United Nations
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Guidelines

Design, Delivery and Evaluation of Training (Training Cycle)

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DPO GUIDELINES ON
DESIGN, DELIVERY AND EVALUATION OF TRAINING (TRAINING CYCLE)

Content:

ANNEXURES

A. PURPOSE

1. The purpose of these Guidelines is to provide a clear standard for personnel in the Department of Peace Operations (DPO) and peacekeeping operations on how to design, deliver and evaluate individual (not institutional or systemic) training programmes effectively. The guidelines also provide guidance on determining when training can resolve an identified performance gap, and when other non-training solutions should be used.

B. SCOPE

2. These Guidelines apply to all peacekeeping training activities (see Terms and Definitions) carried out by, or for, civilian, military and/or police personnel in DPO and peacekeeping operations. According to the DPKO/DFS Policy on Training for all United Nations Peacekeeping Personnel (ref.2010/20), offices responsible for providing technical guidance to a field component are also responsible for identifying job-specific and technical peacekeeping training needs and implementing training plans. Therefore, these guidelines are primarily intended to provide guidance. The Guidelines provide the minimum standard for design, delivery and evaluation of training for United Nations (UN) peacekeeping personnel. Peacekeeping training partners such as Member States, international peacekeeping training institutions and external training providers should be made aware of these Guidelines to promote harmonization in collaborative efforts.

3. Recognizing that training resources vary greatly across offices and missions, this guidance has intentionally been issued as “Guidelines” to allow some flexibility in implementation, in

accordance with available training resources. The basic principles outlined in the six steps in section D should be applied to all training activities, with certain tasks within those steps listed as recommended when resources are available. In all cases, detailed and comprehensive training plans, budgets and reporting documents on training outcomes shall be produced and reported to the Integrated Training Service (ITS), in order to allow for better exchange of information, identification of ongoing training activities and tendencies, forecasting of future needs, informed decision-making and planning.

C. RATIONALE

4. The 2012-2013 Global Peacekeeping Training Needs Assessment (TNA) highlighted the link between performance gaps and training needs and revealed a lack of guidance for programme managers on how to effectively and efficiently design, deliver and evaluate specific training activities.[1] One of the recommendations of the TNA was for ITS to develop guidance materials on the training cycle, with a specific focus on how to evaluate and report training results and impact. These Guidelines aim to address that need. As such, the Guidelines complement the Policy on Training for all United Nations Peacekeeping Personnel (2010/20), which provides an overall strategic approach to training. The Practical Guide to Peacekeeping Training Evaluation also complements these Guidelines.

5. These Guidelines adhere to the Secretary-General's Policy on Learning and Development which requires the application of best practices in training and encourages holistic thinking approach to learning and development (ST/SGB/2009/9). The policy also states that impact assessments should be built into programme planning and implementation to enhance effectiveness, relevance and the application of training.

6. The sections on evaluation of the Guidelines have been informed by a modified Return on Investment (ROI) approach. ROI is an evaluation framework with five measurement levels, which ultimately seeks to align programmes with organizational objectives. While in the UN context, measuring ROI at Level 5 may not be feasible or appropriate, levels 1-4 (input to impact) evaluations can be used to justify and defend the budgets of successful training programmes while identifying inefficient programmes that need to be redesigned or eliminated. Thus, ROI methodology brings a renewed focus on programme design, delivery and evaluation in order to enhance peacekeeping training.

D. PROCEDURES

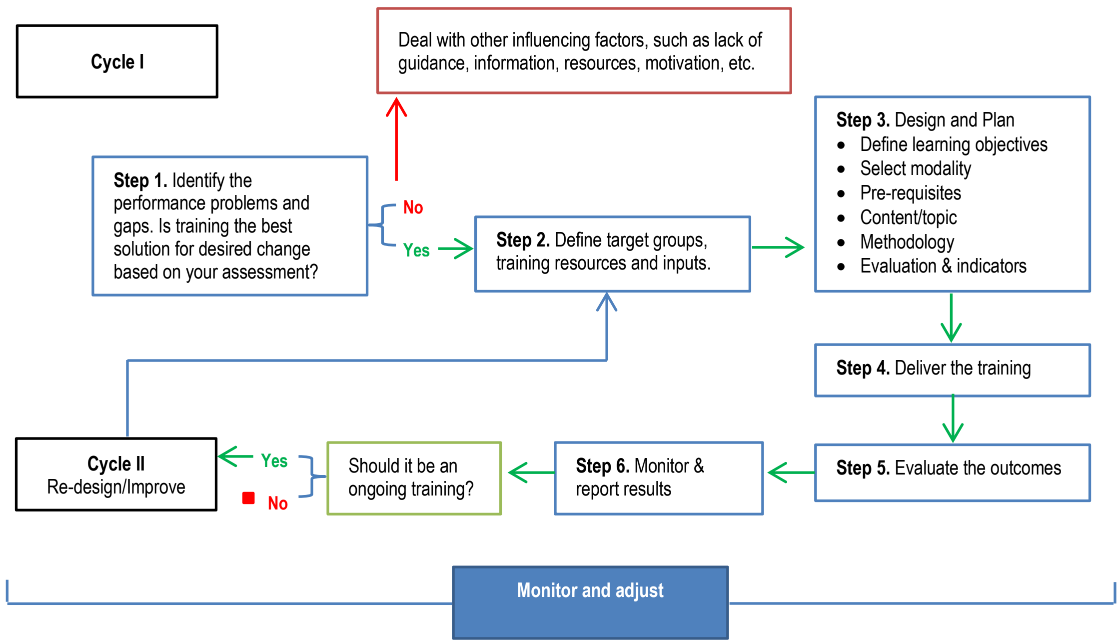
7. Before starting the Training Management Cycle, it is important that training designers understand the environment and operational context in which the organization, mission, office and/or unit operate. Considerations may include organizational culture, trends, managerial support, policies and regulations, gender balance, incentives and other factors supporting performance at large.

[1] The TNA, which was endorsed by the DPKO/DFS Expanded Senior Management Team (ESMT) in July 2013, is available on the Policy and Practice Database at https://ppdb.un.org/SitePages/PolicyFramework.aspx

The Training Management Cycle: A Continuous Process

8. The Training Management Cycle, or Training Cycle, is depicted in the diagram below. It is composed of distinct phases that can be linear (step by step progression) or iterative. The six-step cycle applies to individual training programmes.

Training Management Cycle



Step 1: Identify performance gaps and determine whether training is the solution

9. <u>Performance Analysis.</u> The first step in determining what kind of training is required - if any, is to identify and analyze performance gaps that the mission, office or specialized technical area seeks to address. When undertaking a performance analysis, training designers and managers should first analyze the strategic objectives, priorities and mandated tasks, then identify challenges and gaps in achieving them. One of the objectives of performance analysis is to identify the root cause of underperformance. The method most frequently used is document analysis, sometimes referred to as desk review.

10. Specifically, a performance review should address the following:

a) The mission, office or specialized technical area's overarching strategic objectives, priorities and mandates: these can be derived from Security Council Resolutions, reform initiatives, mission mandates, high-level policies, guidance documents, planning and budgeting documents, assessment reports, departmental and unit work plans, etc.

b) The current and/or anticipated challenges and performance gaps in meeting these objectives and priorities, including any patterns or trends related to performance gaps: these can be derived from performance assessments and evaluation reports, or annual mission or departmental reports, After Action Reviews (AARs), End of Assignment Reports (EARs), etc.

c) An analysis of why the performance gap exists: for example, has the operational context changed; is there a lack of guidance to define appropriate roles and processes, or has the guidance recently changed; are organizational structures and/or work processes appropriate to the operational environment; have sufficient or appropriate qualified personnel been recruited/deployed; do personnel lack the required competencies or skills to carry out their responsibilities, etc.?

d) Possible solutions, including but not limited to training, to meet the identified performance gaps.

11. Training should be considered as a part of broader solutions to address operational challenges and performance issues. Training cannot effectively address performance gaps that are due to a lack of clearly defined mandates, leadership, guidance, policies, resources, willpower, motivation as well as recruitment limitations and capability caveats. To address such gaps, alternative non-training solutions should be considered or used in combination with training. Behavioral changes and learning curves triggered by training initiatives require ongoing support and an enabling environment to be sustainable and transferred into learning applications on the job. The Division for Policy, Evaluation and Training, DPO provides advice on the appropriateness of training and ensures guidance development as solutions to identified performance gaps.

