United States Office of Personnel Management

Training Evaluation Field Guide

Demonstrating the Value of Training at Every Level

a New Day for Federal Service

CONTENTS

INTRODUCTION

Purpose

This Training Evaluation Field Guide is designed to assist agency training representatives in evaluating the effectiveness of their training programs and in demonstrating training value to stakeholders and decision makers. Five factors have aligned as the impetus and ongoing support for this effort:

1. **The U.S. Office of Personnel Management Training Evaluation Regulations**

   2009 OPM regulations require agencies to evaluate the effectiveness of their training programs. These regulations form the foundation for this field guide, and will increase the contribution of training to agency mission effectiveness.

2. **Accountability**

   Expectations for wise and documented use of training dollars are higher than ever. Clear connections between effective funding usage and agency outcomes are expected.

3. **The Open Government Initiative**

   The current administration has put an emphasis on government accountability. It has detailed a mandate that government spending and related outcomes be made transparent to the public.

4. **Training in the Federal Government**

   Within the Federal Government where mission accomplishment is vital and change is the only constant—training, and the effective evaluation o training, is critical.

5. **The Federal Chief Learning Officers Council**

   This group of high level federal government learning leaders has made it a priority to accomplish the previous three factors, and have committed their time and resources to collectively make it happen.

Development Process

Data was gathered from fifteen federal agency representatives who volunteered their time to attend a one-day working meeting, participate in individual interviews and submit samples of their tools and case studies. This Field Guide reflects the input from the working group. The work group included training representatives from:

ADL Colab	EPA	NRC
DHS	FDIC	SEC
DOC	IRS	Smithsonian
DOE	NNSA	State

Key Audience and Usage

This Guide is designed for all federal employees who have a role in training evaluation and effectiveness within their agencies.

Specific users for this field guide are:

- Training managers and supervisors
- Training liaisons/coordinators
- Agency evaluators
- Instructional designers
- Training facilitators
- Any others who have a significant role in training effectiveness

The Guide is a basic roadmap for individuals and teams to navigate the OPM regulations, mission requirements and a comprehensive evaluation methodology with the goal of cost effective training initiatives that maximize mission accomplishments.

Additional and updated resources will be made available in a training evaluation web portal on the OPM website.

How Others Can Use This Guide

Agencies are strongly encouraged to have the following groups of people familiarize themselves with this guide:

- Senior agency leaders
- Department and line managers
- Training participants
- Human Resource professionals
- IT professionals

Each group has a unique role in accomplishing agency goals through training effectiveness. The degree to which these groups support the methodology within this guide directly impacts how quickly and to what extent mission goals and objectives will be accomplished.

SECTION I: PURPOSE AND KEY PRINCIPLES

Purpose of Evaluation in the Federal Government

Training evaluation is an objective summary of quantitative and qualitative data gathered about the effectiveness of training. The primary purpose of evaluation is to make good decisions about use of organizational resources. Training evaluation data helps the organization to determine whether training and subsequent reinforcement is accomplishing its goals and contributing to the agency mission. It also helps agencies decide how to adjust the training and other interventions for greater effectiveness.

Evaluation data enable judgments about the following questions:

- How well did the training meet the development needs identified?
- How well did the learners master the training content?
- How well did the learning transfer to the work setting?
- How well did the training contribute to the achievement of the agency's mission?

(From OPM's Evaluating Training: A Primer, 2005)

Key Principles

In keeping with its mission to build a high quality workforce, OPM developed and published regulations related to training evaluation under 5 CFR Part 410 and 5 CFR Part 250. These regulations were developed to enhance the impact of training on mission accomplishment. The regulations generally relate to training planning, execution and demonstration of value. See Appendix A for this organization of regulations.

Further, several training industry standard principles, techniques and models, including the Context, Input, Process, Product (CIPP) Model; Training Validation System (TVS) Approach; Input, Process, Output, Outcome (IPO) Model and Kirkpatrick Four Levels™ are available to support implementation of OPM training evaluation regulations. This field guide is based on the Kirkpatrick Four Levels, the updated New World Kirkpatrick Four Levels and the Kirkpatrick Business Partnership Model™. Figure 1: New World Kirkpatrick Four Levels™, Figure 2: New World Kirkpatrick Four Levels™ and Figure 3: Figure 3. Kirkpatrick Business Partnership Model™ illustrate these frameworks.

Figure 1. Kirkpatrick Four Levels™

Level 1: Reaction	To what degree participants react favorably to the learning event
Level 2: Learning	To what degree participants acquire the intended knowledge, skills, and attitudes based on their participation in the learning event
Level 3: Behavior	To what degree participants apply what they learned during training when they are back on the job
Level 4: Results	To what degree targeted outcomes occur, as a result of learning event(s) and subsequent reinforcement

Figure 2. New World Kirkpatrick Four Levels™

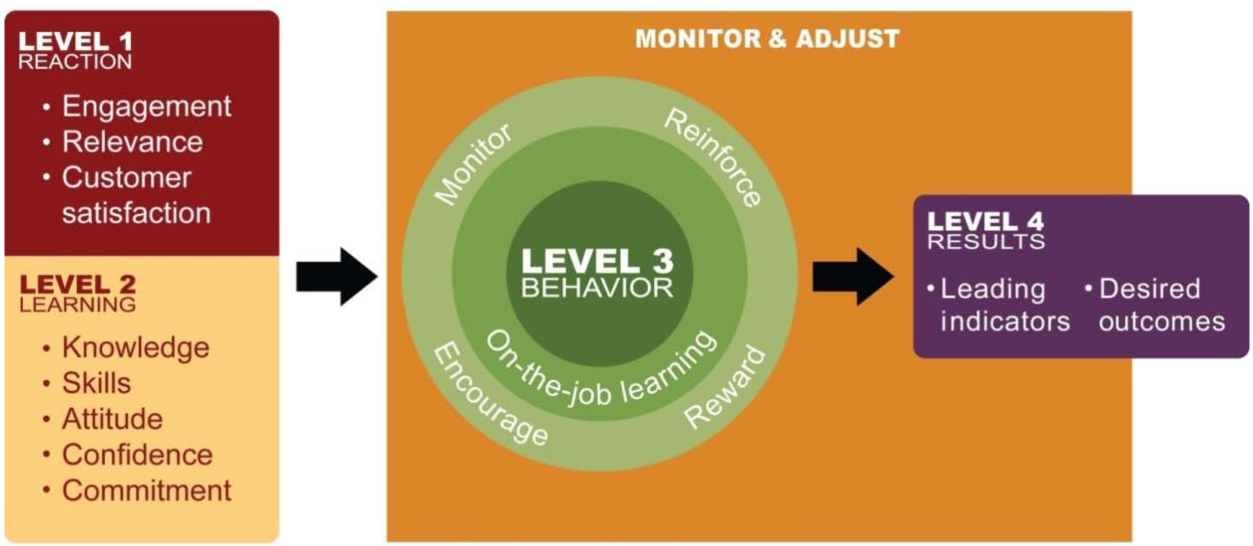
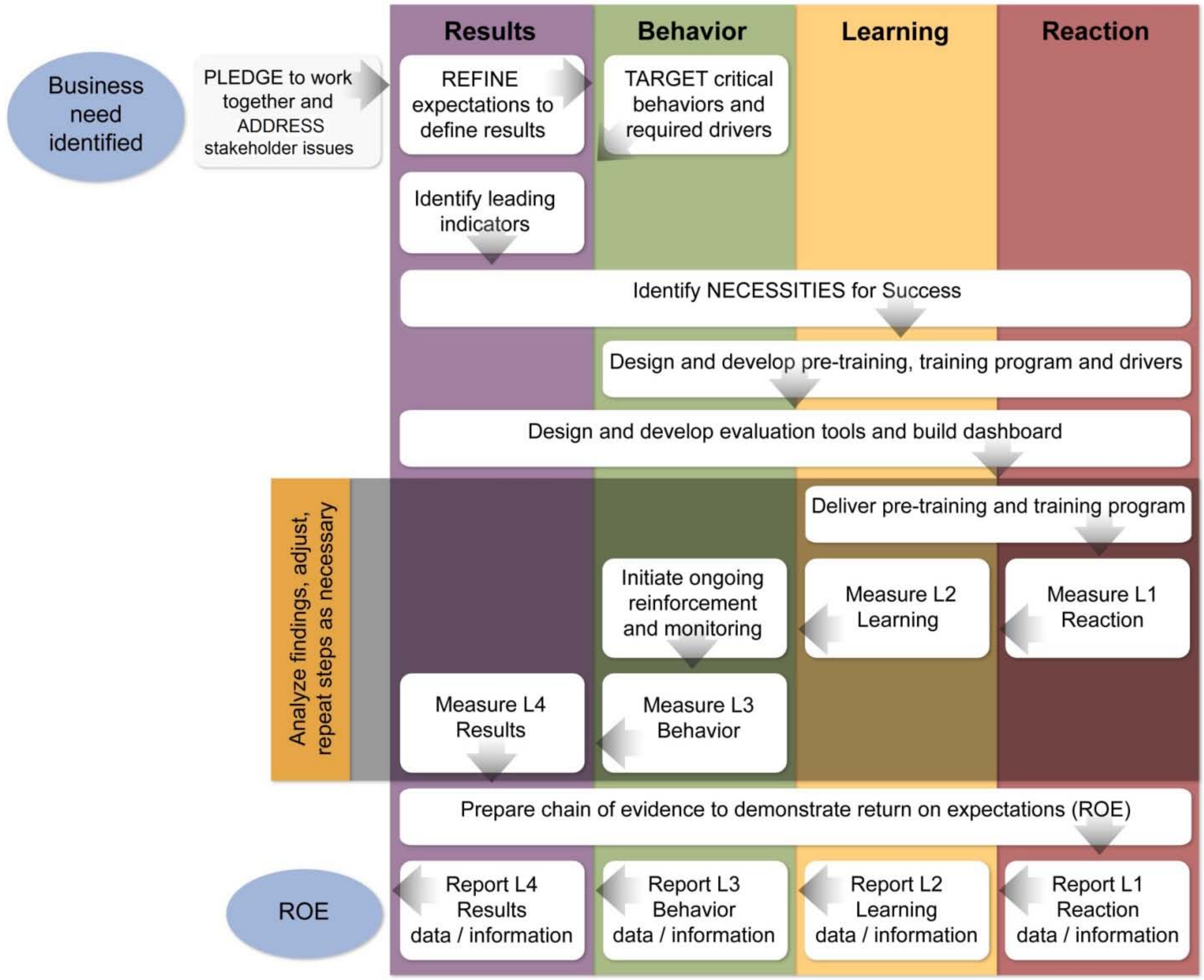


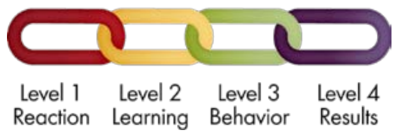
Figure 3. Kirkpatrick Business Partnership Model™



The business partnership model in Figure 3 forms the basis for the steps in this field guide. Business Partnership foundational principles are that:

1. The end is the beginning.
2. Return on expectations (ROE) is the ultimate indicator of value.
3. Business partnership is necessary to bring about positive ROE.
4. Value must be created before it can be demonstrated.
5. A compelling chain of evidence demonstrates your bottom line value.

Chain of Evidence



Appendix D contains more information about these principles.

Sections II to IV of this guide focus consecutively on training planning, execution, and demonstration of value stages, with related examples and tools for implementation. Each of these three stages is comprised of steps in the business partnership model.

Examples and tools to illustrate each step in the process are drawn from a training industry business partnership model, a case study from National Museums Agency (NMA) and contributions of the working group.

SECTION II: PLANNING STAGE

Introduction

This section details the planning stage of a training initiative.

It is necessary to deliberately plan for the coordination of all involved parties and stakeholders so that everyone clearly understands the targeted results and the plan to accomplish them. This high level strategic plan will set the stage for the remaining stages, execution and demonstration of value.

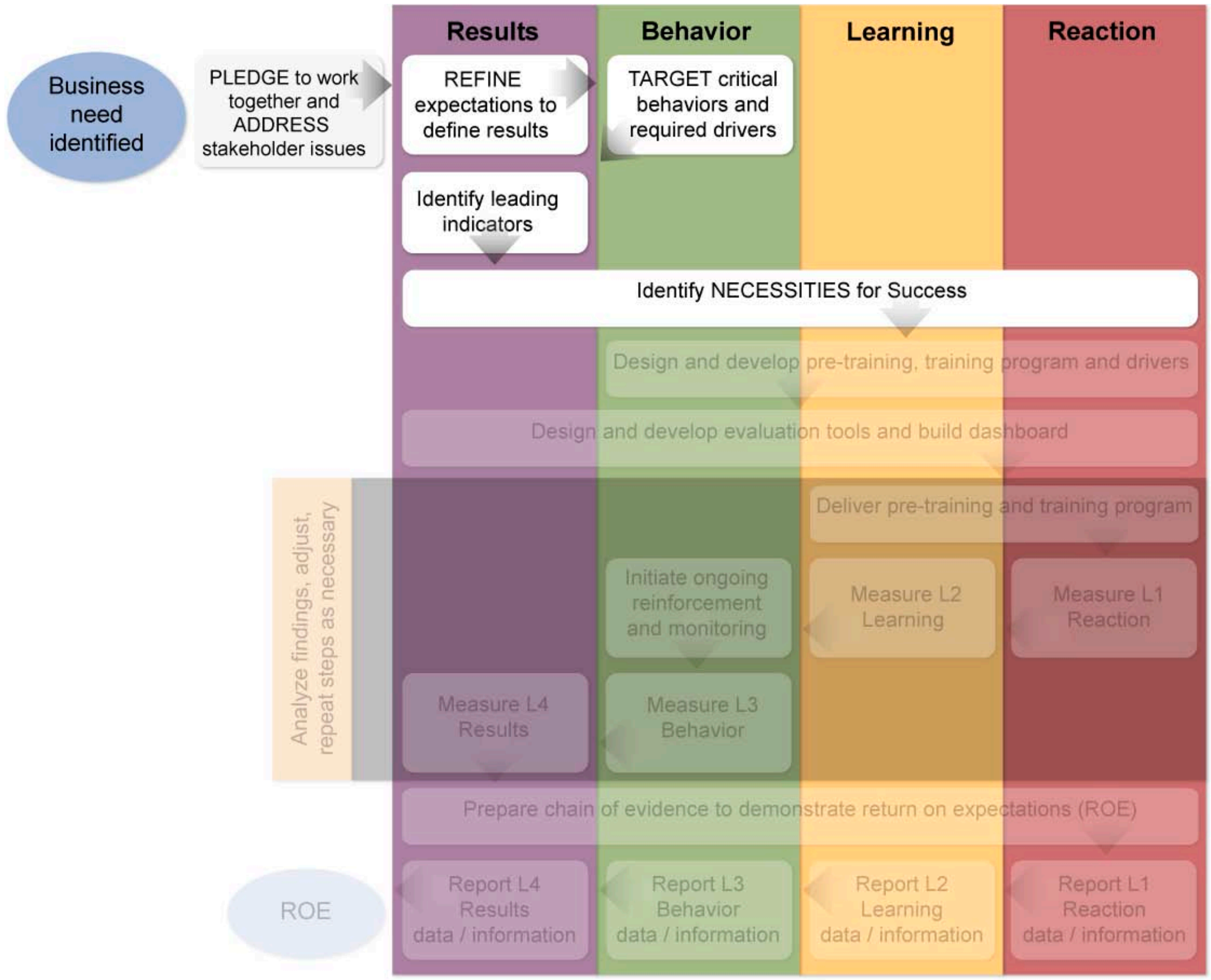
Steps

1. Pledge to work together; address stakeholder issues
2. Refine expectations to define results
3. Determine critical behaviors
4. Determine required drivers
5. Identify leading indicators
6. Address necessities for success

Figure 4 illustrates the steps within the planning stage of the business partnership model.

For each step, the purpose, action points and any relevant definitions are provided. A case study from NMA, is used to cohesively illustrate each step in this stage. Pitfalls to avoid are provided for each step**.** When relevant, references to OPM regulations and methodology are noted. Roles and responsibilities and agency best practices are detailed at the end of the section.

Figure 4. Planning Stage Steps within a Business Partnership Model



Step 1: Pledge to Work Together; Address Stakeholder Issues

Purpose

- Establish as quickly as possible that the business partnership methodology will be used to create better results through the collaboration of the business and training
- Determine the key stakeholders whose expectations for the initiative will need to be satisfied

Action Points

When you are approached with a training request or a certain business/organizational need is identified:

- Have an initial dialog with the training requestor to understand the business/organizational need for the request. Be the consultant that your stakeholders expect of you; ask questions.
- Determine the key stakeholders for the initiative.
  - If there are more than a few audiences, determine those whose opinions will be most critical to the perceived success of the initiative.
- Begin the general conversation about the roles and responsibilities of training and business partners.

Example

National Museums Agency Leadership Development Program Case Example

Background

This case example is based on a real training and performance study undertaken by a real federal government agency. This example, however, has been fictionalized so that it can be used as a textbook example of each step in the business partnership process.

The National Museums Agency (NMA) is a fictitious federal government agency that is responsible for operating a system of over 50 museums in Washington, D.C. The NMA's mission is to increase and diffuse knowledge for the entire world. Their vision is to preserve our heritage, discover new knowledge and share our resources with the world.

NMA's strategic goals are:

Build and maintain a strong agency leadership pipeline and talent pool for leadership continuity and viability

Develop future leaders who are ready to step into higher positions

Enhance and grow and strong pan-institutional leadership team

In recent years the board of regents mandated that a leadership development program (LDP) was initiated to ensure that a strong leadership pipeline exists to maintain the viability of the NMA. Recent events that precipitated the request included a front-page expose of funds misuse by one museum director, reduced donations and lack of a consistent succession plan across the organization. Finally, there was an apparent lack of pan-institutional cooperation among the museums. Competition between museums had reached a level that surpassed friendly competition.

The NMA training department was tasked with creating the LDP that would meet the demands of the board of regents, and ultimately create a strong culture of leadership within the organization.

Business Need

- Maximize and demonstrate impact from donations.
- Create leadership pipeline for sustained institutional success.
- Build a pan-institutional culture where decisions are made with the betterment of the entire NMA in mind.

Key Stakeholders

The key stakeholders are the board of regents. This group is made up of members of congress, members of other federal government agencies, large donors and museum experts.

Roles and Responsibilities

Senior leaders of each museum would contribute a share of the funds and other resources needed, and hold everyone accountable. They would also provide up-front, public support of the initiative.

The training department would work with senior leaders and be responsible for scoping the entire initiative, managing all of the steps, and provide necessary training and job aids for all levels of leadership.

Leaders, managers and supervisors within each museum would be responsible for actual job performance, including on-the-job training, coaching, and monitoring of critical behaviors.

Pitfalls to Avoid

- Creating a training program without first identifying stakeholders that will judge its success
- Trying to please everyone instead of indentifying the few, most critical group of stakeholders that need to be satisfied

Reference Materials

OPM regulations #1, 2, 3, 4

Business partnership foundational principle #3

Step 2: Refine Expectations to Define Results

This second step is critical to a successful initiative that maximizes the investment of taxpayer monies and other funding.

Purpose

- Align training with the agency mission and highest goals

Action Points

- Work with stakeholders to determine the result of the initiative. This will likely require you to ask a series of questions, for example:
    - "What will success look like?"
    - "In order to what?"
    - "So that you can do what?"
- Determine how the result will be measured or quantified.
- Determine if the result is reasonable to accomplish with allocated resources. If not, reduce the target or find more resources. Be the consultant that your stakeholders expect of you. Ask questions.
- Identify possible collateral and intangible benefits that may be obtained (i.e. increased employee engagement, reduced turnover).

Example

Level 4 Result

The desired Level 4 Result was to sustain the ability of the NMA to share knowledge with the world.

Level 4 measurement

The sustainment of the NMA would be measured in two ways:

1. Donation levels

   The organization is primarily funded through donations, so if donation levels drop there is a chance that museums will need to reduce the number of exhibits, limit hours or begin charging admission fees. All of these things would limit the ability to satisfy the organizational mission.
2. Cross-organizational agreement on funding usage

   Cross-organizational teams would be required for all major initiatives. Peer accountability would ensure that funds are put towards the best possible use for the entire organization.

Determine if Level 4 is reasonable to accomplish with allocated resources

The NMA has been donor-funded for decades. There is no reason to believe this is not a viable strategy for the years to come. The new requirement for cross-organizational teams would help to ensure that funding that is available would go to the best possible uses.

Collateral and intangible benefits

Intangible benefits that would likely be realized from the LDP include increased retention and job satisfaction for not only the leaders who go through the program, but from their direct reports. A strong leadership culture would likely also preclude any further embarrassment from unethical behavior or misuse of funds.

Pitfalls to Avoid

- Assuming that business/organizational leaders have expectations and targeted results in mind when they make a training request
- Identifying targeted program results that are actually training goals, not strategic agency goals or mission
- Setting goals that are not measurable or quantifiable

Reference Materials

All OPM regulations

Business partnership foundational principle #1

Step 3: Determine Critical Behaviors

The degree with which critical behaviors are performed on the job determines the degree to which desired results are obtained.

