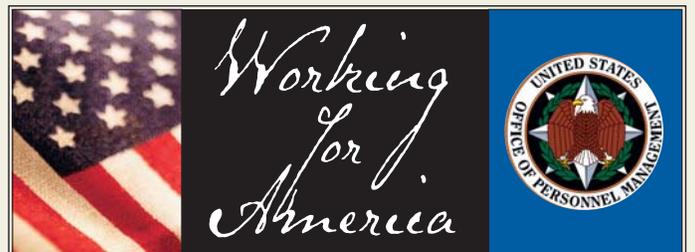




*UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT*

Guide for
Collection and
Management of
Training Information

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT



September, 2006

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Section I

INTRODUCTION

The Office of Personnel Management (OPM), mission is to ensure the Federal Government has an effective civilian workforce. To help to accomplish the mission, it is important comprehensive and accurate training information is collected and made available to decision-makers and others who have a vested interest in Federal training.

There have been a number of changes in recent years aimed at improving data collection efforts, from legislation to implementation of the Enterprise Human Resources Initiative (EHRI) system. There is also a Strategic Management of Human Capital Initiative that focuses on five Standards of Success that require critical monitoring and management (see http://www.opm.gov/hcaaf_resource_center/2-2.asp for more information).

To properly execute a Human Capital Strategic Plan, agencies must manage and collect training information in support of mission objectives and strategic goals. It is essential all training is properly evaluated to ensure it provides meaningful contribution to agency results.

We recognize the need to help agencies navigate the changes and the need to report results for the Human Capital Strategic Plan. The *Guide for Collection and Management of Training Information (the Guide)* is one way to assist. Its purpose is to provide the most up-to-date information on required and suggested training data elements. The Guide was developed to assist human resources (HR) professionals and agency program managers who have the responsibility to collect and report on training activities. Information technology (IT) staff who assists the HR staff to implement training information or learning management systems (LMS) may also find the Guide useful. It will also serve as a resource to assist agencies on using training information to identify competency, skill, and experience gaps in support of strategic human capital planning efforts.

Section II

COLLECTING AND MANAGING TRAINING INFORMATION

Compliance with Laws and Regulations

Federal law requires agencies to maintain information in order to respond to specific questions about their training programs. The Government Employees Training Act provides the single most comprehensive legislation relevant to training and training information. The provisions of this law and its subsequent amendments appear in Chapter 41 of title 5, United States Code (5 U.S.C. 4101- 4119). Pursuant to this statute, OPM promulgated regulations about training and training information. These regulations appear in part 410 of title 5, Code of Federal Regulations

OPM provides guidance to assist agencies in complying with the legal and regulatory instructions that apply to Federal training. A checklist of legislative and regulatory provisions concerning training can be found in Appendix A, Legal and Regulatory Checklist. This checklist connects the questions agencies must be able to answer about their training programs with the legal and regulatory requirements.

Common Types of Training Information

Agencies collect many types of information about the training of their employees. The following are the most common types of training information:

- **Purpose and Content.** This refers to how training helps fulfill critical agency performance requirements, supports specific agency initiatives, or is required by law, regulation, or agency policy included in agency strategic and training plans. (See Appendix B, Information to Consider When Developing a Training Program.)
- **Details of Training.** Details generally include cost, location, and duration of training. Training costs include all the expenses associated with designing, developing, implementing, evaluating the training (e.g., tuition, rental of training facilities, contractor payments, and travel for training purposes) and the source of training funds, time spent taking training, and subcategories of time spent on duty and off duty. (See Section III, Common Data Elements, Definitions, and Reference Codes.)
- **Training Participants.** This generally refers to information related to an employee's grade, pay system, occupational series, organizational location, bargaining unit status and supervisory status. Information is available from agency personnel database/information systems.

Methods for Measuring Effectiveness

Methods for measuring training and development program effectiveness are varied and depend on the objectives established for the program. There are generally two basic types of performance measures. An effective training information system must be able to collect and report on both types of performance measures:

- *In-process indicators* tell if the plan is on course. They track such things as number of employees trained, number of training courses completed, or number of hours employees spent in training.
- *Outcome indicators* contain measures of service or performance results. These measure such things as an increase in employee and/or customer satisfaction, increase in employee job performance, and/or increase in organizational performance. They may require prolonged periods of measurement and multiple types and levels of measurement methods to include surveys, customer and employee feedback tools, training impact measures, analysis of work samples, performance sampling, and return on investment analysis.

Agencies can use the Training Information System Checklist in Appendix C to assess its training information system. For a more detailed discussion about strategic planning and performance measures, see OPM's *A Guide to Strategically Planning Training and Measuring Results*.

