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**HRD Internal Training
Program Procedures for the
National Securities Depository Limited (NSDL)**

**Financial Institutions Reform and
Expansion (FIRE) Project**

June 1998

**Financial Institutions Reform and Expansion (FIRE) Project
US Agency for International Development (USAID/India)
Contract #386-0531-C-00-5010-00
Project #386-0531-3-30069**

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A

Price Waterhouse LLP



June 12, 1998

Mr C B Bhave
Managing Director
National Securities Depository Limited
Trade Towers, 4th Floor
Kamla Mills Compound
Senapati Bapat Marg
Mumbai 400 025

Dear Mr Bhave,

**Re HRD Internal Training Procedures Manual for National Securities
Depository Limited (NSDL)**

At your request and as part of our contract with the USAID, the Price Waterhouse FIRE Project consultants, Dr Tessie San Martin and Ms Susan Hertel have completed the next part of our activity towards assisting the NSDL in developing the depository's Human Resources Department (HRD)

Purpose of Activity

One of PW-FIRE's recommendation in its previous report to NSDL in November 1997, under the title of "Establishment of a Continuous Training Program Within the Human Resources Department of NSDL" was for NSDL to develop a documented procedures manual for HRD's internal training program PW- FIRE offered to create such a manual for NSDL. This report formally delivers the completed procedures

Recommendations

A Internal Training Committee

The NSDL needs to finalize policies on internal training programs. The tools provided by the PW-FIRE consultants are a resource for the establishment of such policies



B Procedure Maintenance

NSDL should use the completed procedures to begin to implement the functions described. Adjustments to the steps initially outlined will need to be made as the HRD begins to work on defining internal training needs. We would like to thank you and your colleagues at NSDL for the time, courtesy and cooperation extended to us during the course of this project.

Please get in touch with us at FIRE project for any clarifications or further information you may require.

Thanking you,

Sincerely yours,

A handwritten signature in black ink, appearing to read 'W Dennis Grubb'.

W DENNIS GRUBB
PRINCIPAL CONSULTANT CAPITAL MARKETS

**HRD Internal Training
Program Procedures for the
National Securities Depository Limited (NSDL)**

Price Waterhouse LLP

**Financial Institutions Reform and Expansion
(FIRE) Project**

**US Agency for International Development
(USAID/India)**

June 1998

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I EXECUTIVE SUMMARY

Over the last year the Price Waterhouse-FIRE project consultants, Dr. Tessie San Martin and Sue Hertel, have been working with NSDL to develop the depository's Human Resources Department (HRD) department. The primary focus has been on the training responsibilities of a typical HRD. Under this assistance the following work was done:

- * An initial presentation to NSDL on general HRD responsibilities that included designing and implementing a continuous internal training program
- * A report on recommendations specifically for NSDL including a training syllabus designed for the depository, needs assessment and training evaluation methodologies. This was produced in November 1997 under the title of "Establishment of a Continuous Training Program Within the Human Resources Department of National Securities Depository Limited"
- * A "Train the Trainer Workshop" held in May 1998 to educate NSDL management and other potential trainers within the organization in how to carry out training

Note: This workshop was also attended by members of the marketing team to help them strengthen their skills for external training.

One other recommendation included in the above noted report was for NSDL to develop a documented procedures manual for HRD's internal training program. PW-FIRE offered to create such a manual for NSDL. This report formally delivers the completed procedures. Copies of the procedures may be found in Appendix A.

The documentation of the training program procedures is consistent with other procedures manuals produced by PW-FIRE under an earlier project. The only difference is that the training procedures were developed by the consultants rather than based on interviews of staff on functional steps. The November, 1997 report to NSDL was used as the basis for the procedures.

The NSDL now needs to finalize internal policies on internal training programs. Such policies should include the establishment of an Internal Training Committee. This committee would review training needs, make recommendations, and approve certain training programs. The HRD manager would implement the process, coordinate training needs assessment and interpret assessment results. All of the tools provided by PW-FIRE under this project (workshops, report on recommendations, and documented procedures) can assist in this process.

II BACKGROUND

Over the last year, the Price Waterhouse-FIRE project consultants, Dr. Tessie San Martin and Sue Hertel, have been working with NSDL to develop the depository's Human Resources Department (HRD) department. The primary focus has been on the training responsibilities of a typical HRD. Under this assistance, the following work was done:

- * An initial presentation to NSDL on general HRD responsibilities. This included discussion on the design and implementation of a continuous education program for the entire staff.
- * A report on recommendations specifically for NSDL, including a training syllabus designed for the depository, needs assessment, and training evaluation methodologies. This was produced in November, 1997, under the title of "Establishment of a Continuous Training Program Within the Human Resources Department of National Securities Depository Limited".
- * A "Train the Trainer Workshop" held in May 1998. The workshop was designed to educate NSDL management and other potential trainers within the organization in how to carry out training. The objective of the workshop was to develop skills in these individuals in planning, carrying out, and evaluating internal training.

Note: This workshop was also attended by members of the marketing team to help them strengthen their skills for external training.

One other recommendation included in the above noted report was for NSDL to develop a documented procedures manual for HRD's internal training program. PW-FIRE offered to create such a manual for NSDL. This report formally delivers the completed procedures. Copies of the procedures may be found in Appendix A.

III APPROACH

The HRD Internal Training Procedures Manual was developed by PW-FIRE to compliment all of the other work done with NSDL in this area. The subject of each procedure was lifted from the earlier report on establishment of an internal continuous training program at NSDL. The examples used in the report became some of the procedure exhibits. Other exhibits of forms, reports, etc. were developed by PW-FIRE as templates for NSDL.

The procedures were documented in the same style as all of the procedures produced for NSDL by PW-FIRE.

Note: Under an earlier project, PW-FIRE documented the current operating procedures for the depository's business operations areas and administrative functions for the IT areas.

The style used in outlining steps for each function accommodates both training of staff in the HRD functions and day-to-day operations as a reference tool.

Since these procedures are new to the depository and most are yet to be implemented, only limited interviews of NSDL management were necessary. NSDL general staff did not need to be interviewed as PW-FIRE designed and wrote the procedures to provide the HRD with a framework on which to proceed. The interviews with management primarily revolved around current policies and procedures at NSDL in the areas of staff evaluations, recording of hours worked, and training already in place at the depository. A draft of the procedures was provided to the HRD manager for review and comment prior to final publication.

As with all of the other procedures, both hard and soft copies were provided to NSDL. The soft copy will accommodate the ongoing maintenance of these procedures.

IV RECOMMENDATIONS

A *Internal Training Committee*

The NSDL needs to finalize policies on internal training programs. The tools provided by the PW-FIRE consultants are a resource for the establishment of such policies.

The identification of training needs is primarily the responsibility of supervisors and senior management. The HRD manager helps to implement the process, coordinate training needs assessment and interpret assessment results. NSDL should establish a corporate-wide training committee that supports the overall internal training process. This committee can also use the procedures as documented by PW-FIRE to support their efforts.

B *Procedure Maintenance*

NSDL should use the completed procedures to begin to implement the functions described. Adjustments to the steps initially outlined will need to be made as the HRD begins to work on defining internal training needs. The depository will also need to begin to establish policies in the area of training. These policies must also then be incorporated into the procedures.

The templates for reports, forms, memos, etc. that have been included with the procedures as exhibits are in very basic formats. These were created by PW-FIRE to give NSDL starting points on which the HRD department can now build. It may be found that new forms will be needed. It may be possible to combine other forms. The important thing here is that the HRD maintains good documentation on all training performed. This is critical in assessing training needs and evaluating training results.

Note: Since forms may change frequently, special care should be taken to ensure that all procedure exhibits are current.

Approval, periodic review, and maintenance of the procedures should be done under the same process previously defined for the other procedures documented by PW-FIRE for NSDL. At least two levels of management should approve the procedures. All procedures should be reviewed for continued accuracy at least once a year. Updates should be made under the annual review process as well as throughout the year as needed.

