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ROCB A/P

Good Practice Report

Training Evaluation

(1)



National Academy of Customs, Excise and Narcotics,

NACEN (*RTC India*)

Customs Training Institute,

CTI (*RTC Japan*)

Customs Border Control Training Center,

CBCTC (*RTC Korea*)

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Foreword

As an integral part of training cycle, evaluation means the process of measuring how successful a training effort is. To emphasize the importance of training evaluation for capacity building activities, ROCB A/P and RTC heads agreed, in the 10th heads meeting of Asia Pacific Regional Training Centers (RTC) held in RTC Japan 2012, to compile a compendium of training, on voluntary basis, for providing regional members with some guidance to evaluate the effectiveness of training programmes or capacity building events. In response to the request from the participants at the 8th WCO ROCB&RTC and Vice-chair meeting, WCO also invited Asia Pacific region to share its best practices on training evaluation for the benefits of global customs community. To meet the needs, ROCB A/P and RTCs worked closely to publish this “Good Customs Practice Report on Training evaluation”.

Two components are vital to the successful implementation of training evaluation. They are (1) how to develop the evaluation instruments and (2) how to utilize the results. This report contains introduction of a range of evaluating tools and some examples of analysis of feedbacks of a training event. It also goes into details about the strategy on the selection of evaluating tools at different phases of training programme. With all these contributions from ROCB A/P and RTCs, we sincerely hope that this report provides you with some useful reference for the management of capacity building activities and training programmes.

Taking this opportunity, I would like to give my heartfelt thanks to our contributing RTCs, namely *NACEN (RTC India)*, *CTI (RTC Japan)*, *CBCTC (RTC Korea)*, for sharing their valuable good practices on Training Evaluation. With the support from our Members, ROCB A/P would continue to give its best efforts in rendering the technical and management assistance and strive for the betterment of capacity building in our region.



Yoshihiro KOSAKA

Head

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Good practice report
By *NACEN (RTC India)*

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1. General Picture of NACEN

National Academy of Customs, Excise and Narcotics (NACEN) is the Apex Training Institute for the Indian Customs, Central Excise, Service Tax Department, working under Central Board of Excise and Customs (CBEC), Ministry of Finance, Government of India. Apart from the Central Training Institute (CTI) situated at Faridabad, it has nine Regional Training Institutes (RTIs) situated all over India viz. at Delhi, Kanpur, Patna, Kolkata, Vadodara, Mumbai, Hyderabad, Bangalore and Chennai. It also has a research-wing called the Center of Excellence (CoE) situated at New Delhi, to undertake research into areas relating to taxation, training and human resource development (HRD). A Multi-Disciplinary School of Economic Intelligence (MDSEI) has been established at Mumbai to impart multi-dimensional trainings to officers from various departments, on matters related to organized economic crimes. Such trainings help officers to understand the whole picture involved in organized crimes, through exchange of information and sharing of knowledge with their counterparts working in the other law enforcement departments.

2. Training Cycle

The Training Cycle includes 'Training Needs Analysis' (TNA), 'Planning', 'Delivery and Management of training'; and last, but not the least, 'Evaluation and Review', based on the feedback from the participants, trainers as well as the organizers, which helps in improvement of the conduct of training in future.

NACEN understands the importance of each step in the Training Cycle and pays attention to ensure that the trainings are chosen in accordance with the changing scenario in the world with liberalization, globalization and decreased tariff barriers, combined with the increased threat of "Narcotics and Terrorism".

3. Training Types

The mandate of NACEN includes mainly three kinds of trainings--- Induction courses for the officers recruited at various levels, In-Service trainings for refreshing the knowledge of officers already working in the Department and International Trainings to law enforcement officers from various countries.

The areas of training include Customs topics like Valuation, Harmonized System of Nomenclature (HSN), etc.; Administration and Human Resource Management (HRM) related topics like Establishment and Administration, Sevottam, Right To Information (RTI) Act, etc. In addition officers are also trained in areas of Central Excise, Service Tax and Narcotics.