Sources for Obtaining Training Information

There are many sources of training-related information in existing agency information systems; however, access to this information varies from agency to agency. It is imperative for HR training to build strategic partnerships with financial management, HR management, strategic planning, and information technology staffs to leverage their support in this effort, and/or to work collaboratively to ensure interoperability exists between data collection systems. Typical data sources include:

- Information on standard and optional training forms. Often a single form is used to approve, procure, account for funding, and document completion of training. Personnel forms, such as the revised Standard Form (SF) 182 Training Form (Authorization, Agreement, and Certification of Training), and the SF-52 (Request for Personnel Action), are also useful sources of training related information.
- Agency personnel records. These documents provide information about participants that the standard training forms do not capture. The OPM EHRI initiative, which provides storage, access, and exchange of standard electronic human capital information,

is expected to include core training information. Some agencies maintain “skills banks” (i.e., information about employee competencies, knowledge, skills, and abilities) that could be a useful source of training related information.

- Procurement documents. Often agencies use the standard training forms to procure training. Agencies also procure training through interagency agreements, credit cards, purchase orders, and contracts. The documentation associated with every procurement mechanism provides valuable information about agency training. It is important to note that, regardless of the procurement mechanism, agencies must collect specific information concerning the training event and the individual demographics and costs associated with each employee receiving training.
- Financial and performance records. These records include annual budgets and performance plans as well as reports of agency expenditures. Such reports often contain information about training funds and activities.
- Training evaluation forms. Typically, participants complete evaluation forms to provide feedback of the programs in which they participate. In some cases, agencies look beyond participant comments and assess the impact of training on the performance of participants and their organizations. There are four levels of evaluation in Kirkpatrick’s Evaluation Model (See Appendix D). The cases describe above are typically defined as Level 3 and Level 4 evaluations.
- Data from other organizations. Agencies are utilizing data from other Federal, State or local agencies, nonprofit organizations, and private firms (particularly those whose mission and workforce are similar to the agencies’) as a benchmark. This can prove to be very valuable because many share training related information.
- Agency human capital/strategic planning documents. A successful human capital initiative requires a collaborative effort among all interested parties to assure the American people’s continuing trust in the Federal Government’s ability to serve them through an effective civilian workforce. More information about strategic alignment can be found in , “Strategic Human Resources Management: Aligning with the Mission” at <http://www.opm.gov/studies/alignnet.pdf>.

Requests for Training Information.

Many entities outside an agency may inquire about an agency's magnitude of training (e.g., how much money did the agency spend or how much time have employees devoted to learning or training activities) and programmatic issues. These entities may include Congress, the Office of Management and Budget (OMB), the Office of Personnel Management (OPM), and the Government Accountability Office (GAO). Some disputes between an agency and an employee (for example, a grievance or an equal employment opportunity complaint) may require the agency to provide training data to the courts or another third party. Being able to respond to such requests quickly and effectively demonstrates an agency's commitment to investing in training and sends a positive message that the agency is effectively managing strategic assets.

Some information requested by external organization may not be captured in a training information system. Requests may include information about the policy and procedural basis for the agency training program. Documenting the design and implementation of an agency training program can answer many external inquiries. Using the information in Appendix B, Information to Consider When Developing a Training Program, to design an agency training program will help ensure the type of data typically requested from external inquiries concerning training program management design, implementation, and training effectiveness and efficiency are captured. Common inquiries that focus on a particular issue, topic, or group of employees, include:

- How does the agency train employees for emergency preparedness?
- What ethics training does the agency conduct?
- What training does the agency provide to new supervisors?
- How does the agency train new employees during orientation about the U.S. Constitution?

Appendix E, Oversight Questions to Consider, contains sample questions that external entities may ask. For assistance in determining how an agency could collect data to respond to oversight queries, see Appendix D, Sample List of Training Measurement Tools.

SECTION III:

Common Data Elements, Definitions, and Reference Codes

The data elements in this table are taken from the SF-182, Authorization, Agreement, and Certification of Training, listed as core data. The codes used on the SF-182 can be incorporated in agency training information systems. Other data elements have been added to this list to collect the type of data that has been requested in the recent past and data necessary to assist agencies in addressing their internal data needs as detailed in Appendix A, Legal and Regulatory Checklist. Additional information about the data elements can be found in the *Guide to Personnel Recordkeeping*, Table 3-1(www.opm.gov/feddata/persdoc.asp), and in Chapter 4 and Appendix A found in the *Guide to Human Resources Reporting*, (<http://www.opm.gov/feddata/ghrr/index.asp>).

It is important to know that *completed event data* is required for submission on the Standard Form SF-182.

