**WORKPLACE LEARNING AND DEVELOPMENT PLANNING, EVALUATION AND REPORTING**

**MODULE #:** 242401001-KM-06

**NQF LEVEL:** 5

**CREDITS:** 8

**NOTIONAL HOURS:** 80

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LEARNER MANUAL

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HOW TO USE THIS GUIDE

This workbook belongs to you. It is designed to serve as a guide for the duration of your training programme. It contains readings, activities, and application aids that will assist you in developing the knowledge and skills stipulated in the specific outcomes and assessment criteria. Follow along in the guide as the facilitator takes you through the material, and feel free to make notes and diagrams that will help you to clarify or retain information. Jot down things that work well or ideas that come from the group. Also, note any points you would like to explore further. Participate actively in the skill practice activities, as they will give you an opportunity to gain insights from other people’s experiences and to practice the skills. Do not forget to share your own experiences so that others can learn from you too.

ICONS

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PROGRAMME OVERVIEW

PURPOSE

The main focus of the learning in this knowledge module is to build an understanding of workplace learning and development planning and reporting in terms of organisational requirements and regulatory provisions.

**LEARNING ASSUMPTIONS**

The learning will enable learners to demonstrate an understanding of:

* KM-06-KT01: Workplace learning and development planning (35%)
* KM-06-KT02: Learning program sourcing, evaluation and selection (20%)
* KM-06-KT03: Workplace learning and development reporting (45%)

HOW YOU WILL LEARN

The programme methodology includes facilitator presentations, readings, individual activities, group discussions, and skill application exercises.

HOW YOU WILL BE ASSESSED

This programme has been aligned to registered unit standards. You will be assessed against the outcomes of the unit standards by completing a knowledge assignment that covers the essential embedded knowledge stipulated in the unit standards. When you are assessed as competent against the unit standards, you will receive a certificate of competence and be awarded 8 credits towards a National Qualification.

PROVIDER ACCREDITATION REQUIREMENTS FOR THE KNOWLEDGE MODULE

1. **Physical Requirements:**

* Learning and development resources aligned to the scope and content of the module
* Learner assessment resources (database, tools, records)

1. **Human Resource Requirements:**

* Access to facilitators of learning with subject matter expertise as evident from professional designations, or experiential competence or prior qualifications
* Access to assessment expertise in terms of subject matter related prior learning, experience and credibility

1. **Legal Requirements**

* Access to facilities that comply with occupational health and safety standards where contact learning or assessment sessions are delivered

1. **Exemptions**

* No exemptions are currently recognised for any of the listed knowledge modules. An RPL approach is recommended for all listed knowledge modules.

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| --- |
| KM-06-KT01: WORKPLACE LEARNING AND DEVELOPMENT PLANNING |

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On completion of this section you will understand workplace learning and development planning

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1. **KT0101** The Organising Framework of Occupations
2. **KT0102** Consultation requirements, principles and structures
3. **KT0103** Employment equity in terms of learning and development
4. **KT0104** Learning and development priorities in terms of organisational constraints (budget, time, resources)
5. **KT0105** Documenting learning and development plans

KT0101 The Organising Framework of Occupations

**What is the OFO?**

The Organising Framework for Occupations is a skills based, coded classification system. It is built on similar principles to those of the South African Standard Classification of Occupations (SASCO), familiar to all players through its use by Stats-SA in October Household and Labour Force Surveys. SASCO was also used earlier in the Department of Labour’s employment equity reporting format, however, moving into the future SASCO will no longer be the basis for reporting equity.

***The OFO represents a significant enhancement on SASCO for skills development planning and implementation purposes in that it:***

* Captures all jobs in the form of occupations (Similar to SASCO)
* Groups occupations into successively broader categories and hierarchical levels based on similarity of tasks, skills and knowledge.

In essence, the Organising Framework for Occupations (OFO) is a coded occupational classification system. It is the Department of Labour’s key tool for identifying, reporting and monitoring skills demand and supply in the South African labour market.

***The OFO is constructed from the bottom-up by:***

* Analysing jobs and identifying similarities in terms of a tasks and skills
* Categorising similar jobs into occupations
* Classifying occupations into occupational groups at increasing levels of generality.

**Principles, Structure and Layout of the Organising Framework for Occupations (OFO)**

For the purposes of constructing the OFO, the following definitions are applied

* A job is a set of tasks and work related responsibilities designed to be performed by an individual in return for payment / remuneration;
* An occupation is a set of jobs whose main tasks and associated responsibilities are of such similarity that they can be grouped / clustered together

***Occupations are classified according to two main criteria:***

* skill level and
* skill specialisation,

Where ***skill*** is used in the context of competency rather than a description of tasks or functions.

The OFO uses 5 skill levels. The skills levels are illustrative and there to assist with finding appropriate occupation titles. Skill levels DO NOT correspond to grading levels.

The ***skill level*** of an occupation is related to competent performance of tasks associated with an occupation. ***Skill level*** is an attribute of the occupation, not of individuals and can operationally be measured by:

* The level or amount of formal education and/or training associated with competently performing the tasks associated with that occupation;
* The amount of work experience required for competently performing the tasks associated with that occupation; and
* The amount of on-the job training associated with achieving competent performance of the occupation.

It is therefore possible to make a comparison between the skill level of an occupation and the general education level associated with that occupation on the National Qualifications Framework as well as with the entry, intermediate and advanced levels referred to in the National Skills Development Strategy, as illustrated in the figure below.

**6**

**.**

**Sales**

**Workers**

**2**

**.**

**Professionals**

**4**

**.**

**Community**

**&**

**Personal**

**Service**

**Workers**

**3**

**.**

**Technicians**

**&**

**Trades**

**Workers**

**7**

**.**

**Machinery**

**Operators**

**&**

**Drivers**

**8**

**.**

**Elementary Workers**

OFO Major Groupings

**10**

**9**

**8**

**7**

**6**

**5**

**4**

**3**

**2**

**1**

NQF

NSDS

**A**

**D**

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**INTER**

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**MEDIATE**

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**Y**

**5**

Skill Level

**4**

**3**

**2**

**1**

**1**

**.**

**Managers**

**5**

**.**

**Clerical**

**&**

**Admin**

**Workers**

The skill levels are defined in terms of formal education and training, previous experience and on-the-job training. The determination of boundaries between skill levels is based on the following definitions:

***Occupations at Skill Level 1 have a level of skill commensurate with one of the following:***

* National Qualification Framework (NQF) Level 1 qualification
* Compulsory secondary education.
* For some occupations a short period of on-the-job training may be required in addition to or instead of the formal qualification. In some instances, no formal qualification or on-the-job training may be required.

***Occupations at Skill Level 2 have a level of skill commensurate with one of the following:***

* NQF Level 2 or 3 qualification or
* At least one year of relevant experience may substitute for the formal qualifications listed above.
* In some instances relevant experience may be required in addition to the formal qualification.

***Occupations at Skill Level 3 have a level of skill commensurate with one of the following:***

* NQF Level 4 qualification
* At least three years of relevant experience may substitute for the formal qualifications listed above.
* In some instances relevant experience and/or on-the-job-training may be required in addition to the formal qualification.

***Occupations at Skill Level 4 have a level of skill commensurate with one of the following:***

* NQF level 5 or 6 Qualification
* At least three years of relevant experience may substitute for the formal qualifications listed above.
* In some instances relevant experience and/or on-the-job-training may be required in addition to the formal qualification.

***Occupations at Skill Level 5 - have a level of skill commensurate with one of the following:***

* NQF level 7- 10
* At least five years of relevant experience may substitute for the formal qualification.
* In some instances relevant experience and/or on-the-job-training may be required in addition to the formal qualification.

The skill specialisation of an occupation is a function of the field of knowledge required, tools and equipment used, materials worked on, and goods or services provided in relation to the tasks performed.

Based on skill level and skill specialisation, occupations are divided into Major (one digit), Sub-Major (two digits), Minor (three digits), and Unit (four digits) groupings. Occupations (six digits) are subdivisions of the unit groups and are further detailed through specialisation and alternative occupation titles.

***Major Groups (1 digit) (e.g. 3. Technicians and Trades Workers) are:***

* The broadest level of the classification
* Distinguished from each other on the basis of skill level and the broadest concept of skill specialisation

***Sub-Major Groups (2 digits) – e.g. 32. Automotive and Engineering Trades Workers – are:***

* Sub-divisions of major groups
* Distinguished from other sub-major groups on the basis of broadly stated skill specialisation

***Minor Groups (3 digits) – e.g. 323. Mechanical Engineering Trades Workers- are:***

* Sub-divisions of sub-major groups
* Distinguished from other minor groups in the same sub-major group on the basis of less broadly stated skill specialisation

***Unit Groups (4 digits) – e.g. 3232 Metal Fitters and Machinists – are:***

* Sub-divisions of the minor groups
* Distinguished from other unit groups in the same minor group on the basis of a finer degree of skill specialisation

***Occupations (6 digits) – e.g. 323201 Fitter (General) – are:***

* Sub-divisions of the unit groups
* Distinguished from other occupations in the same unit group on the basis of detailed skill specialisation
* A set of jobs which involve the performance of a common set of tasks.

**Occupational Descriptors**

Occupational descriptors and a list of the associated tasks have been developed for every occupational grouping, including the occupation title (6 digit level).

Version 8 of the OFO has 6,498 occupation titles, including specializations and alternative titles grouped as illustrated in the table below.

In some instances a job title may correspond to an occupation title on the OFO, for example, a General Fitter has the OFO occupation title Fitter (General) with code 323201. There are 23 alternative titles or specialisations for Fitter, including Diesel Fitter, Electric Fitter, Maintenance Fitter and Turbine Fitter.

In some instances there will not be a job-OFO occupation title match and you will have to look at the descriptor for that occupation, the list of associated tasks and skills level to find an appropriate match.

| **Major Occupational Group**  **(1 digit)** | **Sub-Major Group**  **(2 digits)** | **Minor Group**  **(3 digits)** | **Unit Group**  **(4 digits)** | **Occupation**  **(6 digits)** | |
| --- | --- | --- | --- | --- | --- |
| **Occupation** | **Specialisation / Alternative** |
| **Managers** | 4 | 12 | 45 | 131 | 488 |
| **Professionals** | 7 | 23 | 105 | 423 | 1,601 |
| **Technicians & Trades Workers** | 7 | 22 | 71 | 243 | 1,027 |
| **Community & Personal Service Workers** | 5 | 9 | 37 | 128 | 438 |
| **Clerical & Administrative Workers** | 7 | 11 | 34 | 107 | 446 |
| **Sales Workers** | 3 | 5 | 20 | 44 | 146 |
| **Machinery Operators & Drivers** | 4 | 7 | 21 | 103 | 392 |
| **Elementary Workers** | 6 | 9 | 45 | 141 | 565 |

**Why the OFO?**

SETAs have been required to use the OFO in the submission of the 5 Year Sector Skills Plans and Annual Updates since it was formally adopted in August 2005. The Scarce and Critical Skills reporting format – Chapter 4 of the SSP – has enabled the identification and annual publication by the Department of Labour of a national scarce and critical skills list. This List has also informed the identification of scarce and priority skills targets in engineering for JIPSA.

