



atd **CORE** 

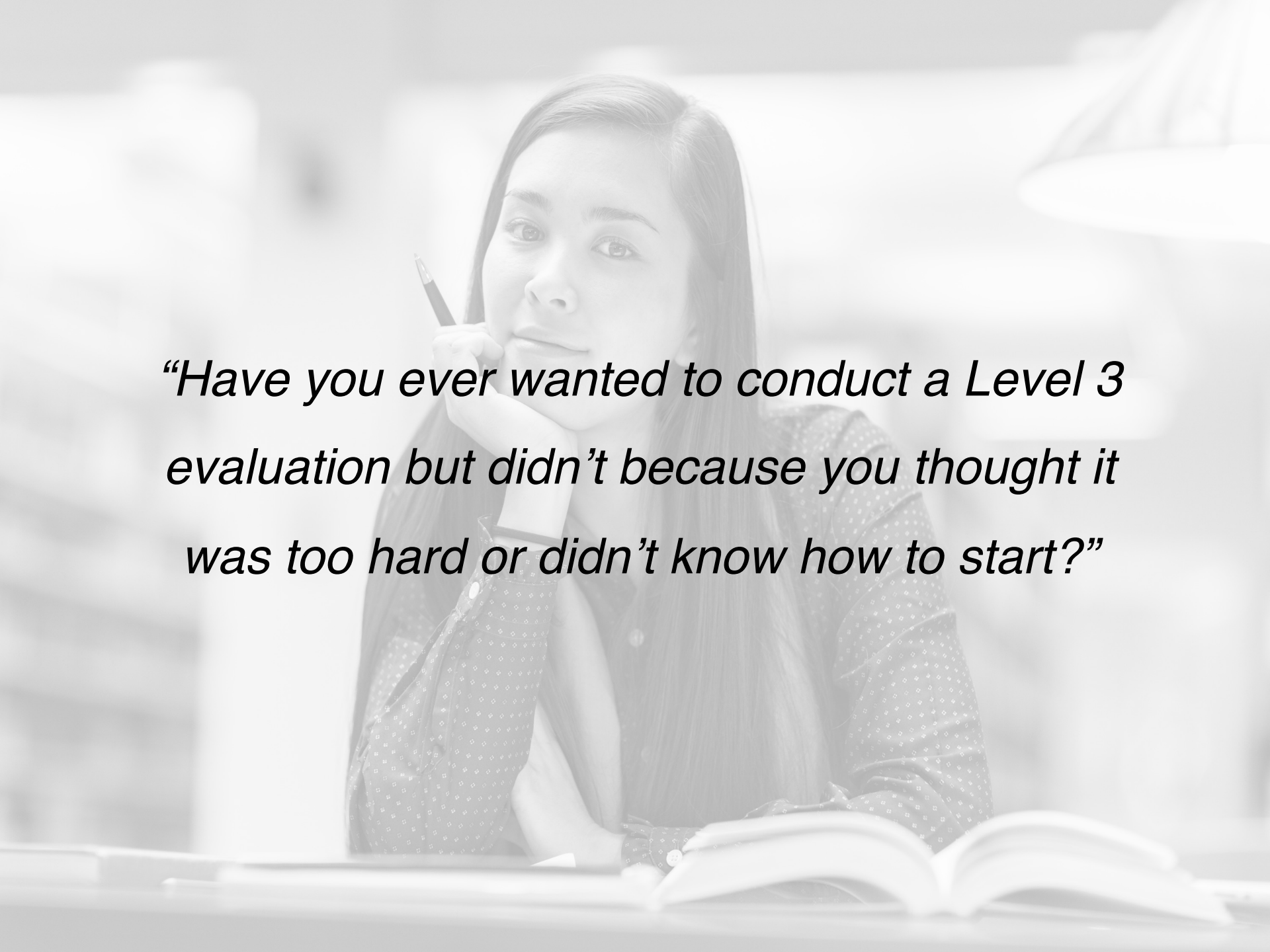
NEW ORLEANS
OCT 24-25, 2022

SESSION:

Level 3 Evaluations Made
Simple, Credible, &
Actionable

SPEAKER:

Ken Phillips
Phillips Associates
October 25, 2022

A grayscale photograph of a woman with long dark hair, sitting at a desk. She is resting her chin on her hand, holding a pen, and looking thoughtfully to the side. An open book is on the desk in front of her. The background is blurred, showing a lamp and some papers.