4. Training Evaluation Methods

4.1 Questionnaire

Evaluation and Review are essential for continued monitoring and improvement in the capacity building exercise. Various criteria of evaluation of infrastructure, service quality, event organization and lecture, are listed in the evaluation form (please refer to Annex: Training Evaluation Form) provided to the participants in domestic as well as International trainings, on which the participants are required to rate the whole event. They may give any other remarks/ observations also in the “any other remarks” column in the end, addition to these fixed criteria columns in evaluation forms.

To ensure that the International participants give true and correct evaluation, there is an option given to them to not mention their name, if they deem fit.

4.2 Online Evaluation

For the regular long-term training of the Indian Revenue Services (Customs & Central Excise) Probationers, online evaluation of the lectures is taken, based on various attributes like content, presentation, relevance, etc.

4.3 Evaluation/Feedback Session

In the evaluation / feedback sessions, kept at the end of all short-term trainings, the senior officers of the Academy, along with the Course Director for that training programme and the entire team responsible for the various tasks during the Course, remain present. All the participants are given the opportunity to express their views and share their experiences during the training programme. They freely express their views and suggestions to improve the organization, content, method of training/ presentation or any other relevant change in conducting the training programmes. These are noted for being incorporated in the future trainings.

4.4 All India Training Review Meeting

Every three months, an All India meeting is held for reviewing, planning, identifying areas of training to be included in the training calendar and sharing of best practices among RTIs. Brainstorming sessions are held before finalizing the Training Calendar for all RTIs and CTI for in-service trainings every year in the month of February/ March.

5. How to Utilize the Results

5.1 Scope of Utilization

The feedbacks received from the participants of various training programmes, are studied, communicated to faculty members/ appropriate departments like

administration for infrastructural issues; and the suggestions are utilized to improve the future trainings. Steps are taken to overcome shortcomings, if any, noticed during the training.

For the regular long-term training of the Indian Revenue Services (Customs & Central Excise) Probationers, online evaluation of the lectures is taken and the same is forwarded on email to the concerned faculty members who took the lectures, also.

5.2 Performance Evaluation of Faculty

The evaluation/ feedback received from the participants through written communication in the form of filled-in evaluation forms or verbally communicated in the feedback/ evaluation session at the end of the Training Programme, are put up to the Director General NACEN. She/he gives necessary directions to the concerned officers to take care of the issues raised/ short-comings reported, if any. The outstanding work done by the officers associated with the training receives appreciation from the DG NACEN. Such appreciation encourages the officers to keep repeating similar excellent performance in future also.

The faculty members, who are highly appreciated, are repeated for subsequent trainings, based on the overall rating of faculty over the sessions.

6. Challenges

6.1 Shortage of Human Resources

The biggest challenge facing the Academy is the shortage of Human Resources. The mandate of the Academy has been ever-increasing with the 60,000+ work-force of the department and the increased contribution being given by NACEN in building the capacity of the other countries in the Asia

Pacific Region and new areas of cooperation with other countries on bilateral / trilateral basis through signing of Memoranda of Cooperation (MoC), in addition to the collaboration with International bodies like WCO, UNODC, UNEP, etc. to conduct various training programmes. The Human Resources available with the Academy (NACEN) have not seen the corresponding increase. Though the highly dedicated, committed and self-motivated officers of NACEN, working with a pro-active approach, still give the best possible results and ensure effective and highly efficient capacity building through team-work.

6.2 Reducing Funds

The other challenge is the reducing funds made available by the various International bodies. Due to the financial crunch also sometimes it becomes difficult to work on certain projects as well as it would have been possible if adequate funds were available.

Also, the diverse needs of officers posted in various formations all over India also provides a big challenge of how to make optimal use of limited resources to meet their diverse needs.

Annex: Training Evaluation Form

<Name of the Training Programme and date>

Part 1: Overall views of the Course:

Subject	Views in words	Rating (out of 10)
Duration of Course		
Infrastructural Facilities		
Organization of Course		
Courtesy		
Hospitality		
Overall Rating of Conduct of Training		

Part 2: Rate the Faculties for the Course (Out of 10):

Faculty	Topic	Content	Presentation	Clarity	Relevance	Overall
<Name of Faculty>						
<Name of Faculty>						
<Name of Faculty>						
<Name of Faculty>						
<Name of Faculty>						
<Name of Faculty>						
<Name of Faculty>						
Overall Rating of Training						

