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ASSISTANCE TO THE DEVELOPMENT OF THE REVENUE SERVICE HR DEPARTMENT

AND FOLLOW-UP TO THE EPI TRAINING NEEDS ASSESSMENT

FINAL

Monday, November 28, 2011

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USAID ECONOMIC PROSPERITY INITIATIVE (EPI)

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ABSTRACT

This report presents an overview of the assistance the EPI program has provided to strengthen the infrastructure of the HR department of the RS in the areas of developing job descriptions, knowledge requirements for each job, skill sets, and behavioral characteristics. It follows up on a Training Needs Assessment conducted by EPI at the Revenue Service of Georgia in June 2011. The TNA not only identified gaps in knowledge, skills, and attitudes of employees within the Revenue Service but also identified the need for the Human Resource department to develop a strong infrastructure based on international best practices. The current mission was designed to provide the next step of training capacity building by helping Revenue Service develop a Strategic Training Plan. However, during the course of the mission, the consultant discovered an opportunity to provide critical HR capacity guidance by helping the Revenue Service develop job descriptions for its personnel. The consultant designed a procurement of local resources to carry out a job descriptions development contract. By establishing job descriptions and skill sets, the HR department will be in a position to analyze training needs and be better equipped to go forward with human resource development and training. In addition, the report focuses on the substantial progress the HR department has made over the past two months and presents an overview of the steps the HR department needs to take in the area of training.

ABBREVIATIONS

ADDIE	Analysis, Design, Development, Implementation, and Evaluation
BEE	Business Enabling Environment Component
CBT	Computer-Based Training
CONC	Cost of Nonconformance
COP	Chief of Party
ELT	E-Learning Training
EPI	Economic Prosperity Initiative
EU	European Union
HPT	Human Performance Technology
HRM	Human Resource Management
ILT	Instructor-Led Training
ISD	Instructional Systems Design
IT	Information Technology
KSA	Knowledge, Skills, and Abilities
LEPL	Legal Entity of public law
LMS	Learning Management System
LOE	Level Of Effort
MOF	Ministry of Finance
OJT	On-the-job training
ROI	Return on Investment
RS	Revenue Service
RSTAB	Revenue Service Training Advisory Board
SME	Small and Medium Enterprises
SOW	Scope of Work
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TNA	Training Needs Assessment
TOT	Training of Trainers
TTP	Training of Trainers Program
USAID	United States Agency for International Development
VILT	Virtual Instructor-Led Training

CONTENTS

I. EXECUTIVE SUMMARY

BACKGROUND

The overall goal of USAID's EPI is to "improve enterprise, industry, and country-level competitiveness in Georgia." To reach this goal and operationalize the three programmatic themes in its contract, EPI work is organized and managed through four operating components: Project Management and Crosscutting Activities Component; Agriculture Sectors Component; Management & Services Component; and Business Enabling Environment (BEE) Component. This report focuses on the Economic Prosperity Initiative's BEE Component regarding Tax and Customs Administration with the objective of assisting the Revenue Service to assist the Human Resource Department of the Revenue Service to strengthen its infrastructure so it can effectively incorporate international best practice standards.

During recent months, several EPI expat advisors (Bert Cunningham, Neli Baeva, Peter Bruges, Phyllis Hodgkin's, and Celeste Christiansen, all assigned short term to the EPI project), found that the Revenue Service newly established Human Resource department infrastructure needed to be strengthened especially in the area of the development of job descriptions. As job descriptions are of primary importance and require substantial human and time resources, a Georgian HRM consultancy company was identified to study individual jobs by positions as classified by the beneficiary in the Revenue Service LEPL to develop respective job descriptions, qualifications, and skill set requirements. By establishing job descriptions and skill sets, the HR department will be in a position to analyze training needs and be better equipped to go forward with human resource development and training.

FINDINGS

In June 2011, a training needs assessment was conducted in the Revenue Service of Georgia. During this time, several critical factors were identified after collecting qualitative and quantitative data. Since the time the TNA was conducted, progress toward strengthening the RS infrastructure and incorporating international best standard practices has been substantial. Listed below is a brief high-level summary of the progress on some of the qualitative and quantitative findings presented in the previous TNA report:

Key TNA Qualitative Findings	Current Status
The Revenue Service of Georgia needs to design a formal organizational strategy identifying job skill sets that are complete and up to date.	The Revenue Service has drafted an organizational strategy and has taken steps to seek assistance in procurement of a Georgian HRM consultancy firm to identify job descriptions and skill sets. The timeline for completion of this task: September December 2011.
Operational policies and procedures are lacking at the Revenue Service providing the staff with minimal or no written guidance on how to conduct their work. There are no written	Written manuals will take time to develop and will be planned for development after job descriptions are formalized.

manuals for staff to reference.	
There is no training or learning development strategy with the purpose to assess and inventory current skills and determine training and development requirements.	Strategies are in the process of being developed at the RS at the current time. The first step of developing job descriptions has begun in which job tasks and skill sets will be identified for each position.
There are no fully developed Human Resource Strategic objectives making it difficult to link learning/training programs to any strategic objective.	The HR strategic objectives are in process of being developed. (Appendix D: Annex 3).
There is no Performance Management Plan, which evaluates performance expectations, knowledge, skills, and abilities by level.	The Performance Management Plan will be developed after job descriptions are developed, the training strategy is drafted, international best practices are identified for pay and benefits, and an appraisal system incorporated.
Basic HR functions at the RS are not in place.	Basic HR functions are in the initial development stages as well as the development of motivation and incentive/bonus systems.
There is no focus on key subject matter areas for training. There are occasional ad hoc trainings taking place in the regions.	Ad hoc trainings continue to take place within the RS and in the regions. More focus will be on key subject matter training once job descriptions and skill sets for each job are identified and assessed against each employee's current knowledge and skills.
There is insufficient space at the MOF Academy's current location to deliver RS trainings.	The MOF Academy has rented a six-story building across from the current RS building and will have sufficient space and staff to deliver future RS trainings.
Regional and headquarters employees express the need for the introduction of E-learning to provide them with access to 'on-demand' training.	An international donor has been identified to assist the RS in developing a platform for e-learning. Initially this will take place by providing the World Customs Organization's 10 module online courses in Georgian.
RS needs to strengthen several human resource functions at the department and management level, such as recruitment, HR strategy, planning, policies, change management, training, and communication.	The HR department has employed additional staff and will be in a better position to develop the areas listed. The HR strategy and planning are in process.

Employee expresses a need to be trained on laws, changes in the laws, instructions, and amendments	These trainings are acknowledged as important by the RS and will be part of the priority trainings in the near future.
RS regional employees' top three priorities are: job security, salary, and training.	The HR department recognizes these priorities and is addressing each by establishing a standardized bonus system, incentives, and providing training opportunities.

ACTIONS ON 'RECOMMENDATIONS' SINCE THE TNA

Several recommendations were listed in the TNA report of which the RS has made substantial progress in initiating and incorporating international best practice standards. Listed below is a brief summary of the progress on the recommendations cited in the TNA report.

Key TNA Qualitative Findings	Current Status
A comprehensive Standard Operations Procedure Manual with on-the-job checklists should be built to provide all departments and their respective staff with guidelines on how to execute their Revenue Service roles, responsibilities, and tasks. Training should be conducted for management and staff as each section or policy is released.	No progress has been made on this recommendation; however, once the job descriptions and skill sets for each job are drafted, these on-the-job checklists will be standardized. In the future, a Standard Operations Procedure Manual will be developed.
The RS Training Department should build and implement a comprehensive TTP and require all employees engaged in staff training to successfully pass the program. Successful completion would entail designing, developing, and delivering one program within the standards documented in the Revenue Service's future Training Policy.	The RS will identify potential training instructors to use for internal trainings and conduct TOT trainings.
Priority should be given to any training-related items cited in future RS strategic plans. This will allow the RS training department to focus on supporting the departments engaged in training along with simultaneously building	The Revenue Service Strategic Plans are in the initial stages of development.

organizational training capacity.	
A LMS should be purchased to enable the RS to manage its workforce.	The RS recently purchased a basic HR administration software program from a Georgian company. This company has additional 'add on' software modules. One of the recommended 'add on' modules is the training module, which would serve as a learning management system. Donor funding is needed to purchase this module.
Consideration should be given to evaluate, document, and improve the RS's culture, which is influencing individual behavior, attitude, and meaning (as evidenced in the results of the TNA Competency Surveys). All personnel need to have shared values, beliefs, and assumptions for job security.	Efforts toward improving the RS's culture are in process. HR has plans to evaluate, document, and improve the culture, which is influencing individual behavior and attitude. An employee appraisal system, bonus system, career development strategy, and pay and benefits are identified as next steps at the RS.
A change management and communication plan should be prepared in order to manage the introduction of the training-related implementations and the respective timelines. A professional continuing education program for managers at all levels also needs to be developed encompassing international best practices, management, and leadership principles.	Expat donor assistance is requested to draft a Change Management and Communication Plan. Professional continuing education programs for managers at all levels will be developed in the future; however, it is not a priority at this time.
Employee induction trainings need to be extended in order to cover the tax and custom skills and knowledge in a more focused and detailed structure. Currently, the courses cover minimal, basic theoretical knowledge.	There is no information available about extending the length of induction trainings.

The Human Resource Department of the Revenue Service of Georgia should be commended for the progress it has made in the area of Human Resource Development since the TNA was conducted. The head of the RS as well as the head of HR both have focus and a vision for the RS to function according to international best practices. With additional donor assistance in the area of increasing the capacity of the HR department, the

RS will be in a position to fully develop policies and procedures to manage the development and future training of its staff.

II. APPENDICES

A. BACKGROUND

B. FINDINGS

C. RECOMMENDATIONS

D. ADDITIONAL INFORMATION

A. BACKGROUND

Georgia is central to U.S. foreign policy objectives, and economic growth activities are key to achieving them. The four-year EPI project, which began in October 2010, is designed to improve Georgia's competitiveness in the global marketplace. EPI's goal is:

"… improve enterprise, industry, and country-level competitiveness by identifying and targeting key external and internal factors to enhance the growth rates and productivity of enterprises in the economy, thereby enhancing the economic well-being of workers in the economy."

In order to accomplish these project objectives, it was recommended to USAID that assistance in strengthening, developing, and supporting the Human Resource department of the Revenue Service was crucial before designing, developing, and implementing a training strategy.

EPI HR Capacity-Building Assistance to the Revenue Service is outlined as:

GOAL

To provide a structured approach in creating a high-performance workplace and to develop employees and their skills in order to enable them to effectively perform their job functions and to prepare them and the organization to adapt to change.

FOLLOW-UP DATES

This follow-up consultation, based on the previous TNA, began on Monday, July 25, 2011, and concluded on Friday, September 16, 2011.

COLLECTED REPORTS

The following documents were collected and analyzed:

- Revenue Service Human Resource Strategic Plan 2011
- MOF Academy-About the Academy
- MOF Academy-Charter
- MOF Academy-Policy of the Academy
- Integrated Model of HR Competencies
- International Personnel Management Association-HR Competency Model
- Center for Management and Professional Development—Leadership Foundation e-Newsletter; Training/mo.gov, 2011
- Strategy Setting and Strategic Planning-Center for Strategic Change, 2010
- Administrative Services Human Resource Management System-Purdue Education, 2010

- LMS System Comparison study; www.joomlalms.com
- NAPA Competency Model for HR Professionals
- International Personnel Management Association HR Competency Model
- Training Manual; Human Dynamics Consortium; 2009
- OPM Personnel Resources and Development Center
- DOD HR Competency Framework
- Training curriculum of the theoretical training for the interns of the Economic Border Protection Department at the LEPL Revenue Service. This training is conducted at the Police Academy facilities.
- Diagnostics and needs assessment of the Revenue Service; World Bank; 2010
- International Network of Customs Universities-Affiliated List of Institutions
- Federal Law Enforcement Training Center Strategy Career Development Documentation; Glynco, GA, USA
- Conducting the Job Task Analysis; ERIC Digest ED 399-433; 1995

B. FINDINGS

REVENUE SERVICE STRATEGIC PLAN

The first priority of the Revenue Service should be to draft an overall detailed, multiyear Strategic Plan, which defines and has training-related citations along with the identified, responsible party. This would entail conducting meetings with all responsible parties and determining how best to support the training efforts such as logistics or providing customized TOT trainings to support the department staff in accomplishing required training.

TRAINING FUNCTION

Revenue Service of Georgia

The Human Resource Department of the Revenue Service recently employed three new people to its training department. The Training Coordinator with input from her/his coworkers will be responsible for all phases of training, including implementing the ADDIE model (Analysis, Design, Development, Implementation, and Evaluation) as well as assisting the EPI training expert in conducting initial TOT trainings (Status: Tentative). The EPI project will have counterpart for a period of six months to further assist the Revenue Service in the development of its HR and training programs, if needed.

The Revenue Service completed a 'Training Function Systems Self-Audit' *(Appendix D: Annex 4)* in which they rated their training function level of development according to the following rating system:

1 = Little/none: aimed at short-term results

2 = Basic: Requirements have been defined

3 = Intermediate: Aimed at effective use of internal expertise

4 = Advanced: Aimed at continuous improvement

The results of the RS '**Training Function Systems Self-Audit'** resulted in a level of development average rating of **2.2** or Basic development. The goal for 2012 year-end is 3.0 level of development. The results of the self-audit follow:

Activities	Level of Development
1. **Select Strategic Roles and Responsibilities for Training Managers**	
Link assessments to vision, mission, and business plans	2
Anticipate future needs and use long-term planning	2
Develop a short-term training plan	2
Develop priorities consistent with the business plan	2

Activities	Level of Development
1. **Select Strategic Roles and Responsibilities for Training Managers**	
Prepare, monitor, and modify the budget	2
Manage training-related projects	2
Ensure legal, ethical, and regulatory compliance	2
Develop a positive relationship with those who train and develop courses	4
Gain access to upper management	4
Support and develop training function personnel	4
Use and supervise external resources	2
Participate in outside professional organizations	4
Keep up to date with training trends	3
No. 1: AVERAGE STAGE OF DEVELOPMENT	2.7
Activities	**Level of Development**
2. **A Performance Consulting Approach to Managing the Training Function**	
Act as a performance consultant to the client	**3**
Select the appropriate role for each situation	**3**
Use a systematic performance consulting process	2
No.2: AVERAGE SCORE OF DEVELOPMENT	2.6
3. **Partner with Management and Gain Support for the Training Function**	
Define/assess training needs with management	2
Create a training plan for management's approval	2
Set expectations and objectives with management	2

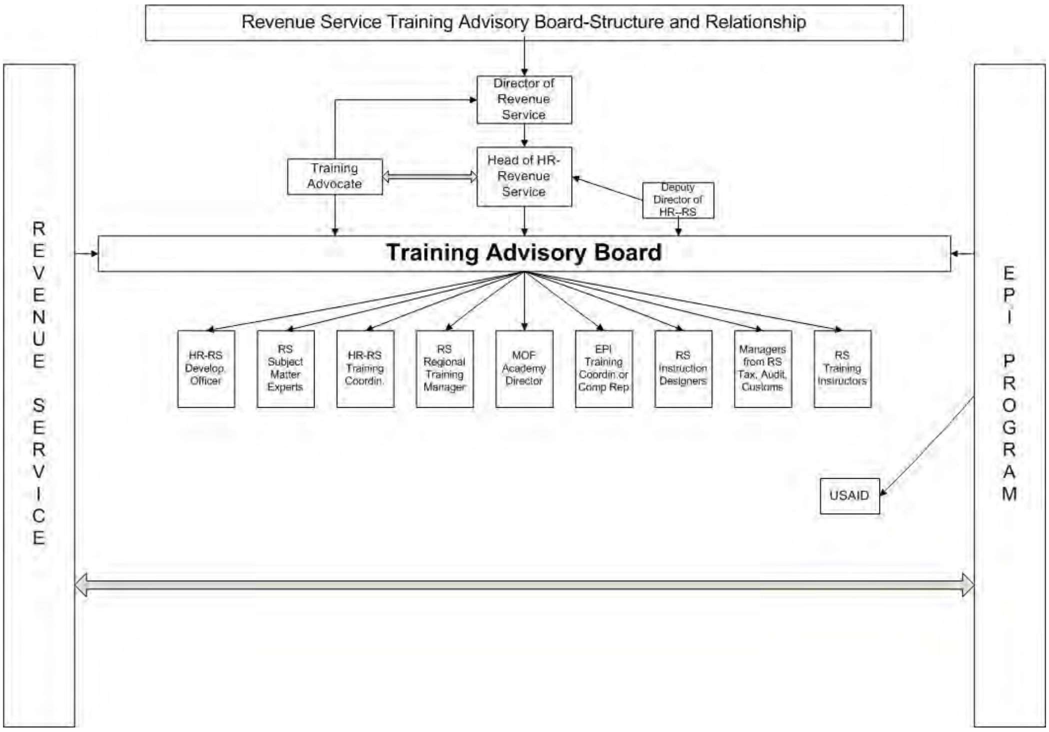
Develop program content to meet agreed-upon objectives	2
Provide overview/pilot of program for management	2
Schedule training with consideration for workload and organization's needs	3
Provide management with information to assist in follow-up coaching and support	2
Validate content with observation of use of skills on the job	3
Evaluate results of changed behavior with supervisors	1
Review and revise training as needed	3
Publish successes	2
No.3: AVERAGE STAGE OF DEVELOPMENT	2.2
4. **Use Project Management Skills**	
Initiate a project by assessing the need to create a project team and gain authorization	3
Plan the project	2
Use project management tools appropriately to execute the project	2
Use project management tools to control the project	2
Close projects appropriately	3
No.4: AVERAGE STAGE OF DEVELOPMENT	2.4
Activities	**Level of Development**
5. **Assess and Evaluate Training Needs**	
Define who and what is assessed	2
Decide how the assessment is done	2
Create the assessment product and tie to business needs	2
Identify the training manager's role in the assessment	2

Assess the learners' reactions	2
Test for learning	1
Assess the transfer of learning	2
Measure bottom-line results	2
No.5: AVERAGE STAGE OF DEVELOPMENT	1.8
6. **Select a Consultant or External Trainer, Training Programs, Packages, and Equipment**	
Select a consultant or external trainer	3
Select packaged training programs	2
Select equipment	2
No.6: AVERAGE STAGE IF DEVELOPMENT	2.3
7. **Manage Internal Trainers: Selection, Roles, Feedback, and Development**	
Select internal trainers	3
Give feedback to internal trainers	2
Improve internal trainer skills	3
Use types of training methodologies	4
Use a variety of trainer roles	3
Maintain courses	4
Develop trainer's guide manual	3
No.7: AVERAGE STAGE OF DEVELOPMENT	3.14
Activities	**Level of Development**
8. **Market the Training Function**	
Market a training function	1

Use marketing efforts	2
Create brochures and course catalogs	1
8: AVERAGE STAGE OF DEVELOPMENT	1.3
9. **Publicize Training Function Events and Services**	
Use marketing information to develop successful publicity	2
Use a variety of channels to publicize training function events	2
Prepare accurate and timely training announcements, course catalogs, and course brochures	2
No.9: AVERAGE STAGE OF DEVELOPMENT	2.0
10. **Schedule and Administer Training Events and Services**	
Offer a selection of courses	2
Schedule training events	2
Use statistics in scheduling	2
Administer classroom and materials support	1
Keep statistical records of performance	2
Provide additional support services	2
No.10: AVERAGE STAGE OF RS TRAINING DEPARTMENT DEVELOPMENT	**1.8**

Revenue Service Training Advisory Board

The following RS Training Advisory Board structure and plan were drafted by the EPI consultant and proposed to the Revenue Service:



Purpose

The Revenue Service Training Advisory Board is the representative planning and advice-giving body for the training system and is essential to ensure the ongoing effectiveness and quality of the Revenue Service training program.

Mission

Facilitate the training and educational development of all Revenue Service employees to deliver high-quality products to satisfy clients.

- Foster an exchange of ideas, knowledge, and information within the field of training, training analysis, and training needs
- Foster cooperation among personnel of the different Revenue Service departments and business entities
- Stimulate research and the development of new methods, operations, techniques, and procedures effective to the development and sustainability of training within the Revenue Service
- Encourage recordkeeping of training information and other pertinent data related to training activities
- Encourage a high level of professional competence among RSTAB members, departments, and agencies

Focus on and lend assistance as well as support in the formation of training programs

Provide superior training to Revenue Service personnel to keep them current on changing practices and standards of professionalism

Provide independent, strategic advice on how the RS can invest in a sustainable, highly skilled workforce

Goals

- Monitor the use of training resources
- Increase employee awareness
- Enhance skills development and ability to work together more effectively
- Save constituents by gathering and disseminating training-related information
- Increase the awareness of the role that training plays at RS and assess in motivating employees to take advantage of training opportunities
- Make recommendations that will address current, short-term, and long-term training needs to RS leadership

Roles and Responsibilities

The primary role of the Advisory Board is to act as an oversight body for Revenue Service sharing their expertise and opinions to assist the Training per respective, Training Coordinator, Instructional Designers, and Subject Matter Experts with implementing the design, development, delivery, and evaluation of Revenue Service courses, including the review of Revenue Service training policies, procedures, and forms. Responsibilities typically include:

- Reviews consultant-generated work and provides comments.
- Ensures quality and confirms that project generated training is appropriate for the Revenue Service.
- Provides comments on:
    - TNA recommendations
    - Course outlines
    - Training plan and schedule
    - Learning design documents
    - Policies, procedures, and forms
- Reviews the final course materials (if necessary), tests, information and educational guides, and on-the-job checklists
- Issues related to midterm and long-term training; formulation, planning, and delegation of training and advanced training related to job qualifications
- Development of training effectiveness evaluation methods and techniques, evaluation and analysis of various training needs and performance
- Align training and performance
- Determine a system for analyzing the impact of training and ROI
- Assist in outlining a comprehensive five-year vision for creating a sustainable RS training system for both for headquarters and regional trainings

TRAINING ADVISOR

This is the person who is responsible for guiding the Training Advisory Board, Training Coordinator, Instructional Designers, and Subject Matter Experts through the Instructional System Design process to produce quality performance-based courses within deadlines. Responsibilities typically include:

- Provides the necessary instruction and tools to produce performance-based instructional materials and activities
- Assists Training Coordinator, Instructional Designers and Subject Matter Experts with translating principles of teaching and learning into plans for instructional materials and activities
- Works with Training Coordinator, Instructional Designers, and Subject Matter Experts to assure that all participant material adheres to the design of the course
- Provides feedback on instructional materials and activities
- Organizes practice sessions and rehearses the instructors

Revenue Service's Training Advisor will perform this role. As requested or needed, Revenue Service's Technical Training Advisor will also perform this role.

TRAINING COORDINATOR

This is the person who supports the Training Advisor in producing quality performance-based courses within deadlines. Responsibilities typically include:

- Reminds Instructional Designers and Subject Matter Experts of instructional materials deadlines
- Reviews submitted materials to ensure that they are prepared in accordance to agreed-upon plans for instructional materials and activities
- Maintains integrity of Instructional System Design templates
- Manages reproduction of finalized materials
- Manages all course-related logistics

Revenue Service's Training Manager will perform this role. The Revenue Service's Training and Development Officer will also perform this role as required or as needed.

INSTRUCTIONAL DESIGNER (INSTRUCTOR)

This is the person who performs consulting and development duties necessary to create instructional materials and activities as well as present them. Responsibilities typically include:

- Gathers and analyzes information about content and skills
- Writes the Learning Design Worksheet and drafts the course materials (Participant Guide, PowerPoint Slides, Pretests and Posttests and Instructor's Guide)
- Prepare the materials for the reviews required at each stage of the instructional development process
- Makes revisions specified by the Training Advisor, Training Coordinator or Subject Matter Experts

The Instructors will perform this role with guidance from the Training Advisor and Training Coordinator with input from the Training Advisory Board.

