Performance Improvement: What It Is Not!
Performance management
  – Performance review
  – Disciplinary action

Training

Keep your job philosophy
IS YOUR BOSS A SLAVE-DRIVING PSYCHO?

HORRIBLE BOSSES
Performance management
  – Performance review
  – Disciplinary action

Training

Keep your job philosophy
Performance Improvement: What It Is
• Focused on results or outcomes
• Systemic view
• Adds value
• Establishes partnerships with clients & stakeholders
• Utilizes various analyses to diagnose situation
• Process to design, implement, evaluate interventions/solutions
The systematic process of linking business goals and strategies with the workforce responsible for achieving the goals.
HPI / HPT Model Evolution
Early Model

Change Management

Business Analysis
- Determine business goals
- Articulate relationship to human performance

Performance Analysis
- Desired performance state
- GAP
  - Actual performance state

Cause Analysis
- Knowledge
- Motives
- Physical resources
- Structure/Process
- Information

Intervention Selection
- Type of root cause
- Matched interventions
- Recommendations

Intervention Implementation
- Manage the project
- Help the organization adapt to the changes
- Gather formative evaluation data

Evaluation of Results
- Formative evaluation
- Summative evaluation
HUMAN PERFORMANCE TECHNOLOGY (HPT) MODEL

Performance Analysis (Need or Opportunity)
- Organizational Analysis
  (Vision, Mission, Values, Goals, & Strategies)
- Environmental Analysis
  - Organizational Environment
    (Society, Stakeholders, & Competition)
  - Work Environment
    (Resources, Tools, Human Resources Policies)
  - Work
    (Work Flow, Procedure, Responsibilities, & Ergonomics)
  - Worker
    (Knowledge, Skill, Motivation, Expectations, & Capacity)
- Desired Workforce Performance
- Gap Analysis
- Actual State of Workforce Performance

Cause Analysis
- Lack of Environmental Support
  - Data, Information, and Feedback
  - Environment Support, Resources, and Tools
  - Consequences, Incentives, or Rewards
- Lack of Repertory of Behavior
  - Skills and Knowledge
  - Individual Capacity
  - Motivation and Expectations

Intervention Selection, Design, and Development
- Performance Support (Instructional and Noninstructional)
  - Job Analysis/Work Design
  - Personal Development
  - Human Resource Development
  - Organizational Communication
  - Organizational Design and Development
  - Financial Systems

Intervention Implementation and Change
- Change Management
- Process Consulting
- Employee Development
- Communication, Networking, & Alliance Building

Evaluation
- Formative
  - Performance Analysis
  - Cause Analysis
  - Selection/Design of Interventions
- Summative
  - Immediate Reaction
  - Immediate Competence
- Confirmative
  - Continuing Competence (Job Transfer)
  - Continuing Effectiveness (Organizational Impact)
  - Return on Investment

Meta Evaluation/Validation
- Formative, Summative, Confirmative Processes
- Formative, Summative, Confirmative Products
- Lessons Learned


All rights reserved, by D.M. Van Tien, J.L. Moseley, and J.C. Dessinger, published by ISPI in 2004.
Why Is PI Important?
Provides opportunities to drive continuous performance improvement

Shifts the organization from simply responding to a stakeholder defined “need”

Contributes valuable data and insight to make more informed decisions on intervention/solution selection

Establishes a culture of continuous thinking vs ...
Research
75% of high performance organizations (HPO) respondents stated

Establishing a continuous improvement-focused culture and avoiding risk were very important

Research: Performance Improvement in High-Performance Organizations, Institute for Corporate Productivity, 2013
70% of HPOs

Listed mitigating and addressing poor performance as substantial reasons for PI initiatives

Research: Performance Improvement in High-Performance Organizations, Institute for Corporate Productivity, 2013
75% HPOs compared to 32% LPOs

Utilize PI to drive continuous performance improvement

Research: Performance Improvement in High-Performance Organizations, Institute for Corporate Productivity, 2013
## Practices Linked to High Performance

<table>
<thead>
<tr>
<th>Types of PI Targeted</th>
<th>HPOs</th>
<th>LPOs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Societal/Mega (external clients, customers/citizens,</td>
<td>60%</td>
<td>19%</td>
</tr>
<tr>
<td>communities served)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individual (employee/job role)</td>
<td>69%</td>
<td>29%</td>
</tr>
<tr>
<td>Process, operations (workflow, policies)</td>
<td>66%</td>
<td>43%</td>
</tr>
<tr>
<td>Organizational (leadership, governance)</td>
<td>61%</td>
<td>29%</td>
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Research: Performance Improvement in High-Performance Organizations, Institute for Corporate Productivity, 2013
Let’s Go!
Organizational Analysis
Looks into the heart of the organization, as all organizational components should be strategically aligned.