Employers can use this information to broaden the indicators and drivers of scarce skills that they take into account when developing the annual WSPs and SSPs. For example,

* **At individual employer level –** vacancies for diesel fitters, electricians and millwrights (for example) are anticipated to occur in the coming year due to people retiring within that year. Historically, the employer has been able to fill those vacancies within 6 – 8 working weeks. However, other employers within that locality are known to be extending their operations which will mean that it may take longer to source people to fill those vacancies.
* **At sub-sector and at sector level –** previous year’s SSPs have indicated that there is a scarcity in these occupational groupings indicated by long-term vacancies and high replacement demand.
* At national level, the Department of Labour’s list has indicated that there is a high level of scarcity of skills in these occupations due to high demand in other sectors.

Tracking skills scarcity on the basis of demand, i.e. how many people are needed to fill jobs and occupations for work and sector operational and productive performance is essential. Tracking how the scarcity is manifested in a sub-sector, sector and across sectors is essential to inform strategies to reduce the scarcity and attain equilibrium in the labour market between demand and supply.

***To date, SETA scarce and critical research has identified a number of common drivers and strategies to address scarcity – including:***

* **Drivers:** Equity considerations, movement out of the sector, retirement
* **Indicators:** High vacancy rates, high replacement rates,
* **Strategies:** Bursaries, learnerships, apprenticeships, skills programmes, ISOE and FET College engagement

**Benefits of using the OFO**

**Using the Organising Framework for Occupations to Collect and Report Skills Demand and Supply**

It is important to note that the OFO will be updated annually to reflect changes and/or additions identified by SETAs and included in the SSPs or annual updates. Any changes to information submitted by SETAs will be shared and communicated to all SETAs as part of the DoL’s evaluation process so that SETAs are able to adapt their records accordingly.

The purpose for using the OFO across the SETAs and the Department is to ensure consistency in reporting and monitoring in order that trends can be identified and aggregated across economic sectors. The information so collected will enable the Department of Labour to develop the National Guide on occupational or employment trends as per success indicator 1.2 of the NSDS. This also provides SETAs with the opportunity to develop strategies jointly across their sub-sectors and with other economic sectors facing similar skills shortages (scarce and/or critical).

***The value of using the OFO for industry is the following:***

* Job titles are more consistent and specific to the output of a post. The profiles developed for occupations could be used to inform post profiles and job descriptions.
* The curricula and assessment specifications developed for occupations could inform performance assessment processes as a benchmark.
* Labour market consistency in naming convention when advertising vacancies.
* Ease of generating legislated reports.
* Future link to Occupational Qualifications.
  + Occupational tasks form the starting point for occupational qualification development and assessment.
  + Competence or workplace output is linked to specific tasks, for which curriculum components and unit standards are being developed.
* Career path models that have been developed by the QCTO could be used to inform career management of occupational groupings in the workplace.

KT0102 Consultation requirements, principles and structures

**Introduction**

Employers serious about pursuing employment equity initiatives should re-evaluate their current strategies, and more specifically, how effective their employment equity committees have been. Future reporting will place greater emphasis on the consultation requirements with employees in identifying affirmative action measures and setting aggressive numerical targets.

The duty to consult with employee representatives is an enforceable one in terms of the Employment Equity Act, and an employer may be required to give a written undertaking that it will, within a specified period, consult with employees.

**Department of labour (DoL) code of good practice**

The Department of Labour (DoL) User Guide 2 provides the following pointers for meaningful consultation to be set in motion.

* **When to start consultation?**

Consultation should start as early as possible in the process

* **How should this happen?**

A consultative forum should be established or an existing forum used if this is appropriate, for example, an existing diversity committee, affirmative action or employment equity forum.

* **Who should be included?**

***All stakeholders such as:***

* Representative trade unions
* Employee representatives from:
* Designated groups
* Non-designated groups
* All occupational categories and levels
* Senior management, including the managers assigned with responsibility
* **What is proper consultation?**

***Proper consultation includes:***

* The opportunity to meet and report back to employees and management
* Reasonable opportunity for employee representatives to meet with the employer
* The request, receipt and consideration of relevant information
* Adequate time allowed for each of the above steps.
* Ongoing interaction with and accessibility to senior management with regard to employment equity issues is critical to the success of this process.
* **What would be considered relevant information?**
* ***Relevant information could include that relating to:***
* The particular business environment and circumstances of the employer
* The relevant economic sector or industry
* Relevant local, regional, and national demographic information about the economically active population
* The anticipated growth or reduction of the employer’s workforce
* The turnover of employees in the employer’s workforce
* The internal and external availability for appointment or promotion of suitably qualified people from the designated groups
* The degree of representation of designated employees in each occupational category and level in the employer’s workforce
* Employment policies and practices of the employer.

Relevant information is not limited to information supplied by the employer. Employees may be in a position to provide employers with valuable information that could be considered in developing an employment equity plan.

* **How often should the consultative forum meet?**

This will vary from employer to employer depending on size, sophistication, existing levels of diversity, and what has already been accomplished in the workplace with regard to employment equity. Meetings should, however, take place regularly and employers should allow time off for these meetings.

**Flexibility in the requirement to consult.**

The Act introduces elements of flexibility in its requirement that employers consult on the organisation's employment equity plan e.g. section 16. (1) States that a designated employer must take reasonable steps to consult, and attempt to reach agreement on the matters referred to in section 17.

Whether an employer has complied with its obligation to consult, namely, that is has "taken reasonable steps to consult" and "attempted to reach agreement" is subject to investigation by a labour inspector and will give rise to much debate between employers and trade unions, many of which will be decided upon in the Labour Court.

What constitutes "reasonable steps" and whether the employer has "attempted to reach agreement" is essentially a factual enquiry and will depend on the circumstances peculiar to each employer. It is however, probable that in time, Regulations and Codes of Good Practice will be developed which will provide general guidelines for employers.

**The distinction between consultations, negotiations and bargaining**

The legal debate surrounding the distinction between consultations, negotiations and bargaining is a valid one. However, often it is more a debate on limiting an employer's need to discuss company initiatives with employees or their representatives.

In the context of employment equity, an employer will be required to engage in consultations with employee representatives on areas and issues which traditionally fall within the scope of so-called "management prerogative". Many of these, such as pay equity, job grading, affirmative action, setting numerical goals, will give rise to heated debate.

Relying on legal distinctions between requirements to negotiate or to consult is not indicative of the business’ intent on implementing employment equity - it may be good legal practice but not necessarily best practice human resources.

**Best practice: principles of consultation**

* Consultation is not synonymous with consensus. It is, however, a process that permits and promotes the two-way flow of ideas and information among all sectors of society and between them and the government. The process ensures that employees are aware of and consulted about options that ultimately will become decisions affecting their lives.
* Effective consultation is based on principles of openness, transparency, integrity, and mutual respect.
* As with the communications function, consultation is a shared management responsibility, that is, one that is the responsibility of every manager in the organisation.
* As with all management responsibilities, satisfactory consultation requires good planning, research, analysis, advice and feedback.
* Consultation with employees or their representatives is intrinsic to effective policy development. It should be a first thought, not an after-thought.
* To be effective, consultation must be based on openness, trust, integrity, mutual respect for the legitimacy and point of view of all participants, and transparency of purpose and process.
* The outcome of consultation should not be predetermined. Consultation should not be used to communicate decisions already taken.
* The initiative to consult on a particular matter may come from the employer or employees -- each should respond as constructively as it can.
* Whenever possible, consultation should involve all parties who can contribute to or are affected by the outcome of consultation.
* Participants in a consultation should have clear mandates. Participants should have influence over the outcome and a stake in implementing any action agreed upon.
* Some participants may not have the resources or expertise required to participate. Thus, financial assistance or other support may be needed for their representation to be assured.
* Effective consultation is about partnership. It implies shared responsibility and commitment: a clear, mutual understanding of the issues, objectives, purpose, and expectations of all parties is essential; the agenda and process should be negotiable; any constraints should be established from the outset.
* Participants should have a realistic idea of how much time a consultation is likely to take and plan for this in designing the process.
* All participants must have timely access to relevant and easily understandable information and commit themselves to sharing information.
* Effective consultation will not always lead to agreement; however, it should lead to a better understanding of each other's positions.
* Where consultation does lead to agreement, whenever possible, participants should hold themselves accountable for implementing the resulting recommendations.
* Effective consultation requires follow-through. Participants are entitled to know what use is made of the views and information they provide; they should also be made aware of the impact their ideas and involvement ultimately have on government decision-making.

**Ensuring effective consultation**

The Act does not set out any specific mechanism for consultations. These arrangements should be agreed between the employer and the employees. If there are consultation procedures already in place, these should be reviewed and updated as necessary to ensure that they continue to meet the requirements of the Act.

The most appropriate type of consultation method is best chosen at local level. There may be a national shop stewards committee, worker directors or a structure such as a workplace forum may already exist. These structures may be used as a model for the Employment Equity committee, or their effectiveness reviewed to identify failings in their operation.

Consultation arrangements should include balanced participation on the part of both employees and employers. As stated earlier, consultation is an ongoing process. Each successive employment equity plan is also subject to consultation.

***In the case of any consultation mechanism the following general points should be borne in mind:***

* The size and number would depend on such matters as the size of the organisation, the range and type of work activities. Influential members of management should be involved in order to emphasise the organisation’s commitment to employment equity.
* The officers (chairman and secretary) should have the ability to ensure that it can function effectively. Business should be conducted in an ordered and structured fashion. Minutes, reports and submissions likelihood of having recommendations considered and acted upon more speedily. The officerships could be held by either side or rotated.
* There should be regular meetings under a specific agenda which could as appropriate include items like the following:

1. Progress report on the implementation of employment equity or task groups established to investigate particular matters.
2. Examination of the minutes and action plans since the last meeting.
3. Special consideration of any recent incident or workplace event which may undermine employment equity initiatives.
4. Practical equity suggestions or solutions from management or employees.
5. Special activities such as "Equity Awareness Weeks".
6. Diversity training needs and reports on training courses attended by management or employees.

* Members of the consultation mechanism would be entitled to rights such as time off for relevant training and carrying out their functions. In addition, the employer should provide reasonable facilities for meetings and the preparation of any minutes, submissions or reports, which may be necessary.
* The effectiveness of any consultation mechanism is more likely to be ensured if the following points are taken into account:
* Management should be encouraged to commit the necessary financial and staff resources.
* Management and employees should be encouraged to participate.
* Employees should be encouraged to communicate their views or complaints.
* Sensible recommendations should be implemented without delay.
* Line management should not ignore recommendations.
* Members should be adequately trained and informed on employment equity matters.
* Meetings should be held regularly in accordance with proper procedures.
* The agenda for meetings should be varied and relevant.
* Members should be prepared to consider new options or approaches to problems.