“Have you ever wanted to conduct a Level 3 evaluation but didn’t because you thought it was too hard or didn’t know how to start?”

Agenda

After attending this session, you will be able to:

- ✓ **Use** facts from an ATD research study to benchmark your organization's use of Level 3 evaluations
- ✓ **Implement** an innovative new way to conduct Level 3 evaluations that is simple & produces credible, actionable data
- ✓ **Use** estimation to calculate training transfer

5-Level Evaluation Model

Level 1: Reaction	Degree to which participants find the training favorable, engaging, and relevant to their jobs
Level 2: Learning	Degree to which participants acquire the intended knowledge, skills, attitude, confidence and commitment based on their participation in the training
Level 3: Behavior	Degree to which participants apply what they learned during training when they are back on the job
Level 4: Results	Degree to which targeted outcomes occur as a result of the training and the support and accountability package
Level 5: ROI	Degree to which monetary program benefits exceed program costs

Katzell &
Kirkpatrick

Phillips

Level 3 Evaluation Facts

54%

Organizations
evaluate some
programs
at Level 3

Source: ATD Research Study, "Effective Evaluation: Measuring Learning Programs for Success," 2019



Level 3 Evaluation Facts

34%

of all **programs** being
evaluated at
Level 3

Source: ATD Research Study, "Effective Evaluation: Measuring Learning Programs for Success," 2019



Level 3 Evaluation Facts

79%

Organizations view
data collected
as having high
or very high value

Source: ATD Research Study, "Effective Evaluation: Measuring Learning Programs for Success," 2019



Why The Disconnect?



5

Reasons:

- ✓ Conducting Level 3 evaluations is regarded as too difficult
- ✓ Many L&D professionals lack the knowledge & skills needed to collect & analyze Level 3 data
- ✓ Few L&D leaders require Level 3 evaluation data from their staff
- ✓ Many L&D professionals claim they don't have access to Level 3 data
- ✓ It costs too much

**What's
the
solution?**



Level 3 Evaluations Made

**Simple, Credible, &
Actionable!**



**What
makes the
methodology
simple?**

- ✓ It only requires collecting data from 25-30 participants 30 days post-program
- ✓ It only requires asking three data collection questions
- ✓ It only requires the use of fourth grade math skills

Why wait

30

days?

- ✓ It gives participants ample time to have an opportunity to apply what they learned in a training program
- ✓ It allows for the full range of obstacles to emerge inhibiting or preventing participants from applying what they learned

The 3 Questions

1. What percent of the program material have you applied back on the job?
2. How confident are you that your estimate is accurate?
3. What obstacles, if any, inhibited or prevented you from applying what you learned in the program back on the job?



3

methods for gathering answers to the 3 questions:

1. Focus groups (3-5 persons each) -- virtual or face-to-face

2. Interviews

3. Survey



Why focus groups?

- ✓ They require less time than conducting one-on-one interviews
- ✓ They provide an opportunity to ask follow-up questions, which a survey does not

Level 3 Evaluations Made

Simple, Credible, and

Actionable



“
*Most business executives are only
looking for credible evidence not
scientific proof.*
”

Source: Ken Phillips



The Expert Estimation Technique



**What makes
the
estimation
technique
credible?**

- ✓ It has been used extensively since the early 1970s
- ✓ It accounts for any error in a participant's estimate of the percent of the program material applied back on the job
- ✓ It uses a range to identify the training transfer percentage which is more credible than a specific number

Doing The Estimation Math

Q1

Q2

Participant	% Program Applied Back on Job	Confidence Level of Estimate	Potential Error in Estimate	Potential +/- Error Range	Best Case Adjusted Training Transfer Percentage	Worst Case Adjusted Training Transfer Percentage
011	70	60	40	28	98	42
022	10	90	10	1	11	9
013	50	35				
004	90	100				

↓

Subtract the confidence level from 100% by the potential error estimate (40) & divide by 100

↓

Multiply the % program applied (70) by the potential error estimate (40) & divide by 100

↓

Add 28 to the 70%

↓

Subtract 28 from the 70%

Continued

Doing The Estimation Math

Q1		Q2				
Participant	% Program Applied Back on Job	Confidence Level of Estimate	Potential Error in Estimate	Potential +/- Error Range	Best Case Adjusted Training Transfer %	Worst Case Adjusted Training Transfer %
011	70	60	40	28	98	42
022	10	90	10	1	11	9
013	50	35	65	32.5	82.5	17.5
004	90	100	0	0	90	90
					Total 281.5	Total 158.5