Purpose of the organizational analysis is to provide direction; what is the org attempting to put into place or achieve.
What defines the direction

**Vision:** long-term view of desired end state

**Mission:** why the organization exists

**Values:** core beliefs w/ intrinsic value for the org

**Goals:** targets for accomplishment

**Strategies:** org’s plan for growing the business

**Critical Issues:** problems or opportunities that may hinder org’s success
Tools to conduct an Organizational Analysis

• Interviews (i.e., one-on-one, group)
• Group Processes (i.e., brainstorming, focus groups)
• Surveys
• Recording behavior (i.e., storytelling, case studies)
Performance Improvement/HPT Model

Change Management

Performance Analysis of Need or Opportunity

Organizational Analysis
- Vision, Mission, Values
- Goals and Strategies
- Critical Issues

Environmental Analysis
- World (Culture, Society, Social Responsibility)
- Workplace (Organization, Resources, Tools, Stakeholders, Competition)
- Work (Work Flow, Procedure, Responsibilities, Ergonomics)
- Worker (Knowledge, Skill, Capacity, Motivation, Expectations)

Environmental Analysis
- Data Information
- Feedback
- Environment Supports, Resources, and Tools
- Consequences, Incentives, or Rewards
- Individual Factors
  - Skills and Knowledge
  - Individual Capacity
  - Motivation and Expectations

Gap Analysis

Desired Performance

Cause Analysis

Intervention Selection, Design, and Development

Interventions
- Learning
- Performance Support
- Job analysis/Work Design
- Personal Development
- Human Resource Development
- Organizational Communication
- Organizational Design and Development
- Financial Systems
- Other...

Business Case
- Leadership Commitment
- Feasibility
- Sustainability

Intervention Implementation and Maintenance

Techniques
- Partnering, Networking, and Alliance Building
- Process Consulting
- Employee Development
- Communication
- Project Management
- Other...

Evaluation

Formative (Level 0) evaluation of inputs-process-outputs of
- Performance Analysis
- Selection Design Development
- Implementation, Maintenance

Summative (Level 1-2) evaluation of immediate
- Reaction
- Knowledge/skills/attitude change
- Application

Confirmative (Levels 3-5) evaluation of sustainable
- Effectiveness
- Efficiency
- Impact
- Value

Meta Evaluation/Validation of
- Formative, Summative, Confirmative inputs-processes-outputs
- Success stories
- Lessons learned

Van Tien, Moseley, and Dessinger

Environmental Analysis
Identifies and prioritizes what impacts/supports actual performance within the organization

Purpose of the environmental analysis is to provide clarity of actual performance on a macro and micro scale, as well as inside and outside of the organization.
Defining Macro & Micro Scale Evaluation

- **World:** global societal realities; cultural issues
- **Workplace:** what occurs inside the organization
- **Work:** job design or process level
- **Worker:** what is occurs with employees
Tools to conduct an Environmental Analysis

**World:** corporate social responsibility; community support

**Workplace:** surveys, interviews, group processes

Org Environment: understand who stakeholders are; gather internal data (i.e., survey results, reports, etc.) to determine how org interacts with external environment

Work Environment: determine what factors or practices influence effectiveness and are most critical to achieve desired performance
Tools to conduct an Environmental Analysis

**Work:** surveys, interviews, observations, document review

**Worker:** observe work, interviews, survey data, review personnel documents
Gap Analysis
Paints the picture of where the gap is between actual and desired performance

Purpose of the gap analysis is to provide an understanding of current and future gaps in performance
What defines the Gap Analysis

**Opportunities & Problems:** gaps can be both

**Understand Desired State:** the goal to achieve desired performance should be reasonable

**Human Performance & Future:**
gap analysis evaluates all levels of performance (mastery/weakness) in the past, present and future
Difference Between Needs Assessment & Gap Analysis

**Needs Assessment:** tends to focus on knowledge, skills, and attitude; evaluates past and present

**Gap Analysis:** gap analysis evaluates all levels of performance (mastery/weakness); evaluates the past, present and future
Tools to conduct a Gap Analysis

