



COMDTINST 1550.23
JUL 28 1998

COMMANDANT INSTRUCTION 1550.23

Subj: TRAINING EVALUATION POLICY

Ref: (a) Management of the Coast Guard's Training System, COMDTINST 1550.9
(b) Training and Education Manual, COMDTINST 1500.10B

1. PURPOSE. This instruction establishes policy, responsibilities, and procedures for evaluations associated with Coast Guard training. This policy: (a) defines four levels of training evaluation to be used by the Coast Guard, (b) requires effective communications concerning evaluations among the Coast Guard Institute, Program Managers, (G-WTT), and Training Providers, and (c) establishes a standardized process for distributing information gained from external evaluations. The term "Training Providers" in this instruction refers to any source of training delivery to Coast Guard members (e.g., Coast Guard Training Centers, Coast Guard-contracted training vendors, and other government training agencies).
2. ACTION. Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel, and special staff offices at Headquarters shall ensure compliance with the provisions of this directive.
3. DIRECTIVES AFFECTED. This instruction supersedes evaluation procedures outlined in COMDTINST 1550.9, Enclosure 4.
4. BACKGROUND. The Coast Guard currently sponsors over 700 resident and non-resident training courses. This instruction provides standard, consistent evaluation procedures for formal training at all levels in the organization. Evaluation of training provides information to improve training courses and make better decisions on whether to continue, expand, or eliminate training activities. Historically, evaluation methods have varied among Training Providers. Moreover, information received from evaluations was not consistently communicated to Program Managers or to (G-WTT). Using a standard methodology and bringing together Training Providers, (G-WTT) Training and Performance Consultants and Program Managers will ensure that all courses receive regular, systematic review and meet the Coast Guard's needs.

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5. DISCUSSION. Consistent with the DOT's Training Evaluation Guide, the Coast Guard is adopting a four-level evaluation model (Reaction, Learning, Behavior, and Results) pioneered by Dr. Donald Kirkpatrick. The levels are assessed in sequential order; each level provides valuable feedback on distinct aspects of the linkage between training and performance. Levels 1 and 2 are internal to Training Providers and directly affect design, development and administration of training courses. Levels 3 and 4 are external to Training Providers and focus on performance. They provide information on transfer of training to the job and help define the return on training investment. A fuller explanation of the four levels is included as enclosure (1).
6. FORMS. The Coast Guard Institute shall use standard evaluation forms for Trainee and Supervisor Surveys. These are included as enclosure (2). They may be made electronically available for completion and processing.
7. RESPONSIBILITIES. The Director of Reserve and Training (G-WT) provides overall guidance for evaluation of Coast Guard training. This instruction establishes general guidelines for evaluation. For internal evaluation (levels 1 and 2) the instruction requires an evaluation process but not the format. For external evaluation (level 3) this instruction specifies a standard survey to provide efficiency and consistency in widespread data collection and processing. For external evaluation (level 4) no specific procedures are adopted. The Coast Guard Institute will serve as the distribution and processing center for level 3 evaluations.

1. Internal Evaluations

- (1) Level 1 ("Reaction") - determining trainee reaction to the training course and environment. Training Providers are responsible for designing and administering level 1 surveys IAW the following guidelines:
 - (a) First determine what information is needed. Identify the goals of the evaluation. IAW the following guidelines:
 - (b) Design a form that captures needed information while minimizing the time required to complete and evaluate the forms.
 - (c) Encourage written comments and suggestions. Even the best "check the box" survey gives limited information. An opportunity for additional comments helps catch important feedback that may otherwise be missed.
 - (d) Afford adequate time for responses. Once training is complete trainees are ready to leave. Surveying at the very end of the training may not promote well-thought out responses.