Other Comments/ Suggestions:

Signature and Name of Officer (Optional):



Good practice report

By ***CTI (RTC Japan)***

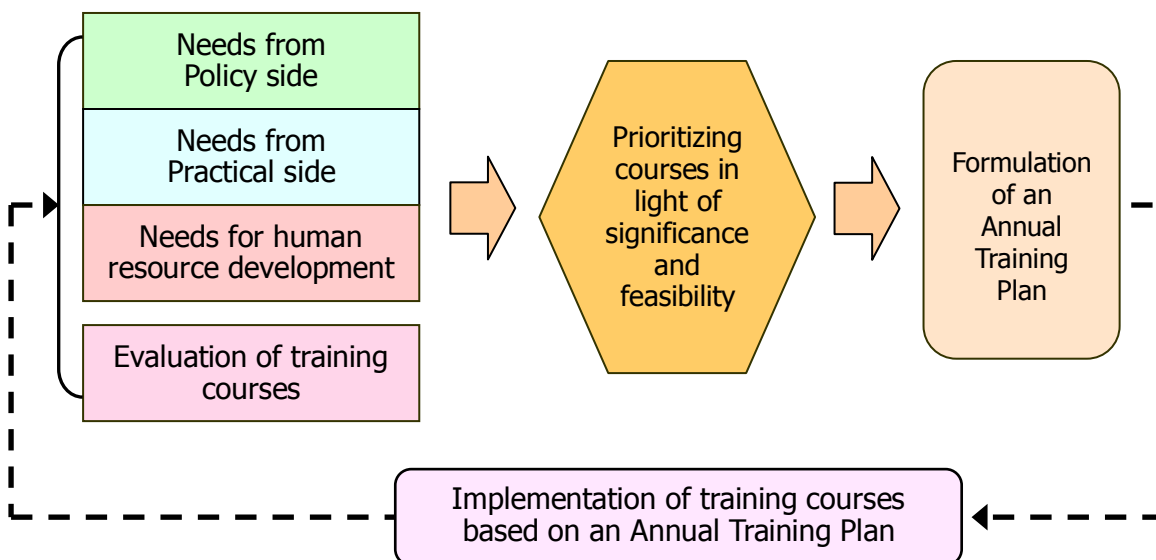
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1. Domestic Training courses

1.1 Annual Training Plan

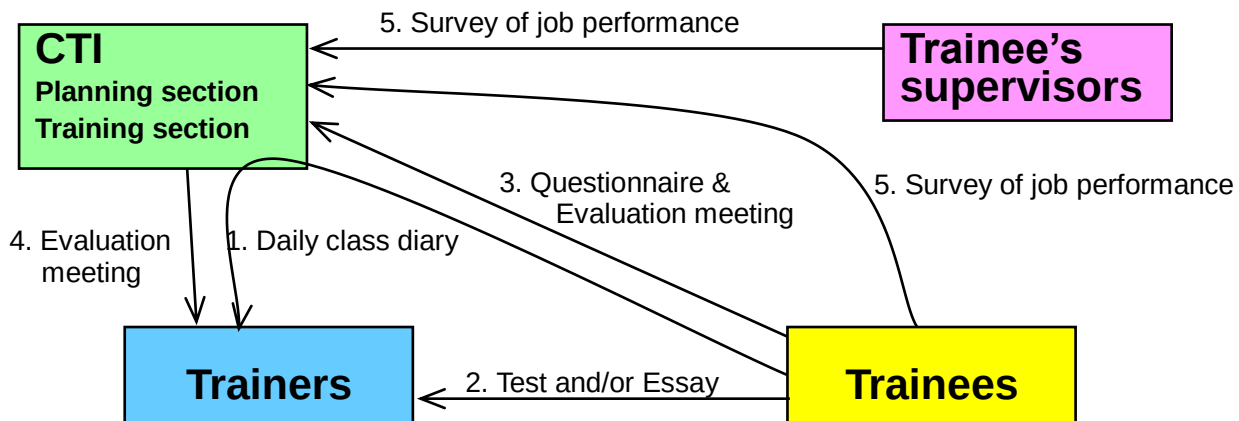
The Customs Training Institute (CTI) uses PDCA (plan-do-check-action) cycle method for continuous improvement of trainings. CTI develops an annual training plan before the beginning of every fiscal year, all domestic training courses are conducted in accordance with this plan. All training courses are evaluated by several methods such as questionnaire and test result. The new annual training plan is developed based on the evaluation results and needs survey.



