UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

GUIDE FOR COLLECTION AND MANAGEMENT OF TRAINING INFORMATION

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Section I
INTRODUCTION

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

On May 17, 2006, OPM issued final regulations requiring agencies to report accurate data and completed training events to OPM (http://www.opm.gov/cfr/fedregis/2006/71-051006-28547-a.pdf). To facilitate compliance with to the regulation, OPM's training policy office, part of the Strategic Human Resource Policy (SHRP) Division, has participated in and hosted meetings, forums and information sessions to help agencies interpret and understand the requirement. This guide was developed to assist human resources (HR) professionals and agency program managers who have the responsibility to collect and report training activities. Information technology (IT) staff assisting HR staff to implement training information or learning management systems (LMS) also may find this guide useful.

There have been a number of changes in recent years aimed at improving data collection efforts, from legislation to implementation of the OPM Governmentwide system. There is also a Strategic Management of Human Capital Initiative that focuses on five Human Capital Systems 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 their mission objectives and strategic goals. In addition, all training must be properly evaluated to determine whether or not it provides meaningful contributions to agency results.

Section II

COLLECTING AND MANAGING TRAINING INFORMATION

Compliance with Laws and Regulations

Federal law requires agencies to maintain information to respond to specific questions about their training programs. The Government Employees Training Act (GETA) is the most comprehensive piece of 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 on training and training information 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), the source of training funds, time spent taking training, and subcategories of time spent on duty and off duty (see Section III, Mandatory Governmentwide Training Data Elements and Definitions; and Appendix F, Provision of Cost Data).

● **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. This information is available from agency Human Resources 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: process indicators and outcome indicators. An effective training information system must be able to collect and report on both types of performance measures:

● *Process indicators* measure performance or key processes. 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 measurements 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."* Contact hrdleadership@opm.gov to request this document.

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 182 (SF-182), *Authorization, Agreement, and Certification of Training*, and the Standard Form 52 (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 Governmentwide Data Warehouse provides storage, access, and exchange of standard electronic human capital information, including core training information. Some agencies maintain "skills banks" or "skill inventories" (i.e., information about employee competencies, knowledge, skills, and abilities) that could be a useful source of training related information.

● **Procurement documents**. Agencies can procure training through interagency agreements, credit cards, purchase orders, and contracts. The documentation associated with every procurement mechanism provides valuable information about agency training. Under typical negotiated procedures, the SF-182 or equivalent is authorized for use to obligate funds, contract for training, and certify payment of approved training expenses for a single training event, program or instructional service that does not exceed the simplified acquisition process dollar limit established by the General Services Administration (FAR 13.003[b][1]). 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. One training methodology agencies can use is Kirkpatrick's Evaluation Model of reaction, learning, performance and impact of training (See Appendix D). The cases described 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 Federal 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, 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 (e.g. 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 the agency is effectively managing strategic assets.

Some information requested by external organizations 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 an agency captures the type of data typically requested from external inquiries concerning training program management design, implementation, and training effectiveness and efficiency. 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 calculate the percentage of technology-based training delivered through e-Training?
- How does the agency track National Security Professional/competencies?

Appendix E, Oversight Questions to Consider, contains sample questions 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:

MANDATORY DATA ELEMENTS AND DEFINITIONS

The data elements and definitions in this table are taken from Chapter 4 of the Guide to Human Resources Reporting *(http://www.opm.gov/feddata/ghrr/index.asp)*. These mandatory data elements and more detailed definitions can also be found on the SF-182, Authorization, Agreement and Certification of Training. 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 Appendix A of the *Guide to Human Resources Reporting*, (http://www.opm.gov/feddata/ghrr/index.asp).

It is important to know that "c*ompleted event data is required"* for submission to OPM and on the Standard Form 182.