**Three Step Process:**

1. Identify and analyze actual and desired performance
2. Identify the gaps – present/future, positive/neutral/negative
3. Prioritize the gaps
Tools to conduct a Gap Analysis

1. Identify and analyze actual and desired performance

- **Current Performance:** Ask “Is” Questions
- **Desired Performance:** Ask “Should” Questions
## Tools to conduct a Gap Analysis

2. Identify the gaps – present/future, positive/neutral/negative

<table>
<thead>
<tr>
<th></th>
<th>Positive Gaps</th>
<th>Neutral Gaps</th>
<th>Negative Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Gap</strong></td>
<td>AP exceeds DP</td>
<td>AP is the same as DP</td>
<td>AP is less than DP</td>
</tr>
<tr>
<td><strong>Future Gap</strong></td>
<td>AP will exceed DP</td>
<td>AP will be the same as DP</td>
<td>AP will become less than DP</td>
</tr>
</tbody>
</table>
Tools to conduct a Gap Analysis

3. Prioritize the gaps

- Involve key stakeholders to assist in prioritization
- Utilize sorting methods to determine criticality
Performance Improvement/HPT Model

Change Management

Performance Analysis of Need or Opportunity

Organizational Analysis
- Vision, Mission, Values
- Goals and Strategies
- Critical Issues

Environmental Analysis
- World (Culture, Society, Social Responsibility)
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- Work (Work Flow, Procedure, Responsibilities, Ergonomics)
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Desired Performance

Gap Analysis

Cause Analysis
- Environmental Factors
  - Data Information
  - Feedback
  - Environment Supports, Resources, and Tools
  - Consequences, Incentives, or Rewards
- Individual Factors
  - Skills and Knowledge
  - Individual Capacity
  - Motivation and Expectations

Actual Performance

Intervention Selection, Design, and Development

Interventions
- Learning
- Performance Support
- Job analysis/Work Design
- Personal Development
- Human Resource Development
- Organizational Communication
- Organizational Design and Development
- Financial Systems
- Other...

Business Case
- Leadership Commitment
- Feasibility
- Sustainability

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- Success stories
- Lessons learned
Cause Analysis
Provides clarity as to why the gap exists

Purpose of the cause analysis is to determine the roots causes of the identified gaps – past, present, and future
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<th>Motivation</th>
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<td></td>
<td>Data</td>
<td>Resources</td>
<td>Incentives</td>
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<td>1. Relevant and frequent feedback about the adequacy of performance</td>
<td>1. Tools, resources, time and materials of work designed to match performance needs</td>
<td>1. Adequate financial incentives made contingent upon performance</td>
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<td></td>
<td>2. Descriptions of what is expected of performance</td>
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<td></td>
<td>3. Clear and relevant guides to adequate performance</td>
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<td>3. Career-development opportunities</td>
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<tr>
<td>Knowledge</td>
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<td>Capacity</td>
<td>Motives</td>
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<td>1. Systematically designed training that matches the requirements of exemplary performance</td>
<td>1. Flexible scheduling of performance to match peak capacity</td>
<td>1. Assessment of people’s motives to work</td>
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<td>2. Prosthesis or visual aids</td>
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Tools to conduct a Cause Analysis

**Interviews:** structured/unstructured, open-ended/probing; good for rapport building

**Observation:** captures current skills and knowledge

**Surveys:** anonymous; large number of people can be surveyed; take note of survey question construction

**Brainstorming:** idea generation
Tools to conduct a Cause Analysis

**The 5 Whys:** ask why until no longer can

**Fishbone Diagram:** graphical representation of causes

**Performance Data:** performance numbers

**Record Reviews:** performance appraisals, HR records, etc.
Conducting the 5 Whys

1. Why are the guest satisfaction survey scores low?
   • Because of poor customer service provided by FOH ees

2. Why are the FOH ees providing poor customer service?
   • Because some team members lack knowledge and skills; some team members’ attitudes do not “fit” the organization; expectations, feedback, and consequences are not clear; resources are not provided so employees can provide great customer service

3. .....
Intervention Selection
Integral part of PI that should **not** be met with bias

Purpose of intervention selection is to identify and propose the most appropriate interventions to close the performance gaps and resolve the problem, opportunity, or challenge
Intervention & Intervention Selection

**Intervention:** deliberate and purposeful acts that influence and facilitate change in performance

**Intervention Selection:** the process of identifying, and selecting the most appropriate interventions to close the performance gaps and resolve the problem, opportunity, or challenge
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Goals to Consider When Selecting Interventions