V SUMMARY

The NSDL has been provided with a number of tools by PW-FIRE that should assist the depository in defining and implementing a continuous internal training program. The assistance by PW-FIRE has included

- * An initial presentation to NSDL on general HRD responsibilities that included designing and implementing a continuous internal training program
- * A report entitled "Establishment of a Continuous Training Program Within the Human Resources Department of National Securities Depository Limited", published in November, 1997, that provided recommendations specifically for NSDL on a training syllabus, needs assessment, and training evaluation methodologies
- * A "Train the Trainer Workshop" held in May, 1998 to educate NSDL management and other potential trainers within the organization in how to carry out training
- * A procedures manual to support day-to-day functions for an internal training program

The procedures as written by PW-FIRE provide a framework for implementing an internal training program. As with all other procedures, changes will occur within the depository that necessitate changes in the training program. HRD needs to ensure that the documented procedures are maintained going forward and always reflect the current policies and procedures of the depository.

Note: A soft copy of the procedures was provided to NSDL by PW-FIRE which can be used to update the manual as needed.

NSDL now needs to finalize internal training policies and begin to develop training programs. An Internal Training Committee should be formed that would address training needs on an ongoing basis. Committee members should represent a cross-section of the depository management team. The HRD manager would then carry out the internal training program as decided upon by the committee. The tools provided by PW-FIRE can support this process.

APPENDIX A

Internal Training Program Procedures

NATIONAL SECURITIES DEPOSITORY LIMITED
HUMAN RESOURCES DEPARTMENT
INTERNAL TRAINING PROGRAM PROCEDURES

Manual Prepared By

Price Waterhouse LLP/USAID FIRE Project

Disclaimer: This publication has been prepared by Price Waterhouse LLP/FIRE Project sponsored by USAID for private circulation. While utmost care has been taken in preparing this manual, we claim no responsibility for its completeness and accuracy.

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NATIONAL SECURITIES DEPOSITORY LIMITED

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT001

APPROVALS Jayesh Sule Gagan Rai

TITLE Developing the General Internal Training Curriculum

PURPOSE To assess training needs and identify individual courses that meet the needs of both the participants and NSDL

- HRD Manager
- 1 Reviews annual staff appraisals (Exhibit I) for notations on individual training needs
 - a Technical skills
 - b 'Soft' skills
 - 2 Consults periodically with departmental management to identify staff development needs/problems
 - 3 Determines if problems identified in step 2 can be corrected through training
 - 4 Performs diagnostic exercises to determine training needs
 - a By department
 - b Across the organization
- Refers to related procedure

5 Develop preliminary recommendations on areas of training needed based on results of steps 1 through 4

6 Reviews recommendations with Training Committee

Note The members of the Training Committee include a cross-section of NSDL management as well as representatives of the HRD

7 Finalizes areas of training to be developed based on results of Step 5

8 Develops course objectives for each of the training areas Refers to related procedure

9 Determines who should conduct training based on available resources

a Internal trainer

b Vendor

10 Works with internal trainer to develop appropriate courses

11 Directs preparation of tender document (Exhibit II) to be distributed to vendors and participates in selection process Refers to related procedure

12 Directs evaluation of training courses Refers to related procedure

13 Directs documentation of Training Needs Assessment form (Exhibit III) including

a Description of the process used to accomplish the training needs assessment/diagnosis

b List of learning needs that resulted from assessment (by department/division)

- c Description of objectives and content for each course that will be used to address identified needs
- d Description of other methods that may be used to address identified needs, i e mentoring self-taught courses, different recruitment approaches etc

Training Officer

- 14 Proceeds as directed by HRD Manager in
 - a Developing and conducting training sessions
 - b Preparing tender documents for vendors
 - c Analyzing evaluations of training

Refers to related procedures

- 15 Assists HRD Manager in preparing documentation under Step 12
- 16 Maintains all records related to training programs for future reference

PROCEDURE NUMBER HRT001

TITLE Developing the General Internal Training Curriculum

Exhibit I
Annual Staff Appraisal Form

(To Be Inserted by NSDL)

PROCEDURE NUMBER HRT001

TITLE Developing the General Internal Training Curriculum

Exhibit II
Tender Document

TEMPLATE TENDER OFFER DOCUMENT (*REQUEST FOR PROPOSALS—RFP*)

Background

The National Securities Depository Limited (NSDL), a premier capital markets institution in India believes that the key to any successful organization is the quality of its human resources. Accordingly, the NSDL is making a major investment in upgrading staff skills in a broad range of areas. As part of this initiative the NSDL is seeking offers to implement training programs in the following categories (NOTE select which ones)

- General management improvement, including
 - General interpersonal skills
 - Communication skills
 - Motivation of staff
 - Subordinate development
 - Team building/teamwork
 - Stress management
 - Introduction to supervising/managing
 - Time management
 - Delegation
- Manpower planning – including projecting staffing needs for budgeting supporting new or changing services and so on
- Other (?)

Objectives of the training program

These courses are part of NSDL's continuing education program for managers and staff. The course(s) target *NOTE here you need to provide details on the target audience at the very least provide some indication of the background of the prospective trainees-- years of work experience academic background etc.* A total of x (number) of participants are expected to take the course.

The objective of the course(s) is(are) to develop/hone skills that will enable NSDL employees to be more effective in their internal and external interactions. In particular *NOTE here provide additional details as required about the specific objectives of the course (e.g. to hone existing skills develop new skills enhance general effectiveness etc.)*

The training program/course must be delivered by *(here provide dates be again as specific as possible)*

The courses should be designed to minimize disruptions on the normal work schedule. The programs should be no more than (x) days in length whenever possible. The NSDL expects the courses to be tailored somewhat to fit the unique needs and staff requirements of the organization.

Requirements of the tender offer

Institutions and individuals interested in bidding on this work will need to submit a *technical proposal* that includes the following

- Your understanding of the course objectives and the unique needs of the audience(s) being targeted for training
 - ⇒ The reason why this topic is of relevance to this audience
 - ⇒ Expected practical applications for the results of the training program
- A draft agenda of the course, including proposed topics, type of materials that will be provided and used in the program, text books, etc
- An overview of the proposed methodology for tailoring the course (including a description of the information/data sources that will be used, such as interviews with prospective participants and other stakeholders)
- The key personnel, including project administration, support staff and instructors
The proposal should provide information on relevant past experiences and publications, emphasizing in particular experience in training other capital markets institutions
- An overview of your methodology for evaluating the course and controlling quality
- A workplan for completing the work, including the course evaluation

Technical Proposals should be no more than **10 pages** in length, including resumes for key personnel, trainers/instructors and support staff

Please submit one (1) original and two (2) copies of the technical proposal

Preparation of the cost proposal Bidders should submit a budget with estimates of what it will cost to perform the research project that is being proposed. The budget should include

- Level of effort (in either person days or hours) for each personnel being proposed
- Salary (either per day or per hour) for each staff members proposed for the project
- All expected out of pocket expenses: travel, per diem, photocopies, etc related to the implementation of this project

Please allocate costs to both design/tailoring and to delivery. For purposes of pricing this bid assume that the course will be delivered two times in one year.

This will be a fixed price contract so that the bidder is expected to bear the risks of any cost over-runs. Payment will be made upon delivery of the first course.

Please submit one (1) original and two (2) copies of the cost proposal, in a separate sealed envelope.

