplace culture, implicit norms and peer expectations can all affect performance.

Many companies are evaluating training results in terms of behavioural and organizational changes. In the Ministry of Attorney General, however, most evaluation of training is carried out through participant evaluation forms and—in the case of development activities—through discussions about the experience between the participants and their supervisor.

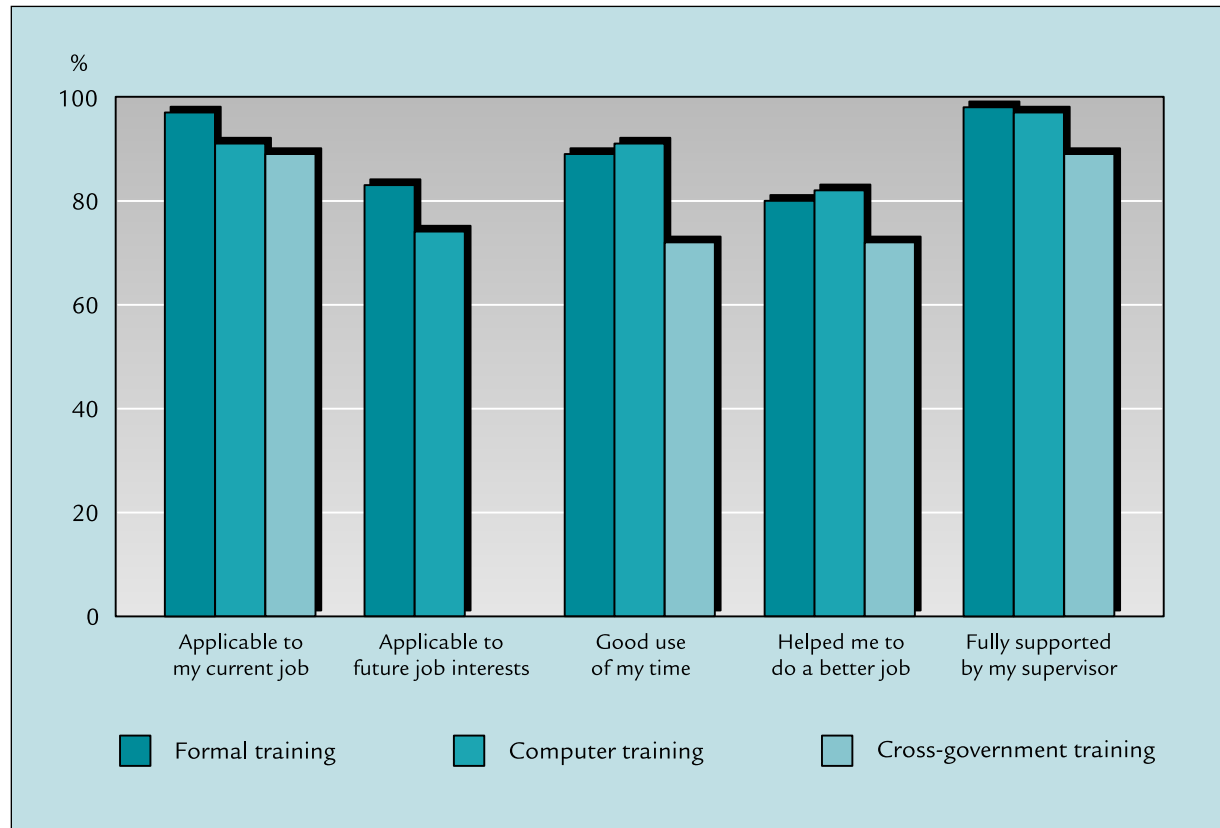
In our management survey, we included several questions to evaluate the managers' most recent training activity by type. Our findings are highlighted in Exhibit 4.10. Overall, managers rated their training positively—as applying to their current jobs, helping them to do a better job and being fully supported by their supervisor.

The ministry needs to go beyond simple satisfaction ratings if it is to assess improvement in individual and organizational performance effectively, and if it is to link training and development outcomes to organizational objectives.

Exhibit 4.10

Management Rating of Training Provided in the Ministry of Attorney General

Represents the percentage of management who strongly agree or agree



Source: Office of the Auditor General of British Columbia, Ministry of Attorney General Management Training and Development Questionnaire, 1998

Reporting to the Legislative Assembly

The ministry reports on its performance to the Legislative Assembly through its annual report. However, it does not include in the report any information on the state of its human capital. Considering the money allocated to these human assets, better reporting is required.

The first step in reporting on performance is determining benchmarks or criteria against which to report. The training and development model outlined in Appendix A will provide the ministry with such benchmarks. The research completed as part of our audit will also supply the ministry with baseline

data against which to compare future performance. As well, both the ministry's strategic plan and human resource strategy could provide a basis for the development of performance measures for other aspects of human capital. The ministry could then use this information to report to the Legislative Assembly on the management of its human capital.



ministry of attorney general response

The Ministry of Attorney General appreciates the opportunity to comment on the recent Training Audit conducted by the Office of the Auditor General (OAG). The Audit confirms the priority and focus developed in the Ministry's Human Resource Strategy, adopted by the Ministry's Executive Committee in April 1998.

Succession Planning: *In April 1998, the Ministry began development of its Succession Plan as one priority of the Human Resource Strategy. As the workforce retires, having the right people in place with the right skills is a focused problem recognized and being addressed in the Plan.*

However, it should also be said that the Audit's suggestion that managers will retire soon after reaching age 55 has not been our experience. While it is true that reaching age 55 removes one of the penalties for early eligibility for pension, we expect that most employees will not retire at that time. In Corrections, where employees have been eligible to retire earlier, they have not typically chosen to do so. The average age of retirees continues to range between 58–60.

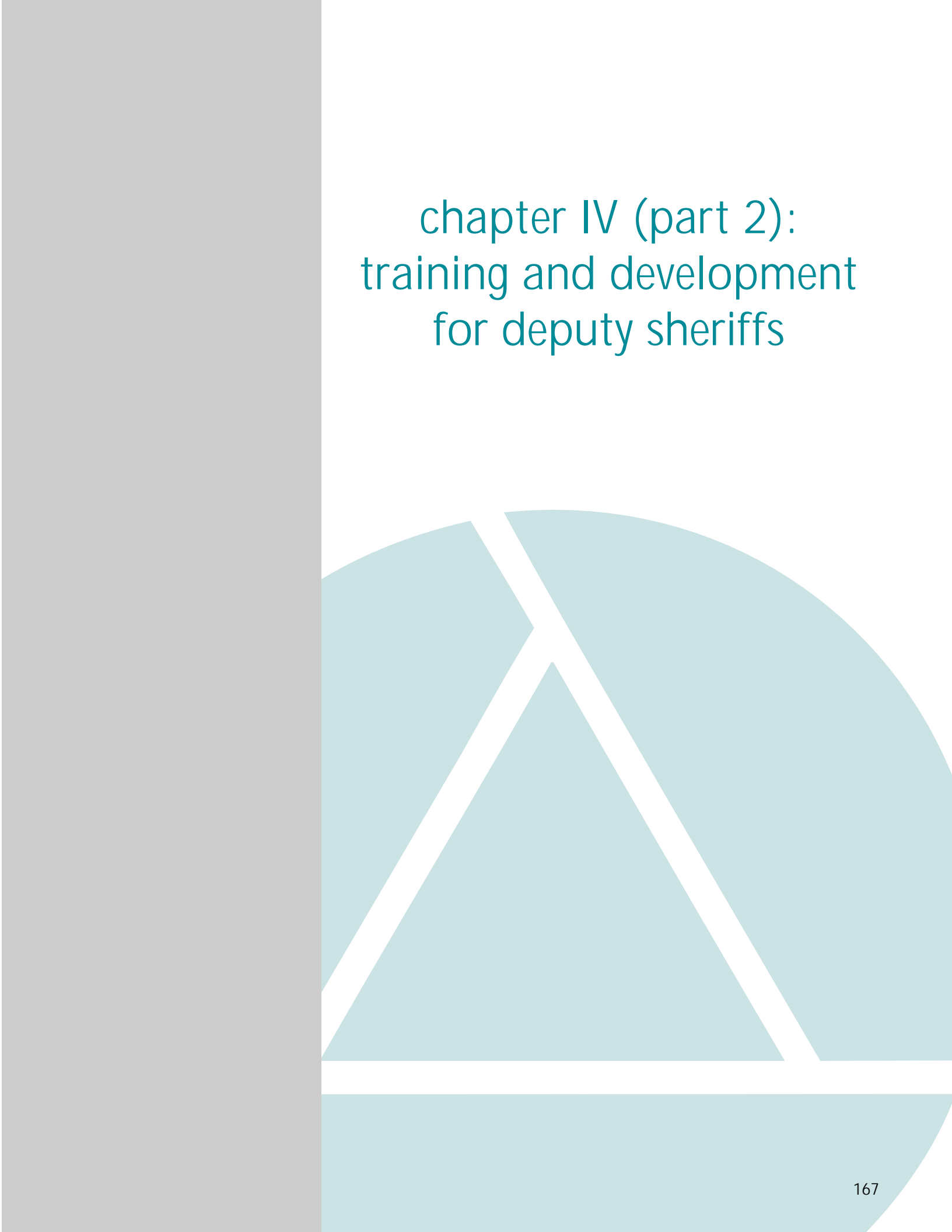
This is not to suggest that the Ministry can relax its succession planning efforts. Rather, it will be important for us to develop specific action plans for those key senior management positions that will become vacant over the next five to ten years.

Management Training and Development: *A new Training and Development policy has been approved by the Ministry's Supportive Workplace Committee (SWC). The Ministry will be working with Employee Learning Services/P SERC and the Public Service Development Office in the identification of core competencies for all management levels, and will develop appropriate training and development strategies and programs to meet these needs.*

Performance Management System: *The Personnel Services Division has developed the Performance Management Program, comprising a performance management policy approved by Executive Committee; a reference guide and training program for managers and supervisors; and a model performance evaluation form. The SWC is leading the implementation of this program across the Ministry.*

Value and Worth: *Best training activities are evaluated for improved performance and for value on expenditures. An evaluation model will be developed that will have linkages to the performance management system, the Human Resource Strategy and the Ministry Strategic Plan. We will continue monitoring the cost and value of training expenditures through CHIPS and the Ministry's corporate information system.*





chapter IV (part 2):
training and development
for deputy sheriffs

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Chapter IV (Part 2): Training and Development for Deputy Sheriffs

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Exhibit 4.11

Court Services Branch, Regional Offices



Source: Ministry of Attorney General

highlights

Introduction

The Court Services Branch is unique in being accountable both to the judiciary, for providing judicial administration independent of government, and to the Attorney General, for providing court administration. In this capacity, the branch is responsible for supplying, operating and maintaining the courts, sheriff services and transcript services.

The branch administers British Columbia's Provincial Courts, Supreme Courts and Appeal Courts through regional offices across the province (Exhibit 4.11). This includes providing registry and trial support for the courts, prisoner custody and escort, courthouse security, and maintenance of courthouse facilities.

For the purposes of our audit, we chose to examine the training and development provided for the over 350 deputy sheriffs within this branch.

Deputy sheriffs are defined as peace officers in the Criminal Code. As such, they have the power to arrest someone for breach of the peace and to take into custody anyone who is given into their charge for having been party to a breach of the peace.

