This page is intentionally left blank.
# Table of Contents

## Main Content
- Training Evaluations Overview ................................................................. 1
- Training Evaluation Stakeholders ............................................................... 5
- Formative Evaluation .................................................................................... 7
- Level 1 Evaluation ........................................................................................ 9
- Level 2 Evaluation ....................................................................................... 13
- Level 3 Evaluation ........................................................................................ 15
- Level 4 Evaluation ....................................................................................... 25

## Appendices
- Appendix 1-A: Level 1 Core Questions ...................................................... 1-A-1
- Appendix 1-B: Level 1: Template A ............................................................ 1-B-1
- Appendix 2-A: Progress Quiz ..................................................................... 2-A-1
- Appendix 2-B: Performance Test Checklist ................................................ 2-B-1
- Appendix 3-A: Level 3 Survey (LDC) ........................................................... 3-A-1
- Appendix 3-B: Level 3 Evaluation ............................................................... 3-B-1
- Appendix 3-C: Flowchart for Level 3 Evaluation Management .................. 3-C-1
- Appendix 3-D: Executive Summary Standardization Form ......................... 3-D-1
- Appendix 4-A: Level 4 ............................................................................... 4-A-1
This page is intentionally left blank.
Training Evaluations Overview

Introduction

An evaluation measures the value and effectiveness of training. An effective evaluation provides the feedback essential to revise, improve, or justify formal performance-based resident and nonresident training and other performance interventions (e.g., policies, qualifications, tools, or equipment).

This standard operating procedure (SOP) works closely with the other Coast Guard Force Readiness Command (FORCECOM) Training Division (FC-T) SOPs, including Vol. 1, Introduction; Vol. 4, Job Aids; Vol. 5, Resident Instruction; Vol. 7, Advanced Distributed Learning; Vol. 8, Non-Instructional Performance Support; Vol. 10, Testing; Vol. 11, Structured On-the-Job Training (SOJT); and Vol. 13, Professional Development.

See: http://www.uscg.mil/forcecom/training/training_sop.asp

Purpose

This SOP provides guidelines for conducting standardized evaluations of performance-based resident courses and other performance interventions managed within the Coast Guard training system. Evaluation data is used to assist with making critical training decisions and future design decisions.

Target Audience

This SOP is intended for use by Coast Guard training system personnel and stakeholders, including program managers (PMs) and FORCECOM training managers (TMs).

Background

The Coast Guard’s evaluation program is based on Dr. Donald L. Kirkpatrick’s levels of evaluation. The Kirkpatrick Model is not the only model available, but it is well suited to Coast Guard training evaluation needs. Dr. Kirkpatrick’s original four levels of training evaluation were further clarified by Jim and Wendy Kirkpatrick’s New World Kirkpatrick Model. For the purpose of this SOP, the New World Kirkpatrick Model will be used as the model for Coast Guard evaluations. The New World four levels of evaluation are:

- Level 1 Reaction Evaluation — Captures the degree to which the student reacts favorably to the training event
- Level 2 Learning Evaluation — Assesses the degree to which the student demonstrates mastery of TPOs in the training environment
- Level 3 Behavior Evaluation — Measures the degree to which the intervention impacts actual on-the-job performance
Training Evaluations Overview, continued

Background, continued

- Level 4 Results Evaluation — Determines to what degree the targeted outcomes occur as a result of the learning event(s) and subsequent reinforcement. These outcomes must contribute to the organization meeting its purpose and mission. A Level 4 answers the question, “Is this what the organization exists to do/deliver/contribute?”

There is a strong correlation between Level 1 and 2 evaluations. If a performance intervention is developed well and based on an accurate analysis, learning will occur.

Similarly, there is a strong correlation between Level 3 and 4 evaluations. If the learner is able to perform the new skill on the job, chances are that it will have a positive impact on the organization.

Level 1 Reaction Evaluations

Level 1 Reaction evaluations should be learner centered to measure the student’s self-reported customer satisfaction, engagement, and relevance of the learning event. In addition to capturing the student’s perspective of the training, Level 1 evaluations are used to gauge whether the student was actively involved in learning (engagement) and whether the course content directly relates to the participant’s job (relevance).

Although positive student reactions do not necessarily mean learning occurred, negative student reactions may indicate course or training environment shortcomings that could lead to reduced learning opportunities.

Level 2 Learning Evaluations

Level 2 Learning evaluations assess the extent to which training or non-training interventions change attitudes, increase knowledge, develop or improve skills, build confidence, and gain commitment to apply the new knowledge and skills on the job.

Ideally, this is accomplished by measuring a student’s ability before and after training. Comparing a student’s pretest results with his or her posttest results (when pretests are provided/used) helps to determine the amount of learning that occurred and helps to shape future course content and structure. If the training is new to students, there is no need for a pretest. Another method to measure learning is a retrospective pre and post assessment for knowledge, skills, and confidence to apply on the job wherein participants are asked to share the knowledge or attitudes they had toward the particular subject before some experience, program, or treatment and after the learning event.

Level 2 evaluations ensure a student is able to perform the required objective while in the training environment.
## Level 3 Behavior Evaluations

Level 3 Behavior evaluations measure a graduate’s performance of learned objectives “on the job.” Specifically, these evaluations measure whether a graduate is using these newly acquired attitudes, knowledge, and skills in the workplace. For an accurate assessment, the graduate must be given the opportunity to use these newly acquired behaviors. Typically, evaluations are scheduled approximately 4 to 6 months after training is completed. However, timing of the evaluation can be adjusted to meet other factors, e.g., pipeline training provided months before a graduate is assigned to a position using these new skills.

Level 3 evaluation data provides meaningful insight regarding (1) the transfer of learning from the training environment to the work environment; (2) the validation of learning objectives; and (3) the identification of environmental barriers which detract from this transfer.

Level 3 evaluations are conducted by a training center (TRACEN) for their courses. Level 3 evaluation results should be provided to the PM and TM.

## Level 4 Results Evaluations

Level 4 Results evaluations measure the organizational impact of trained behaviors. Commonly referred to as “returns on expectation (ROE),” Level 4 evaluation data documents the value added by a performance intervention.

To conduct a Level 4 evaluation, the PM must identify leading indicators of internal and external outcomes, metrics to measure the outcome(s), and methods to collect the data. Leading indicators are short-term observations and measurements suggesting that critical behaviors are on track to create a positive impact on desired results. Internal outcomes are individual, team, departmental, and organizational outcomes. External outcomes include customer, market, and industry response. For example:

- **Leading indicator (internal outcome):** Decrease the number of casualty reporting (CASREPS) aboard national security cutters
- **Metric:** The number of CASREPS
- **Method:** C2OIX correspondence

Responsibility for Level 4 evaluations resides at the PM/TM level. Programs wishing to pursue Level 4 evaluations should consult their assigned FORCECOM TM. TMs should refer to Kirkpatrick’s New World methodology or similar models for implementation.
High quality evaluation is time consuming. However, it ensures on-the-job application and guarantees subsequent results are maximized. High quality evaluations provide a strong, data-driven record documenting an intervention’s value to justify training’s design and costs.

Typical data collection tools are surveys (paper-based or online) and interviews (one-on-one or focus groups). Each method offers advantages and disadvantages depending on opportunity, time, funding, and purpose of the evaluation. For mission critical programs, it is optimal to use a balance of multiple methods of data collection.

To assist with data collection, FC-T manages a Coast Guard approved and recommended enterprise application for online survey creation and development within the .mil domain.
## Training Evaluation Stakeholders

### Introduction

Roles and responsibilities described below may be combined or assigned as a collateral duty.

---

### Course Managers

Course managers are staff members within the sponsoring program office at U.S. Coast Guard Headquarters (CGHQ) who provide the day-to-day management of a course. These duties may include initiating change request forms to create, change, or delete a course session; slating students to attend a course; and/or managing quotas.

---

### Instructional Design Team

The local instructional design team uses evaluation data to determine if the instruction was successful in helping students achieve a terminal performance objective (TPO) and to modify existing materials to continuously improve training.

