Proposal for Level III Evaluation
of the
South Carolina Budget and Control Board
Office of Human Resources
Supervisory Practices

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re-submitted March 12, 2007
as a requirement of the 2007 Certified Public Manager Program
Proposal for Level III Evaluation of Supervisory Practices

Problem Statement

The Associate Public Manager Program (APM) is offered by the Office of Human Resources as a professional development program for State employees. In 2002, the APM program was redesigned and courses revised based on the Adult Learning Model. Classes became more interactive and less lecture in delivery. Participants were encouraged to be involved and exercises were developed to facilitate accountability for their own learning.

In August, 2006, the Supervisory Practices class was again revised. A core class in the APM program, Supervisory Practices generates the most revenue of all of OHR’s offerings because of the cost of the four-day session and the frequency it is requested. Since July, 2005, the training division has conducted twenty-five sessions of Supervisory Practices. There are seven more scheduled through the end of the fiscal year 2007. This includes open enrollment and customized classes.

Up to this point, no data has been collected on change in job behavior after completing Supervisory Practices. A “plus/delta reaction evaluation” has been used to gather Level 1 information.(see Appendix #11) This gives the training staff immediate feedback on the participant’s initial reaction to the session. Additionally, participants are asked to complete an action plan at the conclusion of the session, outlining areas of improvement on which to focus. After several months, the instructors of the session are to randomly pull some of the action plans and contact the participants to get feedback on their progress. This has been done sporadically and there is no process for compiling or analyzing the information gathered. In February, 2005, Stephanie Duncan of OHR submitted a CPM project evaluating the entire APM program. A survey was conducted and data gathered that supported the success of the program. Participants reported the greatest benefit ws
improved supervisory skills. The greatest gain was recognized in Supervisory Practices training.  
(Duncan, CPM project, pg. 5)

Agencies are spending large amounts of money to have employees trained. However, without an ongoing process to follow up on progress and evaluate behavior changes, it is much less likely that the learning from the session will be applied for any length of time or any significant behavioral change will result in long term observation. It is imperative that agencies approach training with a mindset of “intentional learning”. By that, I mean that participants are coming to training knowing they will be accountable to learn and perform and also prepared to use “strategic thinking processes that have learning as a goal rather than an incidental outcome.” (www.trainingsplace.com/il/)

The mission of the Office of Human Resources states the importance of partnering with our customers to create excellence in human resources. In addition, we are tasked with “applying human resources best practices and innovations to make South Carolina state government an employer of choice”. (http://www.ohr.sc.gov/OHR/OHR-mission-vision.phtm) The Office of Human Resources has as customers all citizens of South Carolina. Specifically, our service of training impacts all agency employees of the State either directly or indirectly. Consequently, the quality and effectiveness of our efforts affects those agencies’ bottom line. At this time, there is little or no valid evidence of training’s effectiveness on the agency’s services. In the May, 2006, issue of Training and Development, Robert Brinkerhoff states that “about 80% of training failures are not caused by flawed interventions”(pg. 24). We must also consider ongoing supervisory support, the employee’s preparation to learn and organizational culture unique to their agency.

In early 2006, Karen Kuehner, a contract OHR consultant, designed post-assessment surveys for supervisors and managers to encourage feedback on APM customized programs. (see Appendix)
The feedback was not encouraging. Managers and supervisors at that time were not willing to complete a three page survey and the project was put on hold indefinitely.

My proposal includes strongly marketing the positive impact of ongoing communication between the supervisor and manager. The pre and post surveys are accessed through an electronic link and are easily completed in less than 15 minutes. OHR will offer the feedback as a tool for continuous improvement and highlight the value of managers coaching employees and reinforcing the concepts learned in Supervisory Practices. Training is never effective alone or completed in a vacuum. By using assessments, critical performance factors can be examined that help or hinder the positive results of the participant.