ICD Seq #	EHRI Ref #	Data Concept	Name	CPDF	Policy Rep Req	System Rep Req	Data type	Definition
1	997	Data Record	Record Action			Y	VARCHAR(1)	Indicates action to take with this data record.
2	652	Employee ID	Social Security Number	Y	1	Y	VARCHAR(35)	Person's social security number.
3	74	Employee ID	Birth Date	Y	1	Y	DATE	Date on which the person is born.
4	999	Employee ID	EHRI Employee ID				NUMBER(20)	The unique number that EHRI will assign to an employee to identify employee records within the EHRI.
5	17	Employee ID	Agency Sub element Code	Y	1	Y	VARCHAR(4)	Agency and, where applicable, the administrative sub-division (i.e. sub element) in which a person is employed.
6	991	Completed Training Unit	Training Title		1	Y	VARCHAR(100)	Official title or name of the course or program completed by the employee.
7	723	Completed Training Unit	Training Type Code		1	Y	VARCHAR(4)	Code for the type of training which has been completed by the employee.
8	1036	Completed Training Unit	Training Sub Type Code		1	Y	VARCHAR(4)	Code for the sub-type of training which has been completed by the employee.

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ICD Seq #	EHRI Ref #	Data Concept	Name	CPDF	Policy Rep Req	System Rep Req	Data type	Definition
9	720	Completed Training Unit	Training Start Date		4		DATE	Start date of the training completed by the employee.
10	710	Completed Training Unit	Training End Date		2		DATE	End date for the training completed by the employee.
11	89	Completed Training Unit	Continued Service Agreement Expiration Date		4		DATE	Date on which the continued service agreement expires.
12	90	Completed Training Unit	Continued Service Agreement Required Indicator		2		VARCHAR(2)	Indicates whether a continued service agreement is required for the training the employee is taking.
13	699	Completed Training Unit	Training Accreditation Indicator		2		VARCHAR(2)	Indicates if the training course offers accreditation.
14	704	Completed Training Unit	Training Credit		4		DECIMAL(9,2)	Amount of academic credit hours or continued education units earned by the employee for the completed training.
15	705	Completed Training Unit	Training Credit Designation Type Code		2		VARCHAR(4)	Code for the type of academic credit hours or continued education units earned by the employee for the completed training course.
16	987	Completed Training Unit	Training Credit Type Code		4		VARCHAR(4)	Code representing the type of credit hours the employee received for the completed training.
17	709	Completed Training Unit	Training Duty Hours		2		DECIMAL(9,2)	Number of employee duty hours the employee used to complete the training unit.
18	714	Completed Training Unit	Training Non Duty Hours		2		DECIMAL(9,2)	Number of employee non-duty hours for the completed training course.
19	707	Completed Training Unit	Training Delivery Type Code		2		VARCHAR(4)	Code for the type of training delivery for the training course completed by the employee.
20	716	Completed Training Unit	Training Purpose Type Code		2		VARCHAR(4)	Code representing the purpose of the training completed by the employee.
21	718	Completed Training Unit	Training Source Type Code		2		VARCHAR(4)	Source of the training which has been completed by the employee.

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ICD Seq #	EHRI Ref #	Data Concept	Name	CPDF	Policy Rep Req	System Rep Req	Data type	Definition
22	713	Training Materials Cost	Training Materials Cost		2		DECIMAL(9,2)	Cost to the Government for the training materials used during the training unit completed by the employee. This includes all direct costs associated with purchasing the training materials used by the employee that is in addition to the tuition cost. It can include but is not limited to costs of supplies, cost of equipment, and cost of software used by the student during the training event.
23	715	Training Per Diem Cost	Training Per Diem Cost		2		DECIMAL(9,2)	Cost of the per diem (meal, lodging, misc. expenses) for training completed by the employee that was paid for by the Federal Government.
24	721	Training Travel Cost	Training Travel Cost		2		DECIMAL(9,2)	Cost for the travel, excluding per diem, for training completed by the employee that was paid for by the Federal Government.
25	722	Training Tuition and Fees Cost	Training Tuition and Fees Cost		2		DECIMAL(9,2)	The cost of the training tuition and fee for training completed by the employee that was paid for by the Federal Government.
26	1038	Training Nongovernmental Contribution Cost	Training Nongovernmental Contribution Cost		2		DECIMAL(9,2)	Cost contributed by the employee or other non-government organizations for the training completed by the employee.

Training Delivery Type Code

Source: OPM’s Division for Strategic Human Resources Policy

CODE	SHORT DESCRIPTION	LONG DESCRIPTION (IF APPLICABLE)
01	Traditional Classroom (no technology)	Individual or multiple person led, face-to-face training.
02	On the Job	Formal methods/activities planned and structured to promote learning by doing; e.g., detail assignments/programs.
03	Technology based	Methods mainly using technology which may include tutorials embedded in software, CD ROM products, Web-based courses, and interactive media.
04	Conference/workshop	An organized learning event which has an announced educational or instructional purpose; more than half the time is scheduled for a planned, organized exchange of information between presenters and audience which meets the definition of training in 5 U.S.C. 4110; content of the conference/retreat is germane to improving individual and/or organizational performance; and developmental benefits will be derived through the employee’s attendance.
05	Blended	Training that requires two or more methods of delivery that must be completed in order to satisfy the educational requirements.
06	Correspondence	Self-study course material: Training provided via the assignment of non-interactive methods such as a book, document, regulation, and manual.