---

### Instructor

The course instructor’s role is two-fold: (1) implement data collection strategies for Level 1 and 2 evaluations, and (2) implement course changes as recommended by the training officer (TO) and instructional design team. To maximize response rates, it is critical that an instructor conveys to students the importance of providing timely, constructive feedback through Level 1 and 3 evaluations.

---

### Program Manager (PM)

PMs are CGHQ staff officers. They are designated by and responsible to the program director for providing the training system with performance requirements related to their respective programs. PMs are also responsible for resources and quotas for all training interventions.

---

### Rating Force Master Chief (RFMC)

RFMCs are senior enlisted master chiefs assigned to CGHQ responsible for the oversight of their Coast Guard enlisted rating. This oversight includes determining the rating’s size and grade distribution, location of billets, performance standards, and content of rating performance qualifications. RFMCs ensure standards are related to the job and mission performance requirements.

They are also responsible for the composition and currency of the rating’s rating performance qualification, ‘A’ schools, and ‘C’ schools.
### Rating Training Advisory Council (RTAC)

The RTAC is a group of rating stakeholders charged with making resource neutral training decisions affecting rating advancement training requirements. Each Coast Guard rating (except Musician) has a designated RTAC. The RTAC consists of program, training system, and training center (TRACEN) representatives. Chapter 7 of the *Performance, Training, and Education Manual (PTEM), COMDTINST M1500.10 (series)*, outlines the purpose, authorities, roles, and responsibilities of the RTAC.

### School Chief

School chiefs provide the leadership, personnel, and resources needed to collect Level 1 and 2 data and implement course. The course chief also ensures instructors conduct Level 1 and 2 evaluations and implement course changes as recommended by the PM, TRACEN TO, and instructional design team.

### Student

A student is the primary source of Level 1, 2, and 3 data. Most students give valuable feedback when asked in a professional and unobtrusive manner.

### Supervisor

Course graduate supervisors are a rich source of Level 3 data. In many cases, a supervisor is the best person to assess if/how a subordinate’s performance improved as a result of attending a course.

### Training Manager (TM)

TM's are assigned to Coast Guard Force Readiness Command’s (FORCECOM) Training Division (FC-T) with offices at CGHQ. A TM performs duties within four major core processes:

- Performance consulting
- Liaison between the CGHQ PMs and the training system
- Curriculum management
- Course quota/resource management

### Training Officer (TO)

TOs are responsible for the overall evaluation program at each TRACEN, although the day-to-day administration of this task can be delegated to another officer.
## Formative Evaluation

### Overview

A formative evaluation is the ongoing process of collecting data to improve a program, product, or instruction during the design and development stage. It should be the last evaluation activity a training center (TRACEN) instructional design team conducts prior to delivering instructional materials to targeted learners.

### Requirements

The curriculum (creation or revision) design and development team conducts formative evaluations as an ongoing process throughout course development. Major changes to terminal performance objectives (TPOs) resulting from formative evaluations must be approved by the program manager (PM).

### Delivery Method Considerations

Formative evaluation is applied to both instructional products and the instructional process.

The main purpose of a formative product evaluation is to determine to what extent the instructional material aids students’ learning, while the main purpose of a formative process evaluation is to assess the instructional methods and learning experience.

The instructional design team conducts formative evaluations using the following methods:

- Development testing
- Quality assurance review
- Expert review
- Beta testing
- Pilot testing

**Note:** More guidance regarding formative evaluation methods listed above can be found in *Coast Guard Training System Standard Operating Procedure, Volume 5: Resident Instruction.*
Formative Evaluation, continued

The following eight steps for planning a formative evaluation were adapted from *Designing Effective Instruction* (Morrison, Ross, Kalman, and Kemp, 2011).

- Define the evaluation’s purpose (what is the team looking to improve?)
- Determine who will receive/who is invested in the evaluation results
- Determine the evaluation’s objectives
- Determine resources needed to conduct the evaluation (students, subject matter experts (SMEs), instructors, data collection tools, materials, facilities, equipment, etc.)
- Determine what data is needed to meet the evaluation’s objectives
- Determine data collection methods
- Determine the analysis procedure
- Determine how the results will be reported and who receives the report
Level 1 Evaluation

Overview

Level 1 evaluations measure students’ impressions of a course and the training environment (e.g., customer satisfaction survey). The three dimensions of a Level 1 evaluation are customer satisfaction, relevance, and engagement.

“If training is going to be effective, it is important that the student reacts favorably to it. Otherwise, they will not be motivated to learn.”

Level 1 evaluations can identify actionable improvement items, which improve the learner’s experience and promote on-the-job transfer. They do not evaluate the degree or quality of learning. Rather, they examine learner perception and attitudinal response to instruction. Therefore, it is critical Level 1 evaluations are used in conjunction with other evaluations to accurately measure learning and instructional impact.

Requirements

Level 1 evaluations must be offered to 100 percent of the student population to assess all students’ perceptions of course content (including its relevance to their job), instructor performance, and the classroom environment.

Note: A Level 1 evaluation may be expanded to address the overall training center (TRACEN) environment, including the galley, barracks, gymnasium, etc.

Delivery Method Considerations

A Level 1 evaluation is typically administered by a course instructor, although it may also be administered by others within the TRACEN Training Division or Performance Support Branch. It is usually completed via computer workstations through a link to a survey hosted on a Web-based survey application. Response rates are highest when time is provided in class to complete the evaluation.

Best Practices

The following information is provided as best practices to follow when creating a Level 1 evaluation.

- Initiate Level 1 surveys with a brief, instructor-led discussion of changes implemented in response to previous Level 1 survey data. Stress the importance of the evaluation, encourage honest and accurate feedback, assist with log-on issues, and ensure completion of the survey.

- Only ask questions that lead to “actionable data.” Don’t ask learners to assess unchangeable materials and processes.

Level 1 Evaluation, continued

Best Practices, continued

• Keep evaluation questions learner centric.

  The level of technical content was appropriate for my knowledge base and experience.

  (Correct: Keeps focus on the individual learner.)

  vs.

  The level of technical content was appropriate.

  (Incorrect: Appropriate for who and what skill level?)

• Provide qualitative descriptions of a scale’s numbers to eliminate possible misconceptions about what the scale represents.

• Whenever possible, use a single Likert scale throughout the evaluation for consistency.

• Keep the numbering intuitive. Place smaller numbers at the left or top of the scale and larger numbers on the right or bottom, as below.

  Strongly Disagree 1 2 3 4 5 Strongly Agree

  or

  1 Strongly Disagree
  2
  3 Neither Agree nor Disagree
  4
  5 Strongly Agree

• Write items with a Likert scale as a statement rather than a question to enable concurrence.

• Consider including a statement that requires learners to rate the course materials’ relevancy to his/her job.

  The training material will enhance my ability to perform my job.

• Do not write “double barrel questions” such as “the materials were helpful and understandable.” Students may not be able to respond similarly to both points (helpful and understandable).

• Ask demographic questions at the survey’s end to maximize survey completion rates.

• If practicable, provide students access to the evaluation at the beginning of an extended training session (typically 3 days or more). This lets students provide well-thought-out and timely feedback when class events are still fresh in their minds.
Upon survey completion, Level 1 data must be reviewed and shared to improve all facets of instruction. Distribution of data on individual instructor performance should be discrete and limited. Level 1 evaluations are intended to facilitate honest evaluation, reflection, and improvement, so it is critical to establish an efficient and appropriate distribution process.

The following options exist for analyzing and reporting Level 1 data:

- **Benchmarks**: Compare results to known benchmarks (e.g., other TRACENs) and report comparisons.
- **Dashboard**: Report all areas as dashboard readings (e.g., green, amber, and red).
- **Low 3**: Report the three lowest areas on the survey.
- **High 3**: Report the three highest areas on the survey.
- **Thresholds**: Determine an acceptable performance level and report all areas below the standard.
- **Trends**: Compare results to previous time periods and report trends. It may also be useful to compare demographic subgroups or investigate further when a large number of comments share a common theme.