Note: the flowchart above is simplified for easier understanding.

1.2 Training Evaluation Tools

Evaluation Model



Step 1: Daily class diary

Daily class diary is submitted by an appointed trainee (Class leader on duty). Comments and findings of trainees are shared with trainers and administrative staff. The diary is an effective and efficient tool to observe a training course on real-time bases. (please refer to Annex: Daily Class Diary Format)

Step 2: Test and Essay

Tests are used to quantify trainees' development degrees in some major courses. At the end of each subject, CTI conducts tests to measure trainees' achievements in the course. Tests are prepared by trainers. According to the differences in course characteristics, there are various types of tests including written questions/ multiple-choice questions/ closed questions. Written questions are given in high level training course including Advanced Course, and multiple choice questions tend to be used in courses where a large number of trainees participated such as new recruit courses.

Essays are used to examine the general ability on the specific field and expertise in some advanced courses. Trainees select their research topic in customs field to write an essay. After submitting the essay, each trainee is requested to make a presentation on his/her research.

Test and essay are scored by trainers assigned to. Trainees with a poor performance in the test may need to take a follow-up test or attend an additional class.

Step 3: Questionnaire & Evaluation meeting

Feedback from trainees is a very important source of information. All trainees are required to fill in questionnaires and submit them to CTI staff by the end of the training courses. In addition, CTI holds an evaluation meeting at the end of training courses to collect honest verbal feedback from trainees.

The standard questions in questionnaires are:

- Positive effects provided by the training course
- Points to be improved in future
- Human relations with other trainees
- Length and period of the training course
- Evaluation of each lecture and lecturer
- Subjects that should be added to the training course
- Opinions and comments to improve lectures
- Comments on facilities and equipments
- Opinions and comments to improve this training course

Step 4: Evaluation meetings by training staff and trainers

After the result of all questionnaires is complied, another evaluation meeting is held between CTI staffs and trainers. They discuss a whole range of issues in order to improve the next lectures.

Step 5: Survey of the training effect on job performance

Three months after the end of the training course, CTI sends questionnaires to ex-trainees and their supervisors to verify positive training effects on their job performance in some special technical courses.

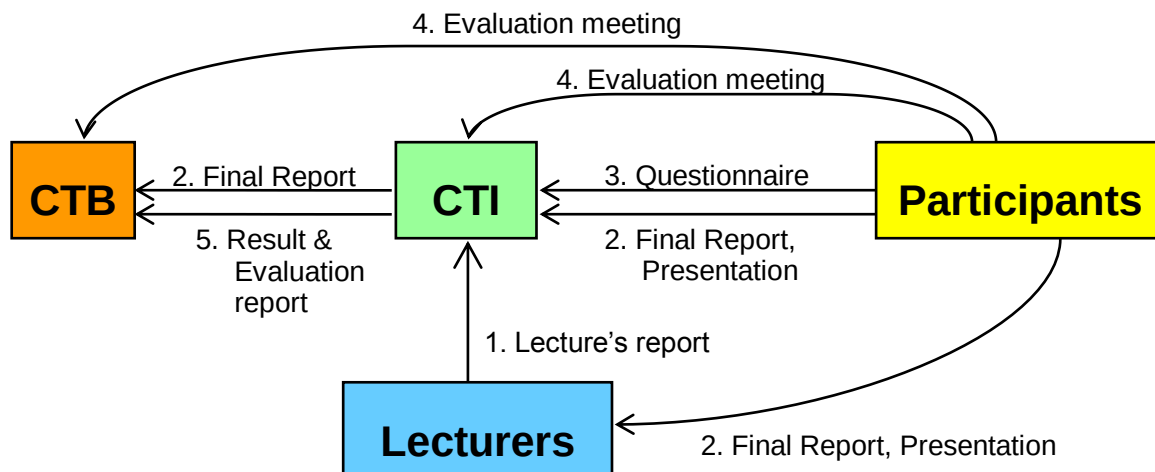
2. International Courses

2.1 Annual Training Plan

CTI provides a variety of technical cooperation training courses in cooperation with Customs and Tariff Bureau (CTB) and regional Customs. These courses are conducted according to annual plan by CTB. All training courses are evaluated by several methods. The evaluation results are submitted to CTB, and they are reflected on the future plan.