The cost and technical proposals should be submitted to the following address no later than **(provide date and time) to the following**

Mr J Sule
National Securities Depository Limited
address etc
Fax (22) 496-3555

PROCEDURE NUMBER HRT001

TITLE Developing the General Internal Training Curriculum

Exhibit III

TRAINING NEEDS ASSESSMENT

Exhibit III

TRAINING NEEDS ASSESSMENT

DATE PREPARED _____

<i>Department</i>	<i>Process(es) Used For Assessment (Interviews, tests, etc)</i>	<i>Learning Needs Identified</i>	<i>Objectives/Content For Related Course(s)</i>	<i>Other Methods To Address Need(s) (Mentoring, recruitment, self- taught course, etc)</i>
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Prepared By _____

Reviewed By _____

NATIONAL SECURITIES DEPOSITORY LIMITED
INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT002

APPROVALS Jayesh Sule Gagan Rai

TITLE Developing and Conducting an Internal Training Session

PURPOSE To prepare the training session syllabus materials and other teaching aids set up location and present the session

- Training Officer
- 1 Receives direction from HRD Manager to develop a training session on a specific topic
 - 2 Identifies audience
 - a Who will attend
 - b Background/experience of attendees
 - c How session should benefit them
 - d Number of participants
 - 3 Identifies management objectives for training
 - a Teach new process
 - b Inform staff on new/changed policy
 - c Motivate staff/behavioral change
 - d Develop/enhance skills
 - 4 Researches topic through
 - a Background materials
 - b Reviewing leading

work/experts in subject

- 5 Establishes framework for presentation
 - a Syllabus/agenda
 - b Length of presentation
 - c Location
 - d Room set up
 - e Equipment needed (overhead flip chart VCR blackboard etc)

- 6 Creates/arranges for materials to be distributed to attendees as appropriate prior to training session

NOTE Such materials would be any preparation work that the attendees may need to complete

- 7 Notifies attendees of time and location of session based on
 - a Assigned by manager
 - b Open enrollment

(Exhibits IA and B)

- 8 Presents training session
- 9 Secures course evaluation forms (Exhibit II) from attendees
- 10 Includes evaluation forms in analyses of training programs Refers to related procedure
- 11 Maintains database of information on training sessions
 - a Attendees
 - b Topics
 - c Length of sessions
 - d Evaluation results

12 Maintains manual records of training sessions as appropriate for future reference

a Source documents

a Course materials

b Evaluation forms

PROCEDURE NUMBER HRT002
TITLE Developing and Conducting and Internal Training Session

Exhibit IA
Notification of Training Session - Individual Assignment

DATE _____
TO Name of Employee, Department
FROM Human Resources Department
SUBJECT Internal Training Session

Please be advised that you have been registered for the following internal training session

Topic _____

Date _____

Time _____

Please contact (Name of HRD Training Person) at (telephone number) by (Deadline Date) to confirm your attendance at this session

PROCEDURE NUMBER HRT002

TITLE Developing and Conducting and Internal Training Session

Exhibit IB

Notification of Training Session - General Offering

DATE

TO All Staff Members

FROM Human Resources Department

SUBJECT Internal Training Session

The Human Resources Department is pleased to announce the following internal training session available to all employees

Topic _____

Date _____

Time _____

Please contact (Name of HRD Training Person) at (telephone number) by (Deadline Date) to confirm your attendance at this session. Attendance is limited to (number of people) so call early to reserve your place!



NATIONAL SECURITIES DEPOSITORY LIMITED

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT003

APPROVALS Jayesh Sule Gagan Rai

TITLE Annual Review of Internal Training Program

PURPOSE To re-assess the appropriateness of internal training program courses. This is done in collaboration with senior management to ensure that the content of courses is still valid and the training needs being addressed are still relevant to operations.

BACKGROUND

The training needs assessment is a continuous process. Training needs are being identified and evaluated as part of the staff appraisal process. In addition, major changes in internal company policy or the market and regulatory structure may require that a needs assessment be conducted for specific departments or other parts of the organization.

Each year individual courses need to be checked to ensure their content continues to respond to the learning needs identified in the diagnosis. The checking process does not need to be excessively time consuming, but it does need to be systematic.

HRD Manager	1	Reviews changes to job descriptions (Exhibit I) made over the last year
	2	Determines if any organizational changes affect contents and priorities of training, including the following areas:
	a	Strategic plans
	b	Technical changes
	c	Corporate policies
	d	Industry regulations

Training Officer

- 3 Reviews the various types of course evaluations (Exhibit II) for comments on relevance of content omissions etc
- 4 Reviews cost/benefit analyses as prepared for certain courses (Exhibit III)
- 5 Develops recommendations for adjustments to training program/sessions based on Steps 1 through 3
- 6 Reviews recommendations with training committee
- 7 Makes adjustments to training program/session(s) as determined necessary
- 8 Documents annual review process (Exhibit IV) and resulting decisions for
 - a Appropriate action by Training Officer in developing/conducting sessions
 - b Future reference
- 9 Instructs Training Officer on changes to be made to
 - a Internally presented training sessions
 - b Vendor presentations
- 10 Makes changes to training sessions as presented by internal staff
- 11 Meets with vendor(s) to discuss changes needed with their programs

12 Maintains all related records for
future reference

PROCEDURE NUMBER HRT003
TITLE Annual Review of Internal Training Program

Exhibit I
Sample Job Description

NATIONAL SECURITIES DEPOSITORY LIMITED

JOB DESCRIPTION

Title Clearing Corporation Interface Representative

Basic Purpose To assist the clearing corporations that interface with the depository in day-to-day interactions with NSDL as well as determine actions that need to be taken in emergency situations. This includes acting as liaison between the clearing corporations and other areas internal to NSDL and assisting in the training of clearing corporations.

Principal Responsibilities

- 1 Acts as the primary contact for clearing corporations at the depository. Responds to inquiries from clearing corporations concerning depository processes and the relationship between the two organizations. Reacts as necessary to resolve routine and emergency situations related to the depository processing.
- 2 Acts as liaison between the clearing corporations and the Information Technology Department. Assists in correcting terminal access problems at the clearing corporations. Helps to correct transmission difficulties. Coordinates the re-transmitting of data between the clearing corporation and the depository as necessary. Follows up with clearing corporations and Information Technology to insure problems were corrected in a timely manner.
- 3 Assists in training the clearing corporations. Reviews procedures with the registrar where routine difficulties are incurred. Refers in-depth training needs to the depository's Training Department. Assists in developing workshops and training and procedure manuals for clearing corporations.
- 4 Documents all problems encountered by/with clearing corporations to the Clearing Corporation Interface files. Prepares periodic reports to management on problems incurred by/with clearing corporations and their resolutions.

General Information

Incumbent should have 1 year in a customer service-related position. Excellent communication and negotiating skills are a requirement as is the ability to work in a high-pressure environment.

with critical deadlines. The individual must also be customer-oriented and have an ability to analyze information thoroughly and accurately. Experience in a computerized environment and terminal access to a computer system is extremely helpful and will reduce the training period.

Educational Requirement

(To be completed by NSDL)

The above statements are intended to describe the general nature of work being performed by the incumbent assigned to this classification. The responsibilities are not intended to be construed as an exhaustive list of all responsibilities so classified.

APPROVALS

PROCEDURE NUMBER HRT003

TITLE Annual Review of Internal Training Program

Exhibit II
Course Evaluation

SAMPLE 1 Course Evaluation

Course Title
Course Location (City, Country)
Course Dates

Participant Background Information

Name of Organization _____
Department _____
Position _____
Number of years with organization _____

Your answers to the following questionnaire will help us to improve this and future training programs. Thank you for taking the time to fill the questionnaire out. Answers are ranked from Strongly Disagree (1) to Strongly Agree (5)

Course Evaluation

1 Presentation - Module 1 (Presentation Title)

	1	2	3	4	5	
The presentation was informative	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presentation was relevant to my situation	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presenter was knowledgeable and effective	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/>	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

2 Presentation - Module 2 (Presentation Title)

	1	2	3	4	5	
The presentation was informative	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presentation was relevant to my situation	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presenter was knowledgeable and effective	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/>	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

3 Presentation - Module 3 (Presentation Title)

	1	2	3	4	5	
The presentation was informative	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presentation was relevant to my situation	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presenter was knowledgeable and effective	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/>	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

4 Presentation - Module 4 (Presentation Title)

	1	2	3	4	5	
The presentation was informative	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presentation was relevant to my situation	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presenter was knowledgeable and effective	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/>	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