Recommendations, no matter the form (verbal, paper-copy, electronic, or any combination of), must be provided to course chiefs in an expeditious and efficient manner. It is the school chief’s responsibility to share Level 1 data with other course stakeholders when requested.

Examples of Level 1 core questions are provided in [appendix 1-A](#). An example of a Level 1 survey is provided in [appendix 1-B](#). This example is provided as guidance and not intended to specifically direct or limit Level 1 survey content.
This page is intentionally left blank.
## Level 2 Evaluation

### Overview
Level 2 evaluations (i.e., performance tests) should measure not only student learning and performance in training, but also the student’s confidence and commitment to use the new skill on the job. Students must successfully complete all Level 2 evaluations to complete a course.

Additional information regarding Level 2 evaluations can be found in *Coast Guard Training System Standard Operating Procedure Vol. 10, Testing.*

### Requirements
Since Level 2 evaluations measure the ability to perform terminal performance objectives (TPOs), they must be completed by all students. Their results should be analyzed following each course convening to establish trends and identify possible course changes.

### Delivery Method Considerations
Comply with local training center (TRACEN) directives and lesson plans when administering Level 2 evaluations.

Performance tests should use the highest level of simulation possible to replicate the standards expressed in the TPO. They should test a learner’s ability to perform to the standard.

Knowledge tests are appropriate only when specified within the TPOs. For instance, when a performance requires “writing,” “calculating a number,” or “recalling from memory without references,” the TPO test will likely be paper based.

Enabling objectives (EOs) are the “building blocks” of desired performance (i.e., TPOs). EOs may be tested in a variety of formats: verbal response, observed behavior, pen and paper tests (e.g., quizzes), etc. Typically, EO tests will not provide sufficient validity and reliability to make a final judgment about a student’s performance, but they can be used as a progress check to redirect a student’s learning throughout the course.

**Note:** Level 2 evaluations should test TPOs and EOs directly and avoid nice-to-know additions.
Level 2 Evaluation, continued

Best Practices

As per http://www.uscg.mil/hq/cg1/TracenPetaluma/SOP/Docs/SOP.pdf, appendix Z, TRACENS are required to maintain a complete record of the students’ training evaluations. The process should include policies — remedial instruction and retests, reversion in training, disenrollment, etc. — to manage students who fail the assessments.

Electronic tracking tools, such as the Skills database, track Level 2 evaluations. After an instructor/school staff member inputs information, the system tools track the data.

Electronic grade books can also be used to track Level 2 evaluations. The aviation community uses an electronic grade book called a daily progress report (DPR). DPRs are developed for each student using interactive forms that can be completed, saved, and filed for tracking and maintaining an ongoing record of a student’s performance over time.

Level 2 evaluation results should be kept on file per local policy. If local policy does not exist, maintaining records for 2 years is recommended.

Examples

An example of a Level 2 progress quiz (LDC) is provided in appendix 2-A. An example of a performance test checklist is provided in appendix 2-B.
Level 3 Evaluation

Overview

Level 3 evaluations measure whether course graduates have successfully performed the terminal performance objectives (TPOs) in the workplace. They are designed to help validate training center (TRACEN) executed or managed courses:

- Resident courses (‘C’ schools only)
- Exportable courses
- Advanced distributed learning (ADL) courses managed by TRACENs

Level 3 evaluation data indicates whether students apply behaviors learned in the classroom in the workplace 4-6 months after graduation, i.e., knowledge transfer. Level 3 evaluation data also measures the TPO relevancy to the workplace.

Note: Level 3 evaluations are rarely used as the SOLE INSTRUMENT for making decisions about training or non training interventions. Training stakeholders should consider additional data sources to “triangulate” or augment Level 3 data.

Requirements

It is the training officer’s (TO) responsibility to ensure the Level 3 evaluation process is completed (i.e., collect evaluation data — analyze data — and develop reports) for internal and external TRACEN use. (See appendix 3-C for a flowchart on the process.)

The following criteria MUST be in place before initiating a Level 3 evaluation for a specific course:

- Curriculum outline: Ensure a curriculum outline is developed and submitted per Coast Guard Training System Standard Operating Procedure (SOP) Vol. 6, Curriculum Outline.

- TPOs: Ensure each TPO in the curriculum outline is written per SOP Vol. 6, Curriculum Outline. Valid TPOs are data driven and based on job requirements as identified by program managers (PMs). Without valid, specific TPOs, the evaluation will not be accurate.

- Level 2 evaluations: Ensure a Level 2 evaluation process is in place for the course of instruction.

If all criteria are in place, there are two options for conducting a Level 3 evaluation: survey or interview. Both are discussed in detail on the following pages.

Note: Instructor guides/lesson plans and student guides/handouts are not required to be in place prior to initiating a Level 3 evaluation; however, they help provide stability to it.
Refer to the following table for the amount of completed Level 3 evaluations a TRACEN should be striving to obtain.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Projected Student Load (Per Year) from</td>
<td><strong>Completed</strong> Level 3 Responses</td>
</tr>
<tr>
<td>the Curriculum Outline Staffing</td>
<td>Needed (Assumes 100 Percent Completion</td>
</tr>
<tr>
<td>Standards Computation Work Sheet</td>
<td>Rate)</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>-----------------------------------------</td>
</tr>
<tr>
<td></td>
<td>Graduate</td>
</tr>
<tr>
<td>Less than 28</td>
<td>All</td>
</tr>
<tr>
<td>28 to 54</td>
<td>28</td>
</tr>
<tr>
<td>55 to 79</td>
<td>39</td>
</tr>
<tr>
<td>80 to 109</td>
<td>50</td>
</tr>
<tr>
<td>110 to 139</td>
<td>60</td>
</tr>
<tr>
<td>140 to 174</td>
<td>68</td>
</tr>
<tr>
<td>175 to 224</td>
<td>76</td>
</tr>
<tr>
<td>225 to 269</td>
<td>84</td>
</tr>
<tr>
<td>270 to 329</td>
<td>89</td>
</tr>
<tr>
<td>330 to 399</td>
<td>95</td>
</tr>
<tr>
<td>400 to 489</td>
<td>100</td>
</tr>
<tr>
<td>490 to 604</td>
<td>105</td>
</tr>
<tr>
<td>605 to 759</td>
<td>109</td>
</tr>
<tr>
<td>760 to 974</td>
<td>113</td>
</tr>
<tr>
<td>975 to 1,294</td>
<td>117</td>
</tr>
<tr>
<td>1,295 to 1,819</td>
<td>121</td>
</tr>
<tr>
<td>1,820 to 2,839</td>
<td>124</td>
</tr>
<tr>
<td>2,840 to 5,999</td>
<td>127</td>
</tr>
<tr>
<td>6,000 or more</td>
<td>130</td>
</tr>
</tbody>
</table>
Level 3 Evaluation, continued

**Data Collection Requirements**

Once the necessary criteria for gathering Level 3 data are in place, a data collection method is selected. Using multiple data collection methods (surveys and/or interviews) will lead to the most accurate Level 3 evaluation results.

If a survey method is chosen, the surveys should be administered to both graduates and their supervisors approximately 4-6 months after graduation.

It may be more advantageous for TRACENs to conduct face-to-face interviews (e.g., during standardization team or Comprehensive Law Enforcement Assessment of Readiness visits) or phone call graduates and their supervisors interviewees to capture Level 3 evaluation data.

At a minimum, Level 3 evaluations (survey or interview) should ask supervisors and graduates whether or not the graduate has performed the task on the job. For negative replies, the following 5 responses provide further granularity on why the graduate has not performed the task:

- No opportunity to perform
- Different equipment at the unit
- Different procedures at the unit
- Lack of skills or knowledge
- Someone else performs this task at the unit

Both of survey and interview methods are described more in depth in the delivery method and best practices sections.