Data Collection and Analysis:

After discussing my proposal with Nathan Strong, Stephanie Duncan and Laurette Burdyl of OHR, the decision was made to interview several agencies to examine their methods of data collection in evaluating ongoing training programs. Most agencies, at the very least, conduct Level I evaluations after a class. Simply a customer satisfaction index, this data is reactive. It captures immediate feedback on if the participant liked the training and was satisfied with the delivery. My goal was to research any agencies that collected Level III evaluation information. (see Appendix #11) According to the Donald Kirkpatrick model, Level III evaluates the job impact of training. He questions, “What actually happens when trainees leave the classroom and return to their jobs and how much transfer of knowledge, skill and attitudes occurs? In other words, what change in job behavior occurred because people attended a training program?”

\[1\text{www.knowledgeadvisors.com/kirkpatrick.asp}\]
Four agencies were considered and interviews conducted with training directors or coordinators. Hazel Parker from DSS, Laura Thomas from LLR and Polly McCutcheon from DOT responded that there was no formal evaluation process in place to capture Level III information for any of their training programs. They agreed that it was important and hoped to do this type of data collection in the future. The consensus was managers and supervisors felt the process too time consuming and unless it was required, the information would probably not be returned. Vocational Rehabilitation purchased a software program called SurveyGold© in the past year. According to Terri Norris, training director of VR, questions are submitted by trainers and an evaluation created based on the questions. Participants receive an e:Mail link immediately after a session for a Level I feedback evaluation. It is voluntary; however, since all information is captured online, the training coordinators can track who did or did not respond. The program is also designed to do a follow-up Level III evaluation in six months of both the participant and their managers. At this time, this portion of the process has not been instituted. The program is new to the agency and they are still in the process of learning SurveyGold©’s capabilities. Vocational Rehabilitation was able to provide pie charts and comments based on the Level I evaluations that had been conducted. Belinda and Terri also shared that previously an electronic forced response evaluation had been considered. After a participant completed an evaluation, the submission would go to their immediate supervisor for comment and feedback. When the supervisor completed their portion and submitted, the feedback would immediately go to the training division for compilation and analysis. Because of privacy concerns and the sensitive information VR collects, the training division did not receive approval to proceed. Vocational Rehabilitation is further along in the process than any of the others interviewed.
It became apparent that little actionable data was available on Level III evaluation in State agencies to analyze. After additional consultation with Stephanie Duncan and Nathan Strong, the decision was made to create a pilot using the guidelines for Level III evaluation\(^1\).

They are as follows:

- Use a control group
- Allow time for behavior change
- Evaluate both before and after the training
- Survey trainees and their supervisors
- Repeat the evaluation at appropriate times
- Strive for 100% response

My proposal will provide data to support/dispute several possible conclusions (some listed):

- Supervisors and/or managers are committed to ongoing improvement.
- Supervisors and/or managers are not interested in data that supports training effectiveness and continuous behavioral change.
- Supervisors and/or managers are not willing (because of time constraints, other commitments, etc.) to complete a follow up process to measure improvement.
- Supervisory Practices creates motivation and learning to change behaviors in participants.
- Supervisory Practices creates opportunities for learning, but the behavioral changes are not evident from data collected.

Other conclusions not listed are certainly possible and will be analyzed as well.

\(^1\) [www.knowledgeadvisory.com/kirkpatrick.asp](http://www.knowledgeadvisory.com/kirkpatrick.asp)
Implementation Plan and Evaluation Method

If approved, the project will be implemented at the scheduling of the first customized Supervisory Practices class. During initial contract negotiations, the feedback process will be explained and the benefits outlined for both the contracting agency and OHR. The pilot will take one year from inception. The control group will be all customized Supervisory Practices classes. Nine customized sessions have been scheduled for fiscal year 2006-2007. Projected total of participants completing customized classes for fiscal year 2007-2008 is approximately 175. When a participant registers for session, their manager will be e:mailed a link to SurveyMonkey© to complete a pre-assessment. The participant will complete a similar assessment on the first day of the session. Six months after completion of the class, another link will be sent to both the participant and their managers. Reminders will go out two weeks later and data will be gathered either capturing the failure to complete the survey or compiling survey results. Participation and non-participation from beginning to end will be analyzed. The supervisors and the managers will receive feedback based on responses. They will also get a report if they did not respond. OHR will then have data to proceed with offering this Level III process to all agencies. If participation is low, the process will be examined and a subset of the pilot population will be contacted directly to gather information on non-completion.

I will be responsible for registration and follow-up on the results. At this time, Carol Benson will continue to generate confirmations. Mildred Seay will transfer data that was collected during the first day of Supervisory Practices into the SurveyMonkey© Pre-assessment for Supervisors. A hard copy of the survey has been completed that corresponds with the electronic version. (see appendix)

Initially, there is no cost associated with the process. The pilot group will receive the feedback free of charge. If the process is accepted as standard operating procedure, a cost of $15.00 per participant will be collected upon completion of the class. The assumption is in requiring payment for this service both the
supervisor and manager will be accountable to complete the post assessment. Their will be value added in the feedback showing data on the desired behavior change.