- (e) Anonymous or signature optional surveys can help ensure response accuracy. out responses.
 - (f) Develop reasonable standards for course evaluations and measure the results against those standards.
 - (g) Appropriately use and communicate the evaluation results. Establish a distribution process that disseminates the information to everyone that needs it and provides suitable confidentiality.
- (2) Level 2 ("Learning") - determining the extent to which training changed attitudes, increased knowledge, and improved skills. Training Providers are responsible for designing and administering level 2 surveys IAW the following guidelines:
- (a) Measure before and after training. Comparing students' pre-course status to post course knowledge, skill and attitude data helps shape course content and structure. For example, if a significant number of trainees already have the required skills and knowledge prior to the course, then terminal performance objectives (TPOs) may need to be revised.
 - (b) Use criterion reference standards (measured against a standard) versus norm reference standards (measured against the rest of the trainees). The standards should be based on the actual knowledge, skill and attitude for successful job performance.
 - (c) Ensure TPOs are used as the basis for evaluation questions. successful job performance.
 - (d) Use performance based testing where applicable.
 - (e) Use and communicate the results appropriately.

2. External Evaluations

- (1) The level 3 instrument is an indicator or "dashboard gauge" to help identify areas requiring more in-depth analysis of the transfer of training to behavior. Unlike level 2, level 3 does not simply indicate Training Provider success. Level 3 may identify constraints and barriers to training transfer that occur after Training Providers have delivered the desired training. Level 3 instruments develop data for the following questions:
- (a) Is the task, for which training was provided, performed on the job?
 - (b) How confident are trainees in their ability to perform the tasks?
 - (c) How often do the trainees perform the trained for tasks?
 - (d) Could on-the-job training meet the needs of the trainee or is formal training required?

(e) Other comments? (open ended questions)

(2) Level 3 ("Behavior") - measuring the transfer of skills, knowledge and attitudes to the job. This evaluation requires coordination between Training Providers, (G-WTT), Program Managers, Units, and the Coast Guard Institute. The responsibilities, process, and instrument are as follows:

(a) Training Providers shall:

1. Ensure each of their courses have valid TPOs based on job requirements identified by Program Managers. Without valid, specific TPOs the evaluation will not work. Affective courses, such as leadership, must also define the objectives submitted for measurement.
2. Ensure the Institute is provided with a current list of performance indicators that reflect the course TPOs. A single performance indicator may encompass several TPOs and should be worded to clearly capture the expected on-the-job performance.
3. Forward course completion forms (CGI-6100) and performance indicators to the Institute. These forms target graduates of the course and supervisors at six-month intervals after course completion. Exceptions to the six-month interval may be approved by (G-WTT) when appropriate.
4. Review and analyze Institute reports. Consult with (G-WTT) and Program Managers on areas requiring further analysis.

(b) The Coast Guard Institute shall:

1. Maintain a database of graduates and course completion dates. Use this data to survey graduates and supervisors six months after course completion or as otherwise directed by (G-WTT).
2. Use the performance indicators from the Training Providers to develop surveys using the standard form included as appendix A.
3. Distribute surveys to course graduates and their supervisors. included as appendix A.
4. Develop statistical reports using frequencies and comparisons between graduates and supervisors. (G-WTT) and Training Providers will provide input on standards and criteria that will form the framework for the reports. These standards and criteria target objectives and courses requiring further review.
5. Maintain a database of statistical reports and forward copies annually to (G-WTT), Program Managers, and Training Providers.

(c) (G-WTT) shall:

1. Manage the level 3-evaluation process. (G-WTT) will coordinate this phase and is responsible for ensuring Program Managers and Training Providers are provided current, accurate feedback on courses of concern to them.
2. Ensure TPOs reflect the business needs identified by Programs.
3. Review reports for each course for indicators to determine when further analysis is needed.
4. Analyze trends and provide more detailed follow-up with Training Providers and Program Managers.
5. Work with Training Providers, Program managers, and the Institute to develop appropriate criteria for gauging the effectiveness of each course.

(d) Program Managers shall:

1. Identify and communicate on the job performance needs to (G-WTT) and Training Providers. Performance needs drive the development of TPOs.
2. Review statistical reports, identify outdated or redundant TPOs and courses relating to specific programs.
3. Revise or delete TPOs that are not responsive to Coast Guard performance needs.
4. Work with (G-WTT) and Training Providers to update and align courses with evolving performance needs.

(e) Commanding Officers shall:

1. Ensure course graduates and supervisors of graduates complete and return level three surveys.

(3) Figure 1 below shows the level-3 process for existing courses.