All courses should receive a Level 3 evaluation annually. At a minimum, it is recommended TRACENs complete Level 3 evaluations for at least two course convenings. TOs can determine if additional surveys/interviews are necessary.

---

1. If a course only convenes once per fiscal year or less, the TRACEN should collect Level 3 evaluation data on that specific convening.
**Level 3 Evaluation, continued**

**Data Report Requirements**

**Internal TRACEN reports** — TOs should develop and design internal Level 3 evaluation reports using one of the following methods:

- Dashboard: Report all areas as dashboard readings (e.g., green, amber, and red).
- Low 3: Report the three lowest TPOs from the survey.
- Trends: Compare results to previous time periods and report trends.
- Thresholds: Determine the acceptable level of performance and report all areas that do not meet that level.

**External TRACEN reports** — TOs should ensure Level 3 data executive summaries (see appendix 3-D for an example summary form) are posted in the Level 3 evaluation executive summaries library on the Coast Guard Force Readiness Command (FORCECOM) Training Portal site for external stakeholders to review. Summaries should coincide with the course curriculum outline review cycle.
## Data Analysis Requirements

The table below provides general guidelines for decision making in reaction to Level 3 evaluation data.

<table>
<thead>
<tr>
<th>Category</th>
<th>Marker</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. No opportunity to perform</td>
<td>0 %</td>
</tr>
<tr>
<td>2. Different equipment at unit</td>
<td>5 %</td>
</tr>
<tr>
<td>3. Different procedures at unit</td>
<td>5 %</td>
</tr>
<tr>
<td>4. Lack of skills or knowledge</td>
<td>5 %</td>
</tr>
<tr>
<td>5. Someone else performs this task at the unit</td>
<td>0 %</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>If (indicators) . . .</th>
<th>Then . . .</th>
<th>Stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>no opportunity to perform,</td>
<td>investigate:</td>
<td>PM/RFMC/TM</td>
</tr>
<tr>
<td></td>
<td>• Elimination of the task.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Whether environment barriers exist.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Whether there is a lack of supervision and reinforcement for correct performance.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Consider convening the Enlisted Rate Training Advisory Group (ERTAG) to discuss.</td>
<td></td>
</tr>
<tr>
<td>different equipment at unit,</td>
<td>communicate with stakeholders to help resolve.</td>
<td>TM</td>
</tr>
<tr>
<td>different procedures at unit,</td>
<td>communicate with stakeholders to help resolve.</td>
<td>TM</td>
</tr>
<tr>
<td>lack of skills or knowledge,</td>
<td>investigate:</td>
<td>TRACEN/TM</td>
</tr>
<tr>
<td>someone else performs this task at the unit,</td>
<td>• All Level 2 evaluations.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Providing students with additional practice</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Opportunities.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>communicate with stakeholders to help resolve.</td>
<td>RFMC/TM</td>
</tr>
</tbody>
</table>

Further analysis of a TPO should be conducted when results exceed the established markers in the table above; however, if a TPO falls below one of the markers, it does not preclude stakeholders from conducting further analysis if a unique situation warrants it.

The markers aim to provide a standard to indicate when more thorough investigation should be conducted and to understand why that rating was observed. These markers were established in 2007 when a Level 3 training evaluation standardization work group was put together and recommended that TRACENs incorporate this best practice for analyzing Level 3 data.
Level 3 Evaluation, continued

Survey Method
Delivery Method
Considerations

One prescribed method for collecting Level 3 data is an online survey administered to both graduates and their supervisors.

Survey software provides a means to write surveys and deploy, collect, analyze, and provide reports on the data collected. The survey link is emailed to graduates and their supervisors approximately 4-6 months after graduation. The link may be sent using Microsoft Outlook’s email or auto generated and sent through the survey software.

Research shows multiple contacts with graduates and supervisors increases response rates. Multiple contacts begin with a prenotice email, followed by an email with the survey link, and subsequent reminder emails¹.

The prenotice email should be brief, personalized, positively worded, and aimed at building anticipation. It typically precedes the survey by 2-7 days.

Note: The prenotice email may reveal if a supervisor no longer supervises the identified graduate. If so, TRACENs must update their supervisor records before deploying the survey.

The survey link typically follows no later than 1 week after the prenotice email. The link should be included in a one page, personalized letter briefly explaining the importance of the evaluation. The email should include a confidentiality statement and the desired survey completion date (usually 1 week from receipt).

If 1 week is not enough time to receive the necessary number of responses (see the table on p. 16), reminder emails may assist in achieving a higher response rate. The number of reminders (typically two or three) and the period of time the survey remains open (typically 3 weeks) is determined by the TO. Be sure to include the survey link in each reminder email with any other information that may assist the respondent in gaining access to the survey.

Sending a Level 3 survey out to all graduates and supervisors could cause survey fatigue and poor response rate. A more realistic and less burdensome method for sending out surveys is to collect a sample.

When choosing a random sample, be aware of the following:

- There may be an unknown pattern (e.g., every fifth class may be held on a cutter; every sixth class is attended by only O-3s instead of a mix of officers and enlisted members).
- Despite some inherent bias, it might be best to select a random schedule that tends to avoid seasons of known low response rate (e.g., holidays).

Level 3 Evaluation, continued

Interview Method
Delivery Method
Considerations

Survey Method
Best Practices
— Graduate

Although often less cost effective and more limited in size and geographical coverage, interviews, either face-to-face or telephone, are another source of rich Level 3 data.

Regardless of the interview technique, interview questions/topics should focus on the applicable TPOs and, at a minimum, capture the data described in the requirements section in order to complete the external report (see appendix 3-D) for the rest of training system stakeholders to use during the curriculum outline review process.

The most effective graduate Level 3 evaluations contain:

- **An introduction** stating the purpose of the survey, the value of the data to the training system, an estimate of the length of time needed to complete the survey, instructions on completing the survey, and why taking part in the survey will improve some aspect of the respondent’s life. Lastly, the introduction should include contact information in case the participant has any questions.

- **A question for each TPO** listed in the course curriculum outline. The graduate should be asked, “Have you performed the following task?” (Ideally, all graduates would answer “Yes” to each TPO questions.)

  The supervisor should be asked, “Does the member (graduate) perform the following task?” (List the task below.)

  **Note:** TRACEN TOs may exercise discretion for courses with more than 60 TPOs where one question per TPO would make the survey excessively long.

  TRACEN administrative specific evaluations (i.e., high-risk training (HRT) procedures as outlined in **SOP Vol. 14, High-Risk Training**) are excluded.

- **A follow-up question (“If not, why not?”)** for each negative response to the initial TPO question. Survey respondents will then choose from one of these five standard responses:
  
  - You have not had the opportunity to perform the task.
  - Your unit does not have the equipment that you were trained on.
  - Your unit uses different procedures than you were trained in.
  - You do not have the skills or knowledge to perform the task.
  - Someone other than you performs this task at your unit.

---

1. These questions are the minimum required to be asked; survey writers may provide additional questions as he/she feels necessary to collect adequate data.

2. This answer may indicate ineffective training that should be further examined.
Level 3 Evaluation, continued

Survey Method Best Practices, — Graduate, continued

- **A comment section** to allow the survey respondent the opportunity to explain his or her responses in more detail.

- **A demographics section** that only includes questions that will be analyzed. For example, knowing the graduate’s “unit type” is extremely helpful during data analysis and may indicate a trend that only exists at a particular unit. Questions about gender, race, age, educational attainment, marital status, etc., should only be asked if the data will be used in a helpful and ethical way. Intrusive questions may lower survey completion rates, negatively affecting validity and reliability.

- **A qualitative data section** for qualitative data. Qualitative data is any nonnumerical data (e.g., comments) that provides quality or richness to numerical (quantitative) responses. Typically, qualitative data provides context to help explain the reasons why it was provided.

- **Additional questions** may be included to meet the individual needs of each TRACEN as long as they are in line with the goals of Level 3 evaluations.