Purpose

- Define clearly exactly what needs to be done in measurable, observable, quantifiable terms
- Identify the few, critical behaviors that will have the greatest impact on the desired goal and agency mission

Action Points

- Interview or observe top performers, or talk with their supervisors to determine which critical behaviors lead to on-the-job success and targeted results.
- Ensure that critical behaviors relate to performance of the group being trained.
- Determine to what degree the critical behaviors are currently being practiced.
- Identify reasons for the current level of application, whether high or low.

Example

Museum leaders with the highest level of donations were assembled to discuss what makes them successful at obtaining support. They were also asked to discuss their approach to teambuilding and leadership development. Three critical behaviors for museum leaders emerged as those most critical to the viability of the NMA:

1. Participate in cross-organizational teams for major initiatives and decisions.
2. Speak professionally to build public trust and awareness of the NMA.
3. Mentor at least one individual for every leadership position.

The first critical behavior encompasses the need to work with a pan-institutional vision. Teams that cross museums that work together to make decisions ensure that funding is used in the best possible way for the entire organization.

The second critical behavior addresses the need to sustain donations.

The third critical behavior speaks directly to the need for a leadership succession plan. For every leadership position at least one individual should be in the grooming process should they need to step up in the future.

Ensure critical behaviors relate to training

Training needs were identified for the second and third critical behaviors only. The first critical behavior would be supported by the training team with a job aid and assistance in setting up an accountability system.

Current practice of critical behaviors

The NMA had varying levels of the critical behaviors being performed from museum to museum. These things were currently optional and not monitored.

Reasons for the current level of application

A gap analysis was conducted to determine why the behaviors were not being practiced by every museum. This was done via a survey and interviews of workers and supervisors. The following were the most common reasons:

- No accountability system
- Goals were created with inherent competition; this discouraged collaboration
- Lack of knowledge as to where to get education on the topic

Pitfalls to Avoid

- Identifying critical behaviors are not observable (i.e., they do not pass the "videotape test," meaning they cannot easily be seen)
- Selecting too many critical behaviors, creating an unmanageable support system and lack of clarity for workers
- Including behaviors of those other than the group being trained in the critical behaviors (behaviors of others are generally required drivers)

Reference Materials

OPM regulations #1, 4, 5

Business partnership foundational principle #4

Step 4: Determine Required Drivers

Required drivers are processes and systems that reinforce, monitor, encourage and reward performance of critical behaviors on the job. Activation of required drivers has been identified as one of the biggest indicators of success for any initiative.

Purpose

- Provide accountability and support for performance of critical behaviors on the job
- Provide interventions customized to specific needs that may or may not involve or require training

Action Points

- Determine if formal training is needed by considering if knowledge, skills or the right attitudes are lacking. If not, drivers alone can support the critical behaviors and training is not needed.
- Discuss what types of support and accountability will best ensure performance of critical behaviors on the job.
- Focus required drivers on critical behaviors that are most difficult to master and likely to encounter resistance.
- For important initiatives, select at least one driver from the four dimensions: reinforce, monitor, encourage and reward. For smaller or less important initiatives, determine how much support and accountability will be required to achieve desired results.

Required Drivers

Support	**Reinforce**	Follow-up modules Work review checklist On-the-job training (OJT) Self-directed learning	Refreshers Job Aids Reminders Executive modeling
	Encourage	Coaching	Mentoring
	Reward	Recognition Bonuses	Pay for performance
Accountability	**Monitor**	Action learning Interviews Observation Self monitoring Survey	Action planning Dashboard Work review KPIs (key performance indicators)

Example

Determine if formal training is needed

Formal training in public speaking skills and mentoring was identified as a need. The creation of cross-functional teams would be accomplished with means other than formal training.

Types of support and accountability

A group of training leaders, museum managers and workers met to discuss which drivers would be both manageable and effective. A balance of support and accountability was deemed to be necessary to get the required critical behaviors to necessary levels.

Focus and select required drivers

The following list of required drivers was agreed upon:

Reinforce	Mentoring checklist Mentor pairs published on company intranet site Leadership discussion group on company intranet site Lunchtime informal speaking group to practice presentation skills Cross-organizational team best practices list
Encourage	On-the-job observation, feedback, and coaching by supervisors on mentoring
Reward	Annual mentorship awards Cross-organizational team participation included in goals/compensation Accrued time off/jeans day on Friday for each public presentation completed
Monitor	Cross-organizational team meeting reports (due monthly) Public speaking report forms Dashboard

Pitfalls to Avoid

- Failing to identify required drivers in the execution plan and relying on formal training alone to produce the desired on-the-job behaviors
- Not balancing accountability and support in the selected drivers
- Failing to secure the necessary support for execution of required drivers
- Selecting drivers that are unrealistic or contrary to a particular culture
- Specifying more drivers than can effectively be managed and monitored
- Failing to select drivers that emphasize personal (employee) responsibility and accountability

Reference Materials

OPM regulations #1, 6, 7

Business partnership foundational principle #4

Step 5: Identify Leading Indicators

Purpose

- Provide early validation that the correct critical behaviors were selected
- Inform and reassure stakeholders, training professionals and initiative participants that long term targeted results are on track for success

Action Points

- For each critical behavior, determine immediate outcome(s) if it is performed reliably on the job by training graduates.
- Ensure that critical behaviors, leading indicators and targeted results directly correlate.

Example

Determine immediate outcomes of critical behaviors if performed reliably on the job (i.e., leading indicators)

The critical behaviors were aligned with leading indicators that would show that they are on track to maintaining donations to sustain the ability of the NMA to increase and diffuse knowledge for the world.

Critical Behavior	Leading Indicator
1. Participate in cross-organizational teams for major initiatives and decisions	All major NMA initiatives have a cross-organizational team in place
2. Speak professionally to build public trust and awareness of the NMA	Increase in donation levels
3. Mentor at least one individual for every leadership position	Appropriate candidate identified in succession plan for every leadership position

Pitfalls to Avoid

- Ignoring leading indicators or giving them only light consideration

- Identifying leading indicators that are not impacted by performance of critical behaviors and/or do not impact targeted results

Reference Materials

OPM regulations #1, 4, 5

Step 6: Address Necessities for Success

Purpose

- Proactively identify and address any overarching organizational factors that will impact the success of an initiative
- Prepare the culture to reinforce application of critical behaviors on the job to achieve the desired results
- Determine what types of evidence will be required at each level to show the success of the initiative in terms of expected organizational level results

Action Points

- Reconvene stakeholders and review preliminary project plan. Discuss, negotiate and obtain approval.
- Identify any overarching circumstances or cultural realities that will impact the ability and willingness of training graduates to perform the critical behaviors on the job.
- Determine if all resources and systems needed to activate required drivers are present.
    - For resources and systems that are required but not present, determine if it is feasible to obtain/establish them as part of the initiative.
- Discuss what type of quantitative and qualitative data will be required by each group of stakeholders.

Example

Review preliminary project plan

Training leaders created a draft of the plan and distributed it to the team. There was a lively discussion surrounding enforcement of the cross-organizational teams and how this would be accomplished. It was determined that museum leaders would hold themselves and their peers accountable.

Overarching circumstances

Two significant concerns were raised:

1. Current goals of each museum were in some cases in conflict. The organization would need to instill cascading goals that are in alignment to ensure that each museum would work for the betterment of the entire organization.
2. Mentoring would take a lot of time for current leadership, and must also be included in goals.

Required resources and systems not present

Here are the necessities the team thought needed development or improvement:

- Cascading goals throughout the entire organization that reflect the newly identified critical behaviors
- Process and forms for administration of cross-organizational teams

Required quantitative and qualitative data

Senior executives and department managers requested the following:

- Summary of the methodology
- Ongoing monthly dashboards, final dashboard (tracking critical behaviors, leading indicators, required drivers and results)
- Summary of data, success factors, conclusions, and recommendations

Department and line managers requested the following:

- Summary of the training conducted (on-the-lot and on-the-job)
- Summary of the methodology
- Ongoing monthly dashboards, final dashboard (tracking critical behaviors, leading indicators, required drivers and results)
- Summary of data, success factors, conclusions, and recommendations (at the departmental level)

The training team requested all detailed data for their own analysis.

Pitfalls to Avoid

- Ignoring necessities for success and attempting to move forward when important issues that will impact the success of the initiative are left unresolved
- Selecting necessities for success without considering the level of effort required to make the needed changes
- Creating an evaluation plan that is not scaled to the strategic importance of the initiative
- Considering evaluation only after the initiative is under way (or over)
- Collecting only numeric data and no qualitative stories or testimonials

Reference Materials

OPM regulations #1-4

Roles and Responsibilities

The business partnership model requires a number of people from various departments to work together to ensure effective training (and overall initiative) outcomes.

The titles of individuals and departments vary from agency to agency; it is up to each agency to identify exactly who will fill the identified roles.

	Agency head	Department managers	Training managers	Line managers/supervisors	Instructional designers	Evaluation experts	Trainers	Training liaisons/coordinators	Human resources	Information technology (IT)	Top performers
1. Pledge to work together; address stakeholder issues	**P**	**P**	**P**	**S**					**S**	**S**	
2.Refine expectations to define results		**P**	**P**								
3. Determine critical behaviors			**P**	**P**							**S**
4. Determine required drivers		**S**	**P**	**P**							**S**
5. Identify leading indicators		**S**	**P**	**P**							**S**
6. Address necessities for success	**S**	**P**	**P**	**P**					**S**		

Key

P = primary responsibility: this person/group has a leadership role in this step

S = secondary responsibility: this person/group participates in or provides input into this step

Agency Examples of the Planning Stage

Governance on Learning and Development – from NRC

Steering and oversight of learning and development is accomplished by a three-level structure.

1. **Executive Oversight**

Executive oversight of learning and development issues is provided by senior managers through the Human Capital Council. The Council provides enterprise wide governance on learning and development issues. The Council's objectives are to:

- Provide a venue for corporate vetting of enterprise Learning & Development goals and strategy
- Ensure alignment and integration with the mission and line business needs
- Sanction major Learning & Development initiatives

The Chief Learning Officer normally briefs the Council on issues that affect significant portions of the enterprise and requests endorsement for major initiatives.

2. **Management Steering Group**

Steering committees have been established for several technical business lines. The management steering groups consist of division-level managers from each of the affected technical groups. The management steering group monitors and maintains the initial training and qualification program and the compilation of knowledge, skills, and abilities (competencies) required for the specific position. The Group accomplishes this by recommending changes in approach or content of training material and courses; establishing requirements for continuing training; and evaluating training needs, recommending target audiences, and establishing an appropriate schedule for mandatory training.

3. **Working Group**

Working groups manage detailed review of specific training and qualification programs. Working groups consist of first-level supervisors, some senior staff personnel, and representatives of the training organization. The working groups review, resolve, and implement feedback forms submitted on the training and qualification programs and recommended changes to the programs. The working group makes recommendations to the management steering groups regarding changes to the program for which they are responsible.

Results

This oversight structure provides several benefits:

- confidence that learning and development activities are aligned with the agency's mission and goals
- Management is informed of major learning and development activities

SECTION III: EXECUTION STAGE

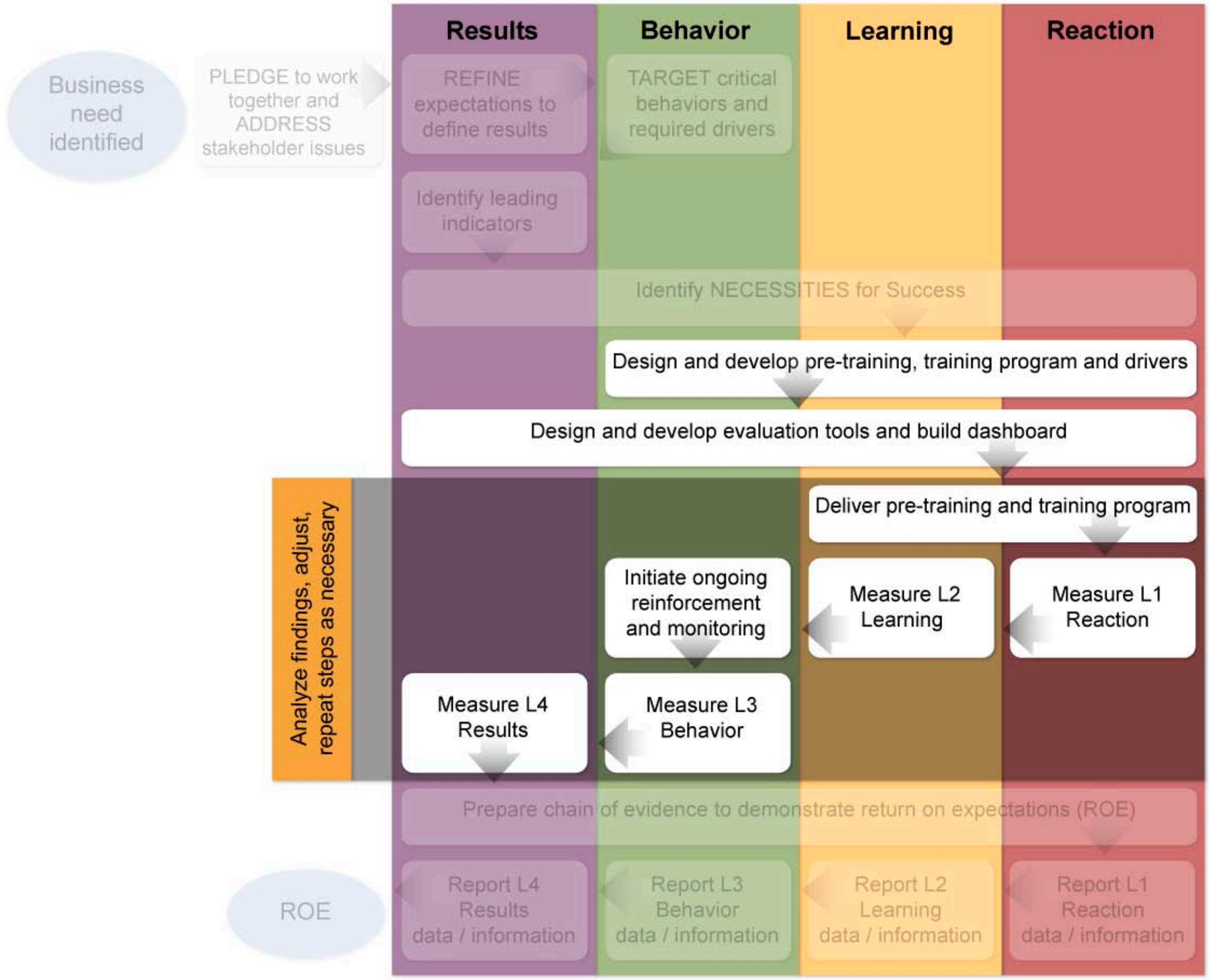
Introduction

A good plan does not necessarily lead to maximum results; maximum results arise from proper execution of the plan. A good plan outlines a process, not simply a training event. Each step in the process is important, which is why time and effort are spent up front to detail what needs to be done along the way. Pre-training preparation, world-class training, various learning modalities, performance support systems, and evaluation tools are built during this execution stage.

Steps

1. Design and develop pre-training, training program and drivers
2. Design and develop evaluation tools
3. Build dashboard
4. Deliver pre-training and training
5. Measure at levels 1 and 2
6. Initiate ongoing reinforcement and monitoring
7. Measure at levels 3 and 4

Figure 5. Execution Stage Steps within a Business Partnership Model



Step 1: Design and Develop Pre-training, Training Program and Drivers

Purpose

- Align training with learning, performance and mission accomplishment
- Ensure steps are taken to increase the likelihood that learning is applied to the job

Action Points

- Design pre-training activities to prepare the learner for the actual training event(s). Examples include:
    - Preparatory reading including preview of course material and purpose of training
    - Pre-test or pre-assessment
    - Short meeting with manager or peer to clarify and/or set expectations
- Create course objectives and build content that prepare learners to perform critical behaviors on the job.
    - Involve subject matter experts (SMEs) during the design process.
    - Determine appropriate modality to conduct effective training.
    - Build in a specific explanation of what the learner will be expected to do as a result of attending the training program, and the drivers that will be used. Tie it to mission accomplishment.
- Build the drivers that are the responsibility of the training function.

Note: The action points in this step are focused on training evaluation and business partnership as it relates to training design and development. There are many other facets of training design; these are not the focus of this guide. Refer to the Federal Training and Development Wiki for more information on these topics.

Example

The NMA created training programs in public speaking and mentoring skills.

Design pre-training activities

The following pre-training activities were designed:

- A meeting conducted by training and museum leaders for all employees to explain the initiative and the benefits to the organization
- Pre-reading on the purpose of mentoring

Create course objectives and content

The following course objectives were developed for a two-day leadership retreat on public speaking and mentoring skills:

- Deliver a presentation on the mission of your museum with a focus on persuading the listener to make a donation
- Describe the purpose of mentoring future leaders as it relates to the mission of the NMA
- Demonstrate a mentoring touch base meeting following the mentoring checklist

Build drivers

The drivers identified in step 4 of the planning stage were created.

Pitfalls to Avoid

- Failing to show the relationship between learning, expected on-the-job performance and mission objectives
- Developing learning objectives that do not match the targeted results of the program or initiative
- Failing to match activities and simulation scenarios with real work situations
- Neglecting to align robustness of training with strategic importance of the initiative
- Creating training materials without input and confirmation from subject matter experts
- Assuming that drivers are the responsibility of a different area and not creating tools to help in the execution

Reference Materials

OPM regulations #6 and 7

Business partnership foundational principle #4

Sample Tools

Mentor Checklist

Instructions:
The purpose of this mentor relationship is for the mentor to help guide the mentee through the expectations and challenges of being a leader. It is important to remember that a mentor relationship is founded on feedback, help with decisions, and mutual sharing. While the checklist below provides suggested topics for discussion, it is not meant to be rigidly followed. Flexibility is required to address issues in a timely, relational manner.
Date:

Topic for Discussion	Status	Targeted Action
Updates from last meeting		
New leadership challenges		
Application of new learning		
Current career aspirations		
Pending critical decisions		
Current work-life balance		

Step 2: Design and Develop Evaluation Tools

Purpose

- To ensure methods are in place to monitor the ongoing and ultimate effectiveness of a program or initiative

Definitions

Formative evaluation: The collection of data during a learning event or phase

Summative evaluation: The collection of data after a learning event or phase

Quantitative data: Numeric information that can be captured through highly structured methods

Qualitative data: Non-numeric information that can be captured through more flexible methods

Hybrid evaluation tool: Designed to assess more than one evaluation level

Action Points

- Consider data needs based on stakeholder input during planning phase.
- Measure all four Kirkpatrick® levels for mission-critical programs.
- Use a blend of formative and summative evaluation methods.
- Use hybrid tools whenever possible.

Evaluation Methods Emphasizing Quantitative Data

These methods provide metrics that are most useful for initial, broad-reaching assessments and use in a chain of evidence.

Survey/Questionnaire: Written document to which participants provide answers to open and closed-ended questions about their experiences. Surveys tend to be more closed-ended; questionnaires more open-ended.

Knowledge Test: A test of training participant knowledge before, during, and/or after a training program

Skill/Behavior Observation: Expert, peer, or supervisor observes training participant or employee on the job and documents (typically with a checklist) if the person is performing the appropriate skills completely and correctly

Work Review: Expert, peer, or supervisor reviews the work of a training participant or employee on the job and documents (typically with a checklist or template if the person is performing the work properly

Request for Validation: A letter of request sent to managers of employees asking for quantitative evidence of results. Typically they are also asked to determine which factors led to the results, including all learning modalities and other drivers.

Evaluation Methods Emphasizing Qualitative Data

These methods provide rich information that can be difficult to obtain any other way. This information can be used to improve training and reinforcement and provide powerful testimonials to complement quantitative data in a chain of evidence.

Pulse Check: A technique where a facilitator determines the level of engagement or knowledge of participants, typically by observing, questioning, or any number of small or large group activities

Individual or Group Interview: One-on-one or group session during which participants are asked open-ended questions by an interviewer to gather data

Presentation/Teach Back: A presentation that is prepared and delivered by a training participant to others in the class as a demonstration of their knowledge or skill. Can also be done to peers back on the job.

Action Planning: Training participants create a plan that they commit to enact when training is complete. Ideally a supervisor follows up on the plan and provides coaching support and reinforcement.

Action Learning: Participants perform a project after a course of their actual work that is monitored, coached, and measured with the purpose of building and practicing skills while providing a deliverable for the organization

Evaluation Methods

This grid below illustrates that many of the methods described can be used for more than one level. This allows for the development of hybrid tools, which are recommended to maximize program evaluation resources and show relationships among the levels.