12. Training Needs Assessment. If training is found to be the appropriate solution to address the identified performance gaps, it is necessary to define the specific training needs of the personnel whose existing competencies (knowledge, skills and mindset) do not match the required competencies. A training needs assessment (TNA) is one of the most important determinants of the success of a training programme, and it should be competency-based. The competency-based needs assessment aims to detail knowledge to enhance, skills to build and mindset to foster when identifying and comparing the desired and existing level of competencies of the target group.

13. A TNA Concept Note should be developed to outline the background, rationale, objectives, scope, limitations, stakeholders/ target group, methodology, outputs including baseline data instruments and expected outcomes. It is important to define the scope as precisely as possible along with the target group in order to remain true to the intended objectives of the assessment. Recognizing and detailing the limitations will also enable the TNA exercise manageable. Those may include a limited number of sub-topics to cover within the chosen technical area, a limited number of missions or organizational units to reach out, a limited ability to engage with relevant stakeholders depending on political, operational and security considerations governing access, openness in collaboration and objectivity in feedback, etc.

14. The TNA Final Report should be structured around at least four main components in addition to the executive summary and list of key recommendations. Those may include a) compilation and analysis of required and desired competencies, b) identification and analysis of existing competencies, c) comparative analysis of the required and existing competencies to identify the gaps, and d) attempts to isolate the gaps that can be filled through training and training recommendations with a tentative timeframe.

15. The data sources to compile required competencies include guidance materials (policies, standard operating procedures and guidelines), mission mandates, departmental work plans, directives, concept of operations, job descriptions including roles and responsibilities, and work plans. An analysis is required, including a task analysis to narrow down tasks into competencies. For example, reporting is a task, and competencies required may include subject matter expertise, solid understanding of current developments, analytical skills, research skills, writing and presentation skills, etc. Data collection and analysis methods for this stage include desk reviews and analysis of source materials mentioned above, in addition to interviews, surveys and focus group discussions with the target group, their supervisors, peers and clients.

16. The data sources used to identify existing competencies include current work outputs, annual and mission reports, strategic assessments reports, mission performance review documents, individual performance reviews (e-PAS), after action reviews, end of assignment reports, evaluation findings, etc. Data collection methods may include knowledge and technical tests, interviews, focus group discussions, needs assessment surveys and observations and inputs from subject peers, matter experts and other stakeholders.

17. Using existing data, reports and reviews saves time; however, collecting direct inputs from the target audience/end users is important to obtain a complete overview of existing gaps. TNA surveys, questionnaires and interviews[2] are the most common direct data collection methods. A comprehensive TNA should also carefully examine what opportunities and obstacles for learning exist, how the training programme may be adapted to maximize opportunities and address obstacles and what sort of follow-up support is likely to be needed to support the implementation and application of learning.

18. When sufficient time and resources are available, the TNA can be undertaken as a collaborative process involving a selection of staff members/target audiences, subject matter experts and senior managers. Individual interviews may be preferred at the most senior levels, while panel or focus group discussions may be suitable for heads of sections/units and representatives of staff to collect qualitative input and data. In general, the direct involvement of personnel throughout the training process will result in a greater sense of ownership, thereby encouraging staff to assume more responsibility to participate in the resulting training programmes, and ensuring its application and success.

Step 2: Define training targets, resources and inputs

19. Define the target groups. Identification of a generic target group, e.g. training for human rights officers in the field, should be done at Step 1. Further refining the selection of a particular sub-target group at this stage allows for the best fit, thus maximizing training effectiveness. When selecting the target group, the following points may be considered:

a) Who should learn what will help bring about the improvements that the training initiative aims to achieve (e.g. people who influence decision-making in a given area);
b) Whether the target group is in a position to extend or transfer the newly acquired knowledge and skills to peers (e.g. training focal points, subject matter experts, team leaders, etc.);
c) Whether participants have the required management and peer support to promote change; if not, whether such support can be strengthened as part of the training programme or reform process.

[2] Annex 1: Sample TNA Survey and Interview Questions.

20. Identify the training providers. Where possible, existing expertise in DPO, peacekeeping operations or other UN departments, agencies, funds and programmes should be used. Criteria for selection of both internal and external training providers and consultants include proven ability to deliver quality training in the relevant substantive/technical area using the chosen training method; their availability; cost; geographic location; and whether the proposed solutions are sustainable (e.g. is there a budget to continue the training programme, or is there an option to train trainers to further disseminate and multiply the training effect and impact). Whenever possible, the roles and responsibilities of the training providers should be clearly articulated in a Terms of Reference (TOR). When engaging an external provider, TOR or other relevant agreements shall be drafted in accordance with relevant rules and regulations on procurement and the engagement of consultants.

21. Identify resource requirements and funding sources. Training can be funded through various sources including the Peacekeeping Support Account at Headquarters, regular budget funds that are allocated for upgrading substantive skills, and mission training budgets and extra-budgetary funds. In identifying the resource requirements, the most cost-effective solutions should be explored and used, e.g. in-mission training and/or e-learning rather than external training involving travel, and capacity-building measures such as training of trainers rather than hiring external consultants on a regular basis.

22. Training Focal Points (TFPs) in substantive and technical areas of DPO are advised to contact ITS for detailed instructions on training budget preparation and submission requirements. Section chiefs and TFPs in field missions should contact the Integrated Mission Training Centre (IMTC) or training officer/focal point where such an integrated structure does not exist.

Step 3: Design and plan the training

23. When designing and planning a training, the following tasks need to be completed:

a) Define learning objectives. Training solutions must begin with a clear focus of the desired outcome. Learning objectives should not be used to describe the content to be covered, but to describe the intended results. Types of learning objectives include:
    - Cognitive learning objectives at six levels[3]: indicating an ability to remember, understand, apply, analyze, evaluate and create concepts, terms and processes;
    - Skills and performance-oriented learning objectives: indicating an ability to demonstrate skills learned and apply on the job
    - Aptitude, mindset-oriented learning objectives: indicating any desired changes in values, behaviors and codes of conduct

These types of learning objectives can be used in combination and should broadly describe behaviors that are observable and measurable and be outcome-based and clearly worded. The overall objectives should be supplemented by specific learning outcomes for each topic covered. Learning outcomes should clearly identify what the participants have learned and are able to do as a result of the training. Clearly-defined learning outcomes are key for the evaluation of the training.

b) Choose a delivery method/modality. Training designers should aim for delivery methods that balance cost with the need to engage the learner. Different

[3] This refers to Bloom's Taxonomy used to classify educational learning objectives into levels of complexity and specificity

methodologies include one or a combination (blended learning) of the following: e-learning, self-study programmes, simulation and table-top exercises, group learning activities (face-to-face workshops, seminars, team projects, video-conferencing, blogging and discussion groups, etc.), one-to-one learning (coaching, career counseling, job shadowing) and experiential learning (on-the-job training, assignments, task-based training).

Each of these delivery methods has its strengths and limitations. Criteria to be taken into account when deciding on delivery methods are: best practices in training and the application of adult learning principles (see Step 4 below); the outcomes of evaluations of previous training activities; the geographic location or dispersion of the target audience; participants' ability to take time off and travel for training; availability of in-house expertise; regulatory or policy requirements that may require the use of certain delivery methods or training providers (i.e. for certification); and cost/availability of funding. Where possible, training should be designed to ensure the greatest possible engagement of the learner in the most cost-effective and sustainable manner. Using a blend of delivery methods can often mitigate the challenges of any single method and address learning objectives effectively.

In accordance with the Policy on Training for all United Nations Peacekeeping Personnel, consideration should be given to delivery methods that can effectively leverage technology. However, developing an e-learning course requires more than just transferring content from existing courses into an online platform. An appropriate learning methodology, instructional design and media type (graphics, animations, audio, video and mobile applications, etc.) need to be selected. An effective learning platform should involve a framework that supports learners and can be linked to and complemented by social media tools such as blogs, online meetings and web conferencing to create interaction. In general, e-learning is better suited for knowledge-based training and prerequisite reading, rather than skills-based training.

c) Develop content and choose methodology. Training designers will need to determine the type and depth of content as well as presentation modes and sequencing. There should be a distinction between content that is mandatory, which is directly related to the work that individuals must perform to achieve objectives towards organizational goals, and optional content, which provides supplementary information. As part of a training package, a content outline should be developed by the training designers and include the following components: key learning objectives or clusters of objectives for each module; content expressed in terms of key topic headings; practical activities, group work, learning games and discussions, e.g. using best practices examples from missions to reinforce learning or stimulate and recall prior knowledge; tests and exercises to assess learning; and Action Plans for learning application.