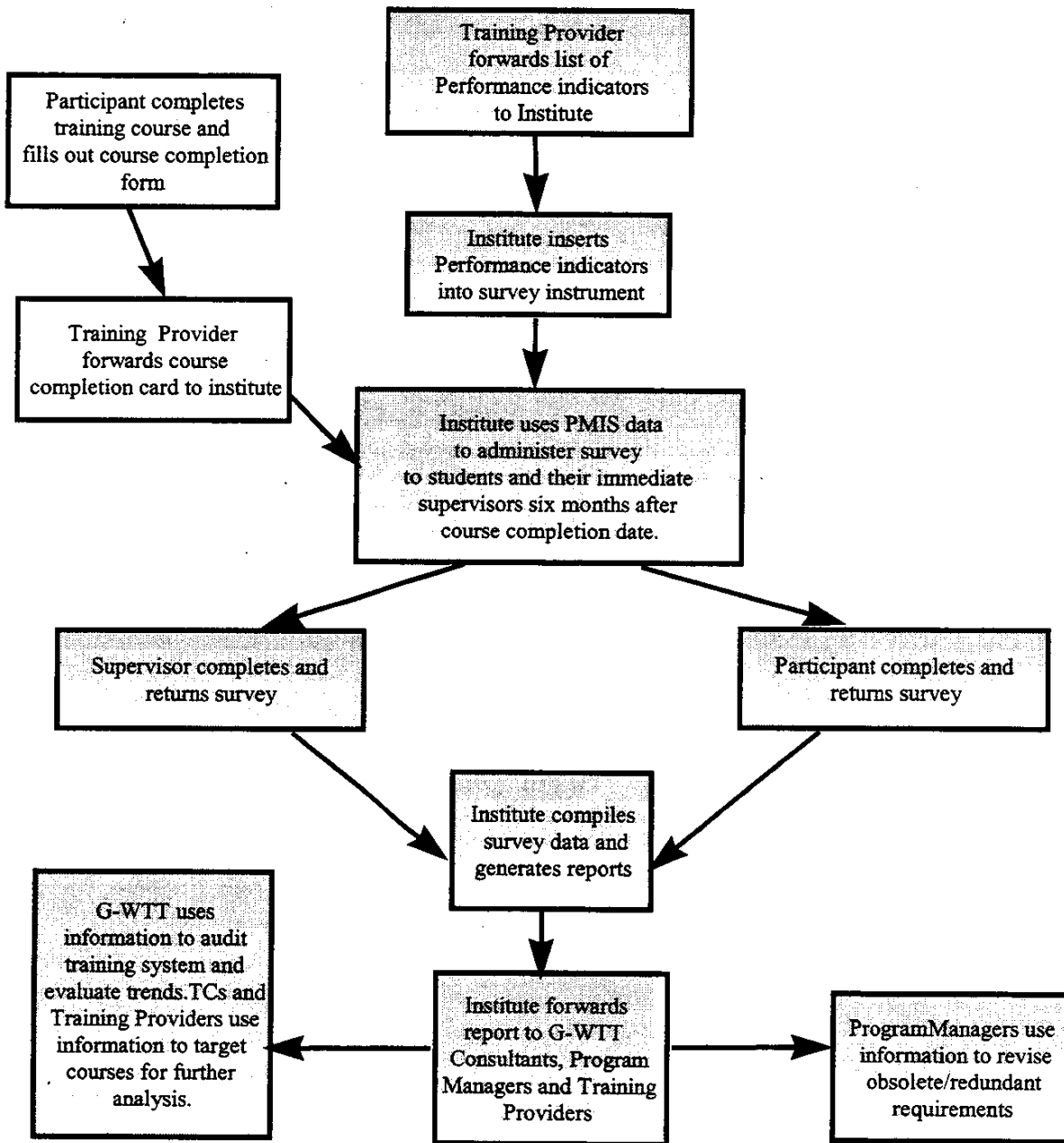


Figure 1. Level 3 Evaluation Process for Existing Courses

(4) Level 4 ("Results")--. Level 4 evaluations determine what organizational benefits result from training activities.