In 1974, the ministry began training deputy sheriffs to perform a number of duties related to providing court security and transporting prisoners. They are seen as an impartial provider of services in the court system as opposed to having an enforcement role. Today, the main functions of the deputy sheriffs include:

- **Escort Services**—transporting accused and convicted persons from police stations and correctional facilities to courthouses and from courthouses to various institutions; picking up prisoners from jurisdictions across Canada, when necessary.
- **Guarding and Caring of Prisoners**—holding accused persons in custody and making sure they get to court on time; ensuring the safety and security of the prisoners; searching prisoners upon admittance; ensuring individuals are properly checked and cleared prior to release; and acting as liaison with other agencies and the Corrections Branch.

- Court Security—locking, searching, and monitoring courtrooms to ensure the safety of the judge, jury and general public; providing security for the whole building (e.g., fire evacuation and other disaster procedures).
- Jury Management—managing the administration of the selection process; ensuring the safety of the jury while in the courtroom.

The deputy sheriff plays a key role in the British Columbia court system. On a typical day, a deputy may at one moment be in the sheriff's lock-up, dealing with a hostile and verbally abusive prisoner, and at the next conferring with Crown counsel, transporting a van full of prisoners, escorting a judge into court or answering questions from the public. The deputy's job places him or her in both high risk and highly visible situations that require alert, tactful and mature responses.

Much of the deputy sheriff training is focused on the prevention of incidents in the courthouse. It is hoped they will never have to use many of the skills that they are trained for (e.g., hostage survival, firearms, first aid). Therefore, a measure of the effectiveness of some aspects of the training is the number of incidents in a courthouse. In the 25 years since the inception of the deputy sheriff position, these have been very few. In the context of our audit, our findings relate to whether the training provided is adequate to help ensure this excellent safety record is maintained into the future.

Audit Purpose and Scope

The purpose of this part of the audit was to assess whether the Ministry of Attorney General is using training and development strategically to maintain the knowledge, skills and abilities of its deputy sheriffs. We also examined whether the ministry is evaluating the value for money it receives from its investment in training and development for its deputy sheriffs.

The audit fieldwork was carried out between December 1997 and March 1998 and involved a review of ministry documents, interviews and a survey of all deputy sheriffs who had worked for the ministry for one year or more. We received a 67% response rate. (Statistics Canada assisted the audit team in the survey development and analysis of results.) The findings are accurate generally to within 5% of the true values, 19 times out of 20. The regional results have a somewhat higher margin of error, ranging from 7 to 10% of the true values. These survey

results will provide the ministry with a comprehensive database on deputy sheriff training and development and can be used as a benchmark for future monitoring.

Our examination was performed in accordance with value-for-money auditing standards recommended by the Canadian Institute of Chartered Accountants, and accordingly included such tests and other procedures we considered necessary in the circumstances.

Overall Conclusion

The job of a deputy sheriff requires a variety of skills, including the ability to deal effectively with potentially dangerous situations. We found that new deputy sheriffs receive adequate basic training, but that little training or development is provided after that. We are particularly concerned at the inconsistent training in firearms and infectious disease control.

We also found that the branch does not effectively assess training needs, nor does it measure the effectiveness of the training that is provided. Overall, the branch's investment in training for deputy sheriffs is not enough to maintain their skill base, and we believe this could place the deputy sheriffs, the branch, prisoners and other stakeholders at risk.

Key Findings

The ministry's commitment to deputy sheriff training and development is inadequate

Key Results from Our Audit

- 57% of the deputies believe training and development is a fundamental value within the branch
- 12% of deputy sheriffs believe that the branch allocates sufficient resources to training and development
- 29% of deputy sheriffs believe that their supervisor provides them with reasonable opportunity for training and development
- 33% of deputy sheriffs participated in job-specific training
- The average deputy sheriff received eight hours of job-specific training
- The branch invests approximately 0.3% of payroll in training and developing deputy sheriffs
- 64% of the deputies feel confident about their personal security

Fifty-seven percent of the deputy sheriffs believe training and development is a fundamental value within Court Services Branch and that the branch supports training and development in principle. However, notwithstanding this philosophical support, less than 12% of deputy sheriffs believe that the branch provides adequate support for training and development in terms of financial and human resources.

During the period from March 1997 to March 1998, 33% of deputy sheriffs participated in job-specific training. Taking into account the two-thirds of the deputy sheriffs who did not receive training, the average deputy sheriff received only eight hours of job-specific training. This is less than the amount received by other Ministry of Attorney General employees and government employees in general. Those receiving training felt that it was valuable in that it was applicable to their jobs, a good use of their time and helped them to do a better job.

The branch invested less than 0.3% of payroll on training and developing the deputy sheriffs on average in the past three years. This investment is substantially less than that made in the rest of the British Columbia public service and other public service agencies in Canada and abroad. At a minimum, the branch should invest enough resources in training to provide the training required under the Workers' Compensation Board occupational health and safety regulations. For example, 40% of the deputies reported that they have not received training for infectious disease control.

Only 64% of the deputies feel confident about their personal security. We believe that the lack of commitment to refresher courses in some of the basic skills may contribute to this. As well, there are issues relating to the equipment provided that may be a factor in these findings.

Handgun training is less than the norm for other peace officers required to carry firearms

Key Results from Our Audit

- 13% of the deputies reported that they had not requalified to carry firearms in the past 18 months
- 39% of deputy sheriffs in the Interior reported that they had not requalified to carry firearms in the past 18 months

Both the initial firearm training that a deputy receives and the period of time before he or she must requalify are outside the norm of that provided to other peace officers and law enforcement officers who carry firearms. The three-day basic training on firearms provided to deputy sheriffs is significantly less than the 10 days of training provided to graduates of the Justice Institute’s police academy.

The standard for requalifying to carry handguns is 6–12 months versus 18 months in the branch. As well, 13% of deputies told us they have not requalified within the past 18 months as required by ministry policy. This situation was particularly serious in the Interior where 39% of the deputies had not requalified in the past 18 months.

Future investments in training and development are unlikely to pay off because of a lack of support within the work environment for deputy sheriffs

Key Results from Our Audit

- 6% of deputy sheriffs believe the branch plan is communicated well
- 55% of deputy sheriffs believe that the Sheriff’s Operating Manual provides them with adequate guidance on what is expected of them
- 89% of the deputy sheriffs are clear on what is expected of them
- 46% of the deputies indicated that they get the feedback they need to do their job well
- 32% of the deputies told us they get meaningful recognition when they do their job well.

There are factors within the work environment that indicate a lack of support for the deputy sheriffs:

- Communication between the branch and the deputies is poor. There are two formal means of communicating to the deputies—the branch business plan and the Sheriff’s Operating Manual. Seventy-three percent of the deputies do not believe that the branch plan is well communicated, while another 21% do not believe that the branch has a plan. Only 55% believe that the Sheriff’s Operating Manual provides them with adequate guidance on what is expected of them.
- Eighty-nine percent of the deputies indicated they are clear on what is expected of them. These are positive results. However, the ministry needs to ensure that what the deputy sheriffs believe is expected of them matches the expectations of the branch.

- The deputies do not feel that the work they do is valued. Only 46% of the deputies indicated that they get the feedback they need to do their job well and only a third told us they get meaningful recognition when they do their job well.

Future investments in training alone will not improve the effectiveness of the delivery of service unless these other issues are dealt with concurrently.



our recommendations

In addition to the recommendations outlined in Chapter I for all of government, and in the Introduction to the Ministry Reports, we have included the following recommendations specific to the training and development of deputy sheriffs within the Ministry of Attorney General.

- 1. We recommend the Court Services Branch develop a human resource strategy for managing its human capital and link it to the ministry's human resource plan. The strategy should also address the identified issues in the work environment.*
- 2. We recommend that the branch review its human and financial investment in training and developing deputy sheriffs to ensure it maintains the current skill base and complies with the Workers' Compensation Board regulations on infectious disease control and the branch's policy on handgun requalification. This review should also be done in conjunction with a thorough needs assessment as to the skill requirements of deputy sheriffs.*
- 3. We recommend that the branch determine a communications plan for improving the deputy sheriffs' awareness of the branch strategic direction.*



managing human capital through training and development

In this section, we outline our findings about the issues that affect the maintenance of the knowledge, skills and abilities of the deputy sheriffs.

Our expectations for the management of human capital through training and development are outlined in Appendix A.

The Court Services Branch is not, for the most part, using training and development as a strategic tool in managing its human capital. We also found several issues in the work environment that training itself will not address. A lack of communication between the branch and the deputy sheriffs is a significant problem.

Creating a Culture That Values Staff and Their Development

The Court Services Branch has not created a culture of learning. Fifty-seven percent of deputy sheriffs believe that training and development is a fundamental value within the branch. However, only 12% believe the branch allocates sufficient resources to staff training and development and 32% believe the branch is supportive of staff training and development in practice. Furthermore, only 29% of deputy sheriffs believe that their supervisors provide them with a reasonable opportunity for training and development. Written comments received from our questionnaire overwhelmingly indicated that deputy sheriffs believe training is provided based on seniority and supervisor preference rather than on need.

The deputy sheriffs do not feel that the work they do is valued. For them to change their perception will, in our view, require the branch's culture to change. A first step would be for the Court Services Branch to recognize the importance of the deputy sheriffs by developing and implementing a human resource strategy that addresses the deputies' concerns and sends the message that these employees are valued.

Determining Knowledge and Skills Requirements to Meet Future Performance Expectations

The Court Services Branch, in conjunction with the Justice Institute, has done a good job of developing competencies for deputy sheriffs in terms of what is expected at the entry level. These competencies form the basis of a six-week training

program known as the Deputy Sheriff Employment Readiness Program. Upon completion, graduates are considered to be fully trained and ready for entry level work. However, there has been no formal assessment as to what training is required to maintain and enhance these skills once the graduates are hired by the branch.

We found the branch has not done enough to identify:

- what type and level of on-the-job training a new deputy sheriff requires to become oriented to the courthouse;
- what skills and knowledge a deputy sheriff requires to enable him or her to achieve exemplary performance on the job;
- what level of skills and knowledge a deputy sheriff has currently;
- what training and development is needed to maintain those current skill levels; and
- what the branch can do to enable a deputy sheriff to become an exemplary performer.

An effective means of assessing training needs is through a performance appraisal system. Appraisals provide management with an opportunity to discuss training and development needs with their staff. Branch policy states that appraisals are to be completed on an annual basis. However, we found that only 42% of the deputy sheriffs had received a performance appraisal in the year under review. This number varied widely across the regions, from 17% in the Interior region to 47% in the Lower Mainland. When an appraisal was provided, training and development was discussed during the appraisal interview about half of the time. Despite this, 52% of deputy sheriffs indicated that they discuss their training and development needs with their supervisor at least once a year.

However, because the branch has not developed a needs assessment, the objective of training tends to be focused on mandatory health and safety training (e.g., first aid training) rather than being used as a tool for increasing performance. For this reason, most of the deputies are told what courses to attend by their supervisors who have responsibility for ensuring that they are up-to-date on any mandatory training.