Survey Method Best Practices, — Supervisor

Supervisor feedback is also critical to sound Level 3 evaluations. The following should be considered when developing supervisor surveys:

- Keep the survey short. Select a few random course objectives to ask the supervisors feedback on. Every graduate’s supervisor does not need to answer a survey question for every course objective.

- Questions asked of supervisors should solicit a response other then “Yes or No.” Consider the following questions for supervisors:
  
  a. What is the importance of this objective to your unit's mission?
  
  b. Since graduation from [course name piped in], evaluate [graduate name piped in] proficiency in this objective?
  
  c. How satisfied are you with how well [course name] prepared [graduate name] for their job?
  
  d. Provide any additional comments.
Effective interviews are geared towards producing quantitative data. The two classical research method interview techniques that produce this data are structured and semistructured.

- **Structured interview** — the wording and order of questions are the same for every respondent so variations in responses can be attributed to respondents, not the interviewing technique. Wording questions the same way for each respondent is sometimes called standardizing. Asking the questions in the same order is called scheduling.

- **Semistructured interview** — the order and exact wording of questions are not important. Generally, such interviews gather qualitative data, although this can be made amenable to statistical analysis through coding.

The interviewer also has a bearing on the success of an interview. A skilled interviewer knows to look for nonverbal clues that indicate issues relevant to interviewees and how to ask open, complex questions to get in-depth responses. He/she can also dictate the pace and direction of the interview, making sure questions are asked, and therefore answered, in a specific order. A proficient interviewer also knows to avoid bias in the way questions are asked and his/her verbal and nonverbal reactions to an interviewee’s answer.

Finally, timeliness must be considered when conducting an interview. The best practice is to interview soon after a performance is executed in the field, e.g., if a TRACEN is informed of a fleet performance (e.g., via the Copy Generation Management System (CGMS), MISHAP report, etc.) that could have been influenced by the training system. The TRACEN could conduct an interview of the graduate and/or supervisor involved in the event.

Additionally, when developing the Level 3 evaluation plan, required drivers should be put in place to reinforce, encourage, and reward performance of the new skills on the job. Job aids, follow-up modules of instruction, and on-the-job training are examples of reinforcement support. Supervisors coaching and mentoring graduates to use the new skills are examples of encouragement.

Recognition and assignment of a qualification or competency are examples of rewards.

At the same time, the graduate should be monitored to ensure that the new skills are being used on the job. R. O. Brinkerhoff notes in *Telling Training’s Story* that an organization can expect new skills to be applied on the job up to 85 percent of the time when required drivers are implemented in association with training.
Examples

Examples of Level 3 surveys can be found in appendices 3-A and 3-B.
Level 4 Evaluation

Overview
A Level 4 evaluation measures to what degree targeted outcomes occur as a result of the learning event(s) and subsequent reinforcement. Commonly referred to as a “return on expectations (ROE),” it attempts to quantify what a successful training initiative delivers to key business stakeholders, demonstrating the degree to which their expectations have been satisfied.

A Level 4 evaluation of a training course answers the following questions:

- What was the impact on the organization as a result of the training?
- Was the training worth the investment?

Capturing data to articulate a direct cause and effect relationship exists between the implementation of a training program and specific organizational impacts (e.g., money saved, employee retention increased, etc.) is often challenging.

Requirements
Responsibility for Level 4 evaluations resides at the program manager (PM)/training manager (TM) level.

Delivery Method Considerations
Below are some considerations for conducting a Level 4:

- Determine desired results (a statement of an organization’s purpose combined with financial reality) based on stakeholder input.
- Identify leading indicators (checkpoints) along the way for long-range goals.
- Build strategic bridges to executives and program sponsors, as results require them.

Best Practices
Below are some of the Level 4 evaluation best practices to follow:

- Start with a Level 4 evaluation when designing an evaluation plan.
- Remember that Level 4 evaluations are the easiest type to measure but the hardest to correlate to training.
- Borrow metrics whenever possible.
The following Level 4 overview is taken from the U.S. Coast Guard Leadership Development Center (LDC).

Once a student completes a Level 1 survey in the relevant survey software, he/she will be automatically transferred to a Level 4 survey to begin to document (1) a learned skill he/she would like to transfer on the job, (2) a plan to complete this new skill, (3) outcomes he/she hopes to achieve, and (4) the block of instruction from which this transferred skill is based.

Once entered in the Level 4 survey, this information will be sent to his/her supervisor to establish a mentoring relationship/discussion to help the graduate complete this action plan.

Four months later, the evaluation branch will reach out to the graduate (and their supervisor) to ask them to complete the survey and discuss the results of this skill transfer/action plan with specific focus on tangible outcomes.

A portion of a Level 4 is shown below.

### Desired Results: Protect lives and property in the maritime environment

<table>
<thead>
<tr>
<th>Metric(s) (Measure of success)</th>
<th>Method(s) (method/tool to obtain data)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lives saved</td>
<td>AOPS reports</td>
</tr>
<tr>
<td>Marine inspections</td>
<td>MISLE Inspection reports</td>
</tr>
</tbody>
</table>

### Leading Indicators

#### External Outcomes

1. Decrease the number of lives lost at sea

<table>
<thead>
<tr>
<th>Metric(s)</th>
<th>Method(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of deaths</td>
<td>AOPs SITREPS</td>
</tr>
<tr>
<td>Number of SAR cases completed</td>
<td>AOPs SITREPS</td>
</tr>
</tbody>
</table>

2. Increase number of marine inspections

<table>
<thead>
<tr>
<th>Metric(s)</th>
<th>Method(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of marine inspections</td>
<td>MISLE</td>
</tr>
</tbody>
</table>

### Internal Outcomes

1. Increase the number of marine inspectors

<table>
<thead>
<tr>
<th>Metric(s)</th>
<th>Method(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of marine inspectors</td>
<td>PAL TMTs</td>
</tr>
</tbody>
</table>

2. Increase the number of patrols in the Windward Passage

<table>
<thead>
<tr>
<th>Metric(s)</th>
<th>Method(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Patrols</td>
<td>Cutter OPSUM</td>
</tr>
</tbody>
</table>

See [appendix 4-A](#) for screen shots from a Level 4 survey.
Appendix 1-A: Level 1 Core Questions

1. Please provide your name in the space provided (optional).
   Name ____________________

2. Please provide your current rank/paygrade.
   □ O-6
   □ O-5
   □ O-4
   □ O-3
   □ O-2
   □ W-4
   □ W-3
   □ W-2
   □ E-9
   □ E-8
   □ E-7
   □ E-6
   □ E-5
   □ E-4
   □ E-3
   □ E-2
   □ Auxiliarist
   □ Civilian/Contractor
   □ Other

3. Please provide your class number in the space provided:
   CLN (Ex., 03-08) ____________________

4. I considered the class length _____________ for the material covered.
   □ Too long
   □ Too short
   □ Appropriate

5. I found the level of technical content appropriate to my learning needs.
   Strongly Disagree 1 2 3 4 5 Strongly Agree

6. I considered the performance/practical exercises helpful in reinforcing concepts taught in class.
   Strongly Disagree 1 2 3 4 5 Strongly Agree

7. I considered the balance between lectures and exercises to be appropriate.
   Strongly Disagree 1 2 3 4 5 Strongly Agree

8. I considered the training materials to be appropriate for this topic.
   Strongly Disagree 1 2 3 4 5 Strongly Agree
Appendix 1-A: Level 1 Core Questions, continued

9. I considered the staff professional and helpful.
   *Strongly Disagree 1 2 3 4 5 Strongly Agree*

10. I considered the classroom comfortable and appropriately configured.
    *Strongly Disagree 1 2 3 4 5 Strongly Agree*

11. I found the instructors knowledgeable and familiar with all topics covered.
    *Strongly Disagree 1 2 3 4 5 Strongly Agree*

12. The instructors explained and clarified topics for myself and other students as appropriate.
    *Strongly Disagree 1 2 3 4 5 Strongly Agree*

13. The instructors encouraged me to participate and answer questions.
    *Strongly Disagree 1 2 3 4 5 Strongly Agree*

General comments

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
Appendix 1-B: Level 1: Template A

Welcome to Command Assignment Preparatory Training (CAPT)

Objective:
Please complete the following survey course to provide the LDC with feedback to improve this course for future students.