	Evaluation Levels			
Methods	1 Reaction	2 Learning	3 Behavior	4 Results
Survey, questionnaire, individual or group interview	•	•	•	•
Action planning		•	•	•
Work review, skill observation, behavior observation, action learning		•	•	
Case study, knowledge test, knowledge check, presentation, teach back		•		
Request for validation			•	•
Key business and HR metrics				•

Example

The following methods and tools were selected to evaluate the initiative:

Kirkpatrick Level	Evaluation Method	Evaluation Tool
1	a. Take pulse checks during the program b. Survey training participants immediately after training c. Interview sample of participants	a. Instructor observation (no tool) b. Hybrid evaluation form c. Structured questions
2	a. Take pulse checks during the program b. Mock presentation c. Role play mentoring touch base d. Discuss importance of mentoring e. Conduct confidence and commitment assessment	a. Instructor observation (no tool) b. Instructor and peer feedback c. Checklist d. Group discussion / feedback e. Hybrid evaluation form

Kirkpatrick Level	Evaluation Method	Evaluation Tool
3	a. Make on-the-job observations of mentoring progress b. Survey leaders 3 and 6 months after program about cross-organizational team progress c. Hold interviews with senior leaders d. Track number of public presentations made about NMA	a. Checklist b. Hybrid L3/L4 survey c. Checklist d. Public speaking report form submissions
4	a. Monitor percentage of major initiatives with cross-organizational team in place b. Monitor donation levels c. Monitor percentage of leadership positions with a mentee identified	a. Tracking spreadsheet b. Accounting records c. Tracking spreadsheet

Pitfalls to Avoid

- Using surveys as the primary or exclusive evaluation method/tool
- Overemphasizing Levels 1 and 2 and underemphasizing or ignoring Levels 3 and 4
- Using summative evaluation primarily or exclusively and not using formative evaluation methods
- Evaluating the levels sequentially and individually

Reference Materials

OPM regulations #1, 7-9

Business partnership foundational principle #4

Sample Tools

Formative L1 Techniques

Pulse Check Techniques

“Pull Up a Chair”

If something does not appear to be going well (i.e., lack of engagement, or confusion), pull up a chair in front of the group and simply point out that you are sensing a problem. Be sure to avoid blame; just present an observation. Be a good listener and ask what would help.

“Judge’s Cards”

Give each participant a set of five 4x6 note cards numbered from 1 to 5. At any point during the session, ask them, “How relevant is this to you?” or “To what degree might this help you on your job?” Ask them to hold up a card with 1 being the lowest rating and 5 being the highest.

“Flipchart Feedback”

Place two flipchart pages on the wall of the classroom, one labeled, “I can use this” and the other “I am confused about…” Provide each participant with a Post-it note pad, and encourage them to get up at any point and place one of their Post-it notes on the appropriate flip chart page with something relevant written on it. Require participants to place at least one Post-it before going to a break or lunch. Debrief periodically.

“Periodic Check”

Periodically stop and ask participants an open-ended question such as, “Do you see any value in this?” or “How might you apply this?”

L1 and L2 Participant Survey #1

Instructions: Thinking about the course you just completed, please indicate to what degree you agree with each statement using this rating scale:

1 = Strongly Disagree	**2 = Disagree**	**3 = Agree**	**4 = Strongly Agree**

Please provide comments along with your rating to help us to improve this course in the future.

Learning Environment

The class environment helped me to learn.	1	2	3	4
There were no major distractions that interfered with my learning.	1	2	3	4

Comments:

Relevance

The program material will be helpful for my success in the future.	1	2	3	4
I will be able to immediately use what I learned.	1	2	3	4

Comments:

Delivery

I was well engaged with what was going on during the program.	1	2	3	4
The activities and exercises aided in my learning.	1	2	3	4
I was given adequate opportunity to demonstrate what I was learning.	1	2	3	4

Comments:

Overall

The program met my expectations.	1	2	3	4
I am clear on how to apply what I learned on the job.	1	2	3	4
I would recommend this program to my co-workers.	1	2	3	4

Comments:

From what you learned, what will you be able to apply on your job?

Energy for Change

How ***confident*** are you that you will be able to apply what you have learned back on the job? (Circle one rating)

0…..1…..2…..3…..4…..5…..6…..7…..8…..9…..10

Not at all confident Extremely confident

If you circled 6 or lower, please answer the following question. Circle all that apply.

My confidence is not high because:

a. I do not have the necessary knowledge and skills
b. I do not have a clear picture of what is expected of me
c. I have other higher priorities
d. I do not have the necessary resources to do it
e. I do not have the human support to do it
f. Other (please explain):

How ***committed*** are you to applying what you learned to your work? (Circle one rating)

0…..1…..2…..3…..4…..5…..6…..7…..8…..9…..10

Not at all committed — Extremely committed

If you circled 6 or lower, please answer the following question. Circle all that apply.

My commitment isn't high because:

a. I do not have the necessary knowledge and skills
b. I do not have a clear picture of what is expected of me
c. I have other higher priorities
d. I do not have the necessary resources to do it
e. I do not have the human support to do it
f. I am not required to do this
g. I am not rewarded or recognized for doing this
h. Other (please explain):

What barriers do you anticipate that might prevent you from applying what you learned?

What might help to overcome those barriers?

What outcomes are you hoping to achieve as a result of your efforts?

L1 and L2 Participant Survey #2

Instructions

- For questions 1-5, please using the following rating scale:

  1 = strongly **disagree** 10 = strongly **agree**

- Please circle the appropriate rating to indicate to what degree you agree with each statement.
- Please provide comments to explain your rating.

Rating										
Strongly disagree									**Strongly agree**	
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	1. I took responsibility for being fully present and engaged in this program.
Comments:										
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	2. This program held my interest.
Comments:										
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	3. The presentation style of the instructor contributed to my learning experience.
Comments:										
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	4. The information in this program is relevant and applicable to my work.
Comments:										
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	5. I would recommend this program to others.
Comments:										

Instructions

- For questions 6-8 please use the following rating scale:

1	2	3	4	5
Little or no understanding	Basic understanding, but cannot demonstrate it	Understands and can demonstrate it with assistance	Can demonstrate without assistance	Can demonstrate and teach others to do it

- Please circle the appropriate rating of yourself **before** the training and **now** (after the training).
- Please provide comments to explain your ratings.

Before the Program **After the Program**

1	2	3	4	5	6. *Course objective #1*	1	2	3	4	5
Comments:										
1	2	3	4	5	7. *Course objective #2*	1	2	3	4	5
Comments:										
1	2	3	4	5	8. *Course objective #3*	1	2	3	4	5
Comments:										

9. How can this program be improved?

10. Please share any additional comments you may have. If you authorize us to use your comments in marketing materials, please print your name and provide your job title.

L1-4 Group Oral Interview Questions

Instructions:

- Facilitator reconvenes all or some of the training participants after the training.
- A review of key concepts is conducted or relevant handouts are provided to refresh the memories of participants.
- The following questions are asked and participants are given a chance to answer them in their own words.
- Recording the session or having a note taker is advised to capture all of the feedback accurately.

Additional tips:

- Participants may be hesitant to be totally honest if the facilitator of the course also facilitates the group interview. Ensure you have a neutral third party conducting the interview.
- Limit observers. Participants will be most honest in a smaller group.
- The facilitator should be trained in good facilitation skills.

Questions:

1. As you look back on the training, what do you remember most?
2. From the content covered during training, what have you found to be the most useful in your work?
3. As you look back, what information and skills do you wish had been covered that weren't?
4. To what degree are you applying what you learned?
5. To what degree have you received performance support in order to successfully apply what you learned?
6. For those of you who have struggled, to what do you attribute your difficulty in applying what you learned?
7. What sort of early indicators of positive impact have you noticed from your efforts?
8. What kind of additional training or support do you need to increase your effectiveness?

L1, L3 and L4 Participant Survey

Instructions: Thinking back about the course you took XX weeks/months ago, please indicate to what degree you agree with each statement using this rating scale:

1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree

Please provide comments along with your rating to help us to improve this course in the future.

Learning Effectiveness

What I learned in this class has helped me on the job. 1 2 3 4

The course content was comprehensive enough to meet my needs. 1 2 3 4

Comments:

Application

I have been able to apply what I learned in class on the job. 1 2 3 4

Please select the statement that best reflects your experience:

___ I was able to apply what I learned immediately.

___ I was able to apply what I learned within a month of taking the class.

___ I was able to apply what I learned within 1 - 3 months of taking the class.

___ I haven't applied what I learned yet, but plan to in the future.

___ I do not expect to use the knowledge or skills I gained during the course on the job.

Comments:

If you have NOT been able to apply the knowledge and skills that you learned, please indicate the reasons (check all that apply):

___ The course content was not relevant to my job.

___ I have not had the opportunity.

___ I have been discouraged from doing it.

___ I didn't understand the course material well enough to apply it.

___ I have other higher priorities.

___ Other (please explain):

Comments:

If you HAVE been able to successfully apply the knowledge and skills you learned, which of the following factors helped you (check all that apply):

___ Coaching from my supervisor

___ Support and/or encouragement

___ Effective system of accountability or monitoring

___ Belief that it would help me to be more effective in my work

___ Ongoing training I have received after the initial class

___ Payment or bonus for applying the knowledge

___ Other (please specify):

Comments:

Support

My supervisor and I set expectations for this training before the class.	1 2 3 4
My supervisor and I determined how I would apply what I learned after training.	1 2 3 4
I received support and encouragement for applying my learning to my job.	1 2 3 4
I have the necessary resources (i.e. tools, time, human resources) to apply what I learned.	1 2 3 4

Comments:

Overall

This training was a worthwhile investment in my career development.	1 2 3 4
I am already seeing positive results from this training.	1 2 3 4
I am expecting positive results from this training in the future.	1 2 3 4

Comments:

L2 and L3 Observation Checklist

This checklist can be used during training as a Level 2 role play observation checklist. Key skills taught in class can be tested.

The same checklist can be used on the job to monitor performance of the same skills as they are performed in actual job situations.

Observed Skill	Used Correctly?	Observations and Recommendations
Logical sequencing of points		
Use of appropriate business language		
Appropriate involvement of stakeholders		

L3 and L4 Monitoring of Group Action Plans

Instructions:

- Facilitator reconvenes a cross-functional group of participants after training.
- Each participant brings their action plan. The facilitator brings the summary document.
- The facilitator asks the questions and participants answer them in their own words.
- Recording the session or having a note taker is advised to capture all of the feedback accurately.

Additional tips:

- Participants may be hesitant to be totally honest if the facilitator of the course also facilitates the group interview. Ensure you have a neutral third party conducting the interview.
- Limit observers. Participants will be most honest in a smaller group.
- The facilitator selected should be trained in good facilitation skills.

Part I

Each participant is asked to share the actions they committed to take and the status of each action.

Part II

The facilitator asks the group the following questions, eliciting specific examples and allowing time for relevant comments from others in the group. The facilitator should make an effort to gather both qualitative and quantitative data, with objective and subjective input:

1. What kind of successes have you had with implementing your plan?
2. How do you feel about those successes?

3. To what do you attribute your success?
4. What obstacles have you encountered?
5. What suggestions do you have to overcome some of those obstacles?
6. Tell me about any consequences or rewards that you have received in the course of following your action plan.
7. What kind of support have you received that has helped you to implement what you learned? What other support would have been helpful?
8. To what degree have the results you expected actually occurred?
9. What steps do you plan to take in the future to continue your progress?
10. Why do you suppose this program was offered in the first place?

L4 Request for Validation

Dear Colleague,

Your sales team completed a course entitled “Trusted Advisor Sales Excellence” about nine months ago. We, as Human Resource professionals, are interested in determining the relative value of that training.

Please take five minutes to answer the following questions:

1. Have you seen any change in key sales results over the past nine months? If so, please provide specific detail.
2. Are you able to attribute any of that change to the sales training and subsequent follow up that your people went through? If so, do you have any evidence to support your conclusion? Please provide.
3. Would you be willing to talk with me further about these past months?

Thank you very much for your time and input.

Best Regards,

Betty Van Campen

Human Resources

Step 3: Build Dashboard

Purpose

- To have a management tool to monitor key metrics throughout an initiative to facilitate prudent decisions
- To have a communication tool to apprise stakeholders, training participants and other interested parties of progress and ongoing action steps

Definition

Dashboard: A graphic depiction of key metrics in a business partnership initiative that monitors and communicates progress towards business/organizational outcomes; typically color-coded in green, yellow and red.

Action Points

- Develop an initiative or program-specific dashboard with key metrics covering summative Level 1 and 2, required drivers, critical behaviors, leading indicators and Level 4 Results.
    - Set targets for each metric. If target cannot be set prior to training, monitor early performance and set target accordingly.
- Make the dashboard a non-negotiable tool reserved and used for all mission critical programs.
- Update the dashboard monthly so it serves as a dynamic management system for making informed decisions, communication tool to keep participants, team members, stakeholders and others apprised of initiative progress.

Example

Program-specific dashboard

NMA Sustainability Dashboard

Metric	Actual	Target	Status
Aggregate L1 satisfaction scores			
Aggregate L2 confidence scores			
# of public presentations			
% of major programs with cross-organizational team in place			
% of leadership positions with mentee identified			
Donations			

Training leaders updated dashboards on a monthly basis. Dashboards were posted on the organization intranet site for all employees to see. Museum leaders agreed to review dashboards monthly to ensure compliance and progress.

Pitfalls to Avoid

- Including more than one or two Level1 and 2 metrics
- Using the dashboard as only as a tracking tool and not a management and process improvement tool
- Failing to employ valid analysis methods prior to making decisions
- Waiting until an initiative is complete to analyze data and make indicated adjustments

Reference Materials

OPM regulations #7, 9, 10

Business partnership foundational principles #2, 4, 5

Step 4: Deliver Pre-training and Training

Purpose

- To prepare employees to perform critical behaviors on the job

Action Points

- Ensure pre-training is disseminated and/or completed.
- Deliver the training according to the plan.

Example

Pre-training completed

Each museum held a formal meeting to kick off the LDP program and explain the importance to each employee. Board of regents members and senior executives addressed most groups in person; some groups watched a videotaped opening message.

Pre-reading was disseminated to leaders prior to their two-day leadership retreat.

Training delivered

While it was difficult to get away for two days, museum leaders were glad to have the chance to focus on their own development and assistance in developing others in an uninterrupted forum.

Pitfalls to Avoid

- Performing no pre-training activities so participants are surprised by the learning intervention content
- Assuming the role of learning and development is simply to deliver a learning event, with no pre- or post-training involvement
- Placing too much importance on the training event and expecting it alone to produce the targeted results

Reference Materials

OPM regulation #6

Step 5: Measure at Levels 1 and 2

Purpose

- Ensure that effective training is taking place

Action Points

- Administer Level 1 and Level 2 evaluation as planned.
    - Consider using personnel other than the instructor to increase honesty and candor.
- Immediately analyze data in relation to targeted standards. If actual metrics are below targets, determine the cause(s).
- Determine and implement proper interventions where indicated.
- Communicate training program modifications resulting from feedback to participants and stakeholders where indicated.

Common Barriers to Effective Training

- Selection of wrong participants
- Ill-prepared participants
- Faulty training methodology
- Low engagement or relevance
- Poor timing of training

Example

Level 1 and 2 methods were administered as planned. Level 1 interviews were conducted by training staff other than the instructors. Leaders that participated in the training program were complimentary about the experience and indicated a high level of confidence and commitment to fulfill the mission.

There were a few leaders that did not see the connection between cross-organizational teaming and mentoring lower level leaders. They were set up with training team members as mentors to help them to see the value in the program. Museum leaders also scheduled appointments with the non-compliant leaders to tell them directly the importance of the LDP for the NMA.

Pitfalls to Avoid

- Seeking instructor validation instead of program improvement necessities
- Failing to look at all data objectively

- Overreacting to one-off comments (either positive or negative)
- Using Level 1 and 2 data to continually modify training programs and materials to the detriment of spending resources on supporting Level 3 Behavior and required drivers

Reference Materials

OPM regulations #7-9

Step 6: Initiate Ongoing Reinforcement and Monitoring

Purpose

- Maximize the performance of critical behaviors on the job

Action Points

- Implement drivers immediately after training has concluded (or on agreed start date) to maximize on-the-job application.
- Monitor the drivers to be sure they are being performed.

Example

During training the cross-organizational teams already formed for current projects were unveiled. The mentoring pairs were also announced. These items were also posted on the NMA intranet site.

The training group initiated monthly lunchtime informal speaking group meetings to give leaders time to practice their new public speaking skills.

The training team also regularly checked with museum leaders to see that mentoring checklists and encouragement were being implemented.

Pitfalls to Avoid

- Starting the monitoring and tracking too late
- Allowing non-compliance without remediation
- Not making modifications to the plan when indicated
- Expecting the agency to handle this step without involvement, reminders and encouragement from the training department

Reference Materials

OPM regulations #5-10

Business partnership foundational principles #3, 4

Step 7: Measure at Levels 3 and 4

Purpose

- To ensure that training effectiveness is taking place

Action Points

- Administer Level 3 and Level 4 evaluation as planned.
- Immediately analyze data in relation to targeted standards. If actual metrics are below targets, determine the cause(s).
- Determine and implement proper interventions where indicated.

Common Barriers to Training Effectiveness

- Ineffective training
- Low self-responsibility on the part of employees
- Cultural weaknesses in areas of support and accountability
- Missing drivers
- Improperly selected leading indicators or critical behaviors

Example

Level 3 and 4 evaluation was generally implemented as planned thanks to strong leadership support and regular follow-up from the training team.

Initially many reminders were needed for leaders to remember to complete new processes and submit reports. As time went on new habits were made and compliance without reminders improved.

Upon initial data analysis there were some instances of data being slightly below standards:

- Confidence after the training was a bit lower than expected. Interviews with training graduates revealed that some of them doubted that the cross-organizational teams would really happen. This is also reflected in the fact that the cross-organizational teams had only been created for 90% of the important programs.
- Senior leadership said publicly to the entire organization that the cross-organizational teams are not optional and a list of all projects and team members was published on the company intranet site.
- Since the number of public presentations was slightly lower than planned, each museum leader was assigned the task of reaching out to each appropriate member of their leadership team to discuss what presentations were planned and if any could be added.

NMA Sustainability Dashboard

Metric	Actual	Target	Status
Aggregate L1 satisfaction scores	92%	90%	
Aggregate L2 confidence scores	81%	85%	
# of public presentations	19	20	
% of major programs with cross-organizational team in place	90%	100%	
% of leadership positions with mentee identified	100%	100%	
Donations	$534.5*	$535.0*	

* Donations are in millions.

Key

Green: meeting target	Up from last month
Yellow: somewhat below target	Same as last month
Red: significantly below target	Down from last month

Proper interventions

Senior leadership got personally involved in major initiatives where cross-organizational teams did not get assembled and ensure they did as quickly as possible.

Training analyzed the reasons cited for lower confidence than expected to implement the plan. Based on feedback from training graduates, training team members provided a “mentor-the-mentor” program, providing support with leaders new to mentoring or who just wanted more assistance in the role.

Pitfalls to Avoid

- Allowing participants to ignore post-training evaluation activities
- Failing to look at all data objectively
- Overreacting to one-off comments (either positive or negative)

Reference Materials

OPM regulations #7-10

Roles and Responsibilities

	Agency head	Department managers	Training managers	Line managers/supervisors	Instructional designers	Evaluation experts	Trainers	Training liaisons/coordinators	Human resources	Information technology (IT)	Top performers
1: Design and develop pre-training, training program and drivers			S		P		S	S	S	S	
2: Design and develop evaluation tools			S		P	P	S			S	
3: Build dashboard			P		S	P	S			S	
4: Deliver pre-training and training			S				P	S			
5: Measure at levels 1 and 2			S			P	P	P		S	
6: Initiate ongoing reinforcement and monitoring		P	P	P		S		S		S	
7: Measure at levels 3 and 4			S	P		P		S		S	

Key

P = primary responsibility: this person/group has a leadership role in this step

S = secondary responsibility: this person/group participates in or provides input into this step

Agency Examples of the Execution Stage

L1 Instructor Trained Observer Evaluation – from DHS

Purpose:

This template was developed to provide instructors with constructive feedback for improving their instructional skills. It is intended to be utilized by experienced peers and program managers.

Instructions:

1. Identify the instructor/facilitator to be evaluated and select an evaluator.
2. Meet with the instructor ahead of time to explain the purpose of the review and to share the form. Ask if there are any other behaviors the instructor would like reviewed during the observation.
3. Observe the instructor and rate the behaviors observed using the scale provided. Be sure to include comments and suggestions.
4. Meet briefly with the instructor after the observation to share the observer's assessment. Discuss any issues that are present.
5. Transfer ratings and comments to the online form. Ratings on the first page automatically transfer to the comments page. Record comments on the comment page, including recommendations for improving instructional skills.

Evaluator Worksheet

Class/Topic: ____

Presenter: ____

Evaluator: ____

	Ratings
1	Never
2	Sometimes
3	Half of the time
4	Most of the Time
5	Always
NA	Not Applicable

	Rating	Comments
The instructor provided examples and/or personal experiences to illustrate concepts.		
The presentation was well organized.		
The instructor was at ease and comfortable with the material for the class.		
The instructor expanded on the information contained in the PowerPoint presentation and/or class materials.		
The instructor adequately answered questions from the class participants.		
The instructor was knowledgeable and informative.		
The instructor effectively managed class time.		
The instructor encouraged class participation.		
The instructor held the attention of the class.		
The instructor spoke in a clear and audible tone.		