Training designers should ensure that all content and materials fulfill the training objectives, that they are based on UN and department specific policies, guidance and lessons learned, and that they are appropriate for the target group in terms of language, culture, gender and other relevant considerations. When developing the content, training designers should consult the Policy and Practice Database[4], which contains all guidance and best practices materials on UN peacekeeping.

d) Incorporate evaluation objectives and plans at the design and planning stage. Evaluation must be planned – at each level and overall - for each programme. During

[4] https://ppdb.un.org/SitePages/PolicyFramework.aspx

a typical planning cycle, the purpose and level of evaluation as well as data collection methods must be determined. More information on training evaluation is provided in Step 5.

Step 4: Deliver the training

24. All trainers should have proven facilitation and presentation skills beyond expertise in the subject area. Attending a Training of Trainers (ToT) is highly recommended for all subject matter experts and resource persons tasked with delivering training to effectively engage trainees in a learning process. Failure to communicate the message, engage and inspire learners will lead to unsatisfactory results. Therefore, it is important to create an environment conducive to learning. A detailed course plan and facilitator's guide should be developed, describing the progression and management of the training programme, such as pre- and post-tests or other types of learning evaluations, advice on handling setbacks and debriefing panel debates, frequently asked questions and answers, time management aspects for exercises, key take-away messages, etc. Evaluation and feedback forms as well as handouts for participants should be prepared in advance. Personal preparation is key, including having a thorough knowledge of the content and mastery of the methodology.

25. Training delivery should be guided by adult learning principles. Specifically, training delivery shall take into account that adult learners:

- Are *autonomous* and *self-directed,* meaning adult learners need to be free to direct themselves and learn by doing. Facilitators must actively involve participants in the learning process, guiding them through the learning process rather than supplying them with facts.
- Have accumulated a foundation of *life experiences* and *knowledge,* and learning is most effective when connected to this knowledge/experience base. Facilitators should draw out participants' relevant experience and knowledge through e.g. brainstorming, debate sessions, role plays, etc.
- Are *goal-oriented*. Upon enrolling in a course, learners usually know what goals they want to achieve. They, therefore will appreciate a training programme that is organized and has clear and defined elements. Facilitators must show participants how this particular training will help them achieve their goals, ideally at the beginning of the course.
- Are *relevancy-oriented*, meaning they must see a reason for learning something. The training content has to be applicable to their work and responsibilities to be of value to them. This means, the training should apply and relate theories and concepts to the professional settings familiar to participants.
- Are *practical*, focusing on the aspects of a lesson most useful to their work. They may not be interested in knowledge for its own sake. Facilitators should tell participants explicitly how the lesson will be useful to them on the job and should be prepared to take questions and/or provide direction to other sources of information that may help participants.

26. Organizational aspects of training delivery include the following tasks:

a) Confirm with resource focal points and complete pre-training logistics, including training schedule, venue, preparation of training aids, equipment and materials.
b) Monitor the implementation of learning objectives throughout the cycle.
c) Complete post-training support and follow-up activities, including the collection of attendance and feedback forms, administration of knowledge assessment tests, delivery of certification, if appropriate, finalization of any documentation related to

funding, communication to stakeholders about the delivery of training, including training reports, etc.

Step 5: Evaluate training outcomes

27. The ultimate aim of Step 5 is to determine whether the training programme has achieved its objectives and expected outcomes, thereby addressing the identified competency and performance gaps. It requires an analysis of different levels of evaluation data measuring inputs, reaction, learning, changes in performance and mindset, and when appropriate, impact and ROI.

28. Evaluation of the training should be considered and incorporated early on, when designing and planning the training programme. The level and scope to which evaluation is planned to occur depends on the priority, cost, available expertise to conduct the evaluation and the expected return as a result of the evaluation activity. As a general rule, all training activities for UN peacekeeping personnel conducted by DPO shall aim to apply the first three levels of evaluation (as outlined below), in addition to collecting input data (Level 0).

29. All training evaluations require baseline data on the basis of which the impact of the training can be assessed. The data collection occurs at Levels 0-3 (input, reaction, learning and application data) and can be collected by the trainers who facilitated the training and/or the training coordinators/managers responsible for the training programme. Level 4 and 5 evaluations, which focus on calculating the value of an improvement and its impact, should be reserved for a smaller number of high cost/high profile training programmes and should be carried out by training officers with evaluation experience. The timeframe for Levels 4 and 5 is typically 3-6 months after the training has completed, using a variety of data conversion methods explained below. Annexes 3-5 provide sample evaluation forms for each level.

30. **Level 0** data comprises **inputs** (resources and investments) into the programme. Major cost categories are costs of initial assessment, acquisition and development of training materials and tools, and costs related to implementation and application of knowledge and skills acquired. Fully loaded programme costs should also include costs of administrative support, maintenance, monitoring and evaluation (for more information see paragraph 42). These programme cost measurements are taken to compare with post-programme results and impact measures; therefore, input data is as important as data at other levels and should be fully recorded.

31. **Level 1** evaluation seeks to determine the **reaction** of the participants, in terms of training relevance, importance, usefulness, intent to use training, planned improvements and overall satisfaction with the programme.[5] This information must be obtained throughout the training. Daily feedback from participants – both formal and informal – may be used to make quick adjustments and changes to keep the programme on track, e.g. adjusting the duration and structure of a session (presentation versus discussion-time ratio), etc. Participants' feedback on the training should also be solicited at the end of the training through a written questionnaire to measure overall satisfaction. Depending on the purpose of the evaluation, the questionnaire may contain different types of questions: yes/no questions, multiple-choice, open-ended, as well as ranking and numerical scale questions. For large scale surveys, open-ended questions can be time-consuming and challenging to classify and process, therefore multi-choice questions may be favored.

[5] Annex 3. Sample Evaluation Form: Daily Questionnaire and Self-Assessment, Level 1-2.

32. Questions should focus on quality, relevance, importance and usefulness of training content rather than on non-content issues such as breaks, refreshments, location, transportation, etc. Anonymous feedback is highly recommended to allow participants to be open and constructive with their comments. Tendencies to rely on Level 1 feedback, particularly to evaluate the performance of facilitators, should be avoided. This mostly leads to deceptive feedback cycles, which occur when there is an imbalance between content and non-content indicators in evaluations. Facilitators' ratings should be ultimately based on the quality, outcomes and impact of the training.

33. **Level 2** evaluation seeks to determine the level of **learning and confidence** participants gained through the training and whether the training objective was achieved. It measures the extent to which principles, facts, concepts, values, techniques and skills are understood and absorbed. A measurable increase of participants' existing knowledge and skills should occur for a training to have an impact on intellectual capital and development of competencies.[6]

Learning can be measured at different times and levels throughout a training programme. Learning evaluation instruments should ideally be designed to assess different levels of cognitive abilities (i.e. more than basic understanding of concepts). Bloom's Taxonomy is a common tool used to classify various levels of cognition:

- Knowledge (ability to remember)
- Comprehension (ability to restate, translate and recognize)
- Application (ability to apply the knowledge to solve a problem)
- Analysis (ability to break complex situations into components and figure out how the parts relate to and influence one another)
- Synthesis (ability to create new ideas, products, processes)
- Evaluation (ability to judge value of idea, product, etc. for own purposes)

34. Measuring learning focuses on knowledge, skills, attitudes and confidence of trainees to apply or implement what they have learned on the job. Measuring and capturing how much learning has occurred is critical for evaluation. Common measurement tools for knowledge-based training may include pre- and post-course tests, formal knowledge assessments, technical tests, aptitude tests, surveys and questionnaires. For skills-building training, direct demonstrations or task simulations may be more suitable. In general, providing participants with immediate feedback on their assessment results may give them a sense of progress, therefore enhancing their motivation to learn.

35. Testing the evaluation instruments and methods with a small group is highly advisable to ensure validity and reliability. A pilot test provides an opportunity to clarify confusion that might exist about the instrument as a whole, and/or specific questions or statements. Test and evaluation results should be used for various purposes: to provide individual feedback to trainees on skill/knowledge levels; to evaluate the effectiveness of facilitators and quality of training materials; to determine whether adjustments need to be made to any aspects of the training; and to measure the ROI at a later stage.