MANDATORY GOVERNMENT-WIDE TRAINING DATA ELEMENTS AND DEFINITIONS

Data Element Name	Definition
SSN	Employee's social security number
Birth Date	Date on which the employee was born
Agency sub element code	Agency and, where applicable, the administrative sub-division (i.e. sub element) in which a person is employed
Training title	Official title or name of the course or program completed by the employee
Training type code	Code indicating the type of training completed by the employee
Training sub-type code	Code indicating the sub-type of training completed by the employee
Training start date	Start date of the training completed by the employee
Training end date	End date of the training completed by the employee
Continued service agreement expiration date	Date the continued service agreement expires
Continued service agreement required indicator	Indicates whether or not a continued service agreement is required for the training
Training accreditation indicator	Indicates whether or not the training course offers accreditation
Training credit	Number of hours, credits or CEUs earned for the completed training
Training credit designation type code	Code indicating the type of credit hours or

Data Element Name	Definition
	continuing education units earned by the employee for the completed training
Training credit type code	Code indicating the type of credit hours the employee received for the completed training
Training duty hours	Number of duty hours the employee used to complete the training
Training non-duty hours	Number of non-duty hours the employee used to complete the training
Training delivery type code	Code indicating delivery of the completed training
Training purpose type code	Code indicating the purpose of the completed training
Training source type code	Code indicating the source of the completed training
Training materials cost	Cost to the Government for training materials used during the training; these direct costs can include, but are not limited to: books, software supplies and equipment purchases or rentals
Travel indicator	Indicates whether travel was required
Training per diem cost	Per diem costs paid to the employee to include, meals, lodging, and other miscellaneous expenses
Training travel cost	Cost for travel related expenses (excluding per diem) such as mileage payments, airfare, and taxi costs
Training tuition and fees cost	Cost of tuition and fees for the completed training
Training non-government contribution cost	Cost contributed by the employee or other non-government organizations for the completed training

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 and 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 is training defined?	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 can organizational, occupational, and individual training needs be assessed?	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
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

Aspect	Questions	Citations
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)
Funding and Procurement	Has the agency established a procedure to obligate funds for a training activity? Does the policy :	
	• 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
	• Specify procedures for budget justifications, expenditures, and activities?	5 U.S.C. 4112, 4109; E.O. 11348 §301
	• 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
	• Specify agency procedures for paying for training?	5 U.S.C. 4109; 5 CFR 410.403
	• 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
Information Systems	Does the agency maintain data to address the following:	
	• Agency training plans and expenditures?	5 CFR 410.302(d)
	• Training events and individuals trained?	5 CFR 410.302(d)

Aspect	Questions	Citations
	• Training of Presidential appointees?	5 CFR 410.302(b)(1)
	• Training to obtain an academic degree?	5 CFR 410.308(d)
	• Training for promotion?	5 CFR 410.307(a),(b)
	• Training for placement in any other positions?	5 CFR 410.307(c)
	• Continued service agreements?	5 U.S.C. 4108; 5 CFR 410.309
	• Payments made for tuition, fees, travel, and other necessary training expenses?	5 CFR 410.701
	• 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 (http://www.opm.gov/egov/documents/architecture). 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.

  - 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 an agency to determine its evaluation approach and identify 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.

First, organizations need to conduct a developmental needs assessment. To determine the most useful measurement tools and training evaluation strategies, the agency should work with key managers to understand their 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?
  - 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. Training 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 a 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 performing 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 extent 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 training completed by individual employees, particularly related to any mandatory training curricula or requirements?

- How does the agency measure the extent to which its training programs contribute to increased employee skills and improved organizational performance?

E. Agency's training 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: Provision of Cost Data

As mentioned above, on May 17, 2006, the U.S. Office of Personnel Management (OPM) issued final regulations requiring agencies to report accurate data for completed training events to OPM (http://www.opm.gov/cfr/fedregis/2006/71-051006-28547-a.pdf). One identified challenge to agencies was the regulatory requirement for reporting accurate costs. Because many agencies have expressed a concern about their ability to fully comply with this area of the regulation, OPM allowed an interim solution.