Determining Whether Training and Development Is the Right Solution

In addressing performance issues within the branch, it has to be determined whether poor performance is a result of lack of knowledge and skills or the result of other factors. We found several factors within the work environment that do not support the effective delivery of services. Among these:

- problems with the performance management systems, which have resulted in the deputy sheriffs receiving very little feedback and recognition,
- issues relating to the equipment provided to deputy sheriffs, which have contributed in a significant number of deputy sheriffs not feeling safe; and
- a lack of communication between the branch and the deputy sheriffs, which has resulted in many of these employees not having a clear understanding of the direction of the branch.

Further investments in training and development are unlikely to pay off in terms of improving branch performance unless these work environment issues are addressed at the same time. All of these issues should be addressed in an overall human resource strategy for the Court Services Branch.

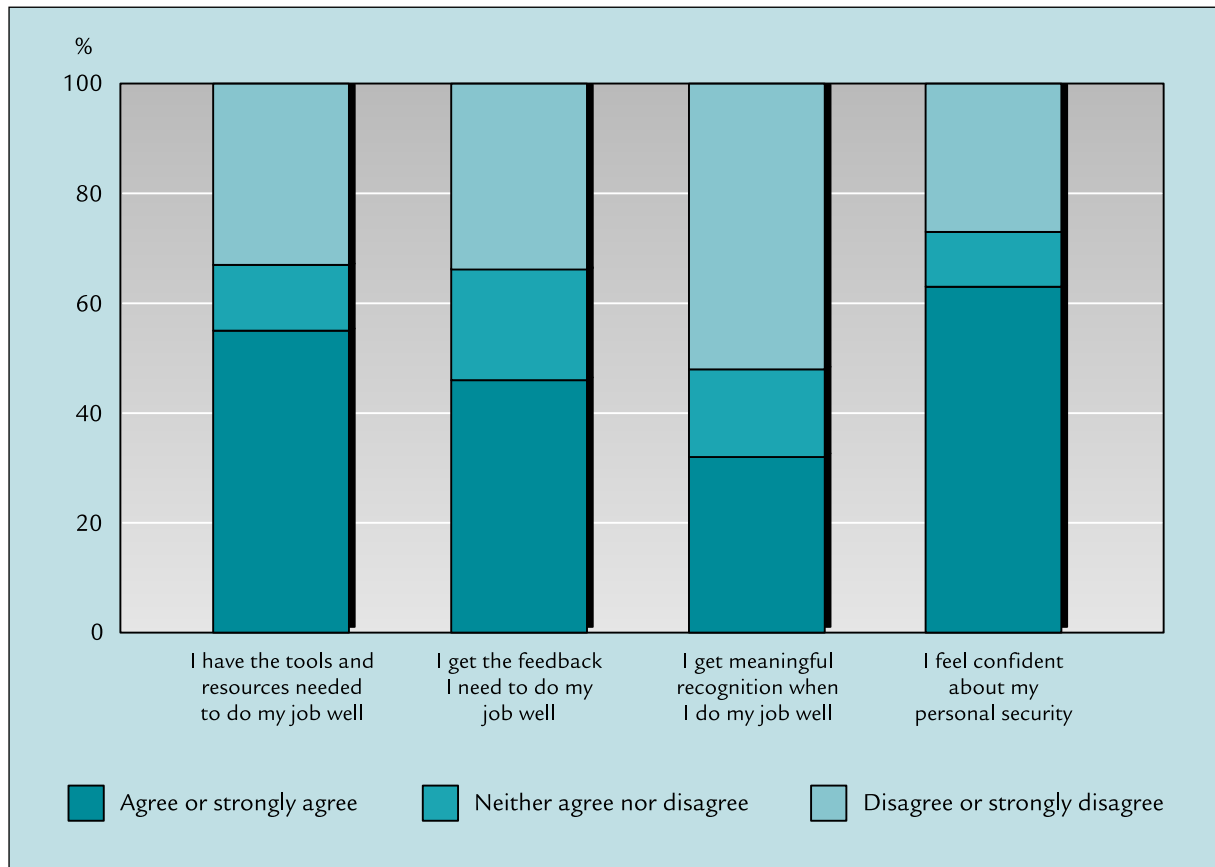
Factors affecting on-the-job behaviour

Overall, 72% of the deputy sheriffs reported feeling properly trained to carry out their duties, and 78% feeling confident in the skills required for their job and in their ability to deal with emergency situations. These are good results. We noted a significant regional difference, however. Just over half of the deputy sheriffs in the Northern region feel properly trained to carry out their duties.

Exhibit 4.12 shows the overall deputy sheriff ratings of some aspects of their work environment. Again we noted significant regional differences. Seventy percent of the deputy sheriffs in the Interior believe that they have the tools and resources to do their job well, while only 44% in the Northern region feel this way. On the question of whether deputy sheriffs believe they receive the feedback they need to do their job well, responses varied from 8% in the Northern region who said they did, to 33% in the Interior and 59% on Vancouver Island. Only 20% of deputy sheriffs in the Northern region believe they receive meaningful recognition when they do their job well, compared with 30% in the Interior and Lower Mainland and 43% on Vancouver Island.

Exhibit 4.12

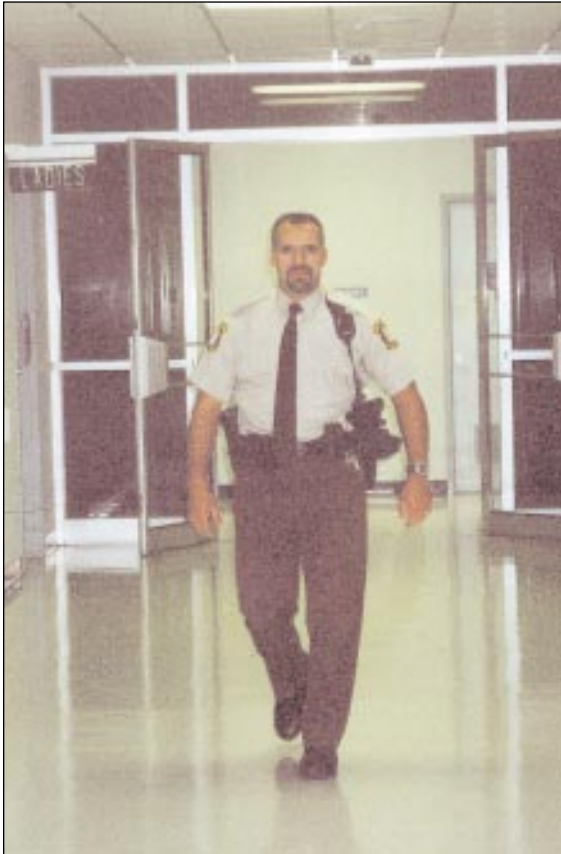
Deputy Sheriff Perceptions of the Court Services Branch Work Environment



Source: Office of the Auditor General of British Columbia, Deputy Sheriff Training and Development Questionnaire, 1998

There are barriers, particularly in the Northern region, which may impede performance and which cannot be compensated for by training and development alone. Because all these issues have an effect on an employee’s willingness or capability to use his or her skills, the branch will have to address them if it is to get the most value from any future training and development programs. These findings reinforce the need for management training in the branch on how to create and maintain a healthier work environment.

Whether or not an employee received a performance appraisal in the 12 months under review had only a slight effect on how he or she felt about the feedback and recognition received. As mentioned earlier, only 42% of the employees received appraisals. Of these employees, 38% feel that they



Courtesy: Jane McCannell

Deputy Sheriff providing courthouse security

get meaningful recognition when they do their job well. This compares to 27% of those who did not receive a performance appraisal in the last year. Fifty-seven percent of staff receiving performance appraisals believe that they get the feedback they need to do their job well. This compares to 39% of those who did not get an appraisal. These results indicate that the performance management system as a means of providing feedback and recognition is not working and needs to be reviewed.

On the question of whether deputy sheriffs feel confident about their personal security, 38% in the Northern region said they did, compared to 72% on Vancouver Island. The ministry provides minimal direction as to what is standard equipment for deputy sheriffs and what the expectations are for court security and escorts. Most of these decisions are made at the discretion of the sheriff or the regional director, based on a risk assessment completed in conjunction with the Workers' Compensation Board. This has resulted in a wide variation in practice across the province. We believe the lack of direction from the branch and the variation

in practice is reflected in our findings about whether or not deputies feel safe.

Some of the issues are summarized below:

1. Equipment

- In every courthouse we visited, we found differences in the philosophy concerning the carrying of handguns and in the directives as to when and where handguns are to be carried. The Sheriff's Operating Manual clearly outlines when deputy sheriffs are to wear batons and pepper spray, but the only direction it gives on handguns is when not to wear them. There is also no indication in the manual as to who has responsibility for determining when deputies are to carry handguns.
- Batons and pepper spray are considered to be standard equipment on a deputy's duty belt. However, it is at the discretion of the regional director whether or not deputy sheriffs are issued handguns as part of their personal equipment, or whether these firearms are shared and handed out as required. As each handgun has a particular grip, using a different gun from day to day can affect a shooter's accuracy.

2. Court Security

- We found notable variances across the province. Some courthouses always require that two deputy sheriffs be assigned when there is someone in custody. Other courthouses always require there to be a minimum of two deputy sheriffs in the courtroom when there is a jury.
- Whether deputy sheriffs are actually present in the courtroom is also discretionary. For example, in some courthouses they are required to attend family court, but in others they are not.

3. Escort Services

- Sending one or more deputy sheriffs on an escort varied across the province. For example, we were told that in some cases a decision about the number of deputies used for a flight escort was based on the length of the flight. In other cases, two escorts were reportedly always used if the flight was east of Winnipeg. In all cases, we were told, the type of offender being picked up influenced the decision.

None of these issues are addressed in the branch's newly updated Sheriff's Operating Manual. We think they should be.

Understanding the direction of the ministry

We found that 68% of the deputy sheriffs do not believe that the ministry strategic plan is well communicated, and 73% indicated that the branch plan is not well communicated. A further quarter of the deputy sheriffs believe that neither the ministry nor the branch even has a business plan. Only 55% of the deputies believe the Sheriff's Operating Manual provides them with adequate guidance on what is expected of them.

Despite this lack of communication between the branch and the deputies, 89% of the deputies are clear on what others expect of them in their job.

Over 75% of the deputy sheriffs feel that their job description accurately represents the duties they perform in their current position, both overall and regionally. These are very positive results. However, we think it is important that the branch ensure that what individual deputy sheriffs believe is expected of them matches the branch's expectations.



training and development: participation rates, delivery methods and costs

In this section, we discuss the minimal amount of training and development offered by the branch and the lack of financial investment it is making in maintaining the knowledge and skills of the deputy sheriffs.

We found that, on average, deputy sheriffs received less training than other Ministry of Attorney General employees. The majority of training and development dollars are invested in the Employment Readiness Program to train entry-level workers. There is very little emphasis on courses that renew previously learned skills.

We have concluded that the level of training and development provided is not enough to ensure that the skill base of the deputy sheriffs will be maintained or developed. We also believe that the deputy sheriffs and the branch are at risk because of their non-compliance with required courses under the Workers' Compensation Board Occupational Health and Safety Regulations. Of particular concern is the fact that a significant number of deputies have not requalified in the last 18 months to carry handguns.

