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EXECUTIVE SUMMARY

The Professional Development Directorate (PDD) supports the Department of Justice by offering courses, advice, and guidance to employees. Among the Department's staff there exists a wide range of knowledge and experience and the Department is concerned with capturing and disseminating this knowledge. At the same time, the Department has recognized specific professional development needs, which include continuing legal education for lawyers, management training, orientation for new employees, and training for non-lawyers. At present, there are several parties involved in identifying training needs and/or delivering training through the Mentoring Program, the Legal Excellence Program, and regional and portfolio training efforts.

To meet part of the Department's professional development needs, the PDD had an O&M (operations and maintenance) budget for 2001–2002 of approximately \$1.3 million and a staff complement of 18. The Directorate was organized into three main areas of focus.

- The Continuing Legal Education Division is responsible for offering courses, training, conferences, and special events on specific legal subjects to legal professionals. The Legal Skills and Advocacy Program is an initiative within this division that is aimed at improving certain skills in relation to the practice of law.
- The Management and General Learning Programs offer several management courses to train tomorrow's managers. It also offers a variety of seminars and activities including the Enhanced Performance Program and Balanced Life Program.
- The Orientation program is responsible for the maintenance and delivery of a departmental orientation program in the National Capital Region.

We noted that there has been a significant amount of staff turnover within the PDD since mid 2001. As well, the learning environment has been directly affected by recent events within the public sector. In May 2002, the Treasury Board Secretariat (TBS) published the "Policy for Continuous Learning in the Public Service of Canada." This new policy is specifically directed

at providing a “learning culture” for the federal government. The policy sees the responsibility for continuous learning as a shared one with the host organization, the individual employees and managers, and the TBS itself having integrated and cooperative roles. All departments are expected to implement this policy by March 31, 2004 by building their own policies and action plans with a clear commitment of time and resources to address continuous learning.

The Department of Justice is debating the strategic role of the PDD as part of several directions/initiatives intended to address the policy. In 2002, a National Learning Symposium drew together 40 individuals from across the Department to discuss learning issues. A summary report of the Symposium’s discussions identified the need to create a national Learning Council within the Department, a role for a national learning coordinator, and positions for learning advisors/training coordinators throughout the Department.

This review, which took place between October 2002 to December 2002, assessed the adequacy of the management framework in place with respect to the PDD, the quality of the products that the Directorate offers, the effectiveness of its communication processes, and its ability to assess the quality of its training.

Management Framework

The PDD has been operating with an unclear and incomplete management framework. Not only is its mandate not clearly defined but the whole area of learning and training is under review within the Department. As a result, the actual role undertaken by the Directorate has fluctuated with the type and number of resources assigned and the available budget. Consequently, it is difficult for the PDD to put in place an appropriate management framework until these issues have been resolved.

We have concluded that the products and services provided by PDD are of a good quality and the basic systems are in place for the management of the Directorate. However, the PDD needs to improve its communication efforts with its clients within the portfolio groups and the regions. We also found that there is insufficient tracking of costs to determine how efficiently the PDD carries out its activities. Further, Directorate processes (e.g. professional development needs assessments) must improve if the Directorate is to play a more concrete role throughout the Department.

In our opinion, the PDD systems for reporting performance are currently inadequate. Although course evaluations are administered, there is no other assessment of the impact of the training currently conducted. In general, we found that metrics to ensure good performance management tracking of PDD activity and delivery do not appear to exist. No broader measures are applied to assess the quality, suitability, and effectiveness of training activities, or the impact of such activities on overall organizational performance.

Necessary improvements in the management framework are primarily dependent on a greater clarification of the role of the Directorate and on the improved tracking of its costs and activities.

Professional Development Operations

The Department of Justice does not have a formal process in place to tie employee training to employee performance within a structured human resource performance management system. There is a policy that every employee should receive five days of training per year, but there is no database maintained, except in one region, to record the amount of training received by departmental employees.

The Department needs to create a link between human resource management (e.g. performance appraisals) and individual training needs. A formal process is required for the development of personal learning plans based on competency profiles. The analysis should also provide good insights on the gaps between the targeted competencies and the level of individual performance. Therefore, departmental training cannot be fully directed until there are clear definitions and descriptions of the required competencies of the staff.

While the PDD has adopted a project management methodology allowing for a standard approach for administering training, it needs to develop further controls over course development. Although the training provided by the PDD is of a high quality, we found that there were some criticisms of the Directorate. Due to budget constraints, it cancelled a popular format of training known as lunch and learn where lunch was served during a training activity.

The Department of Justice has not given enough consideration to alternative means of delivering training, or of the PDD's role within the overall provision of training within the Department. The PDD's role and responsibilities need to be defined. We suggest that the Learning Council could provide an important coordinating role for the development and delivery of training, and that the PDD could be reorganized to perform a supporting role to the Learning Council.

Learning Management

The PDD's provision of training has not been linked to a set of senior management strategies and initiatives or a human resource performance management system. The need to capture the extensive knowledge possessed by departmental staff has been recognized, but so far there is no formal mechanism to coordinate and capture this knowledge.

The proposed Learning Council will significantly affect what services the PDD provides and how it is perceived by the rest of the Department. One question that must be considered is whether the PDD should restrict itself to just providing services to the national capital region or should it be responsible for training policy, the promulgation of training material across the country, or other possible roles. We envisage that some of these roles might best be fulfilled by the Learning Council directly, or through a secretariat and that the service delivery role of the PDD be performed by an organization separate from policy development and the directing of training.

Thus, the Department of Justice needs to determine the nature of the relationship between the PDD and the proposed Learning Council. If the PDD is to be considered as a secretariat to the Learning Council, changes will be needed to the PDD if it is to be effective in this role.

Recommendations

This report presents recommendations with respect to the identified concerns.

- In light of the proposed Learning Council initiative, the PDD's role must be developed and confirmed, including:
 - the creation of a formal mandate,
 - identification of the personnel skills required to meet the mandate,
 - a formal separation between corporate roles and training delivery roles,
 - the creation of common systems and processes to coordinate the development, management and delivery of training and development across the Department.

- Within its current organization and role, the PDD must build a business case for the amount of training resources needed.

- The Department and the PDD must develop management information processes and systems to:
 - monitor expenditures against individual budgets,
 - monitor reporting on performance,
 - ensure training is tied into the human resource performance management process,
 - conduct a formal scanning process to assess training needs across the Department,
 - ensure that course design and development include some means of assessing the impact of training on both the individual and the organization,
 - establish an effective system for keeping track of all training received by every member of the department.

- The PDD needs to improve communications and professional development coordination by promoting a greater sharing of information and knowledge across the Department.

The management response to the recommendations contained in this report was provided by the Acting Director General, Professional Development Directorate, on December 19, 2003.

1. INTRODUCTION

The Professional Development Directorate (PDD) supports the Department of Justice by offering courses, advice, and guidance to employees. The Department's 2002–2003 Report on Plans and Priorities outlines several points where employee and manager training is crucial to program delivery. Specifically, the report notes that a priority for human resource management is to “enhance training and continuous learning for staff/managers.”¹

The Department of Justice is aware that among its staff there exists a wide range of knowledge and experience. Capturing and disseminating this knowledge is a concern within the Department and as a result several programs/initiatives have been undertaken. Within the Department, and outside of the PDD, there are several parties involved in identifying training needs and/or delivering training, such as:

- the Mentoring Program,
- the Legal Excellence Program,
- training coordinators within the regions and knowledge managers (training coordinators) within the separate portfolios.

In addition to these efforts, recognized departmental needs include:

- continuing legal education for lawyers,
- management training,
- orientation for new employees,
- training specifically for non-lawyers.

¹ The Department of Justice's 2002-2003 Report on Plans and Priorities can be found on the TBS Web site at <www.tbs-sct.gc.ca/EST-PRE/20022003/JUS-JUS/JUS0203rpp_e.asp>

The PDD is organized into three main areas of focus.

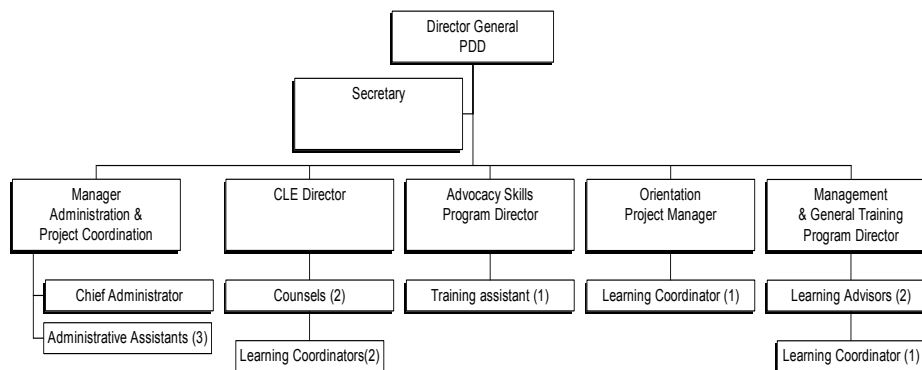
- The Continuing Legal Education Division is responsible for offering courses, training, conferences, and special events on specific legal subjects to legal professionals. The Legal Skills and Advocacy Program is an initiative within this division that is aimed at improving certain skills in relation to the practice of law.
- The Management and General Learning programs offers several management courses to train departmental managers. It also offers a variety of seminars and activities including the Enhanced Performance Program and Balanced Life Program.
- The Orientation Program is responsible for the maintenance and delivery of a departmental orientation program in the National Capital Region.

1.1 Organizational Structure

To meet part of the Department’s professional development needs, the PDD had an O&M (operations and maintenance) budget for the fiscal year 2001–2002 of approximately \$1.3 million and a staff complement of 22. For the fiscal year 2002-2003, PDD had an O&M of approximately 46,300\$ and a staff complement of 15 employees as of December 31, 2002.

Figure 1: PDD Organization Chart

Professional Development Directorate Organizational Chart (October 2002)



There has been a significant amount of staff turnover within the PDD since mid 2001. The Director General (DG) left the Directorate and has not been replaced. The acting CLE Director is currently also acting in the DG position. The Manager for the administration and project coordination also left the Directorate and has not been replaced. The Director for the Advocacy

Skills Program is on leave since September 2002 and the position has not been filled at the time of reporting. The administration of this program has been done from Toronto, but the intention now is to operate this PDD program out of Ottawa (this decision has not yet taken effect and is not reflected in the org. chart). The Director of the Management and General Training Program is relatively new to the job. At the time of the audit, the Orientation Program was being temporarily managed by a learning advisor within the Management and General Training Program.

1.2 Government-wide Policy for Continuous Learning

In May 2002, the Treasury Board Secretariat (TBS) published a new continuous learning policy specifically directed at providing a “learning culture” for public service employees.² Recognizing the new requirements of our knowledge age, the objective of the policy is to enhance the public service’s ability to fulfil its mission of supporting the Canadian public while simultaneously supporting the career goals of its employees. The policy acknowledges that the responsibility for continuous learning is shared among the host organization, the individual employees and managers, and the TBS. All parties should have integrated and cooperative roles in meeting this responsibility.