2.2 Training Evaluation tools

CTI uses different evaluation methods for international courses.



Step 1: Lecturer's report

CTI asks each lecturer to submit a report on his/her lecture's result. The lecturers report on various aspects, such as

- Contents of lecture and teaching materials
- Participant's reactions
- General impression

- Others (special instruction, requests to CTI, etc.)

Step 2: Final report and Presentation

At the end of the training course, participants are required to submit a report summarizing the training. In some courses, participants are requested to make presentations.

Step 3: Questionnaire (Primary, Daily, Final)

CTI requests participants to submit primary questionnaire on the first day of the training course. Daily questionnaire and final questionnaire are also required to submit by the end of the training course.

Step 4: Evaluation meetings

CTB and CTI hold an evaluation meeting at the end of the training courses to hear frank opinion from participants.

Step 5: Comprehensive evaluation report on training course

Based on participants' final report and the results of questionnaires and evaluation meetings, CTI compiles a comprehensive evaluation report on each training course. The report consists of two main parts, training results and evaluation report.

(a) Training results

- Outlines of the training course
- Summary of the result of questionnaire
- Result of evaluation meeting
- Training outcomes

(b) Evaluation report

- Evaluation (relevance, effectiveness, impact, etc.)
- Proposals for improving training courses

Annex: Model Daily Class Diary Format

Daily Class Diary				
				Date: ____ / ____ / 20XX
Course Title: _____				
Participant's Name: _____				
	Subject	Lecturer	Outline of Lecture	Comments/Questions
AM				
PM				
Overall Comments				
Comments from Administrative Staff(s)				



Good Practice Report

By *CBCTC (RTC Korea)*

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1. Background

The KCS adopted Balance Score Card (BSC) in 2005 as an effort to evaluate work performance using objective indications. The purpose of BSC performance management is to fulfill the vision of the KCS and the goal of CBCTC is to nurture human resources who can realize the vision of the KCS. Using BSC-based performance management system, CBCTC conducts research on "Training Performance Evaluation Model" to measure training performance more objectively. That is because the need has been raised to evaluate whether training performance has been properly conducted with financial resources invested in training programs and use the result for the next training programs.

Recently, public agencies also make efforts to scientifically measure and analyze training performance. However, there has been a question as for to what extent the evaluation result should be systematically utilized. In the past, training evaluation was mainly focused on how much the purpose of the training was achieved rather than whether the result was systematically utilized for the improvement of training system. CBCTC is conducting "Training Performance Result Utilization System" to make a practical use of the training performance evaluation result for examining and improving training plans and programs.

2. Introduction of Training Performance Evaluation System

CBCTC formulates and implements its training programs by following the below steps:

- Establish annual training plan
- Gather opinions of trainers and trainees
- Decide annual training plan
- Implement training programs
- Evaluate training performance
- Analyze the evaluation result
- Put the result to the next cycle of planning.

Training Evaluation System was promoted in recognition of the need to measure the true results that come out of the implementation of training activities. Based on the general training evaluation models, four steps have been evolved:

- (a) Reaction Evaluation
- (b) Learning Evaluation
- (C) Behavior Evaluation
- (D) Result Evaluation

2.1 Step One- Reaction Evaluation

The purpose of this evaluation is to collect the general reaction from trainees to the contents, satisfaction of instructors and subjects, operation and effect of training as well as the readiness of training facilities. In recognition of the problems that come with evaluating timing (at the last hours of the training), method (multiple choice survey) and conductor (facilitator), CBCTC divides the process into two parts, i.e. First reaction Evaluation and Second Reaction Evaluation. It is noteworthy that the 2nd evaluation is conducted by a professional research agency.