Reporting of actual cost data is required and encouraged, however, OPM is willing to temporarily accept estimates of all required training costs with the understanding agencies are actively working towards full compliance in providing actual cost data. OPM understands full compliance may require either full integration of agency training tracking systems with agency financial systems or some other means whereby training costs can be accurately reported to OPM.

To facilitate the provision of estimated cost data, OPM is providing this guidance on various strategies agencies can consider in reporting the different types of training costs on a per employee basis.

SAMPLE TRAINING EVENTS AND CORRESPONDING RECORDS

The following are sample training events and possible ways costs associated with those events can be estimated and reported to OPM. These samples were created based on agency feedback identifying these training scenarios as the most challenging in providing a cost estimate. Those agencies who can apply these solutions are encouraged to do so. However, these samples do not represent every training event nor do they represent every possible solution. In addition, given the varied capabilities of agency Learning Management Systems (LMS) and other training tracking systems; as well as the unique business processes in place within each agency, these sample solutions may not be applicable or feasible within some agencies. In the event a particular training scenario or event is not addressed here or the recommended solution is not feasible, these samples may be used to help generate ideas for estimating training costs that will work within the agency. Your training or LMS vendor will be a possible resource, as well.

Each sample starts with a description of a possible training scenario. Then, the sample provides a summary of the scenario and the information one would use in some of the 27 required data elements. Next, listed under the cost information, is the training record with the required fields completed. Some of the cost fields within the records may have additional information in parentheses to help explain how those particular costs were derived. The last sample, sample "E", is a description of how overhead/development costs should be reported to OPM. All course development and overhead costs should be reported to OPM but, until agency systems and processes can readily provide these costs agencies should (at a minimum) report LMS costs, online library costs and commercial-

off-the-shelf (COTS) costs, once a year. Sample E describes how an agency should report these overhead costs. In total, overhead or development costs are any costs associated with developing a course such as contractor costs or, if in-house, salary of agency staff to develop the course, building space, utilities, furniture, and any other indirect costs not associated with course delivery. Agencies should strive to report all of these costs.

Sample A: Training Event

Training scenario: This learner works in a Federal Agency in Washington, DC and has been approved, by completing an SF-182, to attend a 3-day Program Management course, given by a non-Government vendor. The course is accredited by the Project Management Institute. The cost of the training is $700 and includes material, books and instructor fees. The training is in New York City. The learner flew round trip to NYC at an estimated cost of $250 and incurred $50 in taxi fares. The learner is taking this course to improve his present performance on the job. Below is how the completed training event may be reported to OPM:

Today's Date: 12/20/2007
Training Title: Program Management
Attendees: 1
Training Start Date: 12/13/2007
Training End Date: 12/15/2007
Location: New York, New York
Government funding required: Yes
Method of payment/ approval: SF-182
Tuition and Fees (this cost does not include travel and per diem): $700.00

Cost information needed to complete the record:
- Total cost of training event
- Travel cost information

Person responsible for providing the above information:
- Employee and/or vendor
- Travel information/Employee

Training Data Element	Value	Comments
Training title	Project Management	
Training type code	01	
Training sub type code	09	
Training start date	2007-12-13	
Training end date	2007-12-15	
Continued Service agreement expiration date		Left blank because CSA required indicator is N or NA
Continued service	N	

agreement required indicator		
Training accreditation indicator	Y	
Training credit	3	
Training credit designation type code	03	
Training credit type code	03	
Training duty hours	20	
Training non-duty hours	0	
Training delivery type code	01	
Training purpose type code	03	
Training source type code	03	
Training materials cost	0.00	
Training per diem cost	100.00	Cost for meals and lodging
Travel indicator	Y	
Training travel cost	300.00	Cost of plane ticket and taxis to travel to and from the hotel and training site
Training tuition and fees cost	700.00	Cost of the course
Training non-government contribution cost	0.00	

* If the agency LMS is event based, estimated costs (tuition and fees, materials, travel, etc.) can be averaged across total number of participants and may be prepopulated.