5 Presentation - Module 5 (Presentation Title)

	1	2	3	4	5	
The presentation was informative	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presentation was relevant to my situation	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
The presenter was knowledgeable and effective	Disagree	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Agree
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/>	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

6 Case study - (Case Study Title)

		1	2	3	4	5	
The case study was informative	Disagree	<input type="radio"/>	Agree				
The case study was relevant to my situation	Disagree	<input type="radio"/>	Agree				
The break-out group was productive	Disagree	<input type="radio"/>	Agree				
The break-out group facilitator was effective	Disagree	<input type="radio"/>	Agree				
The plenary session was informative	Disagree	<input type="radio"/>	Agree				
The case study methodology was useful	Disagree	<input type="radio"/>	Agree				

Overall Course Evaluation

		1	2	3	4	5	
1 This workshop was relevant to my current role and responsibilities	Disagree	<input type="radio"/>	Agree				
2 This workshop will help me establish priorities in terms of the tasks ahead	Disagree	<input type="radio"/>	Agree				
3 The topics were covered in sufficient depth	Disagree	<input type="radio"/>	Agree				
4 The speakers had strong presentation skills	Disagree	<input type="radio"/>	Agree				
5 The pre-course readings and background information were useful	Disagree	<input type="radio"/>	Agree				
6 I was satisfied with the conference facilities	Disagree	<input type="radio"/>	Agree				
7 The staff was responsive to my needs	Disagree	<input type="radio"/>	Agree				

8 I would recommend this course to my colleagues

Yes No

9 Which topics covered in the workshop were most useful to you?

10 Which topics covered in the workshop were least useful to you?

11 General Comments on Course Materials, Management, Logistics

PROCEDURE NUMBER HRT003
TITLE Annual Review of Internal Training Program

Exhibit IIb

Training Benefit Assessment
Date Prepared _____

Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Interviews on Course Expectations
Meeting
Date Attendee(s)

Department(s)

Concepts/Skills
To Be Obtained

Potential
Applications

34

Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Results (Based on feedback from participants, sponsors, and managers solicited 3-6 months after course)
Date of Results

Evaluation of course based on results vs expectations (Should course be changed, deleted, etc?)

Related costs (course presentation and employee time)

35

PROCEDURE NUMBER HRT003

TITLE Annual Review of Internal Training Program

Exhibit III
Cost Benefit Analysis

Sample 4, Example 1 Learning a New Job-Related Software Package
2 day training course

	Annual Salary	Hourly Salary	Total Hours	Total Salary	w/ 30 Multiplier	Other Ben/Costs Per Unit	Number of Units	Total
Costs								
Course Development								
Course Developer	\$35,000	\$18	24	\$420	\$1,260			\$1,260
Assistant	\$25,000	\$13	16	\$200	\$600			\$600
Subtotal								\$1,860
Course Delivery								
Lead instructor	\$35,000	\$18	16	\$280	\$840			\$840
Assistant instructor	\$25,000	\$13	16	\$200	\$600			\$600
Logistics coordinator	\$15,000	\$8	24	\$180	\$540			\$540
Participants (avg salary)	\$25,000	\$13	16	\$200	\$600		15	\$9,000
Subtotal								\$10,980
Evaluations								
HRD Manager	\$40,000	\$20	16	\$320	\$960			\$960
Assistant	\$15,000	\$8	16	\$120	\$360			\$360
Subtotal								\$1,320
Total Salary Costs (Direct and Indirect)								\$14,160
Other Direct Costs								
Catering						\$15	12	\$180
Course Materials						\$10	12	\$120
Supplies						\$5	10	\$50
Total Other Direct Costs								\$350
TOTAL COSTS								\$14,510
Benefits								
Reduced learning time	\$25,000	\$13	32	\$400	\$1,200		15	\$18,000
Reduced correction time	\$25,000	\$13	24	\$300	\$900		15	\$13,500
TOTAL BENEFITS								\$31,500
BENEFITS - COSTS								\$16,990

**Sample 4, Example 2 Management Skills Training
5 day training course**

	Annual Salary	Hourly Salary	Total Hours	Total Salary	w/ 3 0 Multiplier	Other Ben/Costs Per Unit	Number of Units	Total
Costs								
Contract w/ Outside Provider (to develop and deliver course)							1	\$80 000
<i>Subtotal</i>								\$80,000
Course Delivery								
Logistics coordinator	\$15 000	\$8	56	\$420	\$1,260			\$1 260
Participants (avg salary)	\$35 000	\$18	40	\$700	\$2,100		30	\$63 000
<i>Subtotal</i>								\$64,260
Evaluations								
HRD Manager	\$40 000	\$20	16	\$320	\$960			\$960
Assistant	\$15 000	\$8	16	\$120	\$360			\$360
<i>Subtotal</i>								\$1,320
Total Salary Costs (Direct and Indirect)								\$145,580
Other Direct Costs								
Hotel						\$50	30	\$1 500
Per diem						\$20	30	\$600
Coffee/tea breaks						\$10	30	\$300
Conference rooms						\$100	5	\$500
Course Materials						\$10	30	\$300
Supplies						\$5	30	\$150
<i>Total Other Direct Costs</i>								\$3,350
TOTAL COSTS								\$148,930
Benefits								
Reduced turnover/emps						\$6 000	30	\$180 000
Reduced turnover/mgrs						\$10 000	5	\$50 000
TOTAL BENEFITS								\$230,000
BENEFITS - COSTS								\$81,070

PROCEDURE NUMBER HRT003

TITLE Annual Review of Internal Training Program

Exhibit IV

ANNUAL REVIEW OF INTERNAL TRAINING PROGRAM

PROCEDURE NUMBER HRT003
TITLE Annual Review of Internal Training Program

Exhibit IV

ANNUAL REVIEW OF INTERNAL TRAINING PROGRAM

Date Prepared
Period Reviewed

<i>Course/Program</i>	<i>Assessment Documents Reviewed</i>	<i>Assessment Summary</i>	<i>Recommendations (Changes, delete, etc)</i>
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NATIONAL SECURITIES DEPOSITORY LIMITED

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT004

APPROVALS Jayesh Sule, Gagan Rai

TITLE Outsourcing Training

PURPOSE To prepare and distribute tender document, review responses, and select vendor for certain training courses

BACKGROUND

Vendors can be contracted to help design a course, deliver a course or manage the course logistics or to undertake all three phases. Outsourcing makes sense when the course required is addressing a relatively generic skills set (e.g. effective writing style, time management, stress management, etc.)

Outsourcing can also be a strategy for training in-house trainers. In this case, the initial course design is outsourced. The vendors then train the internal staff to continue giving the course in the future. This strategy makes sense when the topic requires tailoring to make it relevant to the organization, the course will be offered many times, or management believes that the delivery of the message will be more effective if delivered by in-house staff.

Outsourcing should not be considered when the topic is highly specific to the organization.