Instructions:
Use the NEXT or JUMP buttons to navigate throughout this survey.

Use the SAVE button to save your progress. When you provide your email the saved survey will be sent to you. Otherwise, you will need to write down the saved survey link which is different than the link you used to access this survey. If you do not save you survey and use the link emailed to you, you will not be able to see responses already entered.

Email addresses will not be used to identify you or included in any review of these data.

Email to send a saved survey

Email

Next

Leadership Development Center
Select your session

Session (Click here for choices)

[Use the JUMP button to assess another block of instruction or activity. Pages with asterisks (*) have been answered.]

Back  Next  Save  JUMP

Leadership Development Center
Responsibility, Authority, and Accountability

<table>
<thead>
<tr>
<th>I was satisfied with this instruction</th>
<th>Not at all satisfied</th>
<th>Slightly satisfied</th>
<th>Moderately satisfied</th>
<th>Very satisfied</th>
<th>Completely satisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>I was satisfied with the instructor’s performance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Select your instructor

Instructor  (Click here for choices)  

What worked, went well, or was good?  

What could be improved?  

Comment on the instruction covered in this class  

Comment on the instructor presenting the material  

[Use the JUMP button to assess another block of instruction or activity. Pages with asterisks (*) have been answered.]

Back  Next  Save  JUMP
Appendix 1-B: Level 1: Template A, continued

Overall Course Evaluation

<table>
<thead>
<tr>
<th>Strongly Disagree</th>
<th>Disagree</th>
<th>Neither Disagree or Agree</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>I feel I am better prepared for my job</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall I am satisfied with this course</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments

The most valuable portion of this course was... (list and explain why)

The least valuable portion of this course was... (list and explain why)

What was your biggest take away from this course?

What could we do to improve this course?

Overall, what are your thoughts on this course?
Appendix 1-B: Level 1: Template A, continued

Demographics: What is your gender?
- Male
- Female
- I do not wish to answer

Select your status
- Current Status
- Duty Status
- Rank
- Rate

What is your unit?
- Unit

Are you interested in providing a leadership story for the LDC Leadership Legacy book to inspire future leaders?
By selecting yes below and providing an email address we will send you a link to a site where you can add your story and leave your legacy to inspire future Coast Guard students.
- No
- Yes

[To SUBMIT your survey, select NEXT below]
This page is intentionally left blank.
Check on Learning #2

1. The Government’s legal power to act is defined as __________.
   a. Authority
   b. Jurisdiction
   c. 14 USC 89 (a)
   d. Substantive law

2. The principal source of Coast Guard law enforcement authority is __________.
   a. 14 USC 1589 (a)
   b. 14 USC 143
   c. 14 USC 88
   d. 14 USC 89 (a)

3. The four types of vessels are: Government owned (noncommercial), recreational, commercial, and __________.
   a. U.S.
   b. Warship
   c. Foreign flagged
   d. Federal

4. Which of the following is one of the Coast Guard’s five fundamental sources of authority?
   a. Substantive law
   b. Inspection
   c. Assistance
   d. Arrest

5. “SEAS II” is an acronym for Search, Examine, Arrest, Seize, __________, and __________.
   a. Investigate, Inquire
   b. Inspect, Initiate
   c. Instigate, Inspect
   d. Inspect, Inquire
6. Which letter represents custom waters?

7. Which letter represents high seas?

8. Which letter represents territorial sea(s)?

9. Which letter represents an exclusive economic zone(s) (EEZs)?

10. Which letter represents a contiguous zone(s)?
## Appendix 2-B: Performance Test Checklist

**ME “A” PERFORMANCE TEST CHECKLIST**  
*Self Aid/Buddy Aid*

<table>
<thead>
<tr>
<th>Class Number:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students:</td>
<td></td>
</tr>
</tbody>
</table>

### TPO

8. 2 Given a simulated care under fire environment, victims with life threatening injuries, and an Individual First Aid Kit, PERFORM Self Aid/Buddy Aid procedures for injury in accordance with the Self Aid/Buddy Aid Performance Test Checklist.

### Student may use the following:

- None

### EVALUATION CRITERIA:

#### Accuracy:

- Applies tourniquet high on limb
- Packs wound with proper gauze
- Wraps wound securely
- Uses proper splinting techniques

#### Time:

- Applies tourniquet securely in under 3 minutes

#### Safety:

- Mitigates risks
- Does not create unsafe situations

#### Other:

- None

### Enabling Objectives (EO)

<table>
<thead>
<tr>
<th>Enabling Objectives (EO)</th>
<th>Attempt</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1st</td>
</tr>
<tr>
<td></td>
<td>Y</td>
</tr>
</tbody>
</table>

#### 1. IDENTIFY victim(s) injuries

- Hemorrhages
- Tension Pneumothorax
- Airway Obstructions
- Fractures
- Shock

#### 2. TREAT victim(s) injuries

- Hemorrhages
- Tension Pneumothorax
- Airway Obstructions
- Fractures
- Shock

#### 3. ASSEMBLE casualties at designated casualty collection point

#### 4. PRIORITIZE casualties for a simulated tactical evacuation

To receive a GO all EO’s must receive a YES

- Go
- No Go

Enter Evaluation Scenario #
### ME “A” PERFORMANCE TEST CHECKLIST

*Self Aid/Buddy Aid*

#### ASSESSMENT RECORD

*Evaluator and students/team members must INITIAL AND DATE for each evaluation scenario*

<table>
<thead>
<tr>
<th>Attempt #1</th>
<th>Scenario #________</th>
<th>Student Performance Feedback</th>
<th>Student Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Instructor Name:**

**Date:**

**Instructor Initials:**

- [ ] **GO**
- [ ] **NO GO**

<table>
<thead>
<tr>
<th>Attempt #2</th>
<th>Scenario #________</th>
<th>Student Performance Feedback</th>
<th>Student Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Instructor Name:**

**Date:**

**Instructor Initials:**

- [ ] **GO**
- [ ] **NO GO**

<table>
<thead>
<tr>
<th>Attempt #3</th>
<th>Scenario #________</th>
<th>Student Performance Feedback</th>
<th>Student Initials</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Instructor Name:**

**Date:**

**Instructor Initials:**

- [ ] **GO**
- [ ] **NO GO**

---

Revised September 2014

Page 2 of 2
Appendix 3-A: Level 3 Survey (LDC)

**Section I: Demographics**

Course title (hidden):

Course number (hidden):

I am the:
- Graduate.
- Graduate's supervisor.

**Section II: Objectives**

See the curriculum for each objective/task (terminal performance objective (TPO)). The following items are asked for each TPO.

Graduate Items (per objective):

Do you perform [objective]?
- Yes
- No

How often do you perform this task?
- 5 Daily (once a day or more)
- 4 Weekly (1-4 times per week)
- 3 Monthly (1-4 times per month)
- 2 Occasionally (2-10 times a year)
- 1 Seldom (a few times a year)

How well did the class instruction contribute to your ability to perform this task?
- 1 Contributed little
- 2
- 3 Contributed somewhat
- 4
- 5 Contributed greatly

If no, please choose one of the following options.
- 1 You have not had the opportunity to perform the task.
- 2 Your unit does not have the equipment that you were trained on.
- 3 Your unit uses different procedures than what you were trained in.
- 4 You do not have the skills or knowledge to perform the task.
- 5 Someone other than you performs this task at your unit.
Appendix 3-A: Level 3 Survey (LDC), continued

**LDC: Level III Survey**
Please take approximately 10 minutes to complete the following survey. Your responses will help us to evaluate the effectiveness of the Prospective Commanding Officer/Prospective Executive Officer Afloat Course taught at the Leadership Development Center, U.S. Coast Guard Academy.