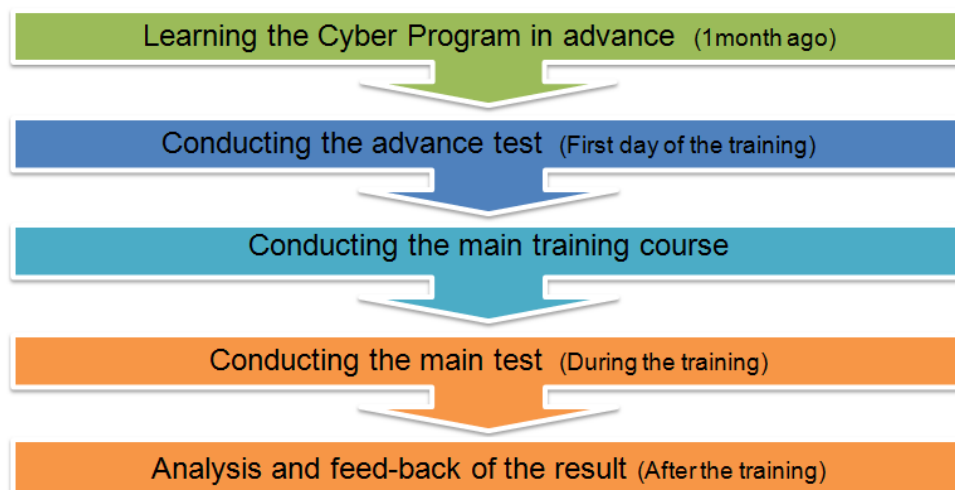


First Reaction Evaluation		Second Reaction Evaluation	
Check Point	Contents, Satisfaction of Instructors and Subjects	Check Point	Operation & Effect of Training, Facilities
Target	All of the Trainees	Target	20~40% of Trainees
Time	Right after the training	Time	1~2 months after the training
Method	By E-mail	Method	By telephone interview
Conductor	CBCTC	Conductor	Researching Company

2.1 Reaction Evaluation Process

2.2 Step Two - Learning Evaluation

The purpose of this evaluation is to measure how the trainees' expertise has improved through the participation to the training course. They conduct advance test before training and post evaluation after training to measure training achievement and then compare the collected results. Also, according to the evaluation result, personnel incentives are provided for trainees with high grades to give them motivation for training.

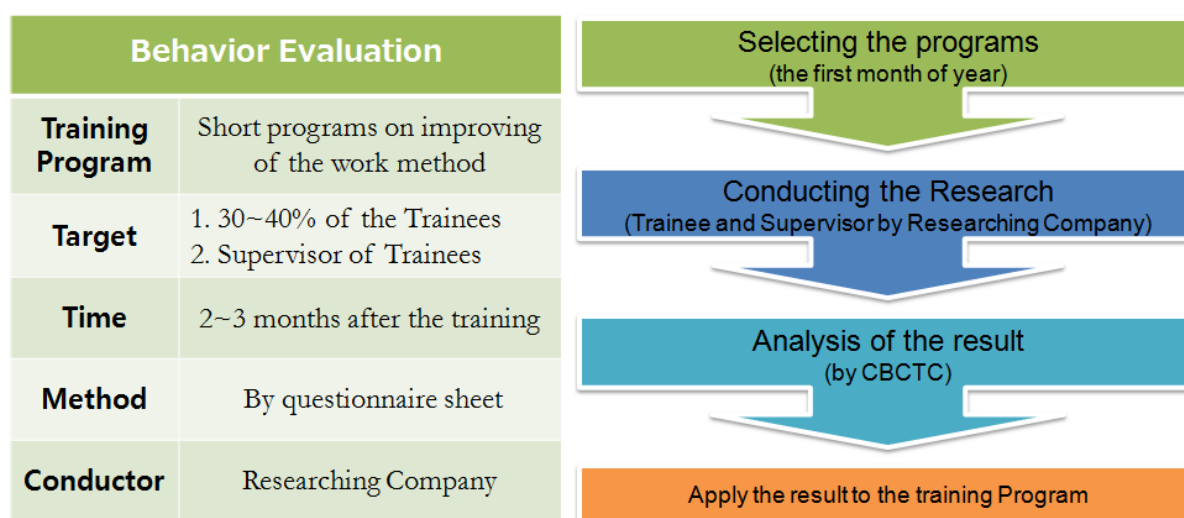


2.2 Learning Evaluation Process

2.3 Step Three - Behavior Evaluation

Behavior evaluation is to assess how much the capacity developed through training program has been reflected in behavior at the workplace. CBCTC conducts behavior evaluation on professional training courses of which the goal is to improve capacity and make achievement. Generally, a professional HRD consulting business is requested to carry out an evaluation two or three months after training. The evaluation measures how the contents of the training have been reflected in behavior of trainees at the workplace. Based on the result, training courses are redesigned.