KT0103 Employment equity in terms of learning and development

South African managers are generally aware of the existence of Employment Equity, Skills Development and B-BBEE legislation. They understand that certain companies are required by law to comply with the Employment Equity Act and the Skills Development Levies Act and to provide updated B-BBEE certificates to their customers. However, many managers do not fully understand the requirements and implications of this legislation or its applicability to their own organisation, and as a result, they may unknowingly be placing their company at risk. Failure to comply may result in penalties ranging from the imposition of fines through to the loss of business to compliant competitors, with consequent impact on the company’s image as well as its bottom line. By implication, the company also fails to reap the benefits to be gained by compliance.

The Employment Equity Act No. 55 of 1998 focuses on creating equal opportunities for all through the elimination of unfair discrimination in the workplace. It also seeks to redress past imbalances in respect of race, gender, disability and income through the implementation of affirmative action measures. In terms of the act, an employer is required to consult with employees and trade unions, conduct an analysis of the organisation’s workforce profile, identify barriers towards the achievement of equality in the workforce, prepare and implement an employment equity plan and report status and progress to the Department of Labour. Failure to comply with the provisions of the act may lead to large fines.

Positive implementation of employment equity plans and affirmative action measures in companies leads to the creation a diverse workforce, which strengthens cultural values and has the potential to create improved access to new market segments. Additional benefits include reduced absenteeism, reduced labour turnover, enhanced service levels and customer satisfaction. Employees demonstrate increased innovation and creativity, improved motivation and efficiency, and corporate image is enhanced.

The second piece of legislation, the Skills Development Act, seeks to address skills shortages through occupationally directed education and training. It provides for the establishment of Sector Education and Training Authorities (SETAs) and various other structures, to drive skills development in their respective sectors. The Act stipulates that companies with an annual payroll of R500 000 and above are required to pay, to SARS, a skills development levy equal to 1% of payroll. The SETAs encourage and incentivise companies to train their employees by allowing levy-paying companies to claim back a portion of their Skills Development Levy by means of Mandatory, Pivotal and Discretionary Grants. To qualify for these grants, the company must appoint or enlist the expertise of a skills development facilitator, who compiles and submits a strategic Workplace Skills Plan and an Annual Training Implementation report. In addition to this, a company with more than 50 employees is required to establish a representative Skills Development Committee which is tasked with ensuring that the company meets its skills development objectives as set out in the Workplace Skills Plan.

The third piece of legislation directed at encouraging transformation is that of Broad-based Black Economic Empowerment. This legislation was developed to drive the economic empowerment of all black people, with specific focus upon women, workers, youth, people with disabilities and people living in rural areas, through diverse but integrated socio-economic strategies. In order to secure business directly from Government, companies need to have a favorable B-BBEE Scorecard. A company which does not supply products and services directly to Government may be tempted to assume that B-BBEEE accreditation is irrelevant, but this is not the case. The Preferential Procurement component of the Enterprise and Supplier Development element filters through all companies and effectively links them.

The Enterprise and Supplier Development Element on your scorecard is dependent on your supplier’s B-BBEE Scorecard level and in the same way, your client’s B-BBEE scorecard is affected by your own level of compliance. A supplier with a poor B-BBEEE scorecard has a negative effect on your company’s scorecard; this then has the effect of making others reluctant to do business with you for fear of the potentially negative impact on their own rating. Thus all companies will, to an ever increasing extent, be affected by the need to weigh up their potential suppliers and to practise preferential procurement. The B-BBEE Codes of Good Practice define the various categories of entities as well as how these entities will be evaluated in terms of their B-BBEE initiatives under different elements of the scorecard.

***The five elements include the following:***

* Ownership,
* Management Control,
* Enterprise and Supplier Development,
* Skills Development, and
* Socio-Economic Development.

In addition to this, various industries have drafted industry charters and industry codes, which take precedent over the generic codes of good practice if you happen to fall within that applicable industry. If this is the case, turnover thresholds and targets as found below and further in this fact sheet will differ. A company will be classified as belonging to one of three categories, Exempt Micro Enterprise (EME), Qualifying Small Enterprise (QSE), and Large Enterprise (LE), based on annual turnover. Targets are set for each element and companies are measured against these targets by an accredited verification agency. The points are tallied and this results in the company receiving a B-BBEE certificate ranging from less than 40 points and which is deemed to be a non-compliant contributor through to the highest level, a level 1 contributor.

From a transformation perspective, the skills development and management control elements collectively account for 40 points on your scorecard. A company cannot be fined for failure to implement B-BBEE initiatives, but in reality the penalties are even more severe: you run the risk of your clients cancelling their contracts and moving their business to a B-BBEE accredited supplier, often with disastrous result to your company. When aligning the applicable aspects of Broad-Based Black Economic Empowerment, Skills Development and Employment Equity as discussed above and below, figure one below serves as a simplified model for implementing meaningful transformation.

Although it is often couched in elaborate terms, the vision of most companies is to generate profits which, in turn lead to the sustainable creation of wealth all stakeholders. How can Employment Equity, Skills Development and Broad-Based Black Economic Empowerment aid in achieving this vision? The answer is quite simple. Firstly by focusing on the development and enhancement of employee skills levels, we can increase productivity, enhance efficiency and minimise costly mistakes, which in turn will lead to the generation of revenue and increased profits. Furthermore, the targeted up-skilling of employees from all occupational levels, and in particular, those from designated groups allows the company to create a talent pool which can be used for the accomplishment of the company’s Affirmative Action targets by promoting designated employees from within.

The achievement of a diverse workforce allows the company to embrace the spirit of the Employment Equity Act and creates an equitable working environment. In addition to this, having a culturally diverse labour force will enable the company to target different market segments and access new markets, which in turn, will lead to the achievement of the company’s vision. By focusing on both skills development and employment equity, we can substantially increase the company’s B-BBEE Scorecard, which in today’s business world is critical: an enhanced B-BBEE Scorecard creates a favorable position from which to tender for lucrative contracts, and this again results in more revenue.

When it comes to implementing a strategic Transformation Plan, whether it is Employment Equity, Skills Development or Broad-Based Black Economic Empowerment, attention must be drawn to the fact that the company needs to have in place the correct foundation in terms policies, practices and procedures to drive transformation. By default, many companies delegate accountability for implementation of Transformation strategies to the Human Capital Division and the Employment Equity and Skills Development committees, when in reality it is the supervisors, line managers and divisional heads who are in the most appropriate position to meet these objectives as they hire, train and promote employees.

The Human Capital Division, in effect, drafts the policies, devises the transformation strategies and monitors and enforces implementation. It should be borne in mind that the overall purpose of Transformation is not limited to gaining SETA grants or favorable B-BBEE scorecards. It is essential in the fight to reduce unemployment, alleviate poverty, correct social injustices of the past and drive meaningful and sustainable growth in the economy which will ultimately lead to a better life for all in South Africa. However, it so happens that those businesses that meet these objectives are usually those that enjoy long term growth and sustainability.

Skills Development Business Imperatives for Companies There are a number of strategic skills development imperatives that companies need to engage with and deliver on. Since BBBEE is compliance imperative, companies must ensure proper and consistent practice of BBBEE.

***Companies need to focus on the following:***

* Completing and submitting a meaningful Workplace Skills Plan (WSP). This includes mandatory and pivotal grant applications and must be accompanied by an accurate Annual Training Report (ATR). These submissions are compulsory for discretionary grant applications and to meet BBBEE requirements.
* Ensuring maximum skills levy recovery and grant funding from the SETAs, to enhance and grow training and development, in an affordable way. This also ensures that they obtain maximum benefits from SARS through the Learnerships Tax Rebate and the Youth Wage Subsidy.
* Securing maximum government sponsorship and funding by submitting annual workplace skills plans and securing additional funding sources available for skills development. There are various national, provincial and local government funding incentives as well as sector specific funding which companies can access to supplement the SETA mandatory and discretionary grant payments.
* Rolling out maximized externally funded training and development training programmes, that:
* Addresses the right skills for the various target groups;
* Delivers continuously improving operations and business performance;
* Addresses critical skills related (and mindset) issues, problems and challenges;
* Addresses your medium to long term strategies for your external talent pipeline and your internal talent and succession planning and management

**Workplace Skills Plan (WSP)**

The WSP is a high level, macro training plan for the entire organisation. The intent of the WSP is to convey the organisation’s training framework for the upcoming year. Planning and forecasting is critical in creating the plan as training in itself holds one of the largest budgets under HR. The ROI can be beneficial both financially and skills wise if the plan is designed and implemented correctly. In terms of implementation, it is the responsibility of the Training/ HR Department to manage the rollout and scheduling of the training on a micro level. The delivery and impact of training is overseen and reviewed by the Training Committee (in organisations of over 50 employees).

***The WSP must show the training initiatives for the upcoming year and report on the following areas:***

* Targeted training for previously disadvantaged individuals (PDI’s).
* Alignment to the EE and BBBEE strategy of the company.
* Be based on the needs analysis of the organisation and staff.
* Reporting on the WSP is based on standardised template from each Seta requesting the following:
* The strategic priorities of your business and training required to meet these objectives.
* Planned training during coming year by race, gender and occupational category.
* Details of employees (permanent, contract and temporary) including race, gender, disability and geographical location.

**Annual Training Report (ATR)**

The ATR is a document that sets out what training was done the previous year and measures it against what was planned in the WSP.

***As with the WSP, the ATR is completed using a standardised template requesting the following:***

* Persons trained during previous year by race, gender and occupational category.
* Training outcomes (e.g. numbers, costs, qualifications gained).
* Current workforce profile by race, gender and occupational category.
* Reasons for any discrepancy between what planned and actual.

The ATR and WSP must be submitted to the SETA to gain access to grants. This is the financial benefit to HR in terms of ROI.

KT0104 Learning and development priorities in terms of organisational constraints (budget, time, resources)

Employee training programs ensure that all workers have the skills, knowledge and experience to perform job tasks safely. These programs allow employees to gain awareness about company policies and procedures, improve professional skills and adhere to local, state and federal regulations. While training provides an essential benefit to both the business and the employee, constraints on instructor availability, a worker's time and company budget often limit an employer’s ability to offer comprehensive developmental programs.

When conducting a training needs analysis, it is important to examine any potential roadblocks that may stand in the way of a successful training program. These roadblocks are commonly referred to as training constraints, and here are some of the most common that must be overcome in order to achieve an effective program.

**Budget**  
The training budget often is the largest constraint that companies encounter, but not in the way one might think. Although most companies acknowledge the need for training and that there is a cost associated with training, they often fail to put a training plan in place because they struggle with even setting an appropriate training budget. Many owners and managers fear they will spend too much and not obtain a reasonable return on their investment. As a result, there often is no training at all.

To overcome this constraint, companies can draw from some standards used in other industries. For example, some companies set an annual training budget that is 2 percent of their annual total employee wages. Others use 1 percent. Use whichever figure makes more sense for your business. The key is to set a number and commit to it.

**Time**  
Time usually is the second largest constraint, because in a job environment, production highs and lows make developing, scheduling and executing training daunting tasks. As such, many employees also view training negatively, so it is essential for management to address this head-on with firm leadership. This constraint can only be overcome if the solution comes straight from the top, with the highest-level managers and owners mandating training.