**Commitment:** identify interventions or solutions that employees and management are committed to

**Feasibility:** resource allocations and environmental issues are feasible and sustainable throughout the life cycle of need

**Believe:** people need to believe the identified interventions are likely to close or alleviate the problems and improve performance
There is no easy method for selecting possible interventions or solutions to performance problems or opportunities.
Process for Intervention Selection

Team Approach: stakeholder and champion roles

Expert Identification: for the intervention selection and remaining phases of the HPI/HPT process, you may seek an expert who can assist in leading

Multi-Step Process
Process for Intervention Selection

Preliminary Phase: 2 Steps

Step 1: Group determines or confirms performance gap(s)

Step 2: Group determines or confirms cause

If there are multiple gaps/causes, rank and agree on top priority gaps and causes; once complete, move to step 3
Process for Intervention Selection

Survey Phase: 3 Steps
Step 3: Group selects potential clusters of interventions
# Interventions

<table>
<thead>
<tr>
<th>Knowledge Interventions</th>
<th>Education/Training</th>
<th>Online Learning</th>
<th>OTJ Learning</th>
<th>Blended Learning</th>
<th>Games/Simulations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Support Interventions</td>
<td>Documentation and Standards</td>
<td>Expert Systems</td>
<td>Job Aids</td>
<td>Ergonomics</td>
<td>Six Sigma</td>
</tr>
<tr>
<td>Job Analysis/Work Design Interventions</td>
<td>Job Descriptions</td>
<td>Job Design</td>
<td>Job Rotation</td>
<td></td>
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</tr>
<tr>
<td>Personal Development Interventions</td>
<td>Coaching</td>
<td>Mentoring</td>
<td>Emotional Intelligence</td>
<td>Feedback</td>
<td>Cultural Intelligence</td>
</tr>
</tbody>
</table>
### Interventions

<table>
<thead>
<tr>
<th>HRD Interventions</th>
<th>Organizational Communication Interventions</th>
<th>Organizational Design &amp; Development Interventions</th>
<th>Financial Systems Interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staffing</td>
<td>Retention</td>
<td>Motivation</td>
<td>Competencies</td>
</tr>
<tr>
<td>Suggestion Systems</td>
<td>Grievance Systems</td>
<td>Dispute Resolution</td>
<td>Communication Networks</td>
</tr>
<tr>
<td>Virtual Teams</td>
<td>Culture</td>
<td>Diversity</td>
<td>Benchmarking</td>
</tr>
<tr>
<td>Financial Forecasting</td>
<td>Cash Flow Forecast</td>
<td>Mergers, Acquisitions, Joint Ventures</td>
<td>Capital Investment and Spending</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Profit vs Cost Center</td>
</tr>
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</table>
Process for Intervention Selection

Survey Phase: 3 Steps

Step 3: Group selects potential clusters of interventions

Step 4: Individuals select 10-15 potential interventions

Step 5: Individuals prioritize 5-6 potential interventions
Process for Intervention Selection

**Selection Phase: 2 Steps**

**Step 6:** Group selects intervention(s) to implement
Selecting Interventions

**Brainstorming:** each team member discusses their selected interventions and reason for selection; ideas recorded; iteration keeps going until all six interventions discussed with each team member

**Multi-Voting:** multi-voting should allow approximately 1/3 of the possibilities of interventions
Suggestions for Selecting Interventions

**Decisions:** base on a comprehensive understanding of the situation

**Costs:** include cost and be value sensitive

**ST vs LT:** consider short-term and long-term effectiveness

**Timing:** give consideration that interventions cannot occur overnight
Process for Intervention Selection

Selection Phase: 2 Steps

Step 6: Group selects intervention(s) to implement

Step 7: Group plans next steps (scoping out action plans and reasonable timeframes for implementation and change management)
Intervention Design and Development
Development is an extension of design. It prepares the design for implementation.

Purpose of intervention design and development is to design and develop recommended changes – interventions – that were specified as part of the analysis step.
Considerations When Designing & Developing

**Options:** customized intervention packages or off-the-shelf intervention packages

**Environmental Impact:** requires evaluation based on the design/development option how much customization is needed

**Timing:** how much time is needed to design/develop

**Knowledge Resources:** is SME assistance needed
Considerations When Designing & Developing

**Feasibility:** is the product feasible for the organization

**Sustainability:** is the product sustainable over time

**Change Management:** has change management been incorporated
Performance Improvement/HPT Model

Change Management

Performance Analysis of Need or Opportunity

- Organizational Analysis
  - Vision, Mission, Values
  - Goals and Strategies
  - Critical Issues

- Environmental Analysis
  - World (Culture, Society, Social Responsibility)
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Gap Analysis

Desired Performance

Actual Performance

Intervention Selection, Design, and Development

- Interventions
  - Learning
  - Performance Support
  - Job analysis/Work Design
  - Personal Development,
  - Human Resource Development
  - Organizational Communication,
  - Organizational Design and Development,
  - Financial Systems
  - Business Case
  - Other...