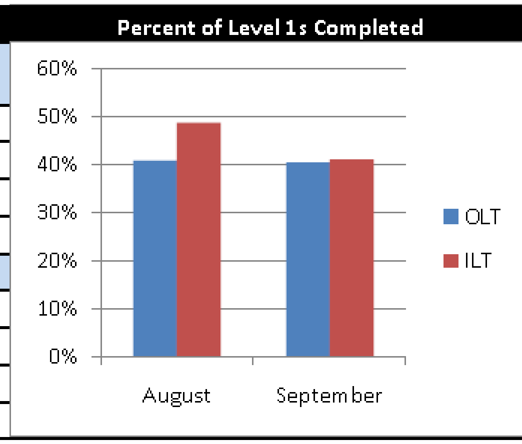
Kirkpatrick® Level 1 Course Evaluations – from NRC

The agency uses electronic course evaluations for Kirkpatrick Level 1 evaluations for both online and instructor-led training courses. When using paper evaluations, staff members manually entered each evaluation into a database before the staff could compile and analyze the results. With more than 12,000 evaluations submitted each year, this task became a time-consuming and resource-intensive process.

The electronic course evaluation process available through the learning management system allows the staff to quickly collect and analyze course evaluation data to measure the effectiveness of learning providers, instructors, courses, and learning methodologies. Collecting data electronically also supports "going green" because it saves more than 24,000 sheets of paper a year.

The course evaluations in the learning management system take learners less than 2 minutes to complete. Course managers can log into the system and run a course evaluation report that provides the aggregated evaluation responses and individual comments. These results are also captured in the Learning Management System Dashboard and made available to managers (see table below).

Kirkpatrick Level 1 Data*		
Instructor-led Level 1	**8/1/10 - 8/30/10**	**9/1/10 - 9/30/10**
Average ILT Level 1 Rating	4.2	4.3
Number of ILT Level 1s Assigned	1,197	1,002
Number of ILT Level 1s Completed	582	411
% ILT Eval Completion	49%	41%
Online Training Level 1		
Average OLT Level 1 Rating	4.1	4.1
Number of OLT Level 1s Assigned	1,463	3,110
Number of OLT Level 1s Completed	596	1,256
% OLT Eval Completion	41%	40%



Kirkpatrick Level 1 Data Summary Dashboard

The dashboard also provides managers the ability to drill down and sort the data to show the highest and lowest performing courses. This provides an invaluable tool to make decisions on potential course interventions.

L2 Action Learning – from NNSA

In-Teach/Action Learning Peer Group

The National Nuclear Security Administration (NNSA), a separately organized agency in the Department of Energy charged with maintaining the U.S. nuclear weapons stockpile and preventing the proliferation of dangerous nuclear materials worldwide, has increased efforts to ensure that its executive corps retains mission-critical skills in the future. Four years ago the agency established a Talent and Leadership Development Division (TLDD) to provide executive training and facilitate knowledge transfer to the next generation of leaders. In 2010 TLDD launched the Executive Career Enrichment Initiative (ECEI), a comprehensive package of tools to help executives assess their performance, improve their skills, and share knowledge with their colleagues. One of the elements of ECEI, and the subject of this "best practices" review, is "inTeach," a program designed to facilitate instruction by subject matter experts (SMEs) in NNSA.

Many of the subject matter experts who volunteer for this program lack training or experience in delivering effective instruction in a classroom setting. To help ensure that inTeach is successful both for the instructors and class participants, TLDD developed a one and a half day course, led by a facilitator, about adult learning styles, curriculum design, and training delivery. Fifteen potential instructors attended the first course.

With any training, whether it is instructor-led, computer-based, or experiential, the participants need to apply the knowledge or skill right away to reinforce what they learned. The InTeach program did not have immediate classes scheduled for the instructors to practice what they had learned. The question facing TLDD was - how do you keep SMEs up to speed on adult learning if there isn't a class to teach?

Action Learning

Action Learning is an education process that provides opportunities for individuals to learn by working on real projects in small groups. The participants learn by doing, with the support and advice of others in the group. TLDD used Action Learning over a four month period for inTeach instructors to reinforce what they learned in the course, provide a safe environment to share information, and practice what they learned.

Process

The Action Learning model developed for inTeach instructors includes four monthly meetings that build on and reinforce what they learned in training. The sessions covered the following topics:

- Developing a training needs analysis
- Presenting a needs analysis
- Delivering training
- Exploring new approaches to training and adult learning

Session 1

Purpose: Developing a Needs Analysis

Process: The session provided instructor-led training by a member of the TLDD team to cover material not included in the facilitated training

Payoff: Effective training begins with a solid needs analysis. Responding to scenarios presented by the instructor, the group developed questions to ask a business unit to determine specific training needs. The group prepared a presentation about how to conduct a needs analysis for adult learning.

Session 2

Purpose: Presenting a needs analysis

Process: This session reinforced learning by having one of the students present a needs analysis case study for his business unit. The individual worked with his area to identify a training need and then completed a needs analysis to verify that training is the appropriate solution, identify what skills need to be trained, and determine how the training results would be measured.

Payoff: The needs analysis presented a just-in-time opportunity for a SME to work with a team to identify specific training needs. Because of the SME’s technical expertise, he could easily understand comments to form additional questions about training needs for a highly scientific engineering area. The student also practiced presentations skills and received constructive feedback from the group.

Session 3

Purpose: Delivering training

Process: An individual created his own training, based on the ADDIE model for delivery to the group. The individual walked through the ADDIE model by identifying the business needs, defining what success would look like, identifying the results for the department after training and showing how it ties into the mission.

Other SMEs in the group served as the audience and asked questions about the analysis, how the design and delivery of training would meet the needs identified in the analysis, and how the instructor would know the needs had been met (evaluation). The group also offered the presenter feedback about whether the training met the needs of the business unit and whether it was easy to understand

Payoff: There was great interaction among the participants and the instructor during the presentation. They demonstrated a solid understanding of the importance of a needs analysis and showed recognition of adult learning styles. The session reinforced adult learning by tying it to the business request for training. Questions from the participants also highlighted measurements not previously considered by the group.

Session 4

Purpose: Exploring new approaches to training and adult learning

Process: The group had a table discussion about web-based training and webinars as well as on the job training to meet training needs.

Payoff: The group understood that adult learning takes place in a variety of venues and that a broader scope of training should be considered. The SMEs discussed specific examples of different venues, when to use each venue and what outcome to expect.

Outcomes

The outcome of the Action Learning/Group Mentoring is to provide the most effective SMEs for transferring knowledge in NNSA. A goal was to get the SMEs to suspend thinking of themselves as subject matter experts and to put on the hats of instructors. This is a mind shift that requires looking at a situation with a different lens. They should consider the business unit first and ask, what do they need and why? What is the value of the training event to the organization? The action learning sessions also gave the SMEs an opportunity to practice what they were being trained to do – make a presentation to a class.

The SMEs will be highly-trained InTeach professors who understand adult learning styles, instructional design basics and facilitation skills, and who will be able to deliver highly technical concepts in support of NNSA's mission. They will be able to analyze, design, and deliver solid training based on the needs of the business unit. A measure of success for the program would be a class that meets the objectives identified in the training analysis and provides just-in-time delivery by credible instructors in a cost-effective manner.

Kirkpatrick® Level 2 and 3 Evaluations – from NRC

Abstract:

Training and qualification programs are established for several mission-critical positions within the agency. When candidates have completed the items in their specific training and qualification program, they are examined by an oral examination board. The examination board evaluates the ability of an individual to integrate and apply the learned knowledge, skills, and attitudes to field situations.

Background:

The agency has established training and qualification programs for several business lines. They are customized based on the competencies needed to successfully carry out the duties of a specific staff position. The programs consist of traditional, formal training courses, individual study activities, and on-the-job training. Supervisors have the flexibility to grant "equivalency" for those staff members who have knowledge and skills from prior education or experience. Staff members have two years from the time they enter the program to complete it.

Student progress is periodically assessed during the program. Written examinations are administered after many of the formal training courses. A score of 70% is required for passing and being accepted into the next, more advanced course. Electronic Level 1 evaluations are administered after each course. Supervisory sign-offs are required for the individual study activities and on-the-job training activities.

The final step in the initial qualification is an oral examination by a qualification board. This board, consisting of management and qualified staff, assesses the qualifications of an individual to independently perform the prescribed position duties. The examination board evaluates the ability of an individual to integrate and apply the knowledge, skills, and attitudes they have learned to field situations. The immediate supervisor of qualifying individuals recommends each qualifying individual assigned to them as ready for the qualification board.

Comprehensive Evaluation by an Examination Board

The list of knowledge, skills, attitudes and competencies assessed by the board is contained in the training and qualification program document. The board chairman typically assigns topics for questioning to each of the board members to ensure that they address all of the competencies to be verified by the board. Board members may hold a planning meeting to discuss how various questions or scenarios cover the various competencies. The questions allow and encourage the individual to provide answers that demonstrate knowledge of agency policy and philosophy as they relate to implementation of the specific duties of the individual's assigned position.

The written examinations administered after most of the formal technical courses assess mastery of the course objectives. A score of 70% is required for the exams to allow the individual to progress to the next technical course. Because this material is tested separately, the oral examination board limits the number of technical questions asked by board members. In practice, technical questions pertain to the technical area in which qualification is being sought, and are not the primary focus of the board's assessment.

The board documents in writing the results of each individual assessment. If the board's assessment of the individual is favorable, the board recommends granting the full qualification. The board may assign "look-up" items to be presented to the board before a recommendation; or identify areas of weakness that must be remediated before reexamination; or the board may identify performance deficiencies such that the individual should not be re-examined.

Monitoring Program Effectiveness

The program offices monitor the implementation of training and qualification programs to identify areas where performance can be improved. They assess training and qualification program effectiveness by reviewing qualification board results, feedback forms, and feedback from the training working group at least annually. Based on the assessment results, the program offices make recommendations for changes in the initial training and qualification program and recommend topics for inclusion in continuing or refresher training.

Systems Approach to L3 Evaluation – from Smithsonian

Leadership Development Program

Initial Assessment

1. **360 degree competency assessment from Office of Personnel Management (OPM)** on each participant to set up the Leadership Development Plan

Mid-Program Evaluation

1. **Continual Assessment by Leadership Training Team (ongoing)**

2. **Level One Evaluation on all Action Learning Sessions as it relates to Leadership Behaviors**

3. **Appreciative Inquiry Session--**Facilitated by Program Manager with program participants Mid-Point in program.

Communications:

Definition to Participants regarding Appreciative Inquiry Session to solicit their opinions regarding the Leadership Development Program:

Ap-pre'ci-ate, v., 1. valuing; the act of recognizing the best in people or the world around us; affirming past and present strengths, successes, and potentials; to perceive those things that give life (health, vitality, excellence) to living systems 2. to increase in value appreciated in value. Synonyms: VALUING, PRIZING, ESTEEMING, and HONORING.

In-quire' (kwir), v., 1. the act of exploration and discovery. 2. To ask questions; to be open to seeing new potentials and possibilities. Synonyms: DISCOVERY, SEARCH, and SYSTEMATIC EXPLORATION, STUDY.

Appreciative Inquiry is about the co-evolutionary search for the best in people, their organizations, and the relevant world around them. In its broadest focus, it involves systematic discovery of what gives "life" to a living system when it is most alive, most effective, and most constructively capable in economic, ecological, and human terms. AI involves, in a central way, the art and practice of asking questions that strengthen a system's capacity to apprehend, anticipate, and heighten positive potential.

It centrally involves the mobilization of inquiry through the crafting of the "unconditional positive question" often-involving hundreds or sometimes thousands of people. In AI the arduous task of intervention gives way to the speed of imagination and innovation; instead of negation, criticism, and spiraling diagnosis, there is discovery, dream, and design. AI seeks, fundamentally, to build a constructive union between a whole people and the massive entirety of what people talk about as past and present capacities: achievements, assets, unexplored potentials, innovations, strengths, elevated thoughts, opportunities, benchmarks, high point moments, lived values, traditions, strategic competencies, stories, expressions of wisdom, insights into the deeper corporate spirit or soul-- and visions of valued and possible futures.

Taking all of these together as a gestalt, AI deliberately, in everything it does, seeks to work from accounts of this "positive change core"—and it assumes that every living system has many untapped and rich and inspiring accounts of the positive. Link the energy of this core directly to any change agenda and changes never thought possible are suddenly and democratically mobilized.

Facilitated session: 1) please reflect on and share program elements that, thus far, have been the most beneficial/helpful/developmental for you (Accomplishments); and 2) please consider what changes you would hope to see; more of/less of.

Results aggregated--

Theme Identifications (in this program):
Program Design
Financial and Operational Support
Challenges
Recommendations

4. **Mid-Program Survey to Supervisors** (via an online tool) (confidential results)

Leadership Development Program

Competency Survey

NAME:

How *important* are each of these competencies to the successful accomplishment of your employee's responsibilities/organizational goals?

1 – Negligible	2 – Occasionally	3 – Important	4 – Key to Success

______ Board Relations

______ Building coalitions/Communications

______ Institutional Governance

______ Institutional Strategy Development and Implementation

______ Integrity/Ethics

______ Internal Communication

______ Leading People/Influencing & Negotiating

______ Media Relations

______ Pan-Institutional perspective

______ Political Savvy/Knowledge

______ Public Outreach

______ Resourcefulness/Creativity/Innovation

______ Strategic Thinking

______ Vision & Strategy/Leading Change

Has his/her competencies *improved* since entering the LDP?

1 – None	2 – Small Improvement	3 – Mild Improvement	4 – Major Improvement

______ Board Relations

______ Building coalitions/Communications

______ Institutional Governance

_____ Institutional Strategy Development and Implementation

_____ Integrity/Ethics

_____ Internal Communication

_____ Leading People/Influencing & Negotiating

_____ Media Relations

_____ Pan-Institutional perspective

_____ Political Savvy/Knowledge

_____ Public Outreach

_____ Resourcefulness/Creativity/Innovation

_____ Strategic Thinking

_____ Vision & Strategy/Leading Change

Please share with us your impression of/describe the LDP participant's *growth* in **<u>three competencies of your choice</u>** as you have observed them.

Do you observe your employee incorporating these **<u>three competencies</u>** into their regular behavioral practice and/or attitude? In other words, *does this employee lead through these **<u>three competencies</u>*** and how do you see that?

Is there anything about these **<u>three competencies</u>** you think your *employee needs to pay particular attention to* through the rest of the LDP program?

Are there any additional comments you would like to share with the LDP team?

(End of Program Evaluation)

Program Providers Survey—Communications and Survey

Communications:

Thanks to the assistance of our many, outstanding program providers, the Inaugural program of the Leadership Development Program have been rated by the participants as highly successful.

Now it is your turn – we would love to hear from you regarding your experience with the LDP members and recommendations for future pan-Institutional leadership development at our agency.

We welcome your responses to the attached survey and request that we receive it no later than Friday, June 26.

Program Providers Survey - Leadership Development Program (LDP)

We have benefitted from and appreciate very much, the time and thought that was put into your contribution to the programming for the first LDP. Now we solicit your analysis and recommendations for how to make the program even better going forward

Please respond by no later than xxx to xxx. For more information, please call xxx

Please rate on a **scale of 1-10** (1 =extremely poor to 10 = outstanding) the following: 1 – 10. Please add comments to your number rating.

1. Understanding of the SLDP program prior to request for your participation.
____
____
____

2. Coordination prior to the program (with Program Manager or other LDP participants):
____
____
____
____

3. Actual experience during the program with the participants:
____
____
____

4. Please give us your recommendations and/or comments on any aspect of the SLDP:

____
____
____

5. Would you be willing to participate in a future program that would seek to develop SI leaders?
   Yes _______ No __________

Contact information: ______________________ (name)

______________________ (number/email)

Individual Interviews with Department Heads or 1st/2nd Tier Supervisor

Communications:

Good afternoon,

As the supervisors of the first group to have graduated, we are seeking your assistance in conducting an evaluation review of the inaugural pilot Leadership Development Program (LDP).

Accordingly I would like to set up a time to interview you regarding your perspective and feedback on the components, conduct and the ultimate success of the program in developing your employee. The interview should take no more than an hour of your time, possibly less.

XXXX will be assisting me.

We hope to conduct these interviews approximately between May 18 to June 19, xxx; if this is not convenient, we can arrange an alternate time. Please let me know when you would be available to meet.

Concurrently, the first graduates will be participating in a facilitated review (with the Ombudsman) on May 20th. Separate evaluations by interested parties (program providers, coaches, etc.) will be solicited also.

Your feedback will assist us with an honest evaluation of this initial program, and more importantly, help us frame the structure and process for the next Leadership and Development Program. Our goal is to continue to provide quality leadership development programs.

Thanks.

Format for Interview Questions:

LEADERSHIP DEVELOMENT PROGRAM (LDP)

ACCOUNTABILITY INTERVIEW

Name: **LDP Participant:**

As we are currently engaged in collecting feedback from all involved levels to evaluate our first Leadership Development Program, we want to thank you, the supervisor of one (or more) of the participants, for your considerable support during the eighteen month program period.

We understand and appreciate that this has been a sacrifice to you in terms of losing a valuable resource for the purposes of development, and also for the future good of the Smithsonian.
We hope to understand from your vantage point the following—

1. How well did we accomplish our stated goals?
    - Build a strong agency leadership pipeline and talent pool to ensure leadership continuity and viability
    - Specifically, developing future leaders who would be ready, if called upon, to step into a higher position (for example, Deputy directors or the like) on an acting basis
    - Enhance and grow a strong, committed, and innovative *pan-Institutional* leadership team across all museums, offices, and research centers, strengthening capabilities for non-profit executive leadership in the arts, sciences, and business that supports the mission.

2. From your frame of reference, how did the scheduled activities enhance the growth process?
    - Application, selection and competency evaluation(beginning and mid-program)
    - 360 degree feedback
    - Preparation and execution of an Individual Executive Leadership Development Plan (ELDP)
    - Mentoring
    - Executive coaching
    - Meetings with/interviewing current Executive leaders
    - Programmatic workshops, tours, site visits to understand the breadth of SI foundation, operations, missions and critical issues facing our agency
    - The “Colloquia” – meetings with Under Secretary using 7 texts on the history, founding, mission, philosophy of the organization
    - Executive education (focusing on leadership principles and issues
    - A Management Project – proposed to and approved by the Secretary

3. What recommendations/suggestions would you give us to help us improve the program such that we would gain your support for future similar programs?

4. How well were you kept informed of developments and activities in the program, expectations on you and your subordinates part, time commitments, resource commitments, etc.?

5. Have you observed any behavioral or work-product changes/improvements as a result of this program? Leadership skills or traits observed?

Date:

1. **End of Program 360 degree competency assessment from Office of Personnel Management (OPM) on each participant**

2. **Structured Interviews with Coaches** for perspectives about growth and development, ideas for incorporation for next program, etc.

3. **Confidential Appreciative Inquiry Session to Leadership Development Participants Based on Mid-Program Model Facilitated by Ombudsman.** Results aggregated and report presented.