SUBJECT MATTER EXPERTS

This is the person who must undertake Revenue Service's responsibility for the accuracy of the facts, concepts, and other content that will be presented. Responsibilities typically include:

- Provides relevant information and resources to the Training Advisor, Training Coordinator and Instructional Designers during the instructional design process,
- Shares experience and content knowledge to support the instructional designer in building the content of a training program and make it relevant to the learner audience
- Reviews and provides feedback to Training Advisor, Training Coordinator, and Instructional Designers on course design and the instructional materials and activities
- May also perform instructional designer's role as needed

MEMBER QUALIFICATIONS

Broad base of qualifications:

- Business knowledge-basic understanding of business dynamics and organizational goals
- Knowledge of training and performance
- Organization and management skills
- Intellectual skills
- Relational skills
- Technical skills
- Resourcefulness

TENTATIVE LIST OF REVENUE SERVICE TRAINING ADVISORY BOARD MEMBERS

Head/Deputy Head of Revenue Service

HR Director of Revenue Service

HR Development Officer of Revenue Service

HR Training Coordinator of Revenue Service

RS Regional Training Manager

MOF Academy Director or Deputy Director

EPI Training Coordinator and/or EPI BEE Component Representative

Subject Matter Experts

Managers or managerial representatives from Revenue Service Tax Audit, Customs, Tax Administration*

Representation of Instructors

Representation of Instructional Designers

*Each representative is the spokesperson for his or her respective department and will have voting rights therein.

MEETINGS

Meetings will take place once a month on the second Monday. The meetings will generally last one to two hours (but no more than two hours) and will be held in the afternoon. The specific meeting time will be announced. The group will typically report and review training issues, analyze RS-initiated training, and assist in change management efforts such as improving culture and communications.

ATTENDANCE

Attendance at the monthly Training Advisory Board meeting is mandatory with exception to urgent work duties that need to be completed by a member by a certain deadline. The urgent work will have precedence over meeting attendance. The member must notify the Revenue Service HR Director in advance of anticipated absence at a meeting. The member must send an alternate representative to attend the meeting.

VOTING

Each member will have equal voting rights. A majority vote of those members in attendance is required in order to pass any idea, additions, deletions, substitutions to training or regulations, curriculum, etc. (see Roles and Responsibilities). The HR Director and/or the Director of the Revenue Service have the right to overrule any majority vote but must give the Training Advisory Board justification in writing for the overruling.

MEETING MINUTES

One member of the Training Advisory Board will be appointed to take meeting minutes. The meeting minutes will be distributed to each member via electronic transmission (email) and copies of the minutes will be kept electronically with the Revenue Service HR Department.

CORRESPONDENCE

Correspondence among members of the Training Advisory Board members and with HR will be by email. HR will provide email addresses as well as an email address to contact HR on specific board issues or training-related issues/concerns.

ACTION STEPS FOR REVENUE SERVICE AND REVIEW BY RS TRAINING ADVISORY BOARD AS NECESSARY

- Identify training needs
- Produce regular training event calendars
- Set up a standardized system of trainer recruitment, screening, interviewing and assessment, development, and evaluation of trainers
- Develop standards for trainer performance
- Identify trainers to teach each of the courses

- Develop ongoing knowledge and skills of trainers
- Develop a pool of competent trainers to meet the needs of the changing RS
- Effectively match trainers with training needs
- TOT evaluation
- Design a dynamic curriculum development system that emphasizes competencies
- Deliver trainings
- Evaluate success/trainings and ensure transfer of learning strategies is built into the development of the curricula and adjust learning strategies as needed
- Evaluate learning, based on competencies
- Ensure that evaluation becomes an integral component of the training system: Evaluating trainers, participant learning, curricula, competencies, training outcomes, cost analysis, and general satisfaction with training system responsiveness
- Develop and implement a transfer of learning system that is comprehensive, consistent, and structured
- Assess impact of training, ROI, and the mechanisms for training effectiveness and tracking
- Align training and employment
- Ensure that training is convenient, accessible, affordable, consistent, timely and thorough
- Track attendance by staff via computer; permanent training records must be kept for all employees

POSSIBLE RESTRAINING FORCES

- Confusion about the role of the advisory board
- Lack of attendance from some members of the training advisory board
- Lack of information about the needed trainings

NEXT STEPS FOR THE REVENUE SERVICE TRAINING BOARD

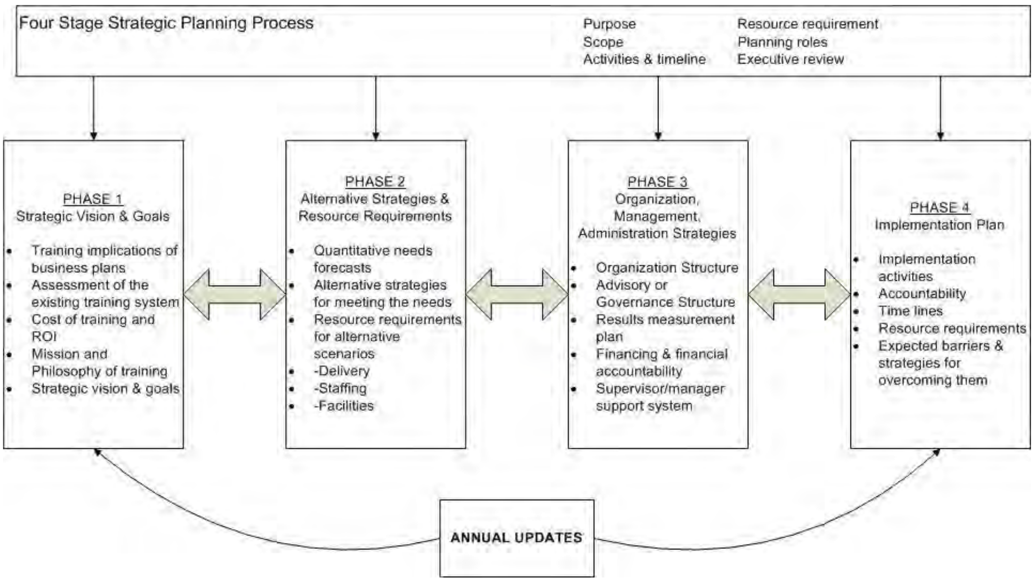
- To develop a clearer definition of the role of the training board (policy, advisory, and management)
- To define written guidelines for ongoing operations of the committee (administration, membership changes/additions, meeting time, etc.)
- To implement the training system (an annual strategic and operational plan, an annual evaluation of training board operations, and annual evaluation of training components)

TIMELINE

The RS is not in total agreement of the necessity of a Training Advisory Board. The Head of HR will further discuss with the Head of the Revenue Service and reach a conclusion if the Training Advisory Board will serve a needed function within the Revenue Service.

REVENUE SERVICE STRATEGIC PLAN FOR TRAINING

A four-stage strategic planning process is proposed for the development of the RS Strategic Training plan. At the current time, the HR department is extremely busy with its development plans and has not formally initiated the development of the strategic training plan. The EPI consultant provided a training strategic plan outline (Appendix D: Annex 9) and a plan, which covers governance, planning, operations, and results (Appendix D: Annex 10).



Four-Phase Strategic Planning Process

Deliverables for Each Phase

PHASE 1: STRATEGIC TRAINING PLAN

The outputs include:

- A list of challenges facing the Revenue Service (or conduct a SWOT analysis)
- A list of significant business plans
- Training implications of the challenges and business plans
- An inventory of existing training from both internal and external sources
- A personnel forecast for the next two years
- A broad quantitative estimate of the amount of training delivery required over the next two years
- A broad quantitative estimate of the amount of training delivery required over the next two years
- A broad estimate of the resources required to meet the training requirements over the next two years:
  - People

- Financial
- Facilities

PHASE 2: DETAILED DEVELOPMENT AND DELIVERY PLANS

The deliverables of this phase are detailed quantitative plans for course development and training delivery. This phase will include:

- Training development requirements and priorities for each major function
- Training delivery requirements and priorities for each major function
- Strategies for carrying out the development and delivery requirements
- Allocation of resources for carrying out the development and delivery requirements

PHASE 3: TRAINING ORGANIZATION AND ADMINISTRATION

The purpose of this phase is to determine organization, staffing, and administration requirements for carrying out the training plans, which will include:

- Organization structure
- Staffing strategy
- Training advisory structure
- Financing strategy
- Other administration for training

PHASE 4: IMPLEMENTATION PLAN

Implementation activities

Accountability for those activities

Resource requirements

Roadblocks and strategies for overcoming them

Milestones to monitor progress

TRAINING

Cost/Benefit Analysis and Estimated ROI

The cost/benefit ratio is the cost of nonconformance (not training) divided by the cost of conformance (training) for meeting the training needs associated with each of the business challenges.

Cost/benefit ratio = cost of nonconformance **divided** by the cost of conformance

(Cost of *not* training divided by the cost of training)

*The cost of conformance is the cost of fulfilling all the training needs it generates. The cost of nonconformance is the cost to the business of *not* fulfilling the training needs. The ROI formula is similar.

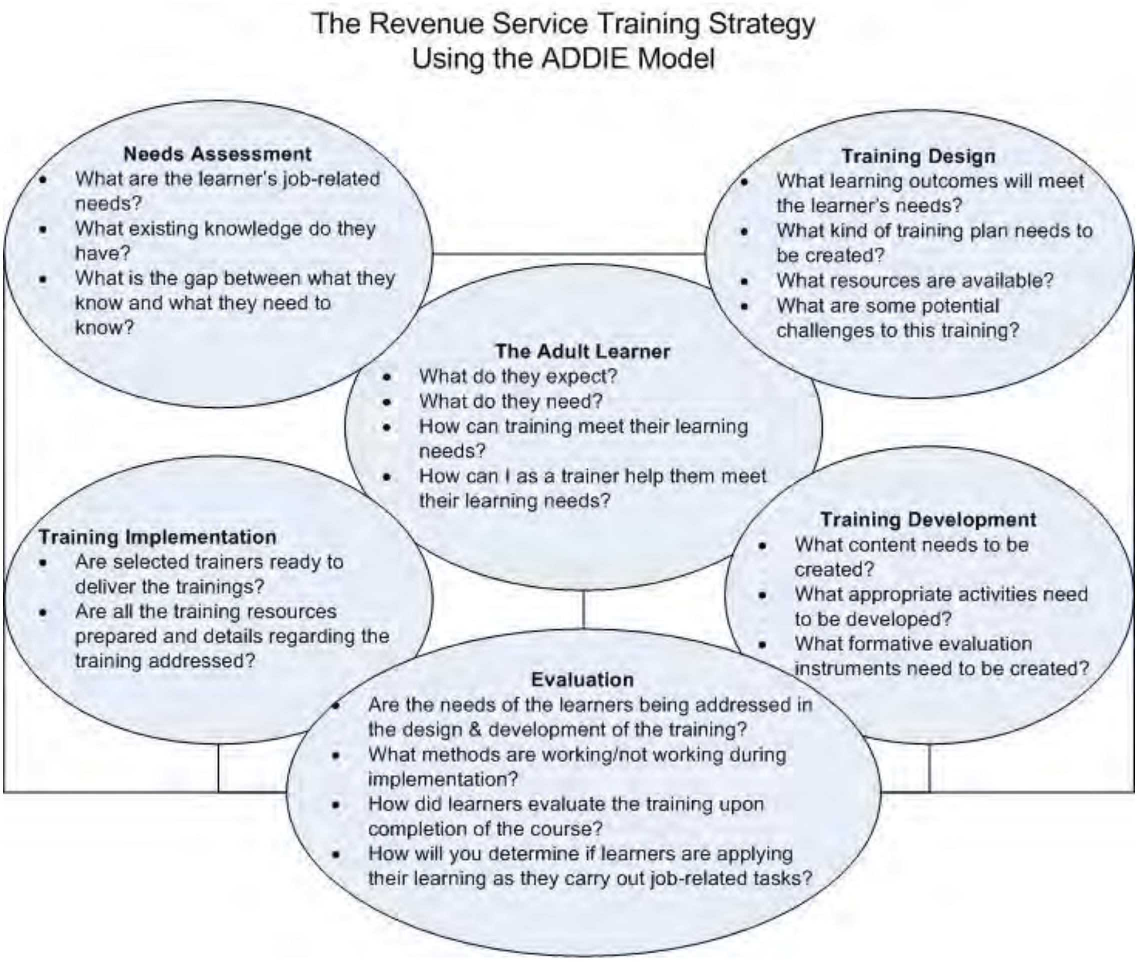
ROI = Cost of nonconformance **minus** cost of conformance **divided** by cost of conformance

(Cost of *not* training minus cost of training divided by cost of training)

Impact Analysis

The objective of the training impact assessment is to provide tangible information on what kind of impact the training rendered. It should assess the level of success in achieving the training goals to improve the ability of participants to effectively complete job tasks.

The proposed Revenue Service Strategic Plan will be based on the ADDIE instructional systems design model.



Model based on I-Tech research

The RS Training Strategy (for each training) will be based on answering the following questions listed in each of the phases below:

ASSESSMENT

- What do the learners need to know to accomplish job-related tasks?
- Who are adult learners?
- What kinds of learning experiences do learners need? What styles of learning do they bring to the training program?
- What job training experience do the learners have?
- What do the learners need to know to carry out job-related tasks?
- What gap exists between what the learners know and what they need to know?

MAJOR CHARACTERISTICS OF ADULT LEARNERS IN TRAINING SITUATIONS

Need to Know: Want training delivered when they need it, when ready to progress to a new task or next stage

Self-Concept: Dire to be recognized by instructor as independent and self-directed

Life Experience: Expect instructor to recognize their prior accomplishments and knowledge

Task Centered and Practical: Training should help them meet job-related assignments

Internally Motivated: Largely driven by internal rewards and

Knowles, M., *The Adult Learner* (5th ed), 1998, Houston, TX: Gulf Publishing

FOUR CATEGORIES OF LEARNING EXPERIENCES OR STYLES

Doer: Like to be actively involved in the learning process, want to know how they will apply learning in the real world, and like information presented clearly and concisely

Practice, apply concepts, simulations

Feeler: People-oriented, expressive, focus on feelings and emotions; thrive in open, unstructured learning environment

Personal experience, role plays, group exercises

Thinker: Rely on logic and reason, like to share ideas and concepts, analyze and evaluation, enjoy independent work

Reading, questioning, independent activities

Observer: Like to watch and listen, tend to be reserved, will take their time before practicing, thrive on learning through discovery

Lectures, discussion, problem solving

Lawson, K., *The Trainer's Handbook,* 1998, San Francisco, CA: Jossey-Bass

STEPS FOR CONDUCTING THE TRAINING NEEDS ASSESSMENT

- Determine the Desired Performance
- Participant Analysis
- Learning Context

- Content Expertise
- Training Expertise
- Logistical Requirements

Milano, M., and Ullius, D., *Designing Powerful Training,* 1998, San Francisco: Jossey-Bass

METHODS FOR COLLECTING DATA

Interviews with:

- Target learners about their knowledge, experience, and expectations
- Trainers who have developed similar training programs under similar circumstances
- Content experts
- Stakeholders in training

Gather documents related to desired outcomes of training

Analyze previous training materials in a similar subject area

DESIGN

What will the training program look like?

What should learners be able to do as a result of this training program?

What methods will be used to assist them to reach this level of performance and knowledge?

What resources will be used to deliver this training program?

How will this training be structured overall?

GUIDELINES FOR DEVELOPING LEARNING OUTCOMES

- Results/outcome oriented
- Measurable
- Focused on major job-related tasks
- Behavioral statements (demonstration of content understanding)
- Specific and precise about what the learners are to be able to do
- Clearly stated

The learning outcomes will be placed into three major domains of learning

- Attitudinal Learning: Outcomes that aim to change or enhance a learner's attitude or motivation about a subject
- Cognitive Learning: Outcomes that aim to contribute to a learner's body of knowledge about a topic
- Skill Learning: Outcomes that aim to help a learner perform a job-related, behavioral task.

SELECTING LEARNING EXPERIENCES

- Interactive Lecture: Detailed explanations with questions from students and trainer
- Class Discussion: Conversation with questions in order to elicit thoughtful responses from learners
- Small Group Exercises: A group brainstorming, answering questions, or solving problems
- Two- and three-person Exercises: Smaller groups designed for more intense discussion and problem solving
- Case Studies: Learners analyze a written account of a realistic situation and how it was solved
- Role Playing: Realistic situation played out by the learners
- Simulations: Scenarios similar to problems in a job-related environment
- Games: Competitive activity that allows learners to test their knowledge of and skill in a subject
- Surveys, Quizzes, and Short Writing Exercises: Answer questions or write one or two paragraphs
- Observations and Hand-on Work in Field: Learner's observe others on a job-related task or practice skills they learned in training

IDENTIFYING TRAINING RESOURCES

Content experts: Available/willing to assist in development of training

Trainer(s): Available? Relevant experience? Cost?

Location(s): Where? Multiple sites?

Travel: How will participants travel to learning site? What funds are available?

Materials: For learners and all materials the trainer needs

Time: How long? Training is delivered across several months or concentrated in a few days? Multi part training? When are learners available?

DEVELOPING THE INSTRUCTIONAL PLAN

The instructional plan outlines the design of the Revenue Service training program and includes:

- The Training Program Title
- The overall description of the training
- Learning Outcomes
- Length of Training
- Target learners
- Overall format for training

- Participant requirements/participation
- Instructional materials needed
- Logistical issues
- Content outline, including
    - Major topics
    - Brief description for each topic
    - Identification of learning methods to be used

DEVELOPMENT

- What content, learning methods, and resources will be needed?
- What content will enable the learner to accomplish the stated learning outcomes?
- What learning experiences should be used to teach the content to the target learners?
- What materials should be developed to supplement the learning?

DEVELOPING CONTENT

- Consult primary content experts
- Provide enough information and learning experiences for trainees to accomplish the stated learning objectives
- Should be a balance of interactive, independent, and instructor-led learning experiences
- Should be enough detail to allow a trainer to use the content outline to teach the training program
- Include logistical detail, such as allotted time, instructions, and resource use

DEVELOPING LEARNING EXPERIENCES

- Develop learning experiences based on a specific learning outcome
- The learning experience should be appropriate to the learning domain
- Should be a variety of learning experiences
- Allow for questions and student-to-student interaction in each learning experience
- Consider constraints in facilitating each learning experience

DEVELOPING MATERIALS

Materials should be:

- Easy to understand
- Economically produced
- Relevant to one or more learning outcomes

- Include practical, direct job-based information as possible
- Describe process-oriented tasks in a step-by-step format
- Include illustrative examples that support text-based information

IMPLEMENTATION

- Can the Revenue Service deliver the program effectively?
- Delivering the training program effectively
- Is the trainer prepared to facilitate the learning experiences in an engaging manner?
- Have the appropriate training materials been developed?
- Have questions been developed to challenge learners and debrief the learning experience?
- Engaging learners
  - Probe learners with questions frequently; interactivity should be a primary characteristic of the training
  - Encourage application of material by providing examples, posing job-based problems, and asking learners to consider how they might apply to what they are learning
  - Quiz and give feedback in a nonthreatening way
  - Start with questions instead of with providing information (talking 'at' students)
  - Pose alternative, thought-provoking questions and scenarios to get trainees to critique and question
  - Start with what learners know to empower them and identify what to build on
  - Use both visual and aural modes of learning
  - Use organizing techniques that help learners keep track of where they are and what they have learned
  - Use humor and stories to enhance content and maintain learner motivation

QUESTIONING*

- Explaining: Asks trainees to explain their responses or poses a question that asks for elaboration
- Problem Solving: Poses problems for trainees to answer
- Debriefing: After a class exercise or field study event, allows trainees to consider what they have experienced
- Predicting: Presents job-related, realistic hypothetical situation for students to consider

*Hyman, R., 'Discussing Strategies and Tactics," Questions, Questioning Techniques, and Effective Teaching (ed. W. Wilen), 1987, Washington, DC: National Education Association

EVALUATION

How to assess if the program met the needs of the learners?

How can the RS assess if the learning outcomes are being addressed adequately during the development and delivery of training?

How can the RS evaluate the effectiveness of a training program immediately after the delivery of the training?

How can the RS evaluate whether the learning from the training is being applied in a work setting after the students complete a training program?

WHEN TO EVALUATE

Evaluation of training can be separated into two primary categories:

Formative: Occurs while the training is being designed, developed, and delivered. Allows trainers to determine what needs to change in their training plans and delivery.

- Needs assessment analysis
- Content expert evaluation
- Pilot test of training
- Pretraining and posttraining questionnaire
- Trainer assessment
- Student questionnaire
- Class interview

Summative: Completed immediately after training is conducted to evaluate the extent to which learners enjoyed and believed they received valuable learning.

- In-class questionnaires
- Posttraining questionnaires
- Posttraining debrief
- Interviews
- Journals
- Observations

LEVELS OF EVALUATION*

Level 1: Did the participants enjoy the training?

Level 2: Did the participants believe they learned something from the training?

Level 3: Did the training influence how learners perform in their jobs?

Level 4: Did the training affect the larger organization?

Level 5: Was the training cost-effective?

"Instructional Evaluation Methods: Levels of Evaluation," based on Kirkpatrick, D,. *Evaluating Training Programs: The Four Levels,* 1994, San Francisco: Berrett-Koehler.

The EPI consultant (as a mentor) provided the Revenue Service Training Coordinator 17 different examples of training evaluation forms.

RS LMS

A recommendation in the TNA report conducted in May/June 2011 was for the Revenue Service to evaluate the merits of purchasing a Learning Management System (LMS) or using an open source Learning Management System, such as www.moodle.com. LMS is a software application that facilitates e-learning; however, some LMS systems also automate the administration, tracking, and reporting of training events. The HR Department recently purchased a Basic HR Administration software program from Onyx Consulting, a Georgian software development company. This is a scalable, robust software solution based on proven technology and specially designed to advance the Revenue Service HR department. An additional software module identified to function as an LMS for the Revenue Service is the Onyx Training module, which works interactively with the Basic HR Administration module.

The training module includes a learning and development functionality, including course details, objectives, categories, materials, goals, skills, trainers, providers, course cost, and material cost registration. Additionally, the training module will provide scheduling and management functions: setup training sessions, trainer, resource and room booking, course enrollment, attendance, training registration, and training feedback. Donor funding is needed to purchase this training software module.

Training Providers and Instructor Selection

Organization	Comments
Revenue Service	The Revenue Service Training Department is undertaking some training; however, it is mostly on an ad hoc basis. There is some effort to focus on developing Revenue Service employees to improve individual, departmental, or organizational performance. Evaluation and impact assessments measuring knowledge transfer from training to the job will require development of an implementation plan. <u>Instructors</u>: Several SMEs will be identified within the RS departments to serve as part-time instructors. External contractors will be identified as instructors on an 'as need' basis. MOF Academy instructors will be used when they can deliver trainings for the RS. Instructors will attend the TOT trainings conducted by the EPI expat later in the year.
MOF Academy	The MOF Academy will have first priority to deliver training for the RS; however, in the event that the MOF Academy is unable to deliver training, the RS will seek external contractors. <u>Instructors</u>: A small pool of instructors will be permanent staff at the MOF Academy. Additional instructors will be hired on contract basis as needed. Instructors will attend the TOT trainings conducted by the EPI expat later in the year.
Police Academy	The Revenue Service uses the services of the Police Academy to deliver courses to tax and customs interns. The instructors are aware of the ADDIE model and use it to a certain extent. The curriculum is approved by the RS. Instruction management is good

Organization	Comments
	and the facilities are good. The three-story brick building was built by the American Embassy consisting of classrooms, computer labs, dormitory, and cafeteria amenities. Evaluation of the courses is done by the RS. <u>Instructors</u>: Interns who have done well in the tax and customs courses are identified as possible instructors and trained accordingly. The RS may also request an instructor to be hired and the PA academy selects the instructor on behalf of the needs of the RS. Instructors will be invited to attend the TOT trainings conducted by the EPI expat later in the year.
Identified External Contractors	If the MOF Academy is unable to deliver training, the RS will open the bidding to external contractors on a competition basis.