**Communication**  
Another major training constraint is communication. Training goals cannot be achieved without effective communication. Every person in the organization should be made to understand the purpose and goal of any training prior to that training’s development. Essentially, effective communication comes down to whether or not the organization understands the expectations of the training.

Supervisors must know what to expect from subordinates after the training is complete, and, on the flip-side, the trainees must know what will be expected from them. All training expectations must be completely understood by every stakeholder connected to the training event and that comes down to robust communication at all levels.

Clear communications about employee development programs are essential to their success. Employers must take care that messages about development do not create unrealistic expectations or generate confusion about who receives development opportunities.

***Some aspects to consider include these:***

* **Expectations.**Too often, supervisors and managers suggest that promotion, job changes, exempt status, rewards or pay increases will occur at the end of a development cycle. Employers should ensure that reasons for development are well understood, avoid over-promising and not make promotion or pay commitments at the front end of a development program.
* **Eligibility.** Organizations must be clear about eligibility for each specific development program.
* **Opting out of development.**Employers must determine whether the program will be mandatory or if employees will be allowed to opt out. If someone does opt out, does that affect his or her performance appraisal? For employees who do express a desire to opt out, managers can emphasize the link between development and their careers, so employees clearly understand the developmental needs addressed by a particular program.
* **Identification of "high potentials."**Whether to tell high-potential candidates they are on the fast track can be a tough decision. Some organizations skirt the issue for fear that egos will erupt or that the motivation of those not selected for leadership development will wane. Other organizations argue in favor of telling high potentials they are special, saying the news increases engagement and encourages a strong bench of leaders ready to move up.

**Generational issues**

In earlier generations, an unspoken "sink-or-swim" approach to on-the-job training was often good enough to bring new employees up to speed. That approach might be less effective with those from the Millennial demographic, a group raised with different expectations and work styles. Millennials, possibly more than any other generation, require clear direction, guidance and goals from their managers. Most Millennials are accustomed to well-defined assignments, clear benchmarks, and continuous feedback and discussion. The lack of success many employers have experienced in working with Millennials is the result of a collision between this generation's worldview and how most organizations function.

Enlightened employers are redesigning supervisor and leadership training and development to accommodate the more interactive and collaborative work styles of Millennials. Organizations that rethink their approaches to developing younger workers are likely to gain a significant advantage.

The development needs of older workers are quite different. According to a 2008 AARP survey, workers age 50 and over are satisfied with employer-based training programs and participate in those programs in large numbers. But whereas 67 percent of workers surveyed by AARP said that they received all the training they had desired or made no training requests in the previous two years, one quarter of them reported that they were able to participate in only some of the training desired, in large part due to job-related time constraints. To recruit and retain employees over 50, employers need ongoing training and development because mature workers view development as a top attraction in an ideal workplace.

Although these are not the only constraints to successful training, companies that work to address and overcome them before developing a training program will be well on their way to success.

KT0105 Documenting learning and development plans

**Draw Up a Detailed Leaning and Development Blueprint**

You’ve done your homework and know what your training needs are, who needs to be trained, and how best to train them. Now you need to develop a plan.

***Here’s how:***

1. **Set specific goals to meet each training need you’ve identified.**
   * Use quantifiable measurements for the accomplishments you want employees to achieve after training, such as an increased production quota or decreased injury rates.
   * Use charts, graphs, and tables wherever possible to show management specific numbers and trends that your training program will achieve. For example, chart the increased productivity curve you plan to reach with your training or graph the injury rate you hope to achieve.
   * Set realistic targets that are achievable, but not necessarily easily. Know your trainees well enough to know how to challenge them to reach for more effective performance. For example, look at the highest production peak employees have ever achieved, even if it was only one time, and set your target slightly above this point. Employees know they can achieve it because they already have. But they also know it’s challenging to accomplish.
2. **List everyone who needs to be trained in each topic area.**
   * Use these lists to help you customize your training to your audience.
   * Prepare trainees by communicating before sessions with pre-quizzes, agendas, or requests for specific areas trainees want addressed in the training.
3. **Set up a training schedule.**
   * Make a master schedule of all the training you want to conduct for this month or this year.
   * Within the master schedule, set specific dates for each session.
   * Include makeup dates for trainees who cannot attend scheduled sessions.
   * Use a logical progression for multi-part training; make sure sessions aren’t too far apart that trainees forget the first training or too close together that trainees suffer information overload. Also allow time for trainees who want more training in the first session to receive it before the next session is held.
4. **Choose the appropriate method(s) for each group of trainees in each topic area.**
   * Plan to use more than one training method for each topic to ensure that you reach all the types of learners in the session.
   * Plan flexibility into your use of materials so that you are prepared for technical difficulties or other problems.
   * List the materials and methods you plan to use in each session.

Once you have all of this information collected and organized, you are in great shape to begin developing the specifics of your training sessions. The next chapter covers a comprehensive range of training styles and materials and helps you decide which methods are best to use when and how to combine methods to present an effective blended learning approach.

**Training Plan**

The purpose of the Training Plan is to identify the appropriate training strategies and activities required to achieve the desired learning outcome for the workplace.

The Training Plan provides a clear understanding of what must happen to meet the training requirements that have been defined, thus, end-users receive training in the knowledge, skills, and/or abilities required to support the new roles, business processes and/or technology.

**Training Objectives**

***Outline what the objectives for the Training Plan are:***

*<<Examples may include>>*

* *Ensure that all impacted staff receive relevant training to prepare them for any new working practices*
* *Ensure appropriate level of skill is reached in order to perform roles*

**Training Needs Assessment**

The Training Needs Assessment identifies gaps in the knowledge, skills or abilities of impacted stakeholders compared to levels required to support and sustain the changes implemented.

Please use the Training Needs Assessment Tool provided to identify end-user groups, required KSAs, and objectives/priorities in order to develop appropriate training activities.

**Training Approach**

**Training Methods**

***This section describes the training methods selected based on the options available and recommended for use by the project:***

*<<Examples may include>>*

1. *Blended Training Approach* 
   1. *To help retention of learning, a blend of training delivery methods will best meet the needs of our project. This will include: Instructor-Led Training, Job-aids and e-learnings*

**Training Roles & Responsibilities**

Use the table below to profile the key roles that will be part of the Training team. Individuals may have more than one role.

**Training Team Profile**

|  |  |  |
| --- | --- | --- |
| **Role** | **Profile** | **Skills / Considerations** |
| Training Lead | * Responsible for completing and managing the training program, including the development of instructional materials and training delivery * Develop the training strategy | * It is recommended that there be one Training lead from the project team, and one from the ministry |

**Training Infrastructure**

**Training Facilities**

The following is a list of the equipment and facilities preparation that will be required for classroom training sessions:

*<<Examples may include>>*

* *An instructor computer, attached to a projector*
* *A projection screen*
* *One computer for each learner (for hands-on systems training)*

**Training Environments**

The following section describes the distinct training environments:

*<<Examples may include>>*

* *Training Development Environment*
  1. *Will be used for creating training materials; this environment is for the exclusive use of the project team*
* *Training Production Environment*
  1. *Will be used to deliver Instructor-Led Classroom Training*
* *Training Practice Environment*
  1. *Will be used by end-users to practice in the new system; concurrently with the deployment of e-learning*

**Training Materials & Curriculum**

**Training Materials**

Use the following table to present a summary of key training materials and their intended uses.

**Training Materials Description example**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Material** | **Description** | **Developer** | **Reviewer** | **Final Decision** |
| Instructor guides/ manuals/classroom slides | Instructor guides and classroom slides:   * Reinforce or supplement a lecture or demonstration * Present new concepts, terms and processes | Joe Smith | Sally Peters | Mary Drew |
| Quick Reference Guides | Quick reference guides:   * Act as a job aid to assist the users once they return to their desks * Remind users of key features, options, and methods of working with the new Project X | Henry P. | Sam E. | Kim K. |

**Training Curriculum**

The curriculum defines the training courses that will be developed and delivered, including the associated learning objectives, sourcing options, delivery methods and course owners. Use the table below to help plan and manage your training curriculum.

**Training Roadmap**

A preliminary training schedule consists of the key training program activities*.* The training schedule will continue to evolve as the project progresses and additional details become available. The Training Needs Assessment, Training Curriculum, and Content Development Tracker will be critical inputs to the creation of the detailed training schedule.

**Training Roadmap**

|  |  |  |  |
| --- | --- | --- | --- |
| **Activities** | **Description** | **Responsible** | **Target Date** |
| Training Plan | Develop high-level training schedule | Training Lead | Feb. 2016 |
| Training Materials | Develop course outlines | Training Lead / Training Developer | March 2016 |

**TRAINING EVALUATION**

In evaluating the effectiveness of training delivery, information will be sourced from the following areas:

*<<Examples may include>>*

* *The outcomes of competency tests completed by trainees at the end of each module*
* *Feedback from trainees on confidence level at the end of each module*
* *Feedback from trainers on training problems or individuals with who have experienced learning difficulties*
* *To support the evaluation process, trainees will be provided with survey link to complete an evaluation survey. This will be used to measure the reaction of trainees post-training*

**Training Resources & Budget**

This section will include information on the training resources and effort (number of hours) for each project. It will include a summary of additional financial resources that may be required to develop and deliver end-user training.

*<<Examples may include>>*

|  |  |  |
| --- | --- | --- |
| **Effort Required** | | |
| **Role** | **Headcount** | **Effort** |
| Training Lead | 1 | 500 hours |
| Training Developer | 2 | 600 hours |
|  |  | **1100 hours** |

|  |  |
| --- | --- |
| **Financial Resources** | |
| **Description** | **Budget** |
| Headcount – additional training staff of 3 | R200,000 |
| Training software licenses – User Productivity Kits | R35000 |
|  | **R235,000** |

|  |
| --- |
| KM-06-KT02 LEARNING PROGRAM SOURCING, EVALUATION AND SELECTION |

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On completion of this section you will be able to understand learning program sourcing, evaluation and selection

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1. **KT0201** Sources of information
2. **KT0202** Evaluation and selection of learning programs
3. **KT0203** Reporting practices regarding preferred programs

KT0201 Sources of information

**Sources of Information**

There will be many sources of information that will help you. Some of these will be internal (i.e., within the organisation) and some will be external (i.e., outside the organisation).

***Internal information:***

* Job/position descriptions
* Employment records
* Performance appraisals
* Company reports, policies and other documents
* Surveys

***External information:***

* Surveys
* Industry body reports
* Environmental scans
* Government policy papers
* Market research reports

**Important:** Many sources of information that we may wish to access involve personal or commercial information. It is important that we obtain permission before accessing any information. If we are given permission, it is important to respect the privacy of everyone, as required by law.

**Needs Analysis**

**Types of Needs Analyses**

Many needs assessments are available for use in different employment contexts. Sources that can help you determine which needs analysis is appropriate for your situation are described below.