Employee Participation in Training and Development

Only 33% of deputy sheriffs participated in job-specific formal training between March 1997 and March 1998. This is a significantly lower participation rate than for government employees as a whole (Exhibit 4.13) and for other employees

Exhibit 4.13

Comparison of Training Received by Deputy Sheriffs and Training Received by Other Attorney General Staff and All British Columbia Public Service Employees, December 1996 to December 1997

Type of Training	Attorney General Deputy Sheriffs (%)	Attorney General All Staff (%)	All British Columbia Public Service Employees (%)
No training	64	48	36
Cross-government	3	14	25
Job-specific	33	38	39

Source: Office of the Auditor General of British Columbia, British Columbia Public Service Employee and Deputy Sheriff, Training and Development Questionnaires, 1998

in the Ministry of Attorney General. However, the majority of the deputies have taken the mandatory cross-government courses as part of their basic training through the Justice Institute. Also, 3% of the deputies—Chairs of the Occupational Health and Safety Committees—had received additional training.

The average deputy sheriff received nine hours of training, of which eight were related to their job and one to cross-government training. Most of the training was provided by an external agency such as the Justice Institute. The most common reason given by deputies for not participating in formal training was that they were not aware of any training opportunities.

Formal Training

There are two types of formal training that are critical to developing and maintaining the knowledge and skills of deputy sheriffs: basic training and refresher courses.

Basic Training

Virtually all deputy sheriffs received their basic training through the Justice Institute. Since 1995, this has been offered in the form of a six-week Employment Readiness Program, which people apply for and graduate from before they are eligible to compete for deputy sheriff positions. Prior to being accepted into the program, an applicant must successfully complete the following:

- an application, which includes a self-screening questionnaire outlining the minimum requirements to be a deputy (Exhibit 4.14);
- a series of personality and aptitude tests measuring intelligence, mathematical abilities, clerical perception and core perception;
- the Sheriff Officer Physical Abilities Test (SOPAT), which involves:
 - a timed test that includes a mobility run, an obstacle course and a push-pull activity; and
 - the ability to pick up a 30 kg weight and carry it 15 m; and
- an interview and test for oral and written communication skills, as well as for judgement and personal interaction skills.

Upon completing the six-week program, the graduates go through a recruitment and selection process at the courthouses. Most candidates are hired in auxiliary positions. Once they pass their probation period and have worked the required hours, they may be hired full-time as positions become available.

Exhibit 4.14

Minimum Requirements to be a Deputy Sheriff

Minimum Requirements		
1. I am at least 19 years old, and under 65 years of age.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. I am eligible to work in Canada on a permanent basis.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3. I have a grade 12 or GED diploma or equivalent.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. I have a valid class 5 driver's licence.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5. I am willing to provide a driver's licence abstract and claims history.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6. I am a safe driver and my driving record is good.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
7. I am willing to consent to a criminal record search.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
8. I am able to perform physically demanding activities.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
9. After reading the information about the Sheriff Officer Physical Abilities Test, I believe I could pass the test.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
10. I have effective oral communication skills.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
11. I have effective written communication skills.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Source: Excerpt from the Ministry of Attorney General's Deputy Sheriff Employment Readiness Questionnaire

We found that for approximately 72% of the deputies, it has been six years or more since they received their basic training—and 38% of this group took their training over 10 years ago. As such, very few of the deputies we surveyed had participated in the current Employment Readiness Program. The majority received this basic training through the Justice Institute after they had been hired. Exhibit 4.15 outlines what courses (now part of the Employment Readiness Program) the deputies have taken.

The infectious disease control course was developed by the Justice Institute for the branch to meet Workers' Compensation Board (WCB) requirements under the Occupational Health and Safety Regulations. Forty one percent of the deputy sheriffs reported that they have never taken this course. This, we believe, places the deputy sheriffs and the branch at significant risk. We recommend that the ministry comply with the requirements outlined in the WCB regulations and ensure that all deputies receive this training.

Defensive Tactics I and II has recently been introduced as a means of updating staff on the levels-of-force model adopted by the branch. There are four levels of force: uniform presence

Exhibit 4.15

The First Time Basic Training Courses Were Taken By Deputy Sheriffs

Course	% of Deputy Sheriffs Received Training Within the Last 5 Years	% of Deputy Sheriffs Received Training 6 or More Years Ago	% of Deputy Sheriffs Never Took the Training
Legal Aspects	26	73	1
Driver Training	41	50	9
Escort Procedures	26	67	7
Jail Duties	25	67	8
Jury Management	22	50	28
Fire Suppression	26	64	10
CPR/First Aid	45	54	1
Tactical Communication	35	42	23
Infectious Disease Control	29	30	41
Court Security Duties	27	69	4
Document Services Procedures	18	60	22
Hostage Survival	37	47	16
Defensive Tactics I	76	23	1
Defensive Tactics II	82	12	6

Source: Office of the Auditor General of British Columbia, Deputy Sheriff Training and Development Questionnaire, 1998

and verbal communication, pepper spray, the baton, and the handgun. Deputy sheriffs told us that 90% of the time, verbal communication is all that is required. However, the deputies must be trained to deal with the incidents where verbal communication is not effective. Almost all of the deputies have taken the Defensive Tactics course. As well, there is now a new requirement that deputy sheriffs requalify in defensive tactics every 36 months. The requalification is to be based on:

- a written examination on the levels-of-force model;
- demonstration examinations, including demonstrations in verbal skills, empty-handed defensive tactics, tactical use of pepper spray and the baton; and
- instructor assessment of the student's exercise of judgement in simulation exercises.

The requalification course has yet to be developed. We encourage the branch to follow through with this initiative, as this new course is an important step in ensuring the safety of the deputies and the courthouses. According to the deputies in our survey, the courthouse environment has changed since many of them started. There is less respect for authority in general and there are more violent and gang-related crimes. This course will help ensure that the deputies have the skills required to adapt to these changes.

Refresher Training

Refresher training may be used to upgrade or refresh skill performance or provide deputies with opportunities to practice previously learned skills. It may also be used update the original qualification course. One of the difficulties in providing refresher training is that the deputies require someone to fill in for them while they are on training, which adds to the cost of refresher courses. However, 67% of deputies rotate duties and are assigned to a variety of areas on a periodic basis, and thus refresher training is very important. Of these deputies, 89% agreed that rotation was an effective means for maintaining their skills. However, because some deputies are in their positions for two to three years before they rotate, skill updating only occurs when they move from one area to another. Currently, this happens through on-the-job training.

There are considerable differences between the types of work done. If a deputy sheriff has provided court security for two years and then is asked to take a job in escort services, he or she will be required to drive Class 4 vehicles full of prisoners. The deputy may not have done an escort in over three years and it may have been longer since the last time he or she received driver training. With the exception of handgun requalification, which is mandatory every 18 months, it is up to the regional director to determine whether or not refresher courses are required. The result is that the majority of deputy sheriffs have never taken a refresher course of any kind (Exhibit 4.16).

In our view, this significant lack of organized refresher training puts the deputy sheriffs and the branch at risk. We recommend that a more structured training approach be developed for deputy sheriff rotation to ensure that the deputies are trained for new positions. As well, guidelines and expectations for refresher training should be outlined in the Sheriff's Operating Manual to ensure that they are consistently applied across the province.

Exhibit 4.16

Percent of Deputy Sheriffs Who Have Never Taken a Refresher Course

Refresher Course	Percent Never Taken
Legal Aspects	79
Driver Training	70
Escort Procedures	78
Jail Duties	79
Jury Management	82
Fire Suppression	84
CPR/First Aid	60
Tactical Communication	80
Infectious Disease Control	85
Court Security Duties	77
Document Services Procedures	80
Hostage Survival	75

Source: Office of the Auditor General of British Columbia, Deputy Sheriff Training and Development Questionnaire, 1998

Handgun Training

As part of their basic training, all deputies receive three days of handgun training. At the end of the training, they are tested on their knowledge of the safe handling of the handgun and must obtain a certain level of accuracy in the “course of fire.” The branch then requires deputies to requalify at least every 18 months in order to carry a handgun and it is the regional director’s responsibility to ensure that this happens.

We found that this basic training is considerably less than what other law enforcement employees receive who are required to carry a gun. For example, graduates of the police academy at the Justice Institute receive a total of 10 days of training in two separate training blocks in comparison to three days received by deputy sheriffs.

Requalification for deputy sheriffs consists of a three-hour course during which handgun safety is reviewed and deputies are allowed to practice hitting targets before they are tested. There is no scenario-based practice (such as “shoot-don’t shoot”). We believe that practicing under a variety of circumstances is as important as target shooting, and recommend that requalification address scenarios under which a handgun may be fired. For

example, when police officers requalify, they practice in night and daylight situations using a variety of stances.

The time between requalification for deputy sheriffs is considerably longer than for police officers. Within police organizations, the norm ranges from 6 to 12 months to requalify. We found that while some sheriffs in the Lower Mainland ensure that their deputies are requalified every 12 months, overall only half requalify every 18 months. Moreover, 13% of the deputies renew their certification less frequently than 18 months and another 2% do not carry handguns. We also found there was a regional difference: 39% of the deputies in the Interior requalify to carry a handgun less often than the required 18 months. We find these numbers disconcerting, and recommend that the branch take immediate action to ensure that all deputy sheriffs complete the mandatory requalification.

The branch relies on the Investigation, Inspection and Standards Office of the ministry to review the operations in each courthouse on a periodic basis. As part of the review, compliance with the handgun requalification requirement is checked. However, the office is only able to conduct these courthouse reviews on a very intermittent basis, making it hard to ensure that deputies comply with the handgun regulations. The Lower Mainland region has developed a computer program that monitors the handgun requalification training for approximately 200 deputy sheriffs, (and this is now also being used by the Vancouver Island region). We recommend that the branch build on this program to ensure that all regional directors are able to report on compliance with the handgun regulation.

Informal Training

We found that 40% of the deputies received informal training. The most common types were on-the-job training, special projects/committees and practice sessions. About three-quarters of staff who received both formal and informal training believe that their informal training was equally or more valuable than their formal training.

At the time of our survey, practice sessions were a popular means of informal training. These sessions were organized outside of regular work hours and involved practising the different techniques learned in the Defensive Tactics course. These sessions have since been discontinued because the branch felt at risk of receiving workplace injury claims. In our opinion, this only increases the need for more branch-supported refresher courses.

Development

Seventeen percent of the deputies participated in a development activity over the 12-month period reviewed. The most common types of development were working in secondments, filling acting positions and attending courses. Development is particularly important for deputy sheriffs who, to advance, often have to make a significant shift in focus from operational skills to supervisory skills. Development is also an effective means of keeping the deputies challenged with different opportunities. The single biggest reason they gave for not participating was that they were not aware of any development opportunities. Two other reasons they gave: development was not available in the branch/region, and there was no one available to fill their positions while they took part in a development activity.

Delivery of Training

Although training for the deputy sheriffs is delivered using a variety of methods, Exhibit 4.17 illustrates that, of the methods reported, the classroom setting still predominates. Training for deputies is delivered primarily by one contractor—the Justice Institute. Although the courses are delivered in a classroom setting at the institute, the teaching methods and the classrooms have been set up to simulate actual experiences in the courthouses.

