



**Office of Public Accountability  
Standard Operating Procedures**

**Training Report and Continuing Professional Education Monitoring**

**Purpose**

To create a systematic process for submitting training reports and the monitoring of Continuing Professional Education hours.

**Definition**

Training

The Office of Public Accountability (OPA) defines “training” as synonymous to training, on-the-job training, conference, workshop, working group, peer review, symposium, forum, work-related off-island event, or similar others.

Continuing Professional Education (CPE)

The Generally Accepted Government Auditing Standards (GAGAS) requires auditors performing work to complete a minimum of 80 CPEs every two years. This is inclusive of at least 24 CPEs directly related to government auditing and the government environment. The staff shall have a minimum of 24 CPEs in any one year of the two-year period. A certificate normally evidences the CPEs, which should include the: (1) title of the training, (2) number of CPE hours, (3) date of training, and (4) Instructor’s or Authorized Official’s signature.

**General Requirement for All Employees**

The OPA requires its employees who attended training to (1) submit a training report and (2) provide a briefing during scheduled Staff Meeting or Lessons Learned Meeting.

**Deadline for Submission**

The staff shall submit in a Portable Document Format (PDF) the training report and any CPE certificate via email to his/her assigned Supervisor and the Public Auditor, with a copy furnished to the Administrative Services Officer (ASO). The deadline for submission will be:

- On the last day of each month - for training ended between 1<sup>st</sup> and 15<sup>th</sup> of the same month.
- At the 15<sup>th</sup> of the next month - for training ended between the 16<sup>th</sup> and 31<sup>st</sup> of the immediate past month.

The training report deadline is the same regardless of a holiday or a personal leave after the training. However, OPA recognizes that certain circumstances may arise, such as a medical condition, which may cause the staff to request before the due date via email an extension for training report submission. In such cases, the Public Auditor or the assigned Supervisor may approve an extension upon consideration of the circumstances on a case-by-case basis. The Public Auditor or the assigned Supervisor will document their approval via email.

## **Training Report Content**

The training report must include:

1. Training sponsor (Graduate School, AGA, GSPCA, DOI-OIG, etc.)
2. Location and duration (number of days, hours, etc.)
3. Number of CPEs earned
4. Summary of key concepts learned and/or training usefulness and benefits
5. Feedback (What did you think of the training? Would you recommend the training? Who should attend similar training?)

## **Accountability, Record-Keeping, and Monitoring**

The Supervisors will monitor and evaluate OPA's compliance with the GAGAS' CPE requirement. However, the Public Auditor has the overall responsibility for ensuring that the staff complies with the CPE requirement and the submission of training reports.

The staff should submit their training report and a copy of CPE certificate by the deadline. Besides the email submission, the staff will save the PDF copies in their respective folders in the OPA server [G:\Training\Training Report and CPE Files - Per Staff].

To assist with the monitoring, the ASO will track through an Excel worksheet the training report and CPE certificate submissions [G:\Training\Training Report and CPE Files - Per Staff\ASO CPE Monitoring\_2019.xls]. The monitoring will include a summary per staff the: (1) number of training attended, (2) total CPE hours with a certificate, (3) total CPE hours without a certificate, (4) total ethics hours, (5) number of submitted training reports, and (6) number of pending training reports. The ASO may also include other information he/she deems necessary for the effective monitoring of training reports and CPE credits.

On the last day of each month, the ASO will email all concerned staff, Supervisors, and the Public Auditor about any overdue training reports and CPE certificates.

## **Non-Submission**

The OPA will abide by the GAGAS' CPE requirement. Therefore, it expects employees to submit their training reports and a copy of the CPE certificate within the deadline.

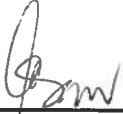
A non-submission may affect the employee's selection on future training or approval of the employee's request for future training. In addition, untimely submission or non-submission of training reports and a copy of the CPE certificates for at least six times in a calendar year as reported by the ASO, may affect the employee's performance evaluation. Should an employee with an overdue report submission request for training, he/she may have to pay for all the costs of that future training. OPA may impose further sanctions for continued non-submission of training reports and a copy of the CPE certificates.

**Effective Date**

This Training Report and CPE Monitoring Policy will be effective starting February 15, 2019, until revoked.

**Signatures**

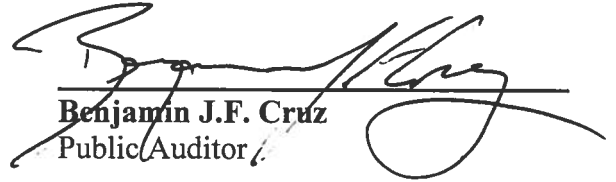
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