



## AUDIT MEMORANDUM

October 31, 2008

**TO:** Stockton City Council

**FROM:** F. Michael Taylor, City Auditor

**SUBJECT:** Substantive Testing: Required City Training

In accordance with our 2007-2008 audit plan, we have completed an audit of Required City Training. We defined required City training to include customer service and harassment training. We concluded that in general, City employees are attending required City training. Exceptions noted during testing were communicated to the responsible department's training coordinator for correction.

### **BACKGROUND:**

The City of Stockton is committed to ensuring that employees have all the tools and skills needed to be successful in the workplace. It is the City's policy to provide City-wide training to promote employee's personal growth, enhance job skills, and encourage positive professional behavior. The Human Resources Department is responsible for developing and coordinating the City-wide Training Program. Although Human Resources is the administrator of the program, each Department Head, supervisor, and employee plays a role in the program's success.

The City-wide Training Program does not include courses to address specific technical skills needed for the performance of a specific job or duty, but rather those applicable to all City employees. This may include training provided to satisfy statutory or City policy requirements. Such is the case for customer service and harassment training.

### **OBJECTIVE AND SCOPE:**

Our audit objective was to answer the following question:

Have City employees attended required City training? Required training was defined to include customer service and harassment training.

The scope of our audit included current, full time City employees. We reviewed both general work force and supervisory employees from all departments.

## **METHODOLOGY:**

To gain an understanding of the requirements related to City employee training, we reviewed applicable statutes, written City policies, and related City documents. We interviewed Human Resources Department staff and department training coordinators to gain an understanding of how the program was administered. Using data from systems used to track employee training, we selected a sample for compliance testing. Where exceptions were noted, we communicated them to Human Resources and the employee's department training coordinator.

We provided management with a suggestion for system improvements under a separate memorandum. Suggestions for improvement are those conditions deemed by the auditor to be of less significance than audit findings. Generally, these are areas where procedures could be more efficient or where opportunities exist to make minor improvements. No follow-up work is performed on suggestions for improvement.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on the audit objectives.

## **RESULTS:**

Based on the results of our work, we conclude that in general employees have received customer service and harassment training. We found that the Human Resources Department provides frequent opportunities for employees to attend training, and the schedule of classes is readily available. In addition, we noted the following:

**Of the three "required" City training courses identified, only harassment training for supervisors has a written requirement.**

There is a statutory requirement for supervisors to attend harassment training within six months of assuming the role, and again every two years. Although the City-wide training brochure distributed by Human Resources indicates that all three courses are required for all employees, harassment training for the general workforce and customer service training have no specific statutory or written policy requirement.

According to Human Resources' staff, a proposed revision to the City's harassment policy includes the requirement that all employees attend harassment training.

**Sworn Police and Fire Department employees generally do not attend the customer service training course provided by Human Resources.**

Per Human Resources' staff, customer service training is generally geared towards an office setting and may be impractical for safety employees.

**Both Police and Fire use internally administered programs for harassment training.**

With some exceptions, Police and Fire Department employees do not attend City provided harassment training. Both departments have created their own mechanism for administering and tracking harassment training. In addition to being included as part of the Peace Officer Standards & Training (POST) Curriculum, the Police Department created general workforce and supervisor harassment training programs. The Fire Department contracts with an outside vendor that provides online training.

**A small number of exceptions were noted, which were communicated to the responsible department for correction.**

During testing of non-sworn City employees, we noted a small number that had not attended required training. This information was communicated to the responsible department's training coordinator for correction.

We would like to express our appreciation to the staff of Human Resources Department, and the department training coordinators who assisted us during this audit.



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