



Office of the City Auditor
Policies and Procedures

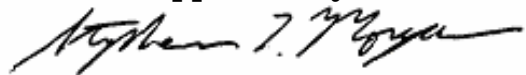
Number: 6.2.3

Title: Annual Training Plan

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Approved by:

10/09/2001

 08/12/2005
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I. Policy

The Office of the City Auditor shall develop an annual training plan that will be used to identify the training needs for auditors and investigators.

II. Purpose

The purpose of this policy is to ensure that auditor and investigator professional development needs, and Government Auditing Standards related to training requirements, are met. Another purpose of this policy is to allocate training resources on an office wide basis.

III. Definitions

- A. **Training Plan** - A report that lists, for each employee, recommended training courses, corresponding continuing education hours, and training course cost.
- B. **Training Requirements** - A curriculum designed to identify core training requirements for auditors and investigators. Requirements are organized by level and zone. Possible sources and recommended number of hours for training courses may also be included. The training requirements can be accessed through the PAS Training menu.
- C. **Continuing Education Hours** - Hours associated with courses that contribute to an auditor's professional proficiency. The standard ratio is one continuing education hour for every 50 minutes of instruction. These hours are meant to meet the continuing education requirements of the Government Auditing Standards, but do not necessarily meet the continuing professional education (CPE) hours required by professional certifications.

IV. Procedures

- A. Within one month after City Council has approved OCA's yearly Service Plan, a training plan will be developed and presented to the Executive Management Team.
- B. The approved training plan, along with related training brochures, will be used to register OCA staff for scheduled training throughout the fiscal year.
- C. During the year, staff may also request training that is not included on the plan (in accordance with Policy 6.2.4), but priority will be given to training identified in the plan.
- D. All staff will review and update the annual training plan upon completion of a performance and development plan (see policy 6.1.2 Performance and Development Plans). Periodically, the training requirements will be reviewed and updated so that they remain congruent with performance expectations.

V. Responsibilities**A. Training Coordinator**

- 1. Shall review each employee's CPE file and compare it to the training plan requirements. Specifically, the Training Coordinator shall:
 - a. Annually, scrub CPE data for consistency *year* using PAS report "Training Courses by Plan Requirement" (Reconciliation Report). This should occur prior to reconciliation of plan requirements to staff training records.
 - b. Annually, reconcile plan requirements to staff training records.
 - i. This can be done by each staff member, using a copy of the current Training Plan Requirements and the PAS report "Comparison of Training Received to Plan", which shows the employee's progress on their training plan.
 - ii. The Training Coordinator should provide this information to staff to verify the reconciliation.
 - c. Review and address any employee feedback or grandfathering requests.
- 2. The training coordinator will draft a training plan that recommends specific training for employees who have not taken the required training for their level and zone, and who need

additional continuing education hours. The training coordinator shall also ensure that training requirements are congruent with performance expectations.

- B. The **Executive Management Team** shall review the draft training plan and, taking into consideration training availability, budget constraints, and other input, make recommendations to the Deputy City Auditor.
- C. The **Deputy City Auditor** will approve the training plan.
- D. The **Administrative Specialist** is responsible for registering each employee for approved training in a timely manner.
- E. **All OCA staff** is responsible for making sure that recommended training corresponds with their performance and development plan and applicable professional certification requirements.