Training Purpose Type Code

Source: OPM’s Division for Strategic Human Resources Policy

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CODE	SHORT DESCRIPTION	LONG DESCRIPTION (IF APPLICABLE)
01	Program/Mission Change	Training to provide the knowledge, skills, and abilities needed as a result of change in agency mission, policies, or procedures.
02	New Work Assignment	Training to acquire the knowledge, skills, and abilities needed as a result of assignment to new duties and responsibilities when such training is not part of a planned, career development program (e.g., training provided to a placement officer who has been newly assigned position classification duties).
03	Improve Present Performance	Training to provide the knowledge, skills, and abilities needed to improve or maintain proficiency in present job.
04	Future Staffing Needs	Training to provide the knowledge, skills, and abilities needed to meet future staffing needs (e.g., to implement succession planning).
05	Develop Unavailable Skills	Training to acquire the knowledge, skills, and abilities needed for fields of work for which the labor market cannot produce a sufficient number of trained candidates (e.g., air traffic controllers or IT professionals).
06	Retention	Training/education used to address staffing issue of retaining an employee (e.g., academic degree training).

Training Source Type Code

Source: OPM's Division for Strategic Human Resources Policy

CODE	SHORT DESCRIPTION	LONG DESCRIPTION (IF APPLICABLE)
01	Government Internal	Training provided by a Federal department, agency, or independent establishment for its own employees.
02	Government External	Training provided by an interagency training activity, or a Federal department, agency, or independent establishment other than the one which currently employs the trainee.
03	Non-government	Sources include commercial or industrial concern, educational institutions, professional societies or associations, consultants or individuals who are not government employees, but are contracted to develop and/or provide training course or program.
04	Government State/Local	Training provided by a State, county or municipal government except education provided by State-operated or other public educational institutions, which is reported as non-government.
05	Foreign Governments and Organizations	Training provided by non-United States entities which may or may not be outside the United States.

Training Type Code and Sub-Code

Source: OPM’s Division for Strategic Human Resources Policy

Training Type Code	Training Type Sub-Code
<p>01 – Training Program Area</p> <p>Description: Functional or specialized training programs.</p>	<p>01 – Legal</p> <p>Education or training in the concepts, principles, theories, or techniques of law.</p>
	<p>02 – Medical and Health</p> <p>Education or training in the concepts, principles, theories, or techniques of medicine.</p>
	<p>03 – Scientific</p> <p>Education or training in the concepts, principles, theories, or techniques of disciplines such as the physical, biological, natural, social sciences; education; economics; mathematics; or statistics.</p>
	<p>04 – Engineering and Architecture</p> <p>Education or training in the concepts, principles, theories, or techniques of disciplines such as architecture and engineering.</p>
	<p>05 – Human Resources</p> <p>Education or training in the concepts, principles, theories of such fields as public administration; personnel; training; equal employment opportunity; human resources policy analysis; succession planning; performance management; classification; and staffing.</p>
	<p>06 – Budget/Finance Business administration</p> <p>Education or training in the concepts, principles, theories of business administration, accounts payable and receivable; auditing and internal control; and cash management.</p>

Training Type Code	Training Type Sub-Code
	<p>07 – Planning and Analysis</p> <p>Education or training in the concepts, principles, theories of systems analysis; policy, program or management analysis; or planning, including strategic planning.</p>
	<p>08 – Information Technology</p> <p>Education and training in the concepts and application of data and the processing thereof; i.e. the automatic acquisition, storage, manipulation (including transformation), management, system analysis, movement, control, display, switching, interchange, transmission or reception of data, computer security and the development and use of the hardware, software, firmware, and procedures associated with this processing. This training type does not include any IT training on agency proprietary system.</p>
	<p>09 – Project Management</p> <p>Education and training in the concepts, principles, theories necessary to develop, modify, or enhance a product, service, or system which is constrained by the relationships among scope, resources, and time.</p>
	<p>10 – Acquisition</p> <p>Education or training in the concepts, principles, theories or techniques related to the 1102 occupation.</p>
	<p>11 – Logistic Specialty</p> <p>Training for professional skills of a specialized nature in the methods and techniques of such fields as supply, procurement, transportation, or air traffic control.</p>
	<p>12 – Security</p> <p>Training of a specialized nature in the methods and techniques of investigation, physical security, personal security, and police science.</p>

Training Type Code	Training Type Sub-Code
	<p>13 – Clerical (Non-supervisory clerical/administrative)</p> <p>Training in skills such as office management, typing, shorthand, computer operating, letter writing, telephone techniques, or word processing.</p>
	<p>14 – Trade and Craft</p> <p>Training in the knowledge, skills, and abilities needed in such fields as electronic equipment installation, maintenance, or repair; tool and die making; welding, and carpentry.</p>
	<p>15 – Foreign Affairs</p> <p>Training for professional skills of a specialized nature in the methods and techniques of such fields as foreign languages, foreign culture, diplomacy, strategic studies.</p>
	<p>16 – Leadership/Manager/Communications Courses</p> <p>Training that address skill areas such as Leadership/Management and Communication (eg., written, oral, and interpersonal) coursework.</p>