All departments are expected to implement this policy by March 31, 2004 by building their own policies and action plans with a clear commitment of time and resources to address continuous learning. It is also recognized that some organizations may well go beyond the basic policy in order to effectively handle organization-specific knowledge concerns. The Department of Justice, as a knowledge-based organization, may require a more extensive response to meet learning commitments. Specifically, the policy requires that:

- all permanent employees who wish to have a personal learning plan should have one by March 31, 2004;
- the basic requirements and common knowledge needs of managers should be identified and appropriate training opportunities made available;
- the efforts of employees to improve through formal education should be encouraged, subject to the overall operational requirements of their organization;

² A Policy for Continuous Learning in the Public Service of Canada, dated May 1, 2002, can be found on the TBS Web site at <www.tbs-sct.gc.ca/pubs_pol/hrpubs/tb_856/pclpsc-pacpc_e.asp>

- measurable targets should be set against which to measure progress toward becoming a learning organization, including an appropriate increase in time and dollar investment;
- reporting is accomplished annually on training, development, and learning activities to measure progress, and that such measurement should be linked with performance reporting to ensure accountability of departmental management in implementing learning policies and practices.

1.3 Departmental Learning Initiatives

The strategic role of the PDD is being debated for two reasons: as part of several directions/initiatives within the Department intended to address the TBS policy and because of an acknowledged need to systematically capture the knowledge of specialized staff within the Department. In 2002 a National Learning Symposium drew together 40 individuals from across the Department to discuss learning issues. Issues identified included:

- significant investment spent on training (over and above the PDD budget),
- no learning strategy in the Department to provide overall coordination of that investment,
- lack of information sharing on training and development activities,
- significant dissatisfaction on the current role of the PDD.

A summary report (“Creating a Learning Council: Report,” May 3, 2002) of the symposium identified the need for the Department to create a “learning management initiative” that would include creation of a departmental organization known as a “Learning Council” and create a position for a national learning coordinator as well as positions for learning advisors/training coordinators throughout the Department.

In a related initiative, the Information Management Branch has proposed the creation of a chief knowledge officer, who would report to the chief information officer. The role of the chief knowledge officer would focus on the identification of all current justice-related information/knowledge and the preparation of systems to capture, manage, and access it. The connection of this proposal to any learning initiative is evident and that connection is now being investigated by the executive champion (at an associate deputy minister level) for departmental learning initiatives; a management presentation on how these two topics interrelate was being planned at the time of this review.

1.4 Scope and Objectives

The objectives of this management review were to review and assess:

- the adequacy of the management framework in place including processes and practices related to planning, organizing, controlling, directing, communicating and managing human, financial, and materiel resources of the PDD;
- the level and quality of courses, seminars, and information sessions offered to departmental employees and managers;
- the extent to which the Directorate provides comprehensive training for departmental staff;
- the level of satisfaction with courses, seminars, and information sessions provided by the PDD;
- the effectiveness of the processes for communicating information on PDD services to managers and employees;
- the effectiveness of the measures in place for assessing the quality of PDD training.

The fieldwork for this review took place between October 2002 to December 2002 and included reviewing all aspects of professional development.

1.5 Approach and Methodology

The audit team gathered information through documentation review and interviews with the Directorate, stakeholders in the NCR and regions, and departmental users of PDD's training services.

We based our approach to this assessment on the Human Performance Technology Model espoused by the International Society for Performance Improvement (ISPI).³ In this model, the focus is placed on people as the key asset for any organization. The ISPI states that, "In this new economic era, the greatest strides in increasing economic competitiveness will not result from more machines or computers, reliance on cost-cutting, or dependence on legislative relief, but from our most critical resource: *people*." The United States federal government General Accounting Office refers to "human capital" rather than "human resources" to reflect the investment in people as a key asset.⁴

³ Refer to Appendix A, Human Performance Technology Model and see the ISPI Web site at <www.ISPI.org>.

⁴ Refer to Appendix B, The Value of Human Resources.

Human performance technology (HPT) is defined as the systematic approach to improving productivity and competence. HPT is a set of methods and procedures, and a strategy for solving problems and realizing opportunities related to the performance of people.

The HTP process involves the development of a *performance analysis*, which examines the organization's performance requirements in light of its objectives and its capabilities. This process identifies the current or anticipated deficiencies in workforce performance or competence by defining the performance gap between the current state of the workforce and the desired state required to meet organizational goals and objectives. The ultimate goal of performance analysis is to close or eliminate this gap in the most cost-effective manner.

Thereafter, a *cause analysis* identifies specific factors that contribute to the performance gap. Solutions to performance problems often fail to achieve their intended goals because they treat visible symptoms rather than underlying causes. Cause analysis is thus the critical link between identified performance gaps and their appropriate interventions by addressing root causes.

Finally, *intervention selection* involves a systematic, comprehensive, and integrated response to performance problems and their root causes. Often the selected response is a combination of interventions, representing a multifaceted approach to complicated management problems. The construction of a response should be based on its cost-effectiveness and the overall benefit to the organization. The evaluation of its success is directly tied to the reduction of the original performance gap measured in terms of performance improvement and organizational results.

Well-constructed interventions can result in significant changes throughout the organization. The implementation of any performance intervention must, therefore, pay careful consideration to changing management issues to ensure acceptance at all organizational levels. Ultimately, an *evaluation* of those changes provides new data for the ongoing performance analysis process.

2. DETAILED FINDINGS—MANAGEMENT FRAMEWORK

The PDD’s management framework consists of the processes and practices used to plan, organize, control, direct, communicate, and manage human, financial and materiel resources with respect to professional development. When reviewing the PDD’s management framework we also considered the overall environment within which the Directorate operates.

2.1 Strategic Context for Training/Learning

Training and the broader concept of being a learning organization should be an integral part of the strategic management of the Department of Justice. We reviewed the Directorate’s strategic role and the context of training/learning in terms of what training needs must be met and how that training can be delivered in the most cost-effective manner to improve the overall performance of the Department.

2.1.1 Strategic Direction

Usually, performance improvement starts with an analysis of competencies and the “gap” between what is required of people to carry out their current and future roles and what their competencies are in relation to those requirements. Training should be directed toward correcting an organization’s performance gaps.⁵ Consequently, the resources, roles, and responsibilities for training and the dissemination of knowledge and information on management, legal, and other matters must be clearly defined. Appropriate training processes must also be defined.

Our review has indicated that not only is the PDD’s mandate and role unclear, but that the necessary training requirements of the Department and resource levels of the PDD, in relation to

⁵ Although not all individual or organizational problems can be corrected through the application of training, there are many situations where training can, and should, be applied to improve performance.

management expectations, have also not been properly defined. Management has recognized this deficiency and there is evidence of efforts to address this issue, as further discussed in “Detailed Findings—Learning Management.” The roles and responsibilities of the PDD cannot be fully defined until the broader framework, within which it operates, has been defined. This broader framework encompasses both the Department-at-large and the range of learning management concepts that must be considered in light of the new TBS policy.

2.1.2 Changing Roles

The role of the PDD, and its predecessor organizations, has changed over time, particularly regarding services to the regions and the provision of management training. The PDD was created in December 2000 with the amalgamation of two existing units that had dealt separately with continuing legal education and overall departmental training in management and business skills. In interviews with staff we learned that the role and mission of the new organization was not clear at the outset. For example, it was not clear whether the PDD was to serve only the national capital region (NCR) or whether it was to also serve the regions and, if so, in what manner and to what extent. With respect to the provision of training, the relationship between the PDD and the various legal portfolios within the Department (e.g. constitutional law, civil litigation, criminal law) did not seem to be addressed either.

Although we recognize that there was a rationale for combining the efforts of continuing legal education and other areas of training (such as management training), we have not been able to determine the intended goals of the reorganization that created the PDD. There is no evidence that the role of the PDD has been fully defined or its services prioritized. For example:

- at one time, certain management courses were mandatory for managers but this is no longer the case;
- at one time, PDD staff traveled to the regions to provide training, but we understood that, mainly because of budget constraints, these activities were curtailed with the ensuing consequence that the regions developed their own training capabilities independent of the PDD.

We found that there is a lack of clarity and consistency in how training is funded, creating confusion as to who should pay for training. In some cases the costs were carried by the PDD, while in other cases the client has been asked to provide the funding. In addition, senior management has considered whether the PDD should operate under a cost-recovery basis. It is our opinion that operating the PDD on a cost-recovery basis needs careful assessment of the

advantages and disadvantages of this approach. We point out that the PDD cannot carry out appropriate planning and budgeting without greater clarity as to who pays for what. If clients are to fund some or all of the training costs, they must be aware of that at the time they carry out their budget planning activities.

Before a role can be established for the PDD, its business defined, and its budget requirements established, the Department must answer some important questions.

- Who are the PDD's clients?
- What are the clients' needs?
- What are the Department's needs?
- How should the PDD respond to identified needs (e.g. in an entrepreneurial or responsive mode)?
- How should the PDD interact with the different portfolios and the regions?
- Is it appropriate to have some duplication of training between the PDD, the regions, and the portfolio areas in order to better meet the specific training needs of different clients?

Further, there are different roles performed by the PDD and different demands for its services. We think the following basic questions about the services and priorities of PDD need to be addressed.

- Should the PDD provide any services to the regions, and if so in what capacity (e.g. video conferences, regional personnel visiting Ottawa or other centralized locations, advice on the selection of courses and presenters in particular fields, assistance in course material)?
- Should PDD staff only develop, organize, and administer courses or also provide a trainer (departmental employee or contractor)?
- What should the PDD's role be with regard to the development of courses and for what client set (only for the NCR or also for the regions and with, or without, assistance from expertise existing within the regions)?
- Should the PDD be a facilitator for the organization and administration of conferences and courses put on by other areas of the Department?
- Should the PDD coordinate the dissemination of departmental training material (including coordinating the sharing of material between regions)?
- Should the PDD provide expertise on the evaluation of courses and/or provide assistance in train-the-trainer efforts?

It is our view that these questions on the PDD's future and role have been overtaken by larger departmental issues regarding the implementation of the TBS learning policy. These larger issues are discussed throughout this report and specifically in "Detailed Findings—Learning Management." We note that in its current form and structure, the PDD alone is unable to meet the new TBS learning policy requirements.

2.1.3 Current Strategy

This review has not identified any clear announcement of a long-term strategy for the PDD. The Directorate views its current role as being a service to the NCR rather than providing services nationally. The PDD's broader role has not been fully defined in the following areas:

- training policy,
- development of courses,
- providing assistance with organizing and administering conferences and other training functions,
- sharing course material.

It is not evident that the original initiative of combining training areas (continuing legal education and business/management) has been implemented with clear direction and clear expectations. This has resulted in the PDD being left, to some extent, in limbo. Consequently, the budget has not been properly justified or maintained to provide the range of services required by the Department.

Training initiatives that were started, such as orientation were maintained without additional resources and luncheon sessions format, have not been maintained. The PDD made efforts to develop a new management development program (a 5 day management 101 for new managers and a 10 day management 201 for more advanced managers), but we were told it did not appear to have continuing senior management support. In interviews some staff stated that the effort may have been wasted. It was suggested to the audit team that the PDD started as a "project" and remains that way today.

Despite the many ambiguities in its mandate and role, the PDD printed and distributed throughout the Department a catalogue of courses. This catalogue sent a message to clients that created high expectations and which, clients pointed out, the PDD was unable to fully meet partly because of its reduced budget and staff. The PDD's ability to market its services is discussed further in the section "Communications."

It is our opinion that a review and confirmation of the PDD's role is required. Such a review must take into account the new TBS policy and the role of the proposed Learning Council mentioned in the Introduction. This, in turn, cannot be complete without the Department giving thoughtful consideration to learning management concepts and coming to agreement on appropriate approaches for delivery of continuous learning opportunities for its employees.