MOF ACADEMY OF GEORGIA

The Ministry of Finance Academy of Georgia "MOF Academy" was established in accordance with the April 26, 2010, decree of the President of Georgia.

MISSION

The mission of the MOF Academy is to help develop professional skills within the financial community and to guarantee competitiveness of public servants, interns, and other interested persons in the field by:

- Providing ongoing professional skills development and retraining programs in order to ensure efficient and prudent implementation of the Georgian legislation;
- Developing and implementing obligatory professional ethics training programs to ensure fist-rate professionalism of civil servants of the system of MOF, as well as efficient and client-oriented administration;
- Conducting seminars concerning ongoing tax and customs reforms in Georgia for foreigners;
- Actively integrating the academy's standards and methods into European and international educational realm by expanding international cooperation;
- Facilitating faculty and trainee exchange and implementing targeted research projects;
- Cooperating and assisting public sector in capacity building processes; wide spectrum of the society to promote their access to employment; business sector to create favorable business friendly environment by developing trainings and consultations on new amendments in tax legislations, tax and customs procedures and administration, awareness on tax payers' rights and obligations; and universities and other educational institutions in organizing bilateral training programs, workshops and conferences; and establishment of the effective system of internship for the further employment of graduate students in the system of MOF.

Strategic objectives of the MOF Academy are:

- To strengthen the learning capacity of public service entities

- To promote management and organization development
- To facilitate wider changes in both public and private, as well as other institutional sectors
- To provide real business benefits for employers in financial services

TARGET GROUPS

- System of the Ministry of Finance
- Public Sector; Business Community
- Wide Spectrums of society; Universities
- Students
- People searching for employment

TRAINING

The training is organized through The Academy of the MOF

Major training areas in RS/MOF: List of Courses:

- Call center effective service training
- E-Budget Training;
- Training on Effective Service
- E-Auction
- Retraining of Customs Officers as Media Specialists
- Management (Organizational Risk Management etc.)
- Introduction to Audit
- Defining the Customs Values and Codes
- Amendments in Georgian Tax Legislation
- Gambling Business Licensing
- Electronic Treasury
- TOT)
- Preparatory Course of the MOF Investigation Service Interns
- Any other courses in the competence of the System of The Ministry of Finance on customs and tax legislation and procedures from border crossing up to customs clearance and postclearance audit procedures.
- Other training courses from different fields and areas.

Major Training Areas: Business community (for profit) — Amendments in Georgian Tax Legislation; Any other courses in the competence of The System of the Ministry of Finance on customs and tax legislation and procedures from border crossing up to customs clearance and post clearance audit procedures; public finance; accounting, etc.

Trainers: Staff of the System of the Ministry of Finance of Georgia (as trainers and subject matter experts), invited experts from outside of the MOF, lecturers from universities, International experts.

International Cooperation: Cooperation programs with World Bank, UNDP, EU, OECD, IOM, WORLD CHECK, USAID, AMCHAM, WCO, and INCU.

See MOF Academy Charter (Appendix D: Annex 5) and Policy (Appendix D: Annex 6*)*.

New Facility of the MOF Academy

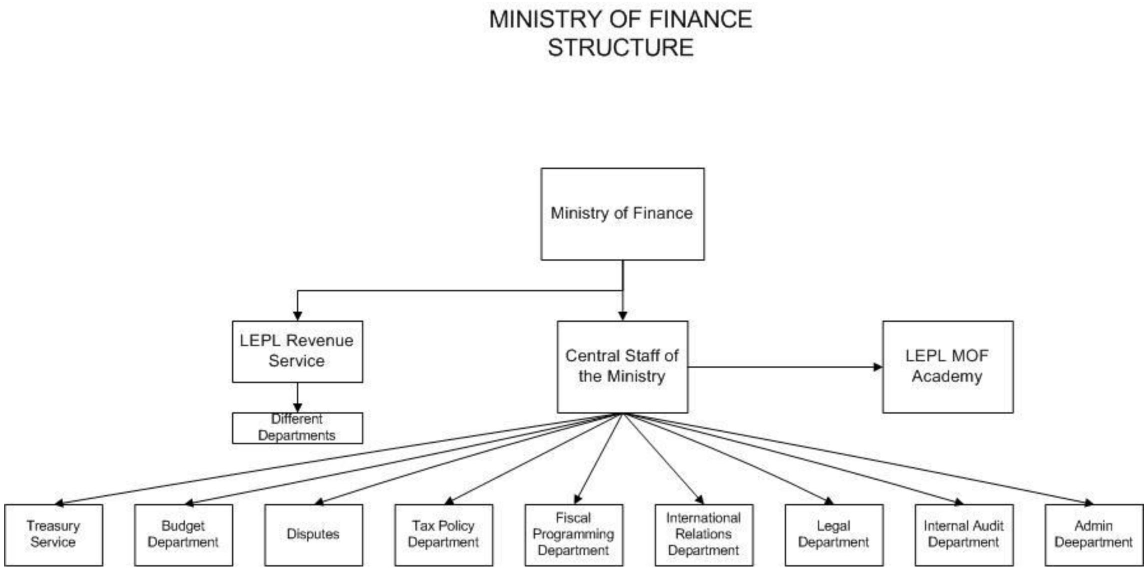
MOF Academy rented and will relocate to the building opposite the Revenue Service

This building will be a state-of-the-art training facility.

Current location of the MOF Academy

In the future, the current facility at the Orkhevi campus will be used for trainings of regional staff and other requested private/business trainings. The dormitory facilities located at this campus will be used for participants from both training facility.

Organizational Structure of MOF Academy in Relation to the RS



Structure provided by the MOF Academy

MOF ACADEMY'S MISSION AND REVENUE SERVICE

The MOF Academy's goal is to foster the educational development of public servants, to build a more efficient and better accountable financial and economic environment. The MOF Academy offers educational programs and advanced training courses in budgeting, treasury process, fiscal control, taxation, financial market issues, accounting, audit, banking, insurance, financial management, public and municipal management, public and municipal finance, and other disciplines.

As MOF Academy tries to stay focused on both governmental and business sector, it directly supports Revenue Service in implementation of the new course. By raising the level of knowledge of the taxpayers and updating them with the latest changes in the legislation and procedures, MOF Academy can be seen as the linking point between the Revenue Service and the taxpayers.

Academy offers different training courses that might be interesting for the Revenue Service employees in the following directions:

- Taxation
- Budgeting
- Finances
- Management
- Accounting
- Economics
- Marketing
- Skills upgrading

MOF Academy's consultation house offers consultations to the business representatives about the taxation and related issues. This will be done with the help of the Revenue Service. MOF Academy's has been sending newsletters about ongoing procedural and legislation changes to the staff of the Ministry of Finance and Revenue Service employees for several months now, but in the nearest future this service will be accessible to the business sector as well.

ANALYSIS OF THE TRAINING SITUATION

Since the establishment in 2010, the Academy of the Ministry of Finance (formerly known as the Finance Academy of the Ministry of Finance) has conducted training courses in 11 fields for the employees of the Revenue Service. Around 500 employees of the Revenue Service have been trained from June 2010 to June 2011. The detailed information of the participants per training is shown below:

Name of the Training	Number of participants from the Revenue Service
TOT	**51**
Taxation Manuals	**221**
Gambling licensing	**28**
Effective Service	**50**
Customs Valuation	**29**

Temporary Import of Goods	**9**
Transfer Pricing	**21**
Thin Capitalization	**10**
Training Methodology	**6**
Phyto and Vet Control	**50**
Workshop on Tax Administration	**19**

Currently, the MOF Academy is working on designing a training module with the MOF of Netherlands on “Control Approach of the Tax Administration” and Tax Administration, where Revenue Service employees will be involved.

MOF Academy is always ready to work actively with the Revenue Service and other parts of the MOF in the direction of trainings, TNAs, and recruitment and selection.

DOCUMENT OF THE TRAININGS

The MOF Academy used to conduct request-based trainings for the MOF as well as the Revenue Service of the MOF in the past. With new vision, Academy is going to conduct TNAs at the MOF central departments and in its LEPLs as well. But if there is a request from any department, we will conduct the training, but still tailor it to the needs of that department.

Academy takes each training as a separate project and prepares it following the scheme:

All the courses of the MOF Academy are as interactive and result oriented as possible. We reach this by having our trainings:

- Theoretical and practical
- Discussion based
- Role and simulation play
- Every program tailored to individual needs

The trainings at the MOF Academy are designed in the framework of the ADDIE methodology. All the training materials and other forms used at the teaching processes are standardized.

Each training at the MOF Academy is evaluated by the trainees and the result of the inquiries is shared with the customers.

The information in 4.7 was provided by the MOF Academy

RECENT RS TRAINING ACTIVITIES

The weekend of September 2-4, 2011, the Revenue Service organized and delivered workshop trainings in the Adjara region of Georgia. The training took place in the Adjara National Park and in Batumi. Several nontraditional classroom activities were planned for the weekend, which included team building, cooperative, interactive, and collaborative activities. The training participants included the employees of Taxpayers Service Centers and Prevention Tax Officers.

The RS determined that training of this type can help build better working relationships among the MOF employees and help to overcome any tension created by the introduction of the new Prevention Tax Officer position. Prevention Tax Officers are assigned to each district of Tbilisi to raise awareness to taxpayers on their rights and liabilities. This new initiative is currently viewed by the taxpayers with skepticism and apprehension particularly by Taxpayers Service employees who believe they have the same roles and responsibilities.

Despite the rainy conditions, the attendees seem to enjoy the weekend activities. The trainings conducted in the beautiful natural setting of the Adjara National Park helped to create a friendly atmosphere and helped the employees of the above-mentioned departments to share diverse perspectives and help them to better understand the rationale of the new initiative. By encouraging employees to think outside of the box through nontraditional classroom activities, HR management of the RS enabled the trainees to partake in open communication and voice their opinions. In the future, the Revenue Service HR department plans to conduct more of these nontraditional trainings.

Revenue Service Trainings in nontraditional classroom settings

Training took place in the Adjara National Park in September 2011

RS HUMAN RESOURCES BEST PRACTICES ASSESSMENT

Human Resources Best Practices Assessment was conducted in June 2011 when the HR department was newly established. The RS completed the same assessment in September 2011, which shows considerable development progress. The purpose of the original assessment in June 2011 (and again in September 2011) was to collect quantitative data on the quality of the organization's human resources strategy, planning, policies, and communication functions. Below is the listing of the results of the HR best practices in HR strategy, planning, policies, and communication according to the HR Department (self-assessed) for June, September, and year-end projected levels:

- Level 1: Not many HR practices are currently in place and the organization will need to refocus their energies on building the basic human resource functions.
- Level 2: There are some problems in relation to HR practices. Some of these problems may be quite serious. To rectify the issues, the organization will need to focus on improving the lowest-scoring characteristics.
- Level 3: The organization is in progress to be in fairly good shape from an HR best practices perspective; however, there may be a need to focus to rectify current issues.
- Level 4: The organization is close to where it should be in relation to HR best practices.
- Level 5: The organization is in compliance with and practicing international HR best practices at all levels within the organization.

RESULTS OF HR SELF-ASSESSMENT

ELEMENT	LEVEL in JUNE 2011	LEVEL IN SEPT 2011	2011 YEAR END LEVEL
	HR Strategy, Planning, Policies and Communication		
HR Strategy	3	4	4
Plan for HR Strategy Implementation	1	2	3
Policies	1	2	4
Strategy, Plan, and Policy Communication	1	2	3
Reporting Relationship and Focus	3	3-4	4
	Organizational Development		
Organizational Structure	3	4	N/A
Organizational Effectiveness Monitoring and Counseling	1	3	3
HR Role in Implementation of Organizational or Culture Change	3	3	4
	Recruiting		
Candidate Sourcing and Screening	1	2-3	3
Interviewing/Selection	1	3-4	2
Offer, Feedback, Closing, Selling	3	3-4	N/A
Cross Organization Coordination	1	4	4
Relationship with Sources	N/A	2-3	N/A
	Staffing and Succession Planning		

ELEMENT	LEVEL in JUNE 2011	LEVEL IN SEPT 2011	2011 YEAR END LEVEL
Posting Openings	3	3	N/A
Candidate Identification and Communication Across Business Units	2	2	4
Selection	1	4	4
Succession Planning and Development	N/A	2	N/A
	Training and Orientation		
Orientation	2	3	3
Needs Identification	2	2-3	4
Program and Structure	1	3	3
Tracking	N/A	2	N/A
Course Feedback and Results Measurement	2	2-3	3
	Appraisal, Development and Career Planning		
Performance Objectives	1	1	2
Appraisal and Feedback	1	1	2
Development Needs Identification	1	1	2
Career Planning	1	2	N/A
International Exposure	1	1-2	3
Identifying High-Potential Employees	N/A	1-2	N/A
	Compensation		
Philosophy/Strategy	2	2	4

ELEMENT	LEVEL in JUNE 2011	LEVEL IN SEPT 2011	2011 YEAR END LEVEL
Salary Plan and Structure	1	2	3
Benefits Philosophy/Strategy	1	1	N/A
Structure	1	1	3
Administration	N/A	1	N/A
HR Information Tracked	1	1-2	4
Information Access and Use	1	3	5
Data Maintenance and Accuracy	2	2-4	5
Platform	1	4	5
Communications Technology	3	4	N/A

Results by Percentage of Each Level

Level	Percentage by Levels-June 2011	Percentage by Levels-September 2011	Projected Percentage at 2011 Year End
1	52.63%	15.8%	0%
2	15.79%	31.6%	10.53%
3	18.42%	26.3%	26.32%
4	0%	26.3%	26.32%
5	0%	0%	7.89%
N/A	13.16%	0%	28.94%

The HR Department has made substantial progress in their department development from June to September 2011 raising several elements to Level 4. The goal is for HR to elevate their best practices to Level 4 and/or Level 5 by 2011 year-end.

RS JOB DESCRIPTION DEVELOPMENT

The EPI program employed the services of its subcontractor, PMCG, to conduct a job task analysis and develop job descriptions for 40 employee positions in the Revenue Service (Appendix D: Annex 7). PMCG's consultants will use their experience, knowledge of international best practices, and additional understanding to:

- Conduct a thorough analyses of the status of any job descriptions within the RS
- Clearly identify and describe any gaps between the above-mentioned RS status quo and international best practice with regard to job descriptions
- Perform a job task analysis for each position before drafting the job description
- Obtain and verify the information about jobs/positions and respective qualification requirements for each job at the RS
- Compile the information into well-structured and meaningful job description documents in both hard and soft copy. The final format of the submission of the job descriptions are at the discretion and final approval of the head of HR of the RS. The Head of Revenue Service HR has the right to request revisions to the format or content of job tasks and job description analysis as she deems necessary.
- Deliverables:
  a. **A** detailed report outlining the general approach and methodology
  b. Submit biweekly reports in addition to two progress reports, draft and final reports (according to the schedule provided to EPI) to the head of HR, and submit a copy to the EPI consultant or the EPI project in the event the EPI short-term consultant's contract ends before the end of the job description development.
  c. Inform the EPI consultant of focus groups, meetings, etc, so the consultant can attend these meetings to observe and office suggestions, if needed
  d. Prepare the format of the job descriptions according to the specification of the Head of the HR of the Revenue Service
  e. Submit written task analysis, job descriptions, and skills sets (knowledge and behavior) for 40 current job positions within the RS. The list of the positions is to be in agreement with the Revenue Service HR department.
  f. The methodology PMCG uses in conducting research and in writing the job task analysis and job descriptions is to be provided to the Revenue Service HR department to enable them to complete job descriptions themselves in the future thereby increasing the HR department's capacity development and future capabilities.
  g. Submit a sample job description of a 'Tax Auditor', including KSA and skill sets to perform that job. The sample will be reviewed by the head of the HR department for acceptance or revision. The sample will be submitted to the EPI consultant and the head of HR on September 7, 2011.

h. Prepare a written, detailed report outlining the general approach and methodology to be used in preparing the job descriptions. This report is due on September 7, 2011.
i. The period and place of performance is September 12, 2011 through December 20, in Tbilisi, Georgia (with travel to the regions as necessary) and will not exceed 124 man-days.

The EPI STTA consultant will monitor the progress of the HR job description development until the end of her LOE on September 16, 2011.

C. RECOMMENDATIONS

DEVELOPING A HUMAN RESOURCE MANAGEMENT STRATEGY

It is recommended that the Revenue Service take the following steps in developing the Human Resource management strategy:

- Understand the RS business strategy
- Develop a mission statement or statement of intent
- Conduct a SWOT analysis of the organization
- Conduct a detailed human resource analysis focuses on the organization's culture, people, and HR systems
- Determine critical people issues
- Develop consequences and solutions of taking various courses of action broken down into the HR systems areas of:
  - Employee training and development
  - Management development
  - Organizational development
  - Performance appraisal
  - Employee reward
  - Employee selection and recruitment
  - Manpower planning
  - Communication
- Implement and Evaluate action plans

COACHING, MENTORING, AND OJT

In order to measure the impact of training, it is proposed that each trainee complete an Action Plan during the course of the training which outlines how the trainee will apply the knowledge/skills to the job. The coach/mentor would play a significant role in monitoring the action plan and the application of the action plan to the trainee's job. As the training department under the HR department of the RS is in its initial formation, it is advised that coaches and mentors also be considered as an integral part of the training process.

Studies estimate that between 80% and 90% of all learning occurs outside of the classroom. Therefore, equal effort should be given to building a system to provide coaching, mentoring, and OJT for all Revenue Service staff. Listed below is a definition of each intervention:

- **Coaching:** A trained internal or external coach or supervisor trained in coaching skills utilizes a process of facilitating the thinking, exploration, curiosity, and action planning of another person in order to enhance competence and/or performance.

- **Mentoring:** An individual one or two levels higher than the mentee from his/her own experience in specific areas of industry and function for the purpose of career development.
- **OJT:** A supervisor or peer provides hand-on instruction at the actual job site using actual tools and resources for the job while engaged in the occupation.

It is recommended that Revenue Service focus and strengthen current OJT. This will allow sufficient development of Revenue Service senior management staff to provide coaching and mentoring. It should be a responsibility of all management staff to foster the development of their staff as well as groom them for future positions.

TELECLASSROOMS AND E-LEARNING

One of the challenges that Revenue Service faces is how to provide high-quality, live learning events that focus on complex skill building given the geographic dispersion of the staff. One solution is a network of electronic classrooms (TeleClassrooms or E-Learning platforms) across Georgia that link learners together in a shared experience. The Revenue Service staff could attend high-quality live learning events from their local office.

Currently, the Revenue Service relies on the MOF Academy instructors, instructors within the RS, and outside vendors to provide classroom training. This only allows limited candidates to participate in training annually.

The Revenue Service recently identified a donor who will provide funding to set up an e-learning platform to enable courses to be delivered via the Internet. As a pilot e-learning project, the Customs Department is translating 10 World Customs Organization e-learning modules into Georgian so the new officers can enhance their knowledge of customs processes, procedures, and regulations. Feedback and evaluation from the participants in this pilot program will determine the next steps to be taken.

CULTURE

As mentioned in the TNA, culture is the implicit shared values, beliefs, and assumptions that influence behavior, attitude, and meaning in an organization. Cultural messages are sent through three channels which convey what is valued in the organization, in this case Revenue Service. Listed below are the channels:

BEHAVIORS

- How senior managers and key influences act or behave as observed by employees?
- What is said and what is done (or, more importantly, what is said versus what is done)?
- How people work: one-on-one, in teams, in larger forums?
- How employees interact with peers, internal customers, and suppliers?

SYMBOLS

- How time is spent?

- Where resources are invested?
- The physical environment/layout?
- What and who is rewarded (and how)?
- Who is involved with what?
- Use of values statements
- Rituals (e.g., year-end celebrations).

SYSTEMS

- Goal-setting/budgeting process
- Reporting and measurement
- Reward mechanisms
- Performance management process
- Communication methods
- Career development programs
- Strategic alignment of these systems.

Consideration should be given to taking a close look at Revenue Service's current versus ideal culture and how it can be harnessed to effect the needed changes in the organization. Specifically, an assessment could be conducted to measure Revenue Service's culture on the following 20 dimensions distributed among 5 orientations:

- **External Focus** – How Revenue Service responds to the external environment.
  - Focus on customer
  - Strategic context
  - Shared goals and objectives
  - External competitiveness.
- **Results/Achievement** – How Revenue Service drives action and achieves results.
  - Commitment to results
  - Action orientation
  - Independence
  - Accountability.
- **Structure/Consistency** – How Revenue Service organization structures work to achieve consistency.
  - Protocol
  - Conformity
  - Formalization
  - Control.

- **Relationships** – How personnel at Revenue Service interact with and treat each other.
    - Collaboration
    - Supportiveness
    - Involvement
    - Openness and trust.
- **Learning/Adaptive** – How Revenue Service learns and adapts to change.
    - Support innovation
    - Encourage learning
    - Embrace change
    - Propensity toward risk

HOW REVENUE SERVICE LEARNS AND ADAPTS TO CHANGE

This will allow Revenue Service to know the organizational levers that can be pulled to effect change in the organization as well as measure progress over time to have a work culture that positively affects individual performance.

TRAINING PLAN

The RS Training Department should appoint a committee to draft a training plan which presents the methodologies for developing and implementing training to fill cognitive, psychomotor, and affective training needs identified by the Revenue Service. It is recommended that the training plan incorporates the training procedures and practices based on the ADDIE instructional systems design. The courseware should be performance oriented, competency based, and results oriented. Trainees should be required to demonstrate knowledge and skills in using components of the target training. The EPI consultant provided an ADDIE toolkit, a training plan, an outline for the strategic training plan, and a sample strategic plan adapted to the Revenue Service needs. After the RS reviews these plans, it is hoped that the Training Department will be able to develop their training plan.

MANAGING AND DEVELOPING THE TRAINING FUNCTION

The people responsible for the training role within the RS need to have specialized competencies, such as design, needs assessment, and facilitation abilities. Successfully managing a training department requires a broad based of competencies. Each HR employee in the training department should have the following competencies:

- **Business Knowledge**. Having a basic understanding of business dynamics and of the organization’s goals, performance, and key success factors is essential.
- **Knowledge of Training and Performance Consulting**. Having a basic understanding of needs assessment methods, adult learning theory, writing learning objectives, training design, facilitation skills to perform tasks, and application of the ADDIE model.

- **Organization and Management Skills**. Having a system in which to organize activities, program logistics, budget expenses, etc.
- **Intellectual Skills**. Having solid cognitive skills as well as the critical intellectual skills of observing, identifying problems and priorities, analyzing data, and taking a systems approach to problems.
- **Relational Skills**. Developing the ability to create a positive impression, identify people's needs and expectation, and attend to verbal and nonverbal clues. Communication skills are essential.
- **Technical Skills**. Being able to use the Web, create presentations, and manage a budget are critical in a training department.
- **Resourcefulness**. Thinking of a variety of options is essential for the success of the training department. The more flexible the solutions, the more likely the best approach will be used.
- **Resilience**. Keeping up with constant change and pressure without being overwhelmed.
- **Enhancing Value to the RS**. Creating a development plan is one of the best ways to ensure that training department employees obtain the necessary knowledge, skills, and personal attributes to manage the department effectively.