Training Type Code	Training Type Sub-Code
<p>02 – Developmental Training Area</p> <p>Description: Formal developmental/training programs.</p>	<p>20 – Pre-supervisory Program</p> <p>Development/training program for non-supervisors.</p>
	<p>21 – Supervisory Program</p> <p>Development/training program which provides education or training in supervisory principles and techniques in such subjects as personnel policies and practices (including equal employment opportunity, merit promotion, and labor relations); human behavior and motivation, communication processes in supervision, work planning, scheduling, and review; and performance evaluation for first-line supervisors.</p>

Training Type Code	Training Type Sub-Code
	<p>22 – Management Program</p> <p>Development/training program which provides mid-management level education or training in the concepts, principles, and theories of such subject matters as public policy formulation and implementation, management principles and practices, quantitative approaches to management, or management planning, organizing, and controlling. (Supervisors of supervisors; GS-14/15 supervisors; GS-14/15 direct reports to Senior Executive Service (SES))</p>
	<p>23 – Leadership Development Program</p> <p>Formal developmental program that provides leadership training and development opportunities.</p>
	<p>24 – SES Candidate Development</p> <p>OPM-approved program to prepare potential SES members.</p>
	<p>25 – Executive Development</p> <p>Continuing development for leaders above the GS-15 level.</p>
	<p>26 – Mentoring Program</p> <p>Formal stand-alone program with established goals, measured outcomes, access open to all who qualify, protégées and mentors paired to facilitate compatibility, training and support provided, company benefits directly.</p>
	<p>27 – Coaching Program</p> <p>Formal stand-alone which provides ongoing partnership with an employee and coach that helps employee produce desired results in professional lives.</p>

Training Type Code	Training Type Sub-Code
<p>03 – Basic Training Area</p> <p>Description: Fundamental and/or required training programs.</p>	<p>30 – Employee Orientation</p> <p>Training of a general nature to provide an understanding of the organization and missions of the Federal Government, or the employing agency or activity, or a broad overview and understanding of matters of public policy.</p>
	<p>31 – Adult Basic Education</p> <p>Education or training to provide basic competencies In such subjects as remedial reading, grammar, arithmetic, lip reading, or Braille.</p>
	<p>32 – Mandated Training</p> <p>Mandatory training for all employees Governmentwide. This includes training required by law and/or regulation; such as ethics, information system awareness, safety, or health.</p>
	<p>33 – Work-life</p> <p>Training to promote worklife (e.g., health and wellness training, employee retirement/benefits training)</p>
	<p>34 – Soft Skills</p> <p>Training involving development of employees’ ability to relate to others (e.g., customer service, effective communication, dealing with difficult people).</p>
	<p>35 – Agency Specific</p> <p>Agency specific required training that is not addressed in Training Program Type 01. This training type includes IT training on agency proprietary system.</p>

Section IV

APPENDICES

Appendix A: Legal and Regulatory Checklist

This checklist covers major training policy references related to the collection and use of training data. This list includes questions to be addressed for each aspect of training policies/ programs. This checklist provides citations relevant to legal and regulatory issues and questions. The citations below are provided from the United States Code (U.S.C.), Executive Order (E.O.) 11348, the Code of Federal Regulations (CFR), and the Treasury Financial Manual (TFM) <http://www.fms.treas.gov/tfm/vol1/index.html>.

Aspect	Questions	Citations
Definition	How do you determine what is training?	5 U.S.C. 4101(4); 5 CFR 410.101(c), (d)
Strategic Plan	How do training strategies contribute to achieving the agency’s mission and goals?	5 U.S.C. 4103; E.O. 11348 §301, §303(d); 5 CFR 410.202
Needs Assessment	How to assess organizational, occupational, and individual training needs?	5 U.S.C. 4103; E.O. 11348 §303; 5 CFR 410.203
Purpose	What is the purpose of training?	5 U.S.C. 4103; E.O. 11348; 5 CFR 410.201(b)
Priorities	How does the agency set priorities for training?	5 U.S.C. 4103(a); E.O. 11348 §303(e); 5 CFR 410.201(c)
Evaluation	How is training evaluated?	E.O. 11348 §301, §303(c), §303(h); 5 CFR 410.601

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Aspect	Questions	Citations
Responsibility	Who is responsible for training and for training expenditures?	5 U.S.C. 4103(a)(2), 5 U.S.C. 4109; 5 CFR 410.401
	Who has the authority to authorize and fund training?	5 U.S.C. 4109; 5 CFR 410.201, 410.401
	Who is responsible for continued service agreements?	5 U.S.C. 4108; 5 CFR 410.309
Selection of Employees	Has the agency honored the merit system principles in selecting employees for training?	5 U.S.C. 2301(b)(2), 5 U.S.C. 4103(a)(3); E.O. 11348 §302(b); 5 CFR 410.302(a)(1)
	Does the agency have criteria for the fair and equitable selection of employees for training?	5 U.S.C. 2301(b); E.O. 11348 §§302(b), 303(i); 5 CFR 410.306(a)
	When must the agency use competitive procedures to select employees for training?	5 U.S.C. 2301(b),(c); 5 CFR 410.307(b)