Much of the in-house training is provided by field instructors—staff with particular skills who are temporarily assigned to a teaching position. We found that decisions around who is chosen to be a field instructor seem to vary by

Exhibit 4.17

Instructional Methods Used for Deputy Sheriff Training in the Court Services Branch

Methods	% Used
In-house classroom setting	22
Classroom setting away from the office (Justice Institute or firing range)	58
College, university or institute setting	10
Conference away from the work site	4
Self-paced computerized learning	2
Video conference training method	4

Source: Office of the Auditor General of British Columbia, Deputy Sheriff Training and Development Questionnaire, 1998

region. Sometimes deputies must apply for the position and go through a formal interview; in other situations the sheriff decides. These variations in practice have created confusion, leaving deputies unclear as to what the criteria for becoming an instructor are. However, the updated version of the Sheriff’s Operating Manual clearly outlines the requirements for becoming an instructor and for applying for the Employment Readiness Program and regional in-house courses.

The Court Services Branch Training Investment

In the Court Services Branch, the regional resource and development officers in each region, through the annual budget development cycle, identify training dollars within the operational budgets, based primarily on historical usage.

We were unable to determine the branch’s total investment in training for the deputy sheriffs. For the past three years, the branch has provided the Justice Institute with approximately \$330,000 per year. The majority of this money is used to subsidize the Employment Readiness Program. Funding for deputy sheriff training outside of this course has decreased dramatically over the past five years (Exhibit 4.18).

The current spending levels on training are significantly lower than those made by the Ministry of Attorney General as a whole and the British Columbia public sector as a whole. The amount of dollars invested must, at a minimum, be at a level that ensures that all required training under the WCB Occupational Health and Safety Regulations and the handgun requalification is provided.

Exhibit 4.18

Funding for Deputy Sheriff Training at the Justice Institute, 1994/95–1998/99

Year	Estimated Costs of Deputy Sheriff Training (\$)	Estimated Costs as a Percent of Deputy Sheriff Payroll*
1994/95	114,858	0.7
1995/96	20,190	0.1
1996/97	60,247	0.4
1997/98	45,000	0.3
1998/99	33,000	0.2

*Analysis was completed by the Office of the Auditor General based on the ministry's 1998/99 payroll.

Source: Justice Institute of British Columbia



accountability

In this section, we highlight our findings about the weaknesses in the evaluation of, and reporting on, training and development for deputy sheriffs.

With the exception of cross-government training (which is entered into Corporate Human Resource Information and Payroll System [CHIPS]), the branch does not monitor training and development activities; and, because of a lack of evaluation of training activities, the branch does not know whether its efforts are having an effect on performance. Information on the management of human capital within the branch—and, in particular, training and development—is not being provided to the central Personnel Services Division for the purpose of reporting on the ministry as a whole.

Roles and Responsibilities

Under the Public Service Act, the Public Service Employee Relations Commission has delegated its responsibility for training to the Ministry of Attorney General. In turn, the ministry has delegated this responsibility to each of the branches, with support from Personnel Services Division. Exhibit 4.19 illustrates the roles and responsibilities within the branch for deputy sheriff training and development.

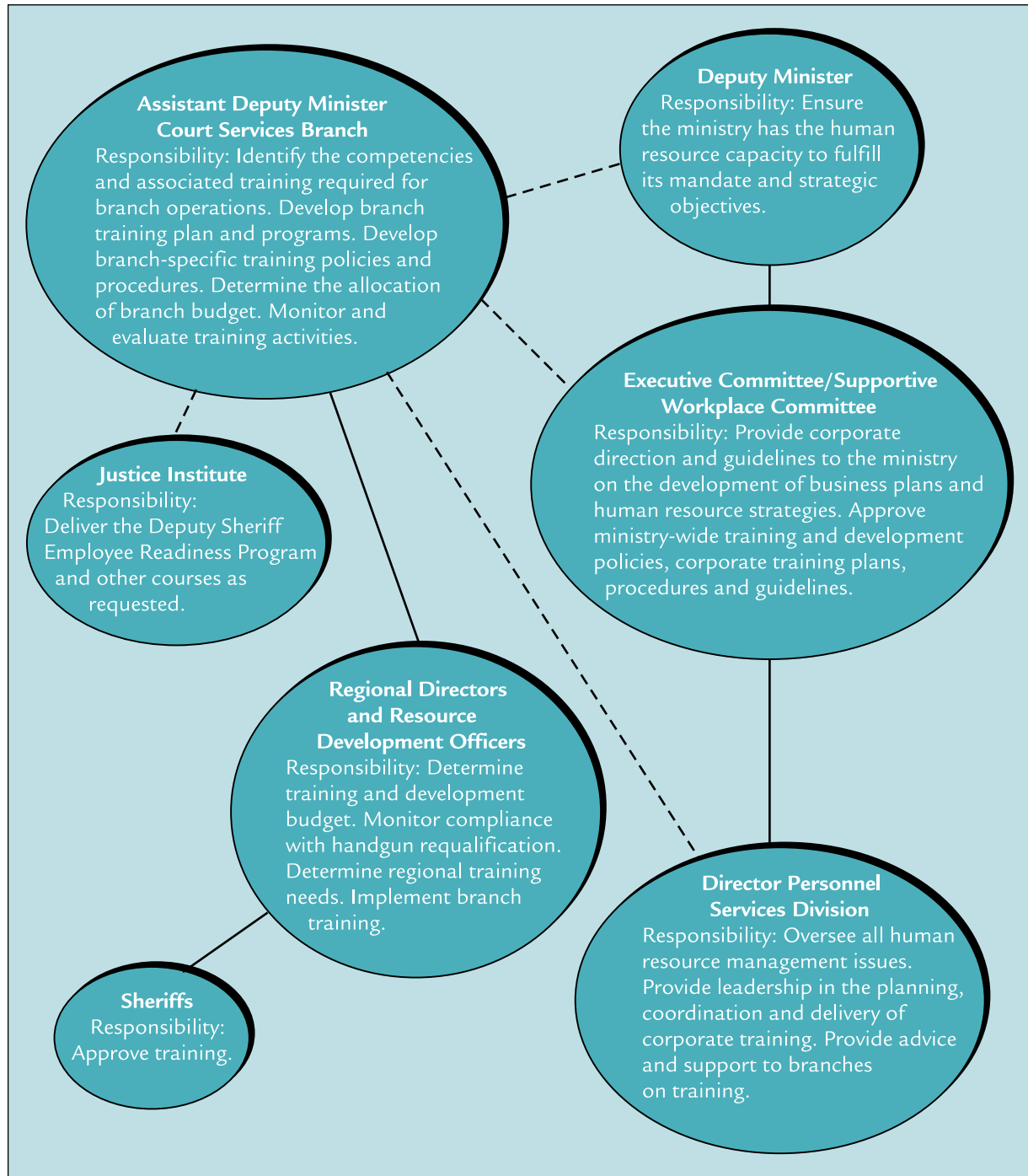
Training policies and procedures

The Personnel Services Division has developed policies to ensure that decisions about the approval of training and development are made in a consistent manner, and to provide guidelines to supervisors in terms of expectations around training and development.

Nine percent of the deputy sheriffs in our survey indicated that, as part of their job, they are responsible for approving or rejecting staff training and development requests. Of these 30 people, the majority believe the policies are readily available. A third of these deputies believe the policies are clearly communicated to staff and that they effectively guide them in their decisions to approve or reject training requests. Only 3 out of the 30 deputies believe the policies contribute to branch-wide consistency in how training is approved, and only half of the deputies with responsibility for approving training know the basis for approving or rejecting training requests. Forty percent of the deputy sheriffs indicated that they do not know how to apply for training.

Exhibit 4.19

Accountabilities for Training and Development for Deputy Sheriffs in the Court Services Branch, Ministry of Attorney General



Source: Compiled by the Office of the Auditor General of British Columbia

This confusion about how to apply and whether training should be approved was also confirmed through written survey comments and interviews. Clearly, the branch needs to provide better communication to the deputy sheriffs about training opportunities and how individuals should apply.

Monitoring Costs and Activities

In April 1997, the Training and Administration Module of CHIPS was implemented across government. Ministries were requested to enter all training organized by Employee Learning Services into the new system. The Court Services Branch is doing this. However, to ensure the branch has the information it needs to facilitate planning and monitoring of training and development, training programs specific to the branch, (e.g., deputy sheriff job-specific training) should also be entered into the system.

Evaluating

We expected the branch to evaluate the results of its training investment and to report on how training has affected its performance. We also expected the branch to use evaluation results to help it improve its training methods and activities, and to examine its planning and needs assessment processes.

We found, however, that the branch's methods for evaluating training and development activities do not adequately inform it about whether these activities benefit branch performance. The main problem is that the type of information needed to make wise and informed training decisions is not available.

As well, to demonstrate the link between training and development and organizational performance, management should ensure that training and development is being evaluated in the right context. The most useful evaluation would cover the deputies' increased capacity to perform, but it would also assess the organizational incentives and barriers to achieving performance. Some of these factors we discussed earlier, such as whether deputies feel safe in the work environment, the effectiveness of feedback and recognition, and the adequacy and appropriateness of tools and resources. Others that also affect performance include supervisory influence and expectations, workplace culture, implicit norms and peer expectations.

Many companies are evaluating training results in terms of behavioural and organizational changes. The nature of deputy sheriff training allows for immediate testing (e.g., in the areas of first aid and defensive tactics). In this regard, in addition to completing a participant evaluation form, about half of the employees surveyed also said they had performed a skills test after their most recent training activity. In the case of development activities, the most common form of evaluation occurred through discussions between the participant and his or her supervisor about the experience. Deputy sheriffs rarely give a presentation to their co-workers or circulate information around the office.

In our survey of deputy sheriffs, we included several questions to evaluate the deputies' most recent training activity by type. Our findings are highlighted in Exhibit 4.20. Overall, the deputies rated their training very positively, saying it applied to their current jobs, helped them to do a better job and was fully supported by their supervisor.

The branch needs to assess improvement in individual and organizational performance, and to link training and development outcomes to the effectiveness and quality of branch services. Major programs such as Employment Readiness should be evaluated on a formal basis to measure whether they are an effective means of providing the deputy sheriff workforce with appropriate skills. In this regard, the branch has developed a work plan to evaluate the Employment Readiness Program and intends to complete it over the coming year.