CHANGE MANAGEMENT AND COMMUNICATIONS PLAN

Another important step is for Revenue Service to develop a change management and communications plan. The purpose of this plan is to address the change elements and Revenue Service stakeholders that will directly impact the development, delivery, and acceptance of the training and management solutions outlined in the recommendations section. If there is no plan for the required and needed communications mechanisms, then there is a risk of alienating key stakeholders engaged in implementing the training and management solutions. Therefore, it is imperative that the communications strategy and plan incorporate the key components of the training and management solutions for the various stakeholders.

STANDARD OPERATIONS PROCEDURES MANUAL

It is recommended that in order to support both the Revenue Service in delivering trainings and the RS organization itself, policy and procedures should be developed to support Revenue Service in setting up a sustainable training program under the Human Resource Department in the following training activities:

- External donor provided foreign training
- Revenue Service provided training.

All policies and procedures will be developed using the ADDIE model which is composed of the following components:

- Analysis
- Design
- Development
- Implementation

- Evaluation

TOT PROGRAM

A comprehensive TOT program is tentatively scheduled to be conducted by an EPI expat expert in December 2011. The program will consist of three courses:

- **Curriculum Development** – This course is designed for new and current curriculum designers to assist them in creating effective, dynamic, and performance-based training materials using instructional systems design methodology.
- **Test Writing** – This course is designed to support the instructors in designing, preparing, and evaluating valid tests. The course will address the importance of constructing course tests that accurately document participant learning through a series of well-crafted questions that are reflective of the course material.
- **Presentation and Facilitation Skills** – This course is designed to help trainers effectively deliver dynamic presentations and ensure that the courses, workshops, seminars, or lectures are well presented and well received by the participants.

COURSE MATERIAL DEVELOPMENT

The newly trained instructors will begin work during the curriculum development course on their individual courses. The process will begin with the identification of the course terminal learning objectives. The RSTAB, using a course learning design document, will review and approve the course terminal learning objectives and planned course content. Once approved, the instructors will begin developing the course materials:

- **Participant Guide** – A reference guide to be utilized during and after the course
- **PowerPoint Slides** – A visual to provide learning guidance to participants
- **Assessment Tests** – An activity to test knowledge and skill application (Pre/Post tests).

All courses will be piloted and finalized. Once all course materials are finalized, the instructor's guide will be prepared so that the course can be systematically delivered as designed.

D. ADDITIONAL INFORMATION

During this consultancy, the EPI consultant completed many value-added activities both in the Revenue Service and in the MOF. Some of these activities are listed below:

Value-Added Activities	Department
Mentor to the HR of the RS and to the training advisor • Taught HR (or raised awareness) about international best practices and provided advice on required elements • Coached the HR staff on particular skills • Facilitated the HR staff's growth by sharing information and knowledge • Challenged the HR training coordinator to move and think beyond her comfort zone • Created a safe learning environment for taking risks • Focused on the HR total development according to best practices	Revenue Service HR and Training Department
DOCUMENTATION PROVIDED Training: • Analysis Template Book by Donald R. Clark; Training Analysis Instructions • Strategic plan outline for training • Methods of training needs identification-the process • Documentation for framework for training • Article: Strategic Planning in Unpredictable and Rapidly Changing Contexts-a Participatory Step-by Step Approach • Four-stage strategic planning process • Training impact analysis • Empowerment/Leadership and Communications Workshop Know How Materials • Establishing a Training Department • Blackboard training e-learning platform for government • Training design competencies checklist • Linking learning strategy to business strategy • E-learning model newsletter and training Web site example • E-learning open source software	Revenue Service HR and Training Department

Professional Curriculum Development • Guidelines for creating and assessing curriculum: Instructional design elements and content review • Documentation on random controlled trials Human Resources Department • Implementing a performance management and Assessment system. A ptep-by-step approach • Examples of HR competency framework • Career development of employees • Performance Appraisal form template • What is effective coaching and mentoring at work? • Coaching and mentoring benefits • Sample job descriptions • How to perform job task analysis • How to develop job descriptions Evaluation • Examples of training evaluation forms • Training expectations • Monitoring and evaluation • Conducting in-depth interviews: A guide for designing and conducting in-depth interviews for evaluation input • Measuring the impact of training to demonstrate the measurable results on investment	
Provided English language software	International Relations/MOF
Provided English language software	MOF Academy
ADDIE instructional systems design toolkit	MOF Academy
Mentored MOF Academy Director in various subject area	MOF Academy
Provided input on the interior design and setup for the new MOF Academy facility	MOF Academy
Arranged for the Director of MOF Academy and the Deputy Minister of the MOF to attend the GITEX Exhibition in Dubai in October, 2011.	MOF Academy Ministry of Finance
Arranged for the Director of MOF Academy and the Deputy	MOF Academy

Minister of the MOF to meet with the Minister of Finance in Dubai in October, 2011	MOF
Participation in a nontraditional RS training in the Adjara National Park	RS Training

ANNEXES

Annex 1: Training Plan Outline for Individual Trainings

Annex 2: Training Needs Assessment Formats

Annex 3: Revenue Service HR Strategic Plan

Annex 4: Training Function Systems Self Audit Format

Annex 5: Charter of the MOF Academy

Annex 6: MOF Academy Policies

Annex 7: SOW for Vendor Selected to Develop Skill Sets and Timeline

Annex 8: Methodology for Analysis of Job Descriptions

Annex 9: Revenue Service Strategic Training Plan Outline

Annex 10: Revenue Service Training Strategic Plan

ANNEX 1

This training plan is meant to be used in conjunction with the ADDIE TOOLKIT previously submitted

Revenue Service of Georgia

Training Plan

Template

Version No.1 ● January 19, 2012

Company Name

Street Address 1

Street Address 2

City

Country

Tel: +xxx-x-xxx-xxxx Fax: + xxx-x-xxx-xxxx

Last edited: 19 January 2012

Training Plan

Revenue Service of Georgia

USAID/EPI

Question: Version: No.1 Revision Date [Date]

Head of Revenue Service		
[Name]	[Email]	[Telephone]
Signature		Date

Head of Human Resources		
[Name]	[Email]	[Telephone]
Signature		Date

Head of Training Advisory Board		
[Name]	[Email]	[Telephone]
Signature		Date

Head of Training		
[Name]	[Email]	[Telephone]
Signature		Date

Document History

Revision History

Revision Number	Revision Date	Summary of Changes	Author

Reference Documents

Please see the following documents for more information:

Document Name	Version	Author

Distribution List

This document has been distributed to:

Name	Position	Company	Action

1 Introduction

Describe the purpose of the training plan and how the document is organized.

For example: "This Training Plan outlines the steps required to analyze, design, develop, implement, and evaluate (ADDIE Instructional System Design) the required training for employees of the Revenue Service of Georgia. The Training Plan outlines the objectives, needs, strategy, and curriculum to be addressed when training employees at the Revenue Service."

Defining goals will ensure that the training plan provides a sound basis for choosing appropriate evaluation methods and success criteria. In other words, trainees will know in which direction they are moving and the trainers will know whether they are getting there. This means that evaluating the success of the training program becomes much easier after defining exactly what should be achieved and having identified the success criteria for both the trainers and trainees.

Your learning objective should contain the following elements.

Performance - An objective highlights to the trainee what they are expected to do and how it will be measured. The objective sometimes describes the product or result of an action. Use verbs, such as state, describe, list, compare, and explain to describe actions that your trainees might do.

Conditions - An objective may describes conditions (if any) under which the performance occurs (for example, when and how to contact a customer if they are late in paying their credit card bill.)

Criterion - Wherever possible, an objective might describes the criterion of acceptable performance by describing how well the trainee must perform in order to be considered acceptable (for example, answer X number of telephone calls within 20 minutes).

Background

Provide a general description of the solution/product to which this training applies. Include explanatory information on the training curriculum and cross-reference to spreadsheets and other project documents.

Scope

Describe the project and/or organizational boundaries that impact the training plan. Clarify areas that are in and out of scope.

For example, your training plan may cover the following areas:

Audience

Objectives

Course material

Delivery method

Duration/class size

Schedule

Technical requirements

Assessments

Your training plan can also focus on the modules your course will cover:

Accounts payable

Accounts receivable

Cash collections

General ledger

Project costing

Objectives

Describe the objectives and/or expected results that this training plan will achieve. Aims and objectives are essential for designing an effective training plan. Without understanding the purpose and expected results of the training, projects can over-run, costs can spiral, and staff members will be unable to perform their duties.

Smart Method for Creating Objectives

Use SMART to set objectives. SMART stands for:

Specific – Objectives should specify what they want to achieve.

Measurable – You should be able to measure whether you are meeting the objectives.

Achievable - Are the objectives achievable and attainable?

Realistic – Can you achieve the objectives with your current resources?

Time – When do you want to achieve the set objectives?

Clearly defined aims and objectives ensure that there is a sound basis for the selection and/or design of materials, content, and methods.

Difference between aims and objectives

Aim – This is a general statement of intent. It describes the direction in which the trainee will go in terms of what they might learn or what the training will do.

Objective – This is a more specific statement about what the trainee should, or will be able to do, after the training experience.

Aims and objectives play a vital role in planning the following:

- Training program
- Training course
- Training events for individual learners
- Methods of evaluation

Identify the tasks (for example, new skills that will be acquired) that users will be expected to perform after they have completed the training.

Define the success criteria for this training program:

- Success Criteria No. 1 – e.g., trainee scored 75% in Word proficiency test
- Success Criteria No. 2 – e.g., trainee completes all activities within four hours
- Success Criteria No. 3 – e.g., trainee scored 75% in four modules

Assumptions

Describe the assumptions you have made when preparing this plan, for example:

- Every employee that will use the new knowledge acquired will attend/complete the requisite training.
- Additional and/or remedial training will be provided to ensure all users are adequately trained and can successfully perform all tasks on the job.
- Managers/supervisors will help define and drive the training plan.
- Sufficient funding will be budgeted to support training.
- Line managers will be responsible for ensuring their personnel attend training.
- Line managers and HR will identify prospective trainees and release them as per the course schedule.
- Training materials will be available for trainees to practice new skills after completing their required classes.

Points of Contact

Identify the points of contact that may be needed by the reader for informational purposes.

Role	Name	Email	Telephone

Assumptions

Assumptions define conditions not known, but under which the training plan is planned, budgeted, and managed. The following assumptions and constraints underlie the training plan for the Revenue Service. Changes to these factors may affect the cost, schedule, or scope of the work.

Ref No.	Assumption	Impact

Constraints

Constraints are factors that restrict the project by scope, resource, or schedule.

Ref No.	Constraint	Impact

Describe constraints under which the training plan must be conducted, such as time frames, deadlines, funding, skill levels, resource, schedule, and budget.

2 Training Requirements

Identify the audience (e.g., end-users, system administrator) and their level of proficiency in their job at the Revenue Service. State the time frame in which training must be accomplished, for example, if it needs to be completed before a specific date.

Audience

Describe the intended audience(s) for this training plan, broken out by department units and user types.

Roles and Responsibilities

Identify the roles and responsibilities of the training staff, such as content development, classroom presentation, ensuring compliance.

Identify others sources of information, such as members of the development team or subject matter experts that may assist in content development and/or performing actual training where required.

Training Evaluation

Describe how training evaluation will be performed. This is to ensure that all attendees are assessed after training and can perform their work tasks successfully.

Identify the tools, forms, metrics that will be used to perform this evaluation.

Describe how the course material may be revised and updated based on feedback following the evaluation process.

Delivery Method

Describe how training will be delivered, e.g., in a classroom environment, Web-based sessions, or on their own PCs.

Materials

Outline course materials, such as user guides, PowerPoint slides, and other documents that will be used to deliver the training.

Duration

Outline the duration and location of the training, for example, Monday – Friday between 9:30 - 4:00 at the company headquarters.

Size

Outline the number of attendees per session. Highlight the importance of not exceeding this number as the quality of training may be negatively impacted by higher numbers.

Facilities

Describe where training will be conducted. Highlight technical resources you may need at these locations, such as flip carts, computers, intranet access, and whiteboards.

Instructor Evaluation

Circulate a course evaluation form to each trainee upon completion of the training session.

Use this form to gather feedback on the instructor, course outline, quality of content, and materials provided. Use this feedback to update and/or improve future training sessions.

Updates

Identify the individuals who will update the training course as/when required.

Staffing

Identify the trainer(s) will be deliver the training course.

3 Instructional Development

The ADDIE Model

Discuss the approach used to develop the course curriculum and training products.

Outline the methodology used to analyze training requirements in terms of objectives for each target group. Identify the topics or subjects on which the training will be conducted.

Issues and Recommendations

Outline any current and foreseeable issues relating to the training.

Identify recommendations for resolving each issue.

Highlight constraints and limitations where appropriate.

Needs and Skills Analysis

Describe the target audiences for each course module. These may include: IT experts, end users, and executives depending on the type of material you are developing.

Discuss the training needs for each target audience. If appropriate, discuss needs and courses in terms of staff location, such as headquarters and regional offices.

Describe the tasks that will be taught to meet objectives successfully and the skills that will be learned to accomplish those tasks.

5 Training Strategy

Describe the type of training (e.g., Web, classroom) and the training schedule (duration, sites, and dates). Some factors to document include details of the training facilities, access to networks, intranet and Websites, as well as security clearance and physical access to buildings.

Training Sources

Describe the training provider. Training may be internal (course developed in-house) or external (contracted to external training agencies).

Capture the name, contact details, and other relevant details.

Pilot Training

Once the training content is developed, present it to a test group, such as the training manager, IT development team members, end users, or members of the target audience.

Describe the proposed pilot class (audience, location, date, etc).

Revise the training based on their feedback.

Dependencies/Constraints/Limitations

Identify all known dependencies, constraints, and or limitations that could potentially affect training delivery.

6 Training Schedule

Outline the high-level training schedule, including the main activities involved in the course:

Curriculum Design

Develop Training Material/Pilot classes

Deliver Foundation and Prerequisite Courses

Instructor Preparation and Training

Deliver Classroom Training

Develop Evaluation Program

Execute Training Evaluation Program

Develop Training Environment Infrastructure

Training Program Activities

Outline the estimated time frames for the overall training program activities.

Sequence	Activity	Start Date	End Date
1	Complete skills assessment		
2	Define audience size by module		
3	Develop project plan		
4	Develop course designs		
5	Develop training material		
6	Refine training material		
7	Deliver training to users		
8	Review feedback		
9	Refine training material		
10	Submit to documentation repository		

Foundation/Prerequisite Activities

Describe the foundation and prerequisite courses that need to be developed and delivered in advance of the training.

Sequence	Activity	Start Date	End Date
1	Complete skills assessment		
2	Define audience		

3	Develop project plan		
4	Develop course designs		
5	Develop prerequisite training material		
6	Refine training material		
7	Deliver training to users		
8	Review feedback		
9	Refine training material		
10	Submit to revenue service training advisory board		

7 Training Resources

Identify the resources required for the trainer to prepare the training program.

This may include hardware, software, documentation, and other resources required to understand the product and deliver the training course successfully.

Identify other potential resources.

Software Requirements

Identify the software required to prepare/deliver the training program.

Software package:_______________

Software package:_______________

Software package:_______________

Hardware/Network Requirements

Identify the hardware/network required to prepare/deliver the training program.

Servers

Connectivity

Other requirements

Trainer Requirements

Identify items required to prepare/deliver the training program.

Flipcharts

Overhead Projectors

Laptop

8 Training Environment

Describe the equipment and conditions required for the training, including installations, facilities, and dedicated workstations.

Identify any actions required by other groups, such as tech support, to ensure equipment is in place and specified conditions are met before the training course an begin.

Date	Training	Equipment needed	Support needed	Facilities	Comments

9 Training Materials

Describe training materials required for the course, such as overhead projectors, handouts, workbooks and computers.

The training materials and curriculum should accurately reflect the system upon which the training is based.

Develop a user guide for the trainees. This can be used as a reference during and after the course.

Develop an instructor guide. This is very useful for future trainers who may not be as proficient with the system as the current trainer.

Updating Training Materials

As training materials are subject to the same configuration management process as other system documentation, they should remain in line with changes to system enhancements.

To accomplish this, the training team should ensure that training materials are updated before the next training program.

Describe the change release process and how training materials will be updated.

10 Training Security

Describe the security aspects of the training program, for example, users will not receive passwords to the training environment until they attend their first class.

Access to Training Material

Outline how the training team will define and publish the training security process and rules. Access to master copies must be controlled and limited to the training team. Changes to training material must be approved by the training advisory board and documented.

Access to Training Environment

Describe how access to the training environments will be controlled.

Training Classes

Describe how trainees will receive credit for classes attended.

Learning Management System

Describe how and who will enter data into a Learning Management System, open source LMS, or in-house training management system

System for Measuring Training Knowledge/Skills to Job

Describe how the knowledge and skills will be used on the job and how effectively the trainee can apply this knowledge/skills.

Training Program

Document Owner: Revenue Service-Human Resource/Training

Category	Training Module	Content	Duration	Development Time	Cost	Input Required
EXAMPLES:						
Internal						
General						
Company Security						
Total						

Training Assessment

Document Owner: Revenue Service-Human Resource/Training

Title	Trainee	Trainer	Start Date	End Date	Target Score	Actual Score	Evaluation (Pass/Fail)

Training Budget

Organization: Year:

Department: Submitted by:

Annual training allotment:

1Q Budget: 3Q Budget: Total Budget:

2Q Budget: 4Q Budget:

1st Quarter Training Budget

Line	Item	Description	Qty.	Cost/Rate	Total
1	Course development				
2	Consulting fees				
3	Content development				

4	Facilities				
5	Hardware				
6	Instructional materials				
7	Instructor fees				
8	Software licenses				
9	Technical equipment				
10	Travel				
				Grand Total	

2nd Quarter Training Budget

Line	Item	Description	Qty.	Cost/Rate	Total
1	Course development				
2	Consulting fees				
3	Content development				
4	Facilities				
5	Hardware				
6	Instructional materials				
7	Instructor fees				

8	Software licenses				
9	Technical equipment				
10	Travel				
				Grand Total	
		3rd Quarter Training Budget			
Line	**Item**	**Description**	**Qty.**	**Cost/Rate**	**Total**
1	Course development				
2	Consulting fees				
3	Content development				
4	Facilities				
5	Hardware				
6	Instructional materials				
7	Instructor fees				
8	Software licenses				
9	Technical equipment				
10	Travel				
				Grand Total	

4th Quarter Training Budget					
Line	**Item**	**Description**	**Qty.**	**Cost/Rate**	**Total**
1	Course development				
2	Consulting fees				
3	Content development				
4	Facilities				
5	Hardware				
6	Instructional materials				
7	Instructor fees				
8	Software licenses				
9	Technical equipment				
10	Travel				
				Grand Total	

Training Request [New Project]

Project Name

Start Date	Date 1	Date 2	Date 3	Date 4	Date 5

Training Locations	Trainee #s	Date			

Systems required for training	System 1	System 2	System 3	System 4	System 6

System Training Required	System 1	System 2	System 3	System 4	System 6

Training Record

Document Owner: RS of Georgia

Title	Description	Trainer	Start Date	End Date	Target Score	Average Score	Issues

Action Log

Document Owner:
RS of Georgia

Item	Action Required	Person	Target	Status	Reason	Remarks	Issues

Status							
Color	GREEN			YELLOW			RED
Code	(Green = Complete, Yellow = Pending Item - Medium priority, Red = Pending item - High priority)						

ANNEX 2

TNA

Identify the training program to be developed.

Type of data	What data is available currently?	What data is needed?
Determine the desired performance		
Analysis of participants		
Learning context		
Content expertise		
Training expertise		

Logistical requirements		

REVENUE SERVICE TNA – COMPONENTS AND INSTRUMENTS

Instruments/ Components	Direct Observation Findings measured against skill sets	Questionnaires	Standardized/ Semi standardized Interviews	Consultations with internal/ external resource persons	Focus Groups	Tests	Work Samples	External References (Internet, Literature, reports, etc.)	Trainer's/Training Planner's experience/ Manager input
Context Analysis	X	X	XX	XX	(X)			X	X
Beneficiaries Analysis	XX	XX	XX	X	X	XX	X	X	X
Work Flow Analysis	XX			XX	XX	(X)		XX	X
Content	X	X	XX	X	XX	X		XX	X

Analysis									
Suitability Analysis		X	X	XX	X	X			X
Cost/benefit Analysis				X			X	X	X

Context Analysis

Looks at the institutional background of the client (decision makers, commitment, preferred learning methods, etc.)

Beneficiaries Analysis

Looks at the knowledge level, the expectations, and learning styles of the intended target group

Work Flow Analysis

Looks at the processes that need to be improved and the existing skills level

Content Analysis

Is the building block of the training, the intended methods, tools and exercises, the content. It is the first sketch of the training program

Suitability Analysis

Looks at whether the intended training program will serve the objectives of the training (i.e., improvement of certain work flows, enhancement of knowledge, skills, and attitudes of the beneficiaries), and whether the intended training style fits into the organizational culture and learning patters of the host.

Cost/Benefit Analysis

Looks at whether the costs of the training will produce a tangible outcome and analysis whether the planned costs of the training program will be justified by the short-and long-term benefits of the training.

ANNEX 3

HR Strategy for 2011

Core Strategic Objective: Introduce a new professional image of the Revenue Service to the customers/taxpayers: “Revenue Service – Competent and Reliable Partner”

HR Strategic Objectives: Development and implementation of efficient staff policy and respective procedures in line with the RS strategic goals and set priorities.

To be implemented	Status	Priority Level	Notes
Creation of a Positive Corporate Image of RS HR Department for:			
RS employees	Ongoing, although the level of communication is poor	Very High	
RS department and division heads/senior managers	Successfully implementing	Very High	
In the external market	Successfully implementing	Very High	
Development of Standard and Systematized Operating Procedures			
Develop specific regulations for departments and divisions under RS	Developed reflecting recent legal changes and needs. Currently under revision	Very High	
Description of roles and responsibilities of RS staff	At the preparatory stage, getting insights and suggestions from service providers, having close cooperation with donor organizations. Seeking for funding possibilities	Very High	
Define competencies and qualification	Under development	Very High	

requirements per specific positions			
Develop, approve, and revise detailed job descriptions	Under development	Very High	
Unified Data Base for RS Staff			
Record, store, and upgrade data	Under development	Very High	
Maintain, process, and analyze statistical data	System developed, in the process of improvement	Very High	
Software for Human Resource Management and Development			
E-management of staff and corporate data	Under development and testing	Very High	
E-management and archiving of human resource data and pertinent files	Under development and testing	Very High	
Gradual development of the software required for trainings, staff recruitment, performance evaluation, and other surveys and studies	Planned, seeking for donor's assistance to procure additional modules	High	
Develop, implement, and manage internal corporate system of communication	Planned	Very High	
Personnel Trainings and Qualification			
Needs assessment/analysis, training strategy development	At the initial stage, preliminary works have been initiated	Very High	
Select and hire full-time trainers to deliver the following training courses; Quality service standards and norms, general principles of management, time management, media communication, conflict management, managing challenging customers, nonverbal communication, body language, etc.	Training coordinator selected, working on training courses	Very High	

Select and train respective candidates as trainers to deliver the following trainings: Planned professional trainings and attestation designed to upgrade and improve the level of qualification of RS employees Periodic trainings designed to provide updated information regarding legislative changes and ensure efficient customer service.	Planned to be accomplished shortly	Very High	
Develop the system of incentives/rewards for RS full-time trainers	Planned to be accomplished shortly	Very High	
Performance Evaluation, Respective Forms, and Templates			
Identify performance evaluation indicators/criteria	Planned to be accomplished shortly	High	
Develop and test evaluation forms and templates	Preparatory works. Several forms have been piloted	High	
Back-up Human Resource Selection and Upgrading			
Planned and seasonal internship for volunteers	Under implementation	High	
Corporate internship for students with diverse background and specialty	MOU to be signed with Higher Education Institutions	High	

Information provided by the HR Department of the Revenue Service

ANNEX 4

Training Function Systems Audit

1. Select Strategic Roles and Responsibilities for Training Managers

Use the descriptions on the next pages and identify the level of development achieved for each activity. Write that number on the line below using these levels of development:

1. Little/none: Aimed at short-term results
2. Basic: Requirements have been defined
3. Intermediate: Aimed at effective use of internal expertise
4. Advanced: Aimed at continuous improvement

Activities

______ Link assessments to vision, mission, and business plan

______ Anticipate future needs and use long-term planning

______ Develop a short-term training plan

______ Develop priorities consistent with the business plan and act as a performance consultant to the organization

______ Prepare, monitor, and modify a budget

______ Manage training-related projects

______ Ensure legal, ethical, and regulatory compliance

______ Develop a positive relationship with those who train and develop courses

______ Gain access to upper management

______ Support and develop training function personnel

______ Use and supervise external resources

______ Participate in outside professional organizations

______ Keep up-to-date with training trends

______ Total score (divide total score by 13 to identify the average stage of development)

______ Average stage of development (scale is 1 to 4)

Training Function Systems Audit Descriptions

1. Select Strategic Roles and Responsibilities for Training Manager

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Link assessment to vision, mission, and business plan.	There is no clearly defined vision, mission, or business plan. If a vision, mission, and business plan exist, they are not clearly communicated by training function management.	The vision, mission, and objectives are clearly defined for the staff by training function management and limited to the business' products and or services.	The training function's vision, mission, and objectives are developed into a training plan in a participative manner with the training manager and those who train assess training needs or act as performance consultants.	When necessary, the vision, mission, and objectives are adjusted based on internal and external information from management, training function, and the client.
Anticipate future needs and use long-term planning.	None done.	Crisis management and lack of long-term planning is the norm. Little short-term planning is done.	Training manager promotes cross-training among those who train to provide flexibility in training delivery or when providing other performance solutions. Some needs assessment is done and a training plan is developed for at least one year.	Training manager supports those who train with time, funding, training, and facilities to continually improve internal processes. Needs assessment is integrated into the operation as an ongoing activity and training plans, including nontraining solutions, are projected for three to five years to meet the business needs.