The survey is intended to the trainees and their supervisors and conducted by a research agency. Supervisors evaluate how trainees have been changed at the work place after training and more than that, trainees that are selected are also invited evaluate themselves.



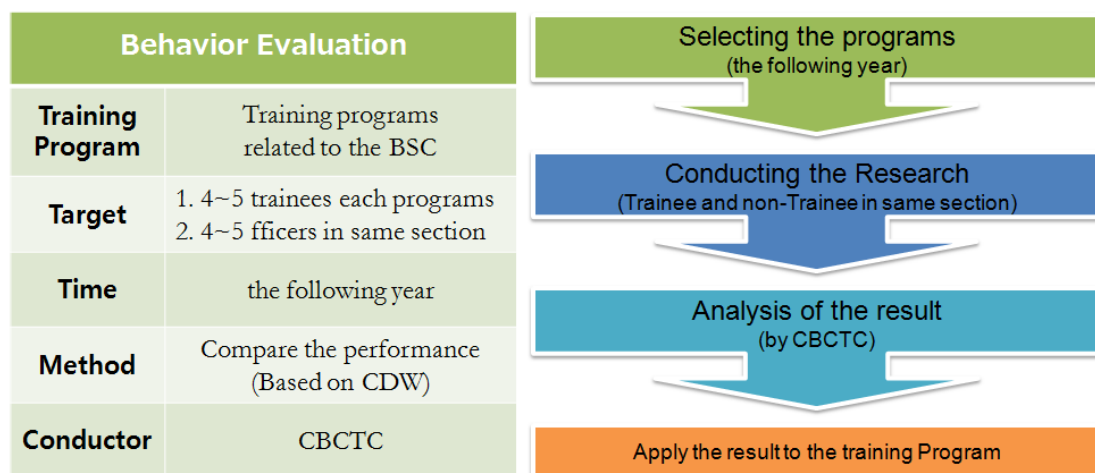
2.3 Behavior Evaluation Process

2.4 Step Four - Result Evaluation

Result evaluation is to measure what achievement has been made in the field as a result of training. Since 2005, the KCS has used BSC to translate work performance into objective

figures. CBCTC is evaluating training performance in line with the BSC of the KCS, measuring how much BSC-based performance has been turned into better results at the workplace.

To objectively assess the achievement, methods to fairly evaluate whether BSC performance has been improved through training should be prepared. Also, selection of training courses for evaluation targets, evaluation time and methods should be trustworthy. Conductors of training courses analyze the evaluation result and redesign training courses to maximize achievement improvement at the workplace.



2.4 Result Evaluation Process

** CDW (Customs Data Warehouse): The system contains data processed in customs information system and ex/import related data. Through the system, users may analyze work performance and data in the way that they want.*

3. How to Utilize the Result

According to "Training Performance System," the result of training performance evaluation will be reflected in training plans and course operation in the next cycle of development of training development.