At the end of the test year, all feedback will be compiled and analyzed for viability of accepting the process as standard operating procedure. After this information is gathered, I will request a meeting of Stephanie Duncan, Laurette Burdyl, Nathan Strong and myself to analyze and critique the entire process.

If successful, this process will provide both the Office of Human Resources and State agencies an opportunity to develop employees, improve service delivery and support our mission of providing excellence in the field of human resources.
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8. SurveyMonkey© Supervisory Pre-Assessment for Managers
9. SurveyMonkey© Supervisory Post-Assessment for Supervisors
10. SurveyMonkey© Supervisory Post-Assessment for Managers
11. Kirkpatrick’s Four Levels of Evaluation
### Appendix #1  Numbers and Revenue Generated

<table>
<thead>
<tr>
<th>Revenue generated $</th>
<th>Revenue Generated $</th>
<th>Total Revenue for FY 05-06</th>
</tr>
</thead>
<tbody>
<tr>
<td>$69,292 (travel expenses included)</td>
<td>$33,740</td>
<td>$103,032</td>
</tr>
</tbody>
</table>

#### Supervisory Practices  Fiscal Year 2006-2007

<table>
<thead>
<tr>
<th>Customized Classes</th>
<th>Open Enrollment</th>
<th>Total # of sessions</th>
<th>Total # of Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong># of sessions</strong></td>
<td><strong># of session</strong></td>
<td></td>
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<tr>
<td>9</td>
<td>8 (1 CPM session)</td>
<td></td>
<td></td>
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<tr>
<td><strong># of Participants</strong></td>
<td><strong># of participants</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>78 as of 1/26/07</td>
<td>104 as of 1/23/07</td>
<td></td>
<td>182 as of 1/26/07</td>
</tr>
<tr>
<td><strong>Revenue generated $</strong></td>
<td><strong>Revenue Generated $</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$34,545 (travel expenses included) as of 1/23/07</td>
<td>$26,260 as of 1/23/07</td>
<td>$60,850 as of 1/23/07</td>
<td></td>
</tr>
</tbody>
</table>

7 classes scheduled for the remainder of FY 06-07

7 x 20 participants = 140 (estimated)
140 participants x $250 = $35,000 conservative estimate

six more months before end of FY
Appendix #2  Timeline

When class is completed, a reminder will be entered into GroupWise to send Post assessment e:mail link. Another reminder will be sent after two weeks. Final data collection will be done within a month of first Post assessment e:mails being sent. Reports will be generated and sent shortly after.

<table>
<thead>
<tr>
<th>Month of class</th>
<th>6 months</th>
<th>7 months</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>June</td>
<td>July</td>
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<tr>
<td>February</td>
<td>July</td>
<td>August</td>
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<td>March</td>
<td>August</td>
<td>September</td>
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<td>April</td>
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<td>May</td>
<td>October</td>
<td>November</td>
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<tr>
<td>June</td>
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<tr>
<td>July</td>
<td>December</td>
<td>January</td>
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<tr>
<td>August</td>
<td>January</td>
<td>February</td>
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<tr>
<td>September</td>
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<td>March</td>
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<tr>
<td>October</td>
<td>March</td>
<td>April</td>
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<tr>
<td>November</td>
<td>April</td>
<td>May</td>
</tr>
<tr>
<td>December</td>
<td>May</td>
<td>June</td>
</tr>
</tbody>
</table>
Proposed Flow Chart after pilot is completed.

Supervisor Registration received

Email link to Manager for pre-assessment

Email reminder in two weeks

Email link to Manager and Supervisor for Post-assessment

Email reminder in two weeks

Feedback Received

No feedback Received from Manager

E: mail reminder in two weeks

All data collected and compiled for analysis. Reports generated and sent to managers/supervisors per paid request.

Supervisor attends class and completes Pre-Assessment

All feedback entered into Survey Monkey
Appendix #4  Supervisory Practices Registration

Complete this form entirely and save document to a hard drive, floppy disk, Zip drive, etc.