Aspect	Questions	Citations
Funding and Procurement	Has the agency established a procedure to obligate funds for a training activity? Does the policy :	
	<ul style="list-style-type: none"> • Provide for funding training and specify when funds may be used for training? 	5 U.S.C. 4112, 5 U.S.C. 4109; 5 CFR 410.304
	<ul style="list-style-type: none"> • Specify procedures for budget justifications, expenditures, and activities? 	5 U.S.C. 4112, 4109; E.O. 11348 §301
	<ul style="list-style-type: none"> • Specify procedures to protect the Government’s interest should the employee fail to complete training successfully? 	5 U.S.C. 4118; 5 CFR 410.405
	<ul style="list-style-type: none"> • Specify any agency procedures for paying for training? 	5 U.S.C. 4109; 5 CFR 410.403
	<ul style="list-style-type: none"> • Support the need to maintain a record of payments? 	5 CFR 410.406
	How does the agency track costs when using Government purchase cards to procure training?	TFM Vol.1.4.section 4525 TFM Vol.1.6 section 8085.40

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Aspect	Questions	Citations
Information Systems	Does the agency have information database(s) to address the following:	
	<ul style="list-style-type: none"> • Agency training plans and expenditures? 	5 CFR 410.302(d)
	<ul style="list-style-type: none"> • Training events and individuals trained? 	5 CFR 410.302(d)
	<ul style="list-style-type: none"> • Training of Presidential appointees? 	5 CFR 410.302(b)(2)
	<ul style="list-style-type: none"> • Training to obtain an academic degree? 	5 CFR 410.308(d)
	<ul style="list-style-type: none"> • Training for promotion? 	5 CFR 410.307(a),(b)
	<ul style="list-style-type: none"> • Training for placement in any other positions? 	5 CFR 410.307(c)
	<ul style="list-style-type: none"> • Continued service agreements? 	5 U.S.C. 4108; 5 CFR 410.309
	<ul style="list-style-type: none"> • Payments made for tuition, fees, travel, and other necessary training expenses? 	5 CFR 410.406
	<ul style="list-style-type: none"> • Written authorization of contributions, awards, or payments accepted by a Federal employee from a nonprofit organization? 	5 U.S.C. 4111; 5 CFR 410.501

Appendix B: Information to Consider When Developing a Training Program

Agency training programs should contribute to the overall performance and quality of the workforce. The training program should be a model of innovation and effectiveness that is aligned with Governmentwide HR Line of Business models and concepts (http://www.opm.gov/egov/training_overview.asp). Agencies should consider the following criteria when developing their training programs.

- Align HR employee development programs with agency strategic goals and objectives.
- Describe education and training programs which support the achievement of business objectives, build employee competencies, knowledge, skills, and capabilities, and contribute to improved employee performance.
- Include descriptions/explanations/procedures for the following:
 - How does your education and training approach balance short- and long-term organizational and employee needs, including development, learning, and career progression?
 - How do you design education and training to keep current with business and individual needs such as special skills training and management/leadership development? Include how job and organizational performance are used in education and training design and evaluation.
 - How do you seek and use input from employees and supervisors/managers on education and training needs, expectations, and design?
 - How do you deliver and evaluate education and training? Include formal and informal education, training, and learning, as appropriate.
 - How do you address key developmental and training needs, including diversity training, management/leadership development, new employee orientation, and safety, as appropriate?
 - How do you address performance excellence in your education and training? Include how employees learn to use performance measurements, performance standards, skill standards, performance improvement, quality control methods, and benchmarking, as appropriate.

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- How do you reinforce competencies (i.e., knowledge, skills, and abilities) on the job?
- How do you leverage existing interagency or commercial training programs to reduce redundancy and lower costs?

Appendix C: Training Information System Checklist

Responses to this checklist will provide insight concerning the need to add or modify a system to ensure it is capable of collecting, managing, and analyzing training data to best serve agency needs.

- Is there a single person responsible for the design of controls and maintenance of training data? Who?
- Are processes for collecting and compiling data documented? How?
- Does the process for collecting training data ensure the data is complete? How?
- Is the training data information system integrated with (have sufficient interoperability and interface capability) other agency information systems to provide management with timely and comprehensive reports on your program performance relative to established objectives?
- Are mechanisms and incentives in place for HR specialists to provide recommendations for process/system improvements?
- Is senior management informed and aware of your training program's actual performance? How and how often?
- Do you have enough information to determine and monitor workforce changes that impact your objectives?
- Do you have enough information to determine and monitor the achievement of your agency workforce objectives and goals?
- Are you able to extract/analyze data to respond to internal and external requests in a timely and effective manner?
- Do employees have the capability to review their personal training information/data in the agency system?
- Do employees know what actions to take when they find mistakes or gaps in data? What are those actions?