36. **Level 3** evaluation seeks to determine the effect training has on the participants' on-the-job **behavior and performance,** by focusing on activity or action. This includes measuring improvements in job performance and productivity after participants have had a reasonable amount of time to apply knowledge, skills and behavioral changes to the work environment. Therefore, it aims to evaluate whether the competency gap identified during the need's assessment has been filled. While Levels 1 and 2 occur during the programme with focus

[6] UN Competency Framework describes a combination of knowledge, skills and behaviors needed to perform a role and is used as a tool for recruiting, selecting, training, reviewing performance and career advancement.

placed on participants' direct involvement in the training, Level 3 measures the application of learning. The scope of Level 3 is beyond the training event itself, involving other factors supporting (enablers) or hindering (barriers) the learning application. It focuses on activity or action due to positive behavioral change, though it does not consider the consequences of this change. Essentially, measures at this level reflect the degree of initial post-training success. The first part of application data – "the intention of application" can be measured at this stage. This data becomes an important link and comparative data source for post-training applications and improvements.[7]

37. Applying the newly acquired knowledge and skills on-the-job can be challenging, as participants may be likely to encounter either perceived, or real barriers. Typical barriers may include lack of motivation, time, resources, management and/or peer support, or skills trained in being irrelevant to a particular work environment. Enablers may include support from managers and colleagues, usefulness of the skills learned to support change processes, increased personal empowerment and/or motivation, etc. It is important for training designers/programme managers to record and report such data to the relevant stakeholders and decision-making bodies so that measures can be put in place to lower barriers and reinforce enabling factors directly contributing to programme success. Individual mentoring and coaching may be required to optimize learning application on-the-job, thus increasing training impact.

38. The value of data at Level 3 is higher than that collected at Levels 1 and 2 as it emphasizes the importance of moving up the chain of impact. Without successful implementation, changes will not occur and benefits will not be gained from the training programme. All stakeholders can be sources of data, including training participants, team leaders, supervisors and peers/colleagues, as well as performance records and evaluation documents. Use of 360-degree evaluation methods are useful to expand data sources. Data from sources beyond participants' self-reporting is valuable as it increases credibility. Data collection methods for Level 3 include qualitative and quantitative approaches, e.g. follow-up surveys, observation, interviews, focus group discussions and reviews of various documents and records. Securing the appropriate quality and quantity of data can be challenging. Therefore, data collection should be incorporated in the design of training programme.

39. The timing of data collection may vary. Depending on the type of behavioral and performance change anticipated, data on the actual application of skills is generally collected between two and six months after the training programme. This allows time for changes to take place so that implementation can be observed and measured.[8] Follow-up strategies and communication plans may be developed to reach out to the participants for their inputs and responses. Data to capture at this level includes the frequency and use of acquired knowledge and skills on-the-job, such as change of a particular task or activity, implementation of a new procedure, changes with work processes, etc.[9]

40. **Level 4** evaluation seeks to determine the **impact of training** by assessing the consequences of the changes in behavior or performance. This is done by analyzing the results of the activities and actions reported at Level 3 to see whether the intended impact objectives defined at the programme design stage are reached. There is no standard set of impact measures as it varies depending on the programme objectives and target groups. Impact objectives may be cost savings or improvement of work outputs or specific tasks that the mission is mandated to implement. In some cases, the same training programme can be

[7] Annex 4. Sample Evaluation Form, End-of-course Evaluation: Level 1-3

[8] Annex 5. Sample Evaluation Form, Follow-up Questionnaire: Level 3-5.

[9] For instance, 80% of participants are using team building techniques; 40% of participants used skills related to implementation of activities regarding protection of civilians, etc.

used to reach different impact objectives. For example, the impact objective of Mission A upon rolling out a training on gender mainstreaming is an improved quality of gender disaggregated data in mission monthly reports, whereas the impact objective of Mission B upon completing the same training is an increased awareness of military contingents on gender issues.

41. It is therefore important to determine specific impact measures linked to each programme. Examples of key impact measurements may include the following:

a) Time management training: time savings, increase in productivity, increase in job satisfaction, decrease in stress level, etc.;
b) Coaching and mentoring: time savings, increase in quality, efficiency, employee satisfaction, etc.;
c) Sexual harassment prevention training: decreased incidents of misconduct, turnover, absenteeism, and increased morale, etc.

As illustrated in the examples above, impact measures can be divided into two general categories: hard (tangible) and soft (intangible) data. Hard data, such as cost and time, are the primary measurements of improvement, presented through facts that are relatively easily gathered. Hard data is the most desirable type of data to collect. Soft data, such as satisfaction, awareness, loyalty, etc., is collected when hard data is unavailable and/or as a supplement. Soft data is difficult to convert to monetary values and is often subjective and can be seen as less credible as a performance measurement.

42. In almost every organizational setting, multiple influences may drive changes such as restructuring, change processes and technology. Thus, improvement in performance after the implementation of a training programme should not be solely linked to a particular training. In order to be credible and accurate, all training impact studies should contain details on methodologies used to isolate the effects generated by that particular training programme.[10] The following techniques may be used to pinpoint the amount of improvement directly linked to the programme:

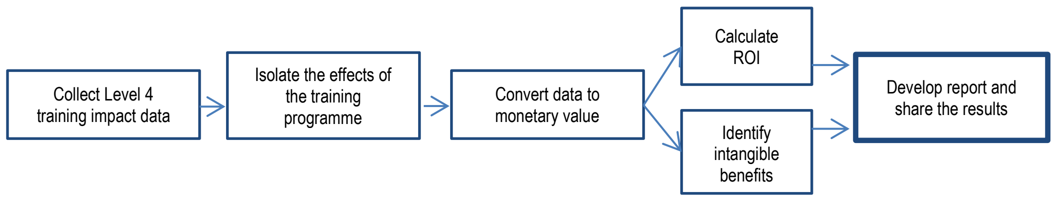
- A control group arrangement: Group 1 participates in a training programme, while Group 2 with similar competency level does not. The difference in the performance of the two groups is attributed to the programme.
- Trend lines and forecasting: a trend line is drawn to project the future, using previous performance as a base. After the programme is conducted, actual performance is compared to the trend line projection. Any improvement of performance over what the trend line predicted can then be reasonably attributed to programme implementation.
- Estimates: participants, managers, peers and clients estimate the amount of improvement and attribute it to a particular training programme.

43. **Level 5** evaluation seeks to determine the financial **return on investment** (ROI). Programme managers are increasingly being asked to report on training costs and impact. Although the benefits of evaluation may appear obvious, several important payoffs at this level can be realized such as responding to donor requirements, aligning training with operational needs, justifying training budgets and understanding the true impact of training. However, evaluation at this level should not be applied to every programme. Given the resources required for a Level 5 evaluation, it is only appropriate for programmes that are costly, visible and/or critical to the organization in meeting its operational goals and closely linked to strategic

[10] For more information: "The Value of Learning: How Organizations Capture Value and ROI", 2007; "Measuring ROI in Learning and Development" 2012; by Patricia-Pulliam Phillips and Jack J. Phillips, 2007; "ROI Certification course materials", by ROI Institute, Inc.

initiatives. The target and budget for such evaluations shall be determined and approved by senior management and the final ROI Report is to be disseminated to all stakeholders.

ROI Analysis Strategy



44. Most training programmes aim to improve efficiency, which is described as the extent to which time, effort and cost are used well for quality results. Hard data items concerning costs may include budget variances, programme costs, administrative costs, overhead costs, staff costs including salary, late submission fees and project costs savings. Quality can be defined as a degree of excellence in a service or performance. The unit measure of quality can be defined through different degrees of quality, or as an error or absence of error (e.g., one report rejected, one client complaint, or one training programme with 80% satisfactory rating, etc.). In a UN setting, one standard value is time, with "time used/wasted" used as a unit measure for mistakes/errors and/or "time saved for other productive use" as a unit measure for the payoff.

45. Key steps to convert data to monetary values are:

a) **Define a unit of measure** to break the process into simple steps so that its value can be determined. First, define a unit of measure based on hard data. For output data, the unit measure is the item produced, service provided or task completed (e.g. one project completed, one report written, one claim processed, one training module developed). Measures of time may include the time to produce/complete one output, e.g. one hour of staff time, one day of delay, etc.
b) **Determine the value of each unit** (V) identified above. A staff member's time can be expressed in monetary terms, using salary scales. An external consultant's daily fee can be used as a value unit. The value can be determined for many types of hard data related to "time", such as supervisory time, training time, time to project completion, service response time, etc.
c) **Calculate the change** (Δ) in output data after the effects of the training programme have been isolated from other influences.
d) **Determine an annual amount for the change** in the performance data (ΔP) to develop a total change in the performance for one year. Using annual values has become a standard approach, although the benefits may not remain constant throughout the entire year. First year benefits are used for conservative purposes even when the training programme produces benefits beyond one year.
e) **Calculate annual value of the improvement** (AVI) by multiplying the annual performance change ΔP by the unit value V to arrive at the total value of improvement.