Sample B: Training Event

Training scenario: This learner works in a Federal agency in Washington, DC and has been approved, by completing an SF-182, to attend a 1-week Eastern Management Development Center (EMDC) residence course on leadership as part of a developmental assignment. The learner drove to the training course. The estimated cost of the training is $2400. All expenses, except travel, are covered in the fee including lodging and meals. This is how the completed training event may be reported to OPM:

Today's Date: 01/22/2007
Training Title: Contemporary Leadership Issues
Attendees: 1
Training Start Date: 01/14/2008

Training End Date: 01/18/2008
Location: Shepherdstown, West Virginia
Government funding required: Yes
Method of payment/ approval: SF-182
Tuition and Fees (this cost does not include travel and per diem): $2400.00

Cost information needed to complete the record
- Total estimated cost of training event
- Travel information

Person responsible for providing the information
- Employee and/or vendor
- Employee

Training Record for the above event

Training Data Element	Value	Comments
Training title	Contemporary Leadership Issues	
Training type code	02	
Training sub-type code	23	
Training start date	2008-01-14	
Training end date	2008-01-18	
Continued service agreement expiration date		Left blank because CSA required indicator is N or NA
Continued service agreement required indicator	N	
Training accreditation indicator	N	
Training credit	0	
Training credit designation type code		Left blank because Training credit is "0"
Training credit type code		Left blank because Training credit is "0"
Training duty hours	20	
Training non-duty hours	0	
Training delivery type code	04	
Training purpose type code	03	
Training source type code	03	
Training materials cost	0.00	
Training per diem cost	0.00	
Travel indicator	Y	
Training travel cost	300.00	Gas mileage for the

Training Data Element	Value	Comments
		learner's personal vehicle
Training tuition and fees cost	2400.00	Meals and lodging are included in this cost
Training non-government contribution cost	0.00	

Sample C: Training Event

Training scenario: An agency is providing an on-site training course that can accommodate up to 25 people. An outside vendor will come to the agency to provide the training. The cost is $5000 and includes books and the instructor's fee. This is a one-day course. Only 20 people attend. This is how the completed training event may be reported to OPM for each individual learner:

Today's Date: 01/24/2007
Training Title: Data Collection Techniques
Attendees: 20
Training Start Date: 01/22/2008
Training End Date: 01/22/2008
Location: On-site
Government funding required: Yes
Method of payment/ approval: Contract
Tuition and Fees (this cost does not include travel and per diem): $5000.00

Cost information needed to complete the record
- Total estimated cost of training event
- Number of attendees

Person responsible for providing the information
- Vendor or Event coordinator
- Instructor or Event coordinator

Training Record for the above event

Training Data Element	Value	Comments
Training title	Data Collection Techniques	
Training type code	01	
Training sub-type code	09	
Training start date	2008-01-22	
Training end date	2008-01-22	
Continued service		Left blank because CSA

Training Data Element	Value	Comments
agreement expiration date		required indicator is N or NA
Continued service agreement required indicator	N	
Training accreditation indicator	N	
Training credit	0	
Training credit designation type code		Left blank because Training credit is "0"
Training credit type code		Left blank because Training credit is "0"
Training duty hours	8	
Training non-duty hours	0	
Training delivery type code	01	
Training purpose type code	05	
Training source type code	03	
Training materials cost	0.00	
Training per diem cost	0.00	
Travel indicator	N	
Training travel cost	0.00	
Training tuition and fees cost	250.00	$5000 / 20 attendees
Training non-government contribution cost	0.00	

Sample D: Training Event

Training scenario: An agency is providing a one day course for its employees that can accommodate up to 25 people. This course will be hosted off-site at a local hotel. An outside vendor will provide the training. The cost is $5000 for the course (includes books and instructor fee) and $4000 for the hotel (includes room, lunch and refreshments) for a total of $9000. This learner has traveled from a field office to attend the training. This is how the completed training event may be reported to OPM:

Today's Date: 01/24/2007
Training Title: Program Evaluation
Attendees: 25
Training Start Date: 01/23/2008
Training End Date: 01/23/2008

Location: Off-site
Government funding required: Yes
Method of payment/ approval: Contract
Tuition and Fees (this cost does not include travel and per diem): $5000.00

Cost information needed to complete the record
- Total estimated cost of training course, hotel and meals
- Number of attendees

Person responsible for providing the information
- Vendor or Event coordinator
- Instructor or Event coordinator

Training Record for the above event

Training Data Element	Value	Comments
Training title	Data Collection Techniques	
Training type code	01	
Training sub-type code	09	
Training start date	2008-01-22	
Training end date	2008-01-22	
Continued service agreement expiration date		Left blank because CSA required indicator is N or NA
Continued service agreement required indicator	N	
Training accreditation indicator	N	
Training credit	0	
Training credit designation type code		Left blank because Training credit is "0"
Training credit type		Left blank because Training credit is "0"
Training duty hours	8	
Training non-duty hours	0	
Training delivery type code	01	
Training purpose type code	05	
Training source type code	03	
Training materials cost	0.00	
Training per diem cost	300.00	Meals and lodging
Travel indicator	Y	
Training travel cost	450.00	Cost of plane ticket and taxis to and from the training site
Training tuition and fees	360.00	$9000 / 25 attendees

Training Data Element	Value	Comments
cost		
Training non-government contribution cost	0.00	

Sample E: Training Records

Overhead or development costs are any costs associated with developing a course such as contractor costs or, if in-house, salary of agency staff to develop the course, building space, utilities, furniture, and any other indirect costs not associated with course delivery. Agencies should strive to report all of these costs. However, until agency systems and processes can readily provide these costs agencies should report overhead as the cost of the LMS, online libraries (eLearning package), employee licenses and any other Commercial off the shelf (COTS) products procured for training.

Training scenario: This agency has procured an eLearning package for the Fiscal year. The total cost of the courseware e-learning package for the fiscal year is $100,000. The agency's learning management system has an annual operational cost of $200,000 which includes employee licenses ($10,000), hosting, and related services involved with directly supporting the learning management system. To report overhead/development costs of the on-line and other training associated with the agency LMS, this agency should provide a record to OPM for the estimated costs of the LMS, the eLearning package employee licenses. These three records must be provided to OPM by the end of the fiscal year in which the products were procured (October file). Although all fields will be provided, only 9 fields will be populated in each file:

- **Record Action**: Indicates this record will be added to the agency submission records: **A**
- **Social Security Number**: The 9 digit number to be used ONLY for these costs**: 000-00-0000**
- **Agency sub element code**: The sub element code assigned to the purchasing agency: **XX00**
- **Training Title**: The overhead/development component represented in this file: **LMS, eLearning package or employee licenses**
- **Training type code**: The 2 digit number to be used ONLY for these costs: **00**
- **Training sub-type code**: The 2 digit number to be used ONLY for these costs: **00**
- **Start Date**: "As of" date for which individual training can be associated with this record
- **End Date**: "No later than" date for which individual training can be associated with this record
- **Training materials cost**: The overhead/development cost of the component represented in this file: **$300,000**

At the end of the fiscal year, three records will be supplied related to these overhead costs:
1. The estimated annual cost information associated with employee licenses
2. The estimated annual cost information associated with the eLearning package
3. The estimated annual cost information associated with the learning management system

The following records would be submitted:

Training Record for employee licenses

Training Data Element	Value	Comments
Record Action	A	Indicates this record will be added to the agency file
Social Security Number	000-00-0000	This number indicates this is an overhead cost
Agency sub element code	XX00	
Training title	Licenses	
Training type code	00	This code indicates this is an overhead cost
Training sub-type code	00	This code indicates this is an overhead cost
Training start date	2007-09-30	"As of" date for which individual training can be associated with this record
Training end date	2008-09-30	"No later than" date for which individual training can be associated with this record
Continued service agreement expiration date		
Continued service agreement required indicator		
Training accreditation indicator		
Training credit		
Training credit designation type code		
Training credit type code		
Training duty hours		
Training non-duty hours		