Recommendations and Management Response

- 1. It is recommended that the Director General, PDD, in consultation with the Executive Sponsor for Learning Initiatives/Learning Council, review and confirm the role of the PDD in light of the TBS Policy for Continuous Learning, the proposed Learning Council, and relevant learning management concepts.**

We agree with this recommendation, that the role of the PDD be reviewed and confirmed. However, that review will have to take into account certain external factors that will have a determining influence on the conduct and outcomes of that process. It will be essential that a detailed, complete and objective review of the present situation as it relates to learning management in the Department be done.

Reasons:

At present, the PDD's mandate is vague and ambiguous. The PDD's existing financial and human resources have prompted the Directorate to play a primarily regional role in the NCR. At present, the PDD does not have the necessary resources to carry out a national mandate. In addition, the Directorate is not capable of meeting the principal requirements set out in the new Treasury Board learning policy, with which federal departments must comply.

We are of the view that the commitments in the Treasury Board learning policy must be taken into consideration in reviewing and defining the mandate. The PDD's mandate must be clarified in a number of respects, both within the corporate services and in terms of its role in the NCR and in its relations with the regions and portfolios. The PDD's mandate cannot be defined by looking solely at factors that are exclusively internal to the Directorate. There are a number of external factors that influence the definition of the PDD's mandate and that must be taken into consideration in that analysis. The principal factors that have direct consequences on the mandate are the following:

- The creation of the new School of Public Service arising out of the enactment of the *Public Service Modernization Act*. This new training centre will soon provide a new, mandatory training program for all managers in the public service, as well as new course curricula. The role of that new school will have an impact on the nature and scope of the PDD's mandate
- Whether a decentralized, centralized or mixed approach is chosen for managing learning in the Department
- Departmental priorities in respect of learning and other related areas
- The availability of additional financial resources for the Directorate
- The role of the National Learning and Knowledge Management Committee
- The role of the portfolios and regions in relation to learning
- The commitments set out in the Policy for Continuous Learning in the Public Service
- The functional relationship between the Human Resources Directorate and the PDD
- The results of the Department's departmental review of common services
- The possibility of a change to the hierarchical structure of the PDD within the corporate services

In order to obtain a mandate for the PDD that is capable of responding to the present situation as a whole, an analysis of the organizational environment is necessary. Consultations should be initiated not only within the PDD, but also with portfolio heads, regional office directors and the National Learning and Knowledge Management Committee to obtain a complete assessment of the present situation, of needs and of future directions. The question of the Department's accountability in respect of learning will also have to be clarified among the various stakeholders. The PDD's new mandate should clearly specify the type and level of accountability that the PDD has in respect of learning. To ensure that a detailed, complete and objective review is done, it might be advisable to use the services of a consultant with experience in organizational management and in the development of learning organizations.

2.2 Management Processes

The PDD should have processes in place to plan, organize, control, direct, and communicate the activities of the Directorate. Specifically, we reviewed whether:

- the PDD had adequate systems to efficiently carry out its operations;

- the Directorate was able to compare the cost of developing courses with those of other organizations;
- the PDD had appropriate interfaces with other sections of the Department in the NCR and regional offices;
- Directorate management continually strove to improve the economy, efficiency, and effectiveness of its operations.

2.2.1 Systems for Managing the Operations

The review noted that there are processes in place for managing much of the PDD’s work including managing course listings, providing course calendars and schedules for planning, and preparing and administering the courses. We found that these processes are not well developed, are not standard in form, and are not consistently used. The Directorate has a detailed set of steps (obtained from an internationally renowned firm in the area of training systems) to guide workload management, which include sub-tasks with specified time requirements, but these workload management guides are not used. In fact, a simpler set of steps for workload management is being proposed. In light of the PDD’s broader role and mandate issues that have yet to be resolved, we did not analyse and compare the two sets of steps, and so offer no recommendation at this time. However, we note that a standard process should be defined and consistently followed.

The PDD does some basic operational planning for course development and administration but there was little evidence of more strategic planning. Again, until there is a clearer vision and mandate for PDD, it is difficult to undertake strategic planning. More long-term planning will be necessary should the role of PDD include strategic assistance to the rest of the Department as it moves toward a continuous learning culture.

Our review of individual training products indicates that the Directorate’s operational planning process does work. For example, promotional brochures are of high quality and course evaluations assess the training to be of high quality. We noted that there were some criticisms that course presenters were not always given sufficient advanced notice for providing their input to course content and that in some cases PDD made last-minute requests to clients to share costs.

As discussed elsewhere in this report (see “Detailed Findings—Professional Development Operations”), identifying training needs, promoting courses, and performance reporting are in need of improvement. For example, we did not find evidence of any Directorate reports on the

status of ongoing work, such as a listing of course development efforts and how each is progressing. Our recommendations are provided with the later discussion.

2.2.2 Identifying the Costs of PDD Activities

The PDD does not have in place systems for tracking its work. For example, the Directorate does not know how much of its staff's time and effort are spent on various training activities or how much time and effort other departmental staff spend on developing course material, preparing for training sessions, and administering training. The Directorate does only partial tracking of costs and no time reporting is in place.

It is our view that it is necessary for the PDD to track how staff time is spent if it is to report on the costs of its activities. Some within PDD support this approach although we found that not all are in favour of tracking the time spent on course development, course administration/presentation, course promotion, and other activities.

Our review assessed whether the PDD can measure its own cost-effectiveness. We found that the Directorate has recently been tracking the cost of courses, but that this has not included all costs, only direct O&M. For example, the cost of producing the course catalogue was not allocated. We estimate that the cost per course participant has been around \$500 to \$600 (calculating the total costs of the Directorate and the cost equivalent of the departmental presenter's time).⁶ This figure can be expected to decrease when the PDD allocates its resources more cost-effectively and if it increases the amount of courses offered.

It is our opinion that recording staff time against projects/courses is necessary so that the true costs of course development and delivery can be known. These costs/times can then be compared with industry norms. We understand that in one of the regions, the time associated with training is being tracked.

When the costs of the different activities are known, it will be easier for the Directorate to justify the budgets required to carry out its roles and responsibilities. The allocation of scarce funds among different departmental organizations involved in training can be determined on a fair basis when the true costs of training are known. As well, if the PDD is to operate under some form of cost recovery (as is being considered), determining accurate costs will be essential.

⁶ This estimate of cost per course participant was derived by taking the PDD's total annual operating cost (actual) and dividing by the number of course participants reported by the PDD.

Recommendations and Management Response

2. It is recommended that the Director General, PDD, ensure that:

- a) The PDD's budget separates and details the costs of course development, administrative assistance to other groups putting on conferences and training sessions, administration and presentation of each course, and general administration.**
- b) Staff time is tracked and the costs are allocated to specific activities.**
- c) Procedures are set up to monitor expenditures for each course budget.**

(a & c) We agree with this recommendation. A new internal financial management system was established last year.

Reasons:

The PDD has already established a separate financial management system for the administration of learning activities and the operational management of the Directorate. For each learning activity there is an internal planning and cost control mechanism. That mechanism is followed both by the development team and by the operations team responsible for delivering the activity. It is now possible for changes in the costs of an activity to be known at all times, so that it can be determined whether adjustments are needed in order to remain within initial costs. The management team continuously reviews the performance of this system, and adjustments will be made based on needs and departmental and governmental requirements.

(b) Unless there is a departmental change in the philosophy underlying human resource management, and more specifically as regards staff time management for branches that provide internal services, it would not seem wise at this time to implement this recommendation in the PDD.

Reasons:

The central units of the Department do not currently operate on a full cost recovery basis. Accordingly, all of the branches that provide internal services do not use a staff time management system. Implementation of that kind of management system within the PDD

will have to be effected as part of a broader decision in relation to the management approach adopted by the Department for the delivery of internal services. For the time being, we are of the view that this kind of system is not essential for the proper management of the performance of PDD employees. The implementation of a recent management structure in the PDD is sufficient to provide effective supervision and management of employees' time and duties. Each manager has responsibility for direct supervision of a maximum of five employees, and this allows for appropriate and continuous oversight.

- 3. Should the Department, as it moves toward a continuous learning culture, decide that the PDD is to provide strategic planning for course development and administration to the rest of the Department, it is recommended that the Director General, PDD, ensure that appropriate long-term planning activities are carried out in these areas.**

We agree with this recommendation as part of a long-term implementation strategy. This recommendation is closely tied to the definition of the PDD's mandate (recommendation 1) and calls for decisions to be made first regarding the nature and scope of the mandate, before a strategic planning exercise is undertaken.

Reasons:

The PDD's mandate must be clarified and approved by the Department before a long-term strategic planning process for the Directorate is initiated. Depending on the nature of the mandate to be assigned to the PDD, a strategic planning exercise will then be initiated in order to identify priorities, short-term and medium-term objectives and methods of achieving that mandate. All long-term planning will also have to take into account the Department's strategy for becoming a learning organization and the priorities identified in that respect, such as succession planning. A change in the reporting structure could also influence decisions regarding strategy and long-term planning.

2.2.3 Communications

Our review suggests that the PDD could perform its role more effectively if there were better interfaces between it and other areas of the Department. The Directorate has made some efforts to meet with different groups within the Department, but the general impression we received from our interviews is that PDD staff are not that well known across NCR and have not established working relationships with the regions. One reason for these problems is that there has been a high turnover of staff within the PDD. We also observed that PDD staff may not have made as much contact with the other areas of the Department as they could have and are therefore not as well known as they could be. Some clients commented that PDD personnel must get out and promote themselves. At the same time, we recognize that the diversity of the Department makes it difficult to maintain good contacts with all its areas. Where the PDD has established contact, the comments were generally favourable. Some personnel within the portfolios complained that they have to deal with more than one person at the PDD and suggested it would be easier if their portfolio had only one contact.

We found that interaction and cooperation with the regions could be improved. We were told that there used to be more communications, but currently there are only limited interactions between the regions and the PDD. The tightness of training budgets across the Department have led to some internal strains, such as a perception within the regions that the PDD has more resources. This perception has been further promoted by the glossy catalogue produced by PDD. One person informed us that they were frustrated by PDD sending them a catalogue of courses from which they could not benefit because of a lack of training funds.

In particular, processes should be in place to communicate with all potential training recipients. The PDD needs to be able to identify the range of training services it is mandated to deliver and ensure that its potential clients know, in a timely manner, what training and services are available. A list of courses is made available on the departmental Intranet, but we were informed that the PDD would like to offer more information (such as course schedules) on its Intranet site. Courses information is also made available by e-mail notification, through attractive brochures, and through efforts to meet with other members of the Department. Nevertheless, there seems to be insufficient knowledge of what PDD has to offer. Additional effort will be required to coordinate effectively with other sources of training events. While we note that at this point in time the PDD is only mandated to provide training for the NCR, it is our opinion that possible methods to improve department-wide communications could include an improved Intranet site, regular conference calls between PDD and regional and portfolio contacts, and helping establish inter-regional course development teams.

Recommendations and Management Response

- 4. It is recommended that the Director General, PDD, ensure that a plan is developed to promote a greater sharing of professional development information and knowledge through better coordination of information and communications.**

We agree with this recommendation. Various measures have already been taken to promote greater sharing of professional development information.