* **Organizational Analysis**. An analysis of the business needs or other reasons the training is desired. An analysis of the organization's strategies, goals, and objectives. *What is the organization overall trying to accomplish?* The important questions being answered by this analysis are who decided that training should be conducted, why a training program is seen as the recommended solution to a business problem, what the history of the organization has been with regard to employee training and other management interventions.
* **Person Analysis**. Analysis dealing with potential participants and instructors involved in the process. The important questions being answered by this analysis are who will receive the training and their level of existing knowledge on the subject, what their learning style is, and who will conduct the training. *Do the employees have required skills?* Are there changes to policies, procedures, software, or equipment that require or necessitate training?
* **Work analysis / Task Analysis**. Analysis of the tasks being performed. This is an analysis of the job and the requirements for performing the work. Also known as a task analysis or job analysis, this analysis seeks to specify the main duties and skill level required. This helps ensure that the training which is developed will include relevant links to the content of the job.
* **Performance Analysis**. Are the employees performing up to the established standard? If performance is below expectations, can training help to improve this performance? Is there a *Performance Gap*?
* **Content Analysis**. Analysis of documents, laws, procedures used on the job. This analysis answers questions about what knowledge or information is used on this job. This information comes from manuals, documents, or regulations. It is important that the content of the training does not conflict or contradict job requirements. An experienced worker can assist (as a subject matter expert) in determining the appropriate content.
* **Training Suitability Analysis**. Analysis of whether training is the desired solution. Training is one of several solutions to employment problems. However, it may not always be the best solution. It is important to determine if training will be effective in its usage.
* **Cost-Benefit Analysis**. Analysis of the return on investment (ROI) of training. Effective training results in a return of value to the organization that is greater than the initial investment to produce or administer the training.

**Techniques**

***Several basic Needs Assessment techniques include:***

* direct observation
* questionnaires
* consultation with persons in key positions, and/or with specific knowledge
* review of relevant literature
* interviews
* focus groups
* assessments/surveys
* records & report studies
* work samples

**Conducting an Organizational Analyses**

Determine what resources are available for training. What are the mission and goals of the organization in regards to employee development? What support will the senior management and managers give toward training? Is the organization supportive and on-board with this process? Are there adequate resources (financial and personnel)?

**Conducting a Work / Task Analysis**

Interview subject matter experts (SME's) and high performing employees. Interview the supervisors and managers in charge. Review job descriptions and occupational information. Develop an understanding of what employees need to know in order to perform their jobs.

***Important questions to ask when conducting a Task Analysis:***

1. What tasks are performed?
2. How frequently are they performed?
3. How important is each task?
4. What knowledge is needed to perform the task?
5. How difficult is each task?
6. What kinds of training are available?

Observe the employee performing the job. Document the tasks being performed. When documenting the tasks, make sure each task starts with an action verb. How does this task analysis compare to existing job descriptions? Did the task analysis miss any important parts of the job description? Were there tasks performed that were omitted from the job description?  
  
Organize the identified tasks. Develop a sequence of tasks. Or list the tasks by importance.   
  
Are there differences between high and low performing employees on specific work tasks? Are there differences between Experts and Novices? Would providing training on those tasks improve employee job performance?

Most employees are required to make decisions based on information. How is information gathered by the employee? What does the employee do with the information? Can this process be trained? Or, can training improve this process?

**Cognitive Task Analysis**

Develop a model of the task. Show where the decision points are located and what information is needed to make decisions and actions are taken based on that information. This model should be a schematic or graphic representation of the task. This model is developed by observing and interviewing the employees. The objective is to develop a model that can be used to guide the development of training programs and curriculum.  
  
Since the training is based on specific job tasks, employees may feel more comfortable taking the effort to participate in training.

Gather information about how the task is performed so that this can be used to form a model of the task. Review job titles and descriptions to get an idea of the tasks performed. Observe the employee performing the job. Review existing training related to the job. Make sure you observe both experts and novices for comparison.

**Conducting a Performance Analysis**

This technique is used to identify which employees need the training. Review performance appraisals. Interview managers and supervisors. Look for performance measures such as benchmarks and goals.

***Sources of performance data:***

1. Performance Appraisals
2. Quotas met (un-met)
3. Performance Measures
4. Turnover
5. Shrinkage
6. Leakage
7. Spoilage
8. Losses
9. Accidents
10. Safety Incidents
11. Grievances
12. Absenteeism
13. Units per Day
14. Units per Week
15. Returns
16. Customer Complaints

Are there differences between high and low performing employees on specific competencies? Would providing training on those competencies improve employee job performance?

**Individual Analysis**

As evident from the name itself, the individual analysis is concerned with who in the organisation needs the training and in which particular area. Here performance is taken out from the performance appraisal data and the same is compared with the expected level or standard of performance. The individual analysis is also conducted through questionnaires, 360 feedback, personal interviews etc. Likewise, many organisation use competency ratings to rate their managers; these ratings may come from their subordinates, customers, peers, bosses etc. Apart from the above mentioned organisations also make use of attitude surveys, critical Incidents and Assessment surveys to understand training needs which will be discussed in detail in other articles.

**Needs**

Any company delving into training and development of its workforce should first learn how to properly identify and assess training needs. This is the single most important thing that helps executives to address the gaps between the existing training and training which will be required in the future. Here’s a brief overview of three different needs managers should look at and three assessment methods for identifying key training needs at any organization.

**Industry-related needs:** Those are quite simple, but it can still be challenging to narrow them down when formulating your training program. There surely exists certain pieces of industry knowledge that employees should have. This need essentially derives from how the organization fits into the industry.

For example, a manufacturing group which creates parts for high-tech appliances may require the knowledge about where those parts go, what kind of appliances they structure, and how the manufacturing of those appliances coordinated by other companies affects the industry as a whole. When assessing this need, know how to differentiate what needs to be known from what would be nice to know.

**Job-related needs:** Job related needs are those that relate directly to jobs which are part of the organization. How to look for job-related needs? By researching whether there’s training available for certain jobs. If not, organizations might create a complete training program for a job. The purpose of job-related needs is to improve the final output of the job itself. It can be building an error-free part for a technological appliance or a completed call with a customer. The key is to identify which aspects of the job belong to executive positions and which ones are related to on-the-job training.

**Task-related needs:** A task-related need usually comes in the form of a requirement in a particular part or output within a job or job family. Just consider your own job, it’s a combination of different tasks and processes that create your job on a daily to yearly basis. This is something that all jobs share.

Sometimes one or more aspects of a job aren’t working and affect the overall productivity of a worker. Consider this example – a customer service representative performs well in sales and customer satisfaction, but when it comes to data inputs into the CRM system, they’re pretty hopeless. This problem might affect contact with the customers or even the number of closed sales.

**Assessment methods**

Organizational perspective:This kind of assessment is focused on the effectiveness of the enterprise as a whole. It aims to identify any discrepancies, revealing the knowledge and skills required to bridge gaps. Organizational assessments analyze factors like the economy, new environmental policies and changing workforce demographics. These assessments determine which parts of the organization require training and whether it will fill the gaps when implemented.

* **Task-related perspective:** Task assessments compile information about a particular job function. It’s an analysis that identifies key tasks, competencies and skills that are required to perform the job efficiently. It’s based on detailed job descriptions, skill analyses and inventory questionnaires which is how key training needs can be pinpointed. Enterprises undergoing restructuring or taking on a new direction can greatly benefit from this assessment. It basically determines whether there are any gaps between existing competencies and those required for improved performance.
* **Individual assessment:** The individual assessment looks at particular employees to discover their level of performance. This analysis identifies the existing skills and qualifications, as well as capacity for learning. Individual assessment will show who needs training and what kind of training is needed most. It uncovers the strengths of employees and areas for competency improvement.

Focus on each kind of training need before moving forward and determining the best course of action for the enterprise. Each assessment will help you improve different aspects of the organization and build specific training programs to address important gaps and boost the effectiveness of the company.

KT0202 Evaluation and selection of learning programs

To evaluate and select the best workplace learning programs, there is need to understand the characteristics of a good workplace learning program as these are used to determine the best programs.

**Characteristics of an Effective Training Program**

Training isn’t a one size fits all. There isn’t one simple answer to building the perfect employee training program, but there are a few things that are consistently present in all the best ones.

Malcolm Knowles, considered to be one of the founders of adult learning theory, states in his book "The Adult Learner, A Neglected Species" that "Adults are motivated to devote energy to learn something to the extent they perceive that it will help them perform tasks or deal with problems that they confront in their life situations." Effective training programs understand this and relate training materials to the actual skills your employees need to become successful. Associates must understand why they are taking the training and how it directly impacts their jobs.

**Effective Program Management**

A high quality training program starts with a person, with a champion. We’ll call this person the program manager. In some organizations this person might be the training and development manager, learning and development specialist, or training coordinator. Regardless of job title, this person is the one who manages training.

Program managers are responsible for planning and executing all training initiatives within an organization. An ideal training program manager is inherently curious, open-minded, motivated, and invested in developing employees’ skills to help them reach their potential. They are committed to learning and are constantly working to improve their own skills and competencies.

Additionally, this person is usually tasked with marketing the training program internally, so that employees are aware of development opportunities. Other important skills include problem solving, business acumen and leadership skills.

**Needs Assessment**

In getting started, the program manager must be able to identify the needs of an organization. This is where curiosity comes into play – they must take time to understand the past, present and future direction. A needs assessment can be conducted through research, interviews and internal surveys.

At the core of any effective training program is **correctly identifying who needs to be trained, and on what skills or topics.**

A training need” is the gap between current performance and required performance. For example, if you find that you have unsatisfied customers, there might be a need for customer service training for your sales team.

**Alignment:** Once needs are identified, they must be aligned with organizational initiatives. The program manager should build a curriculum to address problems in the organization and support business goals. By following this model, employees will be more likely to understand the training and it will be supported by managers and leaders.

The impact to the organization is the critical piece. No one wants to do something for no reason, you must have a purpose. When linking training to organizational strategy, you will be able to easily identify the above or bottom line indicators e.g. are you saving the company money or making the company money?

**Leadership Buy-in:** One of the keys to a successful training and development program, and possibly the most important, is leadership buy-in from the top down. Having leadership support helps drive the importance of a program, assist with accountability, and establish appropriate expectations. Leadership buy-in is more easily obtained when the program manager has been able to identify the needs of the organization, align them to the business and develop formalized goals and metrics that will provide results.

**Relevancy:** Providing relevant training content is key to a good training program, to ensure your learners are engaged and continue to come back for more. The modern learner today is distracted, overwhelmed and has little time to spare. Catering content to their needs is not only important, it’s critical.

The content you present to your employees must be applicable and timely to help them with their daily duties, expand their mind, and provide them with quick takeaways that can immediately be applied.

**Learning Objectives:** Effective training programs answer your employees' question of "Why am I taking this program?" The design of every training program must begin with learning objectives. Instructional designers need to create their programs with specific objectives that their trainees must accomplish. These objectives must also relate to actual skills that your employees need to be more successful at their jobs. Trainers must also mention these objectives at the beginning of every training module. You will discover that your employees are more actively engaged and learn more when they clearly understand how training relates to their jobs.