Continued

Doing The Estimation Math

Calculation 1:

$$\begin{array}{ccccc} \text{Sum Best Case} & & & & \text{Best Case} \\ \text{Adjusted} & & & & \text{Training} \\ \text{Training} & \div & \text{Number} & = & \text{Transfer} \\ \text{Transfer} & & \text{Focus} & & \% \\ \% & & \text{Group} & & \\ (281.5) & & \text{Participants} & & \\ & & (4) & & (70.4) \end{array}$$

Calculation 2:

$$\begin{array}{ccccc} \text{Sum Worst Case} & & & & \text{Worst Case} \\ \text{Adjusted} & & & & \text{Training} \\ \text{Training} & \div & \text{Number} & = & \text{Transfer} \\ \text{Transfer} & & \text{Focus} & & \% \\ \% & & \text{Group} & & \\ (158.5) & & \text{Participants} & & \\ & & (4) & & (39.6) \end{array}$$

Doing The Estimation Math

Calculation 3:

$$\begin{array}{ccccc} \text{Best Case} & & \text{Worst Case} & & \text{Most Likely} \\ \text{Training} & & \text{Training} & & \text{Training} \\ \text{Transfer} & + & \text{Transfer} & \div 2 = & \text{Transfer} \\ \% & & \% & & \% \\ (70.4) & & (39.6) & & (55) \end{array}$$

Best Case 70%

Most Likely Case 55%

Worst Case 40%

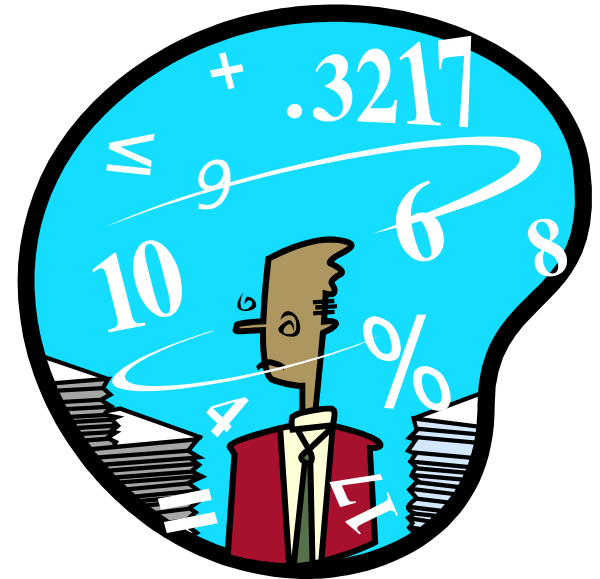
Level 3 Evaluations Made

Simple, Credible, and

Actionable



“ *Identifying obstacles to training transfer is only half your job; making sense out of them is the other half!* **”**