Reasons:

A number of projects have been established to improve communications with clients, employees, portfolios and regions since the internal audit was conducted. The principal measures adopted are the following:

- Representatives of the PDD now sit on various departmental committees that play a role in respect of learning. For instance, the Director General sits on the National Learning and Knowledge Management Committee. The PDD provides secretariat services for that Committee at present. The Director General is also a member of the Portfolio Learning Committee. The Director, Management and General Learning Programs, participates in meetings of the Regional Learning Committee.
- The PDD also provides the co-chair for a departmental working committee on the review of a learning information management system.
- An electronic calendar of learning activities offered by the PDD is now available at all times on the Department's intranet homepage.
- Electronic advertisements for the PDD's courses are sent out to all Department employees in the NCR via the electronic messaging system.
- A process for reviewing the structure and content of the PDD's intranet site has recently been initiated.
- The PDD is also actively involved in the project to create a learning portal in the Department. Two members of the PDD team sit on the advisory group for that project. The PDD expects to play a key role in maintaining and updating that future site.

The PDD will continue to participate actively in departmental committees relating to learning and in the development of the various communications tools identified earlier. The PDD will

pursue the adoption of various measures to promote information sharing and to expand the channels of communication with the key stakeholders in relation to learning.

2.2.4 Continual Improvement Process

Current management initiatives indicate that improving the provision of training is intended. However, there is no local “process improvement” program in place. As we have already noted, improvements to PDD operations are dependent on initiatives outside of the Directorate (see the “Introduction, Departmental Learning Initiatives”).

It has also been mentioned earlier in this report that management has suggested the need to establish cost-recovery accounting for the PDD’s services. We do not fully support a cost-recovery approach, at least, not without a careful analysis of the advantages and disadvantages of this approach.⁷ We note that another benefit of our recommendation that PDD track and report the full costs of the products and services is that this would enable a cost-recovery approach (see Recommendation 2). Whether the Department decides to institute cost recovery or not, we believe that the first step to improving service delivery is to gain a complete understanding of the costs associated with products and services.

2.3 Organizational Resources

The TBS Policy for Continuous Learning places increased emphasis on learning and training within the government. This policy commits to “year-over-year increases in training and development expenditures as measured in time and money.”⁸ Sufficient resources must be assigned to ensure an appropriate level of professional development can be maintained. This issue is critical to the Department of Justice due to the nature of the Department and its business. In particular, professional staff must maintain and continue to develop their knowledge and abilities.

In the recent past, the Department has significantly reduced the monies provided to the PDD. For example, in January 2002 the PDD budget was \$2,012,030; by September 2002, that same

⁷ The danger of cost recovery is that when resources are tight, individual managers may decide to forego training in favour of pressing operational needs. One option is to have basic courses provided under a separate training budget and charge for special additional courses. For this to be practical, a full costing of the special courses (e.g. development and delivery) would be needed in order to establish fees to recover costs.

⁸ “A Policy for Continuous Learning in the Public Service of Canada,” Policy Commitments, Commitment 7, page 7.

budget had been reduced to \$1,295,336. Due to this situation and also as a result of high staff turnover, the PDD went through a period of reduced training activities. Additionally, the Department allocates a significant amount of training and professional development funds outside of the PDD's scope. The National Learning Symposium discovered that an estimated \$9 million is spent on learning activities annually across the Department, of which only about \$1.3 million are allocated to the PDD.

Our review found two examples of how budget constraints have affected the PDD's delivery of services.

- As a result of a small budget shortfall since the creation of the PDD in 2000, two highly valued training sessions, the orientation program and the luncheon sessions, were cancelled. It is our opinion that the PDD could have considered other options in order to keep these courses available for departmental staff, such as arranging "brown-bag" sessions rather than catered luncheons. At the time of this review, the orientation sessions were in the process of being reinstated.
- It was reported to us that Ottawa-based training was provided to the regions during the 1990s. When the training budget was significantly reduced, PDD was unable to continue providing such services to the regions. Whether training should have been administered centrally is worth examining but the decentralization of the training—some regions developed their own training to fill the gap—should not have been solely decided based on budgetary reductions.

The whole issue of funding for training needs to be reconsidered. Over the same time frame that the PDD has suffered from budget restrictions, the Department has doubled in size with the result that there has been a significant increase in the requirement for professional development.

Those interviewed expressed a general concern over the way the training budgets are cut. With respect to orientation, PDD staff was unable to deliver the intended training services due to insufficient O&M funds. We found that the funding required was relatively small compared to the fixed costs of salaries invested in the trainers and in developing orientation materials. As well, in the case of the cancelled luncheon sessions, staff attended on their own time and therefore the sessions were relatively low in cost when compared to normal cost of staff attending training during regular work hours. It is our view that the cost benefit to continuing the sessions far outweighs the actual cost.

Without the formal framework within which to carry out its mandate and without an adequate business framework to track and manage costs, it will remain difficult for the PDD to present a rationale and budget to maintain and/or improve its activities. Developing a business case would provide the PDD the opportunity to outline its resource needs for whatever level of activity management deems is required.

Recommendations and Management Response

- 5. It is recommended that the Director General, PDD, build a business case for senior management that details the amount of resources needed to support training and which outlines the potential impact of changes to training budgets.**

We agree with this recommendation, but as part of a longer-term strategic planning activity. This type of business case first calls for the PDD's mandate to be reviewed and approved.

Reasons:

A business case will be useful when the PDD's mandate has been officially defined and approved. At this point, it is premature to build a business case when the parameters of the PDD's functions have not been clearly defined. In addition, the Department should also make it a priority to establish its strategy and priorities in relation to continuous learning. The question of financing for learning priorities will also have to be reviewed at the same time. These elements will provide the framework that is needed for initiating a business case based on (1) the Department's learning strategy, (2) the PDD's revised mandate, and (3) the Directorate's existing human and financial resources. This business case will enable the Directorate to make an accurate determination of whether there are significant discrepancies between the existing resources in the Directorate and the operational requirements that arise out of the new mandate, and also to develop appropriate options.

2.4 Performance Measurement

Performance measurement involves the identification of outputs in terms of their quality, quantity, and appropriateness and the corresponding inputs required to produce them. This management process should strive for economy, efficiency, and effectiveness in pursuing departmental initiatives or goals. Specifically, we reviewed the processes in place to ensure the

training provided was appropriate, resources were allocated to the highest priorities, and regular reporting existed on all aspects of the PDD's performance.

At the strategic level, performance is concerned with the impact of training—measuring the appropriateness of the training activities. Feedback should be collected to indicate the impact of training both on the individual and on the organization. Not all individual or organizational problems can be corrected through the application of training. Yet there are many situations where training can, and should, be applied to improve performance. A mechanism to evaluate the impact of training should be developed to ensure training effectiveness is maximized. In the areas we examined, we found no evidence that this type of performance evaluation is conducted within the Department of Justice.

In order to ensure that resources are allocated to the highest operational priorities, the measures of performance include:

- the cost of developing courses;
- the planning and administration of courses;
- the usefulness, quality of presentation, and applicability of the courses;
- the total cost of courses.⁹

It is difficult to establish priorities at the operational level where the broader strategies and priorities of the Department have not been fully defined and communicated. For example, we noted earlier in this report that courses have been cancelled due to insufficient budget. We found no evidence that these cancellations resulted from a careful analysis of priorities or cost effectiveness.

We found only limited reporting on the PDD's performance. The only performance evaluation that we found was regarding course attendance, overall course satisfaction, and the incremental costs of each course. Reporting of expenditures against budget was done at a fairly general level. No real performance standards have been established for course development activities or for training delivery activities.

⁹ This includes the O&M associated with the course, the cost of organizing and administering the course, the cost of presenters time, the cost of personnel attending the course (both their time and any associated costs such as travel), and an allocation of overhead that includes the cost of developing the course.

We recognize that establishing performance standards is a complex, long-term task. Such a task fits well within the mandate of an organization committed to pursuing principles of continuous learning. While we make no recommendation at this time, we do suggest that the proposed Learning Council consider establishing performance standards, with the intent to monitor and report on the impact and cost-effectiveness of learning activities within the Department of Justice.

2.5 Conclusions

The PDD has been operating with an unclear and incomplete management framework. Not only is the mandate for the PDD not clearly defined but the whole area of learning and training is also under review. Consequently, it is difficult for the PDD to put in place an appropriate management framework until these issues have been resolved.

We have concluded that the basic systems are in place for the management of the Directorate. However, there is a need to improve the communication efforts of the PDD both with the portfolio groups and with the regions. The systems for reporting on the PDD's performance are currently inadequate in our opinion. In particular, there is insufficient tracking of costs to determine how efficiently the PDD carries out its activities.

The necessary improvements in the management framework are primarily dependent on a greater clarification of the role of the Directorate and on the improved tracking of its costs and activities.

3. DETAILED FINDINGS—PROFESSIONAL DEVELOPMENT OPERATIONS

In assessing professional development operations, it was again necessary to look at PDD within the context of the whole Department. Key to effective operations is an organization's pre-determination of the level and quality of services it wants to deliver. This section presents our operational findings in light of broad departmental considerations of the concepts of learning management.

3.1 Approach to Professional Development Operations

It is recognized that the Department of Justice is a complex organization with specialist knowledge within its different portfolios; therefore, it is a challenge to capture all the knowledge and experience within its domain and then coordinate and disseminate that knowledge and information. A model of training delivery should probably allow for alternative means of delivery. For example, it can be considered healthy to have more than one part of an organization providing training. If this is the case, however, there should be a performance management system with a common methodology and tools that enables good coordination of information to ensure that duplication, and other forms of waste, are avoided. The PDD does not have the capability of providing a common performance management system because it does not yet have a clear mandate.

There are different potential models for the provision of training activities that could apply to the Department and the PDD. Such models (see options 1–5 that follow) need to be assessed for validity within the departmental environment.

- 1) Training could be based on a human resource (HR) performance management system where training needs are identified on an employee's annual appraisal and, from this, personal training plans can be developed. Such a system requires follow-up to determine whether the

training has been successful and, if not, whether other solutions are required or different training is needed.

- 2) Training could be self-directed by the individual employee (i.e. individual staff are responsible for identifying, arranging, and pursuing training opportunities and then reporting to their superiors on the results).
- 3) The PDD could take an entrepreneurial approach—where it would actively develop a market and then fill that market role—to developing training and providing services across the Department, or only for the NCR.
- 4) In particular, the PDD could focus on work with other departmental areas that wish to sponsor conferences or training sessions, or it could assist in disseminating information by providing advice and assistance in the development of course content, presentation techniques, and organizing and administering sessions.
- 5) The PDD could provide the services of a professional trainer (working with the content specialist) and provide technical and administrative assistance.

The PDD has been involved in most of these alternatives in one way or another. In the past, the Directorate offered the services of a professional trainer to the regions, as described in option 5. Also, the PDD currently provides services along the lines of option 4. Some have suggested option 3, with PDD taking a more entrepreneurial approach, but for this to work in so diverse an environment as the Department of Justice, a particular style of leadership for the PDD will be required. Option 1 requires instituting a full HR performance management system and tying training into the HR system. This approach lends itself to the evaluation of the impact of training as discussed in the previous section “Performance Measurement.” Within these models, regardless of the choice made by management, the role and responsibilities of the PDD need to be defined. Senior management is now considering how a professional development approach should be developed and which functional areas should be responsible for carrying out learning management goals. Obviously, TBS’s new Policy for Continuous Learning will affect the Department’s decisions and directions.

Regardless of the approach selected, or combination of approaches, the Department must first understand its organizational and staff needs. Then, appropriate learning activities must be initiated. Ultimately, appropriate evaluation of the planning, delivery, and management of training is necessary.