For the survey to provide meaningful feedback, it requires the willing participation of the graduate and his or her supervisor. Therefore, both the graduate and the supervisor are being asked to respond to a series of similar questions.

In this survey, you, the graduate's supervisor, are being asked for your perception of the graduate's ability to accomplish terminal performance objectives (TPOs) covered in the course. The graduate in this case would be the individual who forwarded you the email with the link to this survey.

Your responses will remain confidential. Neither you nor the graduate will be able to see the other's response.

Please respond to all items and include specific written comments when needed. Many questions are marked “(Answer required.)” These questions must be answered to proceed to the next page of the survey.

We truly appreciate your candor in helping us provide a program that meets the needs of future graduates and the U.S. Coast Guard.

Navigational buttons are provided to assist in moving through the survey. They consist of a:
- **Next** button: Moves to the next page of the survey.
- **Reset** button: Erases all survey entries on the current page and reloads the page.
- **Submit** button: Submits the survey (available on the last page).

**Section II: Objectives, continued**
Supervisor Items (per objective):

Does the graduate perform [objective]?
- ☐ Yes
- ☐ No
- ☐ Unable to assess

Please rate the graduate's ability to perform this task? (Answer required.)
- ☐ 1 Poor: Requires frequent assistance to perform the task.
- ☐ 2
- ☐ 3 Basic: Performs the task with minimal assistance.
- ☐ 4
- ☐ 5 Expert: Performs the task without assistance.

How important is this task to the unit’s success? (Answer required.)
- ☐ 1 Not important: Limited contribution to the mission’s success.
- ☐ 2
- ☐ 3 Important: Contributes to the mission’s success.
- ☐ 4
- ☐ 5 Very important: Essential to the mission’s success.

If no, please choose one of the following options. (Answer required.)
- ☐ 1 You have not had the opportunity to perform the task.
- ☐ 2 Your unit does not have the equipment that you were trained on.
- ☐ 3 Your unit uses different procedures than what you were trained in.
- ☐ 4 You do not have the skills or knowledge to perform the task
- ☐ 5 Someone other than you performs this task at your unit.

**Section III: Comments and Recommendations**
Would you recommend this course to others? (Net promoter score 0 to 10). If < 7, why?

Graduate only:
- ☐ What job tasks were not covered by these TPOs?
- ☐ Enter your first line supervisor’s email (to be used to send Level 3 evaluation to your supervisor).

Graduate and supervisor:
- ☐ Enter any additional comments you would like to make here.
Appendix 3-B: Level 3 Evaluation

The following example that follows shows images (questions) from an online Level 3 Evaluation created using Coast Guard Survey Software - VERINT.

**GRADUATE SECTION**

![Image of survey page 1](image1)

![Image of survey page 2](image2)
Please indicate your current status.

- I just graduated from Boat Forces Command Cadre (BFCC).
- It’s been approximately six (6) months since I graduated from Boat Forces Command Cadre (BFCC)

Note: You previously stated you graduated from Boat Forces Command Cadre (BFCC) on approximately 9/9/2014

My supervisor is Erica Mohr

- Yes
- No

Leadership Development Center
Please verify Erica Mohr’s email address below and make any corrections.
If nothing below has changed, please just select NEXT.

```
email  erica.mohr@uscg.mil
```

[Back] [Next]

Leadership Development Center

Both Jason Siniscalchi and Erica Mohr will now have the opportunity to provide input on the objectives covered in Boat Forces Command Cadre (BFCC).
Please select your name below to continue.

I am

- Erica Mohr
- Jason Siniscalchi

[Back] [Next]

Leadership Development Center
Appendix 3-B: Level 3 Evaluation, continued

My supervisor is Erica Mohr

- [ ] Yes
- [ ] No

Back  Next

Leadership Development Center
Appendix 3-B:  Level 3 Evaluation, continued

Please answer the following questions about specific objectives covered in Boat Forces Command Cadre (BFCC) to help use with accreditation and ensuring the curricula meets the needs of our future students.

Have you performed these objectives on the job in the last 4 months

<table>
<thead>
<tr>
<th>Objective</th>
<th>Do you perform this objective on the job</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.04 APPLY the Operational Risk Management process</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.03 COORDINATE the use of Reserve members</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>3.02 ENFORCE unit-based Standards of Conduct</td>
<td>Yes</td>
</tr>
<tr>
<td>4.11 INFORM unit personnel about the input the MCPO-CG or Gold Badge CMC has on Coast Guard policies that affect the unit</td>
<td>No, I have not had the opportunity to perform the task</td>
</tr>
<tr>
<td>2.02 ESTABLISH a Command Philosophy</td>
<td>No, my unit does not have the equipment that I was trained on</td>
</tr>
<tr>
<td>2.09 MAINTAIN the unit's Naval Engineering Program</td>
<td>No, my unit uses different procedures than what I was trained in</td>
</tr>
<tr>
<td>4.09 MAINTAIN the property management programs at a unit</td>
<td>No, I do not have the skills or knowledge to perform the task</td>
</tr>
<tr>
<td>1.02 IMPLEMENT the Health and Wellness program for self and subordinates</td>
<td>No, someone else performs this task at my unit</td>
</tr>
<tr>
<td>4.05 ESTABLISH collateral duties required to perform the primary functions of the Boat Forces unit</td>
<td>No, other reason not listed above</td>
</tr>
<tr>
<td>2.04 COMPLY with the Coast Guard’s personal conduct policy</td>
<td></td>
</tr>
<tr>
<td>2.08 IMPLEMENT the Substance Abuse program</td>
<td></td>
</tr>
<tr>
<td>4.07 DEVELOP awards citations</td>
<td></td>
</tr>
<tr>
<td>2.06 COMPLY with the Coast Guard’s Public Affairs program</td>
<td></td>
</tr>
<tr>
<td>4.13 ALIGN the unit’s Navigation Standards</td>
<td></td>
</tr>
<tr>
<td>4.15 IMPLEMENT a unit mishap plan</td>
<td></td>
</tr>
</tbody>
</table>

Leadership Development Center
### Appendix 3-B: Level 3 Evaluation, continued

Please assess the following objectives you have identified as performing on the job since graduating Boat Forces Command Cadre (BFCC).

<table>
<thead>
<tr>
<th>Objective</th>
<th>How important is this objective to your Unit's mission</th>
<th>How often do you perform this objective on the job</th>
<th>How difficult is it to perform this objective</th>
<th>How has your performance of this objective improved since attending Boat Forces Command Cadre (BFCC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.04 APPLY the Operational Risk Management process</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>1.02 IMPLEMENT the Health and Wellness program for self and subordinates</td>
<td>Not at all important</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.03 COORDINATE the use of Reserve members</td>
<td>Somewhat important</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.13 ALIGN the unit's Navigation Standards</td>
<td>Very Important</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td></td>
<td>Vital</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
<td>(Click here for choices)</td>
</tr>
</tbody>
</table>

Leadership Development Center

Back  Next

[Image of the form with dropdown options for assessment]
Appendix 3-B: Level 3 Evaluation, continued

How satisfied are you with how well Boat Forces Command Cadre (BFCC) prepared you for your job?

Not at all  Extremely
0  1  2  3  4  5  6  7  8  9  10

Please identify any tasks you perform on the job that were not covered in Boat Forces Command Cadre (BFCC).

Back  Submit Survey

Leadership Development Center
SUPERVISOR SECTION

Based on Jason Siniscalchi’s performance since graduation, how satisfied are you with how well Boat Forces Command Cadre (BFCC) prepared Jason Siniscalchi?

Not at all    Extremely
0 1 2 3 4 5 6 7 8 9 10

We have one last question on the next page. Please assess the performance objectives from Boat Forces Command Cadre (BFCC) in relation to your unit’s mission and Jason Siniscalchi’s performance.

By providing this information, you will help with continued course accreditation and ensuring course curricula meets the needs of our future students and ultimately the Coast Guard.