Training Function Systems Audit Descriptions

1. Select Strategic Roles and Responsibilities for Training Manager *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Develop a short-term training plan.	None done	Training needs and wants are sorted. The training manager helps operations identify training needs.	A training plan is completed in response to specific requests and includes conducting one or a few training events and nontraining solutions. Training costs are identified and more than one resource is identified for selection of the best alternative.	Training manager partners with operations to identify training needs that are tied to business needs. Training and nontraining solutions are used to improve performance. The annual planning process has input from operations, internal trainers, and customers.
Develop priorities consistent with the business plan and act as a performance consultant to the organization.	Criteria to sort the training function's priorities are unclear. The training manager is reactive and focuses on administrative functions. Roles and responsibilities sometimes are unclear and overlap with other areas.	The training manager has a generally written job description and a specific line of reporting authority. Much of the actual work for the training manager can be summarized in the "other duties as assigned" category.	Training manager's priorities are to act primarily as a performance consultant to the client, act as a resource to find courses, develop and find back-up instructors, as well as nontraining solutions. Roles and responsibilities of training manager are clear to him/her and others.	The training manager's priorities are to act primarily as performance consultant to the client, act as a resource to course developers, and see that the function is appropriately staffed to avoid canceling classes during a highly active training period. Nontraining solutions are widely accepted by the organization.

Training Function Systems Audit Descriptions

1. Select Strategic Roles and Responsibilities for Training Manager *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Prepare, monitor, and modify a budget.	No budget exists.	Individual projects are funded on an as-needed basis.	An annual budget is based on a training plan created from a needs assessment. Unanticipated projects are funded when cost justified.	An annual budget is based on a training plan created from a needs assessment. Unanticipated projects are reviewed for cyclical implications and future planning.
Manage training-related projects.	No formal project management process exists.	A template for managing projects is used on a sporadic basis.	A project management process is defined, used, and updated as needed.	A project management process is defined and systematically used, continuously reviewed, and updated.
Ensure legal, ethical, and regulatory compliance.	No formal policy statement exists.	Legal, ethical, and regulatory requirements are known and compliance is minimally documented upon request to avoid penalties.	Legal, ethical, and regulatory requirements are known and compliance is documented.	Legal, ethical, and regulatory requirements are known and compliance is documented according to a master schedule. Regulations and the documentation are regularly reviewed to ensure compliance.

Training Function Systems Audit Descriptions

1. Select Strategic Roles and Responsibilities for Training Manager *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Develop a positive relationship with those who train and develop courses.	The training manager leaves subject-matter experts alone to do their tasks with little information shared among those who train.	The training manager is selectively available to those who train and contact usually involves problem solving and complaint resolution.	The training manager shares his/her expertise with those who develop courses, train, and provide nontraining solutions.	Recognition and appreciation of individual and team contributions are normal and publicly expressed and are consistently used for professional growth.
Gain access to upper management.	The training function operates on a reactive basis to assist upper management with skill development for immediate operational requirements.	The training function has taken initial steps to gain access to management to support ad hoc minimal planning and skill development for operational requirements.	The training manager can access upper management on a regular and ad hoc basis and management shows a real interest in training issues. Upper management partners for needs assessment and follow-up from training events.	Upper management is directly accessible and supportive and participates as a sponsor for training function projects. Continuous improvement of the partnership is formally documented.

Support and develop training function personnel.	Little or no support is provided to those who train for the function.	There is a limited systematic approach to personnel support and development (performance appraisal and career planning, training plan, involvement).	The training manager regularly discusses the operational processes and work allocation of those who train and supports collection of skill development needs.	Those who train are routinely given time, attention, and resources for their professional development. A sabbatical model is often used.

Training Function Systems Audit Descriptions

1. Select Strategic Roles and Responsibilities for Training Manager *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Use and supervise external resources.	No method exists to contract and monitor the use of external resources.	A policy and procedures describe the appropriate use of external resources.	A practical policy and realistic procedures govern the appropriate use of external resources. They are periodically reviewed for compliance.	A practical policy and realistic procedures govern the appropriate use of external resources. External resources are trained in contract and monitoring compliance measures. External resources give input for policy and procedure revisions.
Participate in outside professional organizations.	Little or no support for membership in outside professional associations exists.	Attendance at outside training and professional meetings is limited due to the pressure of work.	Trainers/performance consultants attend outside professional development sessions and share that information with colleagues.	Active membership in professional organizations is normal. Trainers are trendsetters among their peers, giving presentations at professional conferences, and holding office in professional organizations.
Keep up-to-date with training trends.	No method exists to capture training trends.	Training manager has minimal awareness of training trends.	Trend updates are pursued on ad hoc basis.	Trend updates are integrated into doing business. The training function is a trendsetter and may participate in trend research.

2. A Performance Consulting Approach to Managing the Training Function

Use the descriptions on the next page and identify the level of development you have reached for each activity. Write that number on the line below using the following key for levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Act as a performance consultant to the client.

______ Select the appropriate role for each situation.

______ Use a systematic performance consulting process.

______ Total score (divide total score by 3 to identify the average stage of development)

______ Average stage of development

Training Function Systems Audit Descriptions

2. A Performance Consulting Approach to Managing a Training Function

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Act as a performance consultant to the client.	The training manager's priorities are to act primarily as a department head and an advisor to course developers and trainers and respond to requests from user departments.	The training manager's role is to act as a performance improvement consultant to management and align training with business needs.	Training events are not conducted without a needs assessment to sort training and nontraining issues and focus on performance improvement.	The training manager contracts with the client at the appropriate level for results, not just events.
Select the appropriate role for each situation.	Roles are primarily as a trainer, problem solver, and facilitator.	The training manager is aware of a variety of roles, including observer, questioner, advisor, and director.	The training manager selects appropriate role(s) based on the situation, the organization's culture, and current skills.	The training manager negotiates appropriate role(s), sets boundaries with the client, and often changes roles to gain a better result.
Use a systematic performance consulting process.	The training manager uses needs assessment to justify training events.	The training manager understands the elements of a systematic consulting process and begins to use steps based on current skills.	The training manager effectively uses an eight-step performance consulting process to contract for results, not events. Following an assessment, a performance improvement plan is developed and executed with the client's assistance.	The training manager report successes and looks for ways to improve the performance consulting process.

3. Partner with Management and Gain Support for the Training Function

Use the descriptions on the next pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

_____ Define/assess training needs with management

_____ Create a training plan for management's approval

_____ Set expectations and objectives with management

_____ Develop program content to meet agreed-upon objectives

_____ Provide overview/pilot of program for management

_____ Schedule training with consideration for workload and organization's needs

_____ Provide management with information to assist in follow-up coaching and support

_____ Validate content with observation of use of skills on the job

_____ Evaluate results of changed behavior with supervisors

_____ Review and revise training as needed

_____ Publish successes

_____ Total score (divide total score by 11 to identify the average stage of development)

_____ Average stage of development

Training Function Systems Audit Descriptions

3. Partner with Management and Gain Support for the Training Function

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Define/assess training needs with management.	The training function receives training requests.	Informal discussions verify the training needs.	Informal and formal needs assessments are jointly conducted by the training function and management's representatives.	Management supports or is involved in every step of the assessment process.
Create a training plan for management's approval.	An informal understanding substitutes for a training plan.	A 10-part training plan links training events to a business need.	A performance improvement plan broadens the scope of a training event.	The performance improvement plan is regularly assessed and modified as needed.
Set expectations and objectives with management.	Management expectations are vague or unexpressed.	Management clarifies their expectations of the training function.	Management and the training function share expectations of each other and agree on objectives.	Expectations and objectives are regularly reviewed and modified as needed.
Develop program content to meet agreed-upon objectives.	Existing program content is purchased and meets 50% to 80% of the objectives.	Program content is customized to meet most learning objectives.	Program content meets all learning objectives.	Program content is regularly reviewed and modified to meet learning objectives.

Training Function Systems Audit Descriptions

3. Partner with Management and Gain Support for the Training Function *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Provide overview/pilot of program for management.	No overview or pilot is provided beyond a course outline.	Program materials are shared with the program sponsor.	An overview of the program content is conducted at a management meeting.	A pilot of the program content is conducted for the target population, management, and training peers.
Schedule training with consideration for workload and organization's needs.	Training is scheduled based on room availability.	Management and the training function agree on an optimum schedule.	Management and the training function schedule multiple sessions on a variety of days and shifts to accommodate the largest number of participants.	Schedules are continually reviewed for improvement.
Provide management with information to assist in follow-up coaching and support.	No follow-up action is taken.	Copies of participant action plans are provided to management. Coaching and follow-up activities are recommended to management.	Managers are trained as coaches using follow-up support activities for each training event.	Coaching and follow-up support are reviewed for continuous improvement.

Training Function Systems Audit Descriptions

3. Partner with Management and Gain Support for the Training Function *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Validate content with observation of use of skills on the job.	No validation is performed.	Trainers suggest how supervisors can observe learning transfer of new skills to the job.	Trainers visit the job site to observe how course content is applied on the job.	Content course is validated on a regular basis through observation and discussions with subject-matter experts, course participants, and their supervisors.
Evaluate results of changed behavior with supervisors.	No evaluation is done.	Supervisors are given checklists to observe and evaluate behavior change.	Trainers and supervisors partner to observe changed behavior.	Behavior change is monitored jointly on a regular basis for continuous improvement.
Review and revise training as needed.	Revisions are done upon request.	The results of knowledge and skill tests are reviewed for revisions of training content and processes.	Management and the training function partner to review and revise training content and processes as needed.	Management and the training function partner to review and revise training content and processes on a regular basis.
Publish successes.	No successes are formally published.	The training function shares verbal reports to management.	Written reports to management are published.	A variety of channels publicize the success of the training function.

4. Use Project Management Skills

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Initiate a project by assessing the need to create a project team and gain authorization

______ Plan the project

______ Use project management tools appropriately to execute the project

______ Use project management tools to control the project

______ Close projects appropriately

______ Total score (divide total score by 5 to identify the average stage of development)

______ Average stage of development

4. Use Project Management Skills

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Initiate a project by assessing the need to create a project team and gain authorization.	Project teams are created at the request of management.	The training function may occasionally participate in identifying the need for a project and seek authorization.	The training manager collects data for performance issues and partners with business units to gain authorization and create a project team when appropriate.	The training manager continues to refine criteria and the assessment process used to identify project needs and create authorized project teams.
Plan the project.	Minimal planning is done.	The training manager assigns personnel, resources, and systems necessary to conduct assessments and draft a project plan.	The training manager prepares a plan for how the project will be designed, developed, implemented, and evaluated.	The training manager prepares a plan for how the project will be designed, developed, implemented, and evaluated. Systems are in place to monitor the plan as the project proceeds.

Training Function Systems Audit Descriptions

4. Use Project Management Skills *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Use project management tools appropriately to execute the project.	Project management tools are limited to schedules and interpersonal skills.	The training manager identifies which project management tools are needed.	The training manager models the use of project management tools and trains others in their use.	All the typical continuous improvement tools are used effectively.
Use project management tools to control the project.	Project management tools monitor schedules.	Project management milestones are measured and other tools are used to monitor the project.	Project management tools control project risk, monitor budget, and the use of other tools to avoid scope creep. Risks are avoided, mitigated, or accepted.	Project management tools control the project, measure the success of the project against the plan, and meet or exceed project objectives.
Close projects appropriately.	Projects end when no one is available to continue the effort or a project is no longer funded.	Tools are developed for management's use when the training function's participation in a project ends.	The training function trains management to independently use the tools developed during a project.	The training function continually looks for ways to make client groups independent and promote the use of skills and tools developed during a project.

5. Assess and Evaluate Training Needs

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Define who and what is assessed

______ Decide how the assessment is done

______ Create the assessment product and tie to business needs

______ Identify the training manager’s role in the assessment

______ Assess the learners’ reactions

______ Test for learning

______ Assess the transfer of learning

______ Measure bottom-line results

______ Total score (divide total score by 8 to identify the average stage of development)

______ Average stage of development

Training Function Systems Audit Descriptions

5. Assess and Evaluate Training Needs

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Define who and what is assessed.	No clear process to assess training needs is evident.	Tasks are analyzed to determine the appropriate way to teach a task. Performance analysis is used to distinguish training and nontraining needs. Training needs are sorted from training wants.	Learning needs of a target population are identified with client involvement. Goal analysis helps to make vague desires specific. Development of course material and appropriate training methodologies are linked to the needs of the target population.	Sufficient numbers of the target population are assessed to ensure a valid needs sampling. Tasks are analyzed for a systematic approach where appropriate. Course materials and methodologies have internal and external validity.
Decide how assessment is done.	The process of “needs assessment” is often limited to scheduling existing training courses.	Informal task analysis is found in procedure manuals. Teaching a standardized process developed in a task analysis may be resisted in an entrepreneurial organization.	As part of a needs assessment, a resource requirements analysis is done to identify the most cost-effective and appropriate methodology for presenting the training.	The needs for new learning and course updates are reviewed on a scheduled basis. Line managers are taught to assess training needs and regularly share data with the training manager, who acts as performance consultant.
Create the assessment product and tie to business needs.	A schedule of training events is created based on attendance patterns at prior training events. No specific tie to a business	Clear learning outcomes are identified and tied to how a job is done.	A training plan is developed to include clearly defined business issues that require support from training and that support client needs rather than “wants,” and recommends a means to evaluate the training. The	Executives are regularly interviewed on long-term objectives to identify business needs that require the support of training. Executives participate in the final review and approval of a training plan

	need is evident.		plan is presented to upper management for approval.	tied to business needs.

5. Assess and Evaluate Training Needs *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Identify the training manager's role in the assessment.	No specific role for the training manager is identified until training requests are made by others.	The training manager attends client's staff meetings to stay current on impending needs and to identify future needs.	Training manager acts as performance consultant, or when on attachment, identifies how needs have changed from line managers. The training manager helps the assessing trainer gain access to the client organization to collect data. The training manager helps develop the training plan and its recommendations and often presents the plan to upper management.	Training manager acts as performance consultant and systematically identifies how needs have changed and identifies new needs through ongoing data collection.
Assess the learners' reaction.	If done, the informal way in which courses are evaluated cannot be observed.	Participants asked for their end-of-course reaction to content and process of instruction and their opinion of the effectiveness of the training.	Participants are asked for end-of-course reactions. Individual trainers may keep track of their own statistics.	Participant reactions are converted to a trend analysis to ensure consistency of delivery for training and to make course improvements.

Training Function Systems Audit Descriptions

5. Assess and Evaluate Training Needs *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Test for learning.	The way in which learning is evaluated cannot be observed.	Performance standards are set by the client and training post tests are conducted to ensure trainees have learned enough to meet minimum standards.	Pre- and post-tests are used to measure the increase in learning.	Pre- and post-test analysis is used to identify whether learning objectives are met and if there is a need to improve a course or training methodology. Item analysis is used to establish test validity.
Assess the transfer of learning.	Performance standards for trainees have not been identified.	Attendance at training events data are used to identify training activity in lieu of transfer statistics.	New learning is matched to performance standards set by the client. Supervisors are asked to assess post-training performance using a skill performance checklist.	New learning is matched to performance standards. The supervisor is assisted by the trainer (performance consultant) in assessing the transfer of learning.
Measure bottom-line results.	None is measured.	None is measured.	Cost associated with the development and delivery of training is recorded.	A cost benefit analysis is made for each course to identify the impact of training on the bottom line and how well training met the business needs associated with each course. Training outcomes are measured against the training plan and a pre-training feasibility analysis.

6. Select a Consultant or External Trainer, Training Programs, Packages, and Equipment

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

_____ Select a consultant or external trainer

_____ Select packaged training programs

_____ Select equipment

_____ Total score (divide total score by 3 to identify the average stage of development)

_____ Average stage of development

Training Function Systems Audit Descriptions

6. Select Training Programs, Packages, and Equipment

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Select a consultant or external trainer.	No clear criteria for the selection of external trainers exist.	Selection criteria are clear. Trainers usually have high subject-matter expertise and recent parallel client experience.	External trainer requirements are written and cover knowledge of subject matter, training skills, and practical expertise in the field.	Formal assessment process to demonstrate knowledge of subject matter, training skills, and practical expertise in the field is required. Additional demonstrated ability to relate learning and training to organizational business needs is required.
Select packaged training programs.	No clear criteria for the selection of training packages exist.	Selection criteria are clear. Proposals are requested to compare similar packages. References are checked.	Trainers receive regular feedback from line supervisors and training manager and feedback from end-of-course evaluations statistical summaries.	Systematic process exists for gathering resources, reviewing and selecting training packages, with input from internal clients against written criteria. Each request for a new program is matched to the changing needs of the organization.

6. Select Training Programs, Packages, and Equipment *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Select equipment.	No clear criteria for the selection of training equipment exist.	Selection criteria are clear. Proposals are requested to compare similar equipment based on cost, quality, and other criteria. References are checked.	Equipment specifications are written and proposals are reviewed against criteria with input from internal clients.	Systematic process exists for gathering resources, reviewing, and selecting training equipment with input from internal clients against written criteria. Each request for a new piece of equipment is matched to the changing needs of the organization.

7. Manage Internal Trainers: Selection, Roles, Feedback, and Development

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Select internal trainers

______ Give feedback to internal trainers

______ Improve internal trainer skills

______ Use types of training methodologies

______ Use a variety of trainer roles

______ Maintain courses

______ Develop leader's guide

______ Total score (divide total score by 7 to identify the average stage of development)

______ Average stage of development

7. Manage Internal Trainer Selection, Roles, Feedback, and Development

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Select internal trainers.	No clear criteria for the selection of internal trainers exist.	Selection criteria are clear. Trainers usually have high subject-matter expertise and recent field experience.	Internal trainer requirements based on established competencies are written and cover knowledge of subject matter, training skills, and practical expertise in the field.	Formal assessment process to demonstrate knowledge of subject matter, training skills, and practical expertise in the field is required. Additional demonstrated ability to relate learning and training to organizational business needs is required.
Give feedback to internal trainers.	No feedback to those who train is provided. Some trainers may solicit informal feedback from participants.	Feedback is random and occasionally provided by the line supervisor or training manager. Some feedback is provided from participant end-of-course evaluations.	Trainers receive regular feedback from line supervisors and training manager and feedback from end-of-course evaluations statistical summaries.	Competencies are regularly assessed through end-of-course evaluations, on-site manager and/or line supervisor visits as an adjunct to the performance appraisal process. Formal feedback and trend analysis tools are used extensively to make feedback developmental.

Training Function Systems Audit Descriptions

7. Manage Internal Trainer Selection, Roles, Feedback, and Development *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Improve internal trainer skills.	No train the Trainer skills are provided.	Those who train acquire training skills on their own or often shadow peers.	Those who train are encouraged to develop their training skills at outside courses. An occasional in-house train-the-trainer may be offered.	Internal trainers are systematically developed in trainer competencies and have practical experiences in their subject areas. Attachment back to the client area served is on an as-needed basis. Most SMEs share time between training and other duties. Internal trainers complete a trainer certification process.
Use types of training methodologies.	Training methodologies are limited to lecture, large group discussion, demonstration, practice sessions, and extensive use of electronic slides.	Training methodologies are enhanced to include adult learning techniques.	Training methodologies include appropriate participation, pacing, and discovery learning.	A variety of state-of-the-art training methodologies are investigated and used to enhance the effectiveness of the delivery of discovery learning and meet the business need.

7. Manage Internal Trainer Selection, Roles, Feedback, and Development *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Use a variety of trainer roles.	A single internal trainer is the course developer based on subject-matter expertise.	Additional external courses are purchased and internal trainers are trained by the vendor.	Key internal trainers are trained in needs analysis and course design and are responsible for the design of specific courses.	All but technical instructors act as change agents, internal consultants, and course designers and have responsibility to design and update training programs
Maintain courses.	No systematic maintenance of courses is done. Trainers often use technical manuals in lieu of customized handout materials or leader's guides.	One SME/trainer becomes responsible for course maintenance of a purchased course. Internal course refinements imitate the external vendor's methods. Little or no customization is done.	Key SME/internal trainers are responsible for course maintenance with input from others.	Key SME/internal trainers are responsible for course maintenance through research, trend analysis, and input from technical instructors and internal customers.
Develop leader's guides.	No lesson plan or facilitator guide is developed.	Leader's guide is provided by the vendor.	Leader/facilitator guides are developed internally in an outline format.	Leader/facilitator guides are developed and improved internally based on ongoing assessment and feedback. The amount of detail in the guide depends on the subject-matter expertise and trainer skills of the instructor.

8. Market the Training Function

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Market a training function

______ Use marketing efforts

______ Create brochures and catalogs

______ Total score (divide total score by 3 to identify the average stage of development)

______ Average stage of development

Training Function Systems Audit Descriptions

8. Market the Training Function

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Market a training function.	Training courses are “sold” to internal clients from existing products or services.	Some investigation to identify training needs and selection of courses is designed to meet the business needs. A catalog of existing courses is “sold” to the organization’s employees.	Training function uses a marketing approach to providing training services on a regular basis to meet business needs.	Training function conducts a regular needs assessment to ensure training courses are meeting the current needs. Training function partners with operations to update existing courses, find new resources, and always promote training that meets the business need.
Use marketing efforts.	No effort is made to promote training beyond the limited requestor of the event.	A variety of methods is used to attract those who might benefit from scheduled training.	A variety of methods is used, along with demonstrating the benefits of training to the learner and how to use what is learned in training, and at least three mediums are used to publicize and promote a training event.	The training manager partners with supervisors and line managers to improve awareness of training events and publishes successes. Unique methods to promote training are used, including learning contracts, training ambassadors, use of open house events, brown bag seminars, and publishing the training plan.