In light of these considerations, it is worth noting that, at present, the PDD may not have enough authority or influence to always ensure support from training resources within the Department.

In interviews, the PDD articulated a concern that its efforts in developing course materials can sometimes get delayed because of insufficient cooperation from presenters or experts in the field.

3.2 Needs Identification

Our review of course evaluations showed that clients generally assessed the PDD's courses to be of high quality and there is respect for the calibre of staff. The issue is whether the PDD is providing the most appropriate training. We reviewed the processes in place to ensure needs are appropriately identified for training activities such as staff orientation, career development, maintaining professional knowledge and skills, and management development. We also reviewed the processes used to ensure that alternative methods of identifying and delivering training needs were being considered. The rest of this section outlines possible considerations and approaches to professional development needs identification.

3.2.1 Identification of Needs Through HR Performance Management

The audit team organized a focus group (representing various parts of the Department) of past participants of courses for continuing legal education, orientation, and management training. The intent of this activity was to review the quality of the training received. Accordingly, much of the focus was on how their needs were identified and then addressed.

In most cases, the focus group identified the lack of linkages between performance evaluations and training needs. Some managers consider these links and others do not, but in all cases there is no link with the PDD. Although PDD staff seemed unaware of any needs analysis conducted by the regions, we were informed that in one region, a needs analysis is carried out based on a review of employee appraisals.

Normally, an assessment of competencies is at the heart of any performance evaluation system. This requires that a core set of competencies exists against which a comparison can be made, and against which training plans can be drawn up. At present, the Department has no formal process in place to tie management training to management performance within a structured HR performance management system. We are of the view that there is an opportunity for the Department to institute a management development framework. This would require managers to be evaluated against the core competencies for their level of management. A course of action could then be developed that might require formal training to strengthen their management skills and/or prepare them for management tasks that they may undertake in the future. Therefore,

departmental training cannot be fully directed until there are clear definitions and descriptions of the required competencies of the staff. Further, the development of any such framework would have to be conceptually tied to the new TBS Policy on Continuous Learning, a policy that now requires individual training plans for each employee.

It is our opinion that the lack of linkages between performance evaluations and training needs is a gap in the Department's current approach to learning management. Addressing this gap with a HR performance management system is not within the authority of the PDD.

Recommendations and Management Response

6. It is recommended that The ADM Corporate Services ensure that training is tied into a HR performance management process.

This recommendation raises a problem that goes beyond the operational framework of the PDD. This issue must be examined from the overall perspective of HR management in the Department. The Human Resources Directorate is responsible for the employee performance evaluation process. A change in that process will call for close collaboration with the HRD, and will have to be part of a more thorough analysis of the process that is currently in place in the Department. A closer functional relationship between the PDD and the HRD is a possibility that could ultimately facilitate the implementation of this recommendation. However, this recommendation requires a review of and substantial changes to the HR performance management process. For the time being, the development of learning plans in the Department during the 2004-2005 fiscal year is an important first step towards establishing a closer link between performance management and training.

Reasons:

This recommendation calls for a review of the Department's approach to human resources performance management. However, there are certain measures that can be implemented to meet the need to connect planning more closely to employees' training needs in the performance evaluation process. For example, the Department is currently examining, in the strategy for implementing learning plans, the possibility of incorporating this new tool in the employee performance evaluation process. Learning plans would be used by both managers and employees to identify, in partnership, personal learning plan objectives and possible strategies for meeting the needs expressed by the employee.

The possibility of better defining the connection between employees' performance evaluations and training needs could also be considered in the context of the future review of the departmental learning policy. Having regard to the requirements of the Policy for Continuous Learning in the Public Service, the Department will soon have to undertake a complete review of its internal learning policy.

3.2.2 Other Forms of Needs Analysis

In addition to identifying training needs through a HR performance management system, appropriate training for departmental staff should be identified in a rational way such as:

- linking training to the strategic directions and cultural changes to be brought about within the Department,
- promoting training as a means of introducing new practices and methods employed within the portfolios,
- generating professional development activities as a corporate means of bringing staff to a recognized level of expertise.

There is no process of scanning various sources—the departmental strategic plan, sectoral plans, and other departmental initiatives with cultural impacts—to identify training needs across the Department. It is our opinion that such scanning would help to identify and anticipate training needs.

Nothing has been done systematically with the portfolios to identify needs. The PDD has done ad hoc needs assessment surveys in the past four years (in October 1999, April 2001, September 2002). Also, one of the main sources for identifying departmental training needs are the course evaluations, which solicit participant suggestions for new courses. The information the PDD receives from these sources is based on employees' perception of their needs and their portfolio's needs, and is also based on the number of demands/inquiries relating to employees' domain of knowledge or training. The PDD also does some ad hoc consulting with employees in various portfolios by sitting in on management meetings to determine where areas or initiatives might require training. Information generated from these consultations provide a portfolio perspective rather than relating to the training needs of individuals.

The PDD has given consideration to the development of a legal “core curriculum” that has not yet been presented to senior management, but which could serve to drive the analysis of future

needs. This curriculum must be validated across the Department before it can be accepted as a driver in the needs analysis process.

Recommendations and Management Response

7. It is recommended that the Director General, PDD, ensure that a formal scanning process is developed to help identify and assess departmental training needs.

We agree with this recommendation. Various mechanisms can be developed to respond to this recommendation. One of the immediate actions to be considered is to establish a mechanism for managing information from personal learning plans. Collection of data from learning plans will be an excellent official process for identifying the learning needs of employees throughout the Department. This priority for action is part of the learning plan implementation strategy in the Department, which is to be implemented by March 31, 2004.

Reasons:

The proposed personal learning plan implementation strategy includes a system for collecting the information contained in the plans. That information, relating to the learning activities identified by employees, will be compiled in a system that will provide a picture of training needs by occupational group category and region. Those data will then be used to prepare the calendar of learning activities, based on employees' priorities and needs. The process will be repeated annually as part of the employee performance evaluation process. However, that strategy will call for an investment of financial resources to provide a permanent functional mechanism, although the funds needed to institute that mechanism should not be very high, and the investment will certainly be useful and effective in terms of its return in relation to a learning strategy and planning for the Department.

The National Learning and Knowledge Management Committee also has a mandate to define priorities in relation to learning within the Department. The results of the Committee's work on evaluating needs and defining priorities will guide the PDD in delivering learning activities.

The PDD also uses evaluation forms after each learning activity. The forms are used to obtain information about the learning needs identified by the participants. That information is collected by the PDD and taken into consideration in preparing the calendar of activities. In addition, consultations are also held with certain portfolio heads or knowledge managers at

the beginning of each year, to identify the principal learning needs in their respective sections. However, that process has not been implemented as part of a formal consultation framework.

In the next fiscal year, the PDD hopes to implement a more uniform and formal consultation mechanism in relation to learning needs, through the Portfolio Learning Committee and the Regional Committee. The PDD's participation on those two committees will be crucial for obtaining information and on-going feedback concerning the learning activities it chooses.

3.3 Professional Development Delivery

We reviewed the processes in place to adequately coordinate all training activities across the Department. As part of this effort, we assessed whether management has reliable information systems that support decision-making and accountability. Lastly, we assessed whether the PDD management had sought cost-effective means of delivering training materials.

3.3.1 Coordination of the Delivery of Training

Our interviews with PDD staff and regional representatives revealed that there is not as much communication and cross-fertilization of ideas as they would like to see. Knowledge and training skills exist across the country and a model of centralized direction and control is not likely to be the most effective means of coordinating and integrating these resources. We are of the view that improved liaison and both formal and informal exchange of information would strengthen the training efforts within DOJ. Implementing Recommendations 1, 3, and 4 should facilitate improved coordination and communication.

3.3.2 Information Systems to Track Training Activities

A learning organization needs to encompass all employees within a philosophy of training and learning. Although learning embraces more than formal training activities, management needs to know how much training is being provided and what effect that training is having on the organization and on the individuals (the impact of training is discussed later in this section under “Client Satisfaction, Assessing the Impact of Training”). We have found that training activities are provided by many different parties across the whole Department. This is evidenced by the fact that the National Learning Symposium identified that the reported costs of training incurred by the rest of the Department exceed the PDD’s operating costs by four times.

There is a departmental policy that each employee is to receive five days of training per year. We have not found any evidence that anyone is monitoring this policy. The PDD has a very limited role in department-wide training coordination and only manually tracks information on the courses they deliver. Most departmental staff are not required to record time spent in training.

As noted in the section “Management Processes, Identifying the Costs of PDD Activities,” one region has put in place a system to keep track of time spent on training. It tracks the time involved in developing and presenting training and in receiving training. Thus, this region has the ability to determine whether it is in compliance with the departmental policy. Determining compliance throughout the Department does not seem possible at present because a department-wide system to track training received and training courses available is not yet in use. A module within PeopleSoft (a department-wide information management system) is able to define competencies and record training (both required and received), but this is not properly implemented at this time. The region that is tracking training time is using a different software. The TBS Policy for Continuous Learning will require the Department to keep track of the amount of training received by all its staff in the future. The Department needs a database for tracking the training received by each employee.

It is our opinion that it would be useful to have all departmental training courses and all training received by staff coordinated centrally. Further, the proposed Learning Council could keep track of all the training provided and act as a focus for recording and sharing this information. This might encourage the sharing of courses. For example, some interviewees commented that departmental lawyers often give presentations to conferences outside of the Department and it would be valuable if these presentations were also made available within the Department.

The next section “Detailed Findings—Learning Management” further expands the idea of the Learning Council and its potential role in departmental learning initiatives. A recommendation is presented there.

3.3.3 Alternative Means of Delivering Training Material

Not every staff member can attend courses or seminars at the time they are offered, given the demands on their time and work pressures often outside of their control. Hence, different methods of delivering professional development materials could be considered. The appropriateness of the delivery option is dependent on many factors such as time available, cost, learning objectives (knowledge-based, skills-based, or behaviour-based), level of training, awareness, familiarization, application, or mastery. All of these factors should be considered in determining which delivery option should be used to meet the training objectives sought.

Some efforts have been made to consider alternative training delivery in the form of video-conferencing. However, not much opportunity has been taken to collect and distribute materials that could be used for self-training. For example, there were mixed views as to whether courses should be videotaped and made available to staff. It was recognized that there is more to training than the imparting of information—learning is best conducted through the exchange of ideas and discussion—but there are different views as to the usefulness of something like a resource centre for learning through which course materials and videotapes could be accessed. This is an issue that could best be considered by the proposed Learning Council.

3.4 Client Satisfaction

Existing and potential future clients should be satisfied with the quality, quantity, and manner of delivery of professional development services. We reviewed the PDD processes for establishing measures to ensure the quality and appropriateness of training activities.

3.4.1 Assessing the Impact of Training

Course evaluations are the only measures in place to assess the impact of training. It is our view that these evaluations need to gather more and better information to be fully effective. In some cases, the evaluation scales that are used are different and inconsistent. This has recently been addressed and a new standard format for course evaluations is being implemented. There is no post-course follow-up undertaken with participants or management. We were told that some

years ago there was a follow-up conducted after management development courses were given, but this practice has been discontinued. At that time, the management courses were compulsory.

Other course evaluation measures relating to whether job performance or organizational performance improved don't appear to be addressed. Some organizations conduct assessments of training by examining key performance measures before and after the provision of training. Such methods may be difficult to apply to some of the functions of the Department, given the diversity and complexity of services delivered. However, when developing a learning event, the designers should always define how the achievement of the objectives could be measured. The cost of the measurement technique would then lead management in determining if the technique would be applied or not.