Training Data Element	Value	Comments
Training delivery type code		
Training source type code		
Training materials cost	10000.00	Estimated cost of employee licenses
Training per diem cost		
Travel indicator		
Training travel cost		
Training tuition and fees cost		
Training non-government contribution cost		

Training Record for the eLearning package

Training Data Element	Value	Comments
Record Action	A	Indicates this record will be added to the agency file
Social Security Number	000-00-0000	This number indicates this is an overhead cost
Agency sub element code	XX00	
Training title	eLearning package	
Training type code	00	
Training sub type code	00	
Training start date	2007-09-30	"As of" date for which individual training can be associated with this record
Training end date	2008-09-30	"No later than" date for which individual training can be associated with this record
Continued service agreement expiration date		
Continued service agreement required indicator		
Training accreditation indicator		
Training credit		
Training credit designation type code		
Training credit type code		

Training Data Element	Value	Comments
Training duty hours		
Training non-duty hours		
Training delivery type code		
Training source type code		
Training materials cost	100000.00	Estimated cost of the eLearning package
Training per diem cost		
Travel indicator		
Training travel cost		
Training tuition and fees cost		
Training non-government contribution cost		

Training Record for the Leaning Management System

Training Data Element	Value	Comments
Record Action	A	Indicates this record will be added to the agency file
Social Security Number	000-00-0000	This number indicates this is an overhead cost
Agency sub element code	XX00	
Training title	Agency LMS	
Training type code	00	This code indicates this is an overhead cost
Training sub-type code	00	This code indicates this is an overhead cost
Training start date	2007-09-30	"As of" date for which individual training can be associated with this record
Training end date	2008-09-30	"No later than" date for which individual training can be associated with this record
Continued service agreement expiration date		
Continued service agreement required indicator		
Training accreditation		

indicator		
Training credit		
Training credit designation type code		
Training credit type code		
Training duty hours		
Training non-duty hours		
Training delivery type code		
Training source type code		
Training materials cost	190000.00	Estimated cost of the LMS
Training per diem cost		
Travel indicator		
Training travel cost		
Training tuition and fees cost		
Training non-government contribution cost		

Appendix G: Frequently Asked Questions

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1. Are agencies required to collect training data and report it to OPM?
Yes. Section 4118 of title 5, United States Code (5 U.S.C. 4118) and title 5 CFR 410, 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."

2. What are the training data elements required to be collected by agencies?
Section III of this Guide, Mandatory Data Elements and Definitions, lists the 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. Which training should always be reported to EHRI?
- All courses, workshops and conferences paid for by the Government;
- All federally mandated training; and,
- All agency required training.

4. Which training does not need to be reported to EHRI?
- Training that occurs spontaneously or casually/incidentally (e.g., reading a book, having a discussion, web casts, briefings, etc.);
- Training that has no specified training goals;
- Training where there are no ways to evaluate if the training improved knowledge, skills, abilities or competencies; and,
- Training that was not paid for by the Government.

5. At which degree of formality should on-the-job training be reported to EHRI?
Report on-the-job training when the training has specified training goals, is suggested or directed by a supervisor/manager and takes place in a working situation using the actual equipment, documents, or materials that the employee will use when capable of performing the job. The level of expectation is that employees, when engaged in this training, will not be productive workers in this area.

6. 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.

7. What options does an agency have to establish an electronic information system?
Agencies may procure a Learning Management System (LMS) from an OPM approved service provider or they may develop and establish their own in-house system. In either case, agencies should ensure their business case includes a linkage between strategic goals and objectives and the resources needed to achieve them.

8. Where can agencies find information about a Learning Management System or an approved service provider?
Agencies can obtain information about LMSs and approved service providers from USALearning, the official learning and development site for the U.S. Federal Government at http://www.opm.gov/egov/e-gov/e-training/index.asp .