TO REGISTER:

FAX: 803/734-9098 Attn: Dene D. Gleaton
E-MAIL: Send this document as an attachment to dgleaton@ohr.sc.gov
MAIL: SC Budget and Control Board/OHR
       1401 Senate Street
       Columbia, SC 29201,  Attn: Dene D. Gleaton

Start Date of Requested Session : / /  2nd choice: / /
Registration Fee: $280 no feedback  $295 feedback included (see page 2)

$_____ custom class, feedback included

Name of Participant:  Title:
Agency:
Agency Street Address:
City/Zip:  Phone:  /  /  Ext:
E-mail of employee:  Fax:  /  / 

Manager’s Name:  Manager’s E-mail:
Manager’s Phone:  /  /  Ext:

Participant and Manager will be e:mailed upon receipt of this correspondence. A confirmation with additional information will be sent before the session. Written feedback (if requested) to include both pre and post assessments will be sent within 7 months of Supervisory Practices completion date.

CANCELLATION POLICY:

Cancellations will be accepted by written notice only within five (5) working days prior to the first scheduled class date. If notification is not received, the participant will be considered a NO SHOW and the agency will be charged the full registration fee. Substitutions may be made for most courses.

For information concerning this course availability, please call: 803/734-9080

In compliance with the provisions of Title VII of the Civil Rights Act of 1964 and the Americans with Disabilities Act of 1990, this employee development course is an Equal Opportunity Program. If special accommodations are required, please contact our office two weeks prior to the scheduled training program.

****NOTE: YOUR AGENCY WILL BE INVOICED UPON COMPLETION OF THE CLASS
Pre and Post Assessment Evaluation Services

In our continuing efforts to improve services to our customers, the Office of Human Resources is offering a pre and post evaluation process to managers and their supervisors who attend Supervisory Practices. Supervisors who attend the session will complete a pre-assessment of their skill and knowledge levels. Managers will also be asked to complete a brief survey of their perceptions of the knowledge and skills of the supervisors they send to the session. Six months after completion of Supervisory Practices, both the manager and supervisor will be contacted by e:mail and provided a link to assess the participant’s progress since completing the course. This information can be used as a tool in ongoing continuous improvement. It will provide the manager and supervisor timely data for coaching, setting performance goals and expectations and call to attention any particular challenges in which the supervisor may need additional assistance. Training introduces participants to effective behaviors and useful tools necessary for effective supervision. Offering actionable data in conjunction with training provides customers with another means of support and accountability. Customers can better recognize the effect of the training and OHR can continue to evolve and improve services to the citizens of South Carolina.

Initially, this service will be offered free of charge to participants enrolled in customized Supervisory Practices classes. The pilot will be conducted with this population for one year. After data is compiled and analyzed, OHR will offer the service to agencies for a cost per participant of $15, in addition to the course cost. Participation will be voluntary, but is encouraged.
Thursday, February 01, 2007

To: __________________________, Agency

From: Dene Davis Gleaton, Office of Human Resources

In our continuing efforts to improve services to our customers, the Office of Human Resources is offering a pre and post evaluation process to managers and their supervisors who attend Supervisory Practices. Supervisors who attend the session will complete a pre-assessment of their skill and knowledge levels. Managers will also be asked to complete a brief survey of their perceptions of the knowledge and skills of the supervisors they send to the session. Six months after completion of Supervisory Practices, both the manager and supervisor will be contacted by email and provided a link to assess the participant’s progress since completing the course. This information can be used as a tool in ongoing continuous improvement. It will provide the manager and supervisor timely data for coaching, setting performance goals and expectations and call to attention any particular challenges in which the supervisor may need additional assistance. Training introduces participants to effective behaviors and useful tools necessary for effective supervision. Offering actionable data in conjunction with training provides customers with another means of support and accountability. Customers can better recognize the effect of the training and OHR can continue to evolve and improve services to the citizens of South Carolina.
Appendix #6

Supervisory Skills Pre-assessment

Please provide OHR with feedback regarding your current knowledge/skills as a supervisor.

1. Name __________________________ Agency __________________________

2. How long have you performed supervisory duties?
   ____ 0-6 months  ____ 6-12 months  ____ 1-2 years  ____ 2-5 years
   ____ More than 5 years  ____ More than 5 years  ____ I am not currently supervising

3. Is this training part of an ongoing improvement process to facilitate your success as a supervisor?
   ____ My agency requires this class for supervisors
   ____ I requested to attend this class
   ____ I am attending this class to prepare for supervisory responsibility
   ____ I am taking this class to obtain my APM certification
   ____ Other (please explain)

4. What specific behavior changes or improvements do you expect or hope to achieve as a result of completing this training?