Recommendations and Management Response

- 8. It is recommended that the Director General, PDD, require that a broad means of assessing the impact of training, both on an individual and organizational basis, is incorporated into the design and development of courses.**

The PDD will carry out a basic assessment of the impact of training on employees. Implementing this recommendation requires an on-going evaluation system to be implemented that calls for a substantial investment in terms of financial and human resources. For the time being, the PDD will continue to refine its measurement mechanisms and will continue to make uniform use of its tools in order to ensure that there is on-going evaluation of the learning activities offered to employees.

Reasons:

At present, the PDD uses an evaluation process based on a form filled out by participants after each course is delivered. The form has recently been revised, and allows for information to be collected concerning the quality of the training offered and the appropriateness of the training for the employee in performing his or her duties. Some management courses use a mechanism for following up with participants three months after the course, to evaluate the appropriateness and usefulness of the training after they have been back on the job for a period of time.

On the other hand, the relationship between participation in learning activities and performance evaluation levels on the job is extremely complex and difficult to measure. The

potential correlation is particularly difficult to assess, in view of the nature of the training offered in the Department, which is directed more toward theoretical legal knowledge and management skills. The Department does not offer a great deal of training in technical skills, because of the nature of the work that employees do on a day to day basis. In addition, the Department has not adopted an official process for connecting employees' training to their performance evaluations as part of a structured human resources performance management system.

This recommendation goes beyond the context of the PDD's activities and raises the question of human resources performance management, the development of skills profiles for each job category, and the measurement for evaluating them. Implementation of that kind of system calls for a substantial allocation of resources and has to be integrated into a departmental human resources management strategy. For the time being, the PDD will continue to refine its measurement mechanisms and will continue to make uniform use of its tools in order to ensure that there is on-going evaluation of the learning activities offered to employees.

3.4.2 Assessing the Quality of Training Provided

There is no database of all evaluations. Paper files of evaluations are kept in each area of the PDD and only summary information is used to produce quarterly reports to management. Although this practice does not provide sufficient information to fully assess the quality of training being provided, there are course post-mortems between PDD staff and course presenters to discuss what went well and what didn't. This feedback is used to delete or modify courses from the catalogues.

From our interviews and file review, we can conclude that the training provided by the PDD is of high quality. Course evaluations indicate overall satisfaction with courses (this assessment was based on our review of a full year of courses delivered by the PDD). Interestingly, the National Learning Symposium stated a level of overall dissatisfaction with what the PDD was doing. We believe that this dissatisfaction is founded in the PDD's unclear mandate, the lack of services to the regions, and the inadequate efforts made by the PDD to communicate with other parts of the Department. The following observations may also explain the reasons for the dissatisfaction expressed at the symposium.

Related to client satisfaction with the quality of PDD services, there is a feeling, at least within the regions, that the PDD has more resources than others involved in delivering training. More than once people commented on the PDD's "glossy" catalogue and questioned its cost. We do

not concur with this sentiment, recognizing that the PDD's products are of a professional standard. In times of tight resources, however, some may feel that funds could have been better applied to other areas. We cannot comment on the extent to which the PDD is meeting client needs since there is no process in place to compare what was provided with what was needed, or perceived as needed.

3.5 Conclusions

The Department of Justice can consider providing training activities through the PDD in a number of different ways. For example, training could be based on an HR performance management system, it could be self-directed by individual employees, or PDD could take a more entrepreneurial approach where the unit actively develops a market and then fills that market role. As well, the PDD could be more specific on the role they play by, for example, focusing on conferences or training sessions put on by other areas within the Department, or by providing technical and administrative assistance. Regardless of the approach or approaches selected, the Department must:

- understand the needs of the organization and the staff;
- initiate appropriate learning activities;
- evaluate the planning, delivery, and management of training.

The Department does not have a formal process in place to tie employee training to employee performance within a structured HR performance management system. In addition, there is no formal and repeatable process of scanning various sources (e.g. the departmental strategic plan, other departmental initiatives with cultural impacts, sectoral plans) to identify training needs across the Department. Although the PDD has carried out ad hoc surveys of employees, nothing has been done systematically with the sectors or the regions to determine and record training needs.

Systems supporting departmental training are fragmented. At the individual level, there must be a process to track individual training needs and priorities against training taken. This process does not yet exist. Nor is a database being maintained that tracks employee training time to ensure that the policy requirement of five days training per employee per year is being met. Identifying training needs should come, in part, from analysis of identified competency gaps. Therefore training cannot be fully directed until there are clear definitions and descriptions of the required staff competencies.

From our review, we can conclude that in many respects the training provided by the PDD is of high quality. Course evaluations reviewed indicate overall satisfaction with courses actually delivered, although there is no database of all such evaluations. The PDD does not attempt to deal with related learning issues such as improved job performance and organizational performance. Because the PDD does not have a process or evaluation tool to determine whether its services meet client needs, we were unable to fully evaluate client satisfaction with the PDD's services.

Knowledge and training skills exist across the country. Coordination of training within the Department requires communication and cross-fertilization of ideas that a centralized model of direction and control may not effectively manage. Improved coordination and communication should encourage a better exchange of ideas and a greater awareness of the knowledge and training skills that exist department-wide.

4. DETAILED FINDINGS—LEARNING MANAGEMENT

Attempting to operate a centralized organization for professional development is complex because of the environment within the Department of Justice regarding the dissemination of knowledge, the pursuit of learning, and the provision of training. The team could not assess the performance of the PDD without taking into consideration broader environmental issues regarding learning management.

4.1 Next Steps

Any initiatives relating to the proposed Learning Council and future knowledge management will have a far-reaching impact on professional development in the Department. As noted at the beginning of this report, capturing and disseminating the wide range of knowledge and experience of departmental staff is a concern that has generated several programs/initiatives and involved various parties within the Department.

Because training responsibilities and funds are widely dispersed throughout the Department, there is a need to clarify the roles, responsibilities and interactions of the PDD, the proposed new learning advisors, existing training coordinators and knowledge managers, library services, and other information sources within the Department.

According to the TBS policy, management is to be held accountable for the professional competencies and the training of their staff. However, a mechanism is needed to ensure that accountability for learning management is expressed, managed, and monitored. The actual role of a future Learning Council is still being discussed. For example, should the Council be solely advisory or have the authority to approve funding and the selection of learning and training projects? There is concurrence among those interviewed that the Council will require a secretariat, but the secretariat's responsibilities and authorities are still being determined. If the Learning Council is to look at a national learning strategy, define departmental learning priorities, promote improved sharing of training information, and develop a repository of

learning activities, then a secretariat can play a supporting role for these activities. The Department must consider how the Learning Council might be involved in the development and delivery of training programs. Care must be taken to ensure no conflict arises between these two roles.

Among those interviewed, there is general support for the creation of the Learning Council. The concept of having the Council determine budget requirements and determine the most appropriate allocation of funds was supported. However, how the PDD fits into this scheme was a divisive issue for components of the Department outside of the NCR. Senior management sees the need for a secretariat to orchestrate training and development in the Department, to assist in the preparation of national policy, to develop business processes and systems for professional development, and to research delivery options for training activities. If the PDD is to fill this role then changes discussed in earlier sections of this report are necessary. In addition, new and/or different skill sets are likely to be needed to fill the policy support part of this new mandate.

As well, if the PDD is to be the secretariat it will have to focus on certain aspects of support to be an effective presence in the Department. The TBS policy indicates that increases in time and money invested are expected as a result of its implementation. It also indicates that across Government, systems to capture training and development costs and the evaluation of training results are poorly developed. This is certainly the case in the Department of Justice. Other aspects cited in the policy that will have an impact are:

- the creation of a common methodology as a key step toward measuring progress in providing training, development, and learning opportunities;
- annual comparisons to measure progress in achieving policy objectives at the organizational and corporate levels, necessitating the collection of consistent data.

Implementing the TBS Policy on Continuous Learning will require significant changes to the way that training is monitored and tracked. In the previous section “Information Systems to Track Training Activities” we suggested that the Learning Council could centrally coordinate a tracking system of all departmental training activities. Such a system should be part of a common methodology for continuous learning.

4.2 Conclusions and Recommendations

The PDD's provision of training has not been linked to a higher level training strategy, either as a set of senior management strategies and initiatives or as tied to the HR performance management system. The need to capture the extensive knowledge possessed by employees in different parts of the Department is being pursued under the chief knowledge officer initiative. So far there is no formal mechanism to coordinate all of these efforts.

A Learning Council will significantly affect what the PDD does. Is PDD to restrict itself to just providing services to the NCR or should it be responsible for training policy, the promulgation of training material across the country, or other possible roles? We envisage that some of these roles might best be fulfilled by the Learning Council directly, or through a secretariat. The current PDD training delivery role would have to be performed by an organization separate from policy development and separate from the secretariat's supporting role in the development and delivery of learning/training priorities. Thus, the Department needs to determine what the PDD's relationship will be with the proposed Learning Council.

Recommendations and Management Response

9. It is recommended that the Executive Sponsor for Learning Initiatives/Learning Council, if considering the reconfiguration of the PDD to act as the secretariat to support the work of the Learning Council, ensure the following requirements are met:

- a) a formal mandate is created covering the secretariat's role;
- b) a review is conducted of the personnel required to meet the mandate;
- c) the secretariat's corporate role is separated from the PDD's training delivery role;
- d) common systems and processes to develop, manage, and deliver training across the Department are researched and created, where necessary;
- e) roles and authorities are created to monitor professional development within the whole Department.

This recommendation would be useful if a learning secretariat were created in the Department. For the time being, The Executive Council has decided to create only a National Learning and Knowledge Management Committee. If a secretariat were created at a later date, this recommendation could be used as a guide.

Reasons:

The proposal submitted to the Executive Council for the creation of a National Learning and Knowledge Management Committee also involved establishing a functional secretariat with the mandate of acting as a strategic and leadership centre for all corporate issues relating to learning and knowledge management. However, in view of the Department's financial situation, the Executive Council thought that it was preferable to wait to assess the proposals for creating new positions in the context of creating this departmental secretariat. The difficulty in guaranteeing funding for this project meant that the Department was not in a position at present to go ahead quickly with an integrated and complete program in this respect. However, certain measures could be taken despite the absence of new funds. For example, on June 24, 2002, the Executive Council approved the creation of a National Learning and Knowledge Management Committee without allocating additional resources.

In the event that a departmental secretariat for learning and knowledge management were to be created, the PDD agrees that these recommendations would be communicated to the relevant authorities and taken into consideration in future actions.

10. The ADM Corporate Services establish a system for keeping track of all training received by every member of the Department, and that such a system is operational in time to meet the new TBS policy requirements.

We agree with this recommendation. A plan was recently adopted by the National Learning and Knowledge Management Committee to review and define the parameters of an improved information management system. However, this recommendation could engender additional financial costs.

Reasons:

The implementation of an integrated learning information management system was identified as a priority for action by the National Learning and Knowledge Management Committee. That priority is currently being studied by the Committee, and a working group co-chaired by the PDD has been created. The PDD has already initiated efforts, with the team responsible for the PeopleSoft information management system, to review and develop a new module dealing specifically with learning. It should also be possible to use that system to meet the requirements of the new Policy for Continuous Learning in the Public Service relating to the production of public annual reports.