(a) Program Managers will work with (G-WTT) to identify specific organizational performance goals that depend upon training interventions.

- (b) Programs and (G-WTT) will identify performance indicators that measure training program effectiveness.
 - (c) Analysis of data will be reviewed jointly by G-WTT and Program Managers for impact assessment.
- (5) Advanced education will be evaluated annually following the guidelines of COMDTINST 1524.1

/S/ T.J. BARRETT
Director of Reserve and Training

- Encl: (1) Description of the Four Levels of Evaluation
(2) Trainee Survey Form
(3) Supervisor Survey Form

FOUR LEVEL EVALUATION MODEL (KIRKPATRICK)

Level 1 – Reaction

This first level measures the trainee's reactions to and opinions about the training course. This basic level gives feedback to the Training Provider on the learning environment and lets trainees know that their comments and concerns are important. Reaction evaluations are an easy and effective method to identify ways to better motivate trainees and provide the best possible learning environment. This level should be used for all training activities.

Level 2 – Learning

Level 2 evaluations are used by Training Providers to ensure a trainee gains the desired information by the end of the training. Level 2 evaluations include end of course tests, performance tests, and simulations. Measuring learning means determining the extent that the trainee was able to change trainee attitudes, improve knowledge, or increase skills. Mastering course objectives is important since no change in trainee behavior can be expected if learning has not taken place.

Level 3 - Behavior

Level 3 measures the transfer of skills, knowledge, and attitudes to the job. This is where the actual change in behavior is determined and observed. The level 3-evaluation process is more complicated than the first two because it can be difficult to identify root causes of sub-optimal behavior.

Terminal Performance Objectives (TPOs), which refine performance needs into measurable objectives, drives the level 3-measurement process. All levels of training program management should use the results.

Level 4 - Results.

Level 4 evaluations measure the specific influence training has on broader organizational performance goals. Level 3 evaluations identify the extent to which individual training transfers to the job, while level 4 evaluation measures training's overall contribution to unit and Program performance goals. Results-based evaluations, although still in the formative stage, will require an inquiry-based partnership between Coast Guard Programs and (G-WT) that link training activities to organizational outcomes including, personnel, financial benefit and overall unit or system performance improvement. Program business goals, performance indicators, and identification of links to training programs shape Level 4 evaluations.

Trainee Survey

General

Within the last year, you attended training indicated on the attached survey form. The training was designed to give you skills and knowledge required to do your job. This survey asks questions to help determine how valuable that training really was in helping you do your job at your unit. Please take a few minutes to complete and return this survey. Your input will help us make sure that the training is meeting your needs.

Section I: Task List

Instructions: Read each statement and indicate **YES** - if you perform the task in your job or **NO** - if you do not perform the task in your job.

If yes, please indicate your confidence level in performing the tasks. If you answered no, do not rate the confidence level.

Section II: Training Benefit

Instructions: Please mark the most appropriate answer.

1. **Training provided complete knowledge/skills to proficiently perform the task.** Mark this answer if you were able to leave the training and perform the task at your unit without any further on-the-job training or practice.
2. **Training provided a strong base to proficiently performing the task.** Mark this answer if training gave you a strong base and was supplemented on the job with further training or practice.
3. **Training was of little or no benefit to proficiently performing the task.** Mark this answer if your training did not provide the skills/ knowledge to get started on the task or if the training you received was outdated or different from the actual duties required to perform the task. In other words, you had to completely learn how to do this task on the job.
4. **Task is performed at unit, but my duties do not require me to complete this task.** Mark this answer if the task is performed at your unit but you are not required to do the task.
5. **Task not performed by anyone at this unit.**

Section III: Comments

Please use this section to identify any tasks you would like to have seen in the course or anything that keeps you from becoming proficient in the tasks associated with the training.