4. **Assessment by Leadership Training Team**

SECTION IV: DEMONSTRATION OF VALUE STAGE

Introduction

Planning, training, reinforcement, and evaluation up to this point should have created significant value to the agency if they were conducted effectively. Now it is time to demonstrate that value. It can take multiple forms for several different audiences. These audiences include, but are not limited to:

- Agency stakeholders
- OPM
- The American public

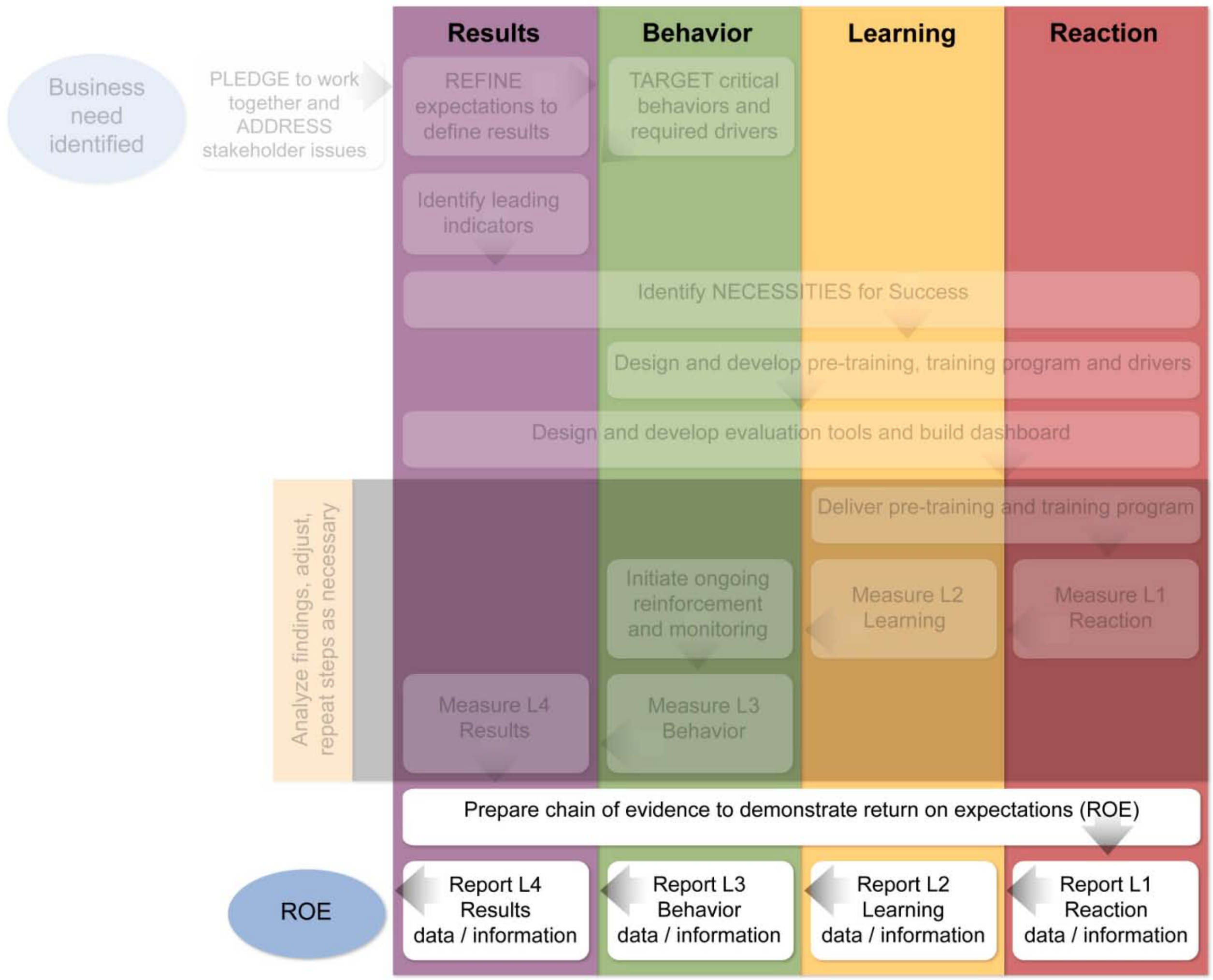
Each audience will likely require a different type of effort and demonstration.

In this stage you will build your chain of evidence and demonstrate ROE. You will tell a "story of value". This will show the "return on" by all those involved for the "expectations" of the stakeholders. If good work has been done during the first two stages, demonstration of value is relatively easy.

Steps

1. Prepare chain of evidence
2. Report data and information

Figure 6. Demonstration of Value Stage Steps within a Business Partnership Model



Step 1: Prepare Chain of Evidence

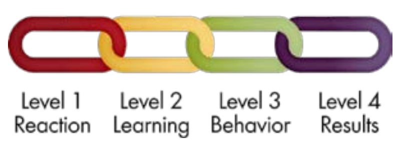
Purpose

- Prepare the evidence of the value of the initiative to the mission(s) of the agency

Action Points

- Refer to the audiences identified in the planning stage and the types of evidence requested by each.
    - Keep in mind that not all data is for all audiences.
    - The degree of detail required will also vary by stakeholder.
    - More data is not always better.
- Put the evidence in order, starting with level 1 and ending with level 4. Include data on required drivers and leading indicators.
    - Highlight connections between training, learning, the job environment, performance, and mission accomplishment.
- Where appropriate, include testimonies of employees and others that will help to make powerful connections between the levels.
- Include any intangible or collateral benefits at the end of the chain of evidence.
- Determine the simplest way to communicate the data: verbally, in writing, with the dashboard, or through other key visuals (graphs, tables, charts).

Chain of Evidence



Example

Three reports were developed based on criteria established during the planning stage:

1. Executive report
2. Department/line manager report
3. Detailed training department report

Both taped and live testimonies from mentees and their supervisors were captured.
An increase in pride and confidence in their work was reported from workers. Many employees noted that they felt proud and lucky to work for an organization that benefited the entire world. The

connection to the highest mission was evident at all levels with the NMA.
An oral presentation was made to the executive team, during which the report was handed out. Slides and videotaped testimonies were used. The written report was sent to the line managers. The training team report was sent to members, followed by a live debrief.

Pitfalls to Avoid

- Preparing a group of data that do not tell a logical and compelling story of value
- Overemphasizing Level 1 and 2 data; underemphasizing Level 3 and 4 data
- Using too much narration and not enough visuals like graphs, charts, and bullets

Reference Materials

OPM regulations #5, 10, 11

Business partnership foundational principle #5

Step 2: Report Data and Information

Purpose

- Provide ultimate demonstration of the value of the initiative to the mission

Action Points

- Verify that the report is in proper form for the audience.
- Practice the presentation if it is to be given orally.
- If appropriate, offer recommendations for future applications of the business partnership model.

Example

The executive report was presented by the training group to the board of regents and other NMA executives. The presenters used the same format as their lunchtime speaking group to practice and polish the presentation before the actual event.

The board of regents was pleased with the progress that had been made on their request for strong agency leadership and pan-institutional spirit. Together they recorded a message to be delivered to each of the museums commending them on their progress and asking for continued efforts until the ultimate goal of sustained donations and complete organization cooperation on use of funds is achieved.

Pitfalls to Avoid

- Presenting detailed accounts of Level 1 and 2 data to non-learning and development stakeholders
- Not preparing for a polished, complete presentation to key stakeholders

Reference Materials

OPM regulations #5, 10, 11

Business partnership foundational principles #2, 5

Roles and Responsibilities

	Agency head	Department managers	Training managers	Line managers/supervisors	Instructional designers	Evaluation experts	Trainers	Training liaisons/coordinators	Human resources	Information technology (IT)	Top performers
1: Build your chain of evidence			**P**			**P**		**S**			
2: Report data and information		**P**	**P**	**S**	**S**	**S**	**S**	**S**	**S**	**S**	**S**

Key

P = primary responsibility: this person/group has a leadership role in this step

S = secondary responsibility: this person/group participates in or provides input into this step

SECTION V: ADDITIONAL RESOURCES

Resolutions to Common Challenges

Common Challenge	Strategic Business Partnership Solution
"Our budget is too small to do much other than train."	Take an inventory of your training programs and determine how many truly drive strategy. • For those that do not (or only do so to a limited degree), find alternate ways of delivering the information other than instructor-led or online training. • Often these needs can be met with job aids or other on-the-job interventions. • With the time and budget you save, you will have resources to address Level 3 efforts for more strategic programs. Technological advances have made it unnecessary to continue to deliver content-heavy training; large amounts of information can be obtained on-demand on the internet.
"We do not have clear enough direction from senior leaders to 'start with the end in mind'"	Delivering training or any type of intervention without knowing what the 'destination' is will likely lead to wasted resources and minimal mission accomplishment. This message needs to be brought boldly to senior leaders, and collaborative sessions arranged to identify specific, measurable Level 4 Results that will accurately reflect mission accomplishment and be realistic to accomplish.
"Our leaders are only asking for training. They are not interested in the other aspects of the model."	Move from being a training provider to a strategic business partner. Educate your leaders as to the inefficiency and ineffectiveness of training events alone: • Show them relevant research and best practices. • Convince them of a better way, typically through a successful business partnership pilot program within your agency.
"We do not have the expertise to do much more than deliver training."	• This Field Guide and the Federal Training and Development Wiki are designed to be used by people who are not experts in evaluation, and likely have other responsibilities. The methods are simple and straightforward. • New applications and tips will be added to the Federal Training and Development Wiki on a regular basis, as will the opportunity for you to ask and receive answers to your specific questions. • Additional professional resources and training are available from Kirkpatrick Partners.

Common Challenge	Strategic Business Partnership Solution
"We do not have enough staff to go beyond Level 2."	Make Level 1 and 2 evaluation as efficient as possible to save resources for Levels 3 and 4. • Create short, learner-centered Level 1 reaction sheets. • For Level 2, use retrospective pre- and post assessments instead of full pre and posttests. • Conducting Level 3 and Level 4 surveys and focus groups for mission critical programs only.
"Even our training staff members are having trouble believing in going beyond delivering training."	Assemble your group and have an outside professional talk with the entire groups and work towards a common purpose and approach. This is definitely a problem that cannot be ignored. If your own staff is not on board with the concept of training effectiveness there is little chance of convincing others of its power.

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http://www.kirkpatrickpartners.com

Case Studies and Examples

FDIC College of Leadership Development – Evaluation Strategy

Background

In October 2002, FDIC established a Corporate University to provide increased opportunities for employees to enhance their sense of corporate identify, enhance job performance and promote adaptability to changing priorities. Over a period of six years the University evolved to include a structure of three distinct colleges: The College of Corporate Operations, the College of Corporate Business and the College of Leadership Development (CLD).

College of Leadership Development

The College of Leadership Development serves a critical mandate to provide and support leadership development at all levels of the Corporation. Until 2008 the needs of an estimated 4,000 employees were met using external contractors to design and deliver core leadership programs. In June 2008, the College determined the need to strengthen in-house expertise and expanded the management team structure to include the role of Chair with responsibility for defining a strategy to build the College's capacity to design and deliver a robust ladder of courses and leadership enrichment initiatives.

At the same time the College was making strides in the strategic design of core leadership programs, the Corporation entered a period of unprecedented demand for regulatory services and a close to two-fold increase in employee hiring (9,000) which significantly increased demand for leadership programs throughout the Corporation.

Key Elements of an Effective Evaluation Strategy Map

A. Starting Point-Alignment and Identification of Critical Competencies

In order for an evaluation strategy to be effective the core courses and enrichment activities which make up the leadership curriculum must be aligned with critical skill sets, competencies and business objectives from which critical learning expectations and behavior changes can be defined.

In December 2008 the College established a "blueprint" defining core competencies and content areas for each leadership development course (FDIC Leadership, Team Leadership, Supervisory Leadership, Advanced Leadership and Executive Leadership).

B. Agency Customization

There is no "one size fits all" approach to evaluation and reporting return on learning. Each agency must customize their evaluation model to reflect where the organization is in regards to its overall learning and development and in some cases the developmental stage the agency is in with regards to their learning and development initiatives. Due to the financial sector crisis, rapidly expanded workforce and ambitious launch of the ladder of courses, demonstrating impact is the focal point of the College's evaluation strategy map.

Building on the framework provided through the "Kirkpatrick Model" the College developed a customized evaluation model designed to emphasize "Level IV – impact" as the starting point for the evaluation cycle and more importantly as the key driver of expectations in regards to the learner and the investment in learning and development. At the beginning of each leadership course key elements of "having an impact as a result of the course" is covered as one of the key leadership learning expectations.

The CLD evaluation strategy map is illustrated below. In order to make the model more action-oriented, we have replaced the concept of "Level" with the concept of "perspectives." We have found that the learner is more engaged when we illustrate the model from the perspective of having an impact, perspective of behavior change, perspective of your learning, and the perspective of what needs to transpire in the learning environment.

When explaining the model to learners, stakeholders and key decision-makers we illustrate the model by starting with a discussion of the Corporation's expectation that as a result of the investment in learning and development we will have a significant impact on our level of performance effectiveness and the culture and conditions in which results are achieved. Illustrated below is the evaluation strategy map and the specific language included in the "handout" used when briefing the model.

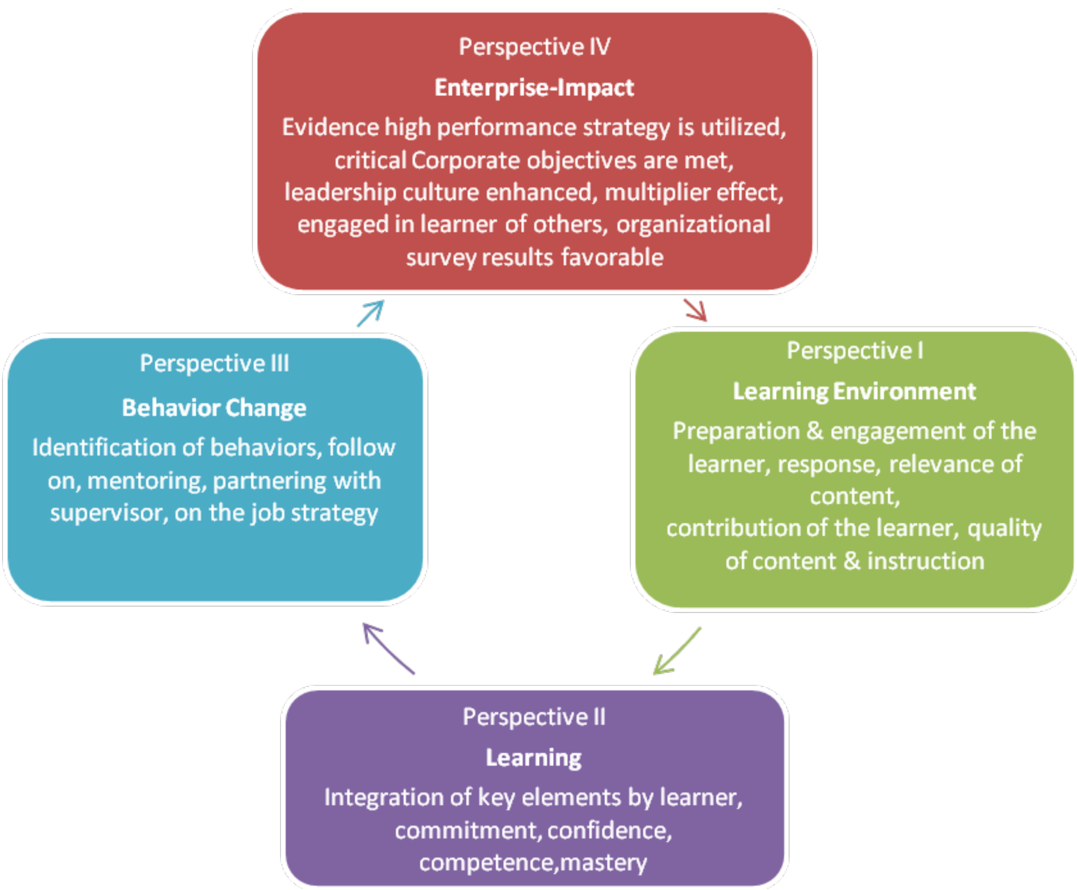
CLD Evaluation Strategy Map (Illustration)

The CLD evaluation strategy provides feedback on the effectiveness and impact of leadership development courses and initiatives. The evaluation process measures "leadership learning," this differs from measuring Corporate University "training" programs.

Training programs are measured based on evidence that the student demonstrates the ability to follow a prescribed sequence of steps; mastery is reflected in the ability to repeat with a degree of accuracy and precision the sequence of steps and routinely apply established formulas or analytical tools to the task at hand. The effectiveness of the instructor is measured by the ability to convey a prescribed set of tools as measured by the student's ability to use these tools with precision and accuracy.

Learning is a more complex activity. Leadership learning involves reflection, self-awareness, the acquisition of knowledge concerning leadership development theory and applications, approaches, ways of thinking, situational awareness, strategic integration and over time, changes in behavior, continuous learning and ultimately enterprise-wide impact.

Evaluation Strategy Map



Key Elements of Strategic Perspectives

Perspective I/Learning Environment

Critical Elements:

- Preparation of the learner
    - Self assessment of competencies/skills
    - Leadership learning objectives
    - Commitment
- Preparation/Partnering with Supervisor of Record
    - Outcomes (leadership learning)
    - Role of supervisor
    - Commitment
- Usability of content
- Relevance of content
- Engagement of the participant
- Quality of instructional activities

Perspective II/Learning

Critical Elements:

- Integration of key elements by the learner
- Change in attitude and/or awareness of leadership behaviors
- Competence
- Commitment
- Confidence in using new skills
- Evidence of mastery

Critical Steps:

- ✓ Incorporate "awareness" of behaviors needed at course completion (what behaviors need to change and what is the learner committed to)
- ✓ Integrate process to capture participant commitment to longer term leadership strategies
- ✓ Incorporate "demonstration" project or activity when relevant for course completion
- ✓ Incorporate measure of "mastery" of leadership thinking and strategy setting

Perspective III/ Behavior Change

Critical Elements:

- Identification of behaviors by learner
- On the job strategies
- Incentives
- Coaching
- Partnering with supervisor and peers
- Follow up reminders- job aids

- Dashboards (track behavior/competency changes)
- Follow on programs (elective courses/continual learning)

Critical Steps:

- ✓ Monitor and reinforce “awareness” of behaviors needed at course completion (what behaviors need to change and what is the learner committed to).
- ✓ Facilitate feedback from supervisors
- ✓ Facilitate continued learning (VTC peer forums, executive mentors, monthly leadership blogs)
- ✓ Best Practices Seminar
- ✓ Build awareness of consulting services and intact team development programs

Perspective IV/Enterprise Impact

Critical Elements:

- Recognition of Corporate or division-level accomplishments in promoting leadership culture
- Evidence of investment in promoting and applying the high performance leadership strategy
- Multiplier affect (consultation requests, partnering, engaged in learning of others)
- Growing others- requests for team development consultations, contribution to leadership enrichment activities
- Corporate Performance Objectives met
- Leadership culture enhanced
- Employee engagement survey results (incremental movement forward)

C. Alignment of End of Course Survey with Evaluation Strategy Map

Once we established the framework for the evaluation strategy map it was essential to revisit our evaluation instrument to determine if it aligned with our new measures. Notably, the instrument in place reflected a “training” focus rather than a “learning focus” and required substantial revisions. The mechanics of revising the survey instrument required close collaboration between the Chair of the College of Leadership and the University’s evaluation oversight staff. One of the success factors contributing to the success of this collaborative effort was the ongoing working relationship already in place. This is a critical lessons learned in the importance of ongoing briefings and cooperative engagement with key stakeholders in the organization’s evaluation process.

As illustrated below the end of course survey was revamped to closely reflect the “perspectives” and critical elements outlined in the evaluation strategy. The illustration below is used with our “Executive Leadership Seminar. Each leadership course has a customized survey.

End of Course Survey

The Learning Environment

Please indicate the extent to which you agree or disagree with these statements about the learning environment.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
The pre-seminar materials contributed to my learning.					
The learning objectives were clear.					
The seminar materials contributed to my knowledge of the seminar content.					
The seminar activities reinforced the learning.					
The audio-visual materials reinforced key aspects of the seminar content.					
The panel presentation(s) contributed to my knowledge on leading effectively.					
The facilities were conducive to learning.					
My level of participation in the seminar contributed to the learning of others.					

Learning

Listed below are the learning objectives for the seminar. Rate your ability to accomplish each objective.

	Excellent	Very good	Good	Fair	Poor
Examine what executive leaders need to do well and develop an effective strategy to incorporate these elements in your job responsibilities.					
Assess individual leadership styles and make adjustments to lead effectively in different contexts.					

	Excellent	Very good	Good	Fair	Poor
Assess skill levels in key leadership competency areas and develop a goal-specific leadership development plan.					
Develop a deeper understanding of the context in which you lead and utilize an analytical framework to assess changing workplace situations.					
Examine the impact of personality and behavior in the workplace and develop appropriate influence and relationship-building strategies.					
Develop influence strategies to enhance productivity and leadership effectiveness.					
Establish a sound follow-on strategy, including facilitated triad reflection group meetings, journal entries, and individual coaching (optional).					
Develop peer-to-peer relationships to support continual learning and collaboration and continue outreach as part of a follow-on plan.					

1. How would you characterize the improvement in your leadership knowledge/skills as a result of this seminar?
   ○Very great improvement
   ○ Great improvement
   ○ Moderate improvement
   ○ Slight improvement
   ○ No improvement

2. Rate the likelihood that you will apply the knowledge/skills learned in this seminar when you return to your job.
   ○ Very likely
   ○ Somewhat likely
   ○ Somewhat unlikely
   ○ Very unlikely

3. Please describe any factors that may interfere with your applying the knowledge/skills from the seminar when you return to your job.

Please rate each instructor on knowledge of the subject matter, presentation style, and interpersonal skills.

1. **Name**

	Excellent	Very good	Good	Fair	Poor
Knowledge					
Presentation					
Interpersonal					

2. **Name**

	Excellent	Very good	Good	Fair	Poor
Knowledge					
Presentation					
Interpersonal					

3. **Name**

	Excellent	Very good	Good	Fair	Poor
Knowledge					
Presentation					
Interpersonal					

4. **Name**

	Excellent	Very good	Good	Fair	Poor
Knowledge					
Presentation					
Interpersonal					

5. Overall, how would you rate the effectiveness of this seminar?
   - O Excellent
   - O Very good
   - O Good
   - O Fair
   - O Poor

6. Would you recommend this seminar to others in your position?
   - O Yes
   - O No

7. What are the factors that prevent you from recommending this seminar?

Behavior Change

The following statements indicate possible actions you might take after the seminar. Indicate whether each statement is true or false for you.