**Involvement:** An effective characteristic of all good training programs is active involvement for all participants. Adults need to be a part of their training, and a good training program has frequent exercises built into it. Practice sessions at the end of each training module are a good way to involve your trainees. Conduct role plays, games or small group problem-solving activities to make your students a part of their training. Vary activities from individual to small-group and large-group exercises so that every trainee has an opportunity to participate.

**Opportunity to Share Experiences:** Adults bring a lot of experience to your training program. Effective training programs use this experience frequently and allow ample opportunity for everyone to share their experiences. Design your training program so that new concepts can be discussed and reviewed. Adults want to add these new skills to what they have experienced in the past and build on that knowledge. For true learning to take place, trainees need time to reflect on what they have just learned and then discover how to apply it back on the job.

KT0203 Reporting practices regarding preferred programs

Human resource managers can justify the implementation of a training program in a number of ways. Although an essential function of human resources is to oversee and encourage employee training, the benefits of the training must outweigh the cost and company inconvenience involved. Training programs do take employees away from work, but when employee training is carefully monitored and properly implemented, the long-term benefits usually outweigh the temporary productivity losses associated with training schedules.

A letter for training justification needs to address the program's costs, benefits, business value and accountability.

**Define the Need:** One way to justify training is to show how it will improve the skills you need to do your job effectively. Training is a primary means of closing a skills gap, and the right training can help you develop skills and knowledge that make you a more valuable employee. For example, if you work in human resources and need training to learn about new laws that affect several company policies, justify the training by explaining how it will improve your ability to identify and address potential compliance issues.

**Show Business Value:** Connecting training results with a concrete business value is another way to justify training. In the justification letter, describe how a new or improved skill will benefit the business unit. For example, if the desired training will teach you how to use an updated billing software program, describe how this knowledge will result in fewer billing errors and quicker customer invoice processing. The resulting business value can be described in terms of improved cash flow and better customer relations.

**Cover the Costs:** Cost vs. benefit is almost always weighed when it comes to business expenditures, including training. In a letter justifying training, lay out all the costs, including travel, lodging, meals and training fees. Also, calculate a numerical value for the expected business value and provide a comparison of cost vs. value in the letter to make it easier for the decision maker to see the cost-to-benefit relationship. Be sure to have data on hand to back up the numbers, such as how projected increased sales from a sales training seminar will exceed the costs of the seminar in less than six months.

**Close with Conviction:** A commitment to use what you have learned in a training program should also be addressed in a training justification letter. Let the decision maker know you will be accountable and will capitalize on the training once you return to work. Describe at least one metric you intend to use to track transfer of training to the job. For example, if the desired training will teach you actionable time management skills, describe how you will use the techniques learned to help you complete your work in a timely manner. Set a reasonable deadline for the decision maker to see actual results.

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| KM-06-KT03: WORKPLACE LEARNING AND DEVELOPMENT REPORTING |

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On completion of this section you will be able to understand workplace learning and development reporting

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1. **KT0301** Monitoring and recording achievement of planned deliverables
2. **KT0302** Evaluation of learning and development deliverables against action plans
3. **KT0303** Compiling learning and development records and reports

KT0301 Monitoring and recording achievement of planned deliverables

**Essential monitoring and recording Training Effectiveness**

**What Do You Want to Measure?**

**The key place to start is with your goal:** how do you want to use the data that you are collecting? Do you want to use data to show that people enjoyed your training? That they learned something? That your training resulted in a change in behavior? That the training program brought your organization closer to achieving business objectives?

Just collecting data, just asking participants to fill out surveys on what they thought about the class, tracking how they answered test questions, storing what they scored on exams, doesn’t, by itself, create actionable data. If you don’t have a use in mind specifically, if you don’t start with an idea of how you’re going to use the information, then there’s a substantial risk that the data you collect will just sit in a file somewhere.

While several frameworks for evaluation exist, the most common is Kirkpatrick’s four levels of evaluation. It’s a handy guide.

* What do participants think about the training (level 1)?
* How did participants’ knowledge change as a result of the training (level 2)?
* Did the behavior of participants change after the training (level 3)?
* What business results came from the training (level 4)?

The Kirkpatrick system has its share of critical assessments. Do level 1 evaluations tell us anything more than whether participants liked the training (they can see Will Thalheimer’s article)? Wouldn’t it make more sense to start with what kind of results you want to see, instead of whether participants liked the training (well, yes).

Even taking into account the critiques, Kirkpatrick’s levels are an effective way to evaluate your training program. When it comes to evaluations, rather than reinventing the wheel, it can help to start with an existing system and figure out how to use it to measure what you need to know.

**What Do You Measure With?**

Once you decide what you want to measure, look at the tools. What can you use to collect information?

The number of tools available are incredible: popular online tools such as SurveyMonkey; dedicated services like Qualtrics; modules and plug-ins available in learning management systems; mobile solutions, whether responsive web pages or dedicated apps; web-based forms like Google Forms; and, of course, traditional paper surveys that are printed, handed out, and collected back.

**The key is to choose a format and be consistent, both in tools and in questions.**

***To take a couple of examples:***

Using multiple tools (such as an LMS evaluation system to record student evaluations and then Google Forms to track trainer responses) can create a situation where the data is difficult to collect and assess (and data that’s difficult to collect is less likely to be analyzed). Instead of finding all the evaluation data in one place, the information will have to be brought in from multiple sources. Data may also be in a format that’s difficult to cross-reference (for instance, the LMS student data may be tied programmatically to a particular session of a course, while the form-captured trainer data may need to rely on the trainer to provide information about the session that they’re evaluating—if the trainer misremembers, then how do you link the two?).

Using dissimilar questions across instruments (such as surveys or exams) can make it difficult to determine whether the factor you’re evaluating has actually changed. If the question on the pre-training instrument asks “how long does it take you to process an applicant” and the question on the post-training instrument asks “now that you’ve received training, how many applicants can you process in an hour,” then it can be difficult to measure the impact that the training had.

***Other items to consider when determining your measurement tools:***

* **Does the tool let you do a pre-assessment and post-assessment for each factor you want to measure?** (Not just knowledge, as in a pre-test and post-test, but also behavior and results.)
* **Can the system collect data in ways that will make it easy for the participant to complete the instrument?** (Ease of completion can be a significant obstacle to collecting data.)
* **Can you use the system to enforce data collection?** (Making the course available only after the pre-test has been completed; making the certificate available only after the survey has been submitted; recognizing, of course, that requiring people to complete the instrument can have its own, often negative, effect on the data collected.)
* **Would it be worth working with an outside firm who specializes in evaluation to help collect and analyze data?** (Evaluation, just like training program management, instructional design, and course development, is its own specialized field.)

Considering these (and other) items when determining what you use to measure will ensure that your evaluation efforts result in data that’s easy to collect, analyze, and put to use.

**Measuring training effectiveness:**

1. **Visual Confirmation:** In traditional trainings, learners demonstrate their knowledge by performing a role-play. Technology allows us to take role-plays a step further. Instead of demonstrating knowledge that may or may not be true to the learner’s job, learners now have the ability to share visual confirmation they’ve completed a task in real life. Imagine employees uploading a video or audio recording and/or submitting other visual proof of a task completed (for example a screen shot or video via smartphone). Now, imagine a training manager having access to those videos (and other visual proof) of employees using knowledge from a workshop in real life. Visual confirmation doesn’t only change HOW learning is measured, it can also impact the way we train by honing in on the most effective training initiatives and taking the closer look at those initiatives that aren’t “measuring up.”
2. **Social Ownership:** The ability to teach others is one of the highest forms of mastery of a subject. Social Ownership puts learners in the position to teach others by showing how they apply concepts in their real world. This concept not only engages employees to teach and learn from each other, it also gives training managers the ability to measure how well concepts are being implemented within the organization. These peer-teaching moments can be captured via video or by having peer-peer workshops.  Ultimately providing a new way to get employees involved and engaged to increase training effectiveness.
3. **Skill Assessments**: Creating a visual assessment of an employee’s skill set and performance before and after a training moment. These snapshots, or skylines, of a learner’s abilities can give a clear picture of performance and skill improvements you can directly tie to training. A simple example would be, testing a sales person’s current sales skills prior to training, then retesting the individual after the event to see the delta. There are so many improvements going on in this area right now because of data analytics, it’s a good one to jump on ahead of the curve.

**What Do You Do with the Data?**

**What do you do next?**

Without a plan to use the information you’ve collected, then the effort that you put into collecting the data isn’t going to be time well spent.

* If you collected data to see if exams did a good job of measuring knowledge, *then perform the analysis*, and set up a time for using the results to adjust the quiz questions.
* If you collected information on what the participant thought about the training, feed that information back into the next curriculum revision cycle.
* If you collected information about how participants changed their behavior, make sure to schedule time for an analysis of whether that behavior change met expectations—and lay out a plan for how to modify the training if it didn’t.

In short, it’s not enough to collect data. A plan needs to be in place to use the data.

For this reason, consider scheduling a specific time for revision as part of the training development process. Look at the course again in three months, or six months, setting up a formal process that creates an opening where the data gathered from the evaluation plan can be put to use.

KT0302 Evaluation of learning and development deliverables against action plans

**Assessment of results**

The intention of training is to help people and organisations with performance related problems. Intentions cannot be measured, but results can be.

***The final part of systematic training is, therefore, to use suitable measuring techniques to assess:***

* The quality of training provided
* Whether this resulted in improved performance; and
* Whether the training was worth doing at the end of the day, the training programme is as good as the participants found it.

Their feedback helps not only in evaluation of the training programme but also helps improve future programmes. A typical feedback form\* is given at the end of this chapter, which can, with a few modifications, be used in any training programme. Equally important for a trainee is to assess for himself, how far he benefited from the training. For this purpose, organisers of a training programme can conduct a 'Test Your Ability' exercise where in participants in a precursor control training are given 20 to 25 objective type questions, covering the key aspects of different sessions, which they are expected to answer within a specified time.

Thereafter, the correct answer sheets are distributed to them so that the participants can assess their own performance. Such tests have been widely appreciated by the participants.

Evaluation of workplace learning and training

There have been many surveys on the use of evaluation in training and development. While surveys might initially appear heartening, suggesting that many trainers/organisations use training evaluation extensively, when more specific and penetrating questions are asked, it if often the case that many professional trainers and training departments are found to use only 'reactionnaires' (general vague feedback forms), including the invidious 'Happy Sheet' relying on questions such as 'How good did you feel the trainer was?', and 'How enjoyable was the training course?'. As Kirkpatrick, among others, teaches us, even well-produced reactionnaires do not constitute proper validation or evaluation of training.

***For effective training and learning evaluation, the principal questions should be:***

* To what extent were the identified training needs objectives achieved by the programme?
* To what extent were the learners' objectives achieved?
* What specifically did the learners learn or be usefully reminded of?
* What commitment have the learners made about the learning they are going to implement on their return to work?

***And back at work,***

* How successful were the trainees in implementing their action plans?
* To what extent were they supported in this by their line managers?
* To what extent has the action listed above achieved a Return on Investment (ROI) for the organization, either in terms of identified objectives satisfaction or, where possible, a monetary assessment.

