SMG 2360.1

FDA STAFF MANUAL GUIDES, VOLUME III - GENERAL ADMINISTRATION

FINANCIAL MANAGEMENT

TRAINING

UNIFIED FINANCIAL MANAGEMENT SYSTEM ACCESS AND COURSE REQUIREMENTS

Effective Date: July 14, 2014

1. PURPOSE

This SMG describes the requirements, procedures, responsibilities, and reasons for Food and Drug Administration (FDA or the Agency) employees with financial management-related roles to participate in the learning program of the Office of Financial Management (OFM). To perform the work and fulfill the responsibilities of a financial management role, employees must first be adequately prepared. OFM's learning program provides this necessary preparation. The goals of OFM's learning program are to address the skills, capabilities, and performance of employees for sound financial management Agency-wide.

2. BACKGROUND

OFM offers financial management courses to all FDA centers and offices. The training team uses instructional systems development methodology to develop instructor-led training (ILT), virtual instructor-led training (vILT), and Web-based training (WBT) that serve a broad range of the FDA community. This includes high-level overview courses for the general FDA population and more advanced courses for experienced financial management practitioners.

OFM's learning program benefits approximately 1,200 Agency financial management practitioners. The program's role- and task-oriented courses prepare learners for their financial management roles and improve their comprehension of the processes and policies of financial management. All courses are in compliance with

Department of Health and Human Services (DHHS) and Office of Information Management (OIM) policies.

3. **SCOPE**

Working with OFM leadership and subject-matter experts, the OFM training team is responsible for designing, developing, and providing courses to employees on financial information systems, processes, policies, and best practices. The curriculum is multi-leveled to provide introductory, intermediate, and advanced courses pertaining to

- Overviews of the financial management process

- Budget execution

- Creating and approving requisitions

- Creating purchase orders

- Receiving goods and services

- Creating and maintaining accountable property assets

- Invoicing and making payments

- Forecasting payroll

- Time-and-attendance reporting and policies

- System training for financial management technologies

- User Fees

- Reporting

Methodology and Guiding Principles

The training team follows five phases of Instructional Systems Design (ISD) methodology in the creation of instruction.

1. *Analyze*. The training team works with OFM leadership to analyze learning needs and context to determine appropriate instructional approaches. This phase serves as the foundation for later design and development of instruction.

2. *Design*. The training team plans what the learning should look like when it is complete. The purpose of this phase is to create a blueprint for the development of the actual training materials. Common outputs from this phase include instructional goals, objectives, outlines, and narratives.

3. *Develop*. The training Team develops the actual training materials such as presentation slides, instructor guides, and practice exercises. In the case of WBT, the course is coded and programmed. By the end of this phase, all materials are complete and ready for delivery to learners.

4. *Implement*. The training team delivers the instruction in this phase. It is piloted with learners who are representative of the intended audience to determine the effectiveness of the instruction.

5. *Evaluate*. The training team measures the efficacy of the learning solution, identifying what parts of instruction work well or not, identifying opportunities to improve learners' on-the-job performance, and providing the details for full implementation of a course and possible future modifications or redesign. This phase incorporates, at a minimum, Level 1 and Level 2 evaluations. See **Evaluation Methods and Assessments** below.

Scheduling and Maintaining Courses

Once a pilot course is complete, it is ready to be incorporated into the schedule of courses that the OFM training team maintains. Scheduling of ILT and vILT is done quarterly. WBTs are not part of the schedule since learners may take them whenever they wish.

The training team also maintains the courses themselves. They make periodic updates and refinements based upon evaluation data, instructors' observations, and system upgrades to keep courses accurate and relevant.

Evaluation Methods and Assessments

The training team will conduct one or more levels of learning evaluation.

- Level 1: Reaction – Learners complete an online evaluation of their impressions and opinions about the course they just completed.

- Level 2: Learning – Learners complete pre- and post-course assessments so that the OFM training team may understand how much learning occurred (the "learning gain") during the course.

- Level 3: Behavior – The training team collects data (through surveys, interviews, focus groups, and/or extant data analysis) to determine how

learners apply the skills, knowledge, and capabilities they learned during the course to their jobs.

- Level 4: Results – Data is collected to determine what effect better performance on the part of learners' has on the performance of the business and organization. This data answers the question, "What was the return on investment?" Results are often derived in combination with other non-learning initiatives and actions (e.g., Center/Office outreach).