8. I have identified 1-2 specific behaviors and/or skills that I will focus on as part of my "on the job" integration of seminar content.
   - ○ Definitely true
   - ○ Probably true
   - ○ Undecided
   - ○ Probably false
   - ○ Definitely false

9. I plan to continue my "peer-to-peer" coaching by staying in touch with a colleague.
   - ○ Definitely true
   - ○ Probably true
   - ○ Undecided
   - ○ Probably false
   - ○ Definitely false

10. In the next 60 days, I will share what I learned in this seminar with my supervisor.
    - ○ Definitely true
    - ○ Probably true
    - ○ Undecided
    - ○ Probably false
    - ○ Definitely false

11. In the next 60 days, I will share what I learned in this seminar with my direct reports (if applicable).
    - ○ Definitely true
    - ○ Probably true
    - ○ Undecided
    - ○ Probably false
    - ○ Definitely false
    - ○ Not Applicable

12. As a result of this seminar, I plan to spend more time developing self-awareness of the relationship between my behavior in the workplace and my effectiveness in leading within the FDIC.
    - ○ Definitely true
    - ○ Probably true
    - ○ Undecided
    - ○ Probably false
    - ○ Definitely false

13. As a part of my follow-on plan, I anticipate enrolling in an elective course, on-line courses, and/or independent reading in the content area.
    - ○ Definitely true
    - ○ Probably true
    - ○ Undecided
    - ○ Probably false
    - ○ Definitely false

14. I would be interested in discussing opportunities to contribute to the leadership learning of other FDIC employees through assisting with other leadership development activities.
    - ○ Definitely true
    - ○ Probably true
    - ○ Undecided
    - ○ Probably false
    - ○ Definitely false

15. In this seminar we examined what executive leaders need to do well. Please describe your strategy for incorporating these elements into your roles as executive manager.

16. What aspects of the seminar were most useful to you?

17. What topics would you like to learn more about?

18. In which division or office do you work?
    - ○ CU
    - ○ DIR
    - ○ DIT
    - ○ DOA
    - ○ DOF
    - ○ DRR
    - ○ DSC
    - ○ Legal
    - ○ Other

19. Where did you take this training?
    - ○ Dallas
    - ○ Irvine
    - ○ Jacksonville
    - ○ Virginia Square
    - ○ Other

20. Please provide your name below (optional):

21. Use the space below to provide additional comments about the leadership seminar.

D. Demonstrating Impact

You will recall that the College determined that demonstrating "impact" is the critical measure of our return on learning. Attention to follow-on and longer term behavior change is the foundation for achieving "Perspective IV" impact. In order to facilitate and reinforce the importance of longer-term impact the College invests in a system of well-defined follow on activities including:

- ✓ 30 day post course survey. (Illustrated below is the follow-on survey supporting the supervisory leadership course).
- ✓ 60-90 day post course "virtual" all hands follow on linked to outcomes defined by the employee as part of their "peer to peer" presentations on the last day of each face to face course offering.
- ✓ Follow-on notification to the supervisor of record illustrating key elements of the course completed by their employee and suggestions for supervisory involvement in the continued leadership development of their staff member.
- ✓ For upper level executive courses the use of "executive mentors" to guide "peer to peer triads" of participants in facilitated follow-on virtual meetings designed to emphasize behavior changes and adaptive strategies.

30-Day Post Course Survey

Foundations of Supervisory Leadership

Thank you for taking the time to complete this post-course survey for the class, Foundations of Supervisory Leadership, Part 1. Your responses will help us assess the extent that completion of the class has resulted in newly acquired skills, reinforced behavioral changes, identified developmental areas, challenges you face and topics to address in moving forward.

The survey should take less than ten minutes of your time to complete. When finished, please click the button in the upper right corner, "Submit by Email."

1. Which key leadership competencies were enhanced as a result of completing the Foundations of Supervisory Leadership Program, Part 1?

   ❑ Resilience ❑ Leveraging Diversity ❑ Influencing ❑ Team Building

   ❑ Interpersonal Skills ❑ Accountability ❑ Continual Learning

2. How has your approach to leading people changed since you attended the March session of Foundations of Supervisory Leadership?

3. Have you received feedback from your supervisor, direct reports or peers to indicate they have observed changes in your leadership behavior? If so, please explain.

4. Describe how you have modified your leadership style as a result of the Workplace 5 Assessment. What behaviors make you more effective?

5. Which elements of your leadership strategy will you focus on between now and attending Part 2 of the class in September - leading people, trust, personality and behavior, communication, resilience?

6. How can Corporate University's College of Leadership Development support you in continuing to develop your supervisory skills?

E. Mid-Course Corrections and Trends

Evaluation is an on-going process. In order to position the College to make mid-course corrections and monitor trends within the learning environment, learning, and learner feedback the College requires an “after action report (AAR)” within 14 days of course completion. The AAR outlines the competencies and content areas associated with the course, and includes faculty and program manager input on modifications, key elements of participant feedback, and a clear strategy for next steps. In the case of new courses or initiatives the AAR is briefed to the entire CLD management team (Dean, Chief and Chair).

F. Lessons Learned

- ✓ Invest in follow-on. Follow-on should reflect the same level of investment as face to face coursework.
- ✓ Busy employees required additional time to complete on-line surveys.
- ✓ Emphasize “impact” and “behavior change” at the onset of each leadership development course.
- ✓ Include specific questions in each end of course evaluation on behavior changes and impact anticipated by the participants.
- ✓ Brief key decision-makers on a routine basis. Use a straight-forward and efficient format such as a “quarterly dashboard”.

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Leadership Succession Planning – from DOC

The Aspiring Leaders Development Program (ALDP)

The Aspiring Leaders Development Program or ALDP is announced once each year. Applicants apply electronically using the USAJOBS Website. Program participants may number up to 30 individuals in the class which consists of two different tracks. Selection is highly competitive, involving a qualifications analysis by our staffing members, a rating and ranking of applications process that is conducted by mid-level managers, and an intense interview process. The program is open nation-wide and training is held in both the Washington, D.C. Metropolitan area and as select webinars for individuals in the field offices.

The ALDP is a 12-month leadership development program for high caliber individuals at grades GS-7 through to GS-12 (or their equivalent). The program has two different tracks that are geared toward entry level up to journey level. Track 1 includes individuals at grades GS-7 to GS-10 (or equivalent) and Track 2 includes graded GS-11 and GS-12 (or their equivalent). The learning components and activities are the same in each track but the level of learning is specific for each grade or experience level of the employee.

The 12-month program concentrates leadership development and skill enhancement activities in six major leadership competencies. These competencies are:

- Customer Service
- Communication
- Flexibility/Adaptability
- Team Building
- Problem Solving
- Continual Learning
- Emotional Intelligence
- Leveraging Diversity

Employees selected into the program attend a comprehensive orientation with their supervisors. Participants must complete a number of key program components in order to graduate. The components are:

- In addition to the Department-wide ALDP program, similar programs can be found within Completion of specific on-line courses using the Department's electronic learning system;
- Completion of 3 weeks of leadership core training focused on the ALDP competencies;
- The conduct of a managerial level executive shadow assignment and attendance at several speaker events that highlight aspects of leadership;

- Book discussion groups;
- Participation in the Department's Mentoring Program as a mentee by utilizing the services of a mentor;
- Completion of a 45-day developmental assignment; and,
- The conduct of management interviews.

In addition to the Department-wide ALDP program, similar programs can be found within Commerce bureaus. Similar programs are located within the National Oceanic and Atmospheric Administration (NOAA) and at the National Institute of Standards and Technology (NIST).

The Executive Leadership Development Program (ELDP)

The Horizon, Executive Leadership Development Program or ELDP is announced once each year. Applicants apply electronically using the USAJOBS Website. We typically select up to 30 participants in the class. Selection is very competitive, involving a qualifications analysis by our staffing people, a rating and ranking of all applications by senior managers, personal interviews and participation in a third party assessment center that tests the skill level in oral and written communications as well as team leadership skills. The ELDP is open nation-wide and field office individuals are invited to apply. All training activities occur in the Washington, D.C. metropolitan area. Selections to the program require that individuals are serving in or are qualified for one of the 23 mission critical occupations in the Department that support the individual missions of each of 12 bureaus.

Requirements to enter and program components: The ELDP is an 18-month program. The program's mission is to teach exceptional leadership skills to high caliber individuals that have already shown skills and promise in leadership. This sets the stage for our succession planning in which we develop a pool of graduates who can compete and fill mid-level leadership posts. The ELDP program is modeled after our Senior Executive Service Development Program.

The 18-month program concentrates leadership learning in subcomponents of the Office of Personnel Management's Executive Core Qualifications or ECQs. The ECQs and subcomponents of the program that form the basis of all learning include:

- Leading Change: Creativity and Innovation
- Leading People: Conflict Management
- Results Driven: Decisiveness
- Business Acumen: Human Resources
- Building Coalitions: Influencing and Negotiating

Individuals that are ultimately selected into the program, along with their supervisors, attend a comprehensive orientation. Participants are required to complete a number of learning components over 18 months in order to be certified for graduation. These components are:

- Completion of specific online leadership courses using the Department's learning management system;
- Completion of three weeks of leadership core training that focuses on leadership skills and skill building in the areas of budgeting, the Capitol Hill process, the legislative process, and the interaction of the federal government;
- Book discussion groups;
- The completion of a 120-day developmental assignment that is located within the Department of Commerce or at another federal agency ;
- Attendance on field trips or the conduct of special assignments and the completion of personal assessments and coaching sessions;
- Participation in the Department's Mentoring Program as a mentee and as a mentor; and,
- The completion of a team action-learning project and the presentation of the results of the project among peers and clients.

It should be pointed out that in addition to our Department-wide Executive Leadership Development Program for individuals at the GS-13 and 14 (or equivalent) levels, similar programs exist elsewhere within the Department. These can be found at the National Oceanic and Atmospheric Administration (NOAA), the International Trade Administration (ITA), the Foreign Commercial Service (FCS), the National Institute of Standards and Technology (NIST), and the U. S. Bureau of the Census.

The Senior Executive Service Candidate Development Program

The Department of Commerce offers an exceptional Senior Executive Service Candidate Development Program (or SES CDP) to its most promising – high caliber senior managers. The program is held once every other year and is limited to just 15 candidates. Applicants apply electronically using the USAJOBs Website. Applications must include a resume, the application itself, a description of the candidate's experience with each of the ECQ's, and a recommendation from their supervisor.

Selection is highly competitive, involving an intense qualifications review by members of the Department's staffing experts, a rating and ranking of applications in panels composed of senior executives, an interview process that includes competency based and behavior interviews given by members of the SES community, and participation in a third party assessment center that tests the skill level of each potential applicant in written and oral communications, team interaction and team leadership, and personal skills. The program is open government-wide so that members of other agencies may apply. All training activities occur within the Washington, D.C. Metropolitan area.

The SES CDP is an 18-month senior executive service leadership program for high caliber individuals at grades GS-14 or GS-15 (or equivalent levels) and is designed to provide a pool of graduates who can compete to fill SES vacancies. Upon completion of the program, candidates receive SES certification from the Office of Personnel Management. The program is based upon the design for an SES candidate development program as described in 5 CFR, Part 412. In addition, other components are included in the program to increase the learning experiences of the participants.

The candidates receive instruction in each of the following Executive Core Qualifications:

- Leading Change
- Leading People
- Results Driven
- Business Acumen
- Building Coalitions

Employees selected into the program, along with their supervisors, attend an intensive briefing and orientation. Participants are then expected to complete all of the following requirements:

- 3-weeks of core training that is focused on leadership. Capitol Hill issues and requirements, the legislative process and other factors;
- Leadership skills assessments and coaching sessions;
- Develop a leadership development program based on OPM requirements that must be approved by the Department's Executive Review Board (ERB);
- Attendance at SES Forums;
- Field trips to private sector companies to learning about how they lead their programs;
- Participation in the Department's Mentoring Program as both a mentor and mentee;
- A 120-day developmental assignment that may occur within the Department of Commerce or outside of the Department at another federal agency, private sector company or on Capitol Hill or within state or local government. The work in the developmental assignment must be executive in nature in order to comply with OPM requirements for certification;
- Completion of an action learning team project along with a presentation to the host client.

After completing the program and being certified by OPM, graduates may be non-competitively selected for an SES position as long as they meet the qualifications of the job assignment.

The Foreign Commercial Service maintains a Senior Officer Training Program that is offered to high caliber members.

Program Evaluation Methods used at the U.S. Department of Commerce

The Kirkpatrick approach to program evaluation is the gold standard at the U.S. Department of Commerce. In addition, we use a 6 point Likert scale in our surveys with 3 variations of "like" and 3 variations of "dislike." This prevents the survey taker from taking a neutral position and not providing us with a substantive opinion of the value of the program.

All courses conduct a Level 1 evaluation (smile sheet). Although some recent studies have put forth the theory that a Level 1 evaluation is more substantive than most give it credit, we continue the evaluation of our Leadership Development programs with surveys to the participants and their supervisors within 3-6 months after program completion. This enables us to reach a Level 3 evaluation.

In the alternate years, we conduct extensive triangulation of three different data collection methods. We employ both quantitative and qualitative data collection so that one data type validates the other data type. We conduct random interviews, focus groups randomly selected, and surveys of the program participants, their supervisors, and their second level supervisors. This triangulated data collection approach enables us to determine the organizational impact of the program to the operational side of the house. Of course, this information is always used to improve the program curriculum for our Leadership Development Programs.

The Kirkpatrick Four Levels™ Evaluation Model and LB&I New Hire Blended Learning – from IRS

I. The LMSB Operating Division

The Mission of the Large Business and International Division (LB&I) of the Internal Revenue Service (Formerly Large and Midsize Business Division) is to provide customers top quality service by helping them understand and meet their tax responsibilities and by applying the tax law with integrity and fairness to all. To accomplish this mission LB&I develops and implements measures that balance customer satisfaction, employee satisfaction and business results

The LB&I Vision is as follows:

- LB&I is a world class organization responsive to the needs of our customers in a global environment while applying innovative approaches to customer service and compliance.
- LB&I applies the tax laws with integrity and fairness through a highly skilled and satisfied workforce, in an environment of inclusion where each employee can make a maximum contribution to the mission of the team

The Large Business and International (LB&I) Division serves corporations, subchapter S corporations and partnerships with assets greater than $10 million, as well as taxpayers operating internationally. These entities typically have large numbers of employees, deal with complicated issues involving tax law and accounting principles, and conduct their operations in an expanding global environment.

The LB&I Division is organized into Headquarters and Field functions. The Field is organized into six major industry groupings and each is headed by a Director. The Field Specialists comprises the seventh grouping and supports the Industries.

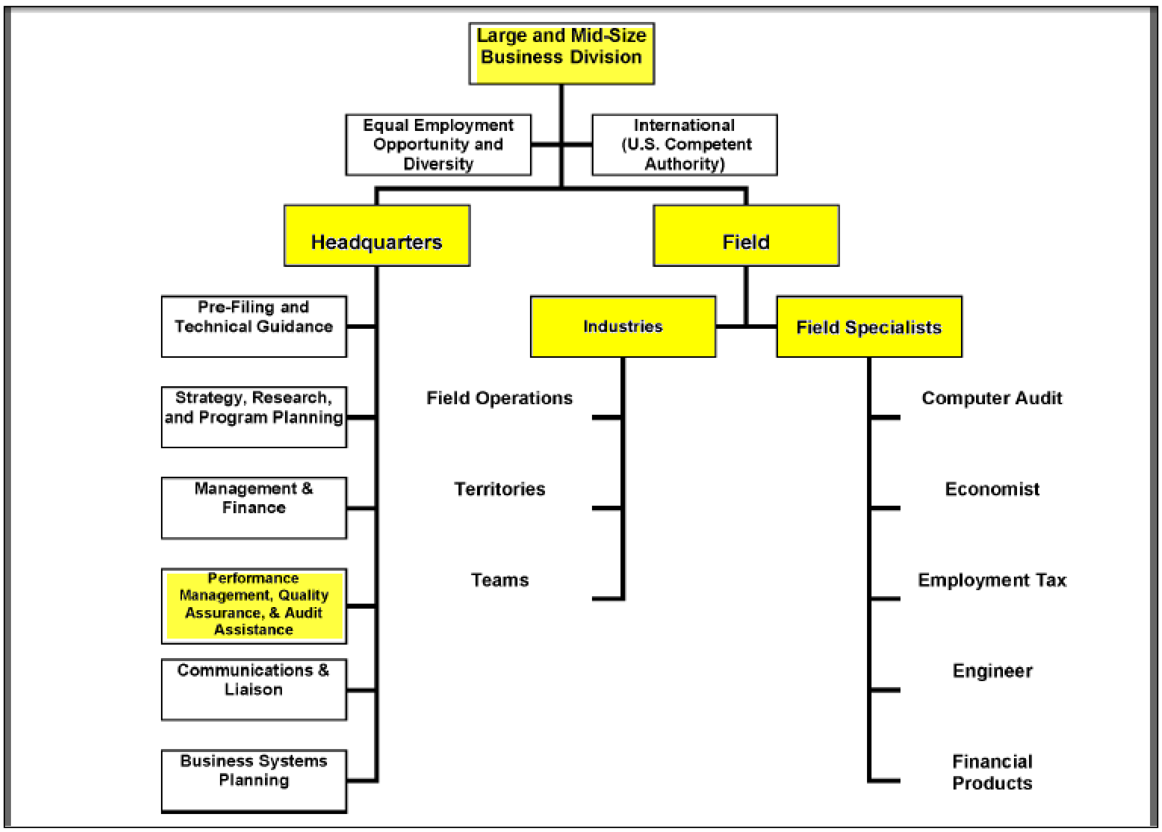
Within the LB&I Headquarters operations is the Office of Performance Management, Quality Assurance, and Audit Assistance. Its mission is to add value to the overall LB&I operation by providing all levels of the organization with assessments of operational effectiveness for in-process and closed examined cases, and by identifying and evaluating promising practices and success stories and promoting those practices among the industry groups.

To accomplish its mission, the Office of Performance Management, Quality (in addition to other activities) evaluates the quality of examinations to assess technical accuracy that is based on full factual development and with minimum burden to the taxpayer. It also ensures focus and adherence to the three balanced measures of Customer Satisfaction, Employee Satisfaction/Engagement, and Business Results and uses quality measurement data to provide guidelines and generate innovative quality improvements to the examination process and customer service

The LB&I field operation's mission is to support the Commissioner in the accomplishment of the LB&I mission by the administration of corporate tax laws, regulations, and procedures, and in compliance activities. To accomplish the LB&I mission, the LB&I Field:

- Conducts examinations of tax returns for corporations with assets exceeding $10 million U.S. Dollars in assets, and associated Flow-through and Partnership returns.
- Assists LB&I customers in understanding their tax responsibilities and complying with all tax laws and regulations.
- Administers all federal tax laws and tax treaty provisions applicable to LB&I customers through compliance checks and the examination of returns.
- Maintains professional knowledge of accounting principles, auditing standards, procedures, techniques, tax law, industry practices, and regulatory provisions and maintains the highest ethical standards of practice

The focus of this analysis is on the training of newly hired agents who are placed directly in field operations within one of the six major industries or field specialists. The direct contribution of the new hires is to the field operations mission and their effectiveness in carrying out their mission is measured by the Office of Performance Management, Quality Assurance, and Audit Assistance.



(* Please note, this organization chart for LMSB will soon be updated for the new LB&I Organization)

II. The LB&I Recruit Profile

LB&I recruits new hires who are experienced mid-career professionals. Typically an LB&I recruit has at least 5 years of professional experience in accounting and/or tax. As such, LB&I new hires begin their careers with the IRS at an above-full-working level pay grade.

LB&I's recruiting strategy supports a business plan that aims to position new hires in the work-stream as productive contributors as soon as possible. Often LB&I hiring is performed for specific compliance initiatives that have aggressive timelines and results objectives.

As mid-career recruits, it is anticipated that the new LB&I revenue agents possess core professional competencies in communication, decision making, data analysis, computer software applications, planning and scheduling, research, general tax law and accounting.

III. Limitations of the LMSB Legacy New Hire Training Model

The LB&I legacy new hire training consisted of the following progression:

1. 40-hours of pre-reads completed in the trainee's post of duty. The learners read IRS developed course materials on C-corporation tax law topics in a self-paced fashion.
2. 2-weeks of classroom training on C corporation tax law and financial statement and book-tax difference analysis. Classes consisted of about 25 students and 3 to 4 instructors who were typically LB&I revenue agents, team managers, or re-employed annuitants.
3. 26-weeks of on-the-job training (OJT) including approximately 100 hours of workshops on procedures. This phase also included the assignment of approximately 5 "training cases" which were examined under the guidance of a local on-the-job- instructor (OJI) and training manager. The OJI also delivered the workshops and performed case reviews and completed performance documentation. OJI's were typically selected by local team managers.

This training structure included the first two Kirkpatrick levels of evaluation. A standard IRS classroom level-1 was administered at the close of the 2-week classroom training event. A level-2 was conducted twice in the classroom training events via a "paper and pencil" test of chapter objectives for the C-corporation tax law topics. A level-2 was not conducted related to the audit techniques portion of the classroom training. Close to 100% of all attendees scored 70% or better on the paper and pencil tests.