- Does the responsible person for the training data system review the data integrity/completeness at regular intervals? How often?

Appendix D: Sample List of Training Measurement Tools

A complete and useful Learning Management System (LMS) requires determining an agency's evaluation approach and identifying meaningful measures for its customers, organization, and employees. The results of these measurements/evaluations should be included in the LMS to help agencies respond to oversight requests like those listed in Appendix A, Legal and Regulatory Checklist.

To determine the most useful measurement tools and evaluation strategies, the agency should work with key managers to understand their internal information requirements. What do they see as the most significant needs? Where would they like to see the emphasis? What are their expectations in 1 year, 3 years, and beyond? Once the needs are understood, the agency may use a combination of the following tools to conduct an evaluation and gather the data needed:

- Interviews or baseline assessments. These establish a starting point and may include:
 - Mechanical aptitude tests;
 - Rejection rates;
 - 360 degree feedback sessions; and
 - Career development assessments and feedback tools.

- Evaluation of training. This identifies skills and competency gaps and may include:
 - Performance appraisal reports;
 - Balanced scorecard;
 - Performance metrics; and
 - Kirkpatrick 4 level evaluation model.
 - Reaction - what the trainee thought and felt about the training
 - Learning - the resulting increase in knowledge or capability
 - Behavior - extent of behavior and capability improvement and implementation/application
 - Results - the effects on the business or environment resulting from the trainee's performance

- General measures to help management understand how training has helped the organization. This may include:
 - Time to proficiency (how much quicker an individual performs at a competent level because of training);
 - Improvement of decision-making capability; and
 - Overall understanding of the organization (orientation measure).
- Questions to continually ask:
 - What business results should training support (cost cutting, operational efficiencies, process improvements);
 - What competencies (i.e., knowledge, skills, and abilities) should be improved upon; and
 - How can you determine if the training met customer and senior managers' expectations?

Appendix E: Oversight Questions to Consider

In recent years, a number of external entities (such as the Government Accountability Office (GAO) and Congress) have required agencies to provide training information detailing:

- How much training takes place;
- How well training meets or assists the agency in meeting its goals and objectives; and
- How well agencies are monitoring use of training resources.

Implementing systems and controls to collect the type of data requested in these oversight questions not only strengthen the agency training program but also support the business case for investment in training.

Examples of data requests from external entities are listed below.

A. Design

- How does the agency identify the skills (or competencies) needed by its employees to successfully perform the agency's mission and strategic goals?
- How does the agency measure the extent to which its employees have the skills (or competencies) identified as necessary for performing its mission and strategic goals?
- How does the agency plan to use training to address any gaps between needed and existing levels of employees' skills (or competencies)?
- What priorities, if any, has the agency established for training its employees and why?
- What criteria does the agency use in deciding whether to use internal versus external sources of training?

B. Implementation

- Does the agency have curriculum for developing employees' skills? How was the curriculum determined?
- Does the agency require that staff meet certain training requirements, such as completing training on specific topics or completing a specified number of hours?
- How does the agency develop such requirements?
- How does the agency ensure sufficient training slots are available to meet employees' needs regarding the skills (or competencies) identified as necessary for performance of the agency's mission and strategic goals?
- How does the agency determine its training budget?
- From what sources does the agency fund its training program?
- How does the agency determine the cost of providing training to its employees?
- What cost components (e.g., design, facilities and materials, participant time away from work, travel, and contractor fees) are included?

C. Employee training activities

- Is the agency's employee training budget adequate to execute its mission and meet its performance goals?
- Could the agency make effective use of additional training resources? If so, how?
- Describe how the agency's training activities relate to the planning and performance requirements of the Government Performance and Results Act.
- Include evaluations and measures of the effectiveness of training, the effect to which training is targeted to skills (or competencies) needed to improve the performance of the individual and the agency, and if training is meeting short- and long-range program goals by occupation, organization, or other appropriate groups.
- Provide the agency's overall employee training strategy.

- List the total number of employees in the agency and their occupations.
- List the number of employees at the agency and their occupations who received training in Fiscal Year (FY) XXXX and FY XXXX and their percentage of the agency's total workforce.

D. Evaluation

- Who or what office within the agency is accountable for evaluating the agency's training programs?
- How does the agency track the specific training completed by individual employees, particularly related to any training curricula or requirements?
- How does the agency measure the extent to which its training programs contribute to increased employee skills (or competencies) and improved performance of agency mission and strategic goals?