Reporting on Training and Development

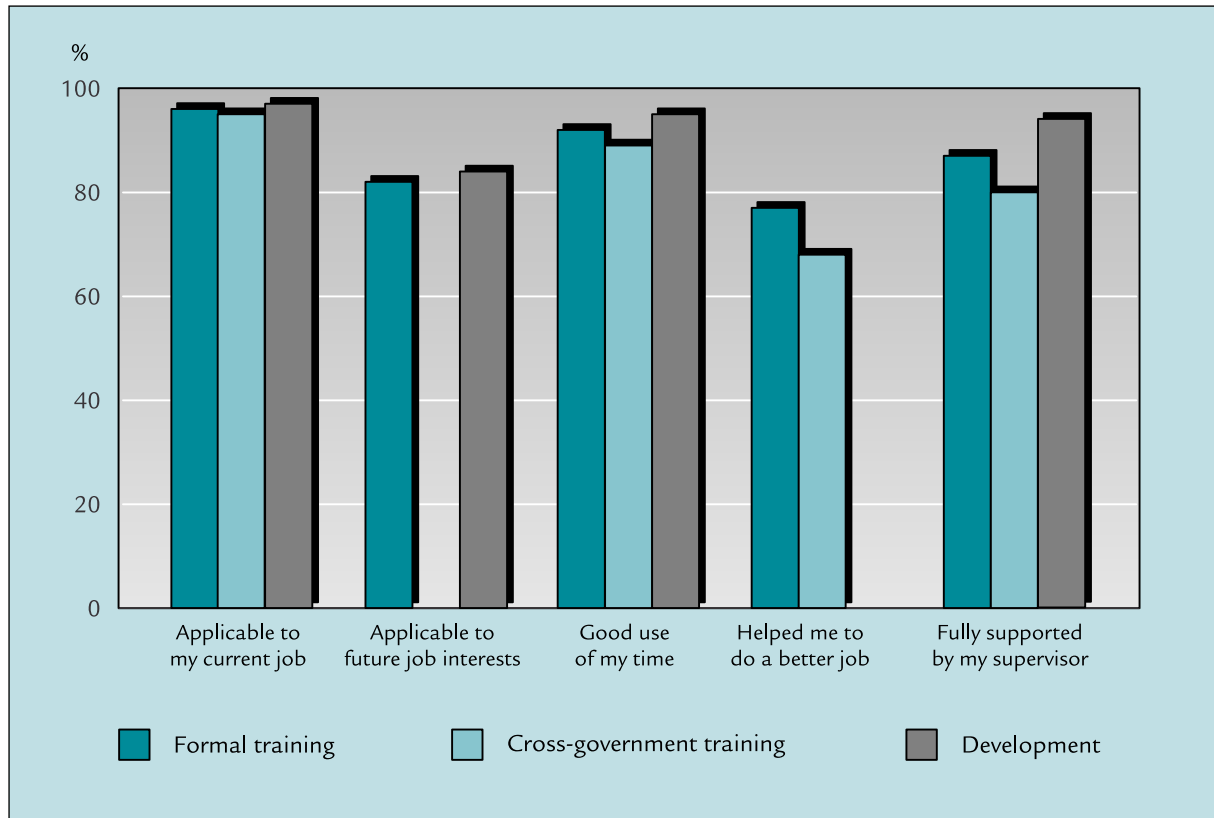
The branch is not required to provide information to the Personnel Services Division on its management of human capital. As mentioned in Part 1, considering the amount of money allocated to human assets in terms of salaries and benefits, better reporting is required both within the ministry and, in turn, to the Legislative Assembly.

The first step in reporting on performance is determining benchmarks, or criteria, against which to report. The training and development model outlined in Appendix A will provide the branch with benchmarks for deputy sheriff training and development. The research completed as part of our audit will supply the branch with baseline data against which to compare future performance. Further benchmarks need to be developed for managing and ultimately reporting on all aspects of human capital.

Exhibit 4.20

Deputy Sheriff Rating of Training Provided in the Court Services Branch

Represents the percentage of employees who strongly agree or agree



Source: Office of the Auditor General of British Columbia, Deputy Sheriff Training and Development Questionnaire, 1998



court services branch response

The general comments in the response provide some background and scope related to Branch training. Section A also responds to the considerable information and suggestions in the text of the report. The Branch response to the three recommendations is in section B.

The Branch's primary responsibility is to support the operation of the courts. Although the development of human capital is a concern, this must be undertaken in consideration of funding and staff availability constraints.

The audit has raised good points related to training. The issues related to equipment and management are noted but are not included in the response. The audit suggestions regarding refresher training are well noted and will be reviewed.

A: General

Court Services Branch has approximately 1400 staff operating 99 courthouses throughout the province. Of the \$134 million dollar annual budget, 90% is committed to Building Occupancy Charges and staff salaries. The remaining 10% is the only discretionary funding, and is primarily comprised of court-related costs such as travel, vehicles and interpreters.

Budget restraint over the last number of years forced the Branch to consider alternatives to classroom-based post-employment training. In 1995/96, the sheriff pre-employment training program was implemented primarily as a cost-reduction initiative. With Employment Readiness, the training costs are partially borne by the students, with a Branch subsidy. The current subsidy is 50% of the program cost. In 1998/99 the subsidy was 70% of costs. This explains the decrease in deputy sheriff training funding since 1995.

With the transition to this new model, the Branch retained two mandatory requalification programs – defensive tactics and handguns. Both programs are the responsibility of regional operations to provide instructors and training delivery.

One of the impacts of pre-employment training is the inability to fill deputy sheriff positions and train them “on the job.” With mandatory pre-employment training there is little to no flexibility to provide local backfill for deputies to take training outside their work unit. Only the largest court locations have callboard deputy sheriffs available to backfill. It is the Branch’s primary responsibility to support the operation of the courts. This, combined with the limited ability to backfill sheriff positions, is the only option is to provide training at or near the worksite.

An unfortunate consequence of budget reductions has been the severe cut to all Branch training programs as it is one of the few items which does not impact the daily operation of the courts. In fact, training has been limited to the mandatory deputy sheriff requirements. There has been no formal court administration or management training in the Branch for the last five years.

The Branch Business Plan commits to ensuring staff are well trained and knowledgeable. Implementing this commitment requires alternatives to traditional classroom training. The upgrading of Branch computers in 1999 will provide most staff with access to the Internet. The Branch is, therefore, developing a web site to provide intranet information and self-directed training.

As this training method is developed, the model for evaluating training will be incorporated. With deputy sheriff training focussed on the prevention of incidents, correlating training expenditure to improved work performance is difficult.

Sheriff services have had an excellent record in undertaking their duties. The audit finding that 72% of the deputy sheriffs feel properly trained to carry out their duties quantifies the perceptions of Branch management. In 1997/98, sheriffs performed over 143,000 escorts, summoned 100,251 jurors and provided court security for approximately 160,000 hours of court.

The Branch is reviewing several issues relating to handguns—type of weapon, issuance, requalification timeframe and shooting scenarios. All of the issues are being considered by the Courts Management Board as appropriate for staff engaged in defensive actions. As a result, these policies cannot be easily compared to police standards as they operate as an offensive force.

Due to two recent disturbing incidents during requalification and scenario-based training, the safety of these training methods is being reviewed by management.

B: Recommendations

1. *Court Services Branch Develop a Human Resource (HR) Strategy*
 - *Branch is committed to the seven Ministry Human Resource strategies that will be implemented in 1999/00.*
 - *Communication of the Ministry strategy to Branch staff and involving them in implementation plans is preferred to developing a separate HR strategy for the Branch.*
 - *Annual performance plans are Branch policy. The 1998/99 Ministry HR Strategy required performance plans for all management staff. This was completely implemented within Court Services Branch.*

2. WCB Training and Handgun Requalification

- Branch will undertake WCB required training commencing in 99/00.
- Handgun requalification schedule has recently been changed to every 12 months commencing in 99/00. Implementation of this new standard is being planned.
- Reference to police firearms training is misleading in that the police are trained as an offensive force and use semi-automatic guns. When the Branch considered switching to these weapons, the need for considerably longer training was identified due to the safety, maintenance and skills required to use the semi-automatic firearm.
- Refresher training will be reviewed by the Branch this fall, to determine needs, standards, costs and implications for staff who do not pass the courses.

3. Branch Communications Plan

- Agreed that a communications plan is required. A Branch web site is expected to be ready in the fall. This will coincide with the new computer leases, whereby most Branch staff will have access to updated information on the intranet.
- In January 1999, the Branch Business Plan was sent to the regions for distribution to all staff.
- The sheriffs are recognized in the plan as part of Branch staff. Staff training is identified in the plan; however, sheriffs' training was not specifically noted. Other initiatives of interest to sheriffs that are in the plan are: escort management and court security.
- Input from sheriffs will be targeted related to the HR strategies and will be used to assess the specific communications needs of this group.

The Human Resource Strategy adopted by the ministry in April 1998 has identified training and development as an important priority. It is clear that each branch of the ministry will have specific training and development requirements.

The report has recognized that the Sheriff's Services of the Court Services Branch has a 25 year history of secure court administration with very few incidents due, in part, to the training provided to staff. As the ministry develops its corporate training strategy, one of the issues that will emerge is the need to support training for deputy sheriffs that will maintain this record. This can be done by the identification of core competencies for deputy sheriffs and the establishment of adequate training evaluation methods, both of which are topics that will be addressed by the strategy.



appendices

appendix a

Our Training and Development Model

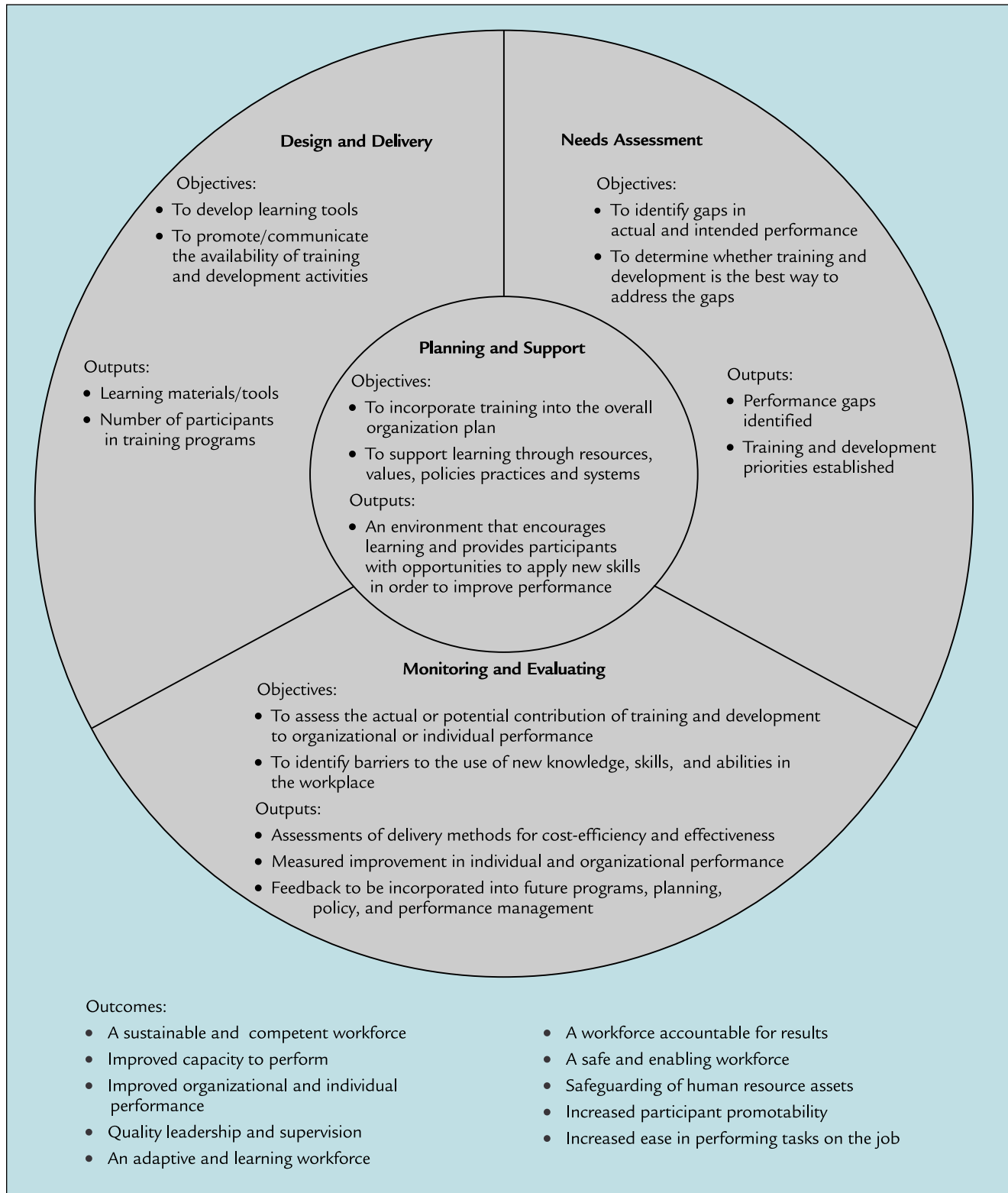
Although ministries differ considerably in how they provide employee training, ultimately their common goal should be to improve the overall performance of the ministry by helping employees perform their current and future job responsibilities at the highest level possible. Because training can be costly and time-consuming, decisions to invest in it should be made carefully. Assuming that any training is good, or that more is always better, can be wasteful.