Leadership Development Center
Appendix 3-B: Level 3 Evaluation, continued

Please assess the importance of each objective and Jason Siniscalchi's performance on each the following objectives covered in Boat Forces Command Cadre (BFCC).

<table>
<thead>
<tr>
<th>Importance of this objective to your Unit's mission</th>
<th>Has Jason Siniscalchi's ability to perform this objective changed after attending Boat Forces Command Cadre (BFCC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.01 MAINTAIN the property management programs at a unit</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.03 ALIGN the unit's Navigation Standards</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.02 IMPLEMENT the Health and Wellness program for self and subordinates</td>
<td>Not at all important</td>
</tr>
<tr>
<td>4.05 ESTABLISH collateral duties required to perform the primary functions of the Boat Forces unit</td>
<td>Very Important</td>
</tr>
<tr>
<td>4.11 INFORM unit personnel about the input the MCPO-OG or Gold Badge CMC has on Coast Guard policies that affect the unit</td>
<td>Vital</td>
</tr>
<tr>
<td>2.02 ESTABLISH a Command Philosophy</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>3.02 ENFORCE unit-based Standards of Conduct</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>2.08 IMPLEMENT the Substance Abuse program</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>2.06 COMPLY with the Coast Guard’s Public Affairs program</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.07 DEVELOP award citations</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>2.04 COMPLY with the Coast Guard’s personal conduct policy</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>3.04 APPLY the Operational Risk Management process</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.09 MAINTAIN the unit’s Naval Engineering Program</td>
<td>(Click here for choices)</td>
</tr>
<tr>
<td>4.15 IMPLEMENT a unit mishap plan</td>
<td>(Click here for choices)</td>
</tr>
</tbody>
</table>
Appendix 3-C: Flowchart for Level 3 Evaluation Management

Pictured below is the Coast Guard Training System (TRASYST) flowchart for Level 3 Evaluation (L3E) management.
This page is intentionally left blank.
## Appendix 3-D: Executive Summary Standardization Form

### External Executive Summary Standardization Form

<table>
<thead>
<tr>
<th>[Course / Course ID]</th>
<th>[TRACEN]</th>
<th>[Program Directorate (i.e. CG-731)]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 3 Evaluation Period: [dd to dd]</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### BASIC EVAL DATA

<table>
<thead>
<tr>
<th>No. of graduates L3 evaluated:</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>No. of supervisors L3 evaluated:</td>
<td>0</td>
</tr>
<tr>
<td>Student response rate:</td>
<td>0%</td>
</tr>
<tr>
<td>Supervisor response rate:</td>
<td>0%</td>
</tr>
</tbody>
</table>

[Provide possible reasons for any indicated low response rates above]

### TPO(S) NEEDING FURTHER EXAMINATION BY STAKEHOLDERS

[Fill out table below with TPOs exceeding Markers in L3 Evals]

<table>
<thead>
<tr>
<th>Terminal Performance Objective (TPO)</th>
<th>Data Marker Category</th>
<th>Marker (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Ex. TPO 2.1 While in a capsized boat, PERFORM egress procedures without assistance from rescue divers.]</td>
<td>90%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Choose an item.</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Choose an item.</td>
<td>0%</td>
</tr>
</tbody>
</table>

[Add more lines to the table as needed.]

### ACTION RECOMMENDED / TAKEN

[Provide any steps or recommendations to correct TPOs mentioned above]

**Example:**

TPO 2.1

- Unless member is unfortunate enough to find oneself in capsized boat, they will not perform procedures in fleet.
- Recommend creating a unit model aviation training model and acquiring “SWET” chairs to practice in a local pool to build confidence and retain muscle memory.

[TPO]

[Action taken / recommendation]  
[Action taken / recommendation]  
[Action taken / recommendation]  
[Action taken / recommendation]  

[TPO]

[Action taken / recommendation]  
[Action taken / recommendation]  
[Action taken / recommendation]  
[Action taken / recommendation]
This page is intentionally left blank.
Appendix 4-A: Level 4

After submitting the Level 1, a graduate will be taken directly to this Level ¾ survey.
Appendix 4-A: Level 4, continued

Here the graduate describe a skill to implement on the job and his/her implementation plan.
If the graduate does not know his/her supervisor’s email address, the survey will save and be sent to the graduate’s home email. He/she can complete it when he/she has access to his/her supervisor’s email.
Appendix 4-A: Level 4, continued

The supervisor’s name and email is entered here.
The following information will be shared with your supervisor Jason Supervisor at jason.m.miniscalchi@uscg.mil:
You will be sent an email with this information for your records.

Jason Supervisor,
Recently, Jason Graduate graduated from the following Leadership Development Center course: Chief Petty Officer Academy (CPOA).
You have been identified as Jason Graduate's supervisor. If this is incorrect, please let Jason Graduate know and forward this email to the appropriate supervisor.
Based on what Jason Graduate learned from the course, Jason Graduate identified the following as an area of growth on the job:

Skill: skill goes here
Plan to implement skill: implementation plan goes here
Measures of success: measurement goes here
Over the next several weeks, please engage Jason Graduate in discussion on his/her progress toward meeting this plan. Both Jason Graduate and you will receive another survey in approximately 4 months to provide the Leadership Development Center with a report on the progress and impact of this plan.
Thank you for your participation and supporting the Leadership Development Center in building Leaders of Character and promoting leadership within the Coast Guard.

This is a copy of the email sent the graduate and supervisor describing the plan/skill. This information will be used to begin a dialogue between the two. The course description is also provided in the email that is set to both parties.
This is a trigger point at which the skill description portion is done. Four months later, an email will be sent to the graduate asking him/her to reenter and complete the survey.
Appendix 4-A: Level 4, continued

You will now be asked to evaluate your plan's impact and skill development based on your previous responses approximately 4 months ago:

Based on what you learned from Chief Petty Officer Academy (CPOA), you identified the following as an area of improvement on the job:

**Skill:**
- skill goes here

**Plan to implement skill:**
- implementation plan goes here

**Measure of success:**
- measurement goes here

**Did you complete the plan to implement the skill listed above?**
- Yes
- No

Leadership Development Center

Here a graduate states if he/she has completed the plan he/she described upon graduation.
Appendix 4-A: Level 4, continued

If the plan was not completed, the graduate explains why not (field not shown).
If the plan was completed, the graduate describes the impact.
Everyone describes the overall course impact.
Appendix 4-A: Level 4, continued

Previously you identified Jason Supervisor as the person with whom you planned to have a conversation about your implementation plan. If Jason Supervisor's email has changed, or you had an ongoing conversation/mentoring with another supervisor regarding your plan, please overwrite the fields below with the correct information, then select NEXT.

If nothing below has changed, please just select NEXT.

name Jason Supervisor
email jason.m.siniscatch@uscg.mil

If the supervisor/person the plan was briefed to changes, the graduate may enter a new person here, assuming this new person is familiar with the plan.
Overall course satisfaction is reassessed at this point. The graduate describes any other tasks he/she performs on the job that were not covered in the course.
Four months ago, Jason Gradute graduated from Chief Petty Officer Academy (CPOA) of the Leadership Development Center. Jason Graduate's initial plan of action is described below:

**Skill:**
- skill goes here

**Plan to implement skill:**
- implementation plan goes here

**Measures of success:**
- measurement goes here

Recently Jason Gradute stated the impact of their plan was:

Have you discussed the plan above with Jason Gradute within the last 4 months?
- Yes
- No

From your perspective, did Jason Gradute complete the plan above?
- Yes
- No
- Unable to Assess

Here the supervisors is asked to assess if he/she had a discussion with the graduate and if the graduate’s plan was completed.
Appendix 4-A: Level 4, continued

Here outcomes from the plan are described, or the supervisor explains why he/she cannot provide an assessment on the previous selection (field not shown).
Appendix 4-A: Level 4, continued

Here overall course satisfaction is assessed, and other course benefits to the graduate are described from the supervisor’s perspective.
This page is intentionally left blank.