The following example illustrates the calculation. With improved skills and knowledge after attending a training on writing reports, it can be assumed that the time dedicated to writing one report is reduced and the quality improved. If this assumption is verified, i.e. if the quality is improved and/or the time has been reduced, it is then converted into cost savings. A staff member, at P3 level, typically needs 5 days to complete a report. After the training, the P3 finishes one report within three days. The two days' salary (per report) can be reported towards the programme benefits, provided that the staff member used the two days saved for other productive use.

> $V = \$367$ (monthly net salary: 21.75 days);
> $\Delta = 2$ and $\Delta P = 12$ (six reports completed per year, on average)
> $AVI = \$4{,}404$ ($V \times \Delta P$)

46. The ROI is calculated as follows:

$$\text{ROI (\%)} = \frac{\text{Net program benefits}}{\text{Program costs}} \times 100$$

A zero percent ROI indicates a break-even programme. A 50 percent ROI indicates that the cost of the training is recaptured, and an additional 50 percent "earnings" has been achieved.

47. Net training programme benefit is a sum of AVI by all participants who made improvements. Fully loaded programme costs, collected at Level 0 as input data, must include all costs that can be identified and linked to the particular training programme under evaluation:

a) Direct training programme costs include those associated with implementation and delivery, which may include salaries for coordinators, administrative support staff and participants (daily pay x number of days spent for training); programme materials; travel-related costs and facilities (also for in-house training).
b) Pro-rated costs include costs for initial assessment and programme development or acquisition of solutions. These costs are usually allocated over the life of the programme. Consequently, a portion of these costs should be prorated to the programme.
c) Costs for monitoring, evaluation and reporting should also be added, although the costs need to be realistic. Some indirect costs will not be known exactly, and estimates will have to be used.

48. In addition to calculating monetary benefits, capturing intangible benefits of training is an important part of the ROI analysis strategy (shown in the diagram, paragraph 42). Training programme benefits can also be expressed through intangible benefits (soft data) that are not converted to monetary values for various reasons, including if a conversion cannot be accomplished with minimum resources and with credibility. Common intangibles used in the UN context reflect the unique challenges and complexities of peacekeeping operations and mandates. These may include national reconciliation; effective political process and dialogue; promotion of human rights, including those of vulnerable groups; improved security; sustainable peace; etc. These indicators are commonly used in various documents as goals and objectives, including in results-based planning and budgeting documents.

49. Annex 6 outlines a "Data Collection Plan", comprising sample "Conflict Management" programme objectives at all five levels, specific measures, data collection methods, data sources, timing and responsibilities. "The ROI Analysis Plan" contains data items, methods for isolating effects, methods for converting data, cost categories, intangible benefits, communication targets for final report and potential issues and influences during application.

Step 6: Monitor, improve and report results

50. As the Training Management Cycle diagram shows, monitoring for quality as well as project and resource management purposes is an integral part of each and every step of the training cycle. The main purpose of monitoring is to ensure that the training process is being implemented properly and has a positive impact on operational effectiveness. More specifically, and in accordance with the Policy on Training for all United Nations Peacekeeping Personnel, ITS in collaboration with IMTCs, shall:

- Monitor and improve the linkages between mandate implementation and peacekeeping training, and the alignment of training priorities with those of the Organization's based on comprehensive analysis through regular monitoring, assessments and evaluations of peacekeeping training activities.

- Initiate and institutionalize improvements to the training cycle through sharing of information and best practices and developing guidance materials on peace operations training.

51. Reporting and communicating results is an integral part of the monitoring process throughout the training cycle, and it is critical to the accountability of learning and development. Early and continuous communication ensures that information is flowing so that adjustments can be made and that all stakeholders are aware of the success and challenges surrounding the programme. To ensure timely and consistent reporting, the following is required:

- DPO TFPs shall compile training data on an annual basis and report to ITS when budget submissions and performance reports are prepared.

- IMTCs shall record all training-related data, including evaluation data, and report to ITS. The report must contain a summary of key data, including gender disaggregated data on all learning activities delivered for mission personnel on a monthly basis.

- ITS shall communicate peacekeeping training achievements and challenges, trends and issues to DPO senior management, Member States, peacekeeping training institutions and other relevant stakeholders to ultimately improve and advocate for peacekeeping training.

E. ROLES AND RESPONSIBILITIES

52. In addition to the specific responsibilities related to peacekeeping training, monitoring, and reporting mentioned above, peacekeeping training actors have the following roles and responsibilities in relation to the Guidelines:

Integrated Training Service:

a) Promote the familiarization with and implementation of the Policy on Training for all United Nations Peacekeeping Personnel and these Guidelines on Design, Delivery and Evaluation of Training (Training Cycle) to maintain and improve the quality and efficiency of peacekeeping training;
b) Provide technical support and hands-on assistance related to the implementation of these Guidelines for training officers and focal points in DPO at Headquarters and in the field;
c) Lead the updates to, and development of training policies, standards and guidelines;

d) Collect data on the implementation of training plans (cross-cutting, job-specific and technical training), including related expenditures from TFPs and IMTCs.

Training Focal Points in DPO and in peacekeeping operations:

a) Aim to apply the Guidelines when designing, delivering and evaluating peacekeeping training;
b) Address ITS and/or IMTCs for technical support, collaboration, reporting and other purposes related to the implementation of these Guidelines;

Integrated Mission Training Centres (IMTCs):

a) Apply the Guidelines in all training-related activities, where feasible;
b) Promote familiarization with and implementation of the Guidelines at mission level;
c) Compile training data and report to ITS on a monthly basis.

F. TERMS AND DEFINITIONS

Blended Learning: A learner-centered approach where multiple learning environments, activities and methods are combined. The terms "blended", "hybrid", "technology-mediated instruction" and "mixed-mode instruction" are often used interchangeably, however the term "blended learning" is used with more regularity.

E-Learning: A broad term covering different forms of computer-based or web-based learning programmes. E-learning may consist of self-paced learning, where the learner independently follows defined content on the computer, or web, or the programme may be led by a facilitator through synchronous (videoconferencing, chat rooms) or asynchronous means (e-mail, on-line communities).

Experiential Learning: The gaining of knowledge, skills or competencies through direct experience such as on-the-job training, new assignments, missions, team projects and task-based training.

Group Learning Activities: Involves multiple participants, generally requiring a facilitator or instructor. These may include face-to-face workshops, seminars, team projects, videoconferencing, communities of practice and/or facilitated e-learning programmes with multiple participants.

Learning Outcome: A statement of what a learner is expected to know, understand and/or be able to do at the end of a learning period or programme.

Learning/Training Objective: A statement of how a training programme fills the competency gap of target group, e.g. gaps identified in the Training Needs Assessment.

One-to-One Learning: Involves the transfer of knowledge from one person to another, for instance through cross-training provided by colleagues through career counseling, coaching, mentoring and job shadowing.

Peacekeeping Training: Any training activity which aims to increase the knowledge and skills of UN peacekeeping personnel (military, police and civilian), enabling them to:

a. meet the evolving challenges of peacekeeping operations in accordance with DPO/DOS principles and guidelines;
b. perform their specialist functions in an effective, professional and integrated manner;
c. demonstrate the core values and competencies of the UN.

Performance Analysis Report: The output of Step 1 in the Training Cycle, outlining:

a) the office or unit's strategic objectives and priorities;
b) the current and/or anticipated challenges and performance gaps in meeting those objectives and priorities, including any patterns or trends related to the performance gap;
c) an analysis of why the performance gap exists/ root cause analysis;
d) possible solutions/ options to fill the identified performance gaps.

Self-Study Programmes: Learning programmes undertaken independently by the individual learner. These may include professional reading, self-paced e-learning, research, etc.

Training: Part of broader concept of learning, which includes mentoring and advising, job-shadowing, taking on work-related challenges, participating in new projects, using sabbatical leave, enrolling in distance learning programmes, etc.

Training Evaluation Report: Analysis of different levels of evaluation data measuring reaction, learning, changes in performance and as appropriate, impact and return on investment. It may include recommendations and action points to improve particular areas through training interventions.