4. PROCEDURES AND REQUIREMENTS

Course Schedule

The OFM training team is responsible for scheduling all instructor-led courses (in-person or virtual) on a quarterly basis. WBTs are not part of the schedule since learners may take them whenever they wish prior to taking an instructor-led course for which the WBT is pre-requisite. The number and frequency of course offerings is based primarily upon demand. Courses pertaining to roles/tasks that are performed by many financial practitioners are taught more frequently than those performed by few practitioners in the Agency. The training team posts the schedule on the FDA intranet and in the DHHS Learning Portal.

Course Registration

OFM's financial management courses are open to all FDA financial management practitioners. These courses are centrally funded; there is no registration fee. Learners are required to self-register via the DHHS Learning Portal at least one week prior to the scheduled date of a course. After the registration period is closed, instructors send electronic calendar invitations to registered learners. There may be multiple prerequisite courses necessary for many courses, which employees are expected to take. If applicable to a specific course, the instructor will also send instructions regarding completing any necessary prerequisite courses or User Access Request (UAR) forms.

When registration has reached the maximum number of participants, interested attendees will be put on a waiting list and will be notified via the DHHS Learning Portal. Learners outside of the metropolitan DC area will be given priority for virtual courses. Priority will also be given to those who require training to obtain access over those who register for refresher purposes and already have system access. Courses with less than three enrolled employees may be cancelled. If learners must cancel their registrations, they are encouraged to cancel as far in advance as possible by responding "Decline" to the electronic calendar invitation or by contacting instructors via e-mail. OFM does not discriminate admission on the basis of race, color, sex, age, handicap, religion, nationality, ethnic origin, or sexual orientation.

Course Attendance

Employees who arrive more than 15 minutes late for any course will not be permitted to attend and must re-register for another date. Additionally, any employee who misses more than 30 total minutes for any course will not receive credit. If learners must step out of the class, they are encouraged to do so during the regularly scheduled breaks. If learners fail to attend a course on more than one occasion, OFM will notify their Executive Officers.

Course Materials and Handouts

For the majority of OFM courses, learning materials will be distributed electronically along with calendar invitations. When applicable, instructors will provide supplementary materials such as job aids and practice exercises during each course session. After course completion, if materials are still to be distributed or if questions arose during class that require extra time to answer, the instructor will follow up with learners within two business days.

Systems Training

To receive access to a system, all employees must follow the policy procedures for that system. For some systems, this includes training. Below are the training procedures and requirements related to certain systems.

UFMS, Including Internet Procurement (iProcurement)

To be given access to the Unified Financial Management System (UFMS), the practitioner must complete these steps:

1. Submit a user account request (UAR) via the UFMS user provisioning automation tool to obtain and record approval from their supervisor and user provisioning point of contact.

2. Complete training. Training differs depending upon the system responsibility. A practitioner can find out what training is needed through the FDA intranet, the DHHS Learning Portal, from their user provisioning point of contact, the OFM training team, or the UFMS user provisioning coordinator (UPC). Note: The UMFS UPC cross-checks UARs with the OFM training team to ensure all training requirements have been met and then forwards the UAR for security approval.

Business Intelligence Reporting Solution (BIRS)

To be given access to BIRS, the practitioner must complete training. A practitioner can find out what training is needed through the FDA intranet, the DHHS Learning Portal, relevant OFM coordinators, and/or the OFM training team. Note: Requests

are cross-checked with the OFM training team to ensure all training requirements have been met before granting BIRS access.

Hyperion

To be given access to Hyperion, the practitioner must complete training. Training differs depending upon the kind of access. A practitioner can find out what training is needed through the FDA intranet, the DHHS Learning Portal, relevant OFM coordinators, and/or the OFM training team. Note: Requests are cross-checked with the OFM training team to ensure all training requirements have been met before granting Hyperion access.)

Property Management Information System (PMIS)

To be given access to PMIS, the practitioner must complete training. Training differs depending upon the kind of access. A practitioner can find out what training is needed through the FDA intranet, the DHHS Learning Portal, relevant OFM coordinators, and/or the OFM training team. Note: Requests are cross-checked with the OFM training team to ensure all training requirements have been met before granting PMIS access.

Waivers for Systems Training

If immediate system access is required, practitioners may request a waiver of system training. Practitioners should specify their reasons for requiring expedited access and how soon they need it. They should send this request to FDAUFMSUserProvision@FDA.HHS.Gov or OCOFM/UMFSTeam@FDA.HHS.Gov. Practitioners will receive a response within five business days. If a temporary waiver has been issued, practitioners will have 90 days to register for and complete the required course. If the required training has not been completed by that time, the access will be revoked.