5. What process/procedure is in place to coach and follow-up with your progress after the session is complete? (other than EPMS) Explain briefly.
6. Please rate your current knowledge and skill level in the following areas:

<table>
<thead>
<tr>
<th>Area</th>
<th>Low level of knowledge/skill</th>
<th>Some knowledge/skill</th>
<th>Significant level of knowledge/skill</th>
<th>Substantial level of knowledge/skill</th>
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</thead>
<tbody>
<tr>
<td>Understanding the various roles that supervisors play</td>
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<tr>
<td>Interviewing and selection of staff members</td>
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<tr>
<td>Setting goals for a work team</td>
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<td>Communicating performance expectations to staff</td>
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<tr>
<td>Motivating staff members to perform effectively</td>
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<tr>
<td>Measuring employee progress and evaluating employee performance</td>
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<td>Diagnosing performance problems</td>
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<tr>
<td>Handling substandard performance and progressive discipline issues</td>
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<tr>
<td>Being an effective advocate for employees</td>
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This information will be compiled and a follow-up survey will be sent to you requesting feedback on your level of knowledge and skills in 6 months. The data will be compared and analyzed for information on the strengths and potential improvements to Supervisory Practices. Thank you.
1. Present Skill Assessment

Please answer the following questions regarding your current level of skill as a supervisor.

* 1. What is your name?

2. How long have you performed supervisory duties?
   - 0-6 months
   - 6 months to 1 year
   - 1-2 years
   - 2-5 years
   - More than 5 years
   - I am not currently in a supervisory position

3. Is this training part of an ongoing improvement process to facilitate your success as a supervisor?
   - My agency requires this class for supervisors.
   - I requested to attend this class.
   - I am attending this class to prepare for supervisory responsibility
   - I am taking this class to obtain my APM certification
   - Other (please specify)

4. What specific behavior changes or improvements do you expect or hope to achieve as a result of completing this training?

5. What process/procedure is in place to coach and follow-up with your progress after the session is complete? (Other than EPMS)
   Explain briefly.
6. Please rate your current knowledge and skill level in the following areas:

<table>
<thead>
<tr>
<th></th>
<th>Low level of knowledge/skill</th>
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</table>

Done >>

Pre-assessment for Managers

1. Present Skill Assessment

Please take some time to evaluate the current skills of your employee

* 1. What is your employee's name?

* 2. How long has this person performed supervisory duties as your direct report?
   - 0-6 months
   - 6 months to 1 year
   - 1-2 years
   - 2-5 years
   - More than 5 years

* 3. Is this training part of an ongoing improvement and coaching process for your employee?
   - Yes
   - No

* 4. What specific behavior changes or improvements do you expect from your employee as a result of their completing this training?

* 5. Is there a process/procedure in place to coach and follow-up with this employee's progress after the session is complete? (Other than EPMS)
   Explain briefly.
6. Please rate the current knowledge and skill level of your employee in the following areas:

<table>
<thead>
<tr>
<th>Area</th>
<th>Low level of knowledge/skill</th>
<th>Some knowledge/skill</th>
<th>Significant level of knowledge/skill</th>
<th>Substantial level of knowledge/skill</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understanding the various roles that supervisors play</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Interviewing and selection of staff members</td>
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<tr>
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</tbody>
</table>

7. Please comment on any other concerns not addressed that you may have concerning your employee in this session.
Done >>
Supervisory Practices Post-Assessment

1. Current Skill Assessment

Please answer the following questions regarding your knowledge and skills as a supervisor since you completed Supervisory Practices.

* 1. What is your name?

* 2. How long have you performed supervisory duties?
   - 0-6 months
   - 6 months to 1 year
   - 1-2 years
   - 2-5 years
   - More than 5 years
   - I am not currently in a supervisory position

* 3. What specific behavior changes or improvements have been made as a result of completing this training?

* 4. What process/procedure has been used to coach and follow-up with you after the training was completed? (Other than EPMS)
   Explain briefly.