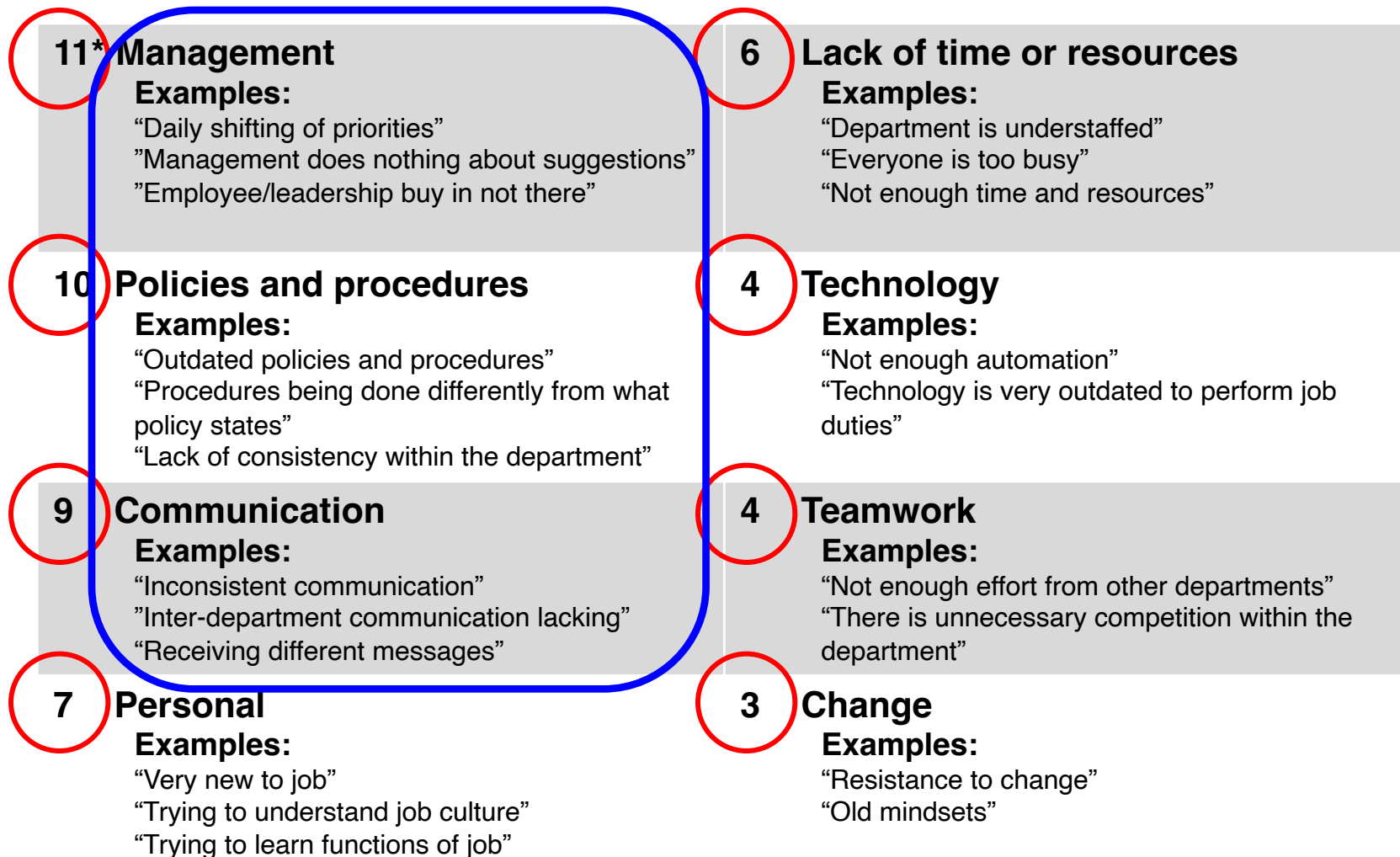
Source: Ken Phillips



**How to make
training
transfer
obstacles
actionable**

- ✓ Analyze the obstacles for themes & patterns
- ✓ Consolidate all like-minded obstacles into clusters
- ✓ Count the number of obstacles in each cluster
- ✓ Place the clusters into numeric order from highest to lowest

Obstacles to Training Transfer



* Frequency of comments

Instructions

- Review the information in the table on **page 1** in your handout
- Calculate the amount of training transfer associated with the High Potential Leadership program using the estimation technique
- Be prepared to share your findings with the whole group

This activity
will be done in
breakout
groups



Doing the Estimation Math

Program name: High Potential Leadership program

Participant	% Program Applied Back on Job	Confidence Level of Estimate	Potential Error in Estimate	Potential +/- Error Range	Best Case Adjusted Training Transfer %	Worst Case Adjusted Training Transfer %
017	15	60				
020	50	70				
003	25	75				
014	30	80				
025	70	90				
006	80	100				
027	25	90				
018	25	80				
019	20	80				
010	30	90				

↓
Subtract the confidence level from 100%

↓
Multiply the % program applied by the potential error in the estimate & divide by 100

↓
Add the +/- error range to the % program applied back on job

↓
Subtract the +/- error range from the % program applied back on job

Doing The Estimation Math Solution

Best Case	43%
Most Likely Case	37%
Worst Case	32%

Doing the Estimation Math

Program name: High Potential Leadership program

Participant	% Program Applied Back on Job	Confidence Level of Estimate	Potential Error in Estimate	Potential +/- Error Range	Best Case Adjusted Training Transfer %	Worst Case Adjusted Training Transfer %
017	15	60	40	6	21	9
020	50	70	30	15	65	35
003	25	75	25	6	31	19
014	30	80	20	6	36	24
025	70	90	10	7	77	63
006	80	100	0	0	80	80
027	25	90	10	3	28	22
018	25	80	20	5	30	20
019	20	80	20	4	24	16
010	30	90	10	3	33	27