A comprehensive approach is required if training and development is to be used as a strategic tool in the management of human capital and as a means of achieving quality improvement. The model we propose has the necessary tools to help ensure that employee training contributes to effective government performance and that the training is integrated into other functions tied to managing human capital (e.g., feedback and recognition systems). We view employee training as a dynamic process with four major components: planning and support, needs assessment, design and delivery, and monitoring and evaluation.

Our model, outlined in Exhibit 5.1, reflects the current consensus among training experts. It includes benchmarks for good training that can apply to ministries regardless of their size or mission. We believe this training model will be useful to ministries that do not already have one. Exhibit 5.2 provides more detail around the model.

Exhibit 5.1

Training and Development Model



Source: Office of the Auditor General of British Columbia

Exhibit 5.2

Our Model for Evaluating Training

Planning and Support

1. Ensure that senior management provides an environment that encourages and explicitly values learning, and provides participants opportunities to use new skills.
2. Identify training goals and objectives in a plan that is consistent with the organization's overall direction, considering current and future requirements.
3. Outline training priorities, objectives and anticipated outcomes in training plans (at the organization, branch and employee level).
4. Support the plan and communicate the significance of training in helping the organization through policies and procedures.
5. Communicate training policies, plans, procedures and opportunities to all employees.
6. Support employee training through funding and staffing levels sufficient to address organization priorities.
7. Decide who receives training based on needs in relation to potential improvement in present and future job performance.

Needs Assessment

1. Identify the knowledge, skills and abilities required to achieve the organization's mission, goals and objectives.
2. Compare employees' current levels of knowledge, skills and abilities to those they require to perform current and future job responsibilities, and identify deficiencies.
3. Monitor how well the ministry is meeting its mission, goals and objectives and determine whether training and development is the best way to address performance gaps.
4. Routinely monitor division and individual performance to identify problems that may be amenable to training.
5. Incorporate a training component into employee performance appraisals to evaluate past training activities and identify future training needs.
6. Ensure employees are aware of their roles, responsibilities and expectations and involve them in identifying their training needs and proposing solutions.

Design and Delivery

1. Ensure that training activities are relevant to the organization's mission, goals and objectives.
2. Use a variety of training methods so as to match people's learning styles and the nature of the training.
3. Provide training efficiently by avoiding unnecessary duplication, working cooperatively with others and encouraging innovation.
4. Make training geographically and physically accessible to employees.

Monitoring and Evaluation

1. Accurately record information on training activities, including expenditures, employee participation and outcomes.
2. Ensure that organizations are aware of the amount of money invested in the training and development of their staff and that they annually report these expenditures.
3. Evaluate the effectiveness of training, including its effects on organizational performance.
4. Use evaluation results to improve training methods and activities.
5. Use evaluation results to improve the organization's planning and needs assessment processes.

Source: Office of the Auditor General of British Columbia



appendix b

Cross-Government Survey Methodology

The results in this report are based on a random probability sample of approximately 3,500 representing a population of 24,000 regular full-time British Columbia government employees with a minimum of one year of service. The sample used for this study resulted from the merger of five individual surveys all using similar target populations, concepts, questionnaires and data collection methods. In addition, a census was conducted in the Ministry of Agriculture, amongst managers (levels 3–8) and deputy sheriffs in the Ministry of Attorney General, and amongst engineers and contract managers in the Ministry of Transportation and Highways. The remainder of government was surveyed using random probability sampling. All five surveys achieved high response and the final combined response rate was over 76%. The merged survey results used for the key findings in this report are accurate to within plus or minus 5%, 19 times out of 20.

The random probability sample, selected to represent the bulk of government employees, used a methodology supplied by Statistics Canada. The sample was stratified to ensure that, when all five surveys were merged, reliable results could be produced for each function of government and for occupational groupings. Stratification, systematic sampling, and weighting were used to ensure that the sample was also broadly representative by gender and region.

For the purposes of this study, British Columbia's ministries were divided into functions, based on how the majority of their budget allocation was spent, according to the Estimates. The following chart outlines where each ministry fit in terms of function at the start of the audit.

The occupation groupings adopted for this study match those used by both federal and provincial governments for employment equity reporting. This grouping of occupations, based on the National Occupation Classification was chosen because it would allow comparisons to other human resources data collected by government. Some further collapsing of occupation codes was necessary because of the rarity of certain occupations in government. Two special strata were formed: one with all service occupations, and the other with the trades, manufacturing and manual occupations. The chart below illustrates how government employees in British Columbia are classified by occupation:

Function	Ministry
Health	Ministry of Health
Social Services	Ministry of Human Resources Ministry of Children and Families Ministry of Women's Equality
Education	Ministry of Education, Skills and Training
Natural Resources and Economic Development	Ministry of Agriculture, Fisheries and Food Ministry of Forests Ministry of Environment, Lands and Parks Ministry of Employment and Investment Ministry of Aboriginal Affairs
Transportation	Ministry of Transportation and Highways
Protection of Persons and Property	Ministry of Attorney General Ministry of Labour
General Government	Ministry of Finance
Other	Ministry of Small Business, Tourism and Culture Ministry of Municipal Affairs and Housing

Employment Equity Grouping	Classification
Senior managers	Senior Managers (ML 6-8)
Middle and other managers	Middle Managers (ML 1-5)
Professionals	Includes, for example: Financial Officers (4-6), Education Officers (1-3), Biologists (1-5), Licensed Science Officers (1-5), System Analysts (1-6), and Social Program Officers (1-5).
Semi-professionals and technicians	Includes, for example: Activity Workers (2-6), Child Care Counselors (1-4), Information Systems (4-6), Photo Arts Technicians (2-5), Scientific/Technical Officers (1-7), and Technical Enforcement Officers (2-7).
Supervisory: clerical and sales and service	Administrative Officer (3 and 4), Clerk 5, Food Production Services (4-7), TS Industrial Warehousing.
Administrative and senior clerical	Includes, for example: Administrative Assistant, Communications Officers (1 and 2), and Financial Officer (1-3).
Clerical workers	Includes, for example: Stock Worker (2-5), Court Clerk (1-3), and Clerk 3 and 4.
Sales and Service	Includes, for example: Health Care Workers (1-3), Senior Correctional Officers (1-3), and Deputy Sheriffs (1-6).
Skilled trades, semi-skilled manual	Includes, for example: TJ Electrician, TL Electrician, TJ Painter Decorator, Foreman (1-4), Park Assistant (1-3), Machine Operator (1-6), and Deck hands.

The following table illustrates the distribution of the sample, by government function and occupation, resulting from the merger of the five surveys. The numbers in bold represent the size of the population in each category; the standard figures are the number of survey respondents.

Merged Sample (respondents from all five surveys) (bold = population)									
	Health	Social Services	Education	Natural Resources and Economic Development	Transportation	Protection of Persons and Property	General Government	Other	Total
Senior management	15 53	7 46	17 39	43 219	18 30	48 63	27 111	15 35	190 596
Middle and other managers	16 115	18 238	14 64	61 545	48 142	208 564	51 453	34 144	450 2265
Professionals	36 264	133 1875	79 287	211 1883	118 246	71 830	61 525	22 111	731 6021
Semi-professionals and technicians	6 60	83 1121	11 35	201 2476	162 885	6 76	10 105	41 195	520 4953
Supervisory: clerical and sales and service	10 81	14 160	10 33	16 208	91 177	19 187	20 186	11 52	191 1084
Administrative and senior clerical	16 109	14 189	28 86	88 420	21 156	55 523	27 232	13 80	262 1795
Clerical	80 686	88 1144	43 179	55 958	38 342	117 1179	76 681	65 304	562 5473
Sales and service	23 69	108 326			2 6	162 1075	14 42	1 3	310 1521
Skilled trades, semi-skilled manual	3 8	2 5		13 35	72 196	5 14	17 46	13 35	125 339
Total	205 1445	467 5104	202 723	688 6744	570 2180	691 4511	303 2381	215 959	3341 24047



appendix c

Sharing Successes

The following five examples of ministry training practices highlight principles from our training model as discussed in Appendix A. We chose these sample programs because they illustrate at least one of our benchmarks. The concepts are transferable to other ministries and occupations, and they are producing satisfactory results. There are undoubtedly many more examples that did not come to our attention.

Cooperative Education Training Program

This government-wide program was initiated in 1979 as a means of attracting qualified post-secondary students to the public service, and of providing students with the opportunity to integrate academic preparation with relevant work experience.

Students must be from a recognized cooperative education training program and the work assignment the student is to complete must be of a special project nature and distinct from the day-to-day duties of a regularly classified position. Students may be from either undergraduate or graduate programs. There is a wide variety of co-op programs, and thus the program is of interest to a cross-section of ministries. Examples of programs available to select students include engineering, economics, computer science, business, Native studies and environmental studies.

The recruitment and selection of co-op students is completed directly between a ministry and the educational institution. Once a student accepts a work assignment in a ministry, he or she is considered an auxiliary employee. Each work term must not exceed four months and may be extended for one additional four-month term.

Both the ministry and the educational institution evaluate the work experience. These evaluations are focused on how well the student managed the work experience. There has not been an overall program evaluation, but anecdotally, from the perspective of human resource managers, it is a beneficial program for the following reasons:

- It attracts bright, energetic workers at low cost.
- It brings current thinking to a project.
- It gives students “real life” experiences in their course work.

- It helps ministries develop a pool of potential employees.
- It supports the youth initiative in government to address the issue of replacing an aging workforce.

The Professional Partnership Program, Ministry of Transportation and Highways

This program for post-graduate students is the result of a partnership between the ministry and the University of British Columbia Civil Engineering Department. It provides the ministry with a cost-effective way of staying current with developments in relevant areas of concern. The program supports the graduate students who participate, assigns meaningful research projects, provides the ministry with low-cost qualified engineering expertise and enhances the relationship between the university and the ministry's senior engineers. A professional partner at a Masters degree level will participate in a two-year program that consists of two work terms and two winter lab terms.