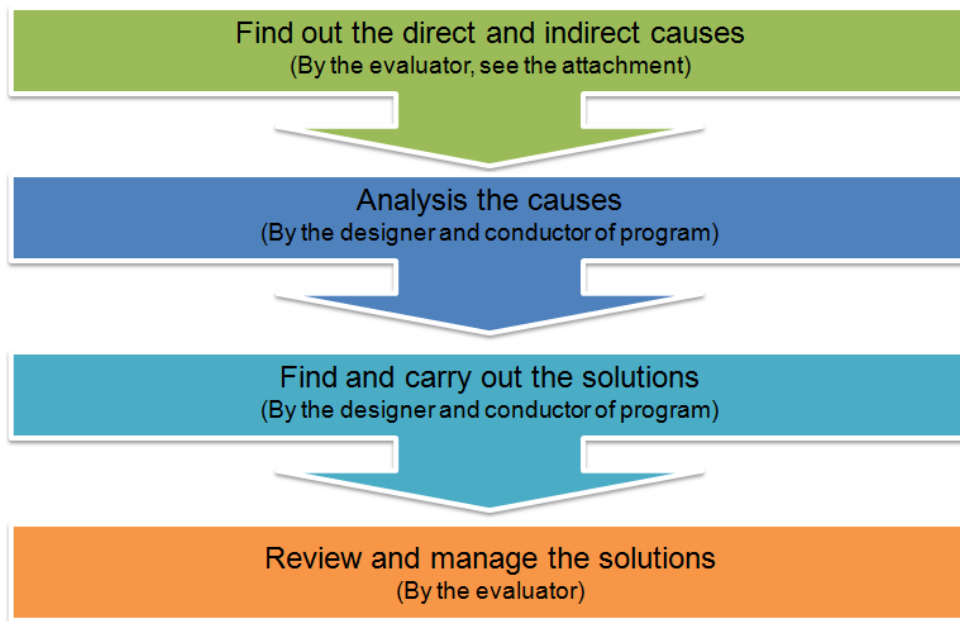
3.1 Step 1. Identification of Causes

To utilize evaluation result for training improvement, it is important to accurately grasp what causes of evaluation result are. CBCTC has prepared and implemented checklist (Please refer to Annex: Check List for "How to utilize the result") to identify direct causes of training result by training phases. Meanwhile, if evaluation targets exist in the cases such as reaction or behavior evaluation, direct causes can be identified through interviews.

3.2 Step 2. Utilization of Performance Evaluation Result

Persons in charge of evaluation and training operation should share evaluation result and materials to identify causes and maintain organic work process.

While evaluators conduct evaluation on training and identify causes of the evaluation result, training operators should take charge of follow-up measures to implement detailed actions for the improvement of training. After that, evaluators check whether the follow-up measures have been properly taken to make sure that training evaluation result is reflected in the redesign of training.



3.2 Process to Utilize the Evaluation Result

Annex : **Check List for "How to utilize the result"**

Stage	Check point
Analyzing the demand	1. Were subjects of needs identification such as organizations, managers or trainees proper? Were needs for training for right areas and classes identified? 2. Were the needs of trainees identified in a proper way? 3. Was training proper as a way to satisfy needs? 4. Was the validity and importance of accepted needs considered? 5. Was environment analysis properly conducted? 6. Was analysis of trainees and work properly conducted? 7. Was analysis of training purposes properly conducted based on the needs analysis result?
Designing the training program	1. Were the training purposes properly drawn from the needs analysis result? 2. Was the training content to fulfill the training purposes selected? 3. Were the training methods or strategies properly designed befitting the training purposes? 4. Were evaluation methods properly developed befitting the training purposes?
Developing the training program	1. Was the training manual properly designed befitting the training design result? 2. Were teaching materials for trainees properly designed befitting the training design result? 3. Was the design (decipherability, readability, convenience) of the developed training materials proper? 4. Were training aids developed befitting the training purposes? 5. Were instructors and facilitators properly selected? 6. Were teaching aids properly selected befitting the training purposes? 7. Were evaluation tools properly developed befitting training design result?

	8. Was a pilot process conducted before training?
Conducting the training program	1. Were trainees properly selected befitting the purposes and level of training? 2. Was the prior preparation properly conducted? (Preparation of teaching materials and aids, guide materials, place for training) 3. Was the training process including guide for accommodation and facilities well announced to the trainees? 4. Was ice breaking and team building properly done? 5. Was support for the trainees and the instructors properly provided? 6. Were subjects and missions of group discussion fully explained? 7. Were ability of conducting lectures and delivery skills of the instructors properly checked through lecture monitoring? 8. Was the evaluation (learning, satisfaction) properly conducted?
Evaluation	1. Was the evaluation organized to assess whether the training purposes were fulfilled? 2. Were the subjects of evaluation properly selected? 3. Was the evaluation time proper? 4. Were the evaluation tools proper? 5. Was the analysis of result properly conducted after evaluation? 6. Was the result properly reported (to the Director General and training operators)? 7. Were the follow-up measures for the result (whether they were delivered to training designers and training conductors) properly taken?