Training Needs Assessment: TNA is a part of training planning and development processes, and often used for improvement in training. Its objective is to gather appropriate and sufficient data on training needs/demands, which in turn informs the process of developing an effective product that addresses the needs.

G. REFERENCES

Normative or superior references

DPO Policy on Training for all United Nations Peacekeeping Personnel, May 2010

Global Peacekeeping Training Needs Assessment, 2012-2013

Secretary-General's Bulletin on the United Nations Learning Advisory Board (ST/SGB/2009/8)

Secretary-General's Learning and Development Policy (ST/SGB/2009/9)

Strategic Peacekeeping Training Needs Assessment, 2008

UN Peacekeeping Training Strategy, May 2008

H. MONITORING AND COMPLIANCE

At Headquarters level, the implementation and application of these guidelines is supported by the Chief of the Integrated Training Service (ITS) and the Training Policy and Standards Team (TPST) of ITS. At mission level, it is supported by the Field Training Support Team (FTST), ITS, Chiefs of IMTCs and the Mission Training Focal Points (TFPs).

I. CONTACT

Chief of Integrated Training Service, Policy, Evaluation and Training Division, DPO UNHQ

J. HISTORY

These guidelines supersede the guidelines issued in August 2014. They shall be reviewed at least every three to four years.

APPROVAL SIGNATURE:

DATE OF APPROVAL:

ANNEX 1. SAMPLE TRAINING NEEDS ASSESSMENT: INTERVIEW AND SURVEY QUESTIONS

Please note that these samples are taken from a global peacekeeping TNA identifying cross-cutting training needs in both missions and Headquarters. Therefore, the questions are general in nature. In designing a TNA for an office, unit or specialized/technical area, questions would have to be adjusted and added depending on scope and subject area.

Potential Interview Questions for Senior Leadership and Managers

Vision & Expertise (senior leadership)

1. What are the current challenges that your Mission/Department is facing?
2. What are the emerging issues and operational requirements?
3. How well are your staff — civilian, military and police — prepared to meet those challenges?
4. What functions does your Mission/Department experience the biggest performance problems/issues?
5. What areas have the greatest potential for performance improvement?
6. Thinking across different functions in peace operations such as human rights, rule of law, etc., what kinds of expertise will your Mission/Department require to achieve its mandate?
7. Which capacities need to be enhanced for a specific component (military, police, substantive or support personnel) or during a particular mission phase (start-up, implementation, transition or exit)?

Performance Gap Analysis (managers)

1. Given your Mission's/Department's mandate, what are the most significant challenges you foresee or have identified for your Unit/Section/Service?
2. What are the key competencies that need developed? (knowledge, skills and behaviour)
3. Which of those competencies can be addressed through training?

Sample Specific Areas

Specific areas can be determined based on mandate requirements, emerging issues, work priorities, reform processes, performance reports, etc.

1. POC: Is there a need for more training in protection of civilians? If so, at what phase (pre-deployment, induction, on-going training) and for which personnel?
2. SEA: Can the problem of SEA be remedied by training? If so, is there a need for more training in this area? At what phase and for which personnel?
3. Conduct and Discipline: Can problems of conduct and discipline be remedied by training? If so, is there a need for more training? When and for whom?
4. Gender: Is there a need for more training on gender? How long should it be? What should the specific focus be? What impact would this training have?

TEMPLATE
Training Needs Assessment Survey

Introduction and Opening Statement

Explain the reason why a needs assessment is being conducted, as well as mention its objectives, scope, audience and time frame.[11]

PART 1: DEMOGRAPHIC DATA (*essential for data processing and cross tabulation)*

1. **Your duty station/section/unit is:** *(insert the official list, which makes classification easier)*

2. **You are:** (*for gender disaggregated data and cross tabulation)*

   - ☐ Female
   - ☐ Male

3. **In which capacity are you currently serving?**

   - ☐ Civilian
   - ☐ Military
   - ☐ Police
   - ☐ Other (please specify): ____________________

4. What is your current category? *(use standard classifications; examples of civilian categories below)*

- ☐ Professional (P5 and above)
- ☐ Professional (P1 – P4)
- ☐ National Professional Officer (NPO)
- ☐ General Service in New York
- ☐ Field Service (FS)
- ☐ General Service in Mission (National Staff)
- ☐ Junior Professional Officer (JPO)
- ☐ UN Volunteer
- ☐ Other (please specify): ____________________

5. Which of the areas below fits more closely your current work? *(use relevant categories; examples of civilian work areas below)*

- ☐ Civil Affairs; Governance; Electoral; Humanitarian Affairs; Return, Recovery, Rehabilitation
- ☐ Rule of Law; Judicial, Corrections; Human Rights; Protection of Civilians; Gender
- ☐ Political Affairs and Analysis (such as JMAC)
- ☐ Security Sector Reform (SSR); Disarmament, Demobilization, Reintegration (DDR)
- ☐ Mine Action
- ☐ Public Information and Communications; Translation and Interpretation
- ☐ Oversight (OIOS, Audit, Board of Inquiry, Conduct and Discipline); Legal Affairs
- ☐ Safety including Aviation; Medical; Security

[11] For additional information see "Global Peacekeeping Training Needs Assessment, Final Report 2012-2013", http://point.un.org/SitePages/PolicyAndPractices.aspx.

- ☐ Budget and Finance
- ☐ Human Resources; Personnel
- ☐ Information Management; IT
- ☐ Facilities; Engineering; Property Management
- ☐ Procurement; Contracts Management
- ☐ Movement Control; Transport (air, ground & sea)
- ☐ Management and Integration – substantive (immediate Offices of SRSG, DSRSG, COS, and joint areas such as JOC and Best Practices)
- ☐ Management and Integration – support (immediate Offices of DMS, CMS, CAS, ISS, etc. and joint areas such as Training)

6. How many UN staff members (not including contractors/consultants/ICs/interns) do you supervise? Please also include those staff members who report indirectly to you through someone else (i.e. for whom you are a second reporting officer).

- ☐ 0-3
- ☐ 4-10
- ☐ More than 10

<u>PART 2: TRAINING NEEDS</u>

7. How do you support the implementation of your organizational/departmental/team goals and mandate?

- ☐ Directly
- ☐ Indirectly

8. How would you rate your level of knowledge and skills in the areas below, and which areas do you need strengthening in to better perform your duties?
Depending on the purpose and scope of the TNA, areas to explore can vary from single/specialized to multi-subject TNAs, e.g. "Training needs assessment in the area of human rights", "Cross-cutting training needs assessment", etc.

	Sufficient for my duties	***Would need training***
List of topics/subject areas	☐	☐
....	☐	☐

9. FOR MANAGERS ONLY: How would you rate the level of knowledge, skills and behaviour of your team (staff reporting to you directly and indirectly) in the areas below?

	Sufficient for their duties	***Would need training***
List of topics/subject areas	☐	☐
....	☐	☐

11. Please specify any other area in which you would need training:

……………………………………………………………………………………………………
……………………………………………………………………………………………………

Thank you for participating in the Training Needs Assessment!

ANNEX 2. SAMPLE EVALUATION FORM: LEVEL 1-2

DAILY COURSE EVALUATION AND LEARNING SELF ASSESSMENT

Course name, date, venue and organizer

This daily questionnaire will help us to adjust the course environment and modality to the extent possible, whereas the self-assessment will help you to reflect on your learning progress.

Name: (optional and confidential) ……………………….
Female ☐ Male ☐
Civilian ☐ Military ☐ Military ☐

Job title and level: ……………………….

Module/Topic/Session: *(Insert name here)*

Please rate the extent to which you agree with the following statements regarding the above module.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Reaction:					
1. The quality of the module was good.	☐	☐	☐	☐	☐
2. The facilitator was effective in delivering the module.	☐	☐	☐	☐	☐
3. The feedback and input by the mentors/facilitators was valuable.	☐	☐	☐	☐	☐

What changes would you recommend improving in the module?

………………………………………………………………………………………………
………………………………………………………………………………………………

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Learning:					
1. I acquired new knowledge from this module.	☐	☐	☐	☐	☐
2. I acquired new skills from this module.	☐	☐	☐	☐	☐
3. I am confident in my ability to apply the new knowledge and skills learned.	☐	☐	☐	☐	☐

Self-assessment test: *insert a knowledge question here (multiple-choice or open-ended), related to the module and its learning objectives. e.g. Please list key elements of the DPKO Capstone Doctrine:*
………………………………………………………………………………………………
………………………………………………………………………………………………
………………………………………………………………………………………………

ANNEX 3. SAMPLE EVALUATION FORM: Level 1-3 (to be used at the end of the course)

This questionnaire measures:
Level 1 Overall Reaction to the Course
Level 2 Learning Verification and Increase in Knowledge
Level 3 Intention of Application

END-OF-COURSE EVALUATION
Course name, date, venue and organizer

Thank you for your participation in the course. The information you provide by completing this questionnaire will help us to improve the quality and relevance of the course. Please respond to each question. Thank you.