Training Function Systems Audit Descriptions

8. Market the Training Function *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Create brochures and catalogs.	The training manager creates a brief announcement for existing training and publishes through email and announces training events at regular meetings.	The training manager prepares individual brochures to identify when and where training will be conducted. Newsletters and bulletin boards are also used to announce training, along with email and supervisors' assistance	The training manager publishes a course catalog of offerings on at least a quarterly basis. Offerings identify target audience, benefits of training, and how to enroll. The training manager maintains the training function Web page that promotes training.	The training function branding is extensively used to promote programs. Feedback on the success of different marketing pieces is tracked and trend analysis is done to identify which announcements or marketing methods are most successful. Enrollment in courses is based on an assessment that links to the benefits of specific courses. Potential candidates for specific courses are identified in the organization's LMS.

9. Publicize Training Function Events and Services

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Use marketing information to develop successful publicity

______ Use a variety of channels to publicize training function events

______ Prepare accurate and timely training announcements, course catalogs, and brochures

______ Total score (divide total score by 3 to identify the average stage of development)

______ Average stage of development

9. Publicize Training Function Events and Services

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Use marketing information to develop successful publicity.	No marketing or needs assessment information is available.	A list of course offerings is available in a uniform format as the basis for publicity.	Needs assessment information is used to create a publicity plan. A list of course offerings is available.	Current information is developed on a regular basis to make sure that course offerings are matched to business needs and reach the appropriate target audience.
Use a variety of channels to publicize training function events.	One channel is used to announce training programs.	At least three channels are used to announce training function events.	A variety of channels are available to the training function's clients.	The training function continually searches for and experiments with alternative channels to announce training events and reach the appropriate target audience.

9. Publicize Training Function Events and Services *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Prepare accurate and timely training announcements, course catalogs, and brochures.	Course announcements are circulated to a limited audience. Short notice is typical.	Each course “owner” is responsible for completing timely and accurate announcements.	A systematic calendar process assures all announcements are released in a timely manner and meet announcement criteria.	One source document is used to ensure all announcements are updated on a regular basis and regularly reviewed for accurate information and regularly distributed to a variety of channels.

10. Schedule and Administer Training Events and Services

Use the descriptions on following pages and identify the level of development for each activity. Write that number on the line below using these levels of development:

1. Little/none: aimed at short-term results
2. Basic: requirements have been defined
3. Intermediate: aimed at effective use of internal expertise
4. Advanced: aimed at continuous improvement

Activities

______ Offer a selection of courses

______ Schedule training events

______ Use statistics in scheduling

______ Administer classroom and materials support

______ Keep statistical records of performance

______ Provide additional support services

______ Total score (divide total score by 6 to identify the average stage of development)

______ Average stage of development

10. Schedule and Administer Training Events and Services

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Offer a selection of courses.	Administrative procedures are ad hoc in nature.	A list of courses describes offerings the training function is prepared to conduct. Listings are posted on bulletin boards and/or the organization's intranet.	A quarterly catalog details course offerings. Productivity statistics have limited use to identify the need for training. Training paths are established for only a few select target populations.	Productivity statistics and performance reviews are used to identify training needs. Training paths are established for all target populations.
Schedule training events	Courses are scheduled based on requests from the field or dictate of upper management.	Courses are scheduled based on target population's anticipated needs.	Training is scheduled from a systematic assessment of the target population's needs.	Course schedules are based on information collected from the client's current and anticipated needs.

Use statistics in scheduling.	No statistics are used to schedule training events.	New course offerings are scheduled based on management dictate or industry requirements.	Data is collected and analyzed from training needs identified in the employees' performance appraisal process and other needs analysis.	Statistical analysis of instructor productivity assures equitable work assignments and scheduling of a trainer's classroom presentations, preparation, course development, and travel time.

10. Schedule and Administer Training Events and Services *(continued)*

Activity	Stage 1 Little/None	Stage 2 Basic	Stage 3 Intermediate	Stage 4 Advanced
Administer classroom and materials support.	Those who train prepare classrooms and all materials for courses.	Administrative support prepares classrooms and keeps an inventory of course materials.	Administrative support is provided for handout development and leader's guide word processing and duplication.	Administrative support exceeds the expectations of internal and external trainers and participants. Quality and format of training materials are continually updated to be on a par with what is available commercially.
Keep statistical records of performance.	Minimal attendance and minimal reporting are done when requested.	Minimal clerical support is focused on enrollment, registration, recordkeeping, and travel requirements of trainers and participants.	A statistical specialist keeps training data that is available and regularly reports activities to training management.	Statistical data are formatted, interpreted, and distributed to the client to demonstrate how the business needs are met. Administrative support explores alternative methods to report training data.
Provide additional support services.	No additional support services are provided.	Specific requests from trainers and participants are met on a limited basis.	A specialist is available to develop color and custom graphics that meet standards for templates for handout materials and electronic	Specialized services are tailored to meet the needs of target groups and clients.

			slides.	

ANNEX 5

The Minister of Finance of Georgia Order No. **253**

April 27, 2011. Tbilisi

On approving the charter of LEPL – the Academy of the Ministry of Finance of Georgia

On the basis of the decree No. 212, paragraph 4, point B of The President of Georgia dated April 18, 2011, on creation of The Academy of the Ministry of Finance, I hereby declare:

Article 1. Enclosed "LEPL – Regulation of the Academy of the Ministry of Finance" shall be approved.

Article 2. The present order shall be enforced upon publication.

K. Baindurashvili

LEPL Charter

The MOF Academy

Article 1. General Provisions

1. LEPL – The MOF Academy (hereinafter referred to as– Academy) is a Legal Entity of public law under supervision of the MOF of Georgia.

Academy activities shall be implemented according to Georgian Constitution, International Agreements, Georgian Legislation on Legal Entity of Public Law, this regulation and other legislative acts.

Academy Supervision shall be implemented by the Ministry of Finance (hereinafter referred to as - Ministry).

4. The Academy possesses independent balance, accounts in various banks, logo, seal with a state emblem and title, other stamps of legal entity of public law. Academy logo is approved by minister based on the individual administrative-legislative act (Hereinafter referred to as - Minister).

5. Academy has a special authority for implementing its objectives and obligations. The Academy acquires responsibilities and rights delegated by Georgian legislation, conduct transactions, and can represent itself in a court of law as an independent entity.

6. The complete title of the Academy is – Legal Entity of Public Law – The Academy of the MOF. Abridged title – "Academy of the MOF" might be used on letterheads, blanks, signboards, symbolic, official documents, web-pages and in the official relations *(16.06.2011 N 344).*

7. Academy Legal address – Orkhevi settlement, No. 4, Abzianidze Str. Tbilisi

Article 2. Academy Objectives and Aims

1. The Academy aim is to improve professional development of interns, Ministry employees within the system of the Ministry, as well as other interested individuals.

2. For ensuring the aims defined in the first paragraph of this article, the Academy implements:

a) Defines basic educational directions based on strategic course and existing priorities of the Ministry.

B) Draws and instills different innovative projects for the purpose of Academy development.

C) Methodological collaboration for education and needs analysis, improvement of educational process, and implementation of modern educational technologies.

D) Organizes and supervises educational process for the Ministry employees, interns as well as other interested individuals.

E) Prepares and issues: educational, methodical and information manuals as well as other materials.

F) Coordinates technical and financial support for International Organizations, projects, donor organizations, International support programs, seminars, conferences, workshops, and other educational projects within the system of the Ministry on local and international level.

G) Conducts official relations with appropriate educational bodies, international organizations, projects, and academic organizations on international and local level.

H) In accordance with the primary directions of the Ministry, Academy conducts official relations and implements different financial and social projects with financial sector, business sector representatives, social, or other organizations

I) In addition to the functions mentioned in the paragraph 2 of this article, the Academy organizes and implements various educational projects and courses for different organizations, specialists, interns, and other interested individuals.

J) With the purpose of implementing functions defined in the paragraph 2 and 3 of this article, the Academy is authorized to conclude appropriate agreement/agreements.

Article 3. Academy Supervision

1. The Academy is supervised by the director (hereinafter referred to as - Director), who can be appointed or dismissed by the Minister.

2. Within the frames of the conferred authority, Director acts independently and has a personal responsibility for conducting Academy activities in accordance to the legislation. He/she is responsible for the Academy property as well as for expenditure of appropriate funds.

3. Director:

A) Represents Academy or delegates representative authority to the third party, unless otherwise defined in the legislation.

B) Supervises and ensures execution of the Academy objectives.

C) Is liable to act in accordance with the Georgian Constitution and other legislative acts relating to the sphere of Academy activities.

D) For the purpose of implementing authorities defined in this regulation and Georgian legislative acts, individual administrative-legislative acts shall be issued, the implementation of which is obligatory for all personnel of the Academy as well as for every individual involved in the educational process.

E) Ensures the activity control of the Academy employees.

F) Directs and supervises educational processes.

G) Issues regulatory individual administrative-legislative acts for educational processes.

H) Approves Academy labor regulation

I) Appoints and dismisses employees and approves their salary.

J) Conducts employ agreements for supernumerary employees.

K) Regulates cases of business travel and holiday leave of employees.

L) Approves rules of undergoing internship.

M) Presents expenditure, employee schedule, and salary fund for approval to the Ministry.

N) Approves agreed employee schedule, expenditure, and salary fund.

O) Together with the Ministry defines necessary limits for fuel consumption and communal expenses.

P) Delegates authorities conferred by the legislation.

Q) Is authorized to use encouragement and discipline measures against employees.

R) Announces tenders and competitions on behalf of Academy.

S) On the basis of Individual administrative-legislative acts creates deliberative bodies, councils, and/or commissions and defines their personal membership and functions.

T) On the basis of individual administrative-legislative acts defines values of probationers, employees of the Ministry, and other individuals educational process (courses) and other projects. Is authorized to define preferential value of educational process (courses) or other projects or in accordance with the Ministry makes decisions to implement above-mentioned processes without any charge.

U) Implements other authorities defined by the legislation.

V) Academy has a deputy director (deputy directors) who, together with the Ministry, is/are appointed or dismissed by the Director. The duties of the deputy Director (deputy Directors) are defined by the Director.

W) In the absence of the director deputy Director (one of the deputy directors) is authorized to carry responsibilities.

Article 4. Academy main functions and activities.

A) Development of educational methodology, organizing educational process, and ensuring its compatibility with international standards.
B) Participation in the process of needs analysis within the system of the Academy in case of request implementation of needs analysis in other organizations or bodies.
C) Organizing the process of choosing, preparing, and TOT/experts.
D) Collaboration of standard forms of educational materials, methodical manuals, and projects.
E) Collaboration, organization, and implementation of various training, qualification, educational programs/projects.
F) Organization and implementation of various discussions, seminars, conferences, workshops, and other educational projects.
G) Organization and implementation of educational projects on international and local levels.
H) Organization and implementation of exams, interviews, testing processes, as well as ensuring various evaluation systems.
I) Issuing appropriate certificates after the completion of seminars, conferences, educational processes, or other educational programs.
J) Implementation of educational process (monitoring and quality control)
K) Carrying out action plans and strategic directions of the Academy.
L) Monitoring of the adopted/developing projects in the frames of the Ministry, revealing risks regarding implementation of those projects, assessment, and preparing reports for project results.
M) Establishment of relations with appropriate educational bodies, international organizations, projects, and academic units on international and local levels.
N) Organizing and implementing educational process, seminars, conferences, workshop and other projects for the component of trainings for international organizations, projects, and donor organizations.
O) Coordination of technical and financial support for the component of trainings for international organizations, projects, donor organizations, and international projects.
P) Development of Academy relations with financial and business bodies, maintenance of involvement in social and educational projects.
Q) Organizing and implementing various events for the purpose of ensuring social awareness of the activities of the Academy.
R) Updating the web page of the Academy.
S) Preparing and issuing various materials, educational, and methodical manuals for interested individuals.

T) Planning receivables and expenditures, preparation and/or amendment of annual budget projects.
U) Preparation of reports regarding Academy activities.
V) Preparation of financial reports and accounting in accordance with the Georgian legislation. Controlling profits from commercial activities, controlling and accounting budgetary and nonbudgetary operations.
W) Supervising Academy personnel according to the Georgian legislation
X) Organizing archive activities and correspondence (including privileged correspondence).
Y) Technical maintenance of the Academy.
Z) Planning and implementing necessary procurement process for functioning of the Academy. Drawing state procurement or other agreements in accordance with Georgian legislation.
AA) Legislative maintenance of Academy ongoing activities.
BB) Receiving and processing intern's applications as well as bodies of the Ministry.
CC) In accordance with the acting legislation implementation of various functions relating to the Academy activities.

Article 5. Academy Property and Financial resources.

1. Academy property can be alienated or acquired according to the "legislation on Legal Entity of Public Law"

2. Financial sources of the Academy:

a) State budget means for special purpose.

B) Profit gained from state order

C) Profit gained from fulfilled agreement.

D) Other profits allowed by the legislation.

3. Profits and means defined by the paragraph 2 of this article are defined by the acting legislation.

Article 6. State control of the activity of the Academy

1. Academy is obliged to present appropriate information and materials upon Minister's request.

2. Minister is authorized to terminate or abolish director's (Deputy director's) inappropriate decision.

3. Academy may implement following activities after Ministry's approval:

a) Purchase, charge, or alienate real estate

B) Take a loan

C) Warranty

D) Define salary fund and employee schedule

E) Define limits for fuel consumption, communication expanses, as well as encourage funds for Academy employees.

F) Other decisions regarding property of the Academy if they are beyond the frames of regular activities.

Article 7. Accounting

1. According to the Georgian legislation Academy prepares financial-economic accounting, compiles a balance, and presents to the Minister for approval.

2. Independent audit appointed by the Ministry controls annual Academy budget.

Article 8. Rule of making changes in the regulation

Any change in the regulation shall be made according to the rule defined by Georgian Legislation.

Article 9. Reorganization or liquidation of the Academy

Reorganization or liquidation of the Academy shall be made according to the rule defined by Georgian Legislation

ANNEX 6

MOF Academy Policies

Policy concerning governmental entities:

- Presentations for government agencies about major activities of the Academy
- Memorandums about partnership
- Communicating with government officials. Creating the database of their telephone numbers, emails, etc.
    - Sending official catalogs via email
    - Making presentations for special purposes
- Offering trainings that are already organized
    - Prepared training modules
    - Training recourses
    - Processed materials
- TNA free of charge
- Measuring needs for new trainings
    - Needs-oriented trainings
    - Forming mission groups
    - Conducting trainings
    - Consultations

Policy concerning Academic Institutions

- Regular meetings and partnership with leading educational institutions in Georgia
- Joint projects and programs
    - Legislative schools
    - Financial schools
    - Budgeting schools
    - Business administration schools
- Internship, plus employment
- "A Day In The Ministry Of Finance" Informative events for students
- Formation of academic grants for students
- Conferences, seminars, and workshop meetings

Policy concerning career development and employment

- The project by "The Center Of Career Development And Employment":
- Consulting of postgraduates about starting their professional career at the MOF :
    - Informing students about the internship, practice, training, and certificate programs of the ministry
    - Assistance in filling the applications
    - Information about certified students via Web portal of the center

Policy concerning Private Business

- Offering the informative and consultative services:
  - Information about legislative and procedural innovations
  - For investors and businessmen involved in import-export trading operations
  - For investors
  - For businessmen willing to take business tour
  - Online consultation via "Business Portal"
- Selling the certificate courses
- Trainings ordered by the privet businesses:
  - Microbusiness
  - Medium-sized business
  - Banking and Finance sector
  - Other business sectors
- "Open Door" meetings for representative of businesses about the services of the Academy and conducting their trainings needs assessment
- Business conferences
- Workshop meetings about financial stability (presented by interested persons from the ministry, central bank, privet corporations, nongovernmental organizations, etc.)

Social Projects

- New activity course - "Financially educated society for employment" implementation
- Mission target groups:
  - Small businesses
  - Farmers
  - Students of high school
- Executing special courses and public leaning projects supported by memorandum signed by City Hall and municipalities

Policy concerning public relations

- Advertising the activities of the Academy
- Selling consumer service packages
- Academy's hotline phone
- Information about Academy on corporative emails
- Formulating the institute of "PR and sales agents" operated with the contract of Academy's training dealers
- Preparing flyers
- Creating promotional videos
- "Open Door" and workshop meetings with individuals interested in the activities of the Academy
- Meetings with:
  - Businessmen associations
  - Training chambers

    - Business ombudsman
    - Media
- New design for the official Web site
- Newsletter of the Academy

Policy concerning marketing strategy

- Formulating marketing strategy for entering the academic and training market. effectively using the advantages of the Academy of the MOF
- Professional marketing questionnaires and surveys
- Creating a discount system

Policy concerning the international organizations

- Presentation about the activities of the Academy to the donor organizations and diplomatic corps
- Partnership with foreign academic entities
- Acquiring information about the international standards and methodologies of conducting trainings
- Training of the personnel of the Academy about the international methodologies and sharing the experience

Internal policy

- Planning and organizing training using TNA
- Training of the academic personnel based on the results acquired from TNA
- Formatting certificate programs:
    - Accounting of budget organizations
    - BASS standards of accounting
    - Customs agent
    - Tax agent
    - Tax auditor (hierarchical system)
    - Internal auditor
    - Management courses
    - Program budgeting
    - Capital budgeting
    - Other
- Scheduled training of academic personnel plus bonus system

ANNEX 7

SOW for Vendor to Assist RS in Completing Job Descriptions and Timeline

Scope of Work

Economic Prosperity Initiative

Analysis of Jobs and Development of Job Descriptions for the Revenue Service of Georgia

Work Plan Level 42623, Action 1228, SOW 909

Aleksi Aleksishvili and Salome Shelia

I. SOW

A. Specific Challenges to be Addressed by this Consultancy. Recently, the Revenue Service of Georgia has established a new Human Resource Department. The ambitious development goal of this newly formed HR Department is to assist in the transformation of the Revenue Service into a modern, customer-oriented public service provider. Therefore, organizational development goals include the development of a modern HR function. One of the most important building blocks, **job descriptions**, is of primary importance and requires substantial human and time resources. Georgian Revenue Service is a large organization employing approximately 2500 people with geographically widespread operations around the country. Job descriptions and skill sets are vital to develop for the HR foundation. As the HR of the Revenue Service is a small department, it is necessary to outsource the task of compiling job and skill set information in order to define job descriptions. During the course of the past few months, short-term international expat experts in tax, audit, customs, and training needs (Bert Cunningham, Neli Baeva, Peter Bruges, Phyllis Hodgkins, and Celeste Christiansen) each identified and strongly emphasized in their final reports that Revenue Service job descriptions need to be developed as a first step in strengthening the RS infrastructure.

As quoted from Bert Cunningham's (Customs) report:

The Post-clearance Audit Division (and the Risk Management Division) needs to be correctly positioned within the RS organization structure. It will also be important to prepare job descriptions for post-clearance audit management, auditors and support staff. It will be important to ensure there is an adequate number of qualified and trained customs staff *deployed to the Post-clearance Audit Division to handle the planned workload. Staff needs to be properly remunerated and incentives created.*

No job descriptions currently exist for any of the staff or management positions in either the Post-Clearance Audit Division or Risk Management Division.

As quoted from Peter Bruges (Tax) report:

The greatest asset of a revenue service is their people and a comprehensive HR strategy is needed to support the fast moving change program, this should consist of clear roles and job descriptions and a staff appraisal system that links the bonuses to performance. Senior RS management are aware that the current bonus system is highly subjective….Management also recognizes the need to improve the pay of the RS staff when economic conditions permit. In the near term there is a clear need for systemized appraisal based on evaluation against competencies as well as ability to perform in the job.

As quoted from Celeste Christiansen's (Training) report:

Basic HR functions at the RS are not in place. There is no job description for each position, no implementation of a comprehensive training program with qualified career trainers, no definition of skill sets needed for each job position, no definition of training/knowledge prerequisites for each position, and no career path initiatives or formal incentive systems.

The RS management needs to increase its effort toward developing their human resources management, development roles, and responsibilities.

B. Objective of this Consultancy: The objective is to thoroughly assess and assist the newly formed HR Department of the Revenue Service in going forward to incorporate international HR best practices by defining job tasks and job descriptions for all employee positions within the Revenue Service.

C. Specific Tasks of the Consultant(s): Under this Scope of Work, the Consultant(s) shall perform, but not be limited to, the specific tasks specified under the following categories.

1. **Background Reading Related to Understanding the Work and its Context.** The consultants will read, but are not limited to, the following materials related to fully understanding the work specified under this consultancy:

a. All relevant information published by international organizations and other appropriate agencies that track data relevant to accomplishing the objective of this consultancy.
b. All reputable Internet information as may be reasonably obtained through thorough and creative use of search engines and other Web-based technologies.

c. All relevant information pertaining to job tasks as outlined in the law.

d. Any research documentation pertaining to job task analysis and job description development.

2. **Background Interviews Related to Understanding the Work and its Context.** The consultant(s) shall interview, but are not limited to, the following individuals or groups of individuals in order to fully understand the work specified under this consultancy:

    a. Revaz Ormotsadze, USAID EPI Project COTR and/or his designee
    b. Tina Mendelson, EPI Project COP
    c. Chris Thompson, EPI Project BEE Component Leader
    d. Natalia Beruashvili, BEE Component Deputy Leader
    e. David Koghuashvili, EPI Tax Administration Manager
    f. Bondo Bolkvadze, EPI Trade and Customs Manager
    g. Natia Vepkhvadze, HICD Manager, EPI
    h. Jaba Ebonoidze, Head of Revenue Service
    i. Tamar Chipashvili, Head of the Revenue Service HR Department

3. Value-added Tasks Related to Accomplishing the Scope of Work's Objectives

The consultant(s) shall use his/her education, experience, knowledge of international best practices, and additional understanding gleaned from the tasks specified in A. and B. above to accomplish the following:

a. Conduct thorough analyses of the status of any job descriptions within the RS.
b. Clearly identify and describe any gaps between the above-mentioned RS status quo and international best practice with regard to job descriptions.
c. Perform a job task analysis for each position before drafting the job description.
d. Obtain and verify the information about jobs/positions and respective qualification requirements for each job at the RS.
e. Compile the information into well-structured and meaningful job description documents in both hard and soft copy. The final format of the submission of the job descriptions are at the discretion and final approval of the head of HR of the RS. The head of Revenue Service HR has the right to request revisions to the format or content of job tasks and job description analysis as she deems necessary.
f. Resubmit any requested changes in Items 'a through e' as identified by the Head of HR of the Revenue Service.

4. **Deliverables.** The substance of, findings on, and recommendations with respect to the above-mentioned tasks shall be delivered by the consultant(s) in a written and soft copy deliverable in the format described in sections IV., V., and VI., of Annex A – Standard Information for all EPI Scopes of Work.

Specific deliverables for this Scope of Work will comprise the following:

a. Prepare written, detailed report outlining the general approach and methodology.
b. Submit biweekly reports in addition to two progress reports, draft, and final reports according to the schedule below to the head of HR and submit a copy to the EPI consultant/project.
c. Inform the EPI consultant of focus groups, meetings, etc., so the consultant can attend these meetings to observe and offer suggestions, if needed
d. Prepare the format of the job descriptions according to the specification of the head of the HR of the Revenue Service
e. Submit written task analysis, job descriptions, and skill sets (knowledge and behavior) for 40 current job positions within the RS. The list of the positions to agree with Revenue Service HR department.
f. The methodology PMCG uses in writing the job task analysis and job descriptions is to be provided/given to the Revenue Service HR department to enable them to complete job descriptions themselves in the future thereby increasing the HR department's capacity development and future capabilities.
g. Submit a sample job description of a "Tax Auditor", including KSA and skill sets to perform that job. The sample will be reviewed by the head of the HR department for acceptance or revision. The sample is to be submitted on September. 7, 2011.
h. Prepare a written, detailed report outlining the general approach and methodology to be used in preparing the job descriptions. This report is due on September 7, 2011.