The PDD will pursue the efforts initiated with the PeopleSoft team in the Human Resources Directorate to create a revised module on learning, as soon as possible, in the Department's information management system. Discussions are underway regarding the strategy to adopt. However, a determining factor in the completion of this project will be the costs that might be involved in reviewing and implementing this system on a national level.

5. RECOMMENDATIONS AND MANAGEMENT RESPONSE

- 1. It is recommended that the Director General, PDD, in consultation with the Executive Sponsor for Learning Initiatives/Learning Council, review and confirm the role of the PDD in light of the TBS Policy for Continuous Learning, the proposed Learning Council, and relevant learning management concepts.....11**

We agree with this recommendation, that the role of the PDD be reviewed and confirmed. However, that review will have to take into account certain external factors that will have a determining influence on the conduct and outcomes of that process. It will be essential that a detailed, complete and objective review of the present situation as it relates to learning management in the Department be done.

Reasons:

At present, the PDD's mandate is vague and ambiguous. The PDD's existing financial and human resources have prompted the Directorate to play a primarily regional role in the NCR. At present, the PDD does not have the necessary resources to carry out a national mandate. In addition, the Directorate is not capable of meeting the principal requirements set out in the new Treasury Board learning policy, with which federal departments must comply.

We are of the view that the commitments in the Treasury Board learning policy must be taken into consideration in reviewing and defining the mandate. The PDD's mandate must be clarified in a number of respects, both within the corporate services and in terms of its role in the NCR and in its relations with the regions and portfolios. The PDD's mandate cannot be defined by looking solely at factors that are exclusively internal to the Directorate. There are a number of external factors that influence the definition of the PDD's mandate and that must be taken into consideration in that analysis. The principal factors that have direct consequences on the mandate are the following:

- The creation of the new School of Public Service arising out of the enactment of the *Public Service Modernization Act*. This new training centre will soon provide a new, mandatory training program for all managers in the public service, as well as new course curricula. The role of that new school will have an impact on the nature and scope of the PDD's mandate
- Whether a decentralized, centralized or mixed approach is chosen for managing learning in the Department
- Departmental priorities in respect of learning and other related areas
- The availability of additional financial resources for the Directorate
- The role of the National Learning and Knowledge Management Committee
- The role of the portfolios and regions in relation to learning
- The commitments set out in the Policy for Continuous Learning in the Public Service
- The functional relationship between the Human Resources Directorate and the PDD
- The results of the Department's departmental review of common services
- The possibility of a change to the hierarchical structure of the PDD within the corporate services

In order to obtain a mandate for the PDD that is capable of responding to the present situation as a whole, an analysis of the organizational environment is necessary. Consultations should be initiated not only within the PDD, but also with portfolio heads, regional office directors and the National Learning and Knowledge Management Committee to obtain a complete assessment of the present situation, of needs and of future directions. The question of the Department's accountability in respect of learning will also have to be clarified among the various stakeholders. The PDD's new mandate should clearly specify the type and level of accountability that the PDD has in respect of learning. To ensure that a detailed, complete and objective review is done, it might be advisable to use the services of a consultant with experience in organizational management and in the development of learning organizations.

- 2. It is recommended that the Director General, PDD, ensure that:15**
- a) The PDD's budget separates and details the costs of course development, administrative assistance to other groups putting on conferences and training sessions, administration and presentation of each course, and general administration.**
 - b) Staff time is tracked and the costs are allocated to specific activities.**

c) Procedures are set up to monitor expenditures for each course budget.

(a & c) We agree with this recommendation. A new internal financial management system was established last year.

Reasons:

The PDD has already established a separate financial management system for the administration of learning activities and the operational management of the Directorate. For each learning activity there is an internal planning and cost control mechanism. That mechanism is followed both by the development team and by the operations team responsible for delivering the activity. It is now possible for changes in the costs of an activity to be known at all times, so that it can be determined whether adjustments are needed in order to remain within initial costs. The management team continuously reviews the performance of this system, and adjustments will be made based on needs and departmental and governmental requirements.

(b) Unless there is a departmental change in the philosophy underlying human resource management, and more specifically as regards staff time management for branches that provide internal services, it would not seem wise at this time to implement this recommendation in the PDD.

Reasons:

The central units of the Department do not currently operate on a full cost recovery basis. Accordingly, all of the branches that provide internal services do not use a staff time management system. Implementation of that kind of management system within the PDD will have to be effected as part of a broader decision in relation to the management approach adopted by the Department for the delivery of internal services. For the time being, we are of the view that this kind of system is not essential for the proper management of the performance of PDD employees. The implementation of a recent management structure in the PDD is sufficient to provide effective supervision and management of employees' time and duties. Each manager has responsibility for direct supervision of a maximum of five employees, and this allows for appropriate and continuous oversight.

- 3. Should the Department, as it moves toward a continuous learning culture, decide that the PDD is to provide strategic planning for course development and administration to the rest of the Department, it is recommended that the Director General, PDD, ensure that appropriate long-term planning activities are carried out in these areas.16**

We agree with this recommendation as part of a long-term implementation strategy. This recommendation is closely tied to the definition of the PDD's mandate (recommendation 1) and calls for decisions to be made first regarding the nature and scope of the mandate, before a strategic planning exercise is undertaken.

Reasons:

The PDD's mandate must be clarified and approved by the Department before a long-term strategic planning process for the Directorate is initiated. Depending on the nature of the mandate to be assigned to the PDD, a strategic planning exercise will then be initiated in order to identify priorities, short-term and medium-term objectives and methods of achieving that mandate. All long-term planning will also have to take into account the Department's strategy for becoming a learning organization and the priorities identified in that respect, such as succession planning. A change in the reporting structure could also influence decisions regarding strategy and long-term planning.

- 4. It is recommended that the Director General, PDD, ensure that a plan is developed to promote a greater sharing of professional development information and knowledge through better coordination of information and communications.18**

We agree with this recommendation. Various measures have already been taken to promote greater sharing of professional development information.

Reasons:

A number of projects have been established to improve communications with clients, employees, portfolios and regions since the internal audit was conducted. The principal measures adopted are the following:

- Representatives of the PDD now sit on various departmental committees that play a role in respect of learning. For instance, the Director General sits on the National Learning and Knowledge Management Committee. The PDD provides secretariat services for that

Committee at present. The Director General is also a member of the Portfolio Learning Committee. The Director, Management and General Learning Programs, participates in meetings of the Regional Learning Committee.

- The PDD also provides the co-chair for a departmental working committee on the review of a learning information management system.
- An electronic calendar of learning activities offered by the PDD is now available at all times on the Department's intranet homepage.
- Electronic advertisements for the PDD's courses are sent out to all Department employees in the NCR via the electronic messaging system.
- A process for reviewing the structure and content of the PDD's intranet site has recently been initiated.
- The PDD is also actively involved in the project to create a learning portal in the Department. Two members of the PDD team sit on the advisory group for that project. The PDD expects to play a key role in maintaining and updating that future site.

The PDD will continue to participate actively in departmental committees relating to learning and in the development of the various communications tools identified earlier. The PDD will pursue the adoption of various measures to promote information sharing and to expand the channels of communication with the key stakeholders in relation to learning.

5. It is recommended that the Director General, PDD, build a business case for senior management that details the amount of resources needed to support training and which outlines the potential impact of changes to training budgets.21

We agree with this recommendation, but as part of a longer-term strategic planning activity. This type of business case first calls for the PDD's mandate to be reviewed and approved.

Reasons:

A business case will be useful when the PDD's mandate has been officially defined and approved. At this point, it is premature to build a business case when the parameters of the PDD's functions have not been clearly defined. In addition, the Department should also make it a priority to establish its strategy and priorities in relation to continuous learning. The question of financing for learning priorities will also have to be reviewed at the same time. These elements will provide the framework that is needed for initiating a business case based on (1) the Department's learning strategy, (2) the PDD's revised mandate, and (3) the Directorate's existing human and financial resources. This business case will enable the

Directorate to make an accurate determination of whether there are significant discrepancies between the existing resources in the Directorate and the operational requirements that arise out of the new mandate, and also to develop appropriate options.

6. It is recommended that The ADM Corporate Services ensure that training is tied into a HR performance management process.....28

This recommendation raises a problem that goes beyond the operational framework of the PDD. This issue must be examined from the overall perspective of HR management in the Department. The Human Resources Directorate is responsible for the employee performance evaluation process. A change in that process will call for close collaboration with the HRD, and will have to be part of a more thorough analysis of the process that is currently in place in the Department. A closer functional relationship between the PDD and the HRD is a possibility that could ultimately facilitate the implementation of this recommendation. However, this recommendation requires a review of and substantial changes to the HR performance management process. For the time being, the development of learning plans in the Department during the 2004-2005 fiscal year is an important first step towards establishing a closer link between performance management and training.

Reasons:

This recommendation calls for a review of the Department's approach to human resources performance management. However, there are certain measures that can be implemented to meet the need to connect planning more closely to employees' training needs in the performance evaluation process. For example, the Department is currently examining, in the strategy for implementing learning plans, the possibility of incorporating this new tool in the employee performance evaluation process. Learning plans would be used by both managers and employees to identify, in partnership, personal learning plan objectives and possible strategies for meeting the needs expressed by the employee.

The possibility of better defining the connection between employees' performance evaluations and training needs could also be considered in the context of the future review of the departmental learning policy. Having regard to the requirements of the Policy for Continuous Learning in the Public Service, the Department will soon have to undertake a complete review of its internal learning policy.

7. It is recommended that the Director General, PDD, ensure that a formal scanning process is developed to help identify and assess departmental training needs.30

We agree with this recommendation. Various mechanisms can be developed to respond to this recommendation. One of the immediate actions to be considered is to establish a mechanism for managing information from personal learning plans. Collection of data from learning plans will be an excellent official process for identifying the learning needs of employees throughout the Department. This priority for action is part of the learning plan implementation strategy in the Department, which is to be implemented by March 31, 2004.

Reasons:

The proposed personal learning plan implementation strategy includes a system for collecting the information contained in the plans. That information, relating to the learning activities identified by employees, will be compiled in a system that will provide a picture of training needs by occupational group category and region. Those data will then be used to prepare the calendar of learning activities, based on employees' priorities and needs. The process will be repeated annually as part of the employee performance evaluation process. However, that strategy will call for an investment of financial resources to provide a permanent functional mechanism, although the funds needed to institute that mechanism should not be very high, and the investment will certainly be useful and effective in terms of its return in relation to a learning strategy and planning for the Department.

The National Learning and Knowledge Management Committee also has a mandate to define priorities in relation to learning within the Department. The results of the Committee's work on evaluating needs and defining priorities will guide the PDD in delivering learning activities.

The PDD also uses evaluation forms after each learning activity. The forms are used to obtain information about the learning needs identified by the participants. That information is collected by the PDD and taken into consideration in preparing the calendar of activities. In addition, consultations are also held with certain portfolio heads or knowledge managers at the beginning of each year, to identify the principal learning needs in their respective sections. However, that process has not been implemented as part of a formal consultation framework.

In the next fiscal year, the PDD hopes to implement a more uniform and formal consultation mechanism in relation to learning needs, through the Portfolio Learning Committee and the Regional Committee. The PDD's participation on those two committees will be crucial for obtaining information and on-going feedback concerning the learning activities it chooses.