Name: (optional and confidential) ……..………………….
Female ☐ Male ☐
Civilian ☐ Military ☐ Military ☐

Job title and level: ……..………………….

1. REACTION TO THE COURSE

Please rate the extent to which you agree with the following statements regarding the overall course content, methodology and interaction with trainers.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
1. Pre-course reading materials were helpful to prepare for the course.	☐	☐	☐	☐	☐
2. The course content is relevant to my job.	☐	☐	☐	☐	☐
3. I intend to apply on-the-job what I learned in this course.	☐	☐	☐	☐	☐
4. The presentations were of good quality.	☐	☐	☐	☐	☐
5. The plenary discussions were instrumental in increasing my understanding of the content.	☐	☐	☐	☐	☐
6. The break-out group discussions (*or other learning methodology used)* were meaningful to the learning process.	☐	☐	☐	☐	☐
8. Case studies (*or additional online materials, books, manuals, etc.)* provided more information to increase my understanding of different challenges in peacekeeping *(or other specific topics)*.	☐	☐	☐	☐	☐

9. The planning exercise (*or simulation, scenario-based learning, etc.)* allowed me to practice my learning.	☐	☐	☐	☐	☐
10. The administrative support provided by (*name of the provider)* was good.	☐	☐	☐	☐	☐
11. Mentors (*or presenters, facilitators, resource persons, etc.)* were knowledgeable.	☐	☐	☐	☐	☐
12. The quality of interaction between the mentors (*or presenters, facilitators, resource persons, etc.)* and participants was good.	☐	☐	☐	☐	☐
13. By interacting with my fellow participants, I acquired information beyond the course content that will be helpful to me on the job.	☐	☐	☐	☐	☐
14. I will recommend this course to others.	☐	☐	☐	☐	☐

What three aspects of the course did you find the MOST valuable? (e.g. networking opportunities, etc.)

a. …………………………………………………………………
b. …………………………………………………………………
c. …………………………………………………………………

What three aspects of the course did you find the LEAST valuable?

a. …………………………………………………………………
b. …………………………………………………………………
c. …………………………………………………………………

	Your time?		**UN resources?**	
Given the time and resources invested in this course, do you perceive it to be a good use of →	Yes To some extent No	☐ ☐ ☐	Yes To some extent No	☐ ☐ ☐

2. LEARNING ACQUIRED FROM THE COURSE

Please rate the extent to which you agree with the following statements regarding increase in your overall knowledge and skills.

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
I am **more** knowledgeable in the concepts presented in this workshop than prior to my participation.	☐	☐	☐	☐	☐
I am confident in my ability to transfer this knowledge into action when appropriate.	☐	☐	☐	☐	☐

How would you rate your current level of knowledge/skills now that you have completed the *(name of the course)***?**

Moderately Weak –You are familiar with this knowledge area, but have *little confidence* in applying it on-the-job.

Adequate – You have enough knowledge in this area to do the job, and feel *confident* in your ability to apply it to the job; however, you periodically have to review policies, procedures or guidelines to support you.

Moderately Strong– You excel in this knowledge area, and rarely, if ever, have to review policies, procedures or guidelines; you are *certain* in your ability to apply this knowledge area to the job.

Strong – You excel in this knowledge area to the extent that you often coach others when they struggle; you would consider yourself an *expert* and you have the *confidence of others* when transferring this area to specific actions or behaviors.

Course Learning Objectives *(Immediate learning should be measured against the course learning objectives, which are normally introduced at the beginning of the course, along with the expected outcomes.)*	**My knowledge/skills level is <u>now</u>:**	
1. *Insert learning objective 1 here.*	Moderately Weak Adequate Moderately Strong Strong	☐ ☐ ☐ ☐
2. *Insert learning objective 2 here.*	Moderately Weak Adequate Moderately Strong Strong	☐ ☐ ☐ ☐
3. *Insert learning objective 3 here.*	Moderately Weak Adequate Moderately Strong Strong	☐ ☐ ☐ ☐

3. APPLICATION AND BEHAVIOUR CHANGE

List three specific actions you plan to take based on what you learned in this course:

Actions	
1.	
2.	
3.	

What barriers will prevent you from applying what you learned in this course?

What enabling factors will support you?

	Potential Barriers to Application		Potential Enablers to Application	
1.	No time available	☐	Confidence and motivation gained	☐
2.	Old habits, organizational resistance to change	☐	Network established during the course	☐
3.	Lack of practical tools to apply the knowledge acquired	☐	Career aspirations	☐
4.	Lack of knowledge and skills among peers	☐	Opportunity at work to use the new skills	☐
Other, please specify:				
5.		☐		☐
6.		☐		☐
7.		☐		☐

Any additional comments:

....
....
....

ANNEX 4. SAMPLE EVALUATION FORM: Level 3-5

This questionnaire measures:
Level 3 Knowledge & Skills Application On-the-Job
Level 4 Impact of Training & Improvement Made
Level 5 Return on Investment: Quantitative Input

FOLLOW UP QUESTIONNAIRE
Course name, date, venue and organizer

Thank you for your time and willingness to complete this follow-up questionnaire concerning your progress since you completed the (*course name)*. This questionnaire is designed to capture the extent to which the course (*or programme)* content has provided the knowledge, skills and information useful to your job and the resulting benefits to your team/section.

The survey inputs will be treated as confidential. When answering the questions, consider the changes in your performance and work results. Please respond to each question to the best of your ability. It will take no more than 20 minutes.

Thanks again for your participation.

Name (optional): …………………………….

Civilian ☐ Military ☐ Police ☐

KNOWLEDGE AND SKILLS TRANSFER

1. The majority of participants have agreed with the following statements in the Final Course Evaluation completed in … (*insert date and location of the course)*.

(*Insert statements from the End-of-Course Evaluation here). For example:*
- I am more knowledgeable in the concepts presented in this workshop than prior to my participation.
- I am confident in my ability to transfer this knowledge into action when appropriate.

1.1 As a follow up to the above statement, please indicate how much of the content you have been able to apply. *(This question assumes that the baseline data is collected at Level 1 and 2 through end-of-course evaluations)*

Percentage of the content:	Applied
Less than 25%	☐
25 - 50%	☐
50 - 75%	☐
More than 75%	☐

1.2. Please share one example of how you applied the content (acquired knowledge and skills) on your job.

……………………………………………………………………………………………………
……………………………………………………………………………………………………

2. What methods have you used to transfer the knowledge/skills learned in the course?

Knowledge/skills transfer method:	Please check all that apply	Number of people to whom the knowledge/skills have been transferred:
Formal training	☐	
Formal briefing upon return	☐	
Informal training or briefing	☐	
On-the-job training	☐	
Structured mentoring	☐	
Ad-hoc advising and mentoring	☐	
Guided work assignments	☐	
Other, please specify: ……………………………………………	☐	

3. Including the content that you have <u>not</u> been able to apply; please indicate how much of the full content you intend to apply in the near future.

Percentage of the content:	Intending to apply
Less than 25%	☐
25 - 50%	☐
50 - 75%	☐
More than 75%	☐

4. Has the application and transfer of your learning resulted in improvements in work methods, processes and/or results?

No ☐ Please specify: …………………………………………
Yes ☐ Please specify: …………………………………………

5. A majority of participants indicated that *(insert top 2 potential barriers that the participants had listed on the End-of-course Evaluation Form, annex 4. e.g. "old habits and organizational resistance to change")* **would be potential barriers. Now, please elaborate more on your <u>actual</u> experience regarding barriers/problems encountered when applying what you have learned.**

Barriers encountered when applying knowledge/skills		
1.	No time available	☐
2.	Old habits, organizational resistance to change	☐
3.	Lack of practical tools to apply the knowledge acquired	☐
4.	Lack of knowledge and skills among peers	☐
Other, please specify: ………………………………………………………………………………………………… …………………………………………………………………………………………………		

6. A majority of participants indicated that *(insert top 2 potential enablers that the participants had listed on the End-of-course Evaluation Form, annex 4. e.g. "opportunity to use")* **would be potential enablers. Now, please share your <u>actual</u> experience regarding factors and enabling work environments that supported you when applying what you have learned.**

Enablers/success factors to application		
1.	Confidence and motivation gained	☐
2.	Network established during the course	☐
3.	Career aspirations	☐
4.	Opportunity to use skills learnt	☐
Other, please specify: ………………………………………………………………………………………… …………………………………………………………………………………………		

IMPACT OF TRAINING

7.1. Please rate the extent to which you agree with the following statements regarding improvements you have made.

Indicators	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
I am working faster (time saving).	☐	☐	☐	☐	☐
I produce better work (quality).	☐	☐	☐	☐	☐
I am more motivated and committed.	☐	☐	☐	☐	☐
I am less stressed.	☐	☐	☐	☐	☐
I make fewer mistakes (quality).	☐	☐	☐	☐	☐
Other impact, please specify: ………………………………………………………………………………………… …………………………………………………………………………………………					

7.2. For the areas in which you answered affirmatively, please specify whether these improvements can be attributed to the course?