E. Agency's budget activities

- The agency's preliminary budget request to OMB and the final request to Congress for employee training for fiscal years XXXX-XXXX: in both cases, indicate the percentage of the agency's budget this represents.
- The agency's actual appropriation for employee training for fiscal years XXXX-XXXX: indicate the percentage of the agency's budget this represents.
- The agency's forecasted budget request for employee training for fiscal years XXXX and XXXX: indicate the percentage of the agency's budget this represents.
- Is the employee training request a separate line item in the budget or is it included in another account? If it is included in another account, please identify which one.
- List the above expenses for employee training, where appropriate, by the various offices and bureaus of the agency, and by travel, tuition, fees, and other necessary expenses, where appropriate and possible.

- List the training and orientation activities for Presidential appointees.
- Identify all memoranda of understanding with other agencies, regarding training in crosscutting areas.
- Identify all contractors used to implement training activities and the nature of those training activities. Please consider colleges and universities as contractors for these purposes.

F. General workforce development questions

- Some employees are hired with the necessary core skills (or competencies) to perform their jobs. What percentage of the agency workforce fits this description? Please explain.
- What percentage of the workforce develops part or all of the core skills necessary for their positions at the agency? Please explain.
- What percentage of the workforce requires training to maintain and enhance their core skills? Please explain.
- Is the agency initiating any new employee training activities for its current programs? If so, please list and describe them.
- Is the agency initiating any new employee training activities for its new programs, if any? If so, please list and describe them.

Appendix F: Frequently Asked Questions

1. Are agencies required to collect training data?

Yes. Section 4118 of title 5, United States Code (5 U.S.C. 4118), authorizes OPM to “prescribe regulations... for the maintenance of necessary information concerning the general conduct of the training activities of each agency, and such other information as is necessary to enable the President and Congress to discharge effectively their respective duties and responsibilities.” These regulations are in part 410 of title 5, Code of Federal Regulation

2. What are the training data elements required to be collected by agencies?

Section III of this Guide, Common Data Elements, Definitions, and Reference Codes, lists the core data elements that are required. Additional information about the data elements can be found in Table 3-I of the *Guide to Personnel Recordkeeping*, (www.opm.gov/feddata/persdoc.asp) and in Chapter 4 and Appendix A of the *Guide to Human Resources Reporting*, (www.opm.gov/feddata/guidance.asp).

3. Is there a requirement to report training information to OPM?

Yes, 5 U.S.C. 4115, 5 U.S.C. 4118, and newly published 5 CFR 410.701 (Vol.71.No.95, Wednesday, May 17, 2006), authorize OPM to require agencies to report information concerning training programs and plans.

4. Must training data be in an electronic information system?

Yes. Agencies are required to have the capability of providing training information electronically to OPM and oversight agencies as specified in 5 U.S.C, Chapter 41, 5 CFR 410 and newly published 5 CFR 410.701 (Vol.71.No.95, Wednesday, May 17, 2006). It is important for the electronic system to have inter-operability capabilities to obtain the data available from other agency information systems, (e.g., financial systems and/or personnel/payroll systems). Interoperability capability enhances data collection methods and the depth of training information systems for compliance with reporting requirements.

5. What options does an agency have to establish an electronic information system?

Agencies may develop and establish their own in-house system or they may procure a Learning Management System from an approved service provider. In either case, agencies should ensure their business case includes a linkage between strategic goals and objectives and the resources needed to achieve them.

6. Where can agencies find information about a Learning Management System or an approved service provider?

Agencies can obtain information about LMS and approved service providers from USA Learning, the official learning and development site for the U.S. Federal Government at <http://www.usalearning.gov>.

7. Is there more information about managing/analyzing training data?

One can find more information about managing/analyzing training data in OPM's *A Guide to Strategically Planning Training and Measuring Results* at <http://www.opm.gov/hrd/lead/Pubs/pubs.htm>

Additional information and examples on workforce planning can be found on the following websites.

- Department of the Health and Human Services (HHS) *Building Successful Organizations* workforce planning model, provides HHS with guidance and information on all aspects of workforce planning. The HHS model can be found at <http://www.hhs.gov/ohr/workforce/wfpguide.html>
- U.S. Department of Transportation's (DOT) *Workforce Planning Guide* provides department-wide policy, guidance, leadership, planning, and consulting information for workforce planning. The DOT guide can be found at http://dothr.ost.dot.gov/HR_Programs/Workforce_Planning/guide_complete.doc
- The Federal Highway Administration (FHWA) *Workforce Planning and Professional Development Task Force Final Report: Positioning FHWA for the Future*, was developed to ensure that FHWA has trained, dedicated, and motivated employees who can deliver the agency's vision, mission, and goals into the future. The FHWA report can be found at http://safety.fhwa.dot.gov/training/pro_over.htm
- The Department of the Interior (DOI) *Right People, Right Place, Right Time*, workforce planning guide, defines workforce planning and benefits. The guide also discusses related topics such as skill and competency assessment, strategic planning, and work planning objectives. The DOI guide can be found at <http://www.doi.gov/hrm/workforceplanning.html>