HRD Manager

- i Identifies outsourcing needs when developing training curriculum as one or more of the following
 - a Design a course
 - b Deliver a course
 - c Manage logistics of course
 - d Train internal staff to deliver course

Refers to related procedure

Training Officer

- 2 Consults with senior management in preparing the tender document to be sent to vendors
- 3 Directs Training Officer in the preparation of the tender document
- 4 Drafts tender document (Exhibit I), including
 - a Outline of objectives of the desired course
 - b Description of intended audience
 - c Experience required of instructor
 - d Vendor selection criteria (e.g. 60% of the score will be based on instructor experience, 40% on costs)
 - e Deadline for vendor response
- 5 Identifies potential vendors
- 6 Reviews with HRD Manager
 - a Draft of tender document
 - b List of potential vendors
- 7 Finalizes tender document as directed by HRD Manager
- 8 Distributes tender document to final list of potential vendors
- 9 Receives responses from vendors
- 10 Reviews responses based on selection criteria
- 11 Summarizes responses
 - a Based on score of each vendor
 - b Providing observations made while

reviewing responses

- | | | |
|------------------|----|---|
| | 12 | Forwards results of Step 11 to HRD Manager |
| HRD Manager | 13 | Reviews vendor responses and summary as received from Training Officer |
| | 14 | Makes recommendation to senior management on which vendor should be selected |
| | 15 | Negotiates contract with selected vendor |
| | 16 | Notifies Training Officer of selected vendor |
| Training Officer | 17 | Coordinates delivery of course with vendor |
| | 18 | Facilitates evaluation of the course after completion Refers to related procedure |
| HRD Manager | 19 | Reviews evaluation of course |
| | 20 | Determines if vendor will be retained based on evaluation |
| Training Officer | 21 | Maintains all pertinent records on course and vendor for future reference |

PROCEDURE NUMBER HRT004
TITLE Outsourcing Training

Exhibit I
Tender Document

24

TEMPLATE TENDER OFFER DOCUMENT (*REQUEST FOR PROPOSALS—RFP*)

Background

The National Securities Depository Limited (NSDL), a premier capital markets institution in India believes that the key to any successful organization is the quality of its human resources. Accordingly, the NSDL is making a major investment in upgrading staff skills in a broad range of areas. As part of this initiative, the NSDL is seeking offers to implement training programs in the following categories (NOTE: select which ones)

- General management improvement, including
 - General interpersonal skills
 - Communication skills
 - Motivation of staff
 - Subordinate development
 - Team building/teamwork
 - Stress management
 - Introduction to supervising/managing
 - Time management
 - Delegation
- Manpower planning – including projecting staffing needs for budgeting, supporting new or changing services, and so on
- Other (?)

Objectives of the training program

These courses are part of NSDL's continuing education program for managers and staff. The course(s) target *NOTE: here you need to provide details on the target audience at the very least provide some indication of the background of the prospective trainees-- years of work experience academic background etc.* A total of x (number) of participants are expected to take the course.

The objective of the course(s) is(are) to develop/hone skills that will enable NSDL employees to be more effective in their internal and external interactions. In particular *NOTE: here provide additional details as required about the specific objectives of the course (e.g. to hone existing skills, develop new skills, enhance general effectiveness, etc.)*

The training program/course must be delivered by (*here provide dates be again as specific as possible*)

The courses should be designed to minimize disruptions on the normal work schedule. The programs should be no more than (x) days in length whenever possible. The NSDL expects the courses to be tailored somewhat to fit the unique needs and staff requirements of the organization.

Requirements of the tender offer

Institutions and individuals interested in bidding on this work will need to submit a *technical proposal* that includes the following

- Your understanding of the course objectives and the unique needs of the audience(s) being targeted for training
 - ⇒ The reason why this topic is of relevance to this audience
 - ⇒ Expected practical applications for the results of the training program
- A draft agenda of the course, including proposed topics, type of materials that will be provided and used in the program, etxt books, etc
- An overview of the proposed methodology for tailoring the course (including a description of the information/data sources that will be used, such as intrviews with prospective participants and other stakeholders)
- The key personnel, including project administration, support staff and instructors
The proposal should provide information on relevant past experiences and publications, emphasizing in particular experience in training other capital markets institutions
- An overview of your methodology for evaluating the course and controlling quality
- A workplan for completing the work, including the course evaluation

Technical Proposals should be no more than **10 pages** in length, including resumes for key personnel, trainers/instructors and support staff

Please submit one (1) original and two (2) copies of the technical proposal

Preparation of the cost proposal Bidders should submit a budget with estimates of what it will cost to perform the research project that is being proposed The budget should include

- Level of effort (in either person days or hours) for each personnel being proposed
- Salary (either per day or per hour) for each staff members proposed for the project
- All expected out of pocket expenses travel, per diem, photocopies, etc related to the implementation of this project

Please allocate costs to both design/tailoring and to delivery For purposes of pricing this bid assume that the course will be delivered two times in one year

This will be a fixed price contract, so that the bidder is expected to bear the risks of any cost over-runs Payment will be made upon delivery of the first course

Please submit one (1) original and two (2) copies of the cost proposal, in a separate sealed envelope

The cost and technical proposals should be submitted to the following address no later than **(provide date and time) to the following**

Mr J Sule
National Securities Depository Limited
address etc
Fax (22) 496-3555

NATIONAL SECURITIES DEPOSITORY LIMITED
INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT005

APPROVALS Jayesh Sule, Gagan Rai

TITLE Evaluating Training - Level 1 Evaluation Forms

PURPOSE To ensure that the training curriculum of the internal training program continues to meet the needs of the participants and the organization

BACKGROUND

The evaluation of an organization's training program takes place at the following levels

- *Level 1 - Measures the participants' reaction to the course and if the course met certain specific quality standards in terms of relevance of materials, instructor effectiveness, program logistical arrangements, etc
- *Level 2 - Ascertains whether and what the participants learned from the program
- *Level 3 - Measures behavioral change and on-the-job applications of concepts and skills taught in the course
- *Level 4 - Measures how training contributes to business results

This procedure addresses only Level 1 evaluations Refer to related procedures for other levels

- | | | |
|------------------|---|---|
| Training Officer | 1 | Drafts course evaluation form (Exhibit I) for each course, including evaluations on |
| | a | Course content |
| | b | Training materials |
| | c | Instructor ability |
| | d | Logistics |
| | e | Background of participants |

(if appropriate/desirable)

Note Evaluation forms may be designed having a section for each of the above areas or formatted by quantifiable data (scores of 1 through 5, "yes/no" questions, etc) and qualitative comments that cover a cross-section of information being gathered

- 2 Includes for course content evaluation measurement by attendees of such characteristics as
 - a Extent to which the course met its stated goals/objectives
 - b Most and least useful parts of the course
 - c Relevance for current and future jobs
 - d Length of time for and depth of materials covered
 - e Other topics that should be covered in the course
 - f Whether attendee would recommend course to colleagues
 - g Other related comments

- 3 Includes for training materials evaluations
 - a Appropriateness of pre-course readings
 - b Appropriateness of background materials

provided

- 4 Includes for instructor ability evaluations
 - a Ability to present information clearly and knowledgeably
 - b Ability to lead discussions and answer questions
- 5 Includes for evaluation of course logistics
 - a Effectiveness of existing methods for announcing courses and registering participants
 - b Appropriateness of accommodations/conference facilities provided
 - c Quality of catering
 - d Helpfulness of staff
- 6 Includes for background of participants as appropriate to evaluation objectives
 - a Departments where they are employed
 - b Level of experience/position
 - c Years of service with the company

Note It is not standard procedure to ask the participants to identify themselves by name on the evaluation since this may discourage them from being truthful in their responses

- 7 Reviews draft of course evaluation form with HRD Manager
- 8 Finalizes evaluation form based on results of Step 7
- 9 Distributes form at training session

Note If the course is more than three days long, evaluations should be done every two days

- 10 Collects completed forms from attendees at end of session
- 11 Tabulates ratings for each evaluation point where grades of 1 through 5 are provided (total no 1's, total no 2's, etc)
- 12 Tabulates number of affirmative and negative responses to "yes/no" questions
- 13 Summarizes responses/comments to direct questions
- 14 Prepares summary report to HRD Manager (Exhibit II) on results of Steps 11 through 13
- 15 Maintains file of course evaluations for future reference
 - a Evaluation forms
 - b Summary report

PROCEDURE NUMBER HRT005
TITLE Evaluating Training - Level 1 Evaluation Forms

Exhibit I
Course Evaluation Form

SAMPLE 1 Course Evaluation

Course Title
Course Location (City, Country)
Course Dates

Participant Background Information

Name of Organization _____
Department _____
Position _____
Number of years with organization _____

Your answers to the following questionnaire will help us to improve this and future training programs. Thank you for taking the time to fill the questionnaire out. Answers are ranked from Strongly Disagree (1) to Strongly Agree (5)