The ministry develops a list of needs research and development projects, which it then submits to the university. The university selects a student from those who have expressed an interest in a particular topic and recommends the student to the ministry. A senior engineer working in the area is assigned to work with the student. The student works under a consulting services agreement and is considered an employee of the ministry for the duration of the project. During the two-year period, the ministry pays the student a monthly salary while he or she is on the job, plus a monthly stipend during class terms. Typically, the ministry invests \$18,000-20,000 per research project. This approach to obtaining quality research is less costly than hiring consultants to do the work. During the program, the senior engineer assigned to the student acts as a mentor and is also responsible for monitoring the progress of the project against established milestones. The relationship between the senior engineer and student provides a learning opportunity for both participants. The university provides expert direction to the student and some financial support. The program has been considered highly successful, although it is currently on hold because of funding restrictions.

No formal evaluation of the process has been undertaken. To date, the assessment of the success of the project has rested on the students' successful defense of their theses.

Knowledge Master, Ministry of Transportation and Highways

Knowledge Master is a computerized personal knowledge and abilities evaluation tool, which can be used to assess employee learning priorities and knowledge retention. It can be used as a self-assessment tool or in conjunction with a trainer or supervisor. In addition to being a training and performance management tool, Knowledge Master has application in the recruitment and selection process as a screening tool for job applicants.

A senior systems technician within the Highway Engineering Branch developed the program in response to an identified need to reduce the cost of training individuals in the use of civil engineering software (AutoCAD, etc.) while still improving the training course content and knowledge retention of the training. However, the tool has much broader application.

Knowledge Master can be designed for any topic by using a word processor to develop a series of questions relevant to the knowledge area being evaluated, and thus constructing a database to measure a person's knowledge in that specific area. It works by displaying a series of multiple choice questions on the computer screen. After the questions are answered, the computer tallies the results and provides analytical information that makes it easy to pinpoint each subject area of strength and weakness. The program supports three possible technical levels for questions: beginner, intermediate and advanced. As well, it can be installed and run from a local area network, a stand-alone computer, or directly from a floppy disk, allowing it to be used in remote areas.

Knowledge Master can be used to identify training needs, assess the knowledge and abilities of potential trainers, and provide a follow-up to training by assessing how much information an individual retained. It can also be used in creating a common baseline of technical knowledge and abilities for specific job duties and functions, and for streamlining the selection of potential job candidates. In self-teaching environments, it allows a person to answer questions and review the answers immediately, providing an effective self-assessment tool.

To date, approximately 1,000 people have used Knowledge Master. It has been used by the Ministry of Transportation and Highways for evaluating training needs and assisting in the short-listing of applicants in recruitment. It is also being used by the Insurance Corporation of British Columbia as a pre-screening tool in hiring customer service representatives. The

program is currently being considered by Public Service Employee Relations Commission as a method of electronic pre-screening for the hiring of clerical staff.

Information Technology (IT) Training Initiative

Employee Learning Services (ELS), working with the Advisory Council on Information Management and supported by ministry IT training coordinators, manages a corporate IT training budget.

At the beginning of the fiscal year, ELS establishes a fund for training IT professionals by journal vouchering each ministry. Cross-government IT training needs are identified through needs assessments and a training plan is created to meet the priorities identified by the systems community. Then ELS aggregates cross-government training demand. Cost savings are realized by ELS negotiating single contracts with a vendor instead of having separate vendor contracts with each ministry. As well, ELS works with ministries to maximize training investments by implementing emerging training technologies, such as computer-based and web-based training, which have lower course and travel costs, improved student retention rates and easy accessibility for review purposes.

A service contract is negotiated between ELS and each ministry outlining which courses will be provided by ELS and the costs associated with the course delivery. The contract also outlines which courses are the ministry's responsibility to provide to its staff.

The needs survey is updated by the ministries half way through the year and, based on the results, ELS adjusts the curriculum or course schedule as required.

A full financial accounting is produced at the end of the fiscal year to enable each ministry to review the IT training delivered and the cost of that training. This process has enabled IT training dollars to be invested where and when they will have the most impact.

Business and Finance Workshop, Corrections Branch, Ministry of Attorney General

Corrections Branch training has traditionally focused on line staff, particularly in recent years of fiscal restraint. In early 1997, the Senior Management Committee agreed to update field business staff in areas involving technological advancement, personnel and attendance management, and financial policy. In addition, a need for an in-person forum to

discuss cost savings, workplace efficiencies and “best practices” was confirmed. Approval in principle was given for a two- to three-day workshop pending a final business case that would include a program proposal, workshop description and costing. Training was to be relevant to correctional centre business managers and office managers, as well as family/ community senior stenographers and regional office staff.

The task of developing and implementing the training program was delegated to the Strategic Planning and Corporate Programs (SPCP) Division, in conjunction with the Justice Institute of British Columbia. A committee of business managers and family/ community supervisors, chaired by the branch financial policy analyst was established. This committee included a cross-section of individuals from four Corrections divisions—Community Justice, Family Justice Services, Adult Custody and SPCP.

The committee consulted with field staff about their needs and current branch issues or challenges. From information gathered, objectives were established and a proposed program and budget were developed. A business case was submitted to the committee, where it received approval and financial support.

The final product was a two-day workshop hosted by the Corrections Academy at the Justice Institute. Presenters and facilitators were comprised of ministry staff with expertise and experience in specific subject areas. Working lunches were held, which provided for discussion of common issues, best practice across programs and divisional updates.

The program was well attended and received. Evaluation surveys were distributed to each participant and post-analysis revealed enthusiastic and positive reactions. Although there was no formal follow-up to assess whether the workshop resulted in substantive changes in workplace practices, anecdotal comments from a headquarters senior financial manager noted some changes in on-the-job performance.

The training concepts from this workshop were endorsed and approval was given to provide continuing sessions of this type. For the coming year the branch plans a program to be delivered for the next level of staff appropriate to their needs.



appendix d

1999/2000 Reports Issued to Date

Report 1

1999 Follow-up of Performance Audits/Reviews

Report 2

Report on Government Financial Accountability
for the 1997/98 Fiscal Year

Report 3

Maintaining Human Capital in the British Columbia
Public Service: The Role of Training and Development



appendix e

Office of the Auditor General: Performance Auditing Objectives and Methodology

Audit work performed by the Office of the Auditor General falls into three broad categories:

- Financial auditing;
- Performance auditing; and
- Compliance auditing.

Each of these categories has certain objectives that are expected to be achieved, and each employs a particular methodology to reach those objectives. The following is a brief outline of the objectives and methodology applied by the Office for performance auditing.

Performance Auditing

Purpose of Performance Audits

Performance audits look at how organizations have given attention to economy, efficiency and effectiveness.

The concept of performance auditing, also known as value-for-money auditing, is based on two principles. The first is that public business should be conducted in a way that makes the best possible use of public funds. The second is that people who conduct public business should be held accountable for the prudent and effective management of the resources entrusted to them.

The Nature of Performance Audits

An audit has been defined as:

... the independent, objective assessment of the fairness of management's representations on performance, or the assessment of management systems and practices, against criteria, reported to a governing body or others with similar responsibilities.

This definition recognizes that there are two primary forms of reporting used in performance auditing. The first—referred to as attestation reporting—is the provision of audit opinions on reports that contain representations by management on matters of economy, efficiency and effectiveness.

The second—referred to as direct reporting—is the provision of more than just auditor’s opinions. In the absence of representations by management on matters of economy, efficiency and effectiveness, auditors, to fulfill their mandates, gather essential information with respect to management’s regard for value for money and include it in their own reports along with their opinions. In effect, the audit report becomes a partial substitute for information that might otherwise be provided by management on how they have discharged their essential value-for-money responsibilities.

The attestation reporting approach to performance auditing has not been used yet in British Columbia because the organizations we audit have not been providing comprehensive management representations on their performance. Indeed, until recently, the management representations approach to value for money was not practicable. The need to account for the prudent use of taxpayers’ money had not been recognized as a significant issue and, consequently, there was neither legislation nor established tradition that required public sector managers to report on a systematic basis as to whether they had spent taxpayers’ money wisely. In addition, there was no generally accepted way of reporting on the value-for-money aspects of performance.

Recently, however, considerable effort has been devoted to developing acceptable frameworks to underlie management reports on value-for-money performance, and public sector organizations have begun to explore ways of reporting on value-for-money performance through management representations. We believe that management representations and attestation reporting are the preferred way of meeting accountability responsibilities and are actively encouraging the use of this model in the British Columbia public sector.

Presently, though, all of our performance audits are conducted using the direct reporting model; therefore, the description that follows explains that model.

Our performance audits are not designed to question government policies. Nor do they assess program effectiveness. The Auditor General Act directs the Auditor General to assess whether the programs implemented to achieve government policies are being administered economically and efficiently. Our performance audits also evaluate whether members of the Legislative Assembly and the public are provided with appropriate accountability information about government programs.

When undertaking performance audits, auditors can look either at results, to determine whether value for money is actually achieved, or at management processes, to determine whether those processes should ensure that value is received for money spent.

Neither approach alone can answer all the legitimate questions of legislators and the public, particularly if problems are found during the audit. If the auditor assesses results and finds value for money has not been achieved, the natural questions are “Why did this happen?” and “How can we prevent it from happening in future?” These are questions that can only be answered by looking at the process. On the other hand, if the auditor looks at the process and finds weaknesses, the question that arises is “Do these weaknesses result in less than best value being achieved?” This can only be answered by looking at results.

We try, therefore, to combine both approaches wherever we can. However, as acceptable results information and criteria are often not available, our performance audit work frequently concentrates on managements’ processes for achieving value for money.

We seek to provide fair, independent assessments of the quality of government administration. We conduct our audits in a way that enables us to provide positive assessments where they are warranted. Where we cannot provide such assessments, we report the reasons for our reservations. Throughout our audits, we look for opportunities to improve government administration.

Audit Selection

We select for audit either programs or functions administered by a specific ministry or public body, or cross-government programs or functions that apply to many government entities. There are a large number of such programs and functions throughout government. We examine the larger and more significant ones on a cyclical basis.

We believe that performance audits conducted using the direct reporting approach should be undertaken on a five- to six-year cycle so that members of the Legislative Assembly and the public receive assessments of all significant government operations over a reasonable time period. Because of limited resources, we have not been able to achieve this schedule.

Our Audit Process

We carry out these audits in accordance with the value-for-money auditing standards established by the Canadian Institute of Chartered Accountants.

One of these standards requires that the “person or persons carrying out the examination possess the knowledge and competence necessary to fulfill the requirements of the particular audit.” In order to meet this standard, we employ professionals with training and experience in a variety of fields. These professionals are engaged full-time in the conduct of performance audits. In addition, we often supplement the knowledge and competence of our own staff by engaging one or more consultants, who have expertise in the subject of that particular audit, to be part of the audit team.

As performance audits, like all audits, involve a comparison of actual performance against a standard of performance, the CICA prescribes standards as to the setting of appropriate performance standards or audit criteria. In establishing the criteria, we do not demand theoretical perfection from public sector managers. Rather, we seek to reflect what we believe to be the reasonable expectations of legislators and the public. The CICA standards also cover the nature and extent of evidence that should be obtained to support the content of the auditor’s report, and, as well, address the reporting of the results of the audit.



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