5. Please rate your current knowledge and skill level in the following areas:

<table>
<thead>
<tr>
<th>Low level of knowledge/skill</th>
<th>Some knowledge/skill</th>
<th>Significant level of knowledge/skill</th>
<th>Substantial level of knowledge skill</th>
</tr>
</thead>
</table>

| Understanding the various roles that supervisors play |  |  |  |  |  |
| Interviewing and selection of staff members |  |  |  |  |  |
| Setting Goals for a work team |  |  |  |  |  |
| Developing effective working relationships with others |  |  |  |  |  |
| Communicating performance expectations to staff |  |  |  |  |  |
| Developing staff members for increased responsibilities or personal growth |  |  |  |  |  |
| Motivating staff members to perform effectively |  |  |  |  |  |
| Measuring employee progress and evaluating employee performance |  |  |  |  |  |
| Diagnosing performance problems |  |  |  |  |  |
| Handling substandard performance and progressive discipline issues |  |  |  |  |  |
| Being an effective advocate for employees |  |  |  |  |  |

6. Please enter any other comments not addressed in this survey. Thank you for your feedback.
1. Present Skill Assessment

Please evaluate the knowledge and skills of your employee since they completed Supervisory Practices.

* 1. What is your employee's name?

* 2. How long has this person performed supervisory duties as your direct report?
   - 0-6 months
   - 6 months to 1 year
   - 1-2 years
   - 2-5 years
   - More than 5 years

* 3. What specific behavior changes or improvements have you observed as a result of your employee completing this training?

* 4. What process/procedure has been used to coach and follow-up this employee's progress after the training? (Other than EPMS)
   Explain briefly.

* 5. Please rate the present knowledge and skill level of your employee in the following areas:

<table>
<thead>
<tr>
<th>Low level of knowledge/skill</th>
<th>Some knowledge/skill</th>
<th>Significant level of knowledge/skill</th>
<th>Substantial level of knowledge/skill</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understanding the</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. Please enter any other comments not addressed in this survey. Thank You!
Appendix #11
Kirkpatrick’s Four Levels of Evaluation
www.knowledgewadvisors.com/kirkpatrick.asp

Level 1: Reaction

Per Kirkpatrick, “evaluating reaction is the same thing as measuring customer satisfaction. If training is going to be effective, it is important that students react favorably to it.”

The guidelines for Level One are as follows:
- Determine what you want to find out
- Design a form that will quantify the reactions
- Encourage written comments and suggestions
- Strive for 100% immediate response
- Get honest responses
- Develop acceptable standards
- Measure reactions against standards, and take appropriate action
- Communicate reactions as appropriate

The benefits to conducting Level One Evaluations are:
- A proxy for customer satisfaction
- Immediate and real-time feedback to an investment
- A mechanism to measure and manage learning providers, instructors, courses, locations, and learning methodologies
- A way to control costs and strategically spend your budget dollars
- If done properly, a way to gauge a perceived return on learning investment

Level 2: Learning

Level Two is a ‘test’ to determine if the learning transfer occurred. Per Kirkpatrick, “It is important to measure learning because no change in behavior can be expected unless one or more of these learning objectives have been accomplished. Measuring learning means determining one or more of the following.”

- What knowledge was learned?
- What skills were developed or improved?
- What attitudes were changed?

The Guidelines for Level Two are as follows:
- Use a control group, if practical
- Evaluate knowledge, skills, and or attitudes both before and after the program
- Use a ‘test’ to measure knowledge and attitudes
- Strive for 100% response
- Use the results to take corrective actions

The benefits to conducting Level Two Evaluations are:
- Learner must demonstrate the learning transfer
- Provides training managers with more conclusive evidence of training effectiveness
Level 3: Behavior

Level Three evaluates the job impact of training. “What happens when trainees leave the classroom and return to their jobs? How much transfer of knowledge, skill, and attitudes occurs?” Kirkpatrick questions, “In other words, what change in job behavior occurred because people attended a training program?”

The Guidelines for Level Three are as follows:

- Use a control group, if practical
- Allow time for behavior change to take place
- Evaluate both before and after the program if practical
- Survey or interview trainees, supervisors, subordinates and others who observe their behavior
  - Strive for 100% response
  - Repeat the evaluation at appropriate times

The benefits to conducting Level Three evaluations are as follows:

- An indication of the ‘time to job impact’
- An indication of the types of job impacts occurring (cost, quality, time, productivity)

Level 4: Results

Per Kirkpatrick, Level Four is “the most important step and perhaps the most difficult of all.” Level Four attempts to look at the business results that accrued because of the training.

The Guidelines for Level Four are as follows:

- Use a control group if practical
- Allow time for results to be achieved
- Measure both before and after the program, if practical
- Repeat the measurement at appropriate time
- Consider costs versus benefits
- Be satisfied with evidence if proof not possible

The advantages to a Level Four evaluation are as follows:

- Determine bottom line impact of training
- Tie business objectives and goals to training