Course Evaluation

1 Presentation - Module 1 (Presentation Title)

	1	2	3	4	5
The presentation was informative	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presentation was relevant to my situation	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presenter was knowledgeable and effective	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

2 Presentation - Module 2 (Presentation Title)

	1	2	3	4	5
The presentation was informative	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presentation was relevant to my situation	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presenter was knowledgeable and effective	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

3 Presentation - Module 3 (Presentation Title)

	1	2	3	4	5
The presentation was informative	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presentation was relevant to my situation	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presenter was knowledgeable and effective	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

4 Presentation - Module 4 (Presentation Title)

	1	2	3	4	5
The presentation was informative	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presentation was relevant to my situation	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presenter was knowledgeable and effective	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

5 Presentation - Module 5 (Presentation Title)

	1	2	3	4	5
The presentation was informative	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presentation was relevant to my situation	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
The presenter was knowledgeable and effective	Disagree <input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Agree <input type="radio"/>
Overall I would rate this session as	<input type="radio"/> Too Easy	<input type="radio"/> Just Right	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> Too Hard

6 Case study - (Case Study Title)

		1	2	3	4	5	
The case study was informative	Disagree	<input type="radio"/>	Agree				
The case study was relevant to my situation	Disagree	<input type="radio"/>	Agree				
The break-out group was productive	Disagree	<input type="radio"/>	Agree				
The break-out group facilitator was effective	Disagree	<input type="radio"/>	Agree				
The plenary session was informative	Disagree	<input type="radio"/>	Agree				
The case study methodology was useful	Disagree	<input type="radio"/>	Agree				

Overall Course Evaluation

		1	2	3	4	5	
1 This workshop was relevant to my current role and responsibilities	Disagree	<input type="radio"/>	Agree				
2 This workshop will help me establish priorities in terms of the tasks ahead	Disagree	<input type="radio"/>	Agree				
3 The topics were covered in sufficient depth	Disagree	<input type="radio"/>	Agree				
4 The speakers had strong presentation skills	Disagree	<input type="radio"/>	Agree				
5 The pre-course readings and background information were useful	Disagree	<input type="radio"/>	Agree				
6 I was satisfied with the conference facilities	Disagree	<input type="radio"/>	Agree				
7 The staff was responsive to my needs	Disagree	<input type="radio"/>	Agree				
8 I would recommend this course to my colleagues							

Yes No

9 Which topics covered in the workshop were most useful to you?

10 Which topics covered in the workshop were least useful to you?

11 General Comments on Course Materials, Management, Logistics

PROCEDURE NUMBER HRT005
TITLE Evaluating Training - Level 1 Evaluation Forms

Exhibit II

Course Evaluation Summary

Course Title
Presentation Date
Presented By
No Of Attendees
Related Department(s)

Ratings Tabulations

<i>Category</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
1 Presentation Title - Informative - Relevant - Presenter Knowledge - Overall Rating					
2 Presentation Title - Informative - Relevant - Presenter Knowledge - Overall Rating					
3 Presentation Title - Informative - Relevant - Presenter Knowledge - Overall Rating					
4 Presentation Title - Informative - Relevant - Presenter Knowledge - Overall Rating					
5 Presentation Title - Informative - Relevant - Presenter Knowledge					

- Overall Rating

- 6 Case Study
 - Informative
 - Relevant
 - Break-out Productive
 - Break-out Facilitator
 - Plenary Session Informative
 - Case Study Methodology Useful

Overall Evaluation

- 1 Relevant to current role and responsibilities
- 2 Will help to establish priorities
- 3 Depth of topics covered
- 4 Speakers presentation skills
- 5 Pre-course readings and background information
- 6 Facilities
- 7 Staff responsive to needs
- 8 Would recommend course Yes _____ No _____

9 Topics most useful

10 Topics least useful

11 General comments

NATIONAL SECURITIES DEPOSITORY LIMITED

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT006

APPROVALS Jayesh Sule, Gagan Rai

TITLE Evaluating Training - Level 1 Participant Interviews

PURPOSE To ensure that the training curriculum of the internal training program meets the needs of the participants and the organization

BACKGROUND

The evaluation of an organization's training program takes place at the following levels

*Level 1 - Measures the participants' reaction to the course and if the course met certain specific quality standards in terms of relevance of materials, instructor effectiveness, program logistical arrangements, etc

*Level 2 - Ascertains whether and what the participants learned from the program

*Level 3 - Measures behavioral change and on-the-job applications of concepts and skills taught in the course

*Level 4 - Measures how training contributes to business results

This procedure addresses only Level 1 evaluations Refer to related procedures for other levels

Note To maintain confidentiality, the participant interview evaluation may be conducted by a training officer, but should not be the person who conducted the related training session The interviewer should be someone who is familiar with the objectives of the course, the training process in general, and the methodology for conducting participant discussions

Training Officer/Other Appropriate Person	1	Reviews course content/materials for background information
---	---	---

HRD Manager

- 2 Determines if interviews should be conducted
 - a With the group of participants
 - b With a sub-group of participants
 - c One-on-one with individual participants
- 3 Interviews participant(s) for detailed feedback on course
- 4 Asks participants to explain reasoning for comments as appropriate
- 5 Documents results of interviews (Exhibit I) in memo to HRD Manager
- 6 Maintains documentation in course file for future reference
- 7 Considers memo on participant interviews in course evaluation
- 8 Retains memo as part of course evaluation package for future reference

PROCEDURE NUMBER HRT006

TITLE Evaluating Training - Level 1 Participant Interviews

Exhibit I
Documentation Memo

DATE

TO HRD Manager

FROM Training Officer

SUBJECT Evaluation of (name of training session) - Interview(s) Conducted

On (date), interview(s) with the following individual(s) was/were conducted for the purpose of course evaluation

- Group of course participants
- Sub-group of course participants
- Individual participant

A summary of the results of this/these interview(s) follows

(Training Officer should include all pertinent information from interviews as related to course evaluation, including comments and recommendations)

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT007

APPROVALS Jayesh Sule, Gagan Rai

TITLE Evaluating Training - Level 2

PURPOSE To ensure that the training curriculum of the internal training program meets the needs of the participants and the organization

BACKGROUND

The evaluation of an organization's training program takes place at the following levels

*Level 1 - Measures the participants' reaction to the course and if the course met certain specific quality standards in terms of relevance of materials, instructor effectiveness program logistical arrangements, etc

*Level 2 - Ascertains whether and what the participants learned from the program

*Level 3 - Measures behavioral change and on-the-job applications of concepts and skills taught in the course

*Level 4 - Measures how training contributes to business results

This procedure addresses only Level 2 evaluations Refer to related procedures for other levels

HRD Manager

1 Determines if course should be subjected to a Level 2 evaluation

Note Level 2 evaluations are only appropriate for courses/training that focus on a very specific skills set (e.g. learning a new procedure or how to use a new software program)

2 Advises Training Office, on

Training Officer

decision

- 3 Designs/assists in designing testing of course participants to measure effectiveness of training
 - a Pre-course test
 - b Post-course test
- Note Content of tests should be the same Improvement of test scores is an indicator of course effectiveness*
- 4 Consults with related departmental management on test content
- 5 Reviews draft of test with HRD Manager
- 6 Finalizes test based on results of Step 5
- 7 Conducts testing of participants before and after the related course
- 8 Scores both sets of tests
- 9 Compares results of Step 8
- 10 Documents/reports findings from Step 9 to HRD Manager
- 11 Maintains tests and documentation of results as part of course evaluation package for future reference

PROCEDURE NUMBER HRT007
TITLE Evaluating Training - Level 2

Exhibit I

*Training Evaluation
Documentation of Test Results*

Course Title
Presentation Date

Attendee(s)	Pre-Course Test Date	Pre-Course Score(s)	Post-Course Test Date	Post-Course Score(s)	Change (+/-)
-------------	-------------------------	------------------------	--------------------------	-------------------------	-----------------