***Organizations commonly fail to perform these evaluation processes, especially where:***

* The HR department and trainers, do not have sufficient time to do so, and/or
* The HR department does not have sufficient resources - people and money - to do so.

Obviously, the evaluation cloth must be cut according to available resources (and the culture atmosphere), which tend to vary substantially from one organization to another. The fact remains that good methodical evaluation produces a good reliable data; conversely, where little evaluation is performed, little is ever known about the effectiveness of the training.

**Evaluation of training**

***There are the two principal factors which need to be resolved:***

* Who is responsible for the validation and evaluation processes?
* What resources of time, people and money are available for validation/evaluation purposes? (Within this, consider the effect of variation to these, for instance an unexpected cut in budget or manpower. In other words anticipate and plan contingency to deal with variation.)

**Responsibility for evaluation**

Traditionally, in the main, any evaluation or other assessment has been left to the trainers "because that is their job..." My (Rae's) contention is that a 'Training Evaluation Quintet' should exist, each member of the Quintet having roles and responsibilities in the process. Considerable lip service appears to be paid to this, but the actual practice tends to be a lot less.

***The 'Training Evaluation Quintet' advocated consists of:***

* senior management
* the trainer
* line management
* the training manager
* the trainee

Each has their own responsibilities, which are detailed next.

**Senior management**

* Awareness of the need and value of training to the organization.
* The necessity of involving the Training Manager (or equivalent) in senior management meetings where decisions are made about future changes when training will be essential.
* Knowledge of and support of training plans.
* Active participation in events.
* Requirement for evaluation to be performed and require regular summary report.
* Policy and strategic decisions based on results and ROI data.

**The trainer**

* Provision of any necessary pre-programme work etc. and programme planning.
* Identification at the start of the programme of the knowledge and skills level of the trainees/learners.
* Provision of training and learning resources to enable the learners to learn within the objectives of the programme and the learners' own objectives.
* Monitoring the learning as the programme progresses.
* At the end of the programme, assessment of and receipt of reports from the learners of the learning levels achieved.
* Ensuring the production by the learners of an action plan to reinforce, practise and implement learning.

**The line manager**

* Work-needs and people identification.
* Involvement in training programme and evaluation development.
* Support of pre-event preparation and holding briefing meetings with the learner.
* Giving ongoing, and practical, support to the training programme.
* Holding a debriefing meeting with the learner on their return to work to discuss, agree or help to modify and agree action for their action plan.
* Reviewing the progress of learning implementation.
* Final review of implementation success and assessment, where possible, of the ROI.

**The training manager**

* Management of the training department and agreeing the training needs and the programme application
* Maintenance of interest and support in the planning and implementation of the programmes, including a practical involvement where required
* The introduction and maintenance of evaluation systems, and production of regular reports for senior management
* Frequent, relevant contact with senior management
* Liaison with the learners' line managers and arrangement of learning implementation responsibility learning programmes for the managers
* Liaison with line managers, where necessary, in the assessment of the training ROI.

**The trainee or learner**

* Involvement in the planning and design of the training programme where possible
* Involvement in the planning and design of the evaluation process where possible
* Obviously, to take interest and an active part in the training programme or activity.
* To complete a personal action plan during and at the end of the training for implementation on return to work, and to put this into practice, with support from the line manager.
* Take interest and support the evaluation processes.

**N.B.** Although the principal role of the trainee in the programme is to learn, the learner must be involved in the evaluation process. This is essential, since without their comments much of the evaluation could not occur. Neither would the new knowledge and skills be implemented.

For trainees to neglect either responsibility the business wastes its investment in training. Trainees will assist more readily if the process avoids the look and feel of a paper-chase or number-crunching exercise. Instead, make sure trainees understand the importance of their input - exactly what and why they are being asked to do.

**Training evaluation and validation options**

As suggested earlier what you are able to do, rather than what you would like to do or what should be done, will depend on the various resources and culture support available. The following summarizes a spectrum of possibilities within these dependencies.

**1 - Do nothing:** Doing nothing to measure the effectiveness and result of any business activity is never a good option, but it is perhaps justifiable in the training area under the following circumstances:

* If the organization, even when prompted, displays no interest in the evaluation and validation of the training and learning - from the line manager up to the board of directors.
* If you, as the trainer, have a solid process for planning training to meet organizational and people-development needs.
* If you have a reasonable level of assurance or evidence that the training being delivered is fit for purpose, gets results, and that the organization (notably the line managers and the board, the potential source of criticism and complaint) is happy with the training provision.
* You have far better things to do than carry out training evaluation, particularly if evaluation is difficult and cooperation is sparse.

***However, even in these circumstances, there may come a time when having kept a basic system of evaluation will prove to be helpful, for example:***

* You receive have a sudden unexpected demand for a justification of a part or all of the training activity. (These demands can spring up, for example with a change in management, or policy, or a new initiative).
* You see the opportunity or need to produce your own justification (for example to increase training resource, staffing or budgets, new premises or equipment).
* You seek to change job and need evidence of the effectiveness of your past training activities.

Doing nothing is always the least desirable option. At any time somebody more senior to you might be moved to ask "Can you prove what you are saying about how successful you are?" Without evaluation records you are likely to be at a loss for words of proof...

**2 - Minimal action: The absolutely basic action for a start of some form of evaluation is as follows:** At the end of every training programme, give the learners’ sufficient time and support in the form of programme information, and have the learners complete an action plan based on what they have learned on the programme and what they intend to implement on their return to work. This action plan should not only include a description of the action intended but comments on how they intend to implement it, a timescale for starting and completing it, and any resources required, etc.

A fully detailed action plan always helps the learners to consolidate their thoughts. The action plan will have a secondary use in demonstrating to the trainers, and anyone else interested, the types and levels of learning that have been achieved. The learners should also be encouraged to show and discuss their action plans with their line managers on return to work, whether or not this type of follow-up has been initiated by the manager.

**3 - Minimal desirable action leading to evaluation:** When returning to work to implement the action plan the learner should ideally be supported by their line manager, rather than have the onus for implementation rest entirely on the learner. The line manager should hold a debriefing meeting with the learner soon after their return to work, covering a number of questions, basically discussing and agreeing the action plan and arranging support for the learner in its implementation. As described earlier, this is a clear responsibility of the line manager, which demonstrates to senior management, the training department and, certainly not least, the learner that a positive attitude is being taken to the training. Contrast this with, as often happens, a member of staff being sent on a training course, after which all thoughts of management follow-up are forgotten.

The initial line manager debriefing meeting is not the end of the learning relationship between the learner and the line manager. At the initial meeting, objectives and support must be agreed, then arrangements made for interim reviews of implementation progress. After this when appropriate, a final review meeting needs to consider future action.

This process requires minimal action by the line manager, it involves no more than the sort of observations being made as would be normal for a line manager monitoring the actions of his or her staff. This process of review meetings requires little extra effort and time from the manager, but does much to demonstrate at the very least to the staff that their manager takes training seriously.

**4 - Training programme basic validation approach:** The action plan and implementation approach described in (3) above is placed as a responsibility on the learners and their line managers, and, apart from the provision of advice and time, do not require any resource involvement from the trainer. There are two further parts of an approach which also require only the provision of time for the learners to describe their feelings and information. The first is the reactionnaire which seeks the views, opinions, feelings, etc., of the learners about the programme. This is not at a 'happy sheet' level, nor a simple tick-list - but one which allows realistic feelings to be stated.

This evaluation seeks a score for each question against a 6-point range of Good to Bad, and also the learners' own reasons for the scores, which is especially important if the score is low.

Reactionnaires should not be automatic events on every course or programme. This sort of evaluation can be reserved for new programmes (for example, the first three events) or when there are indications that something is going wrong with the programme.

The next evaluation instrument, like the action plan, should be used at the end of every course if possible. This is the Learning Questionnaire (LQ), which can be a relatively simple instrument asking the learners what they have learned on the programme, what they have been usefully reminded of, and what was not included that they expected to be included, or would have liked to have been included. Scoring ranges can be included, but these are minimal and are subordinate to the text comments made by the learners.

There is an alternative to the LQ called the Key Objectives LQ (KOLQ) which seeks the amount of learning achieved by posing the relevant questions against the list of Key Objectives produced for the programme. When a reactionnaire and LQ/KOLQ are used, they must not be filed away and forgotten at the end of the programme, as is the common tendency, but used to produce a training evaluation and validation summary. A factually-based evaluation summary is necessary to support claims that a programme is good/effective/satisfies the objectives set'. Evaluation summaries can also be helpful for publicity for the training programme, etc.

**5 - Total evaluation process:** If it becomes necessary the processes described in (3) and (4) can be combined and supplemented by other methods to produce a full evaluation process that covers all eventualities. Few occasions or environments allow this full process to be applied, particularly when there is no Quintet support, but it is the ultimate aim. The process is summarized below:

* Training needs identification and setting of objectives by the organization
* Planning, design and preparation of the training programmes against the objectives
* Pre-course identification of people with needs and completion of the preparation required by the training programme
* Provision of the agreed training programmes
* Pre-course briefing meeting between learner and line manager
* Interim validation as programme proceeds
* Assessment of terminal knowledge, skills, etc., and completion of perceptions/change assessment
* Completion of end-of-programme reactionnaire
* Completion of end-of-programme Learning Questionnaire or Key Objectives Learning Questionnaire
* Completion of Action Plan
* Post-course debriefing meeting between learner and line manager
* Line manager observation of implementation progress
* Review meetings to discuss progress of implementation
* Final implementation review meeting
* Assessment of ROI

Whatever you do, **do something**.The processes described above allow considerable latitude depending on resources and culture environment, so there is always the opportunity to do something - obviously the more tools used and the wider the approach, the more valuable and effective the evaluation will be. However be pragmatic. Large expensive critical programmes will always justify more evaluation and scrutiny than small, one-off, non-critical training activities. Where there's a heavy investment and expectation, so the evaluation should be sufficiently detailed and complete. Training managers particularly should clarify measurement and evaluation expectations with senior management prior to embarking on substantial new training activities, so that appropriate evaluation processes can be established when the programme itself is designed.

Where large and potentially critical programmes are planned, training managers should err on the side of caution - ensure adequate evaluation processes are in place. As with any investment, a senior executive is always likely to ask, "What did we get for our investment?", and when he asks, the training manager needs to be able to provide a fully detailed response.

**Measuring improvement using self-assessment**

The '3-Test' before-and-after training example is a useful tool and helpful illustration of the challenge in measuring improvement in ability after training, using self-assessment.

A vital element within the tool is the assessment called 'revised pre-trained ability', which is carried out after training.

**The 'revised pre-trained ability' is a reassessment to be carried out after training of the ability level that existed before training.**

This will commonly be significantly different to the ability assessment made before training, because by implication, we do not fully understand competence and ability in a skill/area before we are trained in it.

People commonly over-estimate their ability before training. After training many people realise that they actually had lower competence than they first believed (i.e., before receiving the training).

It is important to allow for this when attempting to measure real improvement using self-assessment. This is the reason for revising (after training) the pre-trained assessment of ability.