II. Schedule of the consultancy

No.	Detailed Activity	12-Sep	28-Sep	29-Sep	4-Oct	5-Oct	6-Oct	7-Oct	8-Oct	9-Oct	2-Nov	3-Nov	4-Nov	9-Nov	10-Nov	18-Nov	19-Nov	29-Nov	30-Nov	1-Dec	7-Dec	8-Dec	11-Dec	12-Dec	18-Dec	19-Dec	20-Dec
1	Preliminary Interviews and meetings, Document Review, Business Process Study, Organizational Structure Study, Strategy and plans review																										

2	Agree final list of positions																										
3	Identify interviewees																										
4	Identify commission members																										
5	Prepare questionnaires and interviews					D1																					
6	Conduct awareness training																										

7	Distribute preliminary questionnaires																										
8	Conduct interviews											D2															
9	Draft JDs using interview data and other information																										
10	Review first drafts with HR and interviewees and amend respe																			D3							

	ctively																										
11	Provide drafts to Commission members for review, primarily for KSAs																										
12	Conduct commission meetings																										
13	Draft JDs using interview data and other information																										

14	Provide drafts to Commission members for revision and approval																										
15	Finalize drafts																										
16	Prepare final report																									D4	

D1 - PROGRESS REPORT
D2 - PROGRESS REPORT
D3 - JD 1ST DRAFTS
D4 - JD FINAL DRAFTS

III. LOE and the Period and Place of Performance

This assignment is planned to take place September 12, 2011 through December 20, 2011, in Tbilisi, Georgia; and will not exceed 124 man days.

IV. Budget of the Consultancy

	Units	Unit Rate	No. of Units	Total Cost
I. Labor Costs				
Aleksi Aleksishvili	Man-Day	310	57	17,670
Salome Shelia	Man-Day	230	67	15,410
Total			124	33,080

V. Qualifications of the Consultant(s)

Salome Shelia

Ms. Salome Shelia has more than 10 years of experience in the fields of Human Resource management and general management. She has a sound experience in designing and implementing all human resources management systems and procedures including administration; develop HR strategies, policies and procedures, including, but not limited to, recruitment and selection, staff motivation, performance management, counseling, compensation, discipline; recruit large amounts of staff members; develop complete set of job descriptions; develop operations manuals; oversee and carry out the payroll function. For several years, Ms. Shelia has worked as a trainer and consultant in Human Resource management and strategic planning designing, updating, and delivering training courses as well rendering consultancy services in respective fields of management. In 2001, she worked with the Ministry of Education and Science of Georgia, coordinating the Higher Education Reform Project supported by the Open Society – Georgia Foundation and the Council of Europe.

Currently, Ms. Shelia is a director (and founder) of Integrated Management Group (IMG), which is oriented on planning, designing, and providing consultancy, coaching and training services in the areas of Human Resources management, general management, and nonprofit management. She has been involved in the following projects:

- Project manager for UGT recruitment project (recruitment, headhunting, and selection of staff for specified positions);
- Project manager/consultant for the EURASIA Foundation, GARB Institutional Assessment (follow-up assessment, SWOT, recommendations for development);
- Project manager/consultant for Hula and Co Human Dynamics KG project of GBA institutional assessment and development (organization. structure, job descriptions, procedure's manual);
- Project manager/consultant for Impede TV HR Project (jobs analysis, descriptions, job evaluation);
- Project manager/consultant for I-MEDIA JSC Project (organizational structure, procedures manual);
- Project manager/consultant for Hula and Co Human Dynamics KG project of LEPL free legal assistance (job descriptions, performance appraisal system, training in HR);
- Project manager/consultant for AED/ USAID PAR project for Civil Registry Agency (HR department design, HR policy and procedures manual, job analysis, HR training, employee survey);
- Project manager for AED/ USAID PAR project for Ministry of Justice of Georgia (communication strategy development) in cooperation with GEPRA.

Right before starting IMG, Ms. Salome Shelia was with Booz Allen Hamilton where she worked in the merger consultancy project for oil and gas companies. Her earlier work experience encompasses wide spectrum of responsibilities on leading managerial and expert positions in various companies, both in private and not for profit sectors. In 2001, Salome got her International MBA degree from CWRU Weather head School of Management (USA). Earlier in 1998, she graduated a Tbilisi State University with the degree in Psychology.

Aleksi Aleksishvili

Mr. Aleksi Aleksishvili has more than 14 years of professional experience in the field of economy and finance, including 10 years in public administration and economic sector. Former high-ranked Georgian government official, Mr. Aleksishvili was the Minister of Finance (2005-2007) and the Minister of Economic Development of Georgia (2004-2005). The country's economic and fiscal policy management has been improved significantly under his strong leadership. Due to economic and structural reforms that were carried out by his ministry, Georgia jumped in the World Bank's rankings and has been nominated as the world's number one reformer in 2006 and 2007. He also was president of Association of Young Economists of Georgia, board member at national bank of Georgia, and others. As the Minister of Finance and the Minister of Economic Development, he successfully implemented a number of state projects, including the introduction of the GSP+ system, of the Medium-Term Expenditure Framework and of the Basic Data and Directions (BDD), etc. As the president of the Association of Young Economists, he managed and implemented international projects. Mr. Aleksi Aleksishvili has strong experience of working in the Caucasus, Central and West Asian countries, including Afghanistan, Kyrgyzstan, Georgia, and others.

Mr. Aleksishvili holds a Master's Degree in Economics and a Master of Arts in International Development Policy with a major in Public Finance from the Duke University, USA.

ANNEX 8

Methodology for Analysis of Jobs and Development of Job Descriptions in the

MOF OF GEORGIA, REVENUE SERVICE LEPL

THE GOAL OF THE PROJECT

The goals of the project are to study and describe individual jobs by positions as classified by the beneficiary, i.e., Revenue Service LEPL and develop respective qualification requirements. The project entails preparation of job descriptions for 40 key anchor positions as selected by the beneficiary.

GENERAL APPROACH AND METHODOLOGY

The general approach to this assignment is based on the maximum beneficiary participation principle. Beneficiary participation means that via the consultant's technical assistance, the existing body of theoretical knowledge and international best practices should be well adapted to the needs and the specific circumstances of the beneficiary for which the beneficiary's input is very important. The consultant will make the best effort to hear and consider the vision of the beneficiary, so that the final product satisfies both the beneficiary's expectations as well as criteria set by the international best practice.

Specific methodology proposed shall mobilize best effort to ensure that despite the large scale of the beneficiary and geographically dispersed operations, all the essential information is gathered to enable the development of universally suitable basic job descriptions, which can further be tailored by the beneficiary according to the needs as dictated by particular circumstances to individual positions should the need arise.

There are two basic aspects to this project: a) obtaining and verifying the information about jobs/positions and respective qualification requirements and b) compiling this information into well-structured and meaningful documents, such as job descriptions. Both these aspects require specific methodology and also involvement of the beneficiary to various extents.

Obtaining Information

For obtaining information, the consultant will use several methods:

- Background information collection and study through documents and interviews
- Preliminary job questionnaires (for most of the jobs)
- Individual job interviews and/or group job interviews (for all jobs to be analyzed)
- Observation (selectively if required)
- Third-party reviews for verification and validation (if required)

Interviews and meetings will be held in person, though occasionally taking into consideration time, location, and financial limitations online format can also be applied.

The consultant will nevertheless travel to several locations (Sarpy, Pot) where particular jobs are performed in individual settings and can only be analyzed and described by visiting the site and/or interviewing the person/s working on the site.

The consultant will develop tailored preliminary job questionnaires to be distributed to job incumbents prior to interviews. These brief questionnaires will allow the incumbents to pre-think some questions that will be discussed at the interview, to structure their thoughts regarding their job, and prepare for the interview in general.

For the interview per se, the consultant will develop a separate interview guide in order to collect maximum information about the job performed (context, relations, information processing, mental processes, outputs, other characteristics) and required qualifications. The consultant will use a combined method, including questions oriented towards both the job (for responsibilities and tasks) and the worker (for knowledge, skills, attitudes, and other qualification requirements - KSAOs).

As for the number of incumbents to be interviewed, based on the international experience, the consultant shall meet with a sample in the range from 5% to 15% of a total number of any particular job incumbents depending on the number of incumbents per position. The consultant will select job incumbents keeping in mind the length of their tenure (minimum. 5-6 months), the quality of their performance (good), and geographical factor (if relevant).

Drafts of job descriptions will be reviewed by immediate and/or next level supervisors (as deemed appropriate by the consultant and the beneficiary).

The consultant will collect views of job incumbents and their supervisors regarding the qualification requirements for respective jobs, but the consultant would suggest creation of special committees that will review job descriptions, particularly in terms of qualification requirements. Due to specific nature of the organization, only internal resources will be used and no external experts (unless specifically indicated by the beneficiary) shall be employed for this purpose. The members of the committees must be at least three and should represent the upper levels of the organizational chart, so that they, in combination, have thorough knowledge of the beneficiary's operations, vision, and can judge qualification requirements for specific jobs. The committee members will first be requested to brainstorm KSAOs and then rate them in terms of several criteria.

Developing Job Descriptions

The consultant will write job descriptions for the beneficiary based on the information collected on the previous stage. The drafts will be provided to respective representatives of the beneficiary (as indicated by the HR Department) for review and verification. Job descriptions will be developed in Georgian in a uniform format agreed in advance with the beneficiary.

ANNEX 9

Revenue Service Strategic Plan Outline for Training

I. Executive Summary
   A. The Strategic Role of Training in the Revenue Service
      1. Where is the training of the RS going and expected to go?
      2. Skills and knowledge as a strategic asset
      3. Training and education as a means
      4. A proposed RS training and education policy
   B. Vision and Mission Statements for RS Training
   C. Steps to Achieve the Vision and Fulfill the Mission
      1. Strategic goals
      2. Estimated cost to achieve
   D. Current status of the RS Training Department/Unit
   E. Required Executive Support

II. Strategic Vision of RS Training
   A. Analysis of Training Requirements to Achieve Business Goals
      1. Training required to bring new employees and existing employees to skill level required for optimum performance
      2. Additional training required to support key business initiatives/goals
      3. Summary of estimated training requirements
         - By function
         - By location
   B. Assessment of Existing Training
      1. Amount of training compared to needs
      2. Quality
      3. Cost
      4. Systems in place
         - Needs analysis
         - Training materials development
         - Delivery
         - Results measurement
         - Planning
         - Facilities and equipment
   C. Proposed Training and Education Policy
      1. Rationale
      2. Policy statement
      3. Implementation approach
   D. A vision of RS Training in five years
   E. Strategic Training Goals
      1. Amounts and kinds of training to meet business goals
      2. Training system improvement goals
      3. Executive and managerial involvement

III. Quantitative Plan for Training to be Provided

A. Development/Acquisition of Training Material

1. Forecast of materials to be developed
2. Materials and development strategies to be used
3. Unit cost of development
4. Maintenance cost estimating
5. Forecast of development resource requirements and cost

B. Delivery of Training

1. Personnel forecast for the next year
    - By function and level
    - By location
2. Training requirements by person
    - By function and level
    - By location
    - By type of training
3. Delivery Strategies to be used
4. Delivery Requirements Forecast
5. Unit Cost of Delivery, by Delivery Strategy, Location, and Type of Training
6. Delivery plan, resource requirements and cost, various scenarios

C. Additional Resource Requirements

1. Need analysis and curriculum design
2. Results measurement
3. Instructional technology monitoring, assessment, transfer, development
4. Training/staff development
5. Training information system

IV. Training Systems Development and Implementation

A. Governance of Training

1. Overall philosophy
2. Executive training advisory board (commission, committee)
3. Planning, priorities, and accountability process

B. Results Measurement System

1. Measurement philosophy (Return on Investment)
2. Key performance measures and measurement hierarchy
3. Specifications for results measurement system
4. System development plan
    - Activities
    - Schedule
    - Resource requirements

C. Organization of Training

1. Organization issues addressed
2. Alternative structures and comparative analysis
3. Evolution of the RS in the years ahead
4. Process flow
    - Needs analysis and curriculum design
    - Training materials development
    - Delivery

- Planning

5. Resources required to complete detailed organization design

D. Staffing Strategy
1. Staffing issues
2. Staffing strategies
3. Recruiting strategies
4. Recognition/retention strategies
5. Resources required to implement staffing strategy

E. Financing and Financial Accountability
1. Issues addressed
2. Financing strategies
    - Training needs analysis
    - Materials development
    - Delivery
    - Allocations and accountability

F. Supervisor/Manager Support System
1. Overall philosophy
2. System specification
3. System development plan
    - Activities
    - Schedule
    - Resource requirements

G. Training Facilities
1. Requirements forecast
2. Existing inventory (local and in regions)
3. Issues addressed
4. Facility plan
5. Anticipated costs
6. Resources required to implement the plan

V. Summary Resource Requirements

A. Staff Requirements
1. Training materials development
2. Delivery
3. Needs analysis and curriculum design
4. Results measurements
5. Instructional technology support
6. Operation and maintenance of facilities and equipment
7. Support staff
8. Management
9. Development of administrative systems

B. Capital Requirements
1. Facilities
2. Equipment
3. Furnishings

C. Expense Budget
1. Personnel

2. Procured materials
3. Procured services
4. Facilities operation

ANNEX 10

Revenue Service

TRAINING STRATEGIC PLAN

This plan was modified and provided as a draft for the Revenue Service.

SYSTEM: GOVERNANCE

Purpose	Provide a structural means for RS leadership to direct training resources and control training results in partnership with training management to meet the training needs of the RS.
Processes	• Training advisory board • Curriculum committee • Project committees (expert/user support for all projects) • Organizational unit training committees (business units, divisions, etc.)
Outputs	• Training policy and philosophy • Approved training plans and budgets at all levels • Assessment of training effectiveness by management and users • Resources made available • Political support at all organizational levels
Participants	Executives, managers, and employees at all levels in all departments
Performance Measures	• Executives and representatives of users making key decisions about what training is to be provided and allocating resources for the task • Level of support for training throughout the organization • Skills and knowledge treated as the key assets of the RS and training investment systematically managed • Training content matches real needs of the RS

SYSTEM: GOVERNANCE Process: Training Advisory Board

Purpose	Direct, support, and control the use of the RS training resources, so the skills and knowledge are developed to achieve the stated goals

Processes	• Create mission, philosophy, and policies for training • Provide business input to strategic training plan • Review and approve strategic training plan • Establish relative priorities for the use of training resources • Review and approve annual training plans and budget • Select or appoint top training officer • Review the performance of training against plans • Appoint subordinate advisory structure
Outputs	• Mission, philosophy, and policies for training • Strategic training plan • Annual training plan and budget • Top training officer appointment and performance appraisal • Assessment of the impact of training on business results • Political support for training
Participants	• Clarified by a general officer (Director, Heads of Departments) • Key function heads or managers
Performance Measures	• Plans created and resources provided for training to support key business goals • Quality of support for training • Quality of appointments • Overall impact of training on the RS operations

SYSTEM: GOVERNANCE Process: Curriculum Committee

Purpose	Within its area of jurisdiction, oversee needs analysis, approves overall curriculum development, establish priorities, provides support, and oversees effectiveness of training
Key Responsibilities	• Oversee analysis of training required to support all key job functions and tasks within the function • Oversee analysis of training needs associated with new technology, new methods, or any other planned changes • Review and approve an overall curriculum architecture for the

	function • Set priorities for developing or acquiring new training programs, materials, systems • Set priorities for maintenance of existing training programs and materials • Review and approve recommendations to abandon obsolete or ineffective programs • Review reports of efficiency and effectiveness of training • Set priorities for formal follow-up evaluation of programs • Appoint project committees to support new course development or instructions • Review annual functional training plan and budget • Recommend annual budget to executive advisory board
Outputs	• Needs analyses for job functions and tasks • Needs analyses for planned new systems or other changed • Curriculum architecture • Priorities for developing or acquiring new training • Approval to abandon existing training programs • Recommendations for funding • Political and other support • Appointments to project committees
Participants	• Chaired by RS department heads • RS department managers and key personnel
Performance Measures	• Completeness and effectiveness of the curriculum for key jobs in the function, including functional management • Effectiveness and timeliness of training to support change • Maintenance condition of the existing curriculum • Comparison of the inventory of functional skills and knowledge to requirements for excellence in training results

SYSTEM: GOVERNANCE

Process: Project Committees

Purpose	Provide support to training development on matters of content and administration during development or major revisions of training materials
Key Responsibilities	• Review purpose and scope of project • Review project plan • Provide access to records, reference documents, content experts, master performers, potential students, and management, for purposes of – Task analysis – Content analysis – Developmental testing of materials – Obtaining examples and case studies • Review results of analysis phase • Approve end-of-training objectives • Approve specifications for entry skills and knowledge • Review training content for technical accuracy and conformance to policy and standards • Approve list of instructor qualifications • Select trainees for field trial • Review trial results and approve content changes • Support implementation
Outputs	• Approved project plan • Content support • Approved content • Field trial candidates • Implementation support
Participants	• Chaired by a staff expert, if available • Experts and master performers from key organizational units
Performance	• Appropriateness of training content • Technical accuracy of content

Measures	• Conformance of content to policy and standards • Quality of field trial candidates • Timeliness of support • Receptivity of the field to implementation

SYSTEM: PLANNING

Purpose	Develop a hierarchy of training plans to meet the needs of the RS
Outputs	• Strategic training plans; entire organization, major organizational units, major functions • Annual training plans and budgets; entire organization, major organizational units, major functions • Training plans for all units • Individual training plans • Delivery plans and schedule
Participants	• RS training advisory board • Curriculum committee • Organization unit training committees • Training administration council, if formed • Project committees • All managers and supervisors • All employees
Performance Measures	• Foreseeable training needs • Every department has a training plan • Every individual has a training plan • Planned resources sufficient to achieve planned objectives

SYSTEM: PLANNING

Process: Strategic Training Plans

Purpose	Provide a strategic plan that limits training to business goals and challenges, including, but not limited to:

	• Training mission and philosophy/values • Training implications of business goals and challenges • Business consequences • Training vision and strategic goals • Development and delivery strategies • Long-range resource plans • Plans for training systems and processes
Key Responsibilities	• Determine plan contents • Design planning process • Develop and update the plan • Present plan and options • Approve plan
Outputs	• Annual updates to strategic training plan • Strategic planning process • Implementation plans
Participants	• Training management work with staff to develop the plans, obtaining input from top management, and other sources • Training advisory board reviews and approves the plan • All participants in the training process use elements of the plan to shape decisions
Performance Measures	• Completeness • Usability for management decision making • Timeliness • Cost • Accuracy and validity of data and assumptions

SYSTEM: PLANNING Process: Annual Training Plan and Budget

Purpose	Plan annual training objectives and budgets, including, but not limited to: • Needs analysis and curriculum architecture • Courseware development

	• Delivery • Maintenance • Results measurement • Administration
Key Responsibilities	• Establish contents and structure for annual plan and budget • Prepare annual plan and budget in context of strategic plan • Present for approval with options • Approval of plan and budget
Outputs	• Approved plan and budget • Implementation plan • Planning process
Participants	• Training management team establishes overall objectives • Each training manager prepares own plan and proposed budget • Training management team reconciles individual plan and develops composite plan • Presentation to Head of RS/training advisory board • Approval by Head of RS
Performance Measures	• Conformance to strategic plan • Completeness • Resources sufficient to accomplish objectives • Timeliness • Cost to develop • Establish for management decision making

SYSTEM: PLANNING

Process: Organizational Unit Training Plans

Purpose	Enable each manager to develop an annual plan for training to be provided to members of his or her organizational unit, including, but not limited to: • Causes of training requirements – New hires – Personnel moves

	– New technology – New methods – Performance improvement goals • Number of people to be trained • Sources of the training • Timing requirements • Resource requirements – Budget – Facilities – Staff – Administrative support
Key Responsibilities	• Identify and prioritize training needs, including timing • Identify and select training strategies and sources • Estimate resource requirements • Develop plan and budget • Present plan • Approve plan
Outputs	• Training needs • Training objectives • Budget • Implementation • Plan
Participants	• Managers identify, evaluate, and prioritize training needs • Administrative support identifies and selects training strategies and sources, estimates resource requirements • Managers develop plan and budget and present for approval • Management team reconciles plans and budget across RS organization • Head of RS approves the plan
Performance Measures	• Completeness and accuracy of needs assessment • Priorities link to business impact • Budget sufficient to accomplish objectives • Efficient and effective strategies and sources chosen

SYSTEM: PLANNING

Process: Individual Training Plans

Purpose	Develop an annual training plan for each individual employee of the RS, including, but not limited to: • Competencies needed for job performance • Competencies needed for career development • Priorities for learning • Training requirements • Learning objectives • Plan for achieving the objectives, including: – Formal training – Job assignments – Coaching/mentoring – Personal development
Key Responsibilities	• Identify competencies needed for job performance and for career development • Assess existing competencies to determine developmental requirements and priorities • Develop the learning plan • Evaluate performance against the plan
Outputs	• Individual learning plans • List of competencies for jobs
Participants	• HR works with managers and job incumbents to identify competency requirements for jobs • Individuals develop their own plans with support from supervisors and others
Performance Measures	• Percentage of employees with individual plans • Quality and completeness of the plans • Percentage of objectives met

SYSTEM: PLANNING

Process: Project Plans

Purpose	Provide plans which delimit purpose scope, outputs, procedures, schedule, budget, resource requirements, roles of participant for: • Courseware development • Needs analysis/curriculum development • Administrative systems development • Planning projects
Key Responsibilities	• Establish project plan requirements • Develop project plan • Present plan for approval • Approve project plan • Track performance against plans
Outputs	• Project plan requirements, standards • Project plans
Participants	• Management develops standards for project plans and project management • Project managers develop and present project plans and use them to control projects • Management and project committees review, critique, and approve the plan
Performance Measures	• Completeness • Quality of plan and project approach • Performance against plan

SYSTEM: PLANNING

Process: Delivery Plans and Schedules

Purpose	Provide a plan and schedule for delivery of training, including, but not limited to: • Class/course schedule, by location • Facility schedule • Instructor schedule

Key Responsibilities	• Review demand forecasts • Develop 6- to 12-month schedule • Update monthly as demand figures change
Outputs	• Class schedule • Facility schedule • Instructor schedule
Participants	• Administrative staff works with training managers to build initial schedule and monthly updates • Administrative staff issues schedule appropriately
Performance Measures	• Schedules meet the demand in a timely way • Schedules make efficient use of resources • Instructor schedules provide adequate balance between delivery requirements, other instructor duties, and personal life

SYSTEM: OPERATIONS

Purpose	Perform the activities directly associated with achieving training results (i.e., skills and knowledge developed and successfully applied on the job)
Processes	• Needs analysis • Curriculum architecture design • Instructional design/development • Delivery • On-the-job application • Maintenance
Outputs	• Training needs identified and assessed • Curriculum architectures • Training materials and systems • Learning events • Skills and knowledge acquired • Performance capability

Participants	Everyone
Performance Measures	• Job performance deficiencies due to lack of skills or knowledge eliminated • Cost of deficiencies in terms of business results • Cost of training operations • User satisfaction

SYSTEM: OPERATIONS

Process: Needs Analysis

Purpose	Identify and analyze all important training needs
Key Responsibilities	• Analyze training needs associated with major jobs at the RS • Analyze training needs associated with change (new systems, etc.) • Analyze training needs associated with performance problems (e.g., poor quality)
Outputs	• Performance models for major jobs at the RS – Mission – Responsibilities – Major outputs – Tasks – Performance measures – Typical performance deficiencies – Typical causes of performance deficiencies • Skills and knowledge requirements linked to responsibilities or tasks • Importance and priority of training for tasks, skills, knowledge • Training requirements to support a change (new system) – Jobs affected – Tasks affected – New or changed skills and knowledge requirements – Numbers of people affected and timing of impact