- Techniques
  - Partnering, Networking, and Alliance Building
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  - Employee Development
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Intervention Implementation and Maintenance

Evaluation

Formative (Level 0) evaluation of inputs-process-outputs of
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- Success stories
- Lessons learned

Change Management

Van Tiem, Moseley, and Dessinger

Intervention Implementation and Maintenance
Intervention implementation is critical to PI

Purpose of intervention implementation is to communicate, pilot, launch, monitor, and modify interventions.

Its intended outcome is the institutionalization of the planned intervention, resulting in long-term change within the organization.
Models to Aid in Implementation and Maintenance

**Dormant-Cross Functional Model:** focuses on information exchanges between developers and implementers

**Hale-Sustainability Model:** focuses on sustaining interventions by institutionalizing new behaviors

**Moseley and Hastings-Four Stage Process Model:** focuses on resources, strategic goals, competencies, and collective learning

**Dublin-I³ Change-Focused Implementation Model:** ensures that the implementation of an organizational change becomes integral to the organization so that the change is sustainable
Intervention Implementation Design Element Musts

**Results:** expected results clearly linked to business

**Communication:** extensive communication exchanges with stakeholder

**Inclusion:** active inclusion of affected employees
Intervention Implementation Design Element Musts

**Support:** visible support of senior management

**Processes:** identification of all affected processes

**Cultural Norms:** careful consideration of the org’s cultural norms
Performance Improvement/HPT Model

Change Management

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Actual Performance

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Evaluation
Evaluation provides illumination and improvement within the organization, while also affecting decision making.

Purpose of evaluation is drive decisions regarding what to evaluate, when to evaluate, and how to evaluate.
Types of Evaluation

**Formative:** evaluation is diagnostic and is used to frame an ongoing process to supply information for improvement

**Summative:** evaluates immediate impact of an intervention after implementation
Types of Evaluation

**Confirmative:** establishes and details efficiency, value, sustainable effectiveness, and impact of intervention

**Meta:** process to evaluate and satisfy quality of evaluation
Models for Evaluation

Kirkpatrick’s Four Levels – Training Interventions
Reaction, Learning, Behavior, Results

Brinkerhoff’s Six Stage Model – Training Interventions/Programs
Needs & Goals, Design, Operation, Learning, Usage & Endurance, Payoff

Dessinger-Moseley Full Scope Evaluation Model
Summative, Confirmative, Formative evaluation

Phillips and Phillips’ ROI Approach
Cost-benefits analysis
Methods for Evaluation

Self-Evaluation
Interviews
Surveys
Focus Groups
Observations
Performance Records
That Was All Great...

Now What?
Start SMALL

Do not think you have to be an expert in everything; seek out assistance when needed

Seek out resources to develop knowledge and skills

Do not limit your thinking; be creative!
1. Understand the need

2. Resist the urge to train; instead refer back to
(Refer back to slides 7 & 8)
• Focused on results or outcomes
• Systemic view
• Adds value
• Establishes partnerships with clients & stakeholders
• Utilization of various analyses to diagnose
• Process to design, implement, evaluate interventions/solutions
The systematic process of linking business goals and strategies with the workforce responsible for achieving the goals
1. Understand the need

2. Resist the urge to train
   (Refer back to slides 7 & 8)

3. Determine the organizational direction/desired performance
   (Refer back to slides 24-26)

4. Formulate the organization’s actual performance
   (Refer back to slides 29-32)
5. Determine the gap between actual and desired performance  
   (Refer back to slides 35-41)
6. Identify root causes  
   (Refer back to slides 44-49)
7. Select/Design/Implement Interventions  
   (Refer back to slides 52-77)
8. Evaluate Results  
   (Refer back to slides 80-84)
Chris Ponder II

Telephone: 318/615-9461
Email: chris@cp2labs.com
Twitter: @ChrisPonder
LinkedIn: linkedin.com/in/cponder