8. It is recommended that the Director General, PDD, require that a broad means of assessing the impact of training, both on an individual and organizational basis, is incorporated into the design and development of courses.34

The PDD will carry out a basic assessment of the impact of training on employees. Implementing this recommendation requires an on-going evaluation system to be implemented that calls for a substantial investment in terms of financial and human resources. For the time being, the PDD will continue to refine its measurement mechanisms and will continue to make uniform use of its tools in order to ensure that there is on-going evaluation of the learning activities offered to employees.

Reasons:

At present, the PDD uses an evaluation process based on a form filled out by participants after each course is delivered. The form has recently been revised, and allows for information to be collected concerning the quality of the training offered and the appropriateness of the training for the employee in performing his or her duties. Some management courses use a mechanism for following up with participants three months after the course, to evaluate the appropriateness and usefulness of the training after they have been back on the job for a period of time.

On the other hand, the relationship between participation in learning activities and performance evaluation levels on the job is extremely complex and difficult to measure. The potential correlation is particularly difficult to assess, in view of the nature of the training offered in the Department, which is directed more toward theoretical legal knowledge and management skills. The Department does not offer a great deal of training in technical skills, because of the nature of the work that employees do on a day to day basis. In addition, the Department has not adopted an official process for connecting employees' training to their performance evaluations as part of a structured human resources performance management system.

This recommendation goes beyond the context of the PDD's activities and raises the question of human resources performance management, the development of skills profiles for each job category, and the measurement for evaluating them. Implementation of that kind of system calls for a substantial allocation of resources and has to be integrated into a departmental human resources management strategy. For the time being, the PDD will continue to refine its measurement mechanisms and will continue to make uniform use of its tools in order to ensure that there is on-going evaluation of the learning activities offered to employees.

- 9. It is recommended that the Executive Sponsor for Learning Initiatives/Learning Council, if considering the reconfiguration of the PDD to act as the secretariat to support the work of the Learning Council, ensure the following requirements are met:41**
- a) a formal mandate is created covering the secretariat's role;**
 - b) a review is conducted of the personnel required to meet the mandate;**
 - c) the secretariat's corporate role is separated from the PDD's training delivery role;**
 - d) common systems and processes to develop, manage, and deliver training across the Department are researched and created, where necessary;**
 - e) roles and authorities are created to monitor professional development within the whole Department.**

This recommendation would be useful if a learning secretariat were created in the Department. For the time being, The Executive Council has decided to create only a National Learning and Knowledge Management Committee. If a secretariat were created at a later date, this recommendation could be used as a guide.

Reasons:

The proposal submitted to the Executive Council for the creation of a National Learning and Knowledge Management Committee also involved establishing a functional secretariat with the mandate of acting as a strategic and leadership centre for all corporate issues relating to learning and knowledge management. However, in view of the Department's financial situation, the Executive Council thought that it was preferable to wait to assess the proposals for creating new positions in the context of creating this departmental secretariat. The difficulty in guaranteeing funding for this project meant that the Department was not in a position at present to go ahead quickly with an integrated and complete program in this respect. However, certain measures could be taken despite the absence of new funds. For

example, on June 24, 2002, the Executive Council approved the creation of a National Learning and Knowledge Management Committee without allocating additional resources.

In the event that a departmental secretariat for learning and knowledge management were to be created, the PDD agrees that these recommendations would be communicated to the relevant authorities and taken into consideration in future actions.

10. The ADM Corporate Services establish a system for keeping track of all training received by every member of the Department, and that such a system is operational in time to meet the new TBS policy requirements.42

We agree with this recommendation. A plan was recently adopted by the National Learning and Knowledge Management Committee to review and define the parameters of an improved information management system. However, this recommendation could engender additional financial costs.

Reasons:

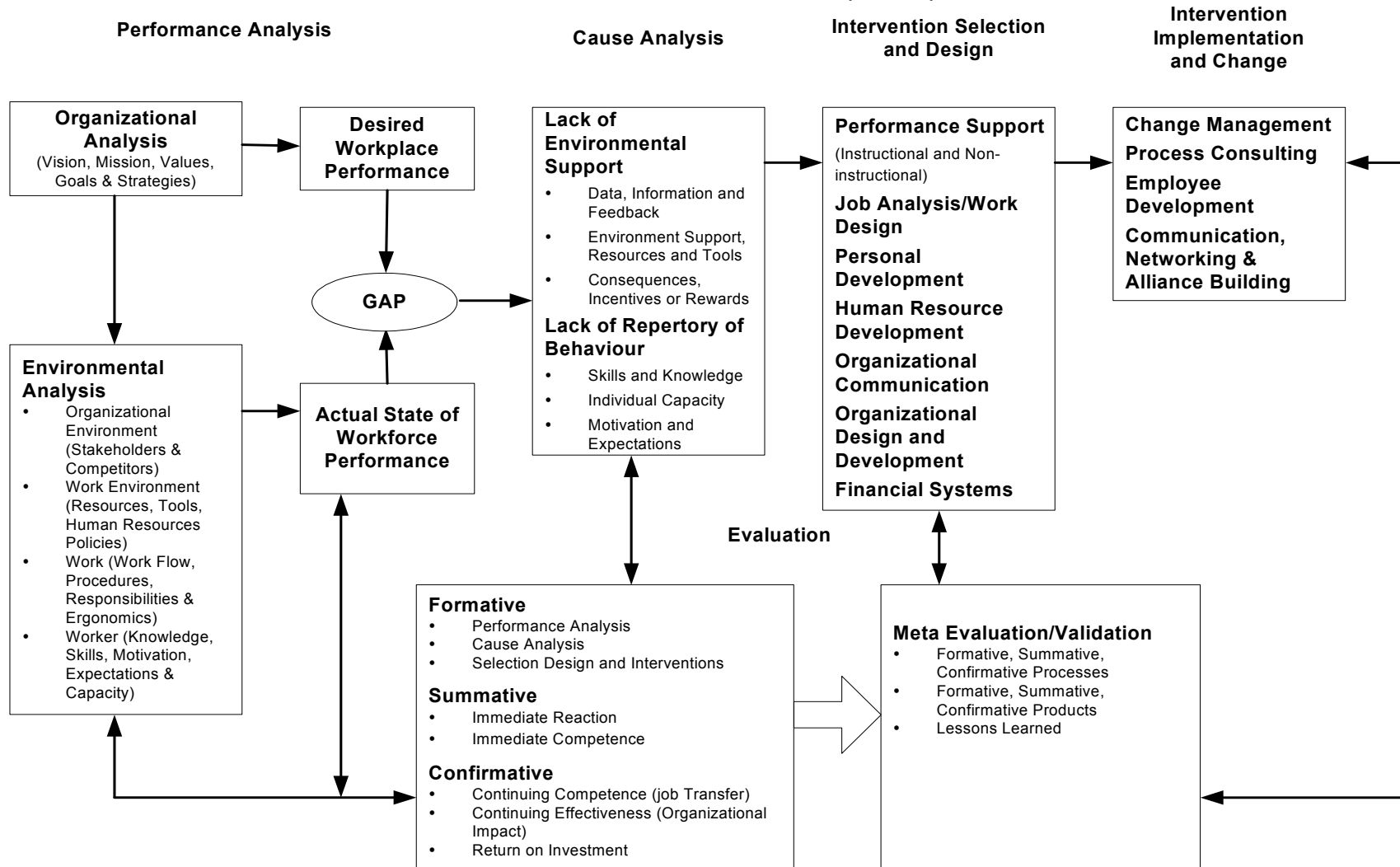
The implementation of an integrated learning information management system was identified as a priority for action by the National Learning and Knowledge Management Committee. That priority is currently being studied by the Committee, and a working group co-chaired by the PDD has been created. The PDD has already initiated efforts, with the team responsible for the PeopleSoft information management system, to review and develop a new module dealing specifically with learning. It should also be possible to use that system to meet the requirements of the new Policy for Continuous Learning in the Public Service relating to the production of public annual reports.

The PDD will pursue the efforts initiated with the PeopleSoft team in the Human Resources Directorate to create a revised module on learning, as soon as possible, in the Department's information management system. Discussions are underway regarding the strategy to adopt. However, a determining factor in the completion of this project will be the costs that might be involved in reviewing and implementing this system on a national level.

APPENDIX A

HUMAN PERFORMANCE TECHNOLOGY MODEL

HUMAN PERFORMANCE TECHNOLOGY (HPT) MODEL



APPENDIX B

THE VALUE OF HUMAN RESOURCES

THE VALUE OF HUMAN RESOURCES

The efficient and effective performance of the public service depends on the abilities of federal government managers and staff to carry out the programs as intended by Parliament, the departmental Ministers, and senior departmental executives. It is becoming clear that, as resources are constrained, the HR component is critical in achieving effective public sector performance.

Recent work by the United States federal government's General Accounting Office has emphasized the importance of HR by referring to this area as "human capital."

"Simply stated, human capital means people. There are, however, two key principles that are central to the human capital idea. First, people are assets whose value can be enhanced through investment. As with any investment, the goal is to maximize value while managing risk. As the value of people increases, so does the performance capacity of the organization, and therefore its value to clients and other stakeholders.

"Second, an organization's human capital policies must be aligned to support the organization's "shared vision"—that is, the mission, vision for the future, core values, goals and objectives, and strategies by which the organization has defined its direction and its expectations for itself and its people. All human capital policies and practices should be designed, implemented, and assessed by the standard of how well they help the organization pursue its shared vision.

"At most federal agencies the lion's share of operating costs is devoted to the workforce. For this reason, employees traditionally have been viewed through the budgetary lens, and therefore they have often been seen as costs to be cut rather than as assets to be valued. However, high-performance organizations in both the private and public sectors recognize that an organization's people largely determine its capacity to perform. These organizations understand that the value of the organization is dependent on the value of its people.

"Enhancing the value of employees is a win-win goal for employers and employees alike. The more an organization recognizes the intrinsic value of each employee; the more it recognizes that this value can be enhanced with nurturing and investment; the more it recognizes that employees vary in their talents and motivations, and that a variety of incentive strategies and working arrangements can be created to enhance each

employee’s contributions to organizational performance, the more likely the organization will be to appreciate the variety of employee needs and circumstances and to act in ways that will make sense in both business and human terms.”¹⁰

Human Capital: A Self-Assessment Checklist for Agency Leaders

General Accounting Office’s Human Capital Framework	
Strategic Planning	<p>Establish the agency’s mission, vision for the future, core values, goals and objectives, and strategies.</p> <ul style="list-style-type: none"> • Shared vision • Human capital focus
Organizational Alignment	<p>Integrate human capital strategies with the agency’s core business practices.</p> <ul style="list-style-type: none"> • Improving workforce planning • Integrating the human resources function
Leadership	<p>Foster a committed leadership team and provide for reasonable continuity through succession planning.</p> <ul style="list-style-type: none"> • Defining leadership • Building teamwork and communications • Ensuring continuity
Talent	<p>Recruit, hire, develop, and retain employees with the skills needed for mission accomplishment.</p> <ul style="list-style-type: none"> • Recruiting and hiring • Training and professional development • Workforce deployment • Compensation • Employee-friendly workplace
Performance Culture	<p>Empower and motivate employees while ensuring accountability and fairness in the workplace.</p> <ul style="list-style-type: none"> • Performance management • Performance incentives • Continuous learning and improvement • Managers and supervisors • Job processes, tools, and mission support • Information technology • Inclusiveness • Employee and labor relations

¹⁰United States General Accounting Office, “Human Capital: A Self-Assessment Checklist for Agency Leaders,” September 2000, GAO/OCG-00-14G.