Indicators	Not applicable	Yes	Not sure	No
If you are working faster (time saving), can this improvement be attributed to the course?	☐	☐	☐	☐
If you are producing better work (quality), can this improvement be attributed to the course?	☐	☐	☐	☐
If you are more motivated and committed, can this be attributed to the course?	☐	☐	☐	☐

If you are less stressed, can this change be attributed to the course?	☐	☐	☐	☐
If you are making fewer mistakes (quality), can this be attributed to the course?	☐	☐	☐	☐
Other positive impact/ changes that can be attributed to the course (please type your input): ………………………………………………………………………………………………… …………………………………………………………………………………………………				

8. On a scale of 1-5, how confident are you with your statements made above?

Not confident at all	Somewhat confident			Very confident
☐ 1	☐ 2	☐ 3	☐ 4	☐ 5

LEVEL 5: QUANTITATIVE INPUT

9. Using the rating below, please rate the extent to which specific measures improved as a result of applying the knowledge, skills and information acquired in the course. (The definition for the scale is below):

No improvement: application of concepts learnt in the … (*course name)* has had no bearing on improvement in this measure

Neutral: may or may not have had any bearing on improvement in this measure

Limited improvement: application of concepts learnt has provided limited improvement in this measure.

Moderate improvement: application of concepts learnt has improved this measure to some extent

Significant improvement: application of concepts learnt has contributed to significant improvement in this measure

Indicators / Impact measures	No Improvement	Neutral	Limited Improvement	Moderate Improvement	Significant Improvement
(Select and insert measures that the course is aiming to influence)					
e.g. Cost Savings	☐	☐	☐	☐	☐
Efficiency	☐	☐	☐	☐	☐
Productivity Increase	☐	☐	☐	☐	☐
Maximization of Available Resources	☐	☐	☐	☐	☐
Gender Balance	☐	☐	☐	☐	☐
UN Competencies *(insert the competencies that the course is aiming to reinforce)*					
e.g. Teamwork	☐	☐	☐	☐	☐

Accountability	☐	☐	☐	☐	☐
….	☐	☐	☐	☐	☐
….	☐	☐	☐	☐	☐

10. Please indicate any other factors that contributed to the improvement:

……
……

11. On a scale of 1-5, how confident are you with your statements made above?

Not confident at all	Somewhat confident			Very confident
☐ 1	☐ 2	☐ 3	☐ 4	☐ 5

IMPLEMENTATION OF ACTION PLANS

12. At the end of the course, you planned to implement a specific Action Plan. Please specify the progress being made.

Number of actions **planned**:	
Number of actions **started**:	
Number of actions **implemented** or in the process of being implemented:	
Please specify those actions implemented or in progress: e.g. *I focused more on gender mainstreaming*	Results achieved: e.g. *gender issues mainstreamed across all reporting*
Action 1: ……………………………………… Action 2: ……………………………………… Action 3: ………………………………………	Results: ……………………………… Results: ……………………………… Results: ………………………………

13. Would you recommend this course to others?

☐ Yes, please explain: ……………………………………………..

☐ No, please explain: …………………………………….....….

14. Please list any suggestions and recommendations you have to improve the (*course name)***.**

……
……

Thank you for completing this survey. *(team/service name)*

ANNEX 5. DATA COLLECTION PLAN AND ROI ANALYSIS PLAN[12]

Evaluation Purpose: Evaluate the effectiveness of the Conflict Management (CM) Skills Course for Supervisors					
Level	**Broad programme objectives**	**Measures**	**Data collection method and instruments**	**Data sources**	**Timing**
1	**Reaction/Satisfaction** • 85% of participants will give positive feedback about the CM skills taught in the class.	• Average of 3.8 out of a rating scale of 5.0 (rating: 1-strongly disagree 2-disagree/ 3-neutral/ 4-agree 5-strongly agree) *Calculation:* A1, A2… A5 = scale value A1= rating1 x no. of votes, etc. B = A1+A2+…A5 C = total number of votes Average = B/C	• Daily Questionnaire	• Participants	• At the end of short programmes • Daily for long programmes, especially if different sessions, presenters & facilitators are involved
2	**Learning** • 80% of participants will understand which CM steps to use to successfully address unsolved work conflicts • 75% of participants will present at least one completed CM Action Plan for using the CM skills in the workplace	• Score of 80% or higher on end-of-course test • Action Plan completion	• Test scores • Action Plan	• Participants	• End of session or programme
3	**Application / Implementation** • Participants will use the CM skills in work conflict situations in accordance with their CM Action Plans • Participants will report the real-life barriers and enablers in regard to the use of CM skills and revise their CM Action Plan to address these items.	• 70% of participants will report they followed the CM Action Plan.	• Follow-up questionnaire and Action Plan results	• Participants • Managers	• 2-6 months after completing the programme

[12] Original source: "Measuring ROI in Learning and Development, Case Studies from Global Organizations", Patricia Phillips and Jack Phillips, ROI Institute, 2012.

Level	Broad programme objectives	Measures	Data collection method and instruments	Data sources	Timing
4	**Business Impact** • 50% reduction in the number of unsolved work conflicts identified in a pre-class questionnaire • 50% reduction in the impact of unsolved conflicts in the work unit identified in a pre-class questionnaire (e.g. reduced absence from work, increased talent retention, etc.) • Any measurable cost savings due to use of CM skills	• Participants will report a 50% average reduction in the number of unsolved work conflicts • Managers will report a 50% average reduction in the tangible and intangible impacts of the unsolved conflicts • 60% of participants/ managers will report some level of cost savings in their CM action plan results	• Follow-up questionnaire • Action Plan results • Entity performance indicators/reports	• Participants • Managers	• 6-9 months after completing the programme
5	**ROI** Target = +25%	**Baseline data:** will gather participant data on “current number of unsolved conflicts at work” at the beginning of class via the questionnaire.			

ROI ANALYSIS PLAN

Programme: Conflict Management (CM) Skills Course for Supervisors						
Data items (Level 4)	**Methods for isolating the effects of the programme**	**Methods of converting data to monetary values**	**Cost categories**	**Potential intangible benefits**	**Communication targets for final report**	**Potential other influences/issues during application**
• Number of unsolved work conflicts identified in both a pre-class and a post-class questionnaires • Tangible and intangible impacts of unsolved conflicts in the work unit identified in pre-class and post-class questionnaires • Action Plan calculations	• Compare the number of “before and after” unsolved work conflicts identified for two different groups: a. CM course participants b. Control group of supervisors not taking the class • Ask participants for estimates of the impact of the course on any reported behavior changes/ cost calculations • Expert input or related studies, if any	• Identify costs of unsolved conflicts in terms of time and total compensation (both salary and benefit costs) • Standard values from other studies, if available • Participants’ estimation of related costs • Expert input, if available	• Programme costs: materials, venue, transportation, equipment, etc. • Admin support costs, evaluation and follow-up • Participants’ and trainers’ salaries and benefits • Travel-related costs of participants and trainers	• Short and long-run stress reduction • Improved communications • Improved teamwork • Increased job satisfaction, talent retention • Carryover effect into personal life • Increase in successful work completion • Freed-up time for other tasks	• Senior management, HQ & missions • Training professionals and providers: TFPs, IMTCs, ITS, Senior Management, etc. • Course participants and their supervisors • Control group participants • Other stakeholders	• Changes in team compositions, workload, plans, etc. • Level of management support • Other related training programmes that may influence interactions