Summary Comments on Course Assessment

NOTE Scores may be reported by test section if appropriate

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT008

APPROVALS Jayesh Sule, Gagan Rai

TITLE Evaluating Training - Level 3

PURPOSE To ensure that the training curriculum of the internal training program meets the needs of the participants and the organization

BACKGROUND

The evaluation of an organization's training program takes place at the following levels

- *Level 1 - Measures the participants' reaction to the course and if the course met certain specific quality standards in terms of relevance of materials, instructor effectiveness, program logistical arrangements, etc
- *Level 2 - Ascertains whether and what the participants learned from the program
- *Level 3 - Measures behavioral change and on-the-job applications of concepts and skills taught in the course
- *Level 4 - Measures how training contributes to business results

This procedure addresses only Level 3 evaluations Refer to related procedures for other levels

- | | | |
|-------------|---|---|
| HRD Manager | 1 | Meets with participants and their sponsors/managers to |
| | a | Discuss expectations of concepts and skills that will be gained from the course |
| | b | How and when the skills and concepts will be applied after the course |

- 2 Documents results of Step 1 (Exhibit I)
- 3 Sends letters to participants and their sponsors/managers (Exhibit II) approximately 3-6 months after completion of course, asking
 - a How and when new concepts were applied
 - b Impact on overall performance of participant and department
- 4 Evaluates responses from Step 3
 - a Compared to course expectations found in Step 1
 - b Actual results realized (perhaps beyond expectations)
- 5 Maintains all documentation as part of course evaluation file for future reference

PROCEDURE NUMBER HRT008

TITLE Evaluating Training - Level 3

Exhibit I

Training Benefit Assessment

PROCEDURE NUMBER HRT008
TITLE Evaluating Training - Level 3

Exhibit I

Training Benefit Assessment
Date Prepared _____

Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Interviews on Course Expectations

Meeting
Date

Attendee(s)

Department(s)

Concepts/Skills
To Be Obtained

Potential
Applications



Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Page 2

Results (Based on feedback from participants, sponsors, and managers solicited 3-6 months after course)
Date of Results

Evaluation of course based on results vs expectations (Should course be changed, deleted, etc?)

Related costs (course presentation and employee time)

PROCEDURE NUMBER HRT008
TITLE Evaluating Training - Level 3

Exhibit II
Letter to Participants on Results

DATE _____
TO (Individually addressed to participants, sponsors, and managers)
FROM Human Resources Department
SUBJECT Course Evaluation - (Name of Course)

On (Date course was held) you/one of your staff members attended the above course. Prior to this attendance, expectations of results from participating in the course were identified. In the space below, please provide feedback on results from the course as compared to those expectations. (You may also attach additional pages as needed.) This feedback should include how and when new concepts were applied, the impact on your overall performance/the performance of your department, and any other information that you feel would be helpful to the HRD in evaluating the success of this course.

Thank you for your participation in this evaluation.

My feedback on the above course is as follows

Signed _____
Participant/Sponsor/Manager
(Circle One)

Date _____

INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT009

APPROVALS Jayesh Sule, Gagan Rai

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

PURPOSE To ensure that the training curriculum of the internal training program meets the needs of the participants and the organization through performing a cost/benefit analysis

BACKGROUND

The evaluation of an organization's training program takes place at the following levels

- *Level 1 - Measures the participants' reaction to the course and if the course met certain specific quality standards in terms of relevance of materials, instructor effectiveness, program logistical arrangements, etc
- *Level 2 - Ascertains whether and what the participants learned from the program
- *Level 3 - Measures behavioral change and on-the-job applications of concepts and skills taught in the course
- *Level 4 - Measures how training contributes to business results

This procedure addresses only Level 4 evaluations Refer to related procedures for other levels

HRD Manager	1	Works with senior management to
	a	Determine which training courses should be subjected to a cost/benefit analysis
	b	Establish mechanisms for routinely collecting information on key components of training

program costs

- 2 Meets with appropriate department heads when developing a training course to
 - a Identify the problem to be solved through training
 - b Define the operational results to be tracked
 - c Define benefit measures such as steps to complete work, time required, who performs work, salaries

Note See Exhibit I for possible areas to track and data collection methods

- d Obtain pre-course data for Step 2c
- 3 Completes pre-course data section of "Training Benefit Assessment" form (Exhibit II)
- 4 Retains form from Step 3 in related course file for future reference and completion
- 5 Works with Accounting Department to determine salary multiplier to be used in calculating total salary costs

Note The multiplier accounts for costs to the corporation such as fringe benefits and overhead that are related to staffing costs but not reflected in salaries

- 6 Directs Training Officer in the identification of training costs

Training Officer

- 7 Receives direction for HRD Manager on determining out-of-pocket costs for certain training courses
- 8 Determines the following costs for training course
 - a Rental of training rooms and equipment
 - b Catering for coffee breaks and/or meals
 - c Production and reproduction of materials
 - d Supplies such as flip chart pads, writing tablets and pens for participants, name tags etc
 - e Hotel rooms, per diems and/or transportation to off-site locations
 - f Contract amount for outside training providers
- 9 Obtains time spent on training from time sheets (Exhibit III) or other appropriate information database for
 - a Course developers
 - b Course attendees
- 10 Calculates total salary costs based on formula (Exhibit IV) for
 - a Course developers
 - b Course attendees

Note Training Officers are expected to maintain the strict confidentiality of staff salaries

HRD Manager

11 Completes cost section of "Training Cost/Benefit Assessment" form (Exhibit V) using results of Steps 5 and 6

Note Out-of-pocket costs + total salary costs = full cost

12 Forwards "Training Cost/Benefit Assessment" form to HRD Manager for review and further work

13 Reviews course cost information as provided by Training Officer for accuracy and completeness

14 Obtains post-course data as related to Step 2d within 3-6 months after completion of course

15 Completes post-course data section of "Training Benefit Assessment" form (Exhibit II) for related course

16 Enters resulting monetary data from Step 15 to "Training Cost/Benefit Assessment" form from Step 12

17 Includes final results of "Training Cost/Benefit Assessment"

a In periodic reports to senior management and department heads

b In annual evaluation of training programs Refers to related procedure

Training Officer

18 Maintains copies of all related cost/benefit documents in respective course file

PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit I

SUGGESTIONS FOR TRACKING TRAINING BENEFITS

To Measure Benefits In

Consider Tracking

Time Savings

Call-to-close ration
Amount of overtime
Time to reach proficiency
Supervisory time needed

Better Quantity

Size of average sale
Sales volume
Increased output
Amount of repeat business

Better Quality

Rejection rates
Amount of waste
Accuracy of orders and information
Number of customer complaints
Number of lost customers
Adherence to procedures

Personnel

Level of absenteeism, tardiness
Level of turnover
Number of grievances
Cost of new hires

TRACKING METHODS

Participant Interviews - One-on-one interviews of participants can provide information on how they conduct their jobs, steps taken, time spent on individual tasks, etc. Attitudes towards jobs, supervisors, senior management, firm's strategies, etc. can also be determined

Supervisor/Manager/Coach Interviews - Broader perspectives of a specific department's performance may be obtained. These interviews can also provide information on number of rejects, amount of waste, average length and number of customer service calls, etc.

Focus Groups - Discussions (“interviews”) may be held with groups of employees. The training officer acts as the facilitator. This method is useful, for example, in identifying steps of process flows.

Targeted Surveys - Surveys can be distributed to training course participants before and after a course. Such surveys may ask participants for information related to performance indicators that are tied to benefit measures. Other questions will identify participants’ knowledge about a specific area and/or changes in behavior/attitude. It may be beneficial for participants to complete the surveys with their supervisor. A “control group” of employees that do not attend the course may also be requested to complete the survey. All group of responses are then compared.

Random Surveys - Written questionnaires or surveys can be distributed randomly to selected groups of employees, managers, etc.