9. 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*. Contact hrdleadership@opm.gov to request this document.

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

- OPM's *5 STEP WORKFORCE PLANNING MODEL* was developed by the Human Resources Management Council. OPM provides up-to-date information on workforce planning. The OPM model can be found at http://www.opm.gov/hcaaf_resource_center/assets/Sa_tool4.pdf

- 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/guide.pdf

- 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

10. How are training costs captured from the SF-182?

Agencies can consider capturing training costs from the SF-182 electronically by incorporating the form into an agency training tracking system or manually entering the cost of the training into the agency system after the training is completed.

11. How is cost data reported for training not captured on an SF-182?
As employees may want to keep both formal and informal training (training not captured on an SF-182) as part of their training record, agency internal processes should provide for the tracking of training that is not captured on an SF-182. Agencies may consider allowing the individual employee or a designated individual/s to enter the training into the agency training tracking system or LMS after the training is completed.

12. What is a training event?
A training event is a course, workshop or other form of educational activity where the goal is to improve an individual's knowledge, skills, abilities, and competencies. A training event has a beginning and an end date.

13. When is training considered completed?
Training is considered completed when the individual completes the course and the training record (including updates to the financial transactions associated with the training) is documented as a completion. That completed training event can then be reported to OPM.

14. What is meant by "overhead" costs?
Overhead costs are any costs associated with developing a course such as contractor costs or, if in-house, salary of agency staff to develop the course, building space, utilities, furniture, and any other indirect costs not associated with course delivery. Ideally, these costs will be factored into individuals' training reported to OPM, however, for now agencies may consider overhead as the cost of the LMS, online libraries and Commercial off the shelf (COTS) products procured for training. Agencies should report these overhead costs as prescribed in sample E of appendix F.

15. Do agencies have to track overhead costs?
Yes. Overhead costs for the agency LMS, online libraries and COTS products should be tracked.

16. Where within the cost elements should overhead costs be reflected?
When overhead costs are reflected, agencies have the option of including them in either "materials" or within "tuition and fees".

17. How do agencies generate overhead cost information reliably and accurately?
Agencies may consider evenly distributing the total cost of overhead (course development) to each individual participating in the training event or as prescribed in sample E of this Appendix

18. How do you reliably and accurately track instructor costs and roll that into the cost of the course?

Instructor costs are considered "course delivery" costs and be included in tuition and fees.

19. What are examples of training materials cost?
Training materials costs are direct costs like, books, paper, pencils, folders, and any items purchased for the course and required by the instructor for the individual to fully participate in the course.

20. How do you report training costs accurately if training is part of a larger contract (effort)?
It is not necessary to include training costs associated with larger contracts. For example, the cost of employee training on a new agency financial or reimbursement system does not need to be reported to OPM.

21. How do agencies amortize training costs in a particular OPM field?
There are several ways in which group and agency wide training can be amortized. Agencies may consider the total cost of the training, the average number of courses per employee and the total number of employees in calculating an estimated cost for each instance of training (See sample training events on pages 20 thru 31 of this appendix).

22. How is a per-employee cost determined accurately and reliably for bulk purchases where the exact number of usages is unknown?
When bulk purchases not specifying an exact number of usages are made, agencies may consider assigning per-employee costs by using trend data to estimate an approximate number of usages per employee and equally dividing the total cost among users up to some determined period of time (see sample E of appendix F).

23. Should equipment costs be considered as part of training costs?
Equipment purchased and required for the training may be considered in the costs to deliver the course and, therefore, reflected within "tuition and fees."

24. How are actual costs determined from the e-travel system when that data is not readily available?
Actual cost data from the e-travel system is preferred and can be captured before reporting the training to OPM but cost estimates are acceptable if timely collection of cost data from the system is not feasible.

25. How is training associated with certifications and career development programs reported?
All training within certification and career development programs (i.e., SES CDP, ELDP, etc) should be reported to OPM as separate training events.