Trainee Survey Form

Course Title: _____

Course Code: _____

Class Number: _____

Section 1: Task list

Do you Perform the following:	YES					NO
If Yes, Rate your Confidence	HIGH		Low			
Performance Indicator A	1	2	3	4	5	6
Performance Indicator B	1	2	3	4	5	6
Performance Indicator C	1	2	3	4	5	6
Performance Indicator X...etc.	1	2	3	4	5	6

Section 2: Training Benefit

- 1-Training provided complete knowledge/skills to proficiently perform task.**
- 2-Training provided a strong base to proficiently perform the task.**
- 3-Training was of little or no benefit to proficiently perform the task.**
- 4-Task performed at unit but my duties do not require me to complete this task.**
- 5-Task not performed by anyone at this unit.**

Which statement is most true? of the following tasks:

If Yes, Rate your Confidence	HIGH		Low			
Performance Indicator A	1	2	3	4	5	6
Performance Indicator B	1	2	3	4	5	6
Performance Indicator C	1	2	3	4	5	6
Performance Indicator X...etc.	1	2	3	4	5	6

Trainee Survey form
Section 3: Comments

1. Are there any tasks that you perform at your unit that you feel should have been addressed in this course?

2. Is there anything that prevents you from becoming proficient in the tasks associated with this course (ie..tasks are automated, do not perform tasks at your level of rank, outdated procedures or policies being taught in course)?

Supervisor Survey

General

Within the last year, the graduate listed attended training that is indicated on the attached survey form. The training was designed to give the graduate skills and knowledge required to do the job. This survey asks questions to help determine how valuable that training really was in helping the graduate do the job at your unit. Please take a few minutes to complete and return this survey. Your input will help us make sure that the training is meeting your needs.

Section I: Task list

Instructions: Read each statement and indicate **YES** - if the graduate performs the task on the job or **NO** - if the graduate does not perform the task on the job.

If yes, please indicate how often the graduate completes this task. If you answered no, do not rate the task frequency.

Section II: Training Benefit

Instructions: Please mark the most appropriate answer.

1. **Training provided complete knowledge/skills to proficiently perform the task.** Mark this answer if the graduate was able to leave the training and perform the task at your unit without any further on-the-job training or practice.
2. **Training provided a strong base to proficiently performing the task.** Mark this answer if training gave the graduate a strong base and was supplemented on the job with further training or practice.
3. **Training was of little or no benefit to proficiently performing the task.** Mark this answer if the graduate's training did not provide the skills/ knowledge to get started on the task or if the training received was outdated or different from the actual duties required to perform the task. In other words, the graduate had to completely learn how to do this task on the job.
4. **Task is performed at unit, but the graduates' duties do not require completing this task.** Mark this answer if the task is performed at your unit but the graduate is not required to do the task.
5. **Task not performed by anyone at this unit.**

Section III: Comments

Please use this section to identify any tasks you would like to have seen in the course or anything that keeps the graduate from becoming proficient in the tasks associated with the training.

Supervisor Survey Form

Course Title: _____

Course Code: _____

Class Number: _____

Section 1: Task list

Do the graduate proficiently Perform the following:	YES				NO
If Yes, How Often	D A I L Y	W E E K L Y	M O N T H L Y	Y E A R L Y	
Performance Indicator A	1	2	3	4	6
Performance Indicator B	1	2	3	4	6
Performance Indicator C	1	2	3	4	6
Performance Indicator X...etc.	1	2	3	4	6

Section 2: Training Benefit

- 1-Training provided complete knowledge/skills to proficiently perform task.**
- 2-Training provided a strong base to proficiently perform the task.**
- 3-Training was of little or no benefit to proficiently perform the task.**
- 4-Task performed at unit but my duties do not require me to complete this task.**
- 5-Task not performed by anyone at this unit.**

Which statement is most true? of the following tasks:

Performance Indicator A	1	2	3	4	5	6
Performance Indicator B	1	2	3	4	5	6
Performance Indicator C	1	2	3	4	5	6
Performance Indicator X...etc.	1	2	3	4	5	6

Supervisor Survey Form
Section 3: Comments

1. Are there any tasks that the graduate performs at your unit that you feel should have been addressed in this course?

2. Is there anything that prevents the graduate from becoming proficient in the tasks associated with this course (ie..tasks are automated, do not perform tasks at your level of rank, outdated procedures or policies being taught in course)?