HR Information - Personnel data such as absenteeism, turnover, grievances, information collected through exit interviews, etc. may be tracked from other internal records of the Human Resources Department.

PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit II

Training Benefits Assessment Form

PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit II

Training Benefit Assessment
Date Prepared _____

Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Interviews on Course Expectations

Meeting
Date

Attendee(s)

Department(s)

Concepts/Skills
To Be Obtained

Potential
Applications

25

Course Subject Matter
Anticipated Presentation Date
Actual Presentation Date

Page 2

Results (Based on feedback from participants, sponsors, and managers solicited 3-6 months after course)
Date of Results

Evaluation of course based on results vs expectations (Should course be changed, deleted, etc?)

Related costs (course presentation and employee time)

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PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit III
Sample Time Sheet

-

SAMPLE 3 Time Sheet

TIME SHEET

STAFF NAME

STAFF ID #

PERIOD ENDING

M D Y

NAME OF PROJECT	PROJECT CODE	DISTRIBUTION OF HOURS BY DAY																TOTAL
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15		
		16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
	CURRENT PERIOD HOURS																	

STAFF SIGNATURE _____

SUPERVISOR APPROVAL _____

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PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit IV

Salary Cost Formula

DIRECT SALARY COSTS X MULTIPLIER = TOTAL SALARY COSTS

Direct Salary Cost =

- a) **Prorated salary costs for all in-house training providers, including those involved in course design, course development and management, and instructors**

plus

- b) **Training participants**

Multiplier = costs to firm such as

- a) **Fringe benefits**
- b) **Overhead such as rent, utilities, office equipment, etc**
- c) **Other services such as legal, accounting, administrative, etc**

The multiplier is a firm-wide calculation that encompasses all of the indirect costs and is applied to the salary of any employee of the firm when calculating the cost of a project or activity. The HRD Manager should work with the accounting department to determine what is the appropriate factor to use.

PROCEDURE NUMBER HRT009

TITLE Evaluating Training - Level 4 Cost/Benefit Assessment

Exhibit V

Training Cost/Benefit Assessment Form

Sample 2

Example 1 Learning a New Job-Related Software Package
2 day training course

	Annual Salary	Hourly Salary	Total Hours	Total Salary	w/ 3 0 Multiplier	Other Ben/Costs Per Unit	Number of Units	Total
Costs								
Course Development								
Course Developer	\$35 000	\$18	24	\$420	\$1 260			\$1 260
Assistant	\$25 000	\$13	16	\$200	\$600			\$600
Subtotal								\$1,860
Course Delivery								
Lead instructor	\$35 000	\$18	16	\$280	\$840			\$840
Assistant instructor	\$25 000	\$13	16	\$200	\$600			\$600
Logistics coordinator	\$15 000	\$8	24	\$180	\$540			\$540
Participants (avg salary)	\$25 000	\$13	16	\$200	\$600		15	\$9 000
Subtotal								\$10,980
Evaluations								
HRD Manager	\$40 000	\$20	16	\$320	\$960			\$960
Assistant	\$15 000	\$8	16	\$120	\$360			\$360
Subtotal								\$1 320
Total Salary Costs (Direct and Indirect)								\$14,160
Other Direct Costs								
Catering						\$15	12	\$180
Course Materials						\$10	12	\$120
Supplies						\$5	10	\$50
Total Other Direct Costs								\$350
TOTAL COSTS								\$14,510
Benefits								
Reduced learning time	\$25 000	\$13	32	\$400	\$1 200		15	\$18 000
Reduced correction time	\$25 000	\$13	24	\$300	\$900		15	\$13 500
TOTAL BENEFITS								\$31,500
BENEFITS - COSTS								\$16,990

**Sample 4, Example 2 Management Skills Training
5 day training course**

	Annual Salary	Hourly Salary	Total Hours	Total Salary	w/ 3 0 Multiplier	Other Ben/Costs Per Unit	Number of Units	Total
Costs								
Contract w/ Outside Provider (to develop and deliver course)							1	\$80 000
Subtotal								\$80,000
Course Delivery								
Logistics coordinator	\$15 000	\$8	56	\$420	\$1 260			\$1 260
Participants (avg salary)	\$35 000	\$18	40	\$700	\$2 100		30	\$63,000
Subtotal								\$64,260
Evaluations								
HRD Manager	\$40 000	\$20	16	\$320	\$960			\$960
Assistant	\$15 000	\$8	16	\$120	\$360			\$360
Subtotal								\$1,320
Total Salary Costs (Direct and Indirect)								\$145,580
Other Direct Costs								
Hotel						\$50	30	\$1 500
Per diem						\$20	30	\$600
Coffee/tea breaks						\$10	30	\$300
Conference rooms						\$100	5	\$500
Course Materials						\$10	30	\$300
Supplies						\$5	30	\$150
Total Other Direct Costs								\$3,350
TOTAL COSTS								\$148,930
Benefits								
Reduced turnover/emps						\$6 000	30	\$180 000
Reduced turnover/mgrs						\$10 000	5	\$50,000
TOTAL BENEFITS								\$230,000
BENEFITS - COSTS								\$81,070



INTERNAL TRAINING PROGRAM PROCEDURE

PROCEDURE NUMBER HRT0010

APPROVALS Jayesh Sule, Gagan Rai

TITLE Capturing Training Time Data

PURPOSE To record the time expended by both training developers and participants for use in cost/benefit analyses

Note The following procedure refers to the use of a time sheet to facilitate the collection of this data This is the easiest, most efficient way to accomplish this task as employees must record time worked anyway The data can be entered to a central database from the time sheet The database then calculates salary and reports how work hours were spent based on codes used, including those hours and the related salary cost allocated to training

If the system described above and used within this procedure is not used, then the data may need to be captured and salary costs calculated using manual logs and calculations

HRD Manager

1 Develops project code(s) for internal training courses

Note Separate codes may be desired to track different aspects of internal training See Step 2 An indicator within the codes for each course can then be used to summarize all training, i.e. a prefix that denotes training followed by the course number

2 Notifies department heads and training staff of training code to be used on time sheets (Exhibit I) for time spent

a Developing internal training

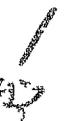
programs/courses

- b Attending internal training
- c Assessing training

Exhibit II

Training Officer

- 3 Advises HRD internal training staff of code(s) to be used for each course
- 4 Receives periodic reports from time sheet database of time spent on internal training and related costs
- 5 Uses summary reports from Step 4
 - a In projecting annualized costs at any time during the fiscal year
 - b As a basis for preparing the annual training budget
- 6 Directs Training Officer in the use of data on hours expended and salary costs as produced in reports from Step 4
- 7 Uses internal training salary and hours from time sheet database reports to
 - a Prepare course cost assessments Refers to related procedure
 - b Record in individuals' personnel files those training sessions completed
- 8 Maintains file of time sheet database reports for future reference



PROCEDURE NUMBER HRT0010

TITLE Capturing Training Time Data

Exhibit I

Sample Time Sheet

SAMPLE 3 Time Sheet

TIME SHEET

STAFF NAME

STAFF ID #

PERIOD ENDING

 M D Y

NAME OF PROJECT	PROJECT CODE	DISTRIBUTION OF HOURS BY DAY															TOTAL	
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15		
		16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
	CURRENT PERIOD HOURS																	

STAFF SIGNATURE _____

SUPERVISOR APPROVAL _____

2

PROCEDURE NUMBER HRT0010

TITLE Capturing Training Time Data

Exhibit II
Notification of Job Code

DATE
TO All Departmental Management
FROM Human Resources Department
SUBJECT Assignment of Training Job Code

Please be advised that the following job code has been assigned to the training session(s) as noted below

Training Session _____
Related Date(s) _____
Job Code _____

This job code code should be used to identify time recorded on employee time sheets that relates to the above training This time includes hours spent in preparation for the session, the actual session, and any follow-up activities related to the session(s)

Questions concerning the job code program and the recording of time as it relates to training may be directed to (HRD contact) at (telephone number)

gA