	– Importance and priority for training • Performance analyses – Performance problem definition – Analysis of causes – Recommendations for training and other solutions • Cost benefit
Participants	• Analysis performed by trained employees in the training department or outside resources • Panels of experts, SME's, and managers generate the information • Review and assessment of impact performed by RS training department
Performance Measures	• Completeness • Validity • Timeliness/efficiency

SYSTEM: OPERATIONS

Process: Curriculum Development

Purpose	Organize all training requirements in a job function into a structured, modular set of training experiences
Key Responsibilities	• Overall structural design of the curriculum • Identification of specific training modules and courses • Development of training module and course specifications • Identification of typical learning paths
Outputs	• Curriculum architecture; structural view of the curriculum linked to job performance models • Module and course specifications – Name of module – Purpose – General objectives and content – Length of training – Type of training (e.g., classroom)

	– Prerequisites – Content volatility – Target audiences • Typical learning paths or sequences
Participants	• Designed by trained instructional designers with input from content and subject matter experts • Reviewed and approved by curriculum committee and the training advisory board
Performance Measures	• Flexibility of learning paths to accommodate individual and subgroup needs • Minimum content overlap among modules • Appropriateness of course modules for specific primary target audiences • Easy-to-connect training to expected job performance via job performance models • Conforms to important administrative constraints (e.g., length of time off for training), minimized need for trainee travel • Effective and efficient use of available delivery strategies (e.g., self-paced. OJT, computer based)

SYSTEM: OPERATIONS

Process: Instructional Design and Development

Purpose	Create the courseware (courses/modules)
Key Responsibilities	• Detailed analysis of training required within the scope of module specification from curriculum plans • Instructional design – ADDIE Model – Sequence of learning activities – Materials specifications – Equipment specifications – Instructional staff specifications – Prerequisite specifications – Testing and evaluation specifications • Development

	– Instructional materials – Exercises, case problems – Media – Software (if CBT, e-learning, video classroom) – Laboratory setup/simulators • Field test and revise • Trained delivery team
Outputs	• Project plan • Analysis report • Design document • Materials, media, software, simulators • Field test report • Trained delivery team
Performance Measures	• Relevance of content to job performance • Training evaluation data – Reaction of trainees and instructors – Trainees' mastery of objectives – Transfer of skills and knowledge to performance on the job – Effectiveness and efficiency of instructional design (as measured by ROI) • Cost of development • Timeliness of completion • Content completeness, accuracy, and conformance to policy and standards

SYSTEM: OPERATIONS

Process: Delivery

Purpose	Provide the designed, structured learning experiences through a variety of learning channels, including, but not limited to: • Classrooms • Laboratory/simulations • Structured OJT

	• Computer-based delivery, e-learning • Video teleconferencing • Correspondence systems • Video/audio library systems
Key Responsibilities	• Supply trainees and their supervisors with pre-training information • Set up test classroom • Pre-test trainees • Administer actual training experience • Test trainee's mastery of objectives • Collect trainee opinion feedback • Identify needed maintenance to the courseware – Content problems – Instructional system design problems – Courseware quality and usability • Training of delivery team
Outputs	• Pre-training information • Trained trainees • Pre- and post-test data • Opinion survey data • Maintenance requirements list
Participants	• Delivery team provides the learning experience – Instructors/facilitators – Production support – Training manager • Trainees learn • Trainee supervisor establishes expectation in pre-training briefing and debriefs trainee upon completion
Performance Measures	• Trainees' mastery of learning objectives • Trainee opinion of training • Completeness of maintenance requirements • Transfer of learning to job performance

SYSTEM: OPERATIONS Process: On-the-Job Application

Purpose	Assure transfer of new skills and knowledge to actual job performance
Key Responsibilities	• Assign tasks that require the use of newly acquired skills and knowledge • Monitor application and provide coaching where necessary • Provide additional or remedial training, if needed • Provide feedback to training evaluation system
Outputs	• Transfer of new skills and knowledge to job performance • Feedback to training evaluation system
Participants	• Trainees' supervisors assign tasks, provide for monitoring and coaching, and provide feedback • Master performers may perform monitoring and coaching and provide feedback • Trainees apply skills, provide feedback
Performance Measures	• Time to achieve mastery performance using new skills and knowledge • Quality of job assignment and coaching for learning purposes • Timeliness and completeness of feedback to training evaluation system

SYSTEM: OPERATIONS Process: Maintenance

Purpose	Keep courseware in a high state of maintenance • Content up to date and valid to job requirements • Instructional systems design problems corrected • Courseware problems corrected
Key Responsibilities	• Maintenance planning based on inputs from delivery, evaluation system, curriculum council • Routine maintenance (small changes)

	• Major maintenance – Analysis – Design – Development – Field test and revision – Implementation – Evaluation
Outputs	• Maintenance plan – Requirements list – Assessment and priorities – Schedule – Resource requirements • Updated courseware • Maintenance reports
Participants	• Development team – Project leader – Trained analysts – Trained instructional systems designers (ADDIE model) – Content experts – Writers – Editors – Media specialists – CBT specialists – Production support (graphics, etc.) • Development project committee • Content experts • Changes effective • Cost of maintenance

SYSTEM: RESULTS

Purpose	Measure and evaluate the effectiveness and efficiency of the entire training system and its processes in supporting the business goals of

	the organization, including, but not limited to: • Percentage of training needs met • Cost of training • Cost of not training (CONC—Cost of Nonconformance) • Impact on business results • Transfer of skills and knowledge to job application • Mastery within training • Opinions of trainees and others
Processes	• Overall performance • Trainee opinions • Mastery testing • Transfer of learning to job performance • Impact on business results • Financial results
Outputs	• System architecture • Measurement plan • Measurement and evaluation reports
Participants	• Evaluation specialists design the system and assist in interpreting results • Training managers and professionals use the data to assist in decision making • Governing groups use the data to assist in decision making • Managers at all levels of the business use the data • Administrative support group collects and stores data, generates reports
Performance Measures	• Validity and reliability of the data • Value of the data to decision makers • Cost of the system • Timeliness of reports • Usability of reports • Accessibility of data for special reports

SYSTEM: RESULTS

Process: Overall Performance

Purpose	Measure the overall effectiveness and efficiency of training system, including, but not limited to: • Percentage of training needs met • Percentage of needed curriculum in place • Cost of training • Cost of nonconformance to training standards • Return on investment for training • Timeliness of training for new employees, new systems, other time-dependent initiatives • Overall attitudes of employees, management, and others toward the training system • Managerial and individual behavior consistent with values, philosophy, goals, and objectives
Processes	• Determine overall results measured • Develop methods for collecting, storing, and reporting results data • Analyze results data
Outputs	• Results reports • Results definitions • Data collection instruments and systems • Analysis reports and recommendations
Participants	• Measurement specialists work with management to determine the measures and design the system and interpret results • Administrative staff collects and stores the data and issues reports • Management uses results data to support decision making
Performance Measures	• Results are believable and useful to top management in making decisions to manage the organizations investment in training • Reports are easy to interpret, timely, and accurate • The cost of the system

SYSTEM: RESULTS

Process: Trainee Opinions

Purpose	Measure trainee opinions toward training experiences, including, but not limited to: • Relevance of content to trainees' jobs • Instructor effectiveness • Effectiveness of instructional design • Effectiveness of instructional materials and equipment • Quality of training facilities • Quality of pre-training information and registration process • Confidence in own ability to apply training knowledge/skills on the job
Processes	• Design and maintain the opinion survey instruments • Collect and store data • Prepare and analyze reports
Outputs	• Opinion surveys • Opinion data • Summary reports • Administrative system
Participants	• Measurement experts' work with training staff to design the instruments and the administrative system, assist in interpreting data • Instructors of others administer surveys at the end of each learning event and use the data to improve instruction or recommend course maintenance • Administrative staff enters data into the system and generates reports • Training managers use the data as part of performance appraisal system
Performance Measures	• All important opinion issues measured • Reliability and validity of the data • Timeliness and usability of reports • Appropriateness of decisions using the data

SYSTEM: RESULTS

Process: Mastery Training

Purpose	Measure trainees' mastery of end-of-training learning objectives through paper and pencil, computer, simulated performance, or actual job performance
Processes	• Design overall testing policy, strategy, and system • Develop tests and simulation exercises for individual learning modules and performance checklists • Administer tests or observe performance • Record and store test data • Report mastery results to trainees and their supervisors • Analyze test data
Outputs	• Testing policy, strategy, and system • Tests, simulation exercises, performance checklists • Test results • Reports to trainees and supervisors • Analysis reports and recommendations
Participants	• Measurement specialists work with management, developers, and instructors to design the system, develop tests, and interpret results • Instructional designers/developers develop tests and use test data in course maintenance • Instructors administer test • Administrative staff inputs and stores data and generates reports • Training managers use reports as input to performance appraisals
Performance Measures	• All learning objectives measured • Validity and reliability of measures • Data storage and retrieval complete, accurate, timely • Reports to trainees and supervisors comply with legal requirements • Analysis reports timely and useful to instructors, developers, and managers

SYSTEM: RESULTS

Process: Transfer of Learning to Job Performance

Purpose	Measure the transfer of skills and knowledge acquired in training to actual performance on the job, including, but not limited to: • New skills used on the job – Proficiency – Problem areas • New skills/knowledge not used on the job – Reasons for nonuse – Prospects for future use
Processes	• Determine the specific measures to be used • Design the strategies for collecting the data (e.g., questionnaire, job observation, qualification tests) • Develop data collection instruments • Collect and store data and issue reports • Interpret results and make recommendations
Outputs	• Results reports • Results definitions • Data collection system and instruments • Analysis reports and recommendations
Participants	• Measurement specialists work with training managers to define results categories and systems • Measurement specialists work with developers and instructors to design data collection instruments and interpret results • Developers and instructors use results data for continuous improvement of instructional programs • Supervisors and managers of the trainees use the data to improve post-training support for trainees • Training managers use the data in performance appraisal and to help improve the design and delivery systems
Performance Measures	• Reliability and validity of the data • Percentage of courses/learning events covered by the system • Timeliness and usability of reports • Cost

SYSTEM: RESULTS Process: Impact on Business Results

Purpose	Measure the impact of training on business performance, including, but not limited to: • Quality results • Productivity • Profitability • Customer satisfaction
Processes	• Determine specific measures to be used • Design data collection strategies • Develop data collection instruments • Collect and store the data and issue reports • Interpret results and make recommendations
Outputs	• Results data • Results definitions • Data collection system • Analysis reports and recommendations
Participants	• Measurement specialists work with management, developers, and instructors to define the measures and design/develop the system • Instructors, developers, training management, and governance systems use the data to support investment decisions
Performance Measures	• Validity and reliability of the data • Cost • Timeliness and usability of reports • Percentage of courses/learning systems covered by the measurement

SYSTEM: RESULTS Process: Financial Results

Purpose	Measure the financial results of the training system, including, but not limited to: • Income and expenses for all budget categories • Assets and liabilities • Conformance to project budgets
Processes	• Develop a chart of accounts • Determine results measures • Design data collection and accounting system • Collect and store data, issue reports • Analyze reports and make recommendations
Outputs	• Financial reports • Chart of accounts • Data collection and accounting system • Analysis reports and recommendations
Participants	• Accountants work with training management to develop the chart of accounts, determine the financial performance measures, and design the data collection and accounting system • Training managers and others in the training system use the data to control expenditures in their areas of responsibility • The governance system holds training management accountable for results
Performance Measures	• Accuracy • Timeliness and usability of reports • Cost

SYSTEM: SUPPORT

Purpose	• Provide administrative systems, facilities, materials, and other resources needed for the overall training system to function smoothly
Processes	• Information system • Registration and scheduling

	• Communications • Production support • Facilities and equipment • Technologies • Specialists • Administrative manuals • Organization structure • Financial systems • External resources • Staffing • Supervisor/manager
Outputs	• Information • Facilities and equipment • Materials • Staff organized and in place • Financial resources • Other resources
Participants	• Administrative support staff • All providers and users in the training process

Performance Measures	• Resources
	  – Adequacy
	  – Quality
	  – Cost
	  – Timeliness
	• Information
	  – Adequacy
	  – Quality
	  – Cost
	  – Timeliness

SYSTEM: SUPPORT Process: Training Information Systems

Purpose	Provide for storage and retrieval of important training data, including, but not limited to: • Delivery volume • Development of materials • Maintenance records • Curriculum histories • Individual training records • Budgets • Expenditures
Key Responsibilities	• Design overall information system architecture – Information to be kept – System structure – Specifications for data and processes • Develop information systems plan – Systems development – Implementation schedule – Resource requirements for development, implementation, and maintenance • Administer information system – Collect and store data – Generate reports
Outputs	• System architecture • Information system plan • Reports
Participants	• Information system specialists work with training administrative council to specify and design the system • Training managers and professionals use the data to assist in decision making • Governing groups use the data to assist in decision making • Managers at all levels of the business use the data • Administrative support groups collects and stores data, generates reports

SYSTEM: SUPPORT

Process: Registration and Scheduling

Purpose	Schedule learning events and the resources needed to support them, to register participants and record completions
Key Responsibilities	• Forecast demand for learning events • Schedule events based on demand and business priorities • Schedule resources for events (instructors, classrooms, etc.) • Register participants • Maintain waiting list • Record completions • Send completion notices
Outputs	• Schedule of events • Resources schedules • Waiting lists • Registration notices • Completion notices
Participants	• Administration staff operates the system • Employees and their supervisors use the system to register for events • Training managers use the system to schedule events and resources
Performance Measures	• Ease of use for registration by employees and their supervisors • Schedule efficiency • Efficient loading of resources • Timeliness of events • Accuracy of registration and completion data • Cost to operate and maintain the system

SYSTEM: SUPPORT

Process: Training Communications

Purpose	Provide timely information to all affected employees and managers, including, but not limited to: • Descriptions of available training • Schedules • Notice of new training releases • Key training results • Recognition for important accomplishments
Key Responsibilities	• Design overall communications system – Identify key audiences and their information needs – Plan and specify communications vehicles • Develop communications plan – Systems development – Implementation schedule – Resource requirements for development, operation, and maintenance • Collect information, prepare releases, and publish them • Maintain distribution lists
Outputs	• Training catalogs and descriptions • Brochures for training events or curricula • Newsletters • News releases to company news media • News releases to outside media • Articles for organization and outside media
Participants	• Communications (PR) specialist design the system, collect information, prepare releases • The entire training community provides input • Everyone uses the information • Administrative staff keeps mailing (and emailing) list and manages production and distribution
Performance Measures	• Value of information to user • Timeliness of information to user • Accuracy of information to user

	• Cost to provide the information

SYSTEM: SUPPORT Process: Production Support

Purpose	Provide production support for the training function, including, but not limited to: • Graphic arts • Microsoft Word • Editing and formatting • Materials production • Materials storage and shipment to training location • Procurement • Archiving master copies of material • Classroom setup • Laboratory and equipment setup and maintenance
Key Responsibilities	• Identify support customers and their needs • Develop services and plans to meet customer needs • Provide service • Measure effectiveness and customer satisfaction • Develop a high-quality support staff
Outputs	• Material reproduction • Printed materials • Media copy (PPT, DVD, audio, e-learning programs) • Lab and equipment setup • Classroom setups
Participants	• Production staff produces the outputs in support of the entire training system • Users of the system provide requests and feedback
Performance Measures	• Timeliness • Quality – Accuracy – Appearance

	– Format • Cost • User satisfaction

SYSTEM: SUPPORT

Process: Facilities

Purpose	Provide the necessary facilities for the delivery of training events and housing of training staff, including, but not limited to: • Classrooms • Laboratories/simulators • Learning resource centers • Video teleconferencing systems • Computer-based training systems and networks • Office space • Production space • Storage space • Conference rooms • Trainee and training library facilities • Trainee living quarters, if necessary

Key Responsibilities	• Forecast facility requirements (long and short term)
	• Develop facility plan
	  – Number
	  – Location
	  – Specifications
	  – Timing
	• Oversee construction
	• Manage facility utilization
	• Operate and maintain facilities

Outputs	• Facility plans • Facilities in place • Facilities operated and maintained

Participants	• Facility management works with training staff to forecast requirements and develop plans • Executive board of education approves overall facility plan and budget • Facility staff operates and maintains facilities • All users provide requests and feedback
Performance Measures	• Facilities available to meet requirements • Facility utilization efficiency • Efficiency of location – Trainee travel and living costs (if any) – Convenience for expert resources • Quality of facilities to meet the varied needs • User satisfaction • Cost

SYSTEM: SUPPORT

Process: Technologies

Purpose	Develop and/or exploit emerging technologies to improve the effectiveness and efficiency of training, including, but not limited to: • Computer and information technologies • CBT authoring and delivery/ e-learning • Graphics and text publications • Teleconferencing • Simulation
Key Responsibilities	• Systematic surveillance of a list of key technologies • Assessment of applications potential • Experimental application • Develop exploitation recommendations and plans • Support initial implementation
Outputs	• Technology assessment reports • Experimental application reports • Exploitation plans

	• Implementation effectiveness reports
Participants	• Technology specialists perform surveillance, assessment, and work with training staffs on experimental application, exploitation plans, and support implementation • Training staffs participate in experimental application, exploitation plans, and implementation • Governing structure makes strategic implementation decisions
Performance Measures	• Improved effectiveness and efficiency of training • Cost of the technology system • Trainee and client organization satisfaction • Cost reductions achieved by applying the technology • Training staff satisfaction with the system

SYSTEM: SUPPORT

Process: Specialist Support

Purpose	Provide support to the training staff in areas, including, but not limited to: • Instructional systems design (ADDIE model) • Testing and measurement • Performance analysis • Statistics • Learning theory
Key Responsibilities	• Forecast support requirements and provide access to specialists (internal or external) • Provide consulting support on demand • Maintain overall quality surveillance • TOT
Outputs	• Technical advice • New skills for training staff • Quality assurance • Monitoring and evaluation
Participants	• Internal and external technical specialists provide consulting support

	• Training staff makes requests and provides feedback
Performance Measures	• Advice received, understood, and accepted • Improved effectiveness or efficiency of training • Improved skills of training staff • Responsiveness to requests • Cost of the support • User satisfaction

SYSTEM: SUPPORT

Process: Administrative Manuals

Purpose	Document key administrative issues, such as: • Training mission • Training philosophy statement • Training organization structure • Training governance structure • Training processes and process standards • Training administration systems; roles, responsibilities, and information flow • Position descriptions and performance models
Key Responsibilities	• Develop and maintain administrative manuals • Produce and distribute (paper or electronic)
Outputs	• One or more manuals • Updates
Participants	• Technology specialists perform surveillance, assessment, and work with training staffs on experimental application, exploitation plans, and support implementation • Training staffs participate in experimental application, exploitation plans, and implementation • Training staff • Writers and curriculum developers
Performance	• Completeness

Measures	• Usability • Timeliness of updates • Cost • User satisfaction

SYSTEM: SUPPORT Process: Training Organization Structure

Purpose	Provide an organization framework for the training staffs that accomplishes • Linkage to client organizations • Efficient and effective operation of all training systems and processes • Effective communication internal to training • Efficient information flow and workflow • Decision making at lowest possible levels • Support for specialized expertise
Key Responsibilities	• Design an evolutionary structure that changes to meet the needs of the organization
Outputs	• Evolutionary organization chart • Team structures • Rationale
Participants	• The training administration council plays a key role in establishing organization structure • Training manager, possibly with expert support, perform actual organization design • The executive board of education approves the major design features
Performance Measures	• Clear channels of communication with client organizations • Clear assignment of roles • Efficient and effective performance of training roles • Responsiveness

SYSTEM: SUPPORT Process: Financial Systems

Purpose	Provide the financial resources needed to accomplish training goals
Key Responsibilities	• Design the financing system and periodically assess its effectiveness • Establish budgets • Billing and paying • Accounting for expenditures • Evaluating financial results
Outputs	• Financial system design document (becomes policy) • Financial system administrative procedures • Budgets • Financial reports • Invoices, payments, purchase orders • Cost tracking on projects and training events
Participants	• The RS administration designs the financing system • The training administrative staff compiles budgets, does billing and paying, accounts for expenditures, and issues financial reports • Training managers propose budgets, use financial reports to control results, and account for results to the executive board of education
Performance Measures	• Accuracy • Responsiveness • Sufficient resources available to achieve goals • Fair allocation of costs to client organizations • Cost of operation • Easy to understand and use

SYSTEM: SUPPORT Process: External Resources

Purpose	Provide the financial resources needed to accomplish training, leverage the effectiveness of a minimum-size training staff by using resources outside the training organization, including, but not limited to: • Proprietary prepackaged training programs and materials • Learning events sponsored by universities, colleges, vocational schools, professional societies, trade associations, and others • Instructional systems designers and developers, needs analysis, curriculum developers, instruction experts, etc. • Managers, supervisors, and master performers from the client organizations to participate in needs analysis, curriculum architecture, instructional design and development, delivery, on –the-job application, maintenance, and governance system
Key Responsibilities	• Establish a policy regarding the use of the various types of external resources • Establish selection criteria and selection systems • Select resources • Manage resources • Evaluate performance
Outputs	• Policy and procedures for use of external resources • Selection criteria and systems • Contracts and agreements • Purchases materials and services • Performance evaluation data
Participants	• Training advisory board develops policy and procedure • Head of RS approves overall policy • Training managers and professionals use the policy and procedures for individual decision making
Performance Measures	• Quality of products and services procured • Cost effectiveness • Client satisfaction

SYSTEM: SUPPORT Process: Staffing

Purpose	Provide for selection, training, and career management of the training staffs
Key Responsibilities	• Design jobs • Analyze jobs for competency requirements • Design and develop or acquire staff training curriculum • Design and develop staff selection guides • Recruit and select staff • Provide staff training and development • Develop career policies and planning system • Develop and manage individual career plans
Outputs	• Job designs and performance specifications for all positions • Competency requirements and other selection criteria for all positions • Selection guides • Training curriculum • Career development practices and policies • Competent staff, if in place • Individual career plans • Staff career development needs met
Participants	• Specialists work with training managers to design the jobs, analyze the competency requirements, and develop the selection guides, training curriculum, and career system components • Training managers recruit and select staff • Specialists provide staff training • Individual staff members develop their own learning plan and career plan in collaboration with their managers
Performance Measures	• Competent staff in place when needed • Individual career development needs met • Turnover rate due to performance problems or poor match between people and jobs • Training staff reputation

SYSTEM: SUPPORT Process: Supervisor/Manager

Purpose	Provide supervisors and managers with the support they need to carry out their important training roles, including: • Values and expectations regarding appropriate management roles and behavior • Training • Information • Tools and other resources • Feedback and consequences
Key Responsibilities	• Design/develop the support system elements • Training supervisors and managers • Provide information, tools, and other resources • Measure effectiveness of manager/supervisor behavior • Provide feedback, recognition, and other consequences
Outputs	• Statement of values and expectations regarding supervisor/manager roles and behavior • Information to managers and supervisors • Job aids to help in assessing performance requirements and training needs and developing individual and organizational training plans • Training for supervisors/managers • Specialist support for supervisors/managers • Performance feedback and consequences to supervisors/managers • Supervisor/manager behavior
Participants	• Specialists work with training managers and representative supervisors/managers to design/develop the systems • Training department trains supervisors and managers • Training department provides information, job aids, and special support • Training department measures performance and provides feedback • Manager provides performance consequences to subordinate

	managers and supervisors • Managers play their expected roles in the training system
Performance Measures	• Effectiveness of supervisor/manager behavior • Employee satisfaction with training roles played by management • Supervisor/manager satisfaction with support received

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