Special Requests

OFM reserves the right to decide on a case-by-case basis whether to accommodate requests for special courses. The decision will be based upon the teaching schedule, the customization needed, and the training team's schedule. Requests for a special course must be made in writing and submitted to OFM at OCOFM/UMFSTeam@fda.hhs.gov.

Accessibility for People with Disabilities

The Americans with Disabilities Act requires Federal agencies to purchase electronic and information technologies that meet specific accessibility standards. All aspects of courses, services, information, and data will comply with this law. In addition, all courses will comply with Section 508 of the Rehabilitation Act, which requires

Federal agencies to make their electronic and information technology accessible to people with disabilities. Individuals requiring reasonable accommodation to participate in any OFM course may submit a description of the necessary accommodation in writing by close of the course registration period to OCOFM/UMFSTeam@fda.hhs.gov.

Self-Identifying Needs and Receiving Supervisor Feedback

It is recommended that employees with financial management roles proactively identify their development needs and find courses to meet those needs. It is also recommended that Center/Office supervisors encourage staff to seek the financial management courses they need to fulfill their financial management roles. After an employee completes a course, he/she and the supervisor should consider discussing the instructional experience to determine how the course can be applied to the employee's work.

Receiving Credit and Certificates of Completion

To receive course credit, the employee must attend the entire course (see **Course Attendance**). Employees may print Certificates of Completion from the DHHS Learning Portal within five days after completing the course.

5. **RESPONSIBILITIES**

   OFM Training Team. Working with OFM leadership and subject-matter experts, OFM's training team is responsible for designing, developing, and providing courses to learners on the financial information systems and financial processes. The training team also provides administrative course support, data analysis, and recommendations for course improvements or future courses to design.

   Supervisors. Employees' supervisors are responsible for approving UARs based upon organizational needs. Supervisors should also discuss training requirements with their employees and follow up once they have completed courses.

   User Provisioning Coordinator (UPC). The user provisioning coordinator is responsible for processing UARs for the FDA.

   User Provisioning Point of Contact (UPPOC). The Center/Office designated point-of-contact, acting as liaison between the UFMS UPC and UFMS learners, is responsible for assisting UFMS learners with submitting and processing UARs for UFMS and approving only access that is appropriate.

6. **DEFINITIONS**

   Business Intelligence Reporting Solution (BIRS). A technology tool used to analyze and report UFMS data. Users can access information in multiple ways,

including ad-hoc query, web-based interactive dashboards, and Microsoft Office applications.

Certificates of Completion. Certificates are issued within five business days after an employee completes a course.

Hyperion. Hyperion is a technology planning tool that utilizes two applications: (1) payroll and (2) operations.

Instructor-Led Trainings (ILTs). In these classroom-based courses, instructors engage in dialogues with learners, referring back to any foundational web-based training (WBT) learning and other pre-requisite courses to establish context and pose questions relevant to the ILT content.

Internet Procurement (iProcurement). An internet-based module of UFMS used to create purchase requisitions and electronic receipts for goods and services after they have been delivered by a vendor.

Learning Gain. A calculated percentage determined by comparing the number of correct responses to pre-course assessment questions with those of post-course assessment questions.

Property Management Information System (PMIS). A DHHS-owned technology used to receive, track, manage, and inventory both accountable and sensitive property.

United Financial Management System (UFMS). The accounting system of record for FDA and other DHHS agencies.

User Account Request (UAR). Document used for adding, deleting, or modifying system access and capturing proper approvals.

User Provisioning Coordinator (UPC). The user provisioning coordinator is responsible for processing UARs.

User Provisioning Point of Contact (UPPOC). The Center/Office designated point-of-contact, who acts as liaison between the UFMS UPC and UFMS learners.

Virtual Instructor-Led Trainings (vILTs). vILTs combine the WBT's self-serve model of entering a training course remotely with the benefit of an instructor to guide remote learners. These courses are helpful for learners located around the country.

Web-Based Trainings (WBTs). These computer-based courses use an anytime-anywhere, self-serve model and often contain a written narrative and voice-over.

7. EFFECTIVE DATE

This SMG is effective July 14, 2014.

8. DOCUMENT HISTORY – SMG 2360.1, Unified Financial Management System Access and Course Requirements

STATUS (I, R, C)	DATE APPROVED	LOCATION OF CHANGE HISTORY	CONTACT	APPROVING OFFICIAL
Initial	05/04/2010	N/a	OC/OA/ OFO/OFM	William Collinson, Director, OFM
Revision	07/14/2014	N/a	OC/OO/OFBA/ OFO/OFM	William Collinson, Director, OFM