The limitations in the legacy model were as follows:

Limitation 1: The legacy training lacked a terminal objective.

Each lesson in the 2-week classroom and the subsequent workshops contained objectives. Some of the objectives were tested in an attempted level-2 evaluation but there was no connection or logical progression to the training. This was especially problematic in the realm of procedural lessons.

Level-2 was not a real indicator of the knowledge attained by the student. Level-2 was only an indicator of the trainee's knowledge of certain tax law topics. Tax law is only a portion of a Revenue Agent's needed knowledge and skills in terms of important LB&I strategic behaviors. Therefore this level-2 did not provide a meaningful measurement. Also it lacked a logical progression in a means that would allow us to assess the effectiveness of transferring knowledge to behavior.

The question, “What do I need to do to be successful?” was not clearly answered. This question was not adequately answered for many new hires based on feedback both anecdotal and measured in the legacy training program. Many of the new hires come from private sector professions where there is a clear goal for success whether it is profitability, timely closing of books, timely completion of a tax return, or a successfully designed and completed transaction.

Many new hires would leave the training program and comment, “I get the tax law and other techniques you have shared, but what specifically do I need to do to be considered successful?” For an agency that is forbidden to use measuring criteria for an agent’s performance such as dollars collected per hour, there is no easy “bottom-line” to point to in measuring effectiveness.

Limitation 2: The legacy new hire training model and the LB&I recruit profile were divergent.

The Legacy training model was a “one-size fits all” model. The program presumed the training needs of all mid-career recruits were the same. In fact, there was often disparity in the specific training needs of recruit A and recruit B.

> Profile of Recruit A: Joe was previously employed for 8 years in the tax department of an accounting firm preparing tax returns, analyzing schedule M-3 book tax differences, and documenting tax workpapers. Joe is very knowledgeable in C corporation tax law, temporary and permanent book-tax differences, and contemporary LB&I tax policies. He has been engaged in the tax ramifications of transactions both domestic and global and has performed research; documenting and analyzing tax positions for his firm’s clients.
>
> Profile of Recruit B: April was previously employed for 5 years as an assistant controller in the financial accounting department of a large LB&I taxpayer. She is experienced with FASB Financial Accounting pronouncements, quarterly and annual SEC reporting requirements, cost accounting, and the financial accounting audit process. April possesses exceptional professional core competencies regarding written and verbal communication and computer software applications.

A rigid and non-agile “one-size fits all” training model cannot effectively anticipate or adjust to the specific training needs of both Joe and April. Additionally, LB&I recruits a substantial number of agents from the Small-Business Self-Employed operating division. An SBSE “cross-over” possesses a different skills-set and has different training needs than an external recruit.

A one-size fits all model also opposes the philosophy of recruiting at an above-full working level. The higher recruit salary is justified by the rationale that there is less training required and that the recruit is positioned to contribute to operational business plans sooner.

Limitation 3: On-the-job-training was inconsistent.

Subsequent to two weeks of classroom immersion, the trainees would return to their posts-of-duty and begin a 26-week on-the-job- phase. This positioned the new-hire with an inventory of training cases to audit under the coaching of a local on-the-job instructor.

The legacy training model weighted most of the training responsibility on the local on-the job-instructor and training manager. These individuals were responsible for delivering about 100 hours of local workshops on LB&I procedures and other case guidance. The local OJI also performed case reviews, case visitations, documented performance, and certified the new hire out of training.

The delivery of workshops was conducted locally. Though the content was developed nationally, the ultimate delivery lacked consistency in quality and message. In some cases new agents were isolated geographically and were unable to fully participate in workshops.

The on-the-job phase relied too heavily on the skills transfer of one OJI to their trainees. Generally, the OJI's were very capable and invested in the process. Too often, however, the OJI's are those agents who are expendable from case work, agents who are absent from the office due to work place flexibility, or who are not geographically local to the new hires.

Limitation 4: The auditing techniques training was delivered too early in the training schedule.

LB&I auditing techniques are methodologies that are "best practices" employed by agents auditing the books and records and analyzing transactions of taxpayers. These techniques are prescribed within the training context as means of identifying material issues through a systematic analysis of a taxpayer's books and records. They are the practices employed in identifying the largest, most unusual, and/or most questionable items and determining their allow-ability by the most effective and efficient means.

In the Legacy training model, this was taught in the classroom training phase in weeks 3 and 4 of the new hire's career. In most cases these techniques were taught to new employees who had yet to begin an audit. As such they had no foundation on which to build these best practice concepts. In many cases the new agents had financial accounting backgrounds and were unfamiliar with many of the tax specific schedules being discussed by the instructors. There was a fundamental opinion among class participant with financial accounting backgrounds that tax returns for the most part had to be correct.

Limitation 5: Economics.

The legacy training model was very labor intensive in its delivery. These labor hours are needed in direct exam time so that the organization can meet its business plan goals as set by Congress. Substantial hiring took place in fiscal year 2009 to compensate for the lack of attrition hiring in recent years. Also, a significant increase in hiring was identified for specific compliance initiatives.

But, sudden significant increases in hiring present the following challenge to LB&I: Funding is granted and the hiring is executed, but the business plan is not met due to the resource drain created by the hiring and training. As a result of not meeting the business plan, future funding is withheld. Over the long-term, this creates cyclical swings in hiring thus impacting the organization's stability and ability to meet compliance challenges. Stability and long-term effectiveness is created through continuous recruitment strategies and a stable training program that is agile in terms of adjusting to compliance initiatives.

In the legacy training program, each classroom of 25 hires would require four agents to come "off-line" for three solid weeks. Subsequently for every three hires, one on-the-job-instructor is pulled from case-work for an extended full-time period to deliver workshops, perform case visitations and reviews and document trainee performance.

Limitation 6: Did not promote a "Learning Organization"

In order to meet the demands of an increasingly technical and specialized occupation, new and existing LB&I revenue agents must be given maximum opportunity to pursue knowledge and skills. This goal is attained within the culture of a "learning organization." Re-engineering LB&I new hire training to a fully blended training format is a crucial first step in creating a "learning organization" culture for LB&I.

The foundation for initiating the new hire redesign is found in IRM 6.410 "Learning and Education":

> *IRM 6.410(1) "The overall goal of the IRS Learning and Education program is to enable the Service to become a learning organization…"*
>
> *(2) "In order to become a learning organization, training must become embedded in employees' daily activities and work tasks…Since classroom training has a limited capacity to address individual employee training needs, the Service must continue to promote the development and delivery of courses through non-traditional training methods such as e-learning as an alternative to classroom training,…"*
>
> *(3) "Benefits from transition to e-learning:*
>
> > *a. Fewer hours dedicated to instructor preparation and delivery*
> >
> > *b. More consistency in training*
> >
> > *c. Just-in-time, just enough training*
> >
> > *d. Potential for prescriptive, customized training*
> >
> > *e. Competency development accelerated*
> >
> > *f. Travel time reduced*
> >
> > *g. Expanded opportunities for training to a wider audience at no additional cost*
> >
> > *h. Fewer training funds used for training travel which provides opportunities to: 1) Reallocate funds to develop more learning solutions; and, 2) Create more efficient learning opportunities for more employees"*

IV. New Hire Training Design and Effectiveness Measures Balanced to LB&I Operational Goals

Training effectiveness in LB&I Learning and Education programs is measured by applying the Kirkpatrick Four Levels evaluation model. The Kirkpatrick model measures training effectiveness by analyzing training feedback in terms of:

- Reaction - Level 1;
- Learning - Level 2;
- Behavior - Level 3;

- Business Results - Level 4.

LB&I’s operational goal is to balance **customer satisfaction**, **employee engagement** and **business results**. Therefore, in terms of Kirkpatrick’s four levels, training programs within LB&I should ultimately measure training effectiveness at level 4 in terms of LB&I Balanced Measures. If training effectiveness measurements are not aligned to LB&I Balanced Measures then the fundamental objectives of such training are likely askew of LB&I operational goals.

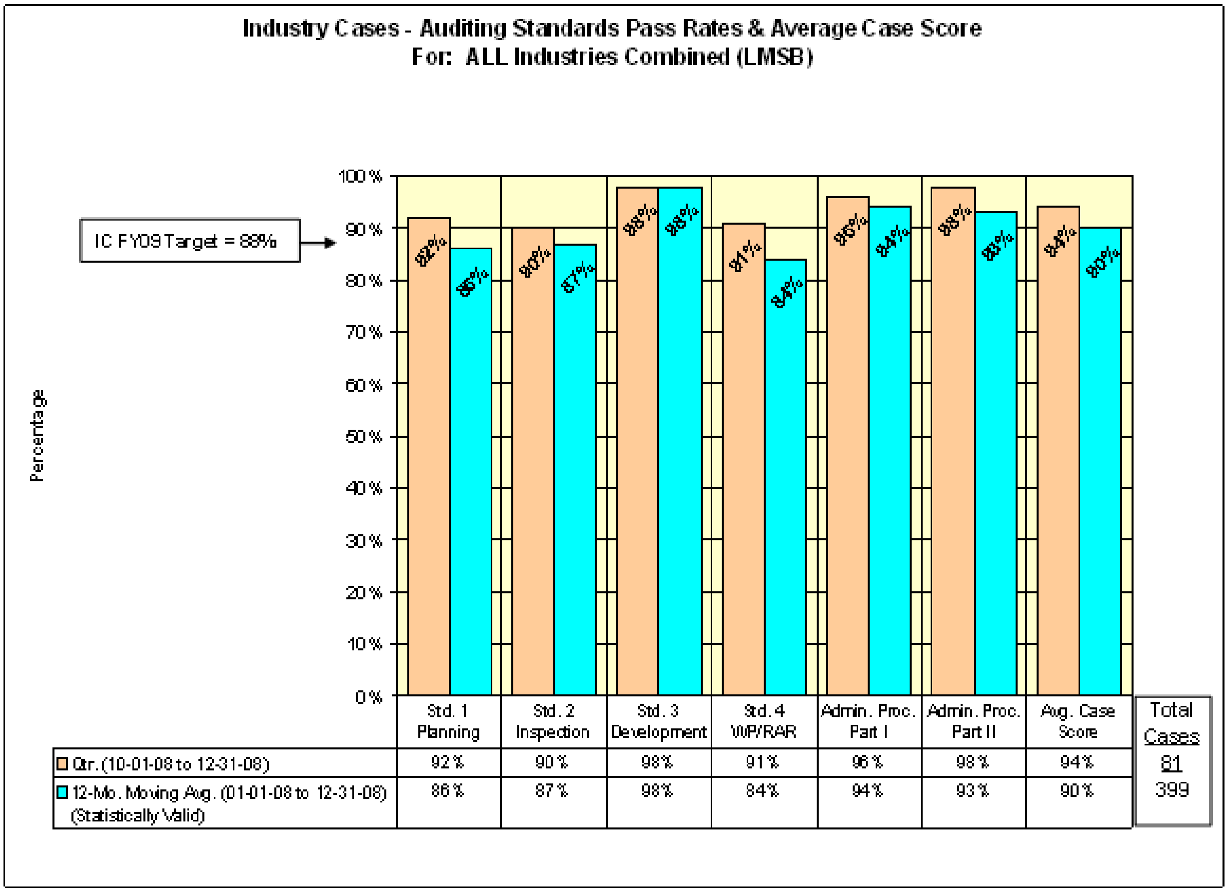
The LB&I New hire training design is a product of the LB&I operational goals. For purposes of training effectiveness measures, the LB&I operational goals are “business results” for level 4 evaluation within the Kirkpatrick model. By initiating the design with an eye toward the LB&I business operational goals (i.e. business results) and working back to the underlying course objectives, it was ensured that the objectives of the training program align to the LB&I strategic focus. As a result, redesigned new hire training clearly corresponds to LB&I strategic objectives in measurable terms.

The Quality Assurance process is part of LB&I’s Balanced Measurement System. LB&I Quality Measurement System (LQMS) reviews are performed to measure and evaluate the quality of examinations to identify required systems changes, training and educational needs, and improve work processes. LQMS provides a statistically valid measure of the quality of LB&I examinations at various levels of the organization such as DFO, Industry, Specialty, Program, or Division. Case quality improvement efforts are undertaken throughout LB&I, and are focused in areas identified by the data captured during LQMS reviews.

Case quality is measured by five Auditing Standards: Four Technical Auditing Standards and an Administrative Procedures Standard. Four technical standards are defined by elements and aspects representing components present in a quality examination. Administrative procedures essential to case quality are measured in the fifth standard. **The Quality Standards are LB&I’s strategic focus for balancing measures.**

For the period ended 12-31-2008, the quality review process resulted in the following quality scores for Industry cases in LMSB (figure 1: Industry Cases)

Figure 1: Industry Cases – Auditing Standards Pass rates and Average Case Score



This statistical data is gathered through the ongoing the quality review process; the LB&I Quality Measurement System. Quality reviewers inspect closed and in-process cases and determine quality pass rates via a standardized reviewers guide.

As a result of quality reviews conducted, guidance is given to management and technical personnel for specific steps to take for remedies or improvements. For example for 2008, the LQMS review staff provided the following direction for improving pass rates for standard 1 (*figure 2: Standard 1 – Planning the Examination*)

Figure 2: Standard 1 – Planning the Examination

"**Standard 1 – Planning the Examination (92%)**: There are five elements within this standard that warrant improvement.

➔ In order to improve this standard, Examiners must:

1. Ensure that the Officers/Shareholders/Key Executives tax returns are properly secured for inspection and that the case file includes documentation of inspection results…(**Element 1A1** – Was appropriate information considered in the pre-planning process?).

2. Ensure filing verification is made for prior and subsequent year tax returns, Officers/Shareholders/Key Executives returns, all other related returns, Employment Tax returns, Forms 5471/5472, and Form 5500s (Pension Plan filing verification is required when there is consideration for an Employee Plans referral to TEGE) (**Element 1A1** – Was appropriate information considered in the pre-planning process?).

3. Ensure that a 3-year comparative analysis is considered and fully documented. (**Element 1A1** – Was appropriate information considered in the pre-planning process?).

Since case quality, as measured by LQMS, is fundamental for LMSB's balanced measures, it is proposed that the Kirkpatrick Four Levels of Evaluation be structured as follows (*Figure 3: Quality Standards*)

Figure 3: Quality Standards

Quality Standards	Level 1	Level 2	Level 3	Level 4
1 – Planning	-->			
2 – Examination Techniques	-->			
3 – Issue Development	-->			
4 – Workpapers	-->			
5 – Administrative	-->			

In order to effectively align the four levels of evaluation with LB&I's strategic focus and thus Balanced Measures, the curriculum structure becomes a product of the evaluation levels. Using the in-place LQMS standards as the structure for the four levels of evaluation has the following benefits:

- The measured levels align directly to the LB&I strategic focus and Balanced Measures
- There is in-place quality review process for in-process and closed cases across activity code and specialization.
- Quality gaps are statistically identified and best practice guidance is provided for quality improvement and training improvements

V. New Hire Training Program Objectives

LB&I balances measures through "quality" examinations. Therefore, so that the new hire training design aligns with the LB&I strategic focus, the goal of the training program is to enable newly hired Revenue Agents to conduct a "quality" LB&I exam. As discussed in the prior section regarding level 4, "quality" is a defined and measured term in LB&I.

The terminal objective of the redesigned new hire training is: *"Upon completion of new hire training, you will be able to perform a "quality audit" in accordance with the LB&I strategic focus"*

Therefore, the enabling objectives that will be measured at levels 2 through 4 are:

1. Quality Auditing Standard 1.A. Initial Planning: By the end of this training, you will be able to: (Technical Standard 1)
    a. Document the case file indicating the consideration of appropriate information in the pre-planning process
    b. Identify material issues
    c. Prepare an initial risk analysis properly limiting the scope of the examination.
2. Quality Auditing Standard 1.B. Audit Plan: By the end of this training, you will be able to: (Technical Standard 1)
    a. Prepare an audit plan that A: reflects the scope and depth of the examination and, B: provides a realistic completion date and timeframes for issue development.
    b. Document planned audit procedures
    c. Demonstrate adequate taxpayer involvement
3. Quality Auditing Standard 2: Inspection & Fact Finding: By the end of this training, you will be able to: (Technical Standard 2)
    a. Demonstrate the use of appropriate audit procedures and exam techniques.
    b. Prepare clear and concise IDRs
    c. Demonstrate appropriate action to obtain sufficient information to develop the issues
    d. Demonstrate adequate taxpayer communication regarding an understanding of the facts for material issues.

4. Quality Auditing Standard 3.A. Application of law/tax determination: By the end of this training, you will be able to: (Technical Standard 3)
    a. Develop issues based on the facts obtained.
    b. Apply time that is commensurate with the complexity of the issues
    c. Demonstrate timely and effective communicate with other team members
    d. Demonstrate a reasonable interpretation application and explanation of the tax law based on the facts and circumstances.
    e. Apply penalties when warranted
5. Quality Auditing Standard 3.B. Mid-cycle Risk Analysis and 3.C. Issue Proposal/Resolution: By the end of this training, you will be able to: (Technical Standard 3)
    a. Prepare a mid-cycle risk analysis
    b. Demonstrate proper issue resolution
6. Quality Auditing Standard 4 Workpapers and Reports: By the end of this training, you will be able to: (Technical Standard 4)
    a. Prepare legible and organized workpapers
    b. Document exam activities using agent activity reports and quarterly narratives
    c. Prepare workpapers that adequately document the audit trail, techniques and conclusions
    d. Follow applicable report writing procedures
    e. Address factual and legal differences in the taxpayer's protest
7. Administrative Procedure: By the end of this training you will be able to: certify completion of administrative procedures per Part I and II of form 13327.

VI. The Redesigned Blended Learning Format

LB&I new-hire training was redesigned to improve upon the limitations enumerated in section III above.

1. **A meaningful terminal objective**. By beginning the design with desired business results (i.e. level 4); the LB&I New Hire training program now has a clear terminal objective. It is now clearly communicated to the new hire that the overarching goal of the training is to equip the trainee to perform a "quality audit" –specifically what they will need to achieve to be successful. As discussed above, a "quality audit' is a defined and measured term in LB&I. A "quality audit" is the LB&I strategic focus comprised of revenue agent mission critical behaviors for LB&I to balance measures.
2. Instead of one-size fits all classroom training curriculum, a **flexible blended learning model** was designed. The Legacy training model was a "one-size fits all" model. The program presumed the training needs of the mid-career recruit were the same. The new flexible blended learning model aims to provide a consistent quality training program that is flexible to individual training needs. Consistency is achieved through focusing on Quality Audit Standards. The standards establish guidelines for quality and consistency which are measurable. The standards follow

progression of audit and establish a natural progression or order of training curriculum. Flexibility is achieved through individual training plans and performance support job aids.

3. The flexible blended learning program was formatted around the LB&I "mission-critical behaviors" with the terminal objective of training the new hire to perform a "quality audit".
4. The new flexible blended learning design progresses in a logical manner following the LB&I strategic focus of the "quality auditing standards".
5. To meet the specific needs of the mid-career recruit, the flexible blended learning is a suggested format with few required learning events. The flexibility allows the new hire to fill training gaps on a "just-in-time" and "just-enough" basis.
6. Consistency of delivery is attained by centralizing on-the-job training. This is accomplished through the role of the Regional OJI. The regional OJIs guide the progress of the blended learning schedule and workshops and provide direction to local OJI's. Auditing techniques training is delivered in Centra sessions by the regional OJI's while the new hires are beginning work on their training cases. It is delivered again in a "capstone" event after the new hire has enjoyed successes and confronted challenges in their on-the-job cases.
7. A dynamic career development plan with the assistance of a local OJI and Training Manager guides the process of identifying training gaps and filling them with appropriate training events. This assessment is continual and occurs over a 12 month period as the new-hire becomes acquainted with the LB&I strategic focus through auditing training cases.

VII. Levels of Evaluation

A. Level I: Reaction

A standard level 1 reaction sheet is administered during the first 11 weeks of the regional OJI sessions. It is administered four times upon completion of the first four Quality Auditing Standards. Per the training schedule, training for Quality Standard 1 is completed by the end of week 3. At this point, a level 1 is administered. Subsequently, a level 1 evaluation for standard 2 through 4 is administered as each topic is completed.

As a result of level 1 feedback from the initial hiring waves in 2009, the 11-week schedule was adjusted to a 22-week schedule. The schedule at exhibit C is an example of the initial schedule before it was adjusted to 22-weeks.

Summary data from level 1 feedback is as follows:

- The feedback rated the blended learning on item 40 "**Training Environment**" with 70% of respondents being satisfied or very satisfied. Over 90% of respondents are neutral, satisfied, or very satisfied.
- The feedback rated the blended learning on item 41 "**This training overall**" with 70% of respondents being satisfied or very satisfied. Over 90% of respondents are neutral, satisfied, or very satisfied.
- The feedback rated the blended learning on item 42 "**Instructors Overall**" with 80% of respondents being satisfied or very satisfied. Almost 100% of respondents are neutral, satisfied, or very satisfied.