Additionally, in many situations after training, people's ideas of competence in a particular skill/area can expand hugely. They realise how big and complex the subject is and they become more conscious of their real ability and opportunities to improve. Because of this it is possible for a person before training to imagine (in ignorance) that they have a competence level of say 7 out of 10. After training their ability typically improves, but also so does their awareness of the true nature of competency, and so they may then judge themselves - after training - only to be say 8 or 7 or even 'lower' at 6 out of 10.

This looks like a regression. It's not of course, which is why a reassessment of the pre-trained ability is important. Extending the example, a person's revised assessment of their pre-trained ability could be say 3 or 4 out of 10 (revised downwards from 7/10), because now the person can make an informed (revised) assessment of their actual competence before training.

A useful reference model in understanding this is the Conscious Competence learning model. Before we are trained we tend to be unconsciously incompetent (unaware of our true ability and what competence actually is). After training we become more consciously aware of our true level of competence, as well as hopefully becoming more competent too. When we use self-assessment tools it is important to allow for this, hence the design of the '3-Test' before-and-after training tool.

In other words: In measuring improvement, using self-assessment, between before and after training it is useful first to revise our pre-trained assessment, because before training usually our assessment of ability is over-optimistic, which can suggest (falsely) an apparent small improvement or even regression (because we thought we were more skilled than we actually now realise that we were).

**Kirkpatrick system**

The Kirkpatrick system for the assessment of training in the marketplace is the best known and most widely used method.

***The four levels are:***

1. Reaction
2. Learning
3. Behavior
4. Results

**Reaction:** The first level refers to how those being trained reacted to the course. Kirkpatrick said, "Evaluating reaction is the same thing as measuring customer satisfaction. If training is going to be effective, it is important that students react favourably to it."

Did the trainees value the experience? Did they resent being asked to partake in it? Were they bored because they already knew the course material, or were they eager to sharpen their skills? Did they feel the training would benefit them in the long-term? It is important that the company goals align with the personal goals here to ensure that both the business and the individual feel as though they have benefitted from the experience.

Kirkpatrick suggested the use of a form to poll opinions and reactions, as well as collect suggestions and comments. Honesty is crucial at this level, so consider employing anonymous surveys to collect feedback.

**Learning:** The second level aims to evaluate how much learning has transpired over the course of the training. A test or assignment can determine this. Most courses today will incorporate at least one test as part of the curriculum. Were there specific learning goals to be met? What aspects improved for trainees, was it their knowledge base, their skills or their attitudes? The learning outcome will depend on the type of training they have undertaken, but if possible test employees to evaluate the difference before and after training.

**Behavior:** This level speaks to how the training is applied practically. How the knowledge can be transferred to their work? Was there a difference in attitude, efficiency or productivity? It is important to consider the fact that this level can only be properly evaluated if employees are given the opportunity and encouraged to use their newly learned skills. Otherwise, advancements measured in the previous levels may not make themselves obvious here. This level can also take longer to evaluate, as the real behavioural benefits may not make themselves visible right away but may come to light later on.

**Results:** This is the level many companies will show the most interest in as it can provide valuable evidence of ROI. It is the most difficult level to evaluate, as it consists of tying all four levels together and measuring how training has impacted the company, the employees and the bottom line. What did the training do to levels of engagement? How did it affect profits?

***Different ways gains might make themselves evident are:***

* Decreased spending
* Improved efficiency
* Improved morale
* Increase in intellectual capital
* Improvement in quality of service and customer satisfaction
* Improved employee retention

To calculate these accurately, there needs to be pre- and post-training evaluation. Whether through loss prevention or an increase in profit, there should be a financial benefit over time. A rise in motivation, morale, and employee satisfaction is also valuable, although the financial advantage of this can be difficult to determine in the short-term. Again, make sure to assess how the goals of the company and the goals of the individual employees overlapped or diverged, and work out how to better address this going forward.

Evaluation of effectiveness using these methods requires forethought and planning. Ideally surveys would be taken before and after training, and benchmarks would be established before training so as to later accurately ascertain the margin of improvement. Certain training options can make it easier to evaluate effectiveness using these levels; if possible choose an eLearning platform with clear cut pricing plans and simple and easy ways to track the progress of employees. Choose training with inbuilt tests to measure the effectiveness within the programme itself, so that most of the training evaluation is completed as part of the course.

KT0303 Compiling learning and development records and reports

**Training Records**

With any training program, there are the associated training records. Records document who was trained, when they were trained, and what skills they have mastered. Training records provide documentation for regulatory agencies, information for personnel evaluations, and support for promotion or salary increases.

Training records can be used as a basis for goal setting or aid in selecting staff assignments by matching competencies with required skills. They also are useful for charting and reviewing personal progress toward annual goals.

Records are objective. They provide the data needed to make decisions based on actual performance after specific training. Records provide an easy method to identify training gaps that direct future subject matter. As a reminder, this gap analysis assesses the needs of the organization and the knowledge, skills, attitudes, and abilities (KSA) of the staff in relation to the jobs they perform.

**Recordkeeping Methods**

Training record management can be very simple or complex, from certificates in a file to a custom electronic database. There is no one way to keep records but some methods make it easier to retrieve and use the data.

There are a number of commercial programs specifically designed for training records. These entities have a web presence and can be easily found. Some offer online database management or data storage. Some are part of a larger training package, while others only offer records management.

Paper records are the most common way to manage training records. Files can be created by person, by subject, or by date. Attendees sign a log sheet which is filed or they receive a certificate. Pick a system that works for you.

In order to maximize the usefulness and functionality of a paper file system, consider using a single summary sheet for organizing training records. If using the file folder method, this form can be stapled to the front of the file folder for ease of access; it can also be managed electronically. To be useful, summary forms must be kept current. The use of a single summary sheet per employee allows the manager to easily see what has been accomplished, tally the training hours logged, identify topics covered and mastered, and see what training gaps, if any, exist. This method enables the manager to easily compare year over year training. A summary sheet is useful when planning for upcoming training or goal setting for the next year. A number of such forms can be found on the internet by using a good search engine.

**Employee Recognition for Training**

In order to keep staff motivated about training, recognition of accomplishments is vital. We live in a world where employee pats on the back are expected. Younger team members especially are used to receiving recognition and kudos for even the smallest achievements. It follows that they would also expect recognition for these work-related achievements. For major events, such as achieving a certification or a specialty certificate, monetary rewards and sometimes promotion are standard.

Often this is coupled with a mention in a company newsletter, a plaque on the wall, or a celebration lunch. But what about routine training? Do we recognize staff enough for ongoing mastery of new materials and new techniques? Such recognition does not need to be expensive or complex. A mention during a staff meeting or a monthly lunch to celebrate new masteries, are an easy way to provide that pat on the back in a meaningful way.

***Some other suggestions include:***

* initiating a “Trainee of the Month” program;
* recognizing achievement in a departmental email;
* rewarding staff with trips to local or regional meetings;
* allowing successful students to assist with training for less skilled employees;
* posting photos of successful trainees with their specialty listed;
* using masteries of new material as part of the employee evaluation process;
* including training expectations as part of an annual goal-setting exercise;
* sending a letter of congratulations from HR or higher level manager;
* Listing achievements in a monthly or quarterly in-house or professional society newsletter.

Another suggestion is to use competent staff as the core of a “Train the Trainer” program, building on their success to motivate other staff members to achieve.

Organizational behavior is important as it tells employees what is valued. If we value training, we need to recognize those employees who strive and achieve, not just for major milestones, such as certification, but for dedicated and ongoing learning. Training records can help determine who those dedicated employees are.

**WSP?**

The Workplace Skills Plan (WSP) should document the skills needs of a company and describe the range of skills development interventions that the organisation will use to address these needs.

A facilitator must develop and submit a WSP every year in order to comply with South Africa’s current Skills Development legislation. A registered Skills Development Facilitator (SDF) or another qualified person will compile the WSP and submit to the SETA.

By complying with legislative requirements, a company is granted access to the various SETA grants available for skills training. However, in order to qualify for these grants, organisations must also ensure that their Annual Training Reports (ATR) are also submitted. This report shows your progress against your last WSP.

**Why is a WSP important?**

A Workplace Skills Plan outlines how an organisation/ employer is going to address the training and development needs within the workplace. It assists employers in identifying and providing relevant training that will address the skills gaps within the organisation. Compiling a WSP ensures that training is not only reactive to needs that emerge but also speaks to the overall organisational strategy, as well as encourages a holistic and sustainable approach to skills development. A well-thought-out WSP will ensure that the skills that an organisation lacks are addressed. This, in turn, will result in decreased training and development costs as development efforts are more focused.

**How to develop a WSP**

Below are some simple steps you can follow when developing your WSP. Progression is able to assist employers with their WSP & ATR submissions.

**1. Identify existing skills within the organisation.**

The first step in developing your WSP is to identify the skills that your workforce already has. Conducting a Skills Audit is the most effective way to do this. The main objective in conducting a skills audit is to identify the skills and knowledge that the organisation currently has, as well as those which it lacks.

**Purpose of a Skills Audit**

* To identify the skills and knowledge that the organisation:
* requires;
* currently has
* Identify and investigate the current competencies of each employee against pre-defined skill sets required to fulfil a specific role/function.

**Benefits of a Skills Audit**

* Improved skills and knowledge.
* Decreased training and development costs as development efforts are more focused.
* Improved succession planning for employees’ growth and development.
* Increased productivity as people are better matched to their positions.

**2. Identify the skills gap within the organisation.**

Once you have identified the skills that are present within the workforce, it becomes much easier to carry out the second step – identifying the skills that are missing and need to be developed. What skills are needed to achieve the strategic objectives of the organisation but are not present in the current workforce? These are the skills that need to be developed. Once again, a Skills Audit is a useful tool in identifying these gaps. Understanding where the gaps lie is an important step to any planning process and will pave the way forward for step 3.

**3. Identify the ways in which you are going to develop those skills which are lacking in the workplace.**

***There are various ways to achieve this, including, but not limited to:***

* Learnerships
* Mentorship
* In-house training
* Online training

***Other aspects to consider when identifying the best way to develop the skills required include the following:***

* What is the cost of the training?
* What level of training needs to be carried out?
* What’s the organisation’s Skills Development budget?
* How many employees need to be trained?
* Where will the training take place?
* Is the training venue accessible (for staff with disabilities)?

**The ATR – Annual Training Report.**

The ATR accompanies the WSP and is submitted along with the WSP. As stated above, the ATR is intended to show your progress against your last WSP. The report reflects the education, training and development that were implemented in the previous year. Your ATR will assist you in identifying the success/ failure of your previous efforts, thus allowing you to identify areas which you can improve on in order to remain effective and competitive.

Records of all education, training and development activities should be available to confirm the information given in the report.

***Include the following in your ATR:***

* The number of education, training and development activities conducted
* Attendance registers
* Proof of expenditure
* Training provider used
* The number of employees trained
* The occupational areas covered
* The learning methods that were used
* How much was spent on education, training and development activities
* The process used to develop the report
* Name of the Skills Development Facilitator

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