(425)

(315)

Continued

Doing The Estimation Math

Calculation 1:

$$\begin{array}{ccccc} \text{Sum Best Case Adjusted Training Transfer \%} & \div & \text{Number Focus Group Participants} & = & \text{Best Case Training Transfer \%} \\ (425) & & (10) & & (42.5) \end{array}$$

Calculation 2:

$$\begin{array}{ccccc} \text{Sum Worst Case Adjusted Training Transfer \%} & \div & \text{Number Focus Group Participants} & = & \text{Worst Case Training Transfer \%} \\ (315) & & (10) & & (31.5) \end{array}$$

Doing The Estimation Math

Calculation 3:

$$\begin{array}{ccccc} \text{Best Case} & & \text{Worst Case} & & \text{Most Likely} \\ \text{Training} & & \text{Training} & & \text{Training} \\ \text{Transfer} & + & \text{Transfer} & \div 2 = & \text{Transfer} \\ \% & & \% & & \% \\ (42.5) & & (31.5) & & (37) \end{array}$$

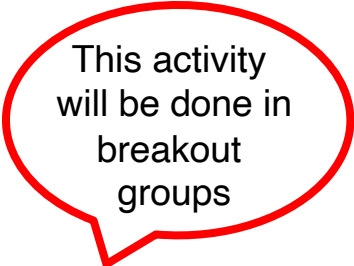
Best Case 43%

Most Likely Case 37%

Worst Case 32%

Instructions

- Analyze the obstacles on **pages 4-6** in your handout for common themes & patterns
- Consolidate the like-minded obstacles into clusters, count the number of obstacles in each cluster & place them in numeric order from highest to lowest
- Be prepared to share your results with the whole group



This activity
will be done in
breakout
groups

The Solution

10* Lack of time

Examples:

"Finding the time to apply the techniques – not getting caught up in my day job."

"Mostly time factors for getting things done."

9 Remembering the techniques

Examples:

"Forgot about some of the techniques"

"Just remembering to do it!"

8 Organization culture

Examples:

"The environment around us can sometimes hinder as people are negative"

Culturally it is very difficult to feel comfortable doing some of the techniques as this is seen 'not to be the done thing around here' "

4 Lack of dedicated space

Examples:

"No private space or quiet area to go to"

"Feeling uncomfortable in front of others"

4 Managers haven't attended

Examples:

"Managers need to understand the theory and techniques so they can encourage and allow people to use them"

"It's quite difficult to do when stakeholders are not attending and therefore don't understand"

4 Personal motivation

Examples:

"I am the blocker; I don't give it the time and don't refresh myself on the techniques"

"I need to reaffirm and embed as a natural habit rather than something I have to force"

2 Relevancy

Examples:

"Some of it doesn't apply to me or I don't feel it is relevant or appropriate"

"I am only applying what's appropriate for me"

* Frequency of comments

Poll

What's your reaction to the Level 3 evals made simple method ?

- A. Nifty**
- B. Very interesting**
- C. Thought provoking**
- D. Not sure yet**



“
If we have data, let's look at the data.
If all we have are opinions,
*let's go with mine.***”**

Source: James Blankenship former CEO Netscape



Other M & E

Resources



Free M&E Articles

- ✓ “Eight Tips on Developing Valid Level 1 Evaluation Forms”
- ✓ ”Predictions and Probabilities in Training Evaluation.”
- ✓ “Level 1 Evaluations: Do They Have a Role in Organization Learning Evaluation Strategy?”
- ✓ “Developing Valid Level 2 Evaluations”
- ✓ “Writing Test Questions That Actually Measure Something”
- ✓ Level 3 Evaluations Made Simple, Credible, and Actionable
- ✓ “Capturing Elusive Level 3 Data: The Secrets of Survey Design”
- ✓ “Business Results Made Visible: Designing Proof Positive Level 4 Evaluations”

All the articles above are available under the “Resources” tab at: www.phillipsassociates.com

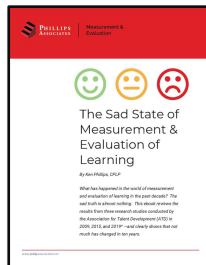
Available on www.phillipsassociates.com

2 Free M&E ebooks



New Rules, New Tools

An overview of Predictive Learning Analytics™, a revolutionary, new method for boosting training transfer



The Sad State of M&E

A look at M&E over the last 10 years, and how we can do better going forward



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