B. Level 2: Learning

Between weeks 1 and 26 each new hire begins five training audits as part of their on-the-job training. These training audits are conducted with the support of a local on-the-job instructor and under the guidance of a Regional on-the-job instructor.

Local OJI's and training managers perform in-process and closed case reviews of training cases. The in-process and closed case reviews are utilized for level 2 evaluations.

The manager, agent's peer, or regional OJI perform a review per a check sheet that mirrors the actual quality reviewer's guide and supports the first four enabling objectives that are based on the 4 Quality Audit Standards.

As discussed in part III above, in the legacy training model, level 2 was conducted via a "pen and paper" test. The level 2 tested learning only in terms of tax law comprehension. Per the LB&I Quality Audit Standards which equates to the LB&I strategic focus, tax law knowledge is only a part of an LB&I Revenue Agents job. Therefore, the legacy level 2 was not effective in measuring learning of how to perform a "quality audit". Level 2 in the redesigned flexible blended learning model now measures the extent to which the new hires learn of the LB&I Quality Audit Standards and therefore it aligns to the LB&I balanced measures.

Rather than a pen and paper test, a check sheet of observed performance is used to measure at level 2 in the redesigned LB&I new hire training. Based on over 15 years experience in corporate testing with more than 30 companies and organizations worldwide, Sharon Shrock and Bill Coscarrelli present key areas in the CRT planning and developing process in their text Criterion-Referenced Test Development, Technical and Legal Guidelines for Corporate Training and Certification. Regarding level-2 testing, they suggest that check sheets are the most effective format as follows:

"Once the behavior (or final product) has been analyzed to define the essential characteristics of worthy performance, the next step is the creation of a rating scale to support a final evaluation. There are basically four types of rating scales: Numerical, Descriptive, Behaviorally Anchored, and Checklists. Of these four …the Checklist is generally more reliable

Checklists are constructed by breaking a performance or the quality of a product into specifics, the presence or absence of which is then "checked" by the rater. Checklists may also have what are sometimes termed "negative steps" in them. These negative steps represent what should not be found, for example, "no extraneous holes in the wall" when evaluating hanging a picture.

Checklists tend to be the most reliable of all rating scales because they combine descriptions of specific behaviors or qualities with a simple yes or no evaluation from the rater. The checklist radically reduces the degree of subjective judgment required of the rater and thus reduces the error associated with observation."

An analysis of level 2 in-process and closed case reports received from training managers as of November 23, 2009 was performed. Though primarily reviews of in-process cases; level 2's received indicate that performance is very high and that the new hires are "learning" the quality standards.

Though overall a very low percentage, two items are noted as most often missed:

1. Standard 1a. Initial Planning, “Consider filing/compliance requirements”
2. Standard 2 Inspection and Fact Finding, “Reconciles books to return”

Follow-up is being performed to make sure these areas are adequately covered in the flexible blended new hire training.

C. Level 3: Behavior

Within the first 26 weeks of the new hire’s career, they will have substantially completed the flexible blended learning training. They also will have substantially progressed in their on-the-job case inventory. The new hire will have had the opportunity to participate in level 1 evaluations and will have received level 2 evaluative feedback on their in-process and closed training cases. After week 26, the new hire will continue to complete their training inventory; complete blended learning events, and will have the opportunity to work with an experienced agent in an apprentice role.

The LB&I New Hire blended learning is designed to more efficiently and effectively mobilize the pre-existing training and skills of recruits that are hired at an above-full-working-level. Mid-career recruits join LB&I with a variety of professional skills and experiences requiring that LB&I have a strategy that trains to the specific needs of highly specialized occupation. LB&I has conceptualized away from a traditional “one-size fits all” front-loaded training program toward a “just-in time” and “just-enough” blended learning format with a back-end capstone.

Per the analysis above, the first year of a new hire’s occupation is dedicated to learning LB&I’s strategic focus for audits while progressing through various training events and on-the job case work. Throughout, they are coached to self-assess additional training and development needs to bridge gaps. After week 26, the new hire is well positioned to actively participate in a capstone event.

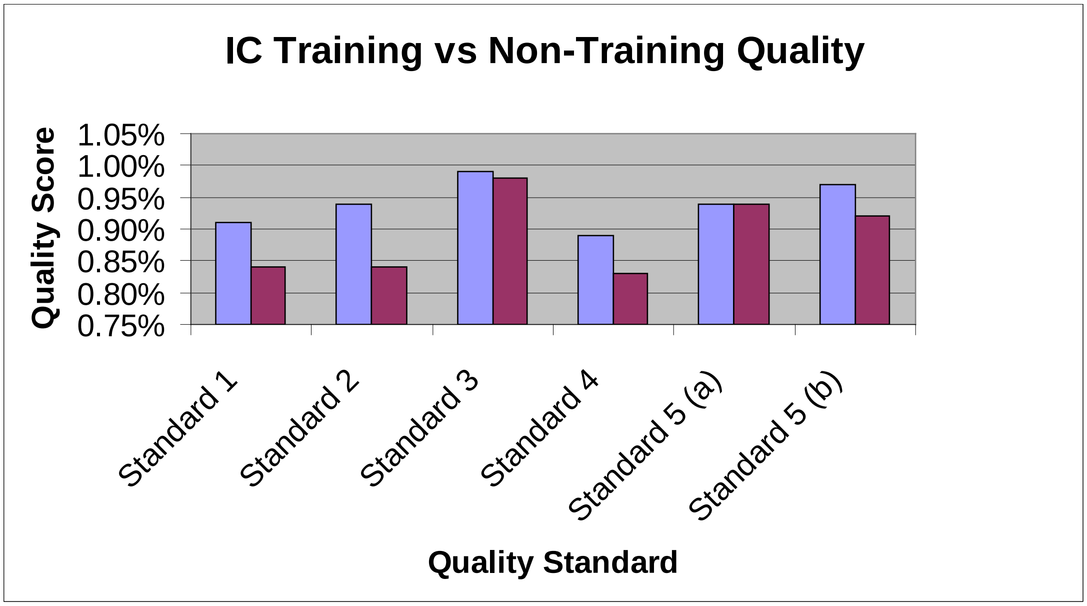
The capstone format will include various activities including; LB&I audit techniques, socialization, career development, Level III evaluation, graduation and executive closeout. The training events will be centralized; convening large groups of new hires in convention style training.

The capstone event is currently being delivered with a high degree of favorable feedback. A primary purpose for convening the new hires in a face-to-face event is for administering a level 3 evaluation. To remain aligned to the LB&I strategic focus level 3 will evaluate behavior in terms of the Quality standards. Trainees participate in a live focus group interview utilizing a level 3 check sheet.

D. Transferring Learning to Behavior

Analysis of the legacy training model indicates that learning was not transferring to behavior. Analysis of quality reviews of training and non-training Industry Cases was obtained from LQMS. *Figure 4: Figure 4: IC Training vs Non-Training Quality*, illustrates that training outscores non-training cases in terms of the quality standards in 2008.

Figure 4: IC Training versus Non-Training Quality



It is probable that the training cases scored higher because the trainees were under the guidance of an OJI and training manager and had to perfect their cases before they were closed.

To ensure that learning at level 2 transfers to behavior at level 3, a Career Learning Plan (CLP) facilitates the new hire's training needs inventory as gaps are identified. It is first introduced to the trainee in the early stages of training. Ultimately, after level 3 in the Capstone event, the trainee will receive additional guidance on updating their CLP for items that they identify as not having obtained sufficient training. As they depart the Capstone event, they will do so with an updated CLP with specific training events listed in their training plan. The trainee will meet with their training manager after Capstone to close-out the new hire phase and agree on timing for completion of CLP training.

VIII. Next Steps

From the level 1 and 2 evaluation, a number of adjustments are being made:

- The original 11-week Centra sessions schedule was determined to be too ambitious. It also did not track the progress of live case work as was initially intended. Therefore, the initial 11-week schedule is now delivered over 22-weeks.
- Auditing techniques are now added to the Centra sessions delivered by the Regional OJIs during the first 22 weeks. Though this was initially intended, the techniques were not adequately developed for the initial versions of the flexible blended learning Centra sessions.
- The Capstone event was originally scheduled for delivery after week 52 of the New Hire Blended learning schedule. For future hires, the capstone face-to-face event will be offered closer to week 26.

- Training Managers and Local OJI's need continuing briefings on the blended learning design and their specific roles including the Career Learning Plan and Level 2 review check sheets.

APPENDIX A

Office of Personnel Management Regulations

Regulations Related to Training Planning and Alignment

1. **Responsibilities of the head of an agency.** Agency employee developmental plans and programs should be designed to build or support an agency workforce capable of achieving agency mission and performance goals and facilitating continuous improvement of employee and organizational performance. In developing strategies to train employees, agency heads or designees must (From 5 CFR Part 410):
    a. Establish training policies
    b. Establish priorities and budget for training programs
    c. Develop and maintain plans and programs that:
        i. Identify mission-critical occupations and competencies
        ii. Identify workforce competency gaps
        iii. Include strategies for closing competency
    d. Evaluate plans and programs
2. Includes a staff that has the skills and competencies required for partnering with executives and managers in strategic planning (from 5 CFR Part 250)
3. Alignment with other human resource functions: Training programs should be integrated with other personnel management and operating activities…to the maximum possible extent (from 5 CFR Part 410)
4. Assess periodically, but not less often than annually, the overall agency talent management program to identify training needs within the agency (From 5 CFR Part 250).
5. The agency has a system in place to continually assess and improve human capital planning and investment and their impact on mission accomplishment (From 5 CFR Part 250)

Regulations Related to Training Execution and Follow Up

6. Agencies must use a full range of options to train employees such as (From 5 CFR Part 250):
    a. Classroom training
    b. On the job
    c. Technology based
    d. Satellite
    e. Coaching

f. Mentoring

g. Career development counseling

h. Details

i. Rotational assignments

j. Cross training

k. Retreats

l. Conferences

7. The agency has a continuous learning system that (From 5 CFR Part 250):
   - Aligns employee performance plans and organizational goals (Level 3 and 4 alignment)
   - Focuses employees on achieving results (Level 4)
   - Requires employee performance plans to include performance elements (expectations) with measurable standards of performance.
8. A training evaluation system has been implemented which measures the impact of training at the following levels (From 5 CFR Part 250):
   - Did learning occur?
   - Was learning applicable to job performance or other behavior that is important to the organization and to results?
   - Did the employee apply the learning or behavior to his/her job or work environment?
   - If the employee applied the learning, did it have the expected impact on performance or other job-related behavior?

   An analysis has been conducted of the evaluation results and this information is used to make decisions about investments in employee training and development. Generally, the evaluation indicates that training and development investments are making a positive impact on the organization's performance and/or work environment and meet the training goals and expectations established between supervisors and employees prior to participation in training.
9. The head of each agency shall, on a regular basis (1) evaluate each program or plan established, operated, or maintained with respect to accomplishing specific performance plans and strategic goals in performing the agency mission, and (2) modify such program or plan as needed to accomplish such plans and goals (From 5 CFR Part 410).

Regulations Related to Training Reporting and Demonstration of Value to Mission Accomplishment

10. The HR staff measures and communicates the value of products and services it provides through feedback mechanisms (From 5 CFR Part 250)
11. Agencies must evaluate their training programs annually to determine how well such plans and programs contribute to mission accomplishment and meet organizational performance goals (From 5 CFR Part 410)

APPENDIX B

Effective Training Versus Training Effectiveness

Effective Training

Effective training is training that fulfills Level 1 and 2 expectations. Meaning, the participant reaction to the training is favorable, and desired learning has occurred.

Common Measurements of Effective Training
• Number of courses held • Number of training attendees • Catalog of available courses • Reaction sheet data • Pre and posttest scores

Unfortunately, the first three measurements have little to do with whether or not the training was effective. They primarily serve to show resources consumed by the training effort. The latter two measurements provide data about the effectiveness of training.

While it is imperative to delivering effective training, it alone is insufficient to bring about significant employee development or mission accomplishment. This is because as little as 15% of what is learned in formal training is applied to the job (Brinkerhoff, 2006). Such a low rate of application will not bring about the accomplishment of mission goals and objectives. Because of this fact, many organizations are not impressed with data related to effective training alone.

Training Effectiveness

Training effectiveness is application of what is learned on the job to yield measurable results that directly contribute to accomplishment of the agency goals and ultimate mission. This contribution can be measured and reported to show the correlation of training to accomplishment of agency mission. This relates to Kirkpatrick Level 3 Behavior and Level 4 Results.

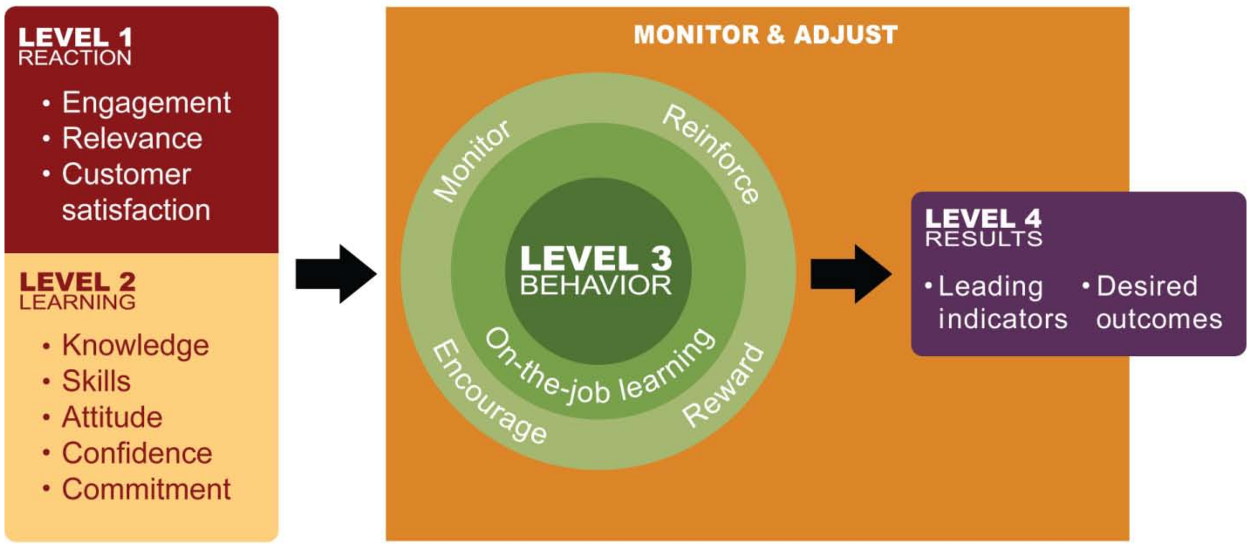
The ultimate purpose of training is to bring about targeted agency results. Training evaluation provides the methodology and tools to make informed decisions to that end. The training industry worldwide tends to focus more on effective training than training effectiveness. This propensity has placed the training industry under great scrutiny, with organizations demanding to know what value training brings to the ultimate mission. Training professionals have been formally or informally charged with creating training effectiveness and moving beyond simply providing effective training.

Common Measurements of Training Effectiveness
• Rate of on-the-job application of new skills • Progress towards preliminary goals • Accomplishment of ultimate goals or mission, as related to performance of specific behaviors on the job

APPENDIX C

The New World Kirkpatrick Four Levels™

New World Kirkpatrick Four Levels™



In 2010 the Kirkpatrick Four Levels were redesigned to more completely explain the elements at each level. The New World Four Levels diagram was created to show visually the impact of each level on producing organizational-level results.

Level 1: Reaction

In addition to the original measurement of customer satisfaction, the following two dimensions are added:

Engagement: To what degree participants are involved and interested in the learning intervention

Relevance: To what degree the content of the learning intervention is applicable to the jobs of the participants

Level 2: Learning

In addition to the original measurement of knowledge, skills, and attitudes imparted during the learning intervention, the following two dimensions are added:

Confidence: To what degree training participants feel confident to apply the newly obtained knowledge and skills on the job

Commitment: To what degree training participants commit that they will apply newly obtained knowledge and skills on the job

Level 3: Behavior

Level 3 Behavior is supplemented by the addition of required drivers and on-the-job learning:

Required Drivers: processes and systems that reinforce, monitor, encourage and reward performance of critical behaviors on the job

Activation of required drivers has been identified as one of the biggest indicators of success for any initiative.

On-the-Job Learning: ongoing self-education on the job by the training graduate (sometimes referred to as informal learning)

Level 4: Results

Level 4 Results is supplemented by the addition of Leading Indicators:

Leading Indicators: short term observations and measurements that suggest that critical behaviors are on track to create a positive impact on the desired results

Presence of leading indicators has been identified as one of the keys to a successful initiative.

Monitor and Adjust

Performance improvement is a process, not an event. Behaviors and required drivers should be monitored on a regular basis to ensure that the training is being applied on the job. Leading indicators should be monitored to ensure that the correct critical behaviors were selected: if behaviors are being performed reliably and leading indicators are not showing positive movement towards desired results, the plan needs to be adjusted.

Necessities for Success

In the new world model it was also recognized that there are very large, organizational realities that impact the success of any initiative. These things must be addressed before the initiative begins so it has a chance of success:

Necessities for Success: prerequisite items, events, conditions, or communications that help head off problems before they reduce the impact of any initiatives

APPENDIX D

Business Partnership Foundational Principles

The end is the beginning.

Effective training evaluation begins before the program even starts. Don Kirkpatrick says it best on page 26 of *Evaluating Training Programs: The Four Levels (*1st Edition, Berrett-Koehler, 1993):

> "Trainers must begin with desired results and then determine what behavior is needed to accomplish them. Then trainers must determine the attitudes, knowledge, and skills that are necessary to bring about the desired behavior(s). The final challenge is to present the training program in a way that enables the participants not only to learn what they need to know but also to react favorably to the program."

It is important that the results are defined in measurable terms, so that all involved can see the ultimate destination of the initiative. Clearly defined results will increase the likelihood that resources will be most effectively and efficiently used to accomplish the mission.

Attempting to apply the four levels after a program has been developed and delivered makes it difficult, if not impossible, to create significant training value. All four levels need to be considered at every step in the program design, execution, and measurement.

Return on expectations (ROE) is the ultimate indicator of value.

When executives ask for new training, many learning professionals retreat to their departments and start designing and developing suitable programs. While a cursory needs assessment may be conducted, it is rarely taken to the point that expectations of the training contribution to an overall business/organizational initiative are completely clear.

Stakeholder expectations define the value that training professionals are responsible for delivering. Learning professionals must ask the stakeholders questions to clarify and refine their expectations on all four Kirkpatrick levels, starting with Level 4 Results. This is a negotiation process in which the training professional makes sure that the expectations are satisfying to the stakeholder, and realistic to achieve with the resources available.

Once stakeholder expectations are clear, learning professionals then need to convert those typically general wants into observable, measurable success outcomes by asking the question, "What will success look like to you?" Those outcomes then become the Level 4 Results; the targets to which you can sharply focus your collective efforts to accomplish return on expectations.

Business partnership is necessary to bring about positive ROE.

Research has validated that training events in and of themselves typically produce about 15% on-the-job application. To increase application and therefore program results, additional actions need to happen before and after formal training. Historically, the role of learning professionals has been Levels 1 and 2, or just the training event. Not surprisingly, this is why many learning professionals spend almost all of their time there.

The production of ROE, however, requires a strong Level 3 execution plan. Therefore, not only is it critical to call up on business partners to help identify what success will look like, but also to design a cooperative effort throughout the learning and performance processes in order to maximize results.

Before training, learning professionals need to partner with supervisors and managers to prepare participants for training. Even more critical is the role of the supervisor or manager after the training. They are the key people to reinforce newly learned knowledge and skills through support and accountability. The degree to which this reinforcement and coaching happens directly correlates to improved performance and positive outcomes.

Value must be created before it can be demonstrated.

Research suggests that as much as 90% of training resources are spent on the design, development, and delivery of training events that yield 15% on-the-job application (Brinkerhoff, 2006). Reinforcement that occurs after the training event produces the highest level of learning effectiveness, followed by activities that occur before the learning event.

Currently learning professionals are putting most of their resources into the part of the training process that produces the lowest level of business/organizational results. They are spending relatively little time in the pre-training and follow-up activities that translate into the positive behavior change and subsequent results (Levels 3 and 4) that organizations seek.

Formal training is the foundation of performance and results. To create ultimate value and ROE, however, strong attention must be given to Level 3 activities. To create maximum value within their organizations, it is therefore essential that learning professionals redefine their roles and extend their expertise, involvement, and influence into Levels 3 and 4.

A compelling chain of evidence demonstrates your bottom line value.

The training industry is on trial, accused by business leaders of consuming resources in excess of the value delivered to the organization.

Following the business partnership foundational principles and using the four levels will create a chain of evidence showing the business/organizational value of the entire business partnership effort. It consists of quantitative and qualitative data that sequentially connect the four levels and show the ultimate contribution of learning and reinforcement to the organization. When workplace learning professionals work in concert with their key business partners, this chain of evidence supports the partnership effort and shows the organizational value of working as a team to accomplish the overall mission.

The chain of evidence serves to unify the learning and business functions, not isolate training or set it apart. This unity is critical for Level 3 